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AN EVALUATION OF OBJECTIVE PRISON CLASSIFICATION SYSTEMS

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AN EVALUATION OF
OBJECTIVE PRISON CLASSIFICATION
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TABLE OF CONTENTS

	<u>Page</u>
Foreword	vii
Acknowledgements	viii
I Executive Summary	1
Introduction	1
Results of National Survey	2
Findings of the Effectiveness Evaluation	5
Conclusions	6
II Study Objectives and Methodology	10
Introduction	10
Study Objectives	10
Study Methodology	12
Results of Study	17
III An Overview of Objective Prison Classification	18
Introduction	18
Principles of Correctional Classification	21
The Role of Classification in Corrections	22
Prior Research Related to Prison Behavior	23
Methods Used to Develop Objective Classification Systems	26
Major Objective Prison Classification Models	29
Comparison of Major Objective Prison Classification Models	50
Summary	58
IV Survey of Existing Objective Prison Classification Systems	60
A Preliminary Note on the National Survey	60
Chapter 1: Development of Objective Prison Classification Systems	61
Chapter 2: Implementation of Objective Prison Classification Systems	83
Chapter 3: Agency Evaluation of Objective Prison Classification Systems	90
V Evaluation of Objective Prison Classification System Effectiveness .	97
Chapter 1: Objectives and Methodology	97
Chapter 2: Assessment of the Agency's Classification Scoring Process	103
Chapter 3: Validation of the Agencies' Objective Classification Systems	141
Chapter 4: Impact of the Agencies' Objective Classification Systems on Misconduct, Escape, and Fatality Rates .	156
Chapter 5: Implications on the Effectiveness Evaluation	184

	<u>Page</u>
VI Guidelines for Developing, Implementing, and Revising Objective Prison Classification Systems	188
References	204
Appendix A - Preliminary Questionnaire	A-1
Appendix B - Survey Instrument	B-1
Appendix C - Supporting Documentation	C-1
Appendix D - Case Study Format	D-1
Appendix E - Objective Prison Classification Case Studies	E-1
California	E-1
Federal Prison System	E-12
Florida	E-27
Illinois	E-48
Kentucky	E-80
Missouri	E-94
New York	E-108
Wisconsin	E-116

List of Figures

1. Inmate Load and Security Designation, Federal Bureau of Prisons	30
2. Custody Classification, Federal Bureau of Prisons	32
3. Initial Inmate Classification (Custody), National Institute of Corrections	36
4. Inmate Reclassification (Custody), National Institute of Corrections	37
5. Initial Inmate Classification (Assessment of Needs), National Institute of Corrections	39
6. Administrative Rules (Vermont)	40
7. Correctional Classification Profile	42
8. Initial Inmate Classification Questionnaire, Florida Department of Corrections	45
9. Inmate Custody Reclassification Questionnaire, Florida Department of Corrections	46
10. Reception Classification Report #6, Illinois Department of Corrections	48
11. Reclassification Report #3, Illinois Department of Corrections	51
12. Impetus for Developing an Objective Classification System	62
13. Staff Reaction to the New System During Development	68
14. Type of Management Information System Used by Agency	74
15. Major Problems Encountered During Development	81
16. Levels of Personnel Trained Prior to Implementation	85
18. Constraints Experienced During Implementation	88
19. Status of Objective System Evaluation	91
20. CDC Classification Score Sheet	104
21. CDC Reclassification Score Sheet	107

	<u>List of Figures (concluded)</u>	<u>Page</u>
22. Reception Classification Report #6, Illinois Department of Corrections		113
23. Code Sheet C, Security Level Designation, Initial Reception Classification Matrix		116
24. Reclassification Report #3, Illinois Department of Corrections		117
25. Assessment and Evaluation, Initial Inmate Custody Rating, Wisconsin Division of Corrections		128
26. Program Review, Inmate Custody Rating, Wisconsin Division of Corrections		129
27. California Time-Series Analysis, Major Incidents, 1976-1984		168
28. Illinois Time-Series Analysis, Major Incidents, 1979-1984		172
29. Wisconsin Time-Series Analysis, Major Incidents, 1981-1984		176
30. Time-Series Trends of Cumulative Percent Change in California Inmate Population, Overcrowding, and Incident Rates, 1976-1984 ...		180
31. Time-Series Trends of Cumulative Percent Change in Illinois Inmate Population, Overcrowding, and Incident Rates, 1979-1984		182
32. Suggested Process for Developing and Implementing and Objective Prison Classification System		190

List of Tables

1. Comparison of Initial Classification Factors Employed by Major Objective Prison Classification Models	52
2. Comparison of Reclassification Factors Employed by Major Objective Prison Classification Models	56
3. Rank Ordering of Impetuses for Developing a New Classification System	63
4. Type of Objective Prison Classification Model by Number of Agencies	65
5. Type of Objective Prison Classification System by Agency	66
6. Factors Included in Initial Security/Custody Determination	70
7. Factors Included in Security/Custody Determination at Reclassification	71
8. Agency Use of Overrides	73
9. Factors Used in Rating Security/Custody Level of Correctional Institutions	75
10. Program Needs Addressed by Classification System	77
11. Time Required to Develop Classification System	80
12. Time Required to Implement Classification System	87
13. Areas Impacted by New Classification System	92
14. Key Characteristics of Agencies Selected for Effectiveness Evaluation	99
15. Summary of Data Used for Effectiveness Evaluation	100
16. California Initial Classification, Percent of Variation (R^2) in Classification Point Score by Classification Item	108
17. Mean Scores of California's Twelve Reclassification Items	109
18. California Percent of Variation (R^2) in Current Classification Score by Classification Item	110
19. California Percent of Variation (R^2) in Classification Level by Classification Item	111
20. California Percent of Variation (R^2) in Classification Level by Classification Item Excluding Level IV Inmates	111

	<u>List of Tables (continued)</u>	<u>Page</u>
21.	Comparison of California's Initial and Reclassification Levels	112
22.	Illinois Initial Classification, Percent of Variation (R^2) in Classification Point Score by Classification Items	119
23.	Illinois Percent of Variation (R^2) in Initial Security Level by All Initial Classification Items	120
24.	Illinois Percent of Variation (R^2) in Initial Security Level by Dangerous and Adjustment Score	121
25.	Illinois Reclassification Percent of Variation (R^2) in Reclassification Score by Classification Item	122
26.	Comparison of Illinois Initial and Reclassification Scores	123
27.	Changes Made to Classification Scales in Wisconsin	124
28.	Wisconsin Initial Classification, Percent of Variation (R^2) in Classification Point Score by Original Initial Classification Item	130
29.	Wisconsin Initial Classification, Percent of Variation (R^2) in Classification Point Score by Revised Initial Classification Item	130
30.	Wisconsin Percent of Variation (R^2) in Custody Level Assignments by Classification Item	131
31.	Wisconsin Percent of Variation (R^2) in Actual Custody Level Assignments by Classification Item	132
32.	Wisconsin Reclassification Percent of Variation (R^2) in Classification Point Score by Original Classification Item	133
33.	Wisconsin Reclassification Percent of Variation (R^2) in Classification Score by Revised Classification Item	134
34.	Distribution of Initial Classification Score by Ethnicity	135
35.	Illinois Classification Items Associated with Ethnicity	136
36.	Wisconsin, Relationship Between Race and Initial Custody Level Assigned	137
37.	Comparison of NIC and California Initial Classification Scores for California Inmates	139
38.	Zero-Order Correlations of California Initial Classification Item Scores with Disciplinary Rates	143
39.	Zero-Order Correlations of Illinois Initial Classification Item Scores with Disciplinary Rates	145
40.	Zero-Order Correlations of Wisconsin Initial Classification Item Scores with Disciplinary Rates	146
41.	California Distribution of Disciplinary Incidents by Initial Classification Score	148
42.	Illinois Distribution of Disciplinary Incidents by Initial Classification Score	149
43.	Illinois Distribution of Dangerous Tickets by Initial Classification Score	150
44.	Wisconsin Number of Major Disciplinary Reports Received by Inmates at Each Custody Level	151
45.	Tennessee Comparisons of Number of Disciplinary Reports Received: Close Security and Other Security Inmates (by Score)	152
46.	California Number of Inmates by Inmate Level and Number of Serious Disciplinaries Received Between June 30 and December 31, 1983	153
47.	California Number of Inmates by Inmate Level and Number of Serious Disciplinaries Received Between June 30 and December 31, 1983	154

	<u>List of Tables (concluded)</u>	<u>Page</u>
48.	Trends in Classification Level Scores for Resident Inmate Population by Agency	158
49.	Comparison of California Classification Score Versus Actual Facility Location	160
50.	Comparison of California Initial and Current Classification Scores	161
51.	Comparison of Illinois Initial and Reclassification Scores	162
52.	Use of Overrides in Wisconsin	163
53.	First Custody Assignment by Custody Score, Original Wisconsin Custody Scale	163
54.	First Custody Assignment by Custody Score, Revised Wisconsin Custody Scale	164
55.	Reclassification Scores by Custody Level Assigned, Original Wisconsin Scale	164
56.	Reclassification Scores by Custody Level Assigned, Revised Wisconsin Scale	165
57.	Wisconsin Trends in Classification Placements	165
58.	California Time-Series Analysis, Major Incidents (1976-1984)	167
59.	California Time-Series Analysis, Escapes, Homicides, Suicides	169
60.	Rate of Inmate Assault Incidents in California Men's Institutions by Lockup Units and Classification Level of Mainline Population (1978-1984)	170
61.	Illinois Time-Series Analysis, Major Incidents (1979-1984)	171
62.	Illinois Time-Series Analysis, Escapes, Fatalities, Suicides (1977-1984)	173
63.	Illinois Total Disciplinary Rates by Institution	174
64.	Wisconsin Time-Series Analysis, Major Disciplinary Reports by Institution Per 100 Population (Monthly Averages)	177
65.	Wisconsin Time-Series Analysis, Major Incidents (1981-1984)	178
66.	California Daily Populations, Annual Incident Rates, and Design Capacities	179
67.	Illinois Daily Populations, Monthly Incident Rates, and Design Capacities	181

FOREWORD

As crowding in state and federal prisons has grown more severe and widespread, correctional practitioners have increasingly turned their attention to classification as a means of ameliorating this problem. Classification is currently viewed as a cornerstone not only in managing those offenders already imprisoned but also in planning construction or renovation of correctional facilities.

To maximize the classification process, many correctional agencies have developed objective classification systems, which employ standardized, written decision-making criteria. Most of these systems, however, have not been evaluated to determine their usefulness in managing prisoners and agency resources.

Because sound classification is essential to correctional management and planning, the National Institute of Justice awarded a grant to Correctional Services Group, Incorporated, to conduct a study that would assess objective prison classification systems: their development, implementation, and effectiveness. The overriding concern was to identify what objective approaches work, as well as which aspects of these approaches work best, in order to provide practical guidelines for agencies that are considering implementation of objective classification systems or contemplating revisions to their existing systems.

The report that follows presents both the findings of this study and a policy-relevant set of recommendations concerning the development, implementation, and revision of objective classification systems.

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Numerous individuals contributed to this evaluation. The project director wishes to recognize their efforts.

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Robert A. Buchanan
Project Director

EXECUTIVE SUMMARY

EXECUTIVE SUMMARY

Introduction

This study was conducted as part of a comprehensive effort by the National Institute of Justice to assist correctional administrators in dealing with prison crowding. Overpopulation and its consequences represent some of the most crucial problems facing corrections today, and prisoner classification is generally viewed as the cornerstone of any effective attempts to resolve these problems. With proper classification, only those inmates requiring high levels of security are placed in costly, tight custody facilities, while those evidencing less threat can be assigned to lower security institutions. Moreover, appropriate classification can assist in determining which inmates can be considered for early release or retention in the community with appropriate supervision and adequate safeguards. Finally, effective classification helps assure the safety of the public, agency staff, and prisoner population.

In recent years, a growing number of correctional agencies have adopted objective approaches to inmate classification. However, relatively little is known about these systems, particularly with regard to their effectiveness. This study was conducted, in part, to fill this informational gap--to obtain data about agencies' development and implementation processes, as well as their evaluation efforts. A second goal was to provide guidelines, drawn from the experiences of these agencies and from the expertise of correctional practitioners, to assist jurisdictions contemplating the initiation of objective prison classification systems or the revision of existing ones.

To obtain this information, it was necessary to identify those correctional agencies employing objective classification approaches. In response to a preliminary questionnaire that was distributed to the 50 states, the District of Columbia, and the Federal Prison System, 39 jurisdictions reported that they use objective classification systems; that is, systems characterized by features such as the employment of classification instruments validated for prison populations, distinctions between security (physical environment) and custody (supervision), assignment of inmates to security levels consistent with their behavior, and promotion of similar decisions among classification analysts on comparable offender cases. These agencies were then sent a more comprehensive survey, consisting of 70 questions, in order to acquire detailed information concerning their development, implementation, and evaluation activities. The data from the survey, in turn, were supplemented by interviews conducted during site visits to eight agencies that have implemented objective classification systems. These interviews also formed the basis for a series of case studies intended to provide background information for agencies considering development of objective systems. (These case studies are contained in Appendix E.)

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

Results of the National Survey

Survey responses were received from thirty-three of the thirty-nine agencies that had indicated they use objective approaches to classification. Agencies answered all or part of the survey, depending on the completion status of their respective systems. Their responses have been grouped according to three major sections in the survey--development, implementation, and evaluation--and are summarized below. Although the survey results highlight some important trends in objective classification, the reader should be careful not to overgeneralize more specific findings. Differing policies and procedures among agencies, together with the varying knowledge and perceptions of the staff responding, may preclude broad application of some findings.

Development Phase

Two factors were predominant among the reasons that agencies gave for altering their classification procedures: perceived overclassification by staff and court actions. While these were among the most commonly reported impetuses for change, respondents ranked direction from agency administration as the most influential factor.

In developing their objective systems, agencies used several approaches. The largest proportion, one-third, based their systems on the additive scoring model devised by the National Institute of Corrections. Another 33% reported that their systems had been developed internally, with some assistance from other agencies or consultants. The remaining agencies indicated that they had developed original systems on their own or that their systems had been designed primarily by consultants.

In general, agencies noted that supervisory and management staff were more supportive of their new systems during development than were line staff. This lack of support among line staff is thought to be due to their limited role in development activities.

Most of the survey respondents indicated that they had selected classification decision-making criteria that have been proven, or strongly suspected, to be predictors of behavior. Among the most prevalent criteria used in initial classification are escape history (cited by all respondents), detainers (94%), and prior commitments (90%). In reclassification, the most

frequently employed criteria are disciplinary violations (100% of respondents), time to release (85%), and institutional adjustment (82%).

Overrides are used by all but two of the responding agencies. Slightly more than 90% of the respondents stated that they require written justification for overrides, and approximately 80% also require supervisory approval. At the time of the survey, the number of estimated overrides per 100 decisions ranged from 3 to 45, with approximately half of the respondents citing 15 overrides or less.

In regard to management information systems, approximately 67% of the respondents reported that their operations were computer-assisted at the time of survey; only four agencies stated that their information systems were fully automated. Just over 60% also indicated that their classification processes had been incorporated into their MIS systems.

An important element of objective classification approaches is the analysis of institutional security and custody capabilities. This feature allows inmates to be placed in institutions commensurate with their levels of risk. Nearly three-fourths of the survey respondents reported that they had performed a security and custody rating of their correctional facilities, typically employing such criteria as number of towers, type of perimeter, and type of housing configuration.

Slightly more than 60% of the agencies responding to the survey stated that their objective classification systems include a component to assess inmate program needs such as medical and health care, mental health treatment, and academic education. These assessments enhance the ability of agency staff to match inmate needs with existing programs and services.

Survey respondents also reported several other applications of their objective classification systems. A small majority (58%) said that their systems were designed to identify new facility and renovation requirements; of these agencies, 53% had already employed their systems for this purpose. Use of the agency's classification system to provide for internal housing unit assignments was reported by 36% of the respondents.

A small proportion of the responding agencies (15%) said that their classification systems differ for males and females, generally because the agencies operate only one institution for women. In these jurisdictions, classification is used primarily to make internal assignments for female prisoners.

The timeframe for objective classification system development, according to survey respondents, ranged from just under three months to over forty-eight months, with the majority of jurisdictions completing development within twenty-four months.

The most common problems experienced during the development phase included insufficient time, funding, and expertise.

Implementation Phase

Only 52% of the responding agencies stated that they had pilot tested their new systems before implementation. As a result of this testing, agencies usually found it necessary to substantially modify their scoring instruments.

Approximately 84% of the respondents indicated that they had provided training in the use of their new systems prior to implementation. Training typically lasted between 8 and 16 hours and involved management, supervisory, and line staff.

Just over 58% of the respondents reported that they had prepared an implementation plan, including a detailed timetable. A majority of the jurisdictions implemented their objective systems in 12 months or less, with the greatest number taking between 3 and 6 months.

Among the most common implementation constraints encountered by survey respondents were staff resistance, insufficient training, and limited timeframe.

Evaluation Phase

Only three agencies--Kansas, New York, and Virginia--reported that their new classification systems had been formally evaluated, although nine indicated that evaluations were in progress at the time of the survey.

When asked to informally assess the effect of their new systems on agency operations, a slight majority of the respondents said that impacts had been perceived in the following areas: reduction in escapes/escape attempts, more balanced proportion of inmates at each security/custody level, and improvement in risk assessment.

• The most frequently cited weaknesses or problems associated with agencies' new systems included lack of automation, inappropriate placements due to crowding, and incomplete validation.

A majority of respondents indicated that they planned further evaluation and fine-tuning of their new systems. Many also indicated that, if funding were available, they would request assistance in evaluating their systems, integrating classification functions with their management information systems, and refining their systems for use with special management inmates.

Findings of the Effectiveness Evaluation

Comparative

The objective prison classification systems used by three agencies--California, Illinois, and Wisconsin--were also subjected to an in-depth effectiveness evaluation. Selection of these systems was based on the length of time they had been operational and the amount of classification and disciplinary data they had available. The evaluation involved analysis of the systems from three perspectives: their scoring instruments, their predictive validity, and their impact on inmate misconduct. The major findings of these three analyses are presented below.

Scoring Analysis

Each agency was found to utilize distinct criteria and scoring processes to make initial classification and reclassification decisions. However, all three agencies' initial classification instruments are driven principally by legal factors such as length of sentence, severity of current offense, and prior criminal history. Only Illinois uses a non-legal item (employment history) that significantly influences initial classification. Reclassification instruments rely primarily on items that reflect inmate misconduct since admission; for example, the number and severity of disciplinary tickets. California depends heavily on length of sentence in determining both initial and reclassification levels; Illinois and Wisconsin use more evenly distributed criteria for making these decisions.

All three systems have resulted in more inmates being assigned to minimum security levels at intake and reclassification. California's system, when compared to Illinois' and Wisconsin's, greatly restricts the movement of inmates from high security to lower security at reclassification, primarily due to its continuing emphasis on sentence length.

Each agency has also experienced a high override rate. Illinois and California have rates of 30%, while Wisconsin has overridden 50% of its classification decisions. Illinois' rate appears to result from staff upgrading medium security scores at initial classification. In California, the override rate is attributed chiefly to a lack of appropriate bed space due to crowding. Overrides in Wisconsin reflect staff attempts to consider sentence length and reconcile program and custody needs with the constraints imposed by existing bed space.

Validation Analysis

Scoring items used by the agencies for initial classification generally evidenced modest or non-existent correlations with prison misconduct. As in previous research, age was found to be the most consistent and powerful predictor of misconduct. However, only Illinois relies heavily upon age in classification decision-making. Despite the absence of strong predictive power in the individual items, the instruments as a whole do demonstrate a

capacity to classify according to risk: Inmates classified for maximum security have substantially higher misconduct rates, and minimum security have the lowest.

A great deal of disparity exists among the systems in terms of an item's power to determine an inmate's classification level versus its capability to predict behavior. This is especially true in California, where length of sentence heavily influences classification scoring but is a modest predictor of behavior.

Impact Analysis

In general, implementation of the agencies' objective systems has neither substantially reduced nor aggravated system-wide rates of misconduct. California and Illinois showed some indication of a leveling in their historic rates of misconduct. However, these rates have recently increased again, probably due to crowding and population change rather than classification practices. Escape rates have declined sharply in California since implementation of its new system; they have remained stable in Illinois and Wisconsin. Suicide and homicide rates have remained stable in all three jurisdictions. However, these incidents, like escape, are extremely rare events and difficult to relate to change in classification policies.

Conclusions

The findings of both the objective classification survey and the effectiveness evaluation yield much information of importance to correctional administrators and classification directors.

Despite limitations on their predictive qualities, objective prison classification systems have demonstrated benefits that warrant their continued development and use. For example, in those jurisdictions examined in the effectiveness evaluation, the proportion of inmates housed in lower security levels has increased without adversely affecting rates of prison misconduct, escapes, and fatalities. This finding could have profound consequences on facility expansion plans and staffing requirements in many jurisdictions. Objective systems have also demonstrated an enhanced capacity to monitor classification operations and inmate movement. Quantification of the decision-making process has translated into a more efficient correctional system whereby inmates' security needs tend to be matched more closely with agencies' resources. Moreover, manipulation of assignment by staff and inmates has generally been made more difficult under tightly monitored override procedures.

These benefits have typically been achieved through the prudent design and implementation of objective classification systems. In fact, the development and implementation approaches used appear to be just as important, or even more important, than the type of objective system devised. Agencies'

experiences suggest that several key considerations should be kept in mind during the development and implementation, or revision, of an objective classification system.

From the beginning, the agency director and other top level staff must be committed to the project. Their support will be needed to see it through to completion, and to defend against any attacks by those supportive of the previous system. Administrative staff should also determine the practical limitations that they will face, particularly in regard to budget, timeframe, and legal issues. Finally, since lack of expertise was a common problem among survey respondents, the administrator should select project staff who are sufficiently qualified and experienced to oversee design or revision activities. In some jurisdictions, it may also be necessary to supplement staff experience with consultant expertise; however, the agency should always retain control of project activities.

Another important consideration is the development of goals and objectives for the system. Early in the project, the agency needs to specify goals that identify the major areas to be addressed by the new system and objectives that explicitly describe the results to be achieved.

If the agency is developing a new classification system, it must also decide whether to design its own system or to adapt one that has proven effective in classifying offenders. Most survey respondents found that adapting an existing system was more efficient. In either case, the approach selected should address the agency's overall goals and objectives, as well as those for its classification system. In addition, the approach should coincide with the philosophy of its classification and security staff.

To ensure successful development or revision of its classification system, the agency should also prepare a practical plan for guiding its activities. Information obtained from survey respondents and case study subjects suggests, for instance, that at least twelve months should be allotted to developing a new system.

The agency should also be aware that despite the prevalence of certain initial classification criteria among survey respondents (e.g., escape history, detainers, and prior commitments), the effectiveness evaluation found that initial classification items have proved to be weak predictors of inmate conduct. Consequently, careful consideration should be given to the design or redesign of reclassification instruments that are independent of initial scoring criteria and rely heavily on measures of in-custody behavior.

Because implementation of a newly developed or revised classification system can be fraught with problems, the agency should prepare a well-thought-out plan for putting the system into operation.

One component of the implementation plan should be pilot testing of the system. Many survey respondents have found it useful to test their systems at one of their institutions or on a sample of their inmate populations prior to system-wide implementation. This testing enabled them to determine how well their instruments perform on their present populations, whether their systems address stated goals and objectives, and what modifications may be necessary before more extensive use is initiated. Numerous respondents, for example, found it necessary to revise their scoring instruments as the result of pilot testing.

Another important consideration is staff use of overrides, a practice that may be assessed during pilot testing. Unacceptable levels of overrides (i.e., typically exceeding 20%) pose a serious threat to objective classification systems. In general, these high override rates signal an unwillingness of staff to fully embrace the validity and utility of these new systems. Correctional officials need to re-examine the reasons for such overrides and make appropriate adjustments. If a particular override factor is constantly being invoked, then either it should be included as a formal criterion or adjustments should be made in the current item weight and/or classification scale.

Written policies and procedures are also necessary for effective implementation. Without such direction, staff may deviate from the structure of the system--to the detriment of the general public, other staff, and inmate population. These policies and procedures should be incorporated into a comprehensive manual that prescribes initial classification, reclassification, and central office classification practices for all institutions and populations. To avoid problems experienced by some survey respondents, this manual should be completed before training staff in system use.

Survey results indicate that training personnel at all levels is critical if staff are to adequately understand and use the agency's new system. For existing personnel, a minimum of 16 to 24 hours should be devoted to such topics as instrument use, information management, resource allocation, and program development decisions. Once the system is in place, training should be continued on both a pre-service and in-service basis.

Finally, correctional administrators are again cautioned to view this study and its findings as a preliminary step in enhancing the development and effectiveness of objective prison classification systems. Although numerous agencies have reported implementation of objective systems, only a handful have conducted rigorous evaluations. Indeed, an alarming trend among many agencies is merely to "buy" the most available and affordable system on the correctional market today. Most of these systems are untested or have been found to possess limitations in their designs or predictive efficiency. Those systems that have been evaluated will require substantial modification and may not be applicable with different inmate, staffing, and facility characteristics.

Consequently, one of the most pressing needs in prison classification today is to build upon this preliminary study. Jurisdictions that have embarked on objective classification must now initiate long-term efforts to conduct process and validation studies similar in design to this national study. Agencies should also begin developing a permanent in-house capacity that would allow them to routinely monitor, evaluate, and refine classification policy independent of federal financial resources.

STUDY OBJECTIVES AND METHODOLOGY

STUDY OBJECTIVES AND METHODOLOGY

Introduction

One of the most pressing problems confronting correctional agencies today is prison crowding. Overpopulation, however, is not the only issue, for its consequences also arouse concern about the security of institutions, health and safety of staff and inmates, adherence to due process, and compliance with court-mandated standards for care and control.

In response to the growing concerns of correctional practitioners, as well as those of governmental officials, the National Institute of Justice has designated efforts to deal with prison crowding as its number one priority. The study of classification is viewed as an essential component of this response because "the best classification systems will be needed to shape policy development regarding the expeditious allocation of inmates and the acquisition or construction of additional facilities."

Within this framework, the National Institute of Justice (NIJ) has identified four other issues that "lend added impetus to the need for improved classification systems":

- Increased cost of prison construction;
- Increased risk of violent inmate behavior;
- Limited bed space in maximum security facilities; and
- Decisions regarding parole release, early release, or assignment to special low risk programs.

The challenge in classification is determining not only what works, but what works best. As will be discussed in more detail in Section III, the National Institute of Corrections, the Federal Prison System, and several state agencies have developed objective classification systems. However, very few of these efforts have been evaluated, and classification remains on the threshold of fulfilling its potential.

Study Objectives

The primary goal of this study is to develop, according to the request for proposals, "a policy relevant set of findings for the implementation of classification systems that can allocate space efficiently and identify offenders for less costly levels of housing or other programs." To attain this goal, the following questions required investigation and resolution:

- As predictive instruments, how accurate are the new objective systems in assuring that inmates are appropriately placed for

security, custody assignment, and programming purposes on a cost-effective basis?

- What aspects of the various assignment programs are unusually successful and can they be built into a model for use by other correctional agencies?
- What are the technical and statistical problems involved in developing sound classification systems?
- What conditions or circumstances are necessary for the successful implementation of new classification systems?
- What kinds of situations present obstacles to the successful implementation of such programs?

Answers to these questions are important not only to agencies that have already implemented objective systems but also to jurisdictions that are considering their adoption. For others to implement objective systems, it is necessary to know how to go about developing or modifying a system to fit local needs, what kinds of conditions or situations must be avoided, and what kind of climate to strive for in order to implement the system successfully.

The following objectives were formulated to address the questions posed above:

- A description of classification policies and procedures utilized prior to the introduction of an objective classification system;
- A review of the individual agency motivations for development of an objective system;
- An examination of the new classification system development process employed by agencies included in the study;
- An assessment of the implementation strategies and obstacles encountered by agencies introducing an objective classification system;
- An analysis of the effectiveness of the new system, including impact on accurate security assignment (over- and underclassification), improved program availability and participation, and consistency of decision-making to include magnitude of override use;
- An evaluation of the new system's impact on the agency's prison construction planning process;

- A description of the role of the agency's Management Information System (MIS) with respect to classification system informational needs; and
- An assessment of the new system's impact on special prisoner populations, including female prisoners, death row inmates and special management (i.e., administrative segregation and protective custody) prisoners.

Study Methodology

In order to meet the study objectives listed above, five major activities were planned:

- Review of literature related to objective prison classification systems;
- Identification of agencies employing objective prison classification systems;
- Evaluation of objective prison classification system development;
- Evaluation of objective prison classification system implementation;
- Evaluation of objective prison classification system effectiveness.

Review of Literature Related to Objective Prison Classification Systems

Numerous studies and discussions related to objective classification have been published during the past decade.<1> This literature was reviewed and summarized in written form. The resultant summary, contained in Section III, provides the reader with an overview of objective classification and its role in corrections. In addition to describing the principal types of scoring scales, it examines five major objective classification models.

The literature review was specifically used to identify key content areas for developing survey questions. It also provided the foundation for the case study format presented in Appendix D.

Identification of Agencies Employing Objective Prison Classification Systems

At the outset of the project, it was known that five states had begun implementation of the NIC custody determination model in 1982 and that a number of other states had developed objective systems since then. In order to identify all of the agencies employing objective approaches, project staff

<1> A partial list of references is provided following Section VI.

designed a preliminary questionnaire to obtain information regarding the classification processes used by the fifty states, the District of Columbia, and the Federal Prison System.<1> The questionnaire was sent to agency directors, asking whether their systems were based on an objective approach; what types of scoring scales are used by their agencies, which areas of prisoner classification are addressed by their systems, and whether these systems have been implemented and evaluated.

The responses to this questionnaire yielded an unexpected finding: 39 agencies indicated that their classification systems were based on objective criteria, a much higher number than previously thought.<2> Of these agencies, 13 reported that they use an additive scoring scale, 5 stated that they employ a model based on independent variable analysis, and 5 said that they use a decision-tree scale, with the remaining respondents indicating that they had combined elements of these scales. Eleven agencies stated that their systems had been completely implemented, but only three said that their systems had been evaluated.

Administration of Objective Classification Survey Instrument

Project staff had originally intended to collect data pertaining to agencies' development and implementation activities via site visits to those jurisdictions using objective classification approaches. However, the unexpectedly large number of agencies with objective systems led staff to conclude that such a procedure would be prohibitively time-consuming and costly. Consequently, an alternative method for obtaining these data was devised. A comprehensive survey instrument was designed for administration to those agencies employing objective classification systems. The questions in this instrument were developed using the aforementioned literature survey, project goals and objectives, and prior surveys related to prison classification. The instrument was then reviewed by project consultants and by staff at the National Institute of Justice.

The survey instrument, composed of approximately 70 questions, was divided into four sections:

- I--Classification Background: Examined previous classification process and reasons for changing to an objective approach.
- II--Development Process: Sought information on agency goals, type of system developed, staff involvement, decision-making criteria, management information capabilities, overrides, inmate needs assessment, and problems encountered.

<1> A copy of this questionnaire is provided in Appendix A.

<2> Several other agencies--e.g., New Hampshire and New Mexico--indicated that they were in the preliminary planning stage of system development.

- III--Implementation Process: Covered staff involvement, timeframe, staff training, pilot testing, and constraints.
- IV--Evaluation Efforts: Inquired about formal evaluation, areas impacted by new system, modifications to system, and technical assistance needs.

The survey instrument, along with a cover letter, was then sent to each of the 39 agencies that had reported use of an objective classification approach.<1> The cover letter asked that the survey be completed by the agency's classification director and/or staff familiar with its classification system.

Since numerous jurisdictions did not return the survey by the date stated in the cover letter, project staff contacted these agencies by telephone, inquiring about their interest in participating in the study and, when needed, offering assistance and clarification. Most agencies indicated that their only problem was time to complete the survey, and all stated that they would return it by a second due date. However, many agencies were still unable to meet the new deadline, primarily due to competing demands for staff time and/or the departure of personnel who had played key roles in developing their objective systems.

In an effort to accommodate agencies that were experiencing difficulties in responding to the survey--and to obtain as much information as possible--two additional series of phone calls and extensions were made. Eventually, all but five of the agencies returned the survey instrument. One agency was unable to participate due to litigation involving classification, two had not finished the development phase, and two indicated they would not have sufficient time and/or staff to answer the survey.

Due to the varying statuses of jurisdictions' development and implementation efforts, not all of the respondents were able to complete the entire survey. The number of agencies responding to each section is provided below.

<u>Section</u>	<u>Number of Responding Agencies</u>
I (Background)	32
II (Development)	33
III (Implementation)	31
IV (Evaluation)	26

Agencies' responses were independently coded and tabulated by one project staff member in order to enhance reliability. In analyzing survey data, several problems were encountered. Some of these obstacles were eliminated by

<1> A copy of the survey instrument is provided in Appendix B.

contacting specific respondents; others proved unamenable to resolution. The most common, and serious, was confusion about "model prison classification system," a term used in the NIJ request for proposals. A few agencies reported using such an approach, but subsequent contacts by project staff did not substantiate these responses. A second, related problem resulted from agencies' attempts to identify the type of scoring scale they use. Some respondents did not distinguish between type and capability in regard to their systems and indicated, for example, that they employ predictive scales. However, in contrast to additive or decision-tree scales, which describe types of scoring approaches, predictive refers to the capability of a system to statistically demonstrate analytical power. A final obstacle involved respondents' knowledge of their systems' evolution. In some instances, these individuals did not participate in development and implementation activities and, consequently, could provide only limited information. Whenever project staff, based upon their expertise and experience, suspected that data were inaccurate, survey respondents were contacted to verify information that they had provided.

Site Visits

In order to obtain more specific information regarding the development and implementation of objective prison classification systems, project staff decided to follow through with some of the originally planned site visits. Based on available data, eight correctional agencies were selected for this purpose: California, Federal Prison System, Florida, Illinois, Kentucky, Missouri, New York, and Wisconsin. This sample was believed to be representative of the major types of existing objective classification approaches.

A written format was designed to guide interviews with agency staff and standardize the case studies that would be prepared following these interviews. Project staff subsequently visited each of the selected agencies, talking with staff who had played major roles in system development and implementation. The interviews were typically conducted by two-person teams and required approximately one day to complete.<1>

Detailed case studies based on information obtained from the interviews were then prepared for each agency. These studies address not only the development and implementation phases, but also such areas as the system's administration and management, cost, effectiveness, and use with special management inmates and agency planning.<2>

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- <1> Information regarding the Federal Prison System was compiled by a project consultant who was one of the co-developers of the FPS model.
<2> All eight case studies are contained in Appendix E.

Evaluation of Objective Prison Classification Systems Effectiveness

The final activity in this study was an examination of the impact of three agencies' objective systems on inmate classification and conduct. These agencies were selected on the basis of the following factors:

- Operation of an objective system for a period sufficient to conduct follow-up and time-series analysis;
- Existence of individual-based classification management information systems capable of tracking a cohort of prison admissions through a specified follow-up period; and
- Diversification of both classification process and inmate population.

The systems ultimately selected for inclusion in the effectiveness evaluation were those used by state correctional agencies in California, Illinois, and Wisconsin.

Three research designs were then employed on data collected from each of these three agencies to assess the effectiveness of their classification systems. The first design was a process analysis of classification decision-making. It was intended to enhance understanding of how the three systems functioned, thus providing information necessary to complete other aspects of the effectiveness evaluation. Classification data were compiled on a representative sample of new admissions to each agency and then subjected to regression analysis to determine the most powerful items in classification scoring. The process analysis also yielded information concerning the extent and nature of classification overrides and the movement of inmates through each system.

The second component of the effectiveness evaluation employed an inmate validation cohort design. Data were obtained on the items used to score the classification levels of a representative cohort of new admissions to each agency. Follow-up disciplinary data were also collected for the three cohorts in order to test the predictive value of each item in the agencies' classification instruments, as well as that of the overall instruments themselves.

In the third design, time-series analysis was used to determine if aggregate rates of inmate misconduct changed after introduction of the objective systems. Analysis focused on those measures believed to represent the most serious and less frequent incidents of misconduct--suicides, fatalities, and escapes.<1>

<1> The methodology used in the evaluation component is described in greater detail in Section V, Chapter 1.

Results of the Study

All of the information obtained during this study was carefully analyzed by project staff, and the results are presented in the pages that follow. These findings have been organized, according to project goals, into four sections: Section III, Overview of Objective Prison Classification; Section IV, Survey of Existing Objective Prison Classification Systems; Section V, Evaluation of Objective Prison Classification Systems Effectiveness; and Section VI, Guidelines for Developing, Implementing, and Revising Objective Prison Classification Systems. Survey instruments, case studies, and supporting documentation are presented in the appendices to this report.

It is important for the reader to understand that the information contained in this report is directed at correctional administrators and classification staff. Consequently, much of the terminology used is assumed to be familiar to the reader and is not defined. However, explanations are provided for statistical terms with which the reader may not be acquainted.

While this study is intended to provide practical assistance to agencies contemplating introduction or revision of an objective approach to classification, the reader should view its findings with caution. Data analysis has highlighted some trends in the development and implementation of objective classification systems, but these findings may not be equally applicable in all jurisdictions. For example, some agencies have found that objective systems have resulted in cost savings, primarily because they increase the number of inmates who can be safely housed in less expensive, lower security facilities. Yet this same reduction in the level of security assignments could lead to greater expenditures in jurisdictions with limited medium and minimum security bed space. Moreover, policies, procedures, and record keeping often vary from agency to agency. Thus, benefits reported by some agencies (e.g., reduction in disciplinary violations and more effective monitoring of classification decision-making) may be unique to those particular agencies. Above all, the reader should keep in mind that most objective classification systems have been operational for only a short time, making this study an important but preliminary step in their assessment.

AN OVERVIEW OF OBJECTIVE PRISON CLASSIFICATION

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AN OVERVIEW OF OBJECTIVE PRISON CLASSIFICATION

Introduction

In recent years there has been an unprecedented increase in the nation's prisoner population, as well as active judicial scrutiny of correctional systems, institutions, policies, and practices. Correctional agencies have faced state and federal litigation dealing with the totality of conditions imposed on incarcerated individuals. Courts have also questioned the bases for decisions affecting the placement of inmates and have demanded that correctional systems clearly identify criteria for facility, housing, job, and program assignments and uniformly apply these criteria to all prisoners. Agencies have countered that inadequacies in existing facilities and lack of other resources have thwarted attempts to improve correctional practices. This lack of resources can be linked not only to burgeoning populations but also to corrections' place in American history.

Historically, correctional systems were called upon simply to maintain offenders in settings that precluded interaction with the community. This philosophy resulted in correctional practice that established prisons far from population centers and, thus, away from public view. Prison labor was central to institutional functioning and provided the typical activity of inmates. Thus, little in the way of classification was needed since virtually all inmates were housed similarly and their time occupied in essentially the same manner. During these years, only the most rudimentary forms of inmate classification were used, based on such fundamental separations as men from women, adults from juveniles, and, occasionally, nuisance offenders from dangerous criminals. Prison conditions received little attention, and advocates of prison reform and program opportunities for inmates gained very limited public support.

The late nineteenth century brought experiments in educational and rehabilitative programming that flourished in the twentieth century as the psychological and sociological roots of crime were explored. Numerous theories regarding the causes of criminal behavior and the treatment efforts required to achieve correction were developed. Enthusiasm for the rehabilitation of offenders peaked in the 1960s and early 1970s and then eroded quickly as the public became increasingly frustrated with rising crime rates, gratuitous violence, and the perceived failure of many correctional programs. Many states passed new legislation increasing both the numbers of individuals sentenced to prison terms and the length of sentences for many offenses. Prison populations, already growing, rose dramatically, putting tremendous strain on antiquated facilities designed to do little more than house offenders.

In addition, litigation pertaining to classification procedures has become increasingly common in recent years. In Holt vs. Sarver, 300 F.Supp. 825 (1969), for example, the plaintiffs alleged that confinement in the Arkansas prison system amounted to cruel and unusual punishment. The court agreed and held for the first time that the totality of prison conditions did indeed violate the Constitution. This decision opened the door to active court involvement in prison reform.

A year later, a second Holt vs. Sarver (309 F.Supp. 362 [1970], aff'd 442 F.2d 304 [9th Cir. 1971]) suit alleged that confinement itself violated the Constitution. The judge again agreed, noting some worthwhile improvements, but holding that the system was still not operating at a constitutional level. The judge advocated that housing assignments be based on the needs of the population in order to reduce the levels of fear and violence within the institutions. This was another first, for even though the decision did not refer to classification per se, it established the principle of using a tool that is not a constitutional right itself as a means to alleviate unconstitutional conditions.

The first decision to order that a classification system be designed and implemented came out of the Federal District Court of Rhode Island in Morris vs. Travisono, 310 F.Supp. 857 (1970). The judge determined that a functioning classification system was the only method by which the inmates' claims of overcrowding and capricious assignments to a "behavior control unit" in the state prison could be alleviated.

In 1976, a case in Alabama (Pugh vs. Locke, 406 F.Supp. 318) yielded the most detailed orders regarding classification. As with Arkansas, the plaintiffs challenged the constitutionality of the entire system. Again, recognizing that even though classification was not a constitutional right, the decision served as a major means for elevating conditions to a standard acceptable under the Constitution. The judge ordered that the classification system be based on the needs of the inmates, and not merely on those of the institution or the larger system.

Thus, the present status of corrections in the United States includes increasingly crowded and dangerous institutions, a perceived public demand for harsh sentences, and the courts' view of prison conditions as so inadequate that they often violate constitutional rights to just and humane confinement.

One result of these countervailing pressures is a clear recognition of the need to allocate limited physical, program, and financial resources in a manner that best protects staff and inmates while meeting the primary correctional goal of public protection. Classification is now viewed as a major management tool, as well as a means for enhancing consistency and equity in decision-making. Recent federal court involvement in corrections has caused many agencies to "rethink" the relationship between classification and

management practices. The courts' recognition of the importance of classification to corrections management is best expressed in a case brought before the federal district court in Rhode Island, Palmigiano vs. Garrahy, 443 F.Supp. 956,965 (DRI 1977):

Classification is essential to the operation of an orderly and safe prison. It is a prerequisite for the rational allocation of whatever program opportunities exist within the institution. It enables the institution to gauge the proper custody level of an inmate, to identify the inmate's educational, vocational, and psychological needs, and to separate nonviolent inmates from the more predatory....Classification is also indispensable for any coherent future planning.

In short, inmates must be assigned to facilities appropriate to the degree of risk they present. To effect such assignments, well-developed methods of inmate assessment, applied consistently throughout the system, are required. In response to this need, objective systems of inmate classification have been developed in recent years. An objective classification system is one that meets, at a minimum, the following requirements:

- Assigns offenders to security classifications consistent with their background;
- Discriminates between security (physical environment) and custody (supervision) needs;
- Uses test and classification instruments that have been validated for prison populations;
- Contains the same components and scoring/classification approach for all offenders;
- Does not employ any factors or criteria that have been determined to be unconstitutional;
- Arrives at decisions based only upon application of factors shown to be related to placement decisions;
- Involves inmates and is readily understandable by both staff and offenders;
- Structures staff classification decision authority while minimizing overrides;
- Employs mandatory review dates;

- Is capable of systematic and efficient monitoring;
- Promotes similar decisions among individual classification analysts on comparable offender cases;
- Distinguishes those offenders who will present special management concerns; and
- Is capable of adapting to the changing needs of the inmate population and new laws and policies.

Principles of Correctional Classification

Just twenty years ago, prison classification was typically a fragmented, institution-specific approach that did little to benefit the agency, the inmate, or the public. Increasing prisoner populations in an era of diminishing correctional resources, coupled with a greater proportion of prisoners with serious criminal histories and vigorous court intervention, has created a need for efficient, effective, and consistent classification systems. Guidance in developing such systems has come from many fronts. Solomon, whose ideas were adopted by the National Institute of Corrections (NIC), has outlined fourteen principles considered mandatory for this process:

1. There must be a clear definition of goals and objectives of the total correctional system.
2. There must be detailed written procedures and policies governing the classification process.
3. The classification process must provide for the collection of complete, high-quality, verified, standardized data.
4. Measurement and testing instruments used in the classification decision-making process must be valid, reliable, and objective.
5. There must be explicit policy statements structuring and checking the discretionary decision-making powers of classification team staff.
6. There must be provision for screening and further evaluating prisoners who are management problems and those who have special needs.
7. There must be provisions to match offenders with programs; these provisions must be consistent with custody classification.

8. There must be provisions to classify prisoners at the least restrictive custody level.
9. There must be provisions to involve prisoners in the classification process.
10. There must be provisions for systematic, periodic reclassification hearings.
11. The classification process must be efficient and economically sound.
12. There must be provisions to continuously evaluate and improve the classification process.
13. Classification procedures must be consistent with constitutional requisites.
14. There must be an opportunity to gain input from administration and line staff when undertaking development of a classification system.<1>

The Role of Classification in Corrections

The role of a classification system in correctional decision-making mandates that specific operational standards be met. Megargee has identified such standards:

Classification systems must...

- be sufficiently complete so that most of the offenders or clients in the agency or setting can be classified;
- have clear operational definitions of the various types so that persons can be classified with a minimum of ambiguity;
- be reliable so that two different raters will arrive at the same classification of a given individual;
- be valid in the sense that the individuals falling within a given classification actually have the attributes they are hypothesized to possess;

<1> "Developing an Empirically Based Model for Classification Decision-making," Prison Law Monitor (March 1980).

- be dynamic so that changes in individuals will be reflected by changes in their classifications; and
- carry implications for treatment.<1>

Classification is the information system of corrections. To achieve its proper role, classification must be thoroughly integrated into everyday operations at the institutional level. Ideally, data collected during the classification process provide the bases for decisions regarding security, custody, housing, programs, and special needs. When aggregated, such information should guide facility and program planning. It can also be used to evaluate programs, policies, and procedures. Too often, classification systems result in facility placements and little else. All decisions within institutions--inmate housing, levels of supervision and observation, work assignments, programs assignments, etc.--are made outside the realm of classification. Thus, valuable information is not used to its full potential, and the consistency and validity of correctional decisions remain suspect.

Subsequent portions of this section provide a synopsis of research regarding indicators of prison behavior, outline methods of developing objective classification systems, and describe five major objective systems currently in use.

Prior Research Related to Prison Behavior

The principal goals of prison classification systems are to accurately identify inmates likely to engage in violent behavior, attempt escape, or present major disciplinary problems. To help assess the potential risks and needs of inmates, most correctional systems currently gather considerable information. This information often includes reviews of past behavior, both in the community and in institutions; personal characteristics such as age, marital status, and family history; clinical test results; and educational achievement test data. Prior research exploring the relationships between these factors and actual institutional behavior has produced some interesting and useful results.

Of all the demographic and social history variables analyzed, three have consistently been related to prison conduct: age, employment history, and

<1> Classifying Criminal Offenders: A New System Based on the MMPI (Beverly Hills, CA: Sage Publications, 1979).

marital status.<1> Younger inmates (generally under 30) constitute a greater management problem than older offenders; studies indicate that they receive significantly more disciplinary reports for both minor and major infractions. Inmates with some demonstrated stability in employment (usually defined as holding a job for a specified period of time) receive significantly fewer disciplinaries than inmates without histories of job stability. Finally, married inmates seem to adjust better than inmates who have never been married, although some theorists contend that age, not marital status, is the true indicator of prison behavior. There is undoubtedly an interrelationship between age and marital status.

Although both current offense and criminal history seem unrelated to overall measures of prison conduct (i.e., the number of disciplinary reports received), several studies have found that inmates convicted of violent offenses are more likely to be assaultive in prison. Other studies, however, report no relationship between offense and prison violence. Although few studies have examined prior institutional violence, those that have report high correlations with subsequent assaultive behavior.

Clinical test data, particularly the Minnesota Multiphasic Personality Inventory (MMPI), have demonstrated some capacity to discriminate between groups of offenders with different prison adjustment patterns.<2> Clinical tests, however, generally do not predict prison behavior any better than do combinations of social and criminal history items. Thus, as a classification device, psychological inventories are somewhat inefficient; they must be administered, scored, and interpreted--which can be costly in terms of both time and money. Such an investment does not appear to result in significantly more accurate classifications. However, the ability of such tests to assist with the diagnosis of psychological problems for selected inmates should not be discounted by corrections.

Research on the relationships of drug and alcohol abuse to prison behavior has produced mixed results. Little conclusive support of a direct relationship exists, but some important studies have found evidence of a three-way relationship between drug/alcohol abuse, age, and prison conduct. Younger inmates with substance abuse problems often have serious adjustment

<1> See, e.g., J. Monahan, Predicting Violent Behavior: An Assessment of Clinical Techniques (Beverly Hills, CA: Sage Publications, 1981); T. Flanagan, Long-term Prisoners: Analysis of Institutional Incidents, Working Paper No. 21 (Albany, NY: Criminal Justice Research Center, 1980); and D. Jaman, Behavior During the First Year in Prison, Report III, Background Characteristics As Predictors of Behavior and Misbehavior, Research Division, California Department of Corrections, 1972.

<2> Classifying Criminal Offenders: A New System Based on the MMPI (Beverly Hills, CA: Sage, 1979).

problems, while older substance abusers tend to create fewer problems than other inmates.<1> It is also important to note that statistical models developed to predict prison behavior frequently include alcohol and drug use as an indicator of prison misconduct.

Research also indicates that the most common criterion used to classify inmates--length of sentence--appears to be inversely related to prison behavior. Long-term inmates generally have better overall adjustment records than other prisoners.<2> Nevertheless, some long-term inmates, because of histories of violence, may require high levels of custody and security for extended periods of time.

Finally, most studies have found no appreciable relationship between academic achievement and prison conduct, although school disciplinary problems appear to be indicative of prison adjustment problems for younger inmates.<3>

However, significant differences in social and criminal history factors among groups of inmates differentiated by prison adjustment records do not readily translate into an ability to predict behavior for individuals. Probabilities established for groups of offenders are subject to unacceptable error rates when applied to individual cases. Thus, while patterns do emerge from research, prediction of individual behavior has met with little success. The value of prediction to corrections management is therefore limited. The inability to predict prison conduct accurately is reflected in the theory used to develop the NIC system.

In sum, despite serious limitations in the ability to predict behavior, research has produced some valuable information for those involved in classification. Basically, research has demonstrated that two types of data are related to subsequent prison conduct. First, stability measures such as employment history, age, and even marital status are clearly related to prison adjustment. Second, instances of past violent behavior appear to be the best indicators of future violence in prison. Although additional, more thorough research is needed, past assaultive behavior in jails or prisons appears to be a better predictor of institutional assaults than is community-based violence. Overall, the recency, frequency, and severity of past behavior is the best indicator of future behavior.

<1> See L. Meyer and G. Levy, "Description and Prediction of the Intractable Inmate," Journal of Research in Crime and Delinquency, 15:214-28; and T. Flanagan, Long-term Prisoners: Analysis of Institutional Incidents, Working Paper No. 21 (Albany, NY: Criminal Justice Research Center, 1980).

<2> Flanagan, Long-term Prisoners: Analysis of Institutional Incidents.

<3> C. Baird et al., "Classification of Juveniles in Corrections: A Model Systems Approach," unpublished report (Madison, WI: Isthmus Associates, 1984).

The role of prediction in the development of the objective classification systems described later in this section constitutes one of the major differences among these systems.

Methods Used to Develop Objective Classification Systems

Structured classification systems are generally developed either through consensus of key decision-makers within an agency or through a research effort designed to identify valid indicators of prison adjustment. The latter approach results in actuarial tables similar in intent and format to those used in other disciplines. Each of these approaches is described below.

Consensus-Based Models

A number of states have had to develop classification systems without the benefit of longitudinal data base. Without reliable descriptive and outcome data for testing the validity of predictive factors, developers have utilized consensus for establishing decision-making criteria. Using this method, experienced staff members work in committee to achieve consensus on factors that should govern classification decisions. However, unless prior research is used as the basis for considering potential classification factors, the validity of items selected remains questionable. In most instances, items are selected based on staff perceptions, not on demonstrated ability to differentiate among offender groups. Thus, many consensus-based systems contain a "hodgepodge" of factors--some invalid indicators of behavior and some with demonstrated relationship to behavior. Despite this drawback, such systems do, however, offer standardization and, at least, greatly enhance consistency in the classification decision process. In addition, since consensus-based systems are developed by the staff who will eventually use them, they engender a degree of ownership and acceptability that is often missing in the actuarial systems discussed below.

Recently, computer techniques have been introduced to assist in reaching consensus and in formatting a classification instrument. For example, Florida devised a classification system using a technique called Interpretive Structure Modeling (ISM). This process was later used by both Kansas and Iowa. (A more detailed description of ISM is presented in the case study of the Florida system found in Appendix E.)

Actuarial Models

Actuarial systems are based on the ability of a combination of factors to predict events. These models are statistically derived, often through the use

of various types of multivariate analyses. Used extensively in business and economic research, actuarial techniques have also been employed to develop predictive instruments for paroling authorities, probation and parole agencies, and prison classification offices. Many types of data, such as clinical test results and social and criminal history factors, can be used in actuarial prediction, but valid indicators cannot be isolated without the availability of a sufficiently large, representative, and reliable data base. Such data bases are not available in many correctional jurisdictions, which represents one drawback to the development of actuarial systems. If constructed on a small or unreliable data base, the resultant relationships may not be valid for the entire prison population.

Another weakness of actuarial prediction is that the techniques result in group statistics having very limited ability to predict the behavior of any given individual within the differentiated groups. Actuarial tables can indicate, for example, that an individual belongs to a group, 30% of which will adjust poorly to prison. The instrument, however, is unable to determine which individuals will fall into the 30% category.

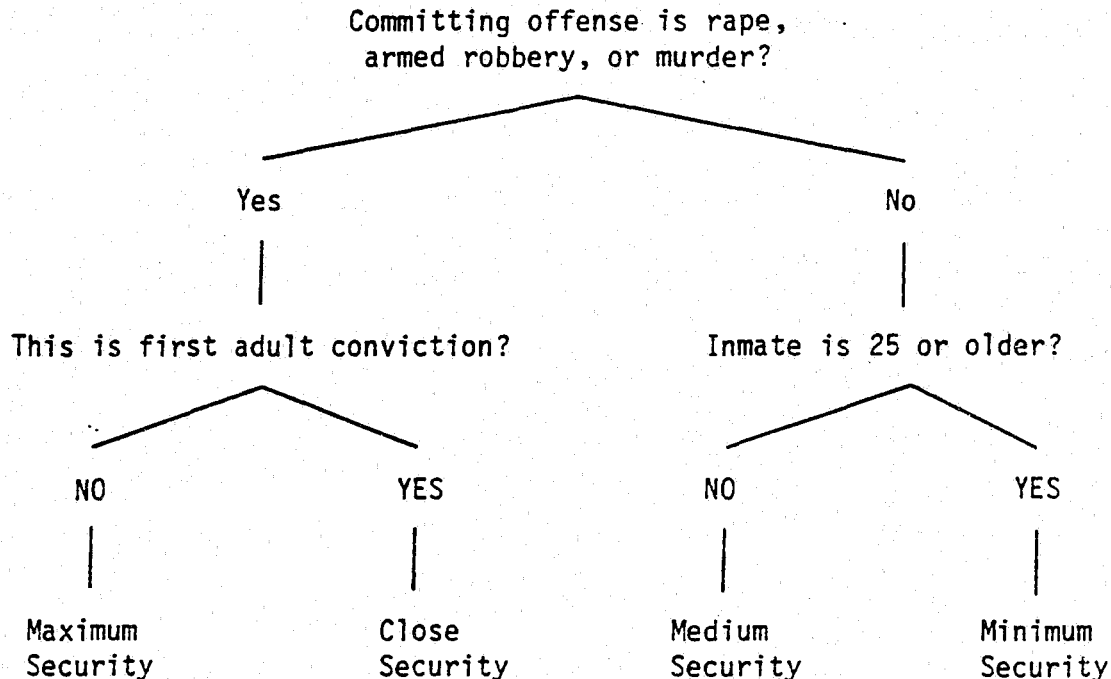
The main strength of actuarial systems is that they use accepted statistical techniques to select variables based on their relationships to actual outcomes. If carefully constructed, actuarial systems can often simplify the classification process by reducing the number and complexity of factors considered in security and custody decisions.

Classification Scale Formats

Objective classification systems commonly employ two types of scales: the decision tree and the additive scale.

The term "decision tree" aptly describes the branch-like format of these instruments. In such scales, the response to each question determines the next question asked. Decision trees can be developed using either consensus-building techniques or statistical analysis. The following example illustrates how these scales operate:

DECISION-TREE SCALE



The decision tree offers several advantages. First, in most instances, these scales are relatively easy to complete. Since no computations are required, mathematical errors are eliminated, thus enhancing interrater reliability. More significantly, different levels of custody or security can be based on different criteria. This allows higher level assignments to be based on potential for violence, while other criteria (e.g., escape potential and management problems) can be used to differentiate between medium and lower level placements.

Two significant disadvantages of the decision tree should also be noted. First, if incorrect information is obtained at any stage, subsequent responses to questions may be incorrect as well. For example, if the response to a question regarding a diagnosed psychological/psychiatric problem is positive, the inmate may receive a high security level placement. However, if the problem was misdiagnosed, a chain of incorrect decisions might begin, and the final security placement might not be warranted.

Second, and perhaps more important, these models have the potential for giving tremendous discriminatory power to a single variable. In the above illustration, for instance, only offenders convicted of rape, armed robbery, or murder can be placed in close or maximum security.

The additive approach to developing scales uses scores that are given for each variable. These are summed and a classification level is assigned based on the total. Like the decision-tree format, the additive scale can be developed through a variety of means, including statistical analyses and consensus-building techniques. The additive scale also overcomes the basic flaw of the decision tree since discriminating power is spread among many variables; often various combinations of factors can result in identical overall scores.

This scoring system is, at the same time, the primary drawback to the additive scale. All decisions stem from cutoff scores along one continuum. Unlike the decision tree, the additive model generally does not base different custody or security level decisions on different criteria. Looking back at the above diagram, for example, it is seen that maximum security is used only for very serious repeat offenders, while other criteria are used to decide between medium and minimum security.

Major Objective Prison Classification Models

Five objective classification system models have had the most significant impact on the field of correctional classification to date. The Federal Prison System's model, implemented in 1979, was the first of its kind and was emulated by numerous state systems. Likewise, the model developed by the National Institute of Corrections in 1982 has been adapted for use in several jurisdictions. Other agencies have developed classification models that borrow elements from these two models. Three other models--the decision-tree approach developed by Florida, the objective system designed by Illinois, and the Correctional Classification Profile--have also been adapted by other agencies. A brief description of each of these systems will introduce the reader to objective classification and lay the foundation for the remainder of this report.

The Federal Prison System Security Designation/Custody Classification System

The Federal Prison System (FPS) uses a standardized classification instrument to assess security needs and assist with facility assignments. The system distinguishes between inmate security (physical environment) and custody (supervision) needs at intake, with greater emphasis on custody at reclassification. The instrument was initially developed based on staff consensus, but has since undergone fairly extensive evaluations.

The scale used at intake (Figure 1) is essentially a security designation instrument incorporating the following factors:

- Type of detainer;
- Severity of offense;

INMATE LOAD DATA				1. REGISTER NO.	
2. LAST NAME		3. FIRST		4. MIDDLE	
5. SUFFIX		6. RACE		7. ETHNIC ORIGIN	
8. SEX		9. DATE OF BIRTH		10. OFFENSE(S)	
11. FBI NUMBER		12. HEIGHT FT IN		13. WEIGHT	
14. SOC. SEC. NO.		15. HAIR		16. EYES	
17. STATE OF BIRTH		18. OR COUNTRY OF BIRTH		19. CITIZENSHIP	
20. ADDRESS - STREET					
21. ADDRESS - CITY					
22. ADDRESS - STATE		23. ZIP CODE		24. OR FOREIGN COUNTRY	
25. REMARKS					
SECURITY DESIGNATION DATA					
IMPORTANT: Enter all CIM assignments in SENTRY before entering this portion of form.					
1. DESIGNATION LIMITATIONS		0 - NONE 1 - MISDEMEANOR		2 - NARA 3 - YCA	
3. USM OFFICE		4. JUDGE		5. RECOMMENDED FACILITY	
6. RECOMMENDED PROGRAM		7. TYPE OF DETAINER		8. SEVERITY OF CURRENT OFFENSE	
9. EXPECTED LENGTH OF INCARCERATION		10. TYPE OF PRIOR COMMITMENTS		11. HISTORY OF ESCAPES OR ATTEMPTS	
12. HISTORY OF VIOLENCE		13. PRE-COMMITMENT STATUS		14. VOLUNTARY SURRENDER DATE (MM-DD-YYYY)	
15. VOLUNTARY SURRENDER LOCATION		16. IF ELIGIBLE FOR SL-1, IS THERE ANY MEDICAL REASON THAT WOULD PRECLUDE DESIGNATING A CAMP?		17. REMARKS	

- Expected length of incarceration;
- Type of prior commitments;
- History of escape; and
- History of violence.

This scale is also used at reclassification (Figure 2), with the following factors added:

- Percentage of time served;
- Drug/alcohol abuse;
- Mental/psychological problems;
- Severity of disciplinary reports received;
- Frequency of disciplinary reports received;
- Responsibility demonstrated by inmate; and
- Family/community ties.

The FPS has specified six distinct levels of security and rated all institutions according to the following parameters:

- Perimeter (type);
- Towers (length of time manned);
- External patrol (presence and constancy);
- Detention devices (presence);
- Housing (single or multiple cells/rooms, dormitories);
- Internal security (sally ports, corridor grilles, etc.); and
- Level of staffing (ratio of inmates to total staffing).

Despite attempts to clearly delineate the concepts of custody and security in the federal system, some overlap persists; for example, the list of security factors includes level of staffing--a custody (supervision) consideration. This is probably a consequence of the interrelationships among functions within prisons and the fact that the mere presence of staff contributes to its security "tightness."

Problems have also been noted with the reclassification scale. It seems to mix custody and security concepts in a manner difficult to understand outside the context of the federal system. The decision-making process depends on an interaction between an inmate's security needs (Section A) and custody score (Section B). The higher the individual's security needs, the greater the magnitude of positive custody score points required for a recommendation to a less restrictive custody level. Transfers to less secure institutions depend on recommendations triggered when a prisoner qualifies for a custody level not available at the present facility. Program reviews are held every 90 days; however, custody reclassifications are scheduled in accord with the inmate's custody level--high custody prisoners are docketed annually, lower custody inmates are scheduled more frequently.

1. Institution		Code	2. Unit	3. Date Mo - Day - Yr
4. Name, Last		First	Initial	5. Register No.

1. TYPE OF DETAINER	0 = None 1 = Low/Low-Moderate	3 = Moderate 5 = High	7 = Greater			
2. SEVERITY OF CURRENT OFFENSE	0 = Low 1 = Low-Moderate	3 = Moderate 5 = High	7 = Greater			
3. PROJECTED LENGTH OF INCARCERATION	0 = 0 - 12 Months 1 = 13 - 39 Months	3 = 60 - 33 Months 5 = 34 Plus Months	7 = Number of months _____			
4. TYPE OF PRIOR COMMITMENTS	0 = None 1 = Minor	3 = Serious				
5. HISTORY OF ESCAPES OR ATTEMPTS	MINOR SERIOUS	None 0 0	15 yrs 1 4	10-15 yrs 1 5	5-10 yrs 2 6	5 yrs 3 7
6. HISTORY OF VIOLENCE	MINOR SERIOUS	None 0 0	15 yrs 1 4	10-15 yrs 1 5	5-10 yrs 2 6	5 yrs 3 7
7. PRE-COMMITMENT STATUS	0 = Not Applicable -1 = Own Recognition -4 = Voluntary Surrender					

1. PERCENTAGE OF TIME SERVED	3 = 0 thru 25% 4 = 26 thru 75%	5 = 76 thru 90% 6 = 91 plus %	
2. INVOLVEMENT WITH DRUGS & ALCOHOL	2 = Within past 5 years 3 = More than 5 years ago	4 = Never	
3. MENTAL/PSYCHOLOGICAL STABILITY	2 = Unfavorable 4 = No Referral or Favorable		
4. TYPE & NUMBER OF MOST SERIOUS DISCIPLINARY REPORT(S)	0 = Any Greater (100) within last 10 years 1 = More than one (200) within last 2 years 2A = Only one high (200) within last 2 years 2B = More than one moderate (100) within last year	1a = Only one moderate (100) within last year 1b = More than one low/moderate (400) within last year 4 = Only one low/moderate (400) within last year 5 = None	
5. FREQUENCY OF DISCIPLINARY REPORT(S) WITHIN LAST YR	0 = 6 Plus 1 = 2 thru 5	2 = 1 3 = None	
6. RESPONSIBILITY INMATE HAS DEMONSTRATED	0 = Poor 2 = Average	4 = Good	
7. FAMILY/COMMUNITY TIES	3 = None or Minimal 4 = Average or Good		

		CUSTODY TOTAL (Sec. B, Item 3)																				
		10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
6 - 9 yrs.		-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	-1	-2	-3	-4	-5	-6	-7	-8
7 - 9 yrs.		-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	-1	-2	-3	-4	-5	-6	-7
10 - 13 yrs.		-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	0	-1	-2	-3	-4	-5	-6
14 - 22 yrs.		-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	0	0	0	-1	-2	-3	-4
23 - 27 yrs.		-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	0	0	0	0	-1	-2	-3
28 - 36 yrs.		-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	0	0	0	0	-1	-2	-3

III. SECURITY LEVEL	1 = 0 - 4 pts.	3 = 10 - 13 pts.	5 = 23 - 27 pts.
	2 = 5 - 9 pts. <td>4 = 14 - 17 pts. <td>6 = 30 - 36 pts. </td></td>	4 = 14 - 17 pts. <td>6 = 30 - 36 pts. </td>	6 = 30 - 36 pts.

1f Currency Variance Score (Sec. 3, Item 9) is in the plus (+) range, consider a currency increase.
1f Currency Variance Score (Sec. 3, Item 9) is in the minus (-) range, a currency decrease may be considered.
1f Currency Variance Score (Sec. 3, Item 9) is Zero (0), present currency should continue.

1. TYPE OF REVIEW: EXCEPTION _____ : _____ REGULAR _____

2. CURRENT CUSTODY: MAX _____ : IN _____ : OUT _____ : COMM _____

3. NEW CUSTODY: MAX _____ : IN _____ : OUT _____ : COMM _____

4. ACTION: APPROVE _____ : DISAPPROVE _____

5. DATE OF NEXT REVIEW: _____

6. CHAIRPERSON'S NAME AND SIGNATURE _____

7. FOR EXCEPTION REVIEW
NAME (Written or Designated) AND SIGNATURE _____

8. _____

9. REY OF FINAL ACTION: LEVEL _____ : _____ CUSTODY _____

Like most state models, the federal model has not undergone a comprehensive validation analysis. However, the Federal Prison System has begun a major validation study, which should be completed by the winter of 1985.<1> It has also conducted a number of important preliminary studies that provide some indications of the overall effectiveness of its classification system.

The first set of preliminary results was published by Levinson, who also was a principal architect of the federal model. Relying upon data gathered from a select number of institutions and inmate populations, Levinson found that both escape and assault rates had remained unchanged or decreased six months after the adoption of the new system despite a greater concentration of inmates in low security facilities. Better balance was achieved by "spreading out" concentrated populations of either white or black inmates to other facilities. Similarly, the number of transfers among facilities was curtailed, and the ability of wardens to execute informal transfers for preferential treatment was eliminated. Most interesting, Levinson claims that the new system forced a change in plans to build a level 6 (maximum security) facility since classification scores suggested a more important need for minimum security beds. Only in the area of reducing the number of inmates seeking protective custody did the system fail to have any positive impact.<2>

Kane and Saylor completed a series of more rigorous studies to determine the capability of each item on the security designation form to predict inmate behavior, as well as the predictive quality of the total score. In this study, the criterion variable of inmate behavior was separated into two conceptual categories: management problems and severity of misconduct. Analysis was based upon a sample of completed classification forms and merged with other disciplinary/escape data for inmates admitted to the Federal Prison System in 1980.

The major results of Kane and Saylor's analysis were:

1. The total score generated by the Security Designation Form is predictive of all measures of both management problems and severity of misconduct.
2. All specific items used on the Security Designation Forms do not always predict all measures of both management problems and severity of misconduct.

<1> Persons interested in obtaining these findings may contact the Research Division, Federal Prison System.

<2> "Security Designation System: Preliminary Results," Federal Probation (September 1980), pp. 26-30.

3. The most consistent predictors of management problems, excluding escapes, are:
 - Prior commitments
 - Violence history
4. The best predictors of escape are:
 - Current offense
 - Escape history
5. The most consistent predictors of the severity of misconduct are:
 - Current offense
 - Escape history
 - Violence history<1>

The federal system has been adopted by several states, including Alaska, Ohio, South Carolina, and Hawaii. Overall, it represents a systematic approach to offender assessment and has proven a valuable management tool for the Federal Prison System.<2>

The National Institute of Corrections Custody Determination Model

The classification system developed by the National Institute of Corrections (NIC) in 1982 is unique in several respects. The system was developed with input from correctional administrators, researchers from both correctional and university settings, private consultants, and attorneys from the American Civil Liberties Union's National Prison Project. NIC's intent was to achieve a balanced view of classification and devise a system that was well grounded in research, met the operational requirements of correctional officials, and would withstand even the most rigorous tests of the courts.

The NIC approach also recognizes classification as the management system of corrections. Thus, it is far more comprehensive than other systems, incorporating custody and needs assessment, program monitoring and assessment, reclassification, and a management information system into a single package.

Like the FPS model, the NIC approach attempts to delineate custody and security issues. Definitions of each incorporate standards set by the

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- <1> Security Designation: A Validation Study. Monograph, Federal Prison System, 1983.
- <2> The FPS classification approach is discussed in greater detail in Appendix E.

American Correctional Association, the American Bar Association, and relevant court decisions. In the NIC model, security is defined as physical (architectural or environmental) constraints and custody as the degree of staff supervision provided. Inmates are classified according to custody needs and assigned to institutions where the security rating is equal to or above the custody classification.

The distinction between custody and security recognizes that while a given inmate may pose a significant threat to the community, resulting in the need for close security, his or her behavior during confinement may be sufficiently non-dangerous as to allow for reduced supervision. This seemingly simple differentiation has allowed several correctional systems increased flexibility in using available resources. Clearly, maintaining inmates at excessive custody represents a waste of supervisory resources within security levels and may contribute to undue stress on staff and inmates alike.

The National Institute of Corrections also recognized the limitations involved in predicting inmate behavior and grounded scale development on two assumptions:

- Custody decisions should be based, to the extent possible, on actual past relevant behavior. The frequency, recency, and severity of past behavior is the best indicator of future similar behavior. At intake, however, it may be necessary to consider other variables demonstrated to be correlated with institutional adjustment (such as age, employment history, etc.), but these should be replaced at reclassification by measures of actual institutional behavior (e.g., disciplinary reports).
- Inmates should be classified to the least restrictive custody required to protect society, staff, and other inmates. Therefore, maximum custody placements should be reserved for inmates who have demonstrated through past violent behavior that they are a serious threat to other inmates or staff. The highest level assigned at the initial classification should be close custody (with specific exceptions such as protective custody cases, temporary assignments for pending investigations, etc.). The decision to place an inmate in close custody should be based on past assaultive behavior and history of escape attempts.

Thus, although the initial classification scale (Figure 3) relies on available research and is somewhat predictive in nature, the reclassification instrument (Figure 4) is based entirely on actual past behavior with considerable emphasis on institutional adjustment. The system, consequently, assumes a "just desserts" approach to classification: inmates who present few disciplinary problems move to lower custody levels, while those who adjust poorly remain at or move to higher levels.

Figure 4
INMATE RECLASSIFICATION
CUSTODY

NAME	Last First MI	NUMBER	/ /
CASEWORKER		DATE	/ /

1. HISTORY OF INSTITUTIONAL VIOLENCE (Jail or Prison, code most serious within last five years)	score	
None	0	
Assault and battery not involving use of a weapon or resulting in serious injury	3	
Assault and battery involving use of a weapon and/or resulting in serious injury or death	7	
2. Did above assault occur within last six months?	score	
Yes	3	
No	0	
3. SEVERITY OF CURRENT OFFENSE (Refer to the Severity of Offense Scale on back of form. Score the most serious offense if there are multiple convictions.)	score	
Low or Moderate	0	
Moderate	1	
High	3	
Highest	4	
4. PRIOR ASSAULTIVE OFFENSE HISTORY (Score the most severe in inmate's history. Refer to the Severity of Offense Scale on back of form.)	score	
None, Low, or Low Moderate	0	
Moderate	1	
High	3	
Highest	4	
SCHEDULE A SCORE (Add items 1 through 4) (If score is 10 or over, use Schedule A for appropriate custody assignment. If score is under 10, complete the remainder of the scale and use Schedule B.)		
5. ESCAPE HISTORY (Rate last 3 years of incarceration.)	score	
No escapes or attempts	-3	
An escape or attempt from minimum or below custody, no actual or threatened violence:		
Over 1 year ago	-1	
Within the last year	1	
An escape or attempt from medium or above confinement, or an escape from minimum or below custody with actual or threatened violence		
Over 1 year ago	5	
Within the last year	7	
6. NUMBER OF DISCIPLINARY REPORTS	score	
None in last 13-18 months	-5	
None in last 7-12 months	-3	
None in last 6 months	-1	
One in last 6 months	0	
Two or more in last 6 months	4	
7. MOST SEVERE DISCIPLINARY REPORT RECEIVED (Last 18 months)	score	
None	0	
Low Moderate	1	
Moderate	2	
High	5	
Highest	7	
8. CURRENT DETAINER	score	
None, or prosecution/extradition not indicated	0	
Misdemeanor - extradition/prosecution indicated	3	
Felony - extradition/prosecution indicated	5	
9. PRIOR FELONY CONVICTIONS	score	
None	0	
One	2	
Two or more	4	
SCHEDULE B SCORE (Add items 1 through 9)		
TOTAL SCORE		

The format of the NIC instrument is somewhat unique. It attempts to incorporate the strengths of both the decision tree--different custody level assignments are based on different criteria--and the additive model--decisions are not unduly influenced by a single variable. As a result, only inmates with histories of violence are assigned to close and maximum custody. This was accomplished while maintaining a simple format that requires no mathematical operations other than summing for a score.

The NIC model also contains a standard needs assessment (Figure 5) and suggests a means for incorporating the classification data into an agency's automated information system. Some states have expanded the needs assessment instrument for use in data collection and case planning. The data collection process recommended is simple and efficient, and it allows for routine monitoring of decisions and evaluation of programs, policies, and procedures.

The NIC classification model has been implemented in Colorado, Kentucky, Tennessee, Vermont, Virginia, and Wisconsin. Each state has introduced some minor modifications, but, overall, the system has been well received by both staff and inmates. Perceived benefits include greater consistency in classification decisions, more appropriate classification decisions, greater accountability with decisions based on standard policies and procedures, ability to use limited resources more efficiently, and availability of better data for planning, evaluation, and monitoring.

Problems encountered with the NIC instruments have led to the modifications mentioned previously. Several states, for instance, found that use of the scales often moved inmates too quickly to lower custody levels. To correct this problem, these states increased weights given specific items and/or raised cutoff points for each custody level. Virginia also added a sentence length variable to the scale. Addressing this issue in a different manner, Vermont developed a policy grid that makes placements dependent on both time to release and the custody score. A copy of this matrix is presented in Figure 6.

The Correctional Classification Profile

The Correctional Classification Profile (CCP) is an objective classification model designed to match an inmate's needs with an agency's capabilities and resources. The CCP determines this match on the basis of independent analysis of nine needs factors: public risk (security), institutional risk (custody), medical and health care, mental health care, education, vocational training, work skills, and substance abuse.

In assessing public risk, agency staff are attempting to determine an inmate's actual security needs; that is, the type of institutional environment an inmate should be assigned to. This determination can be made, for example, by utilizing the security section of the Federal Bureau of Prisons

Figure 5
INITIAL INMATE CLASSIFICATION
ASSESSMENT OF NEEDS

NAME _____
Last First MI

NUMBER _____

CLASSIFICATION CHAIRMAN _____

DATE ____ / ____ / ____

TEST SCORES:

I.Q. _____

Reading _____

Math _____

NEEDS ASSESSMENT: Select the answer which best describes the inmate.

HEALTH:

- | | | |
|-------------------------------------|--|--|
| 1 Sound physical health, seldom ill | 2 Handicap or illness which interferes with functioning on a recurring basis | 3 Serious handicap or chronic illness, needs frequent medical care |
|-------------------------------------|--|--|

code _____

INTELLECTUAL ABILITY:

- | | | |
|---|--|--|
| 1 Normal intellectual ability, able to function independently | 2 Mild retardation, some need for assistance | 3 Moderate retardation, independent functioning severely limited |
|---|--|--|

code _____

BEHAVIORAL/EMOTIONAL PROBLEMS:

- | | | |
|--|--|---|
| 1 Exhibits appropriate emotional responses | 2 Symptoms limit adequate functioning, requires counseling, may require medication | 3 Symptoms prohibit adequate functioning, requires significant intervention, may require medication or separate housing |
|--|--|---|

code _____

ALCOHOL ABUSE:

- | | | |
|----------------------|--|---|
| 1 No alcohol problem | 2 Occasional abuse, some disruption of functioning | 3 Frequent abuse, serious disruption, needs treatment |
|----------------------|--|---|

code _____

DRUG ABUSE:

- | | | |
|-------------------|--|---|
| 1 No drug problem | 2 Occasional abuse, some disruption of functioning | 3 Frequent abuse, serious disruption, needs treatment |
|-------------------|--|---|

code _____

EDUCATIONAL STATUS:

- | | | |
|----------------------------------|---|--|
| 1 Has high school diploma or GED | 2 Some deficits, but potential for high school diploma or GED | 3 Major deficits in math and/or reading, needs remedial programs |
|----------------------------------|---|--|

code _____

VOCATIONAL STATUS:

- | | | |
|--|--|--|
| 1 Has sufficient skills to obtain and hold satisfactory employment | 2 Minimal skill level, needs enhancement | 3 Virtually unemployable, needs training |
|--|--|--|

code _____

Figure 6

ADMINISTRATIVE RULESSentence Structure

(a)

Custody Classification Instrument	Time to Serve to Minimum Release Date	Custody Placement
Community	0 - 6 Months 6 - 9 Months More than 9 Months to Less than 5 Years, Over-Ride to More than 5 Years to Less than 12 Years, Over-Ride to More than 12 Years*	Community Minimum Regional Minimum Central Medium Central Out of State (Recommendation)
Minimum	0 - 9 Months More than 9 Months to 5 Years More than 5 Years to Less than 12 Years, Over-Ride to More than 12 Years*	Minimum Regional Minimum Central Medium Central Out of State (Recommendation)
Medium	0 - 15 Months More than 15 Months to Less than 12 Years More than 12 Years and Up, Over-Ride to	Medium Regional Medium Central Out of State (Recommendation)
Close	Less than 15 Months More than 15 Months	Close Regional (2 X 30 Days) Close Central (2 X 6 Months) Over-Ride to Then Out of State Recommendation
Maximum	Less than 6 Months More than 6 Months	Close Regional (2 X 30) Out of State (Recommendation)

* Inmates with more than 12 years to serve (with good time), regardless of custody level, should be considered for an out of state hearing.

classification instrument or the corresponding section of one of the other major models. Similarly, staff may use any objective instrument to determine institutional risk, or the extent to which an inmate will be a management problem while confined.

While public and institutional risk needs can be derived using a variety of objective classification models, Correctional Services Group, Inc., has developed another approach, which it believes most accurately represents the classification thought processes of the majority of classification personnel. This approach is based upon an independent assessment of each variable considered important in determining an inmate's public and institutional risk needs. For example, there are generally nine or ten factors used to assess an inmate's security level: severity of violence in the current offense, escape history, violence history, confinement history, detainer status, substance abuse history, nature of the current offense, use of a weapon in the current offense, and anticipated length of stay. Each factor is analyzed independently of the other factors and assigned a weighting, normally on a scale of 1 to 5. The factor or factors receiving the highest scaled value are used to determine an inmate's public risk level. For example, should classification staff assess an inmate's violence history at level 4, the public risk level score would be 4, even though all other factors may receive a lower point value. The same outcome would have resulted had all or a majority of the factors received a score of 4. The rationale for this approach is that a low rating in many factors does not outweigh the degree of risk an inmate could pose based upon, in this example, an extensive history of violence that indicates substantial security concerns.

The institutional risk score is derived in the same fashion, although different factors are generally employed. These factors include prior institutional adjustment, protective segregation history, stability in the community, inmate cooperativeness during the initial classification process, adjustment on probation and parole, mental health adjustment, age at initial classification, and gang affiliation.

While the Correctional Classification Profile acknowledges the importance of an inmate's potential risk to the public and institution, it also recognizes two other factors that may supersede security and custody in determining placements: medical and health care needs and mental health care needs. These needs are particularly important in classification when either or both are so serious as to warrant assignment to a setting not commensurate with an inmate's security and custody needs.

A visual profile of the CCP scoring mechanism is presented on a grid incorporating the nine factors listed above (Figure 7). The profile is read from left to right, and the scoring or need levels are listed vertically from high to low. Each level is cross-correlated with the capabilities of an agency's institutions so that an inmate's outstanding needs can be efficiently matched with available resources. Several correctional agencies have

Factor	Medical Needs	Public Risk Needs	Institutional Risk Needs	Mental Health Needs	Educational Needs	Vocational Needs	Work Skills	Drugs and Alcohol Needs
Code	M	P	I	MH	E	V	W	D
CCP Score	5	5	5	5	5	5	5	5
	4	4	4	4	4	4	4	4
	3	3	3	3	3	3	3	3
	2	2	2	2	2	2	2	2
	1	1	1	1	1	1	1	1

Figure 7
The Correctional Classification Profile

automated the matching process. This capability has proved especially useful in jurisdictions with numerous facilities and varied resources.

No formal evaluations of the CCP have yet been conducted. However, some agencies employing this model report high rates of interrater reliability and enhanced ability to place offenders in the least restrictive environment required to protect the public, staff, and other inmates.

Other advantages of the Correctional Classification Profile include:

- Easy and efficient utilization since no computation is required;
- Adjustment capabilities, including individual factor weightings, that enable the instrument to reflect changing demands on the correctional system;
- More accurate monitoring of classification decision-making; and
- Concrete data that can be used in designing new facilities and programs or identifying problems and issues.

The CCP has been adapted for use in Arkansas, Arizona, Georgia, Missouri, New Hampshire, Pennsylvania, and West Virginia.<1>

Florida Uniform System of Inmate Custody Classification

In response to a legislative mandate, the Florida Department of Corrections developed a classification system based, in large part, on a review of past practices. In examining problems with the existing system, a study committee found that classification decisions were subjective, based largely on the values, biases, and experiences of the individuals involved. Standardized guidelines were lacking, and the quality of inmate information available at the time of classification varied significantly. The study committee considered the former system valuable in that it utilized the judgement and experience of trained professionals in a manner that responded to the needs of individual offenders. In fact, in designing the new classification system, Florida staff intended simply to identify factors used in the old process and place them in a more objective framework.

Before using a computerized consensus-building approach, Interpretive Structure Modeling (ISM), the Florida task force developed a list of criteria considered important to classification decisions. ISM was then used to rank the criteria based on their relative importance. Using this technique, the

<1> A discussion of Missouri's adaptation of the CCP is presented in Appendix E.

criteria were further ranked into a logic diagram or "decision tree," which maps the classification decision-making process for each inmate. Weights were assigned to the various criteria, forming a continuous scale from zero (most minimum) to 100 (closest) security. In the resultant system, excerpted in Figures 8 and 9, factors considered most important to classification are assessed first, with all related sub-elements considered systematically until enough is known about the inmate to make classification possible. Security assignments of close, medium, and minimum are made at appropriate levels of the logic chart.

The new system succeeded in providing a standardized procedure that maintained the perceived benefits of the former system. Although application of the computerized ISM technique may have added structure and speed to the development effort, the result is a consensus-based model having the same drawbacks as other consensus systems. ISM established the internal logic of the system and produced the decision tree, but the elements within the system are based on staff perceptions and are not necessarily valid indicators of prison adjustment. Although agreement was achieved regarding relationships and relative significance of factors, the issue of validity was not addressed. Furthermore, the validity of the system will be difficult to assess since classification decisions are based on different criteria for different inmates. In fact, in some instances, security decisions are made on the basis of a single factor rather than a number of relevant variables. In other instances, many factors may be considered. Overall, the Florida decision tree is exceptionally complex since a large number of factors can be considered in the classification of inmates.

The Florida system reportedly has been well received by staff and inmates. It is perceived as identifying appropriate security levels, as well as offering incentives to inmates. The system differentiates between security and custody in one institution only, but does call for progress reports and possible reclassification every six months. The Florida classification model has been adapted by state correctional agencies in Iowa and Kansas.<1>

Illinois Adult Institution Classification System

The Illinois Department of Corrections classification system is an actuarial model developed using standard research techniques. The goal during development was to identify factors related to both dangerousness and adjustment in prison. In planning the study, researchers selected documented prison behavior (disciplinary reports) as the outcome against which potentially predictive variables were measured. The result of this research is an additive classification scale for determining security assignments.

<1> The Florida model is addressed in greater detail in Appendix E.

Figure 8

FLORIDA DEPARTMENT OF CORRECTIONS
INITIAL INMATE CLASSIFICATION QUESTIONNAIRE

SECTION I: Using a #2 pencil, black in the center of each circle on the score sheet corresponding to a true statement about the inmate being classified. Add the points for each marked circle to obtain a total score for items 1 through 5.

1. The inmate has been diagnosed by professional staff as:
 - a) Psychotic and not in a state of remission
 - b) Psychotic, but in a state of remission
2. The inmate is under sentence of death
3. The inmate received a life sentence with one or more 25 year mandatory requirements
4. The inmate has escaped during the last five years:
 - a) From a major institution, road prison, or vocational center/close custody at the time of escape
 - b) From close custody non-D.C. facility (i.e., jail)
 - c) From a major institution, road prison or vocational center/medium custody at the time of escape
 - d) From an other D.C. or non-D.C. facility/medium custody at the time of escape
 - e) From a major institution, road prison, or vocational center/minimum custody at the time of escape
 - f) From a C.C.C.
 - g) From an other D.C. or non-D.C. facility/minimum custody at the time of escape

If no entry was made in item 4, skip item #5, compute Section I score and GO ON TO ITEM 6.

5. The inmate escaped during the last five years with a modus operandi that involved:
 - a) Violence against D.C. staff
 - b) Taking a hostage of D.C. staff
 - c) Weapons
 - d) Violence against a private citizen
 - e) Taking as a hostage a private citizen
 - f) An organized plan
 - g) Assistance by D.C. staff
 - h) Assistance by a private citizen (accomplice)

THE POINT TOTAL FOR ITEMS 1 THROUGH 5 IS _____.

If the point total is greater than 10, place a "10" in the box. If the point total is less than 10, place the point value in the box indicating the score for Section I.

SECTION II: Continue to black in each circle at the beginning of a true statement about the inmate. Add the points for each marked circle to obtain a total score for items 6 through 14.

6. The inmate's primary offense of his/her current commitment is:

- a) Murder, 1st degree
- b) Murder, 2nd degree
- c) Manslaughter
- d) Arson
- e) Sexual Battery/Forcible Rape
- f) Robbery
- g) Aggravated Assault
- h) Armed Burglary
- i) Child Molesting
- j) Escape
- k) Riot
- l) Strike in Correctional Institution
- m) Kidnapping
- n) Mayhem
- o) Terrorist/Bombing Acts
- p) Possession Weapon in Prison
- q) Assault w/Intent to Kill
- r) Shooting into a Building
- s) Cruelty to Children
- t) Possession of Explosives
- u) Resisting an Officer
- v) Murder, 3rd Degree
- w) Other Violent Offenses
- x) Unarmed Burglary
- y) Larceny
- z) Auto Theft
- aa) Forgery
- bb) Narcotics
- cc) Incest
- dd) Aggravated Battery
- ee) Breaking and Entering
- ff) Possession of a Concealed Weapon
- gg) Manslaughter, Auto
- hh) Other Non-Violent Crimes

Figure 9

FLORIDA DEPARTMENT OF CORRECTIONS

INMATE CUSTODY RECLASSIFICATION QUESTIONNAIRE

SECTION 1 Using a No. 2 pencil, blacken the circle on the score sheet corresponding to a true statement about the inmate being reclassified. Add the points for each marked circle to obtain a total score for items 1 through 5.

1. The inmate has been diagnosed by professional staff as:
 - a. Actively psychotic (not in a state of remission).
 - b. Psychotic, but in a state of remission.
2. The inmate is under sentence of death.
3. The inmate received a life sentence with one or more 25 year mandatory requirements or has received any mandatory term exceeding 25 years and has served less than 40% of the total mandatory requirement.
4. The inmate escaped or was involved in an escape attempt during the last five years:
 - a. From a major institution, road prison or vocational center/close custody at time of escape.
 - b. From a close custody non-DC facility (i.e. jail)
 - c. From a major institution, road prison, or vocational center/medium custody at the time of escape.
 - d. From other DC or non-DC facility/medium custody at the time of escape.
 - e. From a major institution, road prison, or vocational center/minimum custody at the time of escape.
 - f. From a CCC.
 - g. From other DC or non-DC facility/minimum custody at time of escape.

If no entry was made in item No. 4, skip item No. 5, compute Section 1 score and GO ON TO ITEM No. 6.

5. The inmate escaped or was involved in an escape attempt during the last five years with a modus operandi that involved:
 - a. Violence against DC staff
 - b. Taking a hostage of DC staff
 - c. Weapons
 - d. Violence against a private citizen
 - e. Taking as hostage a private citizen
 - f. An organized plan
 - g. Assistance by DC staff
 - h. Assistance by a private citizen (accomplice)

THE TOTAL SCORE FOR ITEMS 1 THROUGH 5 IS

If the total score is greater than 10, place a "10" in the space provided; otherwise enter the score.

.....SECTION 1 TOTAL

(Prepared for printing 1/84)

SECTION 11 Continue to blacken the circle on the score sheet corresponding to a true statement about the inmate. Add the points for each marked circle to obtain a total score for items 6 through 13.

6. The inmate's primary offense of current commitment is (CHECK ONLY ONE)

- a. Murder, 1st Degree
- b. Murder, 2nd Degree
- c. Manslaughter
- d. Arson
- e. Sexual Battery/Forcible Rape
- f. Robbery
- g. Aggravated Battery
- h. Aggravated Assault
- i. Armed Burglary
- j. Child Molesting
- k. Escape
- l. Riot
- m. Strike in Correctional Institution
- n. Kidnapping
- o. Mayhem
- p. Terrorist/Bombing Acts
- q. Possession Weapon in Prison
- r. Assault w/Intent to Kill
- s. Shooting into a Building
- t. Cruelty to Children
- u. Possession of Explosives
- v. Resisting an Officer
- w. Murder, 3rd Degree
- x. Other Violent Offenses
- aa. Unarmed Burglary
- bb. Larceny
- cc. Auto Theft
- dd. Forgery
- ee. Narcotics
- ff. Incest
- gg.
- hh. Possession of a Concealed Weapon
- ii. Manslaughter, Auto
- jj. Other Non-Violent Crimes

The Illinois system is the product of research that explored the relationships between offender characteristics and prison adjustment histories of recently released inmates. A pilot study was conducted to enable researchers to refine sampling and data collection procedures prior to work on the construction sample.

In selecting the study sample, researchers sought a representative distribution of offenses across the Illinois prison population. Ultimately, the sample consisted of 1,876 cases. It reflected releases from 22 institutions, one reception center, and one classification center, and included statewide representation of offense types ranging from misdemeanors to murder. A separate sample of 128 was drawn for a female classification study.

Characteristics of the representative sample were obtained using a standardized instrument. Data were collected through systematic case file review at each institution. This review examined institutional behavior as reflected in conduct reports, with tickets divided into dangerous and adjustment categories. Prior to the analysis, the data collection instruments underwent several reviews to ensure accuracy and consistency in recording.

One scale in the Illinois initial classification instrument focuses on overall adjustment to prison, with factors weighted according to their relative predictive ability. Age and conviction history were found to be related to adjustment, as were drug- and alcohol-related convictions and marital status. This score results in a classification that indicates a low, moderate, or high probability of conduct problems during incarceration.

Data analysis identified numerous factors that predicted dangerous behavior in prison. In developing the classification scale, these factors were weighted differentially and summed to produce a dangerous score. Dangerousness indicators were current offense, offense history, and age, with additional predictive value found in prior supervision outcome and employment credit. The Illinois researchers concluded that age tended to be more predictive of dangerous behavior if adjusted to account for the length of time the individual had been available to the criminal justice system. This factor, termed "exposure," adjusts age at admission to reflect the years during which the subject could potentially have become involved with the correctional or criminal justice system. The age figure was further adjusted to reflect the removal of most persons from system contact after age 70. Dangerousness classifications reflect low, moderate, or high likelihood of dangerous conduct while incarcerated.

Thus, Illinois research produced two predictive scales that use a limited number of objective factors to determine the likelihood of dangerous behavior and adjustment problems within an institutional setting (Figure 10). Although few factors are used in the scales, the classification decision is spread across all of the relevant variables, with no single item responsible for the

Figure 10

IMIS ILLINOIS DEPARTMENT OF CORRECTIONS
CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

PAGE 1

UN DATE: 10/21/85 RECEPTION CLASSIFICATION REPORT # 6
CENTRALIA (12)

NAME: IDOC NUMBER: _____

EVALUATION DATE: _____

*** SECURITY DESIGNATION ***

ADJUSTMENT SCORE

A. AGE AT CURRENT ADMISSION _____
(SUBTRACT 14 FROM CURRENT AGE) - 14
=====

B. AGE AT ADMISSION SCORE _____ (ENTER THIS VALUE IN THE SPACES
UNDER COLUMN B FOR 2, 3, 4)

SEE CODE SHEET A FOR 2-5

ROUND CALCULATIONS 2-4 TO THE NEAREST WHOLE NUMBER

CONVICTIONS X WT/AGE AT ADMISSION SCORE _____

(COLUMN A) (COLUMN B) (COLUMN C)

2. NUMBER OF CONVICTIONS (NOT INCLUDING CURRENT) _____ X 20/ _____ = _____ (A)

3. VIOLENCE RATIO SCORE _____ X 10/ _____ = _____ (B)

4. ADJUSTMENT RATIO SCORE _____ X 30/ _____ = _____ (C)

5. ESCAPE/RESCUING SCORE
ENTER 5 AT (D) IF EVER CONVICTED OF ESCAPE OR RESCUING FROM A
PRIOR SUPERVISION OR INCARCERATION, OTHERWISE ENTER 0 (ZERO) _____ (D)

6. CURRENT OFFENSE SCORE
ENTER 10 AT (E) IF SERIOUSNESS OF CURRENT OFFENSE RATES
0 THROUGH 7 ON CODE SHEET B, OTHERWISE ENTER 0 (ZERO) _____ (E)

7. PRIOR SUPERVISION HISTORY
ENTER 5 AT (F) IF THERE WAS A TECHNICAL VIOLATION OR NEW
OFFENSE WHILE ON SUPERVISION, OTHERWISE ENTER 0 (ZERO) _____ (F)

8. TOTAL ADJUSTMENT SCORE
ADD 2 THROUGH 7, ENTER AT (G) _____ (G)

IN DATE: 10/21/85 RECEPTION CLASSIFICATION REPORT # 6
CENTRALIA (12)

AME: IDOC NUMBER:

DANGEROUS SCORE

5. CURRENT OFFENSE SERIOUSNESS
ENTER 10 AT (H) IF SERIOUSNESS OF CURRENT OFFENSE RATES 5 OR
HIGHER FROM CODE SHEET 3, OTHERWISE ENTER 0 (ZERO)

_____ (H)

6. EMPLOYMENT SCORE
ENTER 10 AT (I) IF UNEMPLOYED PRIOR TO THE COMMISSION OF THE
OFFENSE; IF FULL TIME, PART TIME OR PARTIALLY EMPLOYED,
ENTER 0 (ZERO)

_____ (I)

1. AGE SCORE
ENTER 7 AT (J) IF 22 OR UNDER, OTHERWISE ENTER 0 (ZERO)

_____ (J)

2. VIOLENT OFFENSE SCORE
ENTER 5 AT (K) IF A PRIOR CONVICTION FOR VIOLENCE AGAINST A
PERSON, OTHERWISE ENTER 0 (ZERO)

_____ (K)

3. EXPECTED LENGTH OF STAY
ENTER 3 AT (L) IF EXPECTED STAY IS GREATER THAN 3 YEARS,
OTHERWISE ENTER 0 (ZERO)

_____ (L)

4. TOTAL DANGEROUS SCORE
ADD 9 THROUGH 13, ENTER AT (M)

_____ (M)

outcome. However, age is represented in nearly every factor and, in reality, drives the system. In practice, the system is used only at intake and results in security level assignments without specifying custody requirements.

The impact of the classification project appears positive. Users report acceptance on the part of both inmates and staff, and point to greater consistency in classification decisions. The system seems to be placing more inmates at lower security levels; far more inmates are assigned to medium security now than prior to implementation. Staff considered this a more realistic reflection of the security requirements of the Illinois correctional population.

At this time, the Illinois Department of Corrections is adjusting and revalidating its classification scales in light of new facilities and additional minimum and medium security bed space. It hopes to generally reduce security assignments without increasing risk. Recently, the Department also implemented the reclassification instrument shown in Figure 11. It is based partially on actual prison conduct and partially on age and community-related behavior. The Illinois classification model has been adapted for use in Mississippi.<1>

Comparison of Major Objective Prison Classification Models

Having described the five major objective prison classification models, it is useful to compare the decision-making criteria used by these models. Both initial classification and reclassification factors will be examined. All five models employ separate scales for these assessments, based upon the type of information usually available at classification. As a result, the models use more factors at reclassification than at initial classification. These comparisons serve to highlight the most prevalent factors in classification decision-making and to point out weaknesses and strengths associated with these factors.

Initial Classification Factors

Table 1 summarizes the initial classification factors employed by the five major objective classification models. While 30 factors are listed, including an "other category, several of these items tend to overlap. For example, the NIC and FPS models utilize severity of current offense, and Illinois uses severity of current offense and current offense. Typically, these factors are assessed using a list of criminal offenses that have been assigned numerical scores according to their perceived severity. The problem

<1> The Illinois model is discussed in more detail in Appendix E.

Figure 11

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS

PAGE

1

CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #3

STATEVILLE

01

NAME:

IDOC NUMBER:

1. COUNT THE NUMBER OF DAYS SENTENCED TO SEGREGATION IN THE LAST 6 MONTHS. ADD THIS TOTAL TO THE NUMBER OF DAYS SERVED IN SEGREGATION DURING THE LAST 6 MONTHS TO WHICH THE INMATE WAS SENTENCED PRIOR TO THE BEGINNING OF THIS PERIOD. THIS INFORMATION IS OBTAINED FROM THE MASTER FILE. ENTER THE TOTAL IN (A). ENTER THE APPROPRIATE CODE IN (B).

_____ (A) _____ (B)

A. 15 DAYS OR MORE, ENTER 20.

B. 5 TO 14 DAYS, ENTER 10.

C. 0 TO 4 DAYS, ENTER 0.

2. CURRENT SECURITY LEVEL:

A. MAXIMUM SECURITY (1,2), ENTER 7.

B. MEDIUM MINIMUM, ENTER 0.

_____ (C)

3. ENTER THE NUMBER OF PRIMARY ASSIGNMENTS IN THE LAST SIX MONTHS IN (D). THIS IS OBTAINED FROM THE ASSIGNMENT HISTORY, REPORT # 2, OR THE MASTER FILE.

ENTER THE APPROPRIATE CODE IN (E).

A. 7 OR MORE PRIMARY ASSIGNMENTS, ENTER 10.

B. LESS THAN 7 PRIMARY ASSIGNMENTS, ENTER 0.

_____ (D) _____ (E)

4. CURRENT AGE OF THE INMATE:

A. TWENTY-TWO OR YOUNGER, ENTER 3.

B. TWENTY-THREE OR OLDER, ENTER 0.

_____ (F)

5. A DOCUMENTED ESCAPE FROM A FEDERAL, STATE OR COUNTY CORRECTIONAL CENTER THAT RESULTS IN A CRIMINAL CONVICTION OR HAS BEEN ABSENT FROM A COMMUNITY CORRECTIONAL CENTER FOR MORE THAN 24 HOURS.

A. ONE OR MORE ESCAPES, ENTER 6.

B. NO ESCAPE HISTORY, ENTER 0.

_____ (G)

6. CURRENT OFFENSE SCORE:

A. CURRENT OFFENSE IS VIOLENCE AGAINST A PERSON, ENTER 3.

B. OTHERWISE, ENTER 0.

_____ (H)

7. GANG ACTIVITY SCORE:

A. THERE IS DOCUMENTED EVIDENCE THAT INMATE ACTIVELY PARTICIPATES IN GANG ACTIVITIES, ENTER 2.

B. OTHERWISE, ENTER 0.

_____ (I)

8. TOTAL SCORE:

ADD 1 THROUGH 7.

_____ (J)

9. SECURITY DESIGNATION:

POINTS SECURITY RATING CIMIS CODE

0-3 MINIMUM 6

4-12 LOW MEDIUM 5

13-17 MEDIUM 4

18-23 HIGH MEDIUM 3

24-HIGHER MAXIMUM 2

_____ (K)

Table 1

Comparison of Initial Classification Factors Employed
by Major Objective Prison Classification Models

<u>Factor</u>	<u>NIC Model</u>	<u>FPS Model</u>	<u>Correctional Classification Profile</u>	<u>Illinois Model</u>	<u>Florida Model</u>
Severity of Current Offense	x	x		x	
Degree of Violence in Current Offense			x		x
Use of Weapon in Current Offense			x		
Nature of Sexual Offense			x		
Current Offense				x	x
Type of Sentence<a>					x
Length of Sentence			x		x
Expected Length of Incarceration		x		x	
Type of Detainer	x	x	x		
Severity of Prior Commitments		x			
Number of Prior Commitments			x		
Number of Prior Convictions				x	
Number of Prior Felony Convictions	x				
Number of Convictions for Violence Against Person				x	
Number of Convictions for Burglary/Theft				x	
History of Violence	x	x	x		x
History of Institutional Violence	x				

<u>Factor</u>	<u>NIC Model</u>	<u>FPS Model</u>	<u>Correctional Classification Profile</u>	<u>Illinois Model</u>	<u>Florida Model</u>
History of Escape	x	x	x	x	x
History of Prior Supervision			x	x	
Institutional Adjustment					x
Behavior Characteristics During Incarceration					x
Demonstrated Skills in Escape/Assault<c>					x
Pre-commitment Status<d>		x			
Psychotic					x
Substance Abuse	x		x		
Age	x			x	
Education	x		x		
History of Employment	x		x	x	
Program/Service Needs	x		x	x	x
Other		<e>		<f>	

<a> I.e., death, life, or consecutive.

 Behavior observed during confinement in jail and/or reception center; e.g., suicidal, abusive, paranoid, manipulative.

<c> E.g., firearms, explosives, martial arts, electronics.

<d> I.e., own recognizance, voluntary surrender, not applicable.

<e> Includes types of sentence requiring a management designation (e.g., misdemeanor, narcotic addict, split sentence, psychiatric) and considerations such as medical health, mental health, aggressive sexual behavior, and involvement in disruptive group.

<f> Includes gang affiliation, protective custody, and underrated security designation score.

with this method is that the label attached to the offense may obscure the circumstances of the actual crime or the charge may have been reduced in severity by plea bargaining. In contrast, the CCP model does not evaluate severity per se; rather it attempts to determine severity not by the name of the crime, but by examining the characteristics of the offense. What it considers important in evaluating the current offense is the degree of violence involved, the use of a weapon, and, if a sexual crime, the exact nature of the offense. Likewise, the Florida model considers the degree of violence in the current offense and the name of the current offense.

Another group of factors that attempt to measure similar behavior is concerned with prior commitments or prior incarcerations. Again, the objective is to measure the extent and nature of prior criminal history. In this instance, each model employs a slightly different factor or factors to achieve the same end. The FPS model uses severity of prior commitments, the CCP utilizes the number of prior commitments, the NIC model employs the number of prior felony convictions, and the Illinois model looks at three interrelated items--the number of prior convictions, the number of convictions for violence against persons, and the number of convictions for violence and theft. Only the Florida model does not incorporate a similar factor.

All five models incorporate history of escape in their initial classification instruments. Four also consider history of violence as a factor through evaluation of risk by number and type of prior commitments or convictions. Only the Illinois model does not include history of violence.

All models but the FPS also address program and service needs assessment as part of initial classification. The CCP, for example, numerically ranks inmate program and service needs, including institutional risk and public risk, according to established definitions. The model requires that agencies' institutional capabilities also be evaluated and ranked such that the most appropriate assignment can be made for each inmate received.

Three models use:

- Severity of current offense--NIC, FPS, Illinois
- Type of detainer--NIC, FPS, CCP
- History of employment--NIC, CCP, Illinois

Type of detainer is often included because of the assumption that serious detainers may increase a prisoner's motivation to escape, even in the absence of a "history of escape." History of employment is generally considered because it is thought to be correlated with overall behavioral stability, which may be reflected in subsequent confinement behaviors such as institutional adjustment and escape attempts.

Numerous factors are used only by one or two models; for example, length of sentence. Sentence length has traditionally been a primary consideration

in inmate classification, and some agencies have been hesitant to eliminate it from their new objective systems. The developers of other models (e.g., NIC) omitted this factor because it was believed that the severity or nature of the offense was so highly correlated with sentence length that considering both factors would penalize a prisoner by "double counting" one event.

Reclassification Factors

Table 2 summarizes the reclassification factors employed by the five major objective prison classification models; a total of 33 factors are listed, including an "other" category. A comparison of these factors with those used at initial classification reveals 23 factors common to both classification actions. The basic difference between the factors employed at reclassification and those used at initial is that the latter consider, almost exclusively, pre-incarceration behaviors that are considered static--a prisoner's behavior, for example, cannot exert a direct impact on them--while the former also incorporate dynamic factors, such as institutional adjustment, disciplinary history, and institutional work record, that an inmate does have control over. Reclassification also addresses pre-incarceration behaviors as factors, primarily because they are believed to be related to risk potential. This risk potential (i.e., for escape, for violent and disruptive behavior) follows the prisoner throughout confinement, impacting initial and subsequent classification decisions through standardized reclassification instruments. Reclassification also includes dynamic factors because otherwise a prisoner's initial classification would be permanent and there would be no capability for systematically rewarding positive institutional behavior or punishing negative institutional behavior through changes in classification designation. In effect, an important correctional management tool would be neutralized.

Similar to initial classification, numerous reclassification factors used by the five models attempt to evaluate similar behaviors, namely, the severity and nature of the current offense and the type and extent of prior commitments and convictions. Other than institutional work record, which is used by the CCP model and the Florida model, the remaining factors unique to reclassification are also unique to the models employing them. These items are discussed below.

- Number of Program/Job Assignments--This factor is used by the Illinois model, apparently in an attempt to assess an inmate's stability within the institutional setting or as an indication of manipulative capability.
- Gang Activities--This factor is also used by the Illinois model. Gangs within the Illinois prison system pose serious management problems. Identifying a prisoner as a known gang member permits the agency to make appropriate program, institutional, and work assignments while acknowledging serious separation and supervision issues.

Table 2

Comparison of Reclassification Factors Employed by
Major Objective Prison Classification Models

<u>Factor</u>	<u>NIC Model</u>	<u>FPS Model</u>	<u>Correctional Classification Profile</u>	<u>Illinois Model</u>	<u>Florida Model</u>
Current Offense				x	x
Severity of Current Offense	x	x			
Degree of Violence in Current Offense			x		x
Use of Weapon in Current Offense			x		
Nature of Sexual Offense			x		
Type of Sentence<a>					x
Length of Sentence					x
Expected Length of Incarceration		x			
Type of Detainer	x	x	x		
Severity of Prior Commitments		x			
Number of Prior Felony Convictions	x				
History of Escape	x	x	x	x	x
History of Violence	x	x	x		x
History of Institutional Violence	x				
Percent of Time Served		x			x
Time to Release					x
Disciplinary History	x	x	x	x	
Current Security Level				x	
Institutional Work Record			x		x

<u>Factor</u>	<u>NIC Model</u>	<u>FPS Model</u>	<u>Correctional Classification Profile</u>	<u>Illinois Model</u>	<u>Florida Model</u>
Number of Program/Job Assignments				x	
Program/Service Needs			x	x	x
Demonstrated Responsibility		x			
Substance Abuse		x	x		
Gang Activities				x	
Mental/Psychological Stability		x			
Psychotic					x
Special Management Needs			x		
Demonstrated Skills in Escape/Assault					x
Institutional Adjustment					x
Behavior During Current Commitment					x
Pre-commitment Status<c>		x			
Age				x	
Education			x		
Community Employment History			x		
Family/Community Ties		x			
Other		<d>		<e>	

<a> I.e., death or life.

 E.g., firearms, explosives, martial arts, electronics.

<c> I.e., own recognizance, voluntary surrender, or not applicable.

<d> Includes types of sentence requiring a management designation (e.g., misdemeanor, narcotic addict, split sentence, psychiatric) and considerations such as medical health, mental health, aggressive sexual behavior, and involvement in disruptive group.

<e> Includes protective custody, major criminal charges pending, and underrated security designation score.

- Mental/Psychological Stability--The FPS model incorporates this factor during reclassification but not at initial. The impacts of an inmate's mental and psychological stability on institutional security and operations are an obvious concern of classification decision-makers.
- Special Management Needs--This factor, which is employed by the CCP model, includes all special management categories of inmates; e.g., chronic medical problems, geriatric, disruptive, and mentally ill. It is this inclusiveness that sets this factor apart from those employed by other major models.
- Family/Community Ties--This factor, included in the FPS, attempts to evaluate, for institutional assignment purposes, the strength of a prisoner's family and community ties. That is, an effort is made to place a prisoner with strong ties to family and/or community in institutions near to that family and/or community; security, custody, and medical needs permitting.

Summary

The nation's adult prison systems are rapidly moving toward more objective classification. Despite the increasing trend toward objective systems, a great deal of uncertainty remains concerning their form, proven validity, and acceptability to correctional administrations.

Most objective systems are relatively new, and just in their early operational stages. It will be several years, and only after a series of validation studies, before it is known what form of classification operates best and under which conditions.

Despite the relatively primitive state of the art in classification, several agencies have had sufficient experience to produce a number of important trends. These trends seem to persist across both consensus-based and actuarial systems as reviewed in this section:

- States adopting objective-based systems have experienced reductions in the proportion of inmates assigned to maximum levels of security and associated increases in minimum and medium levels of security.
- Despite these population shifts in security levels, no associated increases in rates of major disciplinary incidents or escapes have been reported. In fact, some agencies/institutions have reported decreases in disciplinary rates.

- Acceptance of objective systems has generally been favorable. However, it does appear that involving correctional staff in the development of the system increases the likelihood of staff acceptability.
- Little systematic research has been completed on these systems. The greatest amount of published information concerns the Federal Prison System model.
- Completed research, mostly on the Federal Prison System model, suggests that initial classification items can be of some utility in predicting institutional behavior. However, the most important (best) factors seem to be recent past behavior. This suggests that accurate documentation of the inmate's behavior and use of consistent reclassification instruments are critical to accurate classification decisions.

The study described in the pages that follow is intended to expand the body of knowledge pertaining to objective classification and to facilitate development, implementation, and modification of objective prison classification systems.

**SURVEY OF
EXISTING OBJECTIVE
PRISON CLASSIFICATION SYSTEMS**

A PRELIMINARY NOTE ON THE NATIONAL SURVEY

This section of the report presents the results of a survey sent to 39 correctional agencies that stated they use objective classification systems.<1> Based upon key areas covered in the survey, agencies' responses have been grouped into the three chapters that follow: Development of Objective Prison Classification Systems, Implementation of Objective Prison Classification Systems, and Agency Evaluation of Objective Prison Classification Systems.

Because agencies were in varying stages of development, implementation, and evaluation, not every agency completed the entire survey. To clarify the data being presented, the number of responding agencies is indicated in the introduction to each chapter or in specific statements explaining survey results. In addition, all percentage figures have been rounded to the nearest whole number. Occasionally, survey data also are supplemented by information obtained during on-site interviews with staff from eight agencies.

In interpreting these survey results, the reader should keep several cautionary notes in mind. First, the staff completing the survey were not equally knowledgeable of their classification systems. While a large majority of these individuals were administrative officials or classification directors--many of whom participated in system development and implementation--others were not as directly involved in classification decision-making. Second, because policies, procedures, and record keeping vary among agencies, similar responses may not always convey equivalent information. For example, agencies may have differing definitions of custody and security, requirements for overrides, or procedures for disciplinary write-ups. Finally, it was not possible to verify all of the agencies' responses. However, project staff did attempt to substantiate any information that, based upon their expertise and experience, seemed suspect.

Notwithstanding these caveats, this section provides correctional administrators and classification staff with some useful, practical information--emerging trends in objective classification, aids to effective development and implementation, and issues to consider in designing an objective classification system.

<1> The survey instrument is presented in Appendix B.

CHAPTER 1

DEVELOPMENT OF OBJECTIVE PRISON CLASSIFICATION SYSTEMS

Introduction

While objective prison classification systems share some elements (e.g., clearly defined decision-making criteria and detailed written policies and procedures), these systems also differ in many respects. In general, such differences reflect agencies' distinct experiences, needs, and objectives. These same factors, along with agency resources, affect the way in which an objective system is developed. Some agencies, for example, may decide to include a wide range of staff in the development process, while others limit staff involvement to administrative or central office personnel. Agencies wanting to ensure considerable flexibility in their decision-making may design systems with substantial latitude for overrides. Some agencies may lack in-house development and research capabilities, relying on outside assistance in designing and testing their new systems. In some jurisdictions, classification procedures may be designed to include inmate needs assessments as well as risk determination.

Thus, the process of developing an objective prison classification system can vary greatly. Still, like the systems themselves, the development process tends to be characterized by certain broad-based components or activities. Agencies must, for example, determine which agency staff and resources to allocate to the development effort. They must establish how much time to allot to development activities. And they must decide what criteria to include in their initial classification and reclassification instruments.

As noted in Section II, a primary goal of this study is to assess the experiences of states with objective classification systems in order to obtain information that may prove useful to agencies contemplating the development or modification of such systems. A large part of the classification survey focused on reasons for switching to an objective system as well as various development activities. Agencies' responses have been supplemented by in-depth case studies of seven states and the Federal Prison System and by the knowledge of project staff. Taken together, this information not only provides a valuable description of the development process, but also highlights strategies for success and pitfalls to avoid.

Impetus for Change

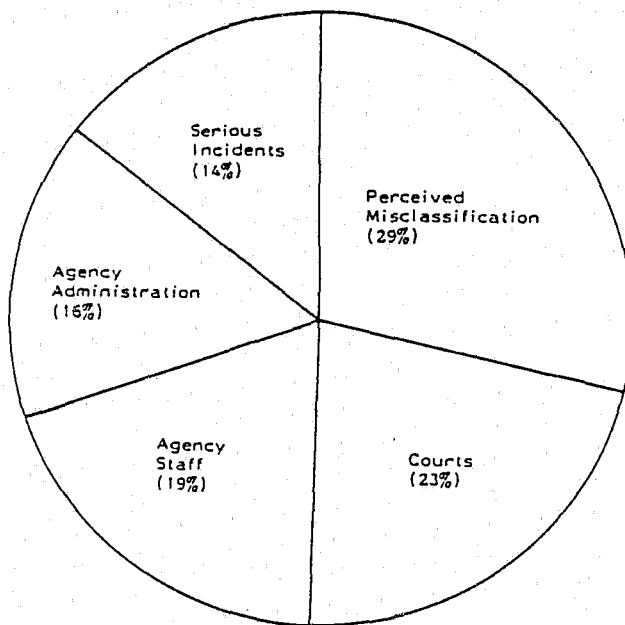
In examining the processes that correctional agencies use to develop and implement objective prison classification systems, it is important to understand the factors that have prompted these efforts. The motivation(s) for developing an objective system will likely play a major role in the success or failure of the system's implementation. In fact, the experiences

of several states suggest that an agency's motivation is often the most important independent variable in the overall process.

To obtain a more comprehensive picture of why agencies altered their classification processes, the survey asked who or what provided the impetus(es) for change. Thirty-two jurisdictions replied to this question, most indicating that more than one factor had been involved. As shown in Figure 12, 29% of the total responses were related to perceived misclassification. Montana correctional staff, for instance, had noted an interesting "disparity": many inmates were being held at tighter custody than necessary, while trustees were escaping all too frequently. In Kentucky, a review of inmate cases had indicated that inmates were being overclassified and that many prisoners in secure institutions could function adequately in minimum security placements. A similar belief concerning overclassification was held by agency staff in Pennsylvania. And in Georgia, a lack of bed space for "tough" inmates had led to "bending of the rules" as these inmates were housed inappropriately at lower security facilities, creating a perception of misclassification among institutional staff.

Figure 12

IMPETUS FOR DEVELOPING AN OBJECTIVE CLASSIFICATION SYSTEM



N = 70

NOTE: Percentages have been rounded to the nearest whole number.

The courts provided another major impetus for change. Almost 23% of the responses indicated that agencies had developed their new systems partly or entirely in response to court orders to assess existing classification procedures and provide greater standardization, to comply with decisions in class action suits, or to avoid court involvement in the future. Indiana reported, for example, that the courts had requested development of a standardized, written system. In Oklahoma, a federal court order had required depopulation of the agency's maximum security institution, thus reducing high security resources. Iowa also indicated that its objective system originated primarily from a federal court settlement. North Carolina, on the other hand, had experienced a more subtle impetus--the courts had passed along "observations" that "more objective" systems were being required in other jurisdictions. Kansas indicated that its new system resulted partly from a proactive strategy to avoid court involvement.

Other major reasons cited by respondents included general dissatisfaction among agency staff regarding existing operations, administrative initiatives for improving classification, and serious incidents--usually escapes.<1>

Because it was expected that more than one factor would underlie the development of a new classification system, the survey sought to determine the relative importance of these factors. Agencies were also asked to rank order their motivations for change. As shown in Table 3, the most frequently cited impetuses were not perceived as the most important factors. For instance, perceived misclassification, the most common reason, was ranked as only the fifth most important factor. Not surprisingly, administration was rated as the top motivator in developing an objective system.

Table 3

Rank Ordering of Impetuses for Developing
a New Classification System

<u>Impetus</u>	<u>Rank Score</u>
Administration	8.73
Agency Staff	8.00
Serious Incidents	7.40
Courts	7.25
Perceived Misclassification	7.10

N = 32

<1> A breakdown of responses by agency is available in Appendix C.

Drawbacks of Previous Classification Operations

In developing a new classification system, it is important for agencies to identify the weaknesses in their existing operations. This knowledge enables them to address deficiencies when establishing goals and objectives for the new system and designing its various components. The survey asked agencies to list three primary drawbacks of their previous classification systems. The most frequent problem, cited by 81% of the 32 respondents, was the general inconsistency and subjectivity that characterized decision-making. The next most often reported drawback was the inability to monitor and evaluate classification decisions and inmate progress; 31% listed this as a major problem with their previous operations. Other common problems identified by respondents included vague criteria for decision-making (28%), lack of inter-institution consistency in classification decisions (22%), and widely perceived misclassification (19%).

Classification System Goals

One of the first steps in the development process is defining goals for the new classification system. These goals can then be used to guide development activities, as well as to design the system itself.

By means of the survey, agencies were asked to list the primary goals for their objective classification systems. Their responses suggest that many correctional agencies have established similar goals for their new systems. For instance, 64% of the 33 respondents stated that their systems were devised to ensure supervision appropriate to inmates' behavior or levels of risk. Approximately 54% cited consistency in classification decision-making as a goal. Slightly under half of the agencies also indicated their new systems were developed, in part, to enhance management procedures by strengthening documentation, providing a means of checks and balances, or facilitating data automation.

Classification System Approach

In 1984, when a questionnaire preliminary to this survey was disseminated, a total of 39 correctional agencies reported adopting objective prison classification systems. Thirty-two of these agencies had adapted one or more existing models to meet their needs. Table 4 lists the number of agencies that had adapted each model. The remaining seven jurisdictions had developed original systems.

Table 4

Type of Objective Prison Classification Model
by Number of Agencies

<u>Number of Agencies</u>	<u>Model Adapted</u>
11	National Institute of Corrections
9	Federal Prison System
5	Correctional Classification Profile
4	National Institute of Corrections/Federal Prison System
2	Florida Department of Corrections
1	Illinois Department of Corrections

Table 5 describes on an agency-by-agency basis the type of scoring scale employed in each system and, if the system was adapted from another source, the particular model used.<1>

These correctional agencies have elected to "borrow" another agency's classification system for a number of reasons, including:

- The apparent success of the system in improving classification decision-making, particularly with respect to reducing serious incidents, matching prisoner needs with agency resources, etc.
- The time, effort, and cost of evaluating the current classification process. Most state correctional systems, given their current staffing and fiscal limitations, find it difficult to adequately evaluate the effectiveness and efficiency of their classification systems.
- A lack of expertise on the part of correctional administrators relative to understanding the intricacies of an effective classification system. While most prison managers are knowledgeable with respect to correctional administration, they generally have not had the opportunity to become proficient classification analysts.
- The prevalent belief that other agencies often possess knowledge and experience above and beyond that of the agency considering a new correctional approach, be it classification, security, treatment, training, etc. Generally, an assumption is made that the larger the agency, the more likely it is to have advanced skills and procedures. The best example is the Federal Prison System, which is

<1> Major objective classification models and scoring scales are discussed in detail in Section III.

Table 5

Type of Objective Prison Classification System by Agency

Agency	Type of Scoring Scale	Model Adapted
Alabama	Decision Tree	Original Model
Alaska	Additive	Federal Prison System
Arkansas	Independent Variable Analysis	Correctional Classification Profile
California	Additive	Federal Prison System
Colorado	Additive/Decision Tree	National Institute of Corrections
District of Columbia	Additive/Decision Tree	Federal Prison System/National Institute of Corrections
Florida	Decision Tree	Original Model
Georgia	Independent Variable Analysis	Correctional Classification Profile
Hawaii	Additive	Federal Prison System
Idaho	Additive/Decision Tree	National Institute of Corrections
Illinois	Additive	Original Model
Indiana	Additive	Federal Prison System
Iowa	Decision Tree	Florida
Kansas	Decision Tree	Florida
Kentucky	Additive/Decision Tree	National Institute of Corrections
Maine	Additive	Original Model
Michigan	Additive	Federal Prison System
Minnesota	Decision Tree	Original Model
Mississippi	Additive	Illinois
Missouri	Independent Variable Analysis	Correctional Classification Profile
Montana	Additive/Decision Tree	Federal Prison System/National Institute of Corrections
Nebraska	Additive	Federal Prison System
Nevada	Additive/Decision Tree	National Institute of Corrections
New Mexico	Additive	Federal Prison System
New York	Additive	Federal Prison System
North Carolina	Additive/Decision Tree	Federal Prison System/National Institute of Corrections
North Dakota	Additive/Decision Tree	National Institute of Corrections
Ohio	Additive	Federal Prison System
Oklahoma	Additive	National Institute of Corrections
Oregon	Matrix	Original Model
Pennsylvania	Independent Variable Analysis	Correctional Classification Profile
South Carolina	Additive (Being Developed)	Federal Prison System/Quay Model for Internal Assignment
Tennessee	Additive/Decision Tree	National Institute of Corrections
Utah	Additive	Federal Prison System/National Institute of Corrections
Vermont	Additive/Decision Tree	National Institute of Corrections
Virginia	Additive/Decision Tree	National Institute of Corrections
Washington	Additive/Decision Tree	National Institute of Corrections
West Virginia	Independent Variable Analysis	Correctional Classification Profile
Wisconsin	Additive/Decision Tree	National Institute of Corrections

considered by many correctional practitioners to be the most sophisticated system in the nation, owing to its size, number of institutions, and the level of funding.

- Finally, the development of the classification system in response to a court mandate. The agency considering its adoption may itself be subject to litigation and believe, perhaps inappropriately, that the system will also resolve its legal problems concerning prisoner classification.

In adapting another system to meet their needs, agencies reported that they frequently altered the scoring instrument by modifying the weights given some criteria or by adding factors considered important.

Most of the 39 existing objective classification systems (see Table 5) may be categorized as having incorporated elements of both additive and decision-tree scales. Thirteen systems are strictly additive in scoring mechanism. A majority of these were adapted from the Federal Prison System model. Five agencies have developed systems that use a decision-tree format. Five agencies have adapted a model termed the Correctional Classification Profile, which has a scoring system based upon independent variable analysis.

A majority of the 32 agencies responding to the survey stated that they had developed their systems internally, with some outside assistance. Most often this assistance was related to instrument design. However, external services were also employed to evaluate previous classification procedures, review the new system, and prepare a user's manual. Approximately 18% of the responding agencies developed objective systems on their own. Only 9% of the respondents indicated their new systems were designed by consultants, with some agency input. These findings suggest that most correctional agencies feel strongly about playing a major role in system development, most likely to ensure that the system satisfies agency goals and objectives and to minimize staff resistance during the implementation stage.

Staff Involvement and Reactions

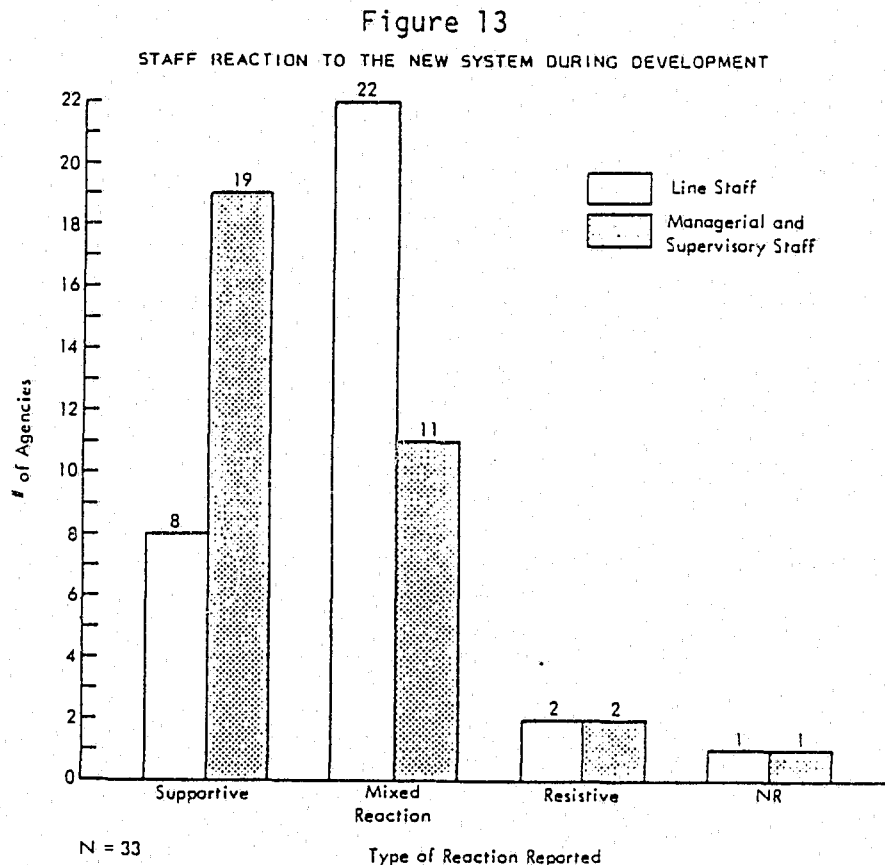
In developing their objective prison classification systems, jurisdictions relied upon a wide variety of staff, ranging from agency directors and reception/classification personnel to institutional treatment staff and correctional officers.<1> Of the 33 jurisdictions responding to the development section of the survey, 26 (79%) indicated that agency administrators participated in development activities. Approximately 45% reported that central office classification administrators had been involved. Other staff

<1> An agency-by-agency breakdown of staff involved in the development process can be found in Appendix C.

who frequently played a role in developing the system included institutional administrators and classification, counseling, casework, and program staff.

Agencies also indicated that the type of staff involved in the development process, along with the extent of their roles, tended to influence staff reaction to the new system. In Illinois and Missouri, for example, commitment from top-level administrators is generally credited with reducing staff resistance to change. The inclusion of a variety of types and levels of personnel in the development process in Missouri and the Federal Prison System is perceived as having enhanced overall acceptance of the model.

In general, survey respondents noted that supervisory and managerial staff were more supportive of their new systems during the development phase than were line staff. It should be noted, however, that line staff were infrequently involved in developmental activities. As shown in Figure 13, over twice as many agencies reported positive reactions from upper level staff as indicated favorable responses from line staff. Support for the new system was most often attributed to staff recognizing the need for an objective system. Involvement in developing the system and commitment from top administrators were also cited frequently as important factors. Line staff, according to survey respondents, were most likely to express mixed reactions during system development. Many staff perceived a need for greater standardization in classification procedures, but they also felt secure with the existing system and were anxious about change. In addition, some line staff feared that the new system would greatly curtail the use of their knowledge and experience, thus lessening their "control" over classification.



Availability of Classification-related Data

A major consideration in developing an objective classification system is the availability of information needed for security and custody determinations. If crucial intelligence (e.g., data from presentence investigations or prior institutional records) is routinely missing, it will be difficult for staff to complete instruments requiring this information. Consequently, it is not surprising that all 33 respondents to the development section of the survey stated that they had considered information availability during development of their new systems.

Nearly three-fourths of the respondents also indicated that all of the information needed to classify inmates is available for most prisoners. Approximately 80% of these agencies thought that this information is sufficiently accurate to be useful for classifying inmates. For those agencies lacking data for classification decisions, presentence investigations and FBI "Rap" Sheets were most often reported as missing.

Classification System Criteria

In selecting criteria for inclusion in their security/custody determination instruments, most agencies focused on factors that have been proven, or strongly suspected, to be predictors of behavior. Criminal history, for instance, depicts a pattern that is considered indicative of future activity. Similarly, type of detainer is generally thought to be associated with escape potential.

As evidenced in Table 6, the most common factor employed by respondents in initial security/custody determination is escape history; in fact, all of the 33 agencies responding to the development section of the survey include this criterion in initial classification, noting that it tends to reflect inmates' security needs. Over 90% of the respondents have also incorporated detainers and prior commitments into their initial classification instruments. Other prevalent criteria include prior institutional adjustment, criminal history, and extent of violence in current offense. Fewer agencies than expected utilized length of sentence as a formal decision-making criterion, probably because it is highly correlated with extent of violence in current offense. In addition, many of the agencies that do not consider sentence length adapted the NIC model, which does not include this factor.<1>

<1> A breakdown of initial classification criteria by agency is available in Appendix C.

Table 6

Factors Included in Initial Security/Custody Determination

<u>Factor</u>	<u>Number of Agencies Employing</u>	<u>Percent of Agencies Responding<a></u>
Escape History	33	100
Detainers	31	94
Prior Commitments	30	90
Criminal History	29	88
Prior Institutional Adjustment	29	88
Extent of Violence in Current Offense	27	82
Length of Sentence	27	82

N = 33

<a> Percents are rounded to the nearest whole number.

In making security/custody determinations at reclassification, major disciplinary violations was cited as a factor by all survey respondents. (See Table 7.) Most of these agencies indicated that this factor is a good predictor of institutional behavior. Slightly less than 85% also include time to release in reclassification, and just over 80% consider institutional adjustment.<1>

<1> A more complete breakdown of reclassification criteria by agency can be found in Appendix C.

Table 7

Factors Included in Security/Custody Determination
at Reclassification

<u>Factor</u>	<u>Number of Agencies Employing</u>	<u>Percent of Agencies Responding</u> <a>
Major Disciplinary Violations	33	100
Time to Release	28	85
Institutional Adjustment	27	82
Program Participation	19	58
Time in Present Security/Custody Level	14	42

N = 33

<a> Percents are rounded to the nearest whole number.

Almost all of the respondents (91%) also stated that they had defined the classification criteria employed in their objective systems, thus promoting consistent application.

Clarification of the terms security and custody is also important to the design of the classification instrument(s). A lack of clear definition of these terms was one of the first difficulties the Federal Prison System encountered during its development process. Staff used the terms interchangeably, and the same labels were employed to describe both institution and inmate custody levels. Once a distinction between security and custody was drawn, development proceeded more efficiently.

The agencies were asked if they define custody as being distinct from security. A majority of the respondents (64%) indicated that they do. In most cases, custody is identified as the level of supervision afforded prisoners, while security is defined in terms of the physical characteristics of facilities.

Finally, although their objective systems enable staff to distinguish among inmates' security/custody requirements, all of the responding agencies indicated that they house prisoners with more than one security/custody level within the same institution, generally due to insufficient bed space or facilities.

Classification Process

The classification process can differ greatly among correctional agencies, depending on such variables as decision-making responsibility, conformance monitoring, and override usage.

A majority of the 33 respondents stated that classification decision-making in their objective systems is a group and individual responsibility. However, one-third reported that classification decisions are made by a group. Only one respondent, New York, said that responsibility lies with an individual.

Nearly all of the respondents (94%) indicated that they monitor classification decisions for conformance to their systems. Generally, these decisions are reviewed by central office staff. A few agencies monitor conformance by examining inmate grievances or use of overrides.

Overrides were used to varying degrees by every survey respondent except Montana and West Virginia. Thirty-one agencies (94%) answered affirmatively when asked if their staffs are able to overrule the recommendations of classification scoring instruments. Of these agencies, 90% require written justification for overrides, and 81% also require supervisory approval. Table 8 depicts agencies' estimates of the number of overrides invoked per 100 classification decisions.<1> Wisconsin reported one of the highest override rates--45%--a situation that seems to stem from the agency serving as a pilot state for the NIC model (which excludes sentence length) and its staff's subsequent reluctance to allow the instrument to completely determine custody ratings. However, approximately one-half of the respondents provided estimates of 15 overrides or less, suggesting that their systems are operating as designed. This supposition receives further support from the finding that during the past year 42% of the respondents had not experienced any significant change in their override rates. Approximately 15% reported an increase, 9% noted a decrease, and 15% were not yet able to determine if their rates had changed.

Agencies were also asked to list their most frequently used override. Responses to this question varied widely, almost on an agency-by-agency basis. Among the overrides cited are overcrowding, need for lower security work function, policy demands, inappropriate security level, and administrative options.<2>

<1> A breakdown of these data by agency is available in Appendix C.

<2> A breakdown of agencies' responses by agency is provided in Appendix C.

Table 8

Agency Use of Overrides

<u>Estimated Number of Overrides/ 100 Classification Decisions</u>	<u>Number of Agencies Responding</u>	<u>Percent of Agencies Responding</u>
< 5	6	18
5-10	5	15
11-15	5	15
16-20	5	15
21-25	3	9
26-35	1	3
> 35	2	6
Not Available	<u>6</u>	<u>18</u>
Total	33	100<a>

<a> Total does not equal 100% due to rounding.

User's Manual

The experiences of most agencies that have implemented objective prison classification systems suggest that it is helpful to prepare a user's manual during the development phase. A comprehensive, clearly written manual can facilitate pilot-testing of the system prior to agency-wide implementation. It can also enhance efforts to train staff to use the new system. Missouri, for instance, found that its manual was not sufficiently detailed, creating both confusion during training sessions and reduced confidence in the utility of the new system.

Nearly three-fourths of the 33 respondents stated that a classification manual had been prepared during development of their new systems. Of these respondents, 79% reported that no differences exist between classification manual procedures and actual day-to-day operations. Five agencies stated that such differences do occur, usually due to crowding or policy changes not yet incorporated into the manual. One-half of the agencies that had not developed user's manuals indicated they were in the process of doing so.

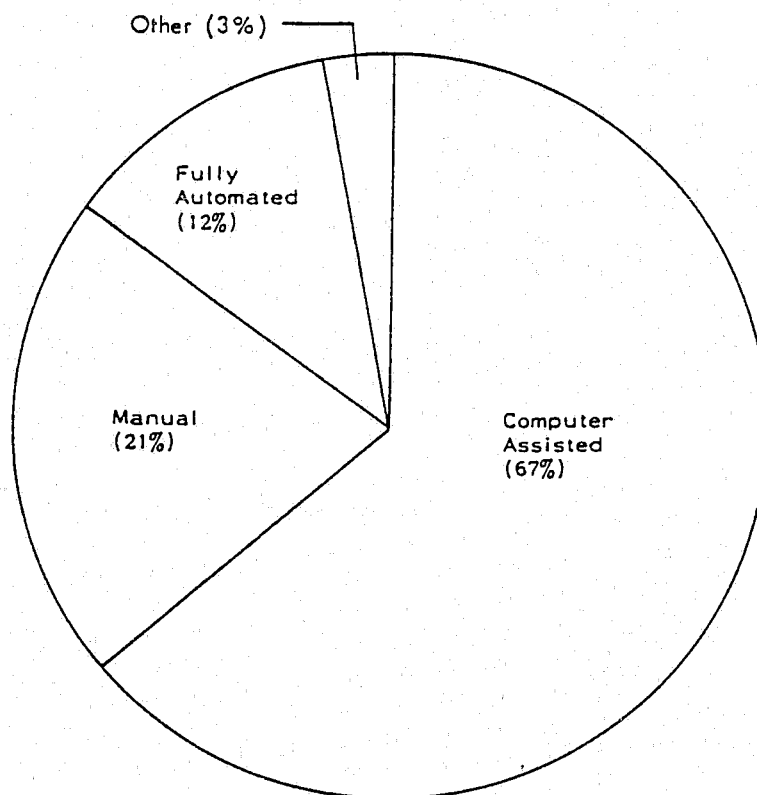
Management Information Systems

Classification data, when incorporated into an agency's information system, can provide a powerful management tool. It can be used in facility planning and renovation, program planning, and monitoring of inmates' progress. The more completely automated the information system is, the more functions it can perform.

Agencies were asked what type of management information system they employ. As shown in Figure 14, approximately two-thirds of the 33 respondents indicated that their information systems were computer-assisted. Only four agencies--California, Kentucky, Minnesota, and Washington--reported having fully automated information systems.

Figure 14

TYPE OF MANAGEMENT INFORMATION SYSTEM USED BY AGENCY



N = 33

NOTE: Percentages have been rounded to the nearest whole number.

Slightly more than 60% of the respondents also stated that classification process and information had been incorporated into their management information systems at the time of the survey.

Institutional Security/Custody Rating

The classification process is maximized when agencies assign security levels not only to their prisoner population but also to their institutions. These designations enable agencies to match inmates with institutions appropriate to their security/custody risks.

Three-quarters
 Approximately ~~75%~~ of the 33 agencies responding to the development section indicated that they had performed a security/custody rating of their correctional institutions. As shown in Table 9, nearly all of these agencies utilized similar factors in rating their institutions. Among the most frequently used criteria, for example, were towers, perimeter, and housing type. Typically, these ratings were performed by agency administrative staff. Fourteen respondents (58% of those that had assessed their facilities) stated that personnel such as the agency director, a deputy director, or a division director had been involved. Seven indicated that institutional administrators had conducted the security/custody ratings. Surprisingly, only two agencies--New York and Vermont--reported a major role for security staff.

Table 9
 Factors Used in Rating Security/Custody Level
 of Correctional Institutions

<u>Factor</u>	<u>Number of Agencies Employing</u>	<u>Percent of Agencies Responding<a></u>
Towers	22	92
Perimeter	21	88
Housing Type	20	83
Perimeter Patrol	19	79
Staffing	17	71
Detection Devices	15	62
Proximity to Residential Area	6	25

N = 24

<a> Percents are rounded to the nearest whole number.

Of the nine agencies that had not conducted institutional ratings, seven indicated that they plan to do so.

Program Needs Assessment

Another important component of an objective classification approach is inmate needs or program assessment. However, it appears this area is frequently neglected or underemphasized during system development. One common impediment to the integration of program needs assessment into objective

classification systems is the inability of correctional agencies to match inmates' needs to institutional resources. For example, many correctional agencies lack a definitive, up-to-date catalog of institutional programs. If institutional lists are available, critical information concerning eligibility requirements and available program slots is frequently not current. Further, inmates' requirements are multidimensional; that is, the level of their needs varies within any given program area. Moreover, the capabilities of institutions to meet inmates' requirements differ. To effectively classify inmates for program participation, agencies must have provisions for classifying inmate needs according to degree and for assessing institutions according to their capabilities to meet each degree of needs.

These factors have become increasingly problematic in light of the American Correctional Association and American Bar Association standards concerning classification programming. These standards call for effective screening and reasonable programming in at least the following areas:

- Education,
- Vocational training,
- Mental health intervention,
- Medical and dental services,
- Specialized assistance for the aged and infirm,
- Special placements for the mentally retarded, and
- Work assignments.

However, agencies vary in their procedures for screening and placement in these areas. In many jurisdictions, a distinction is made between programs that are available and security and custody levels appropriate for program placement. Other agencies have further restrictions on program placement based upon housing. Still others have few of these program criteria.

Effective programming is an essential aspect of a classification system that will function as a correctional management tool. Inmates' needs should not only be assessed and addressed but form a primary component of agencies' management information systems. Such information provides the foundation for budget requests, facility planning, management and program planning, as well as population management.

The needs assessment of prisoners should reflect a balance between an inmate's security, custody, and program requirements and program availability. This concept is emphasized because, in those agencies that have ignored prisoner programming needs, focusing only on program resources, lawsuits have been filed. Thus, the correctional administrator is faced with striking a balance between the program resources that can be reasonably provided and the legitimate needs of the prisoners. A systematic approach to assessing these needs and their incorporation into the agencies' management information system will dramatically simplify this process.

Proper needs identification is dependent on the presence of valid, reliable information in each area crucial to prison programming. This information should come from a variety of sources, including:

- (1) A standard high quality presentence or admission investigation completed by field-based staff;
- (2) A standard high quality intake interview administered by staff thoroughly trained in the process;
- (3) Intelligence and achievement tests administered by qualified staff; and
- (4) Psychological testing and a full psychological or psychiatric evaluation for inmates with suspected psychological disturbances.<1>

Approximately two-thirds of the 33 survey respondents stated that their objective systems include a component to assess inmate program needs. As can be seen in Table 10, more than 95% of these agencies address the following program needs: educational, psychological, vocational, work skills, medical, mental health care, and substance abuse. These assessment components, in turn, enable staff to match inmate needs to available programs and resources.

Table 10

Program Needs Addressed by Classification System

<u>Need</u>	<u>Number of Agencies Employing</u>	<u>Percent of Agencies Responding<a></u>
Educational	21	100
Psychological	21	100
Medical	20	95
Mental Health Care	20	95
Substance Abuse	20	95
Vocational	20	95
Work Skills	20	95
Special Needs	17	81
Family/Community Ties	14	67
Intellectual/Adaptive	14	67

N = 21

<a> Percents have been rounded to the nearest whole number.

 Protective custody, aged, infirm, etc.

<1> U.S. Department of Justice, National Institute of Corrections, Prison Classification (April 1982), p. 44.

Female Classification

Recent court challenges of established correctional practices affecting female prisoners have focused increased attention on the constitutional requirement for providing them with parity of programming and services. The result has been that jurisdictions provide female prisoners with the same programs offered to male inmates, although it is commonly accepted that the needs of male and female inmates differ substantively. This observation also holds true for classification. In its 1984 study, Female Classification: An Examination of the Issues, the American Correctional Association asked respondents from the nation's 52 correctional agencies how strongly they agreed with the premise that correctional classification systems should be the same for male and female prisoners. Eighty percent of the respondents agreed or strongly agreed with this position. However, 57% also indicated that classification decision-making should incorporate additional variables to address what respondents perceived to be special needs of female prisoners. These variables should consider that female offenders tend to be/present:

- Less violent,
- Less need for a military atmosphere,
- Less risk of escape,
- Less educated,
- Limited work skills,
- More self-control,
- More health/medical problems,
- More substance abuse problems, and
- Better history of socialization/more positive.<1>

While the ACA study supported the development of separate classification systems for females, expert opinion is mixed in regard to the development of special classification systems for women. For example, the NIC has suggested that classification resources might be better spent on improved programming and increased program opportunities than on security custody determination for women. With respect to agencies having objective systems, only Illinois, Montana, New York, and West Virginia stated that their classification systems differ for male and female inmates. Illinois, it should be noted, has developed a separate scoring instrument for females. For the most part, these differences in classification stem from the fact that agencies usually operate just one facility for women.

For security and custody designation purposes, the housing options within institutions are more important than the number of facility alternatives. Effective classification depends upon the agency's ability to separate

<1> American Correctional Association. Female Classification: An examination of the issues. (Unpublished report under grant from NIC) College Park, MD, 1984.

offenders into discrete housing environments based upon the inmates' security and custody requirements and the housing environments' security and custody capabilities.

Whether distinct classification systems should be developed for female prisoners is still open to question and is best left to the discretion of individual agencies. However, it is imperative that individual housing units within female facilities be classified according to the custody and security levels they provide. The number of beds in each security and custody level should be compared to the security and custody distribution of the female population in order to ascertain shortages and excesses. This information should be used to support budgetary requests for renovation of existing housing units or creation of new ones that meet the needs of the female population.

One response to the need to provide a high security perimeter for a limited number of female offenders is to place a double fence with razor ribbon wire and intrusion detection devices around the entire facility. A less expensive option is to place such a perimeter around only those units that house high security female prisoners.

There is some belief among correctional practitioners that female prisoners are overclassified due to the limited housing options available. With respect to the level of security provided, this is probably an accurate assessment. However, with respect to the level of custody provided, the reverse is probably true.

Planning

As has been suggested previously, an objective prison classification system can be used for purposes beyond inmate security/custody determination. For example, 58% of the 33 agencies responding to the development section reported that their new systems were designed to identify new facility and renovation requirements, and slightly more than half of these respondents indicated that their systems have been used for this purpose. In addition, Oklahoma stated that its system furnishes a "classification snapshot" of the entire inmate population by providing advance notice of releases to house arrest and projecting inmate movement to lesser security facilities. North Dakota indicated that its new system aids planning by supplying information on the types of initial classification inmates being received. Nebraska utilizes its system to project inmate labor needs, while Georgia and Nevada use theirs to derive population projections. Missouri has recently completed a 10-year facility master plan based on data generated by its new objective system.<1>

<1> Missouri's use of its classification system in developing this master plan is discussed in more detail on p. 95.

Additional Uses

Some agencies also use their objective classification systems to provide housing unit assignments. Prisoners who tend to be victims, for instance, are housed separately from those who are likely to be predators. Oklahoma, Nebraska, and Alabama reported that they use their systems to assign housing for special management cases. However, a majority of the 33 respondents (61%) indicated that their systems are not used for housing assignments.

Timeframe for Development

The time required, or allotted, to develop an objective classification system is likely to vary, depending on several factors. An agency under court mandate, for instance, may have to work relatively quickly. An agency that plans to test and validate classification criteria will probably allot more time for development than one that selects criteria on the basis of staff consensus or that adapts another state system. Consequently, it is not surprising that survey respondents reported a wide range of timeframes for development. At the short end of the time continuum, North Dakota and Oregon developed their new systems in approximately three months, while Indiana and Minnesota took at least forty-eight months. An overview of agencies' responses is presented in Table 11. As can be seen, the majority of respondents developed their objective systems in two years or less.

Table 11

Time Required to Develop Classification System

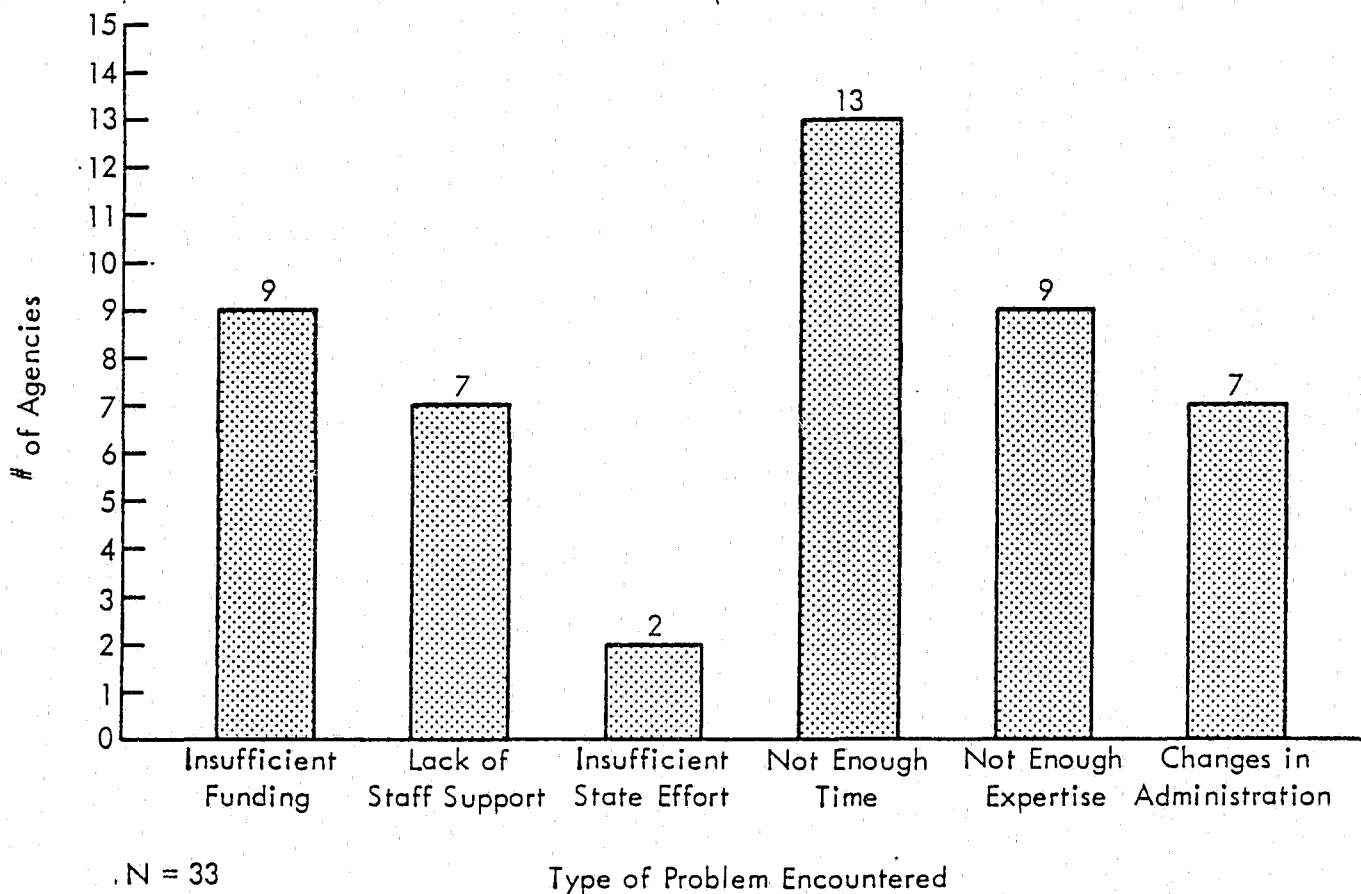
<u>Length of Time (in months)</u>	<u>Number of Agencies Responding</u>	<u>Percent of Agencies Responding</u>
< 3	2	6
3-6	1	3
7-12	10	30
13-18	3	9
19-24	3	9
25-36	5	15
> 36	3	9
Unknown	2	6
No Response	<u>4</u>	<u>12</u>
Total	33	100<a>

<a> Total does not equal 100.0% due to rounding.

Problems in System Development

With something as complex as the development of an objective prison classification system, it would be unusual if an agency did not encounter difficulties. The survey asked agencies to indicate the major problems that they had experienced during the development phase. The most common problem, according to the 33 respondents, was insufficient time for development activities. This finding suggests that many agencies underestimated how long development would take. Since half of the 13 respondents indicating that time was a problem had developed their systems in 12 months or less, any timeframe under a year is probably unrealistic. Insufficient funding and not enough expertise were also cited frequently as obstacles. Other major problems encountered during development, along with the number of agencies experiencing them, are shown in Figure 15.<1>

Figure 15
Major Problems Encountered During Development



<1> An agency-by-agency breakdown of these data can be found in Appendix C.

In retrospect, respondents were able to identify numerous aspects of system development that, given, the opportunity, they would undertake differently. Eight agencies stated that they would improve training by lengthening training sessions, including more levels of staff, and completing all training prior to implementation. Five indicated that they would pilot test their systems before implementation, and Kentucky went so far as to call pilot testing a "must." Four agencies would also allot more time for development. Such suggestions, grounded as they are in agencies' experiences, may provide useful pointers for those contemplating or just initiating development of objective prison classification systems.

CHAPTER 2

IMPLEMENTATION OF OBJECTIVE PRISON CLASSIFICATION SYSTEMS

Introduction

In certain respects, implementation may be the most difficult phase in instituting an objective classification system, for it is the stage most fraught with problems. These typically include severe time and budgetary constraints, redesign of the classification instrument(s), modification of classification criteria, staff resistance--both passive and active, and inmate disgruntlement and attempts to manipulate the system. However, the experiences of jurisdictions that have implemented objective systems suggest many of the pitfalls associated with this phase can be avoided, or at least minimized, if agencies approach the process systematically. A well-conceived implementation plan, for instance, can alleviate much of the frustration stemming from shortages of time and resources. Thorough pilot-testing of the new system can preclude piecemeal modification of the instruments as problems crop up. And visible, enthusiastic commitment by the agency director and administrative staff can generate support and acceptance among other personnel.

To ascertain more about implementation of objective classification systems, the survey asked agencies about various aspects of this stage, including staff involvement, training, pilot-testing, and timeframe. Thirty-one agencies responded to the section on implementation. Their responses are presented below, along with information obtained from detailed case histories of eight agencies' implementation activities.

Staff Involvement

As noted in the previous chapter, staff involvement is an important factor in instituting an objective prison classification system. Both the variety of staff included in the process and the degree of their participation influence the type of system designed, its acceptance by agency personnel, and, ultimately, the effectiveness of its operations.

Agencies were asked to identify the key staff involved in their implementation phases. Their responses varied widely, reflecting individual philosophies, practices, and goals. Those staff most commonly involved in implementation were agency administrators; listed as key staff by 16 agencies (52% of the respondents) were agency directors, deputy and assistant directors, and heads of individual agency operations. Another frequently identified staff category was central office classification administrators, reported by 42% of the respondents. Agencies also cited the roles played by counseling and casework staff, institutional administrators, and security staff. Personnel involved in implementing agencies' systems were usually the

same individuals responsible for developing them. Staff functions during implementation included coordinating activities, fine-tuning the system, and training other personnel. Some jurisdictions reported the involvement of treatment, program, management information, and training staff, but these responses were relatively rare, provided by less than 15% of the agencies.<1>

Use of Outside Assistance

By the time they entered the implementation phase, the majority of the responding agencies appeared confident in their own in-house capabilities--staff, resources, etc. Slightly more than ^{two-thirds} 67% of the 31 respondents stated that they did not use outside consultants or NIC staff during implementation. When such assistance was utilized, it generally involved advising and monitoring implementation activities. Less frequently, as in Alabama, consultants helped develop classification training or user's manuals.

One area in which several agencies found outside assistance valuable was pilot testing their systems prior to system-wide implementation. These agencies reported that outside consultants are in a better position to pilot test the system because (1) they would generally not be influenced by outside motivating factors such as political pressures; (2) consultants, particularly those experienced in implementation of objective classification approaches, would be well versed in the pilot testing process, including sample selection, data collection, and data analysis; and (3) the findings of consultants would likely be viewed as more creditable than those generated internally by agency staff.

Few agencies (19%) reported attending the NIC training session on implementation of classification systems, although nearly all of those that did found the session useful.

Training

Broad-based training is crucial to the successful implementation of a new classification system, for it provides staff with an understanding of the need for and operation of the system. This, in turn, helps to ensure standardized application when the system is implemented agency-wide.

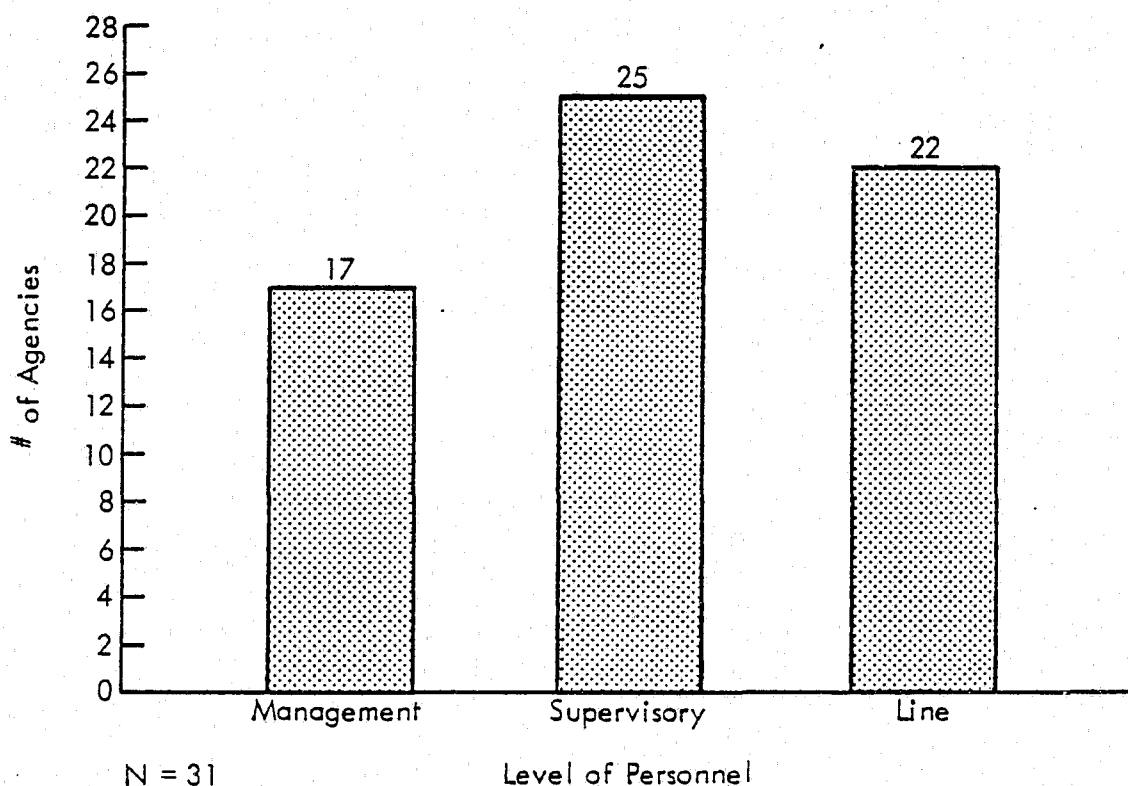
Most of the agencies responding to the survey appear to have recognized the importance of training. Approximately 84% of the respondents, for example, indicated that their staffs were trained in the use of their objective systems prior to formal implementation. As shown in Figure 16, agencies were most likely to train their supervisory personnel. However, slightly more than half of the agencies that provided training conducted

<1> A more detailed breakdown of staff involvement by agency is provided in Appendix C.

sessions for management, supervisory, and line staff. Indiana and Kansas also trained clerical personnel.

Figure 16

LEVELS OF PERSONNEL TRAINED PRIOR TO IMPLEMENTATION



The amount of training delivered varied widely, ranging from fewer than eight hours in California, Illinois, Montana, and Utah to more than eighty hours in Ohio and for some staff in Minnesota. The most frequently provided amount of training was between 8 and 16 hours.

The personnel conducting the training also varied. Missouri and Illinois relied on training academy staff, while the Federal Prison System utilized members of the task force that had developed its classification system. In Wisconsin, classification administrators conducted the principal staff training and new personnel were oriented at the training academy.

Training typically involved hands-on application of the scoring instruments, using case files, followed by discussions intended to enhance inter-rater reliability.

Pilot-testing

Experiences in instituting any new complex process or apparatus indicate that pilot-testing helps to identify inadequacies and confusing procedures so that they can be corrected before full-scale operations begin. Consequently, it is surprising that only 52% of the 31 responding agencies pilot tested their objective prison classification systems prior to implementation. Most of these agencies tested their systems on a sample of inmates--from one or several institutions or at a reception center. Typically, agencies assessed their classification instruments in relation to such factors as number of disciplinaries, incidents of violence, and attempts to escape.

This testing often identified problematic aspects of the system, resulting in modifications of the scoring mechanism to meet an agency's needs more closely. In Kentucky, for instance, disciplinary reports were given additional weight, while emphasis on education and employment was reduced. Pilot-testing in Illinois suggested an overconsideration of age, a situation that was subsequently corrected. As a result of testing, agencies also redesigned forms to make them more "user friendly" and revised instructions to enhance their comprehensibility.

Needs Assessment Implementation

Agencies were also asked if their implementation processes were the same for security determination and program needs assessment. Slightly more than half of the respondents indicated that implementation was similar for both. However, it should be noted that 26% of the jurisdictions did not answer this question, primarily because they lacked a needs assessment component. Of those respondents indicating that implementation differed, most stated that security designation and needs assessment are separate events within their agencies.

Timeframe

Only 58% of the responding agencies stated that they had prepared an implementation plan, including a timetable--another surprising finding in view of the length of time involved and the importance of planning in guiding implementation activities. The timeframe for implementing an objective classification system is a delicate structure, requiring sufficient time for all activities but avoiding a delay between development and implementation that could dampen staff enthusiasm.

As can be seen from Table 12, 58% of the responding jurisdictions implemented their systems agency-wide in 12 months or less, with the greatest number taking between 3 to 6 months. The relative speed with which most agencies put their systems into operation can probably be attributed to the finding that nearly half did not pilot test, and subsequently refine, their classification procedures. Moreover, some agencies (e.g., Missouri) initiated

operations in all of their facilities simultaneously rather than gradually, one institution at a time.

Table 12

Time Required to Implement Classification System

<u>Length of Time (in months)</u>	<u>Number of Agencies Responding</u>	<u>Percent of Agencies Responding</u>
< 3	5	16
3-6	9	29
7-12	4	13
13-18	4	13
19-24	2	6
25-36	1	3
> 36	0	0
In progress	3	10
Unknown	1	3
No Response	<u>2</u>	<u>6</u>
Total	31	100<a>

<a> Total does not equal 100% due to rounding.

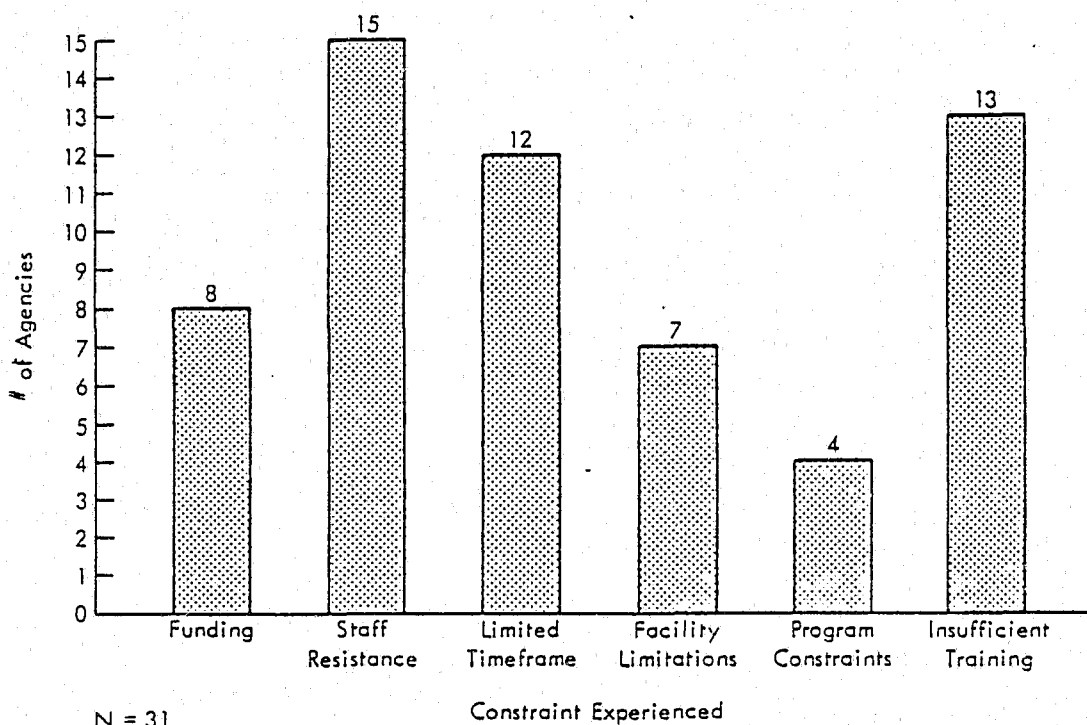
Implementation Constraints

As was the case during the development phase, most agencies responding to the survey experienced problems in implementing their objective prison classification systems. The most common constraints--those cited by at least 40% of the 31 respondents--were staff resistance and insufficient training. Numerous agencies reported that acceptance of their new systems was gradual, with staff initially opposed to the change but later more supportive as the merits of objective classification were recognized. Missouri, on the other hand, engendered relatively strong staff support, but found training to be the most problematic aspect of implementation, primarily because the administration was not represented and trainers could not adequately respond to questions regarding agency policy. In addition, limited timeframe again proved to be a problem for many agencies. Other frequently experienced constraints are presented in Figure 18.<1>

<1> A breakdown of constraints by agency is provided in Appendix C.

Figure 18

CONSTRAINTS EXPERIENCED DURING IMPLEMENTATION



System Components Not Yet Operational

Because agencies approached the implementation phase with differing staff and financial resources, as well as varying expectations, some agencies were able to effect more of their systems than were others. Thus, a few agencies reported that some components of their new classification systems are not yet operational. Three agencies indicated that their systems are not computerized to the extent desired, and one stated that it lacks a functioning needs assessment component. One jurisdiction also stated that it plans to enhance inmate participation in the classification process in order to meet ACA standards. On the whole, however, agencies' objective systems have been implemented as designed.

Suggested Improvements

Perhaps some of the most useful information obtained from survey respondents is their comments on what they would have done differently in implementing their objective classification systems. Most agencies focused on the training component. Ten respondents indicated that they would improve

training, usually by completing it prior to implementation, requiring participation, or including more levels of personnel. Several also believed the amount of training should be increased, suggesting that the commonly provided 8 to 16 hours may not be adequate. Missouri, Wisconsin, and the Federal Prison System all stated that it is important for top-level administrators to attend training sessions in order to evidence their support. Six agencies would have allotted more time for implementation. Other frequent responses included pilot-testing the system and developing a classification manual before implementation.

CHAPTER 3

AGENCY EVALUATION OF OBJECTIVE PRISON CLASSIFICATION SYSTEMS

Introduction

The final section of the survey was devoted to obtaining any evaluation results that agencies may have prepared regarding the impact and/or effectiveness of their objective prison classification systems. Because most of the new classification systems had been in place only a brief time, it was anticipated that few respondents would have conducted comprehensive effectiveness evaluations. However, project staff believed that even partial or "soft" assessments would be beneficial to agencies considering development of objective systems. Consequently, in addition to evaluation results, the survey asked respondents to informally assess their systems in a number of areas--some broad and others more limited. Twenty-six agencies completed all or part of this survey section. Again, their responses are supplemented by case study data and project staff knowledge.

Evaluation Status

Agencies were first asked whether their new classification systems had been evaluated. Their responses are presented in Figure 19. As expected, due to the recent implementation of most systems, many jurisdictions had not conducted assessments. Approximately 14% of the respondents stated that they had not evaluated their systems and had no plans to do so. Another 38% replied that evaluations were being planned, and 31% indicated that assessments were in progress. Only Kansas, New York, and Virginia reported that their systems had been evaluated.<1>

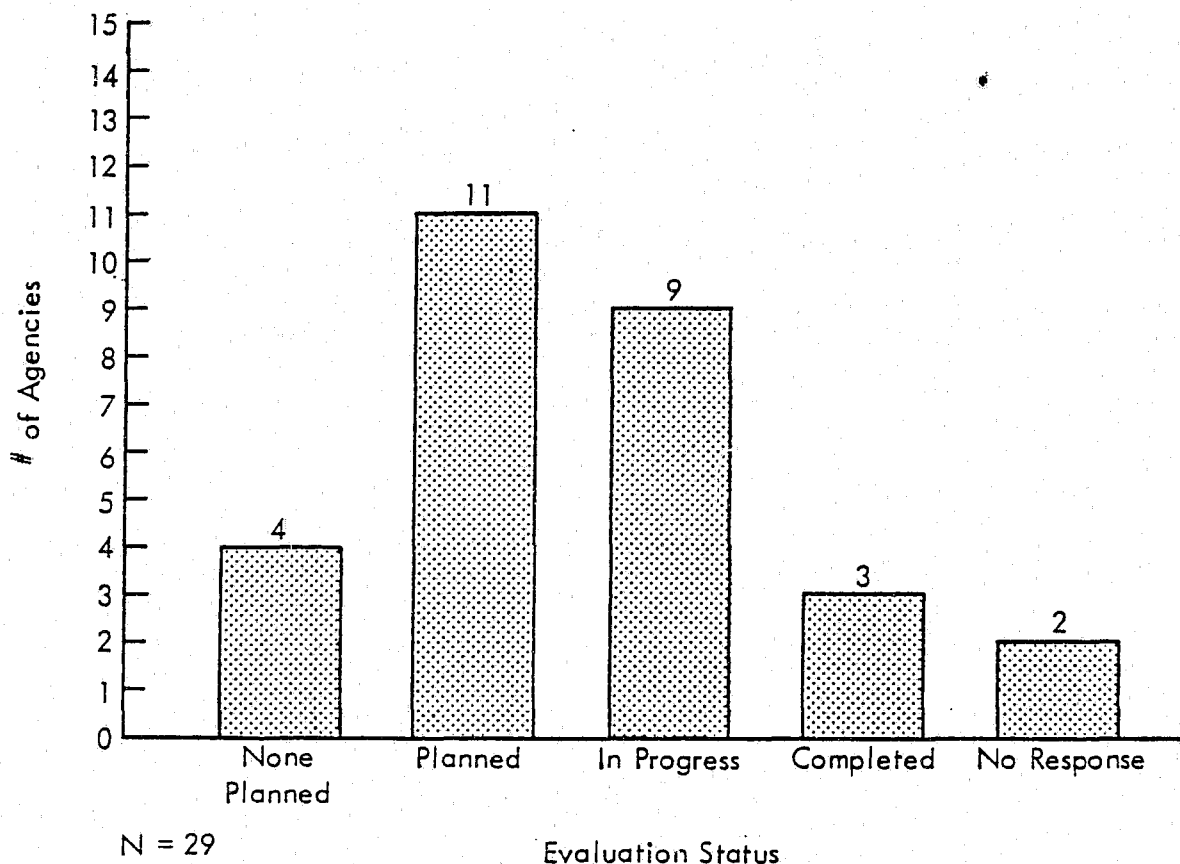
These evaluations had been or were being conducted by a variety of agency staff or external organizations. The most frequently identified conductor--cited by four respondents--was the agency's research and planning unit. Other agencies reported that evaluations had been completed by classification administrators, central office personnel, and outside consultants.

In the majority of jurisdictions, such assessment efforts had not resulted in any major changes in classification operations. However, one-third of the agencies reported that they had revised their systems. Montana, for example, stated that its system had been "cybernetically adjusted and fine-tuned" to accommodate factors outside the system that have impacted its operations. New York reported numerous modifications to criteria following evaluation. Several agencies also indicated they had altered instrument

<1> An agency-by-agency breakdown of evaluation status is available in Appendix C.

scoring--Oregon changed the scoring in its custody matrix; California expanded custody levels by three points so that more inmates would fall into lower custody levels; and Nebraska revised some weights in its instruments, as well as refined definitions and procedures.

Figure 19
STATUS OF OBJECTIVE SYSTEM EVALUATION



Informal Assessment

From a less formal perspective, agencies were asked to explain the extent to which their objective classification systems have met stated goals and objectives. Nearly all of the responding jurisdictions indicated that their systems fulfill all or most of the functions they were designed to perform; that is, the systems have objectified and standardized classification procedures and are assigning inmates to levels of security/custody appropriate to their behavior.

The survey also asked agencies to indicate whether their new systems have had a notable impact in 13 selected areas. These areas, along with the number of agencies citing them, are listed in Table 13.<1> As can be seen, over half

<1> A breakdown of these data by agency is presented in Appendix C.

of the respondents perceived impacts--generally positive--in several areas: escapes/escape attempts, proportion of inmates at each security/custody level, improved risk assessment, and paperwork (which, according to many agencies, had increased). Missouri, for instance, stated that its escape rate has declined by about 50% since implementation of its objective system, despite the fact that the agency's prisoner population is at its highest point ever. Although the agency has not established a direct correlation between the two events, an association is suspected. California and Kentucky reported similar drops in escape rates. Illinois and California said that they are experiencing fewer placements in maximum security, and Kentucky reported a better than 15% increase in minimum custody assignments.

Table 13

Areas Impacted by New Classification System

<u>Area</u>	<u>Number of Agencies Citing</u>	<u>Percent of Agencies Responding<a></u>
Proportion of Inmates at Each Security/Custody Level	17	65
Improved Risk Assessment	16	62
Paperwork	16	62
Escapes/Escape Attempts	15	58
Programs and Program Planning	13	50
Use of Existing Institutions	12	46
Inmate Grievances	9	35
Disciplinary Transfers	6	23
Staffing	5	19
Violent Incidents	5	19
Reduced Housing Costs	4	15
Inmate Disciplinary Infractions	3	12
Reduced Costs for Inmate Transfers	2	8

N = 26

<a> Percents have been rounded to the nearest whole number.

These are areas in which one would expect changes to show up relatively quickly. It is likely to take longer for effects to evidence themselves in other areas--for example, reduced costs for housing and inmate transfers, use of existing institutions, and staffing. In addition, numerous agencies have

not had their new systems in place long enough to enable them even to informally assess their systems' impacts. (Project staff, however, were able to evaluate the effectiveness of the systems implemented in California, Illinois, and Wisconsin. The results are presented in Section V.)

As another means of assessing their new objective systems, agencies were asked to describe the single most important impact their systems have had on their overall correctional operations. The three most frequently cited impacts were:

- Greater consistency in decision-making
- More appropriate placement
- Better use of institutional resources

Respondents were also asked to specify the most important problem with or weakness of their new systems. Many jurisdictions had previously indicated satisfaction with their classification operations; consequently, fewer than half of the respondents answered this question. Their responses, in order of frequency, are presented below:

- Lack of automation/integration into MIS--Several agencies reported that they have been unable to integrate their new classification approaches into their present or proposed management information systems. An examination of the individual responses suggests that this inability is not so much a product of the classification system being incapable of adaptation to the MIS system as a result of the agency being dissatisfied with its present MIS operation and unwilling to introduce the classification approach into an MIS system that may soon be abandoned. Some of the agencies further stated that their objective systems were developed without the input or cooperation of MIS staff. As such, most of these agencies appear to be suffering the consequences of not having involved this component of their staff: They are now finding that the factors and weightings of factors cannot be integrated into the current MIS approach. Had they involved MIS personnel in the development process, they would have been able to identify this caveat.
- Inability to function properly due to crowding--The second major weakness reported by respondents is the inability of their new classification systems to adequately function due to overcrowding. Some agencies reported that while their systems are generally able to effectively classify inmates relative to security and custody requirements, there are not sufficient beds to accommodate these assignments. As a result, inmates tend to "back up" in facilities that are inappropriate with respect to their levels of risk and programming needs. Thus, some respondents stated that their classification systems, in effect, are not working and that the majority of inmates assigned to inappropriate institutions are

underclassified, waiting for transfer to a higher security facility when beds become available. While some of these agencies may believe that their systems are not functioning properly, project staff would take issue with this belief. The function of a classification system is to adequately assess an inmate's security and custody needs and program requirements, and then make a recommendation for an appropriate housing assignment and program placement. Simply because the proper beds and programs are not available does not mean that the classification system is ineffective. Indeed, the classification system's responsibility ceases once the assessment has been properly completed. It would appear that it is the correctional system in general and the number and type of physical plants operated by the agency in particular that are deficient. If the classification system indicates, for example, that 33% of the inmate population requires maximum security, then it is the responsibility of the agency, if it has faith in the classification system, to support increasing the agency's bed capacity.

- Efforts to validate system incomplete--The third major weakness reported by responding agencies is the lack of effort to validate the system. Again, this does not appear to be a weakness in the system but rather a reflection of the agency itself and the priority that it has assigned evaluation of the impact and effectiveness of the classification approach. Agencies' responses indicate a tendency not to make adequate provisions for funding, staff, and time to complete the validation process.

Further Fine-tuning

It was anticipated that correctional agencies would continue to modify their new classification systems to meet changing needs.

Most of the agencies responding to the survey have not utilized their new systems to address needs other than the security and program assessment of the inmate population. This stems, in part, from the infancy of most systems and from commitments to implement objective systems in a timely fashion without much consideration of other applications, particularly functions associated with inmate management and facility operation. Those agencies that did report that they would be revising their new classification systems or adapting them to meet changing needs suggested the following examples:

- (1) Classification of special management inmates, most notably to manage the recent growth in protective custody and disruptive inmate populations;
- (2) Classification improvements to respond to anticipated prisoner litigation, specifically litigation pertaining to institutional assignment;

- (3) Classification system capabilities designed to assist correctional administrators in planning and fiscal year budgeting;
- (4) Expanded use of the classification system to fill minimum security beds, which seem to be the type of security housing most available in many correctional systems;
- (5) Classification of the ever-increasing numbers of long-term offenders. Most states have experienced recent changes in sentencing laws that have substantially increased the length of confinement for certain criminal offenses. Many correctional systems report that they are now feeling the impact of these sentencing laws and need to revise their objective classification approach to respond to the needs of long-termers.

The Missouri Department of Corrections and Human Resources has probably made the most dramatic use of an objective classification system in planning. The Department recently completed a 10-year facility master plan. The foundation for this master plan was two years of historic data generated by the agency's objective classification system. This system provided the Department and its planning consultants with data pertaining not only to inmate security and custody needs, both current and future, but also to programmatic requirements in the areas of medical and health care, mental health care, educational and vocational training, alcohol and drug abuse needs, and work skills that will likely be available and required over the next decade. Based upon an analysis of these data, the Department was able to prepare the master plan, which provides recommendations concerning the number, type, and location of new facilities, as well as the year that each new facility should be available for occupancy to accommodate the anticipated growth in the Missouri inmate population.

When asked if they planned any further evaluation or fine tuning of their systems, 77% of the agencies responded affirmatively. Only Pennsylvania said it has no such plans. (19% did not respond to this question.)

Additional Areas for System Improvement

Finally, respondents were given a hypothetical situation to consider: "If additional funding to improve prisoner classification were available to your agency, in what areas would your agency need technical assistance?" They were then given a list of ten areas to rank in order of importance. Not surprisingly, in light of most agencies' assessment efforts, the top-ranked area was evaluation/validation. The next highest ranking was integration of classification system with management information system. Agencies also evidenced concern with special management inmates, rating refinement of system for this prisoner population as the third most important area. Additional areas requiring technical assistance are listed below in the order of importance determined by respondents:

- Implementation
- Development of classification system for planning purposes
- Staff training in operation and utilization of the system
- Development of program needs assessment component
- Development of classification decision-making monitoring system
- Development/revision of classification manual
- Security/custody rating of correctional institutions

This ranking provides some clues as to how agencies would like to refine and expand their systems. For jurisdictions considering development of objective systems, it suggests some areas in which they may require technical assistance.

**EVALUATION OF
OBJECTIVE PRISON
CLASSIFICATION SYSTEM EFFECTIVENESS**

CHAPTER 1 OBJECTIVES AND METHODOLOGY

Introduction

The most promoted benefit of prison classification is that it favorably controls inmate conduct, which enhances the overall management and safety of a correctional system. Measures such as assaults on staff or inmates, escapes, suicides, and other fatalities are examples of what can be referred to as the "vital signs" of an institution. Prison classification systems that use scoring criteria found to be associated with inmate conduct should demonstrate a measurable, positive impact on these vital signs over time. Research should concentrate on establishing whether each item in the scoring system is statistically associated with conduct, inmates are being housed principally according to risk level, and negative inmate behavior is being controlled.<1>

The central objective of this study of classification effectiveness was to examine the impact of three agencies' objective classification systems on these measures of inmate conduct. The methodological approach was to employ two impact designs (time-series and cohort validation) and process analysis to answer three basic questions: (1) What are the structure and the process of the classification system? (2) How predictive are individual items used in the system? and (3) What impact has the new classification system had on aggregate rates of misconduct?

This introductory chapter briefly describes the selection of the three agencies, the data collected, and the research designs used to conduct the process and impact analyses. It should be emphasized, however, that this effort represents the first major study of objective classification systems and must be considered preliminary for several reasons. First, it is primarily an analysis of initial classification instruments, with minimal attention to reclassification instruments. In the three agencies reviewed here, reclassification components have either been used infrequently or just been implemented. Second, there are severe limitations in using existing correctional data systems that make it difficult to carefully track inmates in terms of their institutional conduct, housing assignments, and program participation. Subsequent studies will be enhanced if statistical analyses are conducted using more carefully constructed validation samples in lieu of existing correctional information systems. Finally, systems are rarely implemented as designed or are in a constant state of change. Excessive use of overrides caused by prison crowding or staff unwillingness to follow the

<1> There are, of course, certain inmates who, by virtue of their crimes, cannot be placed in minimum security environments regardless of their estimated risk levels. In some states, for example, statutory limitations are set on classification levels for certain offenses.

*Must be its reference
study but should be
comparative study*

new system can easily strip away the potential for conducting a true test of a system's impact.

Despite these limitations, the findings presented here represent a comprehensive evaluation of three classification systems as they have operated under real prison conditions. The final chapter suggests future studies that can enhance practitioners' understanding of how successful objective classification systems are in reaching their objectives.

Agency Selection Criteria

One of the major factors in selecting an agency was locating those that, as of 1983, had operated an objective classification system for a period sufficient to conduct inmate follow-up and time-series analysis. This factor alone eliminated most jurisdictions. Most agencies are just beginning to implement objective classification systems and have not had sufficient operational time to warrant impact analysis.

The second criterion was data availability. Due to budgetary limitations associated with this study, it was not possible to conduct original data collection in all three jurisdictions. Consequently, selection was further restricted to those agencies that had implemented individual-based classification management information systems capable of tracking a cohort of prison admissions through a specified follow-up period. Agencies also had to demonstrate a capacity to provide aggregate data not only on inmate misconduct rates but also on a number of other population movement indices.

Finally, it was preferable that the three agencies represent diversity in their classification systems and inmate populations. As indicated in the national survey, a wide array of objective systems have been recently implemented. By purposely selecting unique systems, the lessons learned here could be generalized to a larger number of correctional agencies.

California, Illinois, and Wisconsin were the three agencies eventually selected for inclusion in the effectiveness study. As shown in Table 14, each differs dramatically in terms of its 1984 inmate population characteristics. California has the nation's largest and most crowded prison system. Of the three, California also has the highest inmate/staff ratio--a factor that can affect inmate misconduct rates. Wisconsin, despite its relatively small size, is also severely crowded but has the lowest inmate/staff ratio. Only Illinois appears to be without a serious crowding situation, principally because of its aggressive early release and prison construction program.<1>

<1> National Council on Crime and Delinquency, Using Early Release to Relieve Overcrowding: A Dilemma in Public Policy (NIJ Grant 83-1J-CX-K026), 1986.

Table 14

Key Characteristics of Agencies Selected
for Effectiveness Evaluation<a>

	<u>California</u>	<u>Illinois</u>	<u>Wisconsin</u>
1. 1984 Population	43,314	17,187	5,023
2. Incarceration Rate Per 100,000 Population	162	149	105
3. Rated Capacity	28,922	17,392	4,298
4. Percent Crowded	150%	99%	117%
5. Percent Population Growth, 1983-1984	10.0%	10.2%	3.2%
6. Prison Admissions Per 100 Serious Crimes	2.8	3.6	4.1
7. Ethnicity			
White	36.5%	33.6%	62.9%
Black	36.2%	59.4%	33.4%
Hispanic	27.2%	6.8%	< 1%
8. Total Staff	11,941	7,006	3,404
9. Total Custody Staff	6,537	4,225	N/A
10. Inmate/Total Staff	3.6	2.5	1.5
11. Inmate/Custody Staff	6.6	4.1	N/A
Date Classification System Implemented	March 1980	November 1981	November 1982
Modified	1984	1982	1983, 1984

*why are there
not applicable*

<a> Source for items 1-6: Prisoners in 1984, April 1985, NCJ-97118.
Source for items 7-11: The Corrections Yearbook, 1984. Criminal Justice
Institute, Inc.: South Salem, NY.
Wisconsin data for item 7 are based on admissions 1983-1984.

Although Wisconsin has a much smaller prison population, it is not clear that its inmates are less "sophisticated" than those found in the larger states. Prison admissions per 100 serious crimes reported to police are highest for Wisconsin, which, coupled with its low incarceration rate, may suggest a higher filtering of only the most serious offenders to prison.

Research Methods

A substantial amount of aggregate and individual inmate data was collected to complete the effectiveness study. These data are summarized in Table 15 and explained in greater detail in the following sections describing the three major research designs: interrupted time-series, admission cohort validation study, and process analysis.

Table 15

Summary of Data Used for Effectiveness Evaluation

	<u>California</u>	<u>Illinois</u>	<u>Wisconsin</u>
<u>Time-Series Data</u>			
Period Covered	1976-1984	1979-1984	1983-1984
Interval Level	Annual	Monthly	Monthly
By Facility	Yes	Yes	Yes
Source	Manual Reports	Manual Reports	Automated File
Primary Variables			
Fatalities	x	x	x
Suicides	x	x	x
Escapes	x	x	x
Assaults	x	x	x
Drugs	x	x	x
Sex	x	x	x
<u>Individual Data</u>			
Admission Sample Size	16,000	1,333/500	5,218/1,693
Period Covered	1981-1982	1982	1982
Follow-up Period	6 mos.	6 mos./12 mos.	12 mos./6 mos.
Source	Automated	Manual	Automated

Interrupted Time-Series Design

Time-series analysis was used to measure changes in aggregate rates of inmate conduct over time. Advocates of objective classification argue that if these systems are truly predictive, they should, at a minimum, not aggravate

current misconduct rates even though a larger proportion of the inmate population may be housed in less secure facilities according to the new scoring process. The primary objective of the time-series analysis, then, is to determine if aggregate rates changed after introduction of the new system and whether other factors (especially instrumentation and history) may also have influenced inmate misconduct rates.

In order to complete the time-series analysis, a substantial amount of data from existing correctional information systems was needed. To make analysis meaningful, a minimum of two years of pre- and post-classification system implementation data was requested from each agency. Students of time-series analysis will recognize that these time intervals are inadequate for rigorous analysis. More specifically, the post-classification period is insufficient for reaching definitive conclusions on system impact. Despite these methodological limitations, the simple plotting of pre- and post-implementation trends will at least offer some preliminary conclusions regarding the effect of the new classification systems on aggregate rate of inmate conduct. Aggregate data were also collected on the most serious indicators of inmate misconduct. Although operational definitions and reporting standards varied somewhat among the three agencies, making interstate comparisons problematic, it was possible to obtain aggregate data for the following categories of inmate behavior:

- Escapes
- Fatalities (homicides)
- Suicides
- Inmate assaults/fights
- Drugs (sale and possession)
- Sex (voluntary and involuntary acts)
- Possession of dangerous contraband/weapons

To control for population fluctuations (generally upward), daily population figures were collected to convert the disciplinary incidents to rates per 100 inmates. Daily population and bed capacity data also allowed observation of the relationship of crowding to misconduct rates over time.

In Illinois and California, these time-series rates were further broken down by institution to see if the system-wide time-series trends were occurring at most facilities. Illinois provided the most detailed data in monthly summaries for each institution, dating back to 1979. California, however, had the most extensive annual data, going back as far as 1976. Wisconsin provided a copy of its automated disciplinary incident file, but it included information only as far back as 1981.

Inmate Validation Cohort Design

This phase of the evaluation was intended to provide a better understanding of the predictive value of these instruments relative to inmate behavior.

For each of the three agencies, a representative cohort of prison admissions processed through the new classification system was analyzed. Information was collected on the various items on each instrument used to score inmates' classification levels.

Follow-up disciplinary data were also collected for the three cohorts to test the predictive value of each classification item as well as the overall classification scale. In Wisconsin, due to revision of the scoring instrument in 1984, these follow-up data were limited to the first six months of the inmate's incarceration. In California, which conducted its own analysis in coordination with this study, a six-month follow-up period was used for its FY 81-82 sample of 16,000 prison admissions classified under the new system. In Illinois, the classification data file is not fully automated or capable of tracking an individual's disciplinary and movement history. Consequently, it was necessary to utilize a much smaller random sample of 1,333 cases, which consisted of new admissions during a three-month period in 1982. Data on disciplinary tickets had to be collected manually, which limited follow-up analysis to a random sub-sample of 500 of the original 1,333 sampled cases.

Process Analysis of Classification Decision-making

Although much of the validation analysis is based on these cohort samples, additional process analyses were completed, using these and other data samples. The purpose of these analyses was to determine the items dominating the scoring process, the extent and nature of classification overrides, and the movement of inmates through the system. California supplied a classification data file of its current inmate population (43,000 cases), which allowed project staff to conduct refined analysis of factors determining the classification scores. It was also used to simulate the NIC classification model on the California inmates to learn if the systems classify inmates comparably.

In many ways, this fundamental level of assessment was equally essential to the total effectiveness evaluation. For example, in order to examine the impact of these classification systems, it was first necessary to describe how they functioned. Similarly, knowing which items dominate classification scoring was important to determining whether the systems were controlling inmate behavior as intended.

CHAPTER 2

ASSESSMENT OF THE AGENCIES' CLASSIFICATION SCORING PROCESSES

Introduction

In this chapter, each of the three agencies' systems is analyzed to identify which items on their classification instruments are most important in scoring an inmate's classification level. In one sense, this analysis represents an internal audit to ascertain which items dominate the overall scoring process.

This analysis is critical for two reasons. First, it provides valuable insight into the scoring process itself. Is the system more dependent on initial classification or reclassification items? Does the scoring process rely more on such pre-incarceration items as age, employment, and criminal history, when compared to measures of current or previous in-custody behavior?

Second, it is important to learn if the more heavily weighted items are also the most predictive of institutional conduct. In performing the validation analysis, comparisons can be made between those items that are most predictive of in-custody behavior and those that are most influential in determining the inmate's classification level. Under ideal circumstances, the most influential scoring items should also be the items most predictive of inmate behavior.

California Classification Instruments

The structure of the California classification system differs substantially from the other two systems in several ways. The only common traits among the California, Illinois, and Wisconsin systems are that they all consist of both initial and reclassification instruments and that they all use an additive scoring scale.

The most striking feature of the California system is the number of items used for initial classification. Twenty-four items are used on Form 839, California's initial classification instrument (see Figure 20). An additional 12 items are used at reclassification to adjust the initial classification score. The initial scoring items are grouped according to background and prior incarceration behavior as follows:

Background Factors

- (1) Prison term (Sentence length)
- (2) Stability (Age, employment, education, military)
- (3) Prior escape
- (4) Holds and detainers
- (5) Prior sentences served (Adult, juvenile, jail)

CDC CLASSIFICATION SCORE SHEET

Figure 20

RACE/ETHNIC STATUS

(code one)

- 1-White
2-Mexican descent
3-Black
4-Indian
5-Chinese
6-Japanese
7-Filipino
8-Hawaiian
9-Other

23

DATE LAST RECEIVED CDC:

mo day year
24 25 26 27 28 29

COUNTY:

30 31 32 33 34

BASE OFFENSE:

(name)

BASE OFFENSE

CODE: NUMBER:

35 36 37 38 39 40 41

MINIMUM RELEASE DATE:

mo day year
42 43 44 45 46 47

STATUS (code one):

- 1-New Commitment
2-PV-WNT
3-PV-RTC

48

RECEPTION CENTER:

RCC NRC
CRC CCC
RCW SC
CIW 49 50 51

CALCULATION OF SCORE

BACKGROUND FACTORS

1. Total DSL Term

a) Sentence length()

b) Minus 1 year = $\times 4 =$ 52

Stability

a) Under 26 yrs. at reception +2 = 54

b) Never married/common law or marriage not intact +2 = 55

c) Not high school graduate or GED +2 = 56

d) Not more than 6 months with one employer +2 = 57

e) No military or not honorable discharge +2 = 58

3. Prior Escapes

a) No. of walkaways/escapes $\times 4 =$ 59

b) No. of breached perimeter or escape is committing crime $\times 8 =$ 61

c) No. of escapes with force $\times 16 =$ 63

4. Holds and Detainers

a) No. of holds where new prison sentence, deportation likely $\times 6 =$ 65

5. Prior Sentences Served

a) No. of jail or county juvenile of 31+ days (limit to 3) $\times 2 =$ 67

b) No. of CYA, state level juvenile (limit to 3) $\times 2 =$ 69

c) No. of CDC, CRC, adult state -federal level (limit to 3) $\times 4 =$ 71

i) Total Background Factors Score

Work Skills 73

PRIOR INCARCERATION BEHAVIOR

6. Unfavorable Prior Behavior

a) No. of serious or major disciplinary last incarcerated year $\times 4 =$ 7

b) Escape in last incarceration $\times 8 =$ 9

c) No. of physical assaults on staff $\times 8 =$ 11

d) No. of physical assaults on inmates $\times 4 =$ 13

e) No. of smuggling/trafficking drugs $\times 4 =$ 15

f) No. of possessing deadly weapons $\times 4 =$ 17

g) No. of inciting disturbance $\times 4 =$ 19

h) No. of cause serious injury/assault $\times 16 =$ 21

Total Unfavorable Points =

7. Favorable Prior Behavior

a) Successfully completed last four months in any minimum custody or successful dorm living last incarceration -4 = 23

or successful minimum custody last year of incarceration -8 = 24

b) No serious or major IIS's last year of incarceration -4 = 25

c) Full time work/school/voc., above average program last incarcerated year -4 =

Total Favorable Credits =

ii) Net Incarceration Behavior Score

Unfavorable minus Favorable = + or -

TOTAL COMBINED BACKGROUND FACTORS AND PRIOR INCARCERATION SCORE = 26

Counselor's Signature:

Supervisor's Signature:

Date:

CLASSIFICATION STAFF REPRESENTATIVE ACTION

Institution Approved:

Cat:

CSR Last Name:

F.I

Exceptional Placement *

Date of Action: n:

29 30 31 32 33 34 35

36 37 38 39 40 41

42

43 44 45

46 47 48 49 50 51

*Explain Exceptional Placement:

CDC NUMBER: (end in Col. 6) INMATE'S LAST NAME: (start in Col. 7)

INITIALS:

YEAR OF BIRTH:

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18

19 20

21 22

CDC 239 (Rev. 6/80)

Prior Incarceration Behavior Factors

- (1) Unfavorable prior behavior (Incidents and escapes)
- (2) Favorable prior behavior (Minimum security placement, work programs)
- (3) Sentence modification changes

It is important to note that inmates are "rewarded" for positive behavior during previous incarcerations, which reduces the initial classification score. However, inmates also receive additional points (or are "penalized") for each prior jail, prison, or juvenile commitment. Thus, inmates receive points for multiple prison terms but may have negative points for evidence of good institutional conduct during these incarcerations.

Once a final initial score is calculated, inmates are categorized according to four security levels (I-IV), with Level IV representing the highest security designation:

<u>Security Level</u>	<u>Initial Classification Points</u>
Level I (Minimum)	0-19 points
Level II (Low Medium)	20-29 points
Level III (High Medium)	30-49 points
Level IV (Maximum)	50 or more points

Inmates are then assigned to one of 14 prisons with a security designation matching the inmate's security level. The following criteria are used to classify the institutions:

- Level I: Institutions with open dormitories ^{and} ~~but~~ without a secure perimeter.
- Level II: Institutions with open dormitories, ~~with~~ secure perimeters and armed coverage.
- Level III: Institutions with outside cell construction, fenced perimeter, and armed coverage.
- Level IV: Institutions with walled perimeters, armed coverage, both inside and outside the facility, and inside cell construction.

Reclassification is used only to make adjustments in the initial classification point total. In contrast to the Illinois and Wisconsin systems, the original point total follows the inmate throughout imprisonment and can be modified at reclassification only by having points added or subtracted from the most recent tabulated score. This is an important distinction and, as will be discussed later, has important consequences for how quickly an inmate can move to a lower security level through good conduct.

Items used to reclassify are wholly measures of in-custody behavior as documented since the last classification score (usually 12 months). The weighting of both unfavorable and favorable behavior, as shown on Form 840 (Figure 21), is greater for the negative factors. In particular, inmates can receive substantial points (16) for each incident of possessing a deadly weapon and causing serious injury or assault. Conversely, the weights for positive behavior range only between 2 and 4 points.

Initial Classification Scoring Analysis

Due to the unique structure of California's instruments, statistical analysis was performed on a data set differing from those used for Illinois and Wisconsin. California's Department of Corrections (CDC) maintains a classification data system that tracks both initial and reclassification scoring processes. CDC provided a copy of this data file, which included classification records on the agency's 45,000-inmate population as of June 30, 1985. A subsample of 1,520 records was randomly drawn from the original population in order to conduct statistical analysis at reduced data processing costs.

Table 16 presents descriptive and regression results for the initial classification items. The regression analysis is simply a stepwise regression of the 24 initial classification items' scores on the total initial classification score. This statistical technique is designed to highlight those items on the instrument that "explain" the largest proportions of variance in initial classification scores.

The most striking finding in this analysis is the dominating influence of the prison term item. It alone accounts for 79% of the variance in total score and has a mean point of 28, which far exceeds any other item. A few other items (prior prison terms, prior jail terms, number of holds and warrants, and major disciplinary reports from prior incarcerations) exert only minimal influence on the initial scoring process. The remaining items have virtually no effect whatsoever.

Figure 21

CDC Reclassification Score Sheet

	mo	day	yr		mo	day	yr		mo	day	yr								
DATE OF CURRENT REVIEW:				21				21				21							
8. Unfavorable Behavior Since Last Review																			
a) No. of serious or major CDC 115's				27				27				27							
b) No. of escapes during current period				29				29				29							
c) No. of physical assaults on staff				31				31				31							
d) No. of physical assaults on inmates				33				33				33							
e) No. of smuggling/trafficking in drugs				35				35				35							
f) No. of possessing deadly weapons				37				37				37							
g) No. of inciting disturbance				39				39				39							
h) No. of cause serious injury/assaults				41				41				41							
i) Total Unfavorable Points				= +				= +				= +							
9. Favorable Behavior Since Last Review																			
a) Continuous minimum custody				43				43				43							
b) Continuous dorm living				45				45				45							
c) No serious 115's				47				47				47							
d) Above average, full time work/vocational/school program				49				49				49							
ii) Total Favorable Credits				= -				= -				= -							
10. Computation of Classification Score																			
a) Net Change = Unfavorable less Favorable				=				=				=							
b) Any change for holds or detainers (6 points)				= + or -				= + or -				= + or -							
c) Any change of sentence points (4 points per year)				= + or -				= + or -				= + or -							
d) Prior Classification Score				=				=				=							
e) Adjusted Classification Score				=				=				=							
11. Current Placement																			
a) Current institution/camp:				63				63				63							
b) assigned custody: (e.g. MIN-A-RS)				69				69				69							
c) Special custody housing: (SHU/MCU/PHU)				75				75				75							
d) Special case factors:				7				7				7							
e) Any change in Minimum Release Date:				10				10				10							
12. Staff Signature: _____																			
13. Auditor Signature: _____																			
14. CSR Action:																			
a) Institution approved:				16				16				16							
b) CSR's last name/first initial:				23				23				23							
c) Exceptional placement:				30				30				30							
Reasons:																			
15. Community Placement Consideration:																			
a) Placement:				33				33				33							
b) Date:				39				39				39							
CDC NUMBER: (used in Col 6)																			
1	2	3	4	5	6	INMATE'S LAST NAME:			INITIALS										
						7	8	9	10	11	12	13	14	15	16	17	18	19	20

CDC 840 (Rev. 6-80)

Table 16

California Initial Classification
Percent of Variation (R^2) in Classification Point Score
by Classification Item

<u>Item</u>	<u>N</u>	<u>Mean Score</u>	<u>S.D.</u>	<u>R^2<a></u>
Under age 26 at reception	1519	0.83	0.98	0.00
Assaulted inmate--prior incarceration	1519	0.22	1.26	0.00
Assaulted staff--prior incarceration	1519	0.24	1.82	0.00
Incite disturbance--prior incarceration	1519	0.08	0.64	0.00
Drug traf/smug--prior incarceration	1519	0.03	0.45	0.00
Escaped--prior incarceration	1519	0.15	1.11	0.00
Caused serious injury--prior incarceration	1423	0.20	1.97	0.00
Min cust or dorm--prior incarceration	1521	0.67	1.85	0.00
# serious discipl--prior incarceration	1520	1.55	4.27	0.02
No serious discipl--prior incarceration	1520	0.57	1.39	0.00
Work, educ, voc credits	1520	0.32	1.09	0.00
Poss deadly weapons	1519	0.21	1.39	0.00
# prior prison incarcerations	1521	2.89	3.89	0.01
# prior cya prison incarcerations	1519	0.75	1.40	0.00
# prior escape w/force	1519	0.04	0.82	0.00
# holds at admission	1519	1.36	3.23	0.01
# prior jail sentences	1520	2.78	2.39	0.01
Prior escapes-breached perimeter	1519	0.44	2.10	0.01
No honorable disch military	1520	1.67	0.73	0.00
Not high school graduate	1519	1.15	0.98	0.00
Not 6 months employment	1520	1.03	0.99	0.00
# prior walkaways	1519	0.77	2.40	0.01
Never married	1519	1.34	0.93	0.00
DSL sentence points	1520	27.82	29.80	0.79
Total initial classification score	1520	43.58	31.65	1.00

<a> Calculated using SAS GLM procedure.

 Total does not equal 1.00 due to rounding.

Reclassification Scoring Analysis

Analyzing California's reclassification instrument is more difficult, given CDC's structure of retaining the initial score and allowing reclassification items only to increase or decrease the initial point total. The amount of points (both negative and positive) that inmates receive at reclassification is first presented, followed by an analysis of how these points affect the initial classification point total.

Table 17 lists the 12 items used at reclassification and their descriptive statistics. Two items (change in holds and warrants and change in prison term score) merely represent modifications in the initial classification score, due to changes in the inmate's criminal case(s). It should also be noted that only 909 (or 60%) of the original 1,520 sample had reclassification scores, suggesting that reclassification has not occurred as frequently as designed.

Table 17

Mean Scores of California's Twelve Reclassification Items

<u>Item</u>	<u>N</u>	<u>Mean Score</u>	<u>S.D.</u>
Cum change for holds	908	-0.25	2.67
Cum change for term	908	-2.86	16.17
Assaulted inmate-cum, curr behavior	909	0.40	2.13
Assaulted staff-cum, curr behavior	909	0.39	2.63
Caused serious injury-cum, curr behavior	909	0.38	3.80
Incited disturbance-cum, curr behavior	909	0.11	1.04
Continuous dorm living-cum, curr behavior	909	0.69	2.06
Smuggled drugs-cum, curr behavior	909	0.08	0.87
Escaped-cum, curr behavior	909	0.14	1.23
Continuous min cust-cum, curr behavior	909	0.68	3.05
# serious discip-cum, curr behavior	909	7.91	12.47
No serious discip-cum, curr behavior	909	5.26	8.15

The most significant trend in Table 17 is that only two items (number of serious disciplinary reports and absence of serious disciplinary reports) demonstrate any substantial scoring power. However, are they sufficient to significantly mitigate the strong influence of the prison term item, which dominates the initial classification score?

To test this proposition, a series of regression runs was conducted, incorporating both initial and reclassification items and using various measures of the inmate's current classification level score. The first regression integrates all the items on Forms 839 and 840 (Table 18). The first

five items entered into this regression equation show that prison term continues to explain an overwhelming proportion of the variation in current classification score, although at a reduced level.

Table 18

California
Percent of Variation (R^2) in Current Classification Score
by Classification Item

<u>Item</u>	<u>R^2<a></u>
Prison term	0.38
Major disciplinary reports--current incarceration	0.07
Change in prison term	0.02
No major disciplinary reports--current incarceration	0.02
Major disciplinary reports--prior incarceration	0.01
Prior CDC commitments	0.01
Current holds or detainers	0.01
Total R^2 for all 36 classification items	0.98

<a> Calculated using SAS GLM procedure. Cases with missing reclassification data were deleted from the analysis.

It could be argued that using the interval level point total may artificially inflate the importance of the prison term item. After all, it is classification level, not classification points, that is most relevant. Therefore, the ordinal classification level (I-IV) was substituted as the dependent variable in the equation. Despite this change, prison term was again found to dominate classification level designation (see Table 19). However, it is noteworthy that measures of current and prior incarceration behavior play a slightly more powerful role in this regression equation.

Finally, it could be contended that prison term may have much to do with determining whether an inmate is housed in Level IV (maximum security) but have little importance in determining placement in Levels I, II, or III. To test this proposition, the same regression analysis was conducted, deleting the Level IV inmates to limit the analysis to inmates classified as Level I, II, and III. As shown in Table 20, the effect of prison term is reduced somewhat, but it continues to be the most influential item in determining classification level. Current institutional behavior items exert a greater influence but still remain less important than the prison term score.

Table 19

California
Percent of Variation (R^2) in Classification Level
by Classification Item

<u>Item</u>	<u>R^2<a></u>
Prison term	0.23
Major disciplinary reports--current incar	0.07
Current continuous dorm living	0.03
Prison term change	0.01
Current holds and detainers	0.01
Total R^2 for all 36 classification items	0.77

<a> Calculated using SAS GLM procedure. . Cases with missing reclassification data are deleted from the analysis.

Table 20

California
Percent of Variation (R^2) in Classification Level
by Classification Item
Excluding Level IV Inmates

<u>Item</u>	<u>R^2<a></u>
Prison term	0.25
Major disciplinary tickets--current incar	0.15
Change in prison term	0.04
No major disciplinary tickets--current incar	0.05
Prior CDC commitments	0.03
Current holds and detainers	0.03
Major disciplinary reports--prior incar	0.02
Total R^2 for all 36 classification items	0.82

<a> Calculated using SAS GLM procedure. Cases with missing reclassification data are deleted from the analysis.

This pattern in California's scoring process indicates that its system is less sensitive to recent in-custody conduct when compared to the Illinois and Wisconsin systems, as described later in this chapter. It also means that inmates who receive lengthy sentences for murder, rape, and other serious crimes will have little opportunity to leave maximum security institutions for many years, regardless of their prison conduct or the amount of time left to serve on their sentences. By relying so extensively on prison term, the courts, rather than corrections, are more influential in determining an inmate's classification level. This can be clearly seen by comparing the classification of the California inmates at intake versus current classification status (Table 21). The population shifts are quite modest and illustrate how difficult it is, especially for Level IV inmates, to move out of one's initial security level.<1> This feature of the California system has proved controversial among both inmates and staff. As a result of these findings, steps are now being taken to modify the reclassification form so that the pervasive influence of the prison term item is lessened.

1/4 to move
in move
be

Table 21

Comparison of California's Initial and Reclassification Levels
(N = 909)

<u>Classification Level</u>	<u>Initial Classification</u>	<u>Current Classification</u>
I	16.9%	31.5%
II	25.2	19.6
III	28.8	22.8
IV	29.0	26.1

Illinois Classification Instruments

The Illinois classification system also consists of initial classification and reclassification instruments. Of the two, initial classification represents the more complex scoring process and is discussed first.

Initial classification actually consists of two instruments: (1) Adjustment items and (2) Dangerous items (see Figure 22). The items and associated weights included in each of these two instruments are described briefly below:

<1> A more detailed analysis of how inmates move from one level to another over time is presented in Chapter 3.

ILLINOIS DEPARTMENT OF CORRECTIONS
CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

PAGE 1

CIMIS

RUN DATE: 10/21/85 RECEPTION CLASSIFICATION REPORT # 6
CENTRALIA (12)

NAME:

IDOC NUMBER:

EVALUATION DATE: _____

*** SECURITY DESIGNATION ***

ADJUSTMENT SCORE

1. A. AGE AT CURRENT ADMISSION _____

(SUBTRACT 14 FROM CURRENT AGE)

- 14
=====

B. AGE AT ADMISSION SCORE _____

(ENTER THIS VALUE IN THE SPACES
UNDER COLUMN B FOR 2, 3, 4)

SEE CODE SHEET A FOR 2-5

(ROUND CALCULATIONS 2-4 TO THE NEAREST WHOLE NUMBER)

CONVICTIONS X WT/AGE AT ADMISSION SCORE _____

(COLUMN A)

(COLUMN B)

(COLUMN C)

2. NUMBER OF CONVICTIONS
(NOT INCLUDING CURRENT)

_____ X 20/ _____

= _____ (A)

3. VIOLENCE RATIO SCORE _____

_____ X 10/ _____

= _____ (B)

4. ADJUSTMENT RATIO SCORE _____

_____ X 30/ _____

= _____ (C)

5. ESCAPE/ABSCONDING SCORE

ENTER 5 AT (D) IF EVER CONVICTED OF ESCAPE OR ABSCONDING FROM A
PRIOR SUPERVISION OR INCARCERATION, OTHERWISE ENTER 0 (ZERO)

_____ (D)

6. CURRENT OFFENSE SCORE

ENTER 10 AT (E) IF SERIOUSNESS OF CURRENT OFFENSE RATES
0 THROUGH 7 ON CODE SHEET B, OTHERWISE ENTER 0 (ZERO)

_____ (E)

7. PRIOR SUPERVISION HISTORY

ENTER 5 AT (F) IF THERE WAS A TECHNICAL VIOLATION OR NEW
OFFENSE WHILE ON SUPERVISION, OTHERWISE ENTER 0 (ZERO)

_____ (F)

8. TOTAL ADJUSTMENT SCORE

ADD 2 THROUGH 7, ENTER AT (G)

_____ (G)

RUN DATE: 10/21/85 RECEPTION CLASSIFICATION REPORT # 6
CENTRALIA (12)

NAME: IDOC NUMBER:

DANGEROUS SCORE

9. CURRENT OFFENSE SERIOUSNESS
ENTER 10 AT (H) IF SERIOUSNESS OF CURRENT OFFENSE RATES 5 OR
HIGHER FROM CODE SHEET 3, OTHERWISE ENTER 0 (ZERO) _____ (H)
10. EMPLOYMENT SCORE
ENTER 10 AT (I) IF UNEMPLOYED PRIOR TO THE COMMISSION OF THE
OFFENSE; IF FULL TIME, PART TIME OR PARTIALLY EMPLOYED,
ENTER 0 (ZERO) _____ (I)
11. AGE SCORE
ENTER 7 AT (J) IF 22 OR UNDER, OTHERWISE ENTER 0 (ZERO) _____ (J)
12. VIOLENT OFFENSE SCORE
ENTER 5 AT (K) IF A PRIOR CONVICTION FOR VIOLENCE AGAINST A
PERSON, OTHERWISE ENTER 0 (ZERO) _____ (K)
13. EXPECTED LENGTH OF STAY
ENTER 3 AT (L) IF EXPECTED STAY IS GREATER THAN 3 YEARS,
OTHERWISE ENTER 0 (ZERO) _____ (L)
14. TOTAL DANGEROUS SCORE
ADD 9 THROUGH 13, ENTER AT (M) _____ (M)

Adjustment Score Items

- (1) Prior convictions (age-weighted)
- (2) Violence ratio score (age-weighted)
- (3) Adjustment ratio score (age-weighted)
- (4) Prior escapes (yes = 5 pts., no = 0 pts.)
- (5) Current offense score (serious = 10 pts., non-serious = 0 pts.)
- (6) Prior parole supervision history (violator = 5 pts., non-violator = 0 pts.)

Dangerous Score Items

- (1) Current offense seriousness (serious = 10 pts., non-serious = 0 pts.)
- (2) Employment score (unemployed = 10 pts., employed PT/FT = 0 pts.)
- (3) Age at admission (under 22 = 7 pts., otherwise = 0 pts.)
- (4) Violent offense score (prior violent conviction = 5 pts., otherwise = 0 pts.)
- (5) Expected length of stay (greater than 3 years = 3 pts., otherwise = 0 pts.)

Both adjustment and dangerous scores are calculated separately and then applied to the security designation matrix shown in Figure 23. Where an inmate falls within the matrix determines his designated security level (minimum, medium, maximum).

A reclassification instrument (Figure 24) was implemented in 1984. Reclassification is expected to occur no later than six months after initial classification. Unlike initial classification, this process consists of a single form utilizing an additive scoring scale composed of the following items:

- (1) Number of days sentenced to segregation in the last six months (15 or more = 20 pts., 5-14 = 10 pts., 0-4 = 0 pts.)
- (2) Current security level (maximum = 7 pts., otherwise = 0 pts.)
- (3) Number of primary assignments in last six months (7 or more = 10 pts., otherwise = 0 pts.)
- (4) Current age (22 or less = 3 pts., otherwise = 0 pts.)
- (5) Prior escapes (1 or more = 6 pts., otherwise = 0 pts.)
- (6) Current offense score (crime of violence = 3 pts., otherwise = 0 pts.)
- (7) Documented gang activity (yes = 2 pts., otherwise = 0 pts.)

Figure 23

CODE SHEET C

SECURITY LEVEL DESIGNATION

Initial Reception Classification MatrixDangerous Scale

		Low (0 - 17)	Moderate (18-21)	High (22 +)
		6	3	1
A D J U S T M E N T S C A L E	Low (01-11) 6	6	4	2
	Moderate (12-29) 3	4/5*	3	2
	High (30 =)	3	2	2

Maximum = 2

Medium = 5, 4, 3

Minimum = 6, 7

Decision Logic: If the inmate is under 21 and first commitment or had a poor prior institutionalization, then security level is 4; otherwise security level is 5.

GM:rf

Figure 24

CIMIS ILLINOIS DEPARTMENT OF CORRECTIONS
CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM
RUN DATE: 10/21/85 RECLASSIFICATION REPORT #3
STATEVILLE

PAGE 1

NAME: IDOC NUMBER: 01

- COUNT THE NUMBER OF DAYS SENTENCED TO SEGREGATION IN THE LAST 6 MONTHS. ADD THIS TOTAL TO THE NUMBER OF DAYS SERVED IN SEGREGATION DURING THE LAST 6 MONTHS TO WHICH THE INMATE WAS SENTENCED PRIOR TO THE BEGINNING OF THIS PERIOD. THIS INFORMATION IS OBTAINED FROM THE MASTER FILE. ENTER THE TOTAL IN (A). ENTER THE APPROPRIATE CODE IN (B).

_____ (A) _____ (B)

- A. 15 DAYS OR MORE, ENTER 20.
- B. 5 TO 14 DAYS, ENTER 10.
- C. 0 TO 4 DAYS, ENTER 0.

- CURRENT SECURITY LEVEL:

- A. MAXIMUM SECURITY (1,2), ENTER 7.
- B. MEDIUM MINIMUM, ENTER 0.

_____ (C)

- ENTER THE NUMBER OF PRIMARY ASSIGNMENTS IN THE LAST SIX MONTHS IN (D). THIS IS OBTAINED FROM THE ASSIGNMENT HISTORY, REPORT # 2, OR THE MASTER FILE.

ENTER THE APPROPRIATE CODE IN (E).

- A. 7 OR MORE PRIMARY ASSIGNMENTS, ENTER 10.
- B. LESS THAN 7 PRIMARY ASSIGNMENTS, ENTER 0.

_____ (D) _____ (E)

- CURRENT AGE OF THE INMATE:

- A. TWENTY-TWO OR YOUNGER, ENTER 3.
- B. TWENTY-THREE OR OLDER, ENTER 0.

_____ (F)

- A DOCUMENTED ESCAPE FROM A FEDERAL, STATE OR COUNTY CORRECTIONAL CENTER THAT RESULTS IN A CRIMINAL CONVICTION OR HAS BEEN ABSENT FROM A COMMUNITY CORRECTIONAL CENTER FOR MORE THAN 24 HOURS.

- A. ONE OR MORE ESCAPES, ENTER 6.
- B. NO ESCAPE HISTORY, ENTER 0.

_____ (G)

- CURRENT OFFENSE SCORE:

- A. CURRENT OFFENSE IS VIOLENCE AGAINST A PERSON, ENTER 3.
- B. OTHERWISE, ENTER 0.

_____ (H)

- GANG ACTIVITY SCORE:

- A. THERE IS DOCUMENTED EVIDENCE THAT INMATE ACTIVELY PARTICIPATES IN GANG ACTIVITIES, ENTER 2.
- B. OTHERWISE, ENTER 0.

_____ (I)

- TOTAL SCORE:

ADD 1 THROUGH 7.

_____ (J)

- SECURITY DESIGNATION:

POINTS	SECURITY RATING	CIMIS CODE
0-3	MINIMUM	6
4-12	LOW MEDIUM	5
13-17	MEDIUM	4
18-23	HIGH MEDIUM	3
24-HIGHER	MAXIMUM	2

_____ (K)

The total score is then applied to the following refined scale to determine the inmate's new security level:

<u>Points</u>	<u>Security</u>
0-3	Minimum
4-12	Low medium
13-17	Medium
18-23	High medium
24 plus	Maximum

Note that the initial classification score influences the reclassification score only to the extent that the inmate's current classification score is accounted for.

Initial Classification Scoring Analysis

The adjustment and dangerous instruments were first analyzed separately, as shown in Table 22. This statistical analysis is based upon the 1,333 admission sample. Again, the approach was to present descriptive statistics for each classification item and then conduct regression analysis to ascertain which items explained the greatest amount of variance in the total score.

As indicated in Table 22, the adjustment score is driven primarily by two factors: the age-weighted burglary/theft item and the age-weighted prior convictions item. These two items account for 75% of the variance in the total adjustment score, and they also are the most heavily weighted items. On the other hand, the dangerous score is driven principally by three items: severity of the instant offense, employment history at admission, and age at admission.

Since both of these scores are applied independently to the security designation matrix, the next step was to learn which of the two initial classification instruments--as well as which specific items--is most important in the scoring process. Table 23 presents a regression analysis in which all 11 items from both initial classification scales are used to predict security level. Note that unlike the previous regression, the R^2 does not reach 1.00 due to a change in how the dependent variable is measured (security level rather than total points), which produces substantial error in the regression estimates. Nevertheless, the analysis does provide a rank ordering of the variables most predictive of the initial score.

Somewhat surprisingly, the first four items from the dangerous score subcomponent dominate the scoring process: (1) current offense seriousness, (2) employment history, (3) current age, and (4) violent offense score. Only three of the six adjustment score items are entered into the regression equation, and they exert minimal influence.

Table 22

Illinois Initial Classification
Percent of Variation (R^2) in Classification Point Score
by Classification Items

<u>Item</u>	<u>N</u>	<u>Mean Score</u>	<u>S.D.</u>	<u>R^2<a></u>
I. Adjustment Score				
Prior convictions	1333	5.34	31.5	.17
Violence ratio score	1333	1.40	3.29	.09
Burglary/Theft ratio score	1333	8.60	59.16	.59
Prior escapes	1333	0.42	1.39	.02
Current offense score	1333	8.93	3.09	.08
Prior supervision history	1333	<u>2.83</u>	<u>2.48</u>	<u>.05</u>
Total		27.52	90.66	1.00
II. Dangerous Score				
Current offense seriousness	1333	3.50	4.77	.32
Employment	1333	6.53	4.76	.39
Current age	1333	2.51	3.36	.18
Violence offense score	1333	1.64	2.35	.09
Expected length of stay	1333	<u>0.55</u>	<u>1.16</u>	<u>.02</u>
Total		14.7	8.12	1.00

<a> Calculated using SAS GLM procedure.

Table 23

Illinois
Percent of Variation (R^2) in Initial Security Level
by All Initial Classification Items

<u>Initial Classification Items<a></u>	<u>R^2</u>
Current offense seriousness (D)	.22
Employment history (D)	.14
Current age (D)	.07
Violent offense score (D)	.04
Prior supervision history (A)	.06
Current offense score (A)	.02
Expected length of stay (D)	.02
Violence ratio score (A)	.00
Prior escapes	.00
Total	.57

<a> (A) = Adjustment scale item

(D) = Dangerous scale item

 Calculated using SAS GLM procedure.

The apparent contradiction between the higher weights assigned to an inmate by the adjustment score subcomponent and its lack of influence on final security designation is explained by the structure of the matrix itself. Individual adjustment and dangerous scores are used simply to place an inmate in a particular cell, which discounts the actual point total generated from either the adjustment or the dangerous scale. Thus, the matrix is designed to give greater influence to the dangerous score at the expense of the adjustment score. This relationship can be seen more clearly by regressing the total dangerous and adjustment scores on the dependent security level score (Table 24). In this analysis, the total dangerous score completely dominates the influence of the adjustment score on the initial security decision.

Table 24

Illinois
Percent of Variation (R^2) in Initial Security Level
by Dangerous and Adjustment Score

	R^2 <a>
Total Dangerous Score	.48
Total Adjustment Score	<u>.00</u>
Total	.48

<a> Calculated using SAS GLM procedure.

From a prison management point of view, this analysis shows that maximum security facilities will tend to house younger inmates (under age 22) with poor employment histories and convictions for serious violent offenses.<1> Also at issue is the appropriateness of weighting so heavily an inmate's employment record, which is difficult to measure but plays such a powerful role in the scoring process.

Reclassification Scoring Analysis

In contrast to the initial classification instrument, analysis of the factors driving reclassification is much more straightforward. The instrument is designed to be driven primarily by inmate behavior, and achieves this objective. As shown in Table 25, the two items explaining the greatest percentage of variance (76%) are days in segregation and number of work assignments. The latter item is intended to reward inmates for maintaining a stable work or program record and discourage unnecessary transfers of unstable or manipulative inmates. The other items, with the exception of documented gang activities, are those also found on the initial classification instrument and serve to restrain rapid movement to classification levels lower than the initial security designation score.

<1> Illinois has since modified its instrument to reduce the influence of age. Agency officials believe it is important to maintain a mix of youthful and older inmates in all institutions in order to decrease the potential for violence.

Table 25

Illinois Reclassification
Percent of Variation (R^2) in Reclassification Score
by Classification Item

<u>Item</u>	<u>N</u>	<u>Mean Score</u>	<u>S.D.</u>	<u>R^2<a></u>
Days in segregation (in last six months)	1333	1.67	5.06	.43
Current security level	1333	1.64	2.96	.15
Number of primary assignments (in last six months)	1333	2.12	4.09	.33
Current age	1333	1.11	1.45	.04
Prior escapes	1333	0.14	0.92	.02
Current offense	1333	2.68	0.93	.02
Gang activities	1333	<u>0.21</u>	<u>0.61</u>	<u>.01</u>
Total reclassification score		9.59	9.13	1.00

<a> Calculated using SAS GLM procedure.

Although these reclassification variables are intended to slow movement to lower security levels, substantial reductions in security level over time can be observed. Table 26 compares initial classification and reclassification scores for the Illinois admission cohort and shows major increases in the minimum security level, along with associated decreases in the maximum security level. This downward movement in security level is caused by inmates maintaining good conduct records as evidenced by an absence of segregation days and/or stability in work assignments. It also suggests that the initial instrument may be assigning maximum security to many inmates who will not demonstrate disruptive behavior during their imprisonment. However, compared to the California system, the Illinois reclassification system allows greater movement at reclassification.

Table 26

Comparison of Illinois Initial and Reclassification Scores
(N = 1333)

	<u>Initial Classification</u>	<u>Reclassification<a></u>
Minimum	8.48%	38.41%
Medium-Low	22.36	31.81
Medium	19.95	15.90
Medium-High	25.58	5.85
Maximum	23.63	8.03

<a> For most cases, reclassification occurred six months after initial classification.

Wisconsin Classification System

As previously noted, Wisconsin adopted the National Institute of Corrections (NIC) Custody Determination Model. This system was first used by the agency in November 1982. Approximately six months into implementation, however, minor modifications were made to instructions regarding the prior offense item on both the initial and reclassification scales. In 1984, more significant changes were introduced. These changes focused on three issues. First, offense severity ratings (both current and prior) were expanded to include a measure of the length of time served. This change was designed to slow the movement of assaultive offenders to lower custody levels. Second, escape history definitions were altered to cover all escape attempts within two years rather than a one-year period. Finally, weights associated with disciplinary reports on the reclassification scale were modified to increase emphasis on serious infractions and decrease the influence of minor reports on classification decisions.

Due to these changes, analyses of the Wisconsin experience include comparisons of the two scales used and discussion of the impact of changes made to the original NIC instruments. To aid understanding of subsequent discussion of the Wisconsin scales, items changed are presented in both their original and revised forms in Table 27.

The NIC initial classification format includes eight items, four of which measure prior assaultive behavior or prior escape attempts. The remaining items were selected based on either demonstrated relationships with behavior in prison or general agreement among correctional administrators that such factors must be considered in assigning custody levels. A score of ten or higher on the first four items (assaultiveness indicators) results in a

Table 27
CHANGES MADE TO CLASSIFICATION SCALES
IN WISCONSIN

ORIGINAL ITEMS

INITIAL CLASSIFICATION

History of Institutional Violence

None 0
Assault and battery not involving use of
a weapon or resulting in serious injury. 3
Assault and battery involving use of a
weapon and/or resulting in serious
injury or death 7

Severity of Current Offense

Low or Moderate 0 High 4
Moderate 2 Higher 6

Prior Assaultive Offense History

None, Low, or Low High 4
Moderate. 0
Moderate. 2 Highest 6

Escape History

No escapes or attempts 0
An escape or attempt from minimum or
below custody, no actual or
threatened violence
Over 1 year ago 1
Within last year 3
An escape or attempt from medium or above
confinement, or an escape from minimum
or below custody with actual or
threatened violence:
Over 1 year ago 5
Within the last year 7

REVISED ITEMS

History of Institutional Violence

None 0
Assault and battery not involving use of a
weapon or resulting in serious injury. 3
Participation in institution disturbance or not. . . 5
Assault and battery involving use of a weapon
and/or resulting in serious injury or death. . . . 7

Severity of Current Offense

Low or Moderate 1 High 3
Moderate 2 Higher 5
Highest(over 7 years served). 7
(under 7 years served) 10

Severity of Other Offenses

Low 1 High 3
Moderate. 2 Higher 5
Highest(over 7 years served) 7
(under 7 years served) 10

Escape History

No escapes or attempts. 0
An escape or attempt from minimum or
below custody, no actual or
threatened violence
Over 2 years ago 1
Within last 2 years. 3
An escape or attempt from medium or above
confinement, or an escape from minimum
or below custody with actual or
threatened violence:
Over 2 years ago. 1
Within the last 2 years or 2 or more
escapes from any level within last 5 yrs. 7

CHANGES MADE TO CLASSIFICATION SCALES
IN WISCONSIN

ORIGINAL ITEMS

RECLASSIFICATION

History of Institutional Violence

None 0
 Assault and battery not involving use of
 a weapon or resulting in serious injury. 3
 Assault and battery involving use of a
 weapon and/or resulting in serious
 injury or death 7

Severity of Current offense

Low or Low Moderate. . . 0 High 3
 Moderate 1 Highest. 4

Prior Assaultive Offense History

None, Low or Low
 Moderate. 0 High. 3
 Moderate 1 Highest 4

Escape History

No escapes or attempts 3
 An escape or attempt from minimum or
 below custody, no actual violence:
 Over 1 year ago -1
 Within the last year 1
 An escape or attempt from medium or above
 confinement, or an escape from minimum
 or below custody with actual or
 threatened violence:

REVISED ITEMS

History of Institutional Violence

None 0
 Assault and battery not involving use of
 a weapon or resulting in serious injury. . . . 3
 Participation in institution disturbance
 or riot 5
 Assault and battery involving use of a weapon
 and/or resulting in serious injury or death. . 7

Severity of Current Offense

Low or Moderate 1 High 3
 Moderate 2 Higher. 5
 Highest(over 7 years served). 7
 (under 7 years served) 10

Severity of Other Offenses

None. 0 Low 1
 Moderate. 2 High. 3
 Higher 5
 Highest(over 7 years served. 7
 (under 7 years served) 10

Escape History

No escapes or attempts 0
 An escape or attempt from minimum or below
 custody, no actual or threatened violence:
 Over 2 years ago 1
 Within the last 2 years. 3
 An escape or attempt from medium or above
 confinement, or an escape from minimum
 or below custody with actual or
 threatened violence:

CHANGES MADE TO CLASSIFICATION SCALES
IN WISCONSIN

ORIGINAL ITEMS

REVISED ITEMS

RECLASSIFICATION

Escape History (Cont'd)

Over 1 year ago 5

Within the last year. 7

Number of Disciplinary Reports

None in last 13-18 months -5

None in last 7-12 months. -3

None in last 6 months -1

One in last 6 months. 0

Two or more in last 6 months. 4

Sub Total

Most Severe Disciplinary Disposition Received
(Last 18 months)

None 0 Minor 2

Major 7

Current DetainerNone, or prosecution/extradition
not indicated. 0Misdemeanor-extradition/prosecution
indicated 3Felony-extradition/prosecution
indicated 5

Over 2 years ago 5

Within the last 2 years or 2 or more escapes
from any level within last 5 years
incarceration 7Institution Conduct (Major)

Major Conduct Penalties(add) Good Conduct Credit(select)

Last 6 months x 3 No major penalties in
6 mos. = -1Last 6-12months x 2 No major penalties in
12 mos. = -2Last 6-18months x 1 No major penalties in
18 mos. = -3

Sub Total

Institution Conduct (Minor)

Minor Conduct Penalties Within Last 6 Months

None = -1; 1 or 2 = 0; 3 or 4 = +1; 5 or more = +2

Current DetainerCurrent or prosecution extradition not
indicated 0Misdemeanor-extradition/prosecution
indicated 3Felony-extradition/prosecution
indicated 5

For higher offense. 7

maximum custody rating. If an inmate receives a lower score on these factors, the remaining items are completed and custody assignments are determined by totaling the scores for all eight factors. In many respects, this system is comparable to that used in Illinois, where dangerous and adjustment measures are computed separately and custody decisions are ultimately based on both measures.

Cutoff points for both the original and revised Wisconsin scales are presented below:

Initial Classification

	Original Scale	Revised Scale
Maximum:	Ten or more points, first four items	Ten or more points, first four items <u>or</u> 17 or more points, total score
Medium:	7-22	8-16
Minimum:	6 or fewer points	7 or fewer points

Reclassification

	Original Scale<1>	Revised Scale
Maximum:	Ten or more points, first four items <u>or</u> 17 or more points, total score	Ten or more points, first four items, <u>or</u> 17 or more points, total score
Medium:	9-16	8-16
Minimum:	8 or fewer points	7 or fewer points

The initial and reclassification forms currently used in Wisconsin are presented in Figures 25 and 26.

Initial Classification Scoring Analysis

Separate regressions were conducted using both versions of the initial classification instruments (Tables 28 and 29). In addition, descriptive statistics were computed to provide an overall indication of how Wisconsin inmates score on each item. These statistics are based on separate admission samples drawn from Wisconsin's information system.

<1> Second version.

ASSESSMENT AND EVALUATION
INITIAL INMATE CUSTODY RATING

Inmate Name - Last First MI (1-19)	Case Number (20-25)	Institution Code (26-27)
Caseworker - Last Name Only (28-42)	Date Rating Completed (43-48) (Mo-Day-Yr)	

RATING FACTORS (Select appropriate answer & enter associated value in score column.)		SCORE
Date and/or Remarks	1 HISTORY OF INSTITUTIONAL VIOLENCE (Review and discuss entire background of incarceration for five years prior to this classification)	
	None	0
	Assault and battery not involving use of a weapon or resulting in serious injury	3
	Participation in institution disturbance or riot	5
	Assault and battery involving use of a weapon and/or resulting in serious injury or death	7
		40
	2. SEVERITY OF CURRENT OFFENSE (Refer to the Severity of Offense Scale. Score the most serious offense of the most current conviction.)	
	Low or Low Moderate 1 High 3 Highest (over 7 years served) 7	
	Moderate 2 Higher 5 (under 7 years served) 10	50
	3. SEVERITY OF OTHER OFFENSES (Score the most severe in inmate's history. Refer to the Severity of Offense Scale and apply to all offenses, except the current offense of number 3 above.)	
	None 0	
	Low 1 High 3 Highest (over 7 years served) 7	
	Moderate 2 Higher 5 (under 7 years served) 10	50
	4. ESCAPE HISTORY (Rate last 5 years of incarceration including disciplinary findings if no court intervention.)	
	No escapes or attempts	0
	An escape or attempt from minimum or below custody, no actual or threatened violence	
	Over 2 years ago	1
	Within the last 2 years	3
	An escape or attempt from medium or above confinement or an escape from minimum or below custody with actual or threatened violence:	
	Over 2 years ago	5
	Within the last 2 years or 2 or more escapes from any level within the last 5 years	7
		50
	MAXIMUM CUSTODY SCORE (Add items 1 through 4)	
	(If score is 10 or over, rate as maximum custody. If score is under 10, complete items 5 through 8 and use Custody Scale below.)	
		50
	5. ALCOHOL/DRUG ABUSE (Score based on need assessment.)	
	None	0
	Abuse affecting one or more life areas	1
	Serious abuse affecting several life areas	3
		50
	6. CURRENT DETAINER	
	None, or prosecution/extradition not indicated	0
	Misdemeanor-extradition/prosecution indicated	3
	Felony-extradition/prosecution indicated	5
	For higher offense	7
		50
	7. PRIOR FELONY CONVICTIONS (Not counting current offenses for this incarceration.)	
	None 0 One 2 Two or more	4
		50
	8. STABILITY FACTORS (Total)	
	Age 26 or over	-2
	High school diploma or GED received	-1
	Employed or attending school (full or part-time) for six months or longer at time of arrest	-1
		50
	SCORE (Add items 1 through 8)	
		160
	CUSTODY SCALE	
	Maximum/close 17 or more	
	Medium 8-16	
	Minimum 7 or less	
		Form 1
		165

Figure 26

DEPARTMENT OF HEALTH & SOCIAL SERVICES
Division of Corrections
DOC-114 (Rev. 1/84)

STATE OF WISCONSIN
Administrative Code
Chapter HSS 302

PROGRAM REVIEW
INMATE CUSTODY RATING

Inmate Name - Last, First, MI (1-19)	Case Number (20-25)	Institution Code (26-27)
Caseworker - Last Name Only (28-42)	Date Rating Completed (43-48) (Mo/Day/Yr)	

RATING FACTORS (Select appropriate answer & enter associated value in score column.) **SCORE**

Date and/or Remarks	1. HISTORY OF INSTITUTIONAL VIOLENCE (Review individual's entire background of incarceration for five years prior to this classification.) None 0 Assault and battery not involving use of a weapon or resulting in serious injury 3 Participation in institution disturbance or riot 5 Assault and battery involving use of a weapon and/or resulting in serious injury or death 7 (49) 2. Did above assault occur within last eighteen months? Yes 3 No 0 (50) 3. SEVERITY OF CURRENT OFFENSE (Refer to the Severity of Offense Scale. Score the most serious offense of the most current conviction.) Low or Low Moderate 1 High 3 Highest: (over 7 years served) 7 Moderate 2 Higher 5 (under 7 years served) 10 (51-52) 4. SEVERITY OF OTHER OFFENSES (Score the most severe in inmate's history. Refer to the Severity of Offense Scale and apply to all offenses, except the current offense of number 3 above.) None 0 Low 1 High 3 Highest: (over 7 years served) 7 Moderate 2 Higher 5 (under 7 years served) 10 (53-54) SCORE (Add items 1 through 4) (If score is 10 or over, rate as maximum custody. If score is under 10, complete items 5 through 9 and use Custody Scale below.) (55-56) 5. ESCAPE HISTORY (Rate last 5 years of incarceration including disciplinary findings if no court intervention.) No escapes or attempts 0 An escape or attempt from minimum or below custody, no actual or threatened violence: Over 2 years ago 1 Within the last 2 years 3 An escape or attempt from medium or above confinement, or an escape from minimum or below custody with actual or threatened violence: Over 2 years ago 5 Within the last 2 years or 2 or more escapes from any level within last 5 years incarceration 7 (57) 6. INSTITUTION CONDUCT (Major) <table border="0" style="width: 100%;"> <tr> <td style="width: 50%;">Major Conduct Penalties (add)</td> <td style="width: 50%;">Good Conduct Credit (select)</td> </tr> <tr> <td>Last 6 months x 3</td> <td>No major penalties in 6 mos. = -1</td> </tr> <tr> <td>Last 6-12 months x 2</td> <td>No major penalties in 12 mos. = -2</td> </tr> <tr> <td>Last 12-18 months x 1</td> <td>No major penalties in 18 mos. = -3</td> </tr> <tr> <td style="text-align: right;">SubTotal</td> <td style="text-align: right;">SubTotal</td> </tr> <tr> <td style="text-align: right;">+</td> <td style="text-align: right;">=</td> </tr> <tr> <td colspan="2" style="text-align: right;">Total</td> </tr> </table> (58-59) 7. INSTITUTION CONDUCT (Minor) Minor Conduct Penalties Within Last 6 Months None = -1; 1 or 2 = 0; 3 or 4 = +1; 5 or more = +2. (60) 8. CURRENT DETAINER None, or prosecution/extradition not indicated 0 Misdemeanor-extradition/prosecution indicated 3 Felony-extradition/prosecution indicated 5 For higher offense 7 (61) 9. PRIOR FELONY CONVICTIONS (Not counting current offenses for this incarceration.) None 0 One 2 Two or more 4 (62) SCORE (Add items 1 through 9) TOTAL SCORE (63-64) CUSTODY SCALE Maximum/close 17 or more Medium 8-16 Minimum 7 or less Form Code (65)	Major Conduct Penalties (add)	Good Conduct Credit (select)	Last 6 months x 3	No major penalties in 6 mos. = -1	Last 6-12 months x 2	No major penalties in 12 mos. = -2	Last 12-18 months x 1	No major penalties in 18 mos. = -3	SubTotal	SubTotal	+	=	Total	
Major Conduct Penalties (add)	Good Conduct Credit (select)														
Last 6 months x 3	No major penalties in 6 mos. = -1														
Last 6-12 months x 2	No major penalties in 12 mos. = -2														
Last 12-18 months x 1	No major penalties in 18 mos. = -3														
SubTotal	SubTotal														
+	=														
Total															

Table 28

Wisconsin Initial Classification
Percent of Variation (R^2) in Classification Point Score
by Original Initial Classification Item

<u>Item</u>	<u>N</u>	<u>Mean</u>	<u>S.D.</u>	<u>R^2<a></u>
Prior assaultive offense history	2713	1.18	1.67	.43
Alcohol/drug abuse	2713	1.38	1.31	.11
Severity of current offense	2713	3.02	1.70	.10
Current detainer	2713	0.33	1.07	.07
Stability factors	2713	-1.35	1.34	.06
Prior felony convictions	2713	1.21	1.61	.13
Escape history	2713	0.18	0.79	.05
History of institutional violence	2713	0.12	0.79	.04
Total initial classification score		5.38	3.70	1.00

<a> Calculated using SPSS regression procedure.

 Total does not equal 1.00 due to rounding.

Table 29

Wisconsin Initial Classification
Percent of Variation (R^2) in Classification Point Score
by Revised Initial Classification Item

<u>Item</u>	<u>N</u>	<u>Mean</u>	<u>S.D.</u>	<u>R^2<a></u>
Severity of other offenses	2505	1.91	1.42	.36
Escape history	2505	0.45	1.34	.12
Alcohol/drug abuse	2505	1.41	1.34	.10
Severity of current offense	2505	2.78	1.53	.09
Current detainer	2505	0.24	1.04	.09
Prior felony convictions	2505	1.31	1.70	.07
Stability factors	2505	-1.45	1.34	.12
History of institutional violence	2505	0.18	0.89	.06
Total initial classification score		5.56	3.64	1.00

<a> Calculated using SPSS regression procedure.

 Total does not equal 1.00 due to rounding.

On both scales, the severity of offenses (other than the committing offense) is the item that most influences custody ratings. The changes in definitions and weights for this item, severity of current offense, and escape history that were introduced in 1984 appear to have had little impact on overall scores. The revisions do, however, result in a more even distribution of the explanation of total score variance among classification items. The amount of variance explained by the first three items entered decreases by 7% for the revised instrument. The correlation between escape history and total score increases significantly (+.108), indicating that lengthening the time considered strengthens the influence of this item.

Interestingly, the mean score on both scales is below the cutoff points used to differentiate between medium and minimum security inmates. This may signal a need to revise cutoff points downward in order to effect a better distribution of inmates in medium and maximum custody. A high override rate, reported since implementation of the system, indicates general staff dissatisfaction with custody ratings and is, perhaps, additional evidence of the need for lower cutoff points.

The next step of the analysis was to determine how individual scale factors relate to custody level assignment. Again, regression analysis was used, with the dependent variable identified as the custody level assigned. The results of this regression are presented in Table 30.

Table 30

Wisconsin
Percent of Variation (R^2) in Custody Level Assignments
by Classification Item

<u>Item</u>	<u>R^2<a></u>
Severity of current offense	.14
Current detainer	.04
History of institutional violence	.03
Severity of other offenses	.02
Escape history	.01
Stability factors	.00
Prior felony convictions	.00
Alcohol/drug abuse	.00

<a> Calculated using SPSS regression procedure.

Due to the high override rate in Wisconsin, only 26% of the variance in custody assignments is explained by scale items. The severity of the current offense, followed by the existence of a detainer and a history of institutional violence, exhibit the greatest influence on custody level assignments. These items, together with length of sentence, have traditionally been used in corrections to set custody levels.

To further analyze custody assignments, the score attained from the first four items (the assaultiveness/current offense scale) was tested against the combined score of the remaining scale items. Table 31 clearly indicates the measures of assaultiveness have more influence than other items on actual assignments. This finding parallels results of the analysis of the dangerous and adjustment instruments in Illinois. In Illinois, a custody assignment matrix is used to increase the role of the dangerous instrument; in Wisconsin, the assaultiveness scale dominates placement decisions, without the use of a placement grid. Unlike California, both Illinois and Wisconsin rely little on sentence length.

Table 31

Wisconsin
Percent of Variation (R^2) in Actual Custody Level Assignments
by Classification Item

<u>Item</u>	<u>R^2<a></u>
Assaultive items score	.19
Other factors score	.01

<a> Calculated using SPSS regression procedure

Reclassification Scoring Analysis

The NIC reclassification process intentionally shifts emphasis from predictive items to factors that describe the actual behavior of individual inmates. Thus, the system assumes a "just desserts" approach to classification: Inmates who exhibit serious disciplinary problems will receive higher custody scores, while inmates who adjust well to prison will obtain reduced scores at reclassification.

As expected, on the original NIC custody scale, the frequency and the severity of disciplinary infractions account for nearly two-thirds of the variance in total scores. Past assaultive behaviors recorded both in the institution and in the community also have considerable influence on total

scores and, when combined with the number and frequency of disciplinaries and prior escape attempts, explain 90% of the variance in custody ratings at reclassification.

As noted earlier, Wisconsin introduced changes to the reclassification instrument in 1984, with the intention of decreasing the role of minor misconduct reports in the classification process and slowing the movement of assaultive offenders to lower custody levels. Both objectives were achieved to some extent. The number of major misconduct reports continues to drive reclassification scores, but the new scoring system greatly decreases the role of minor incidents. The effect of this change, combined with the impact of changes in weights associated with prior record, has been to increase the influence of past offense items on total scores. In addition, the proportion of inmates rated close/maximum at reclassification rose from 7.6 to 25.5% after the scale was revised (see Tables 32 and 33).

Table 32

Wisconsin Reclassification
Percent of Variation (R^2) in Classification Point Score
by Original Classification Item

<u>Item</u>	<u>N</u>	<u>Mean</u>	<u>S.D.</u>	<u>R^2<a></u>
Most serious disciplinary	1949	3.30	3.11	.55
Number of disciplinaries	1919	0.03	3.13	.11
Assaultive offense history	1949	0.74	1.24	.14
History of institutional violence	1949	0.40	1.30	.05
Escape history	1949	-2.69	1.27	.04
Prior felony convictions	1949	1.72	1.76	.04
Severity of current offense	1949	2.09	1.43	.04
Current detainer	1949	0.19	0.91	.02
Recency of institutional assault	1949	0.09	0.50	.01
Total reclassification score		5.85	6.21	1.00

<a> Calculated using SPSS regression procedure.

Table 33

Wisconsin Reclassification
Percent of Variation (R^2) in Classification Score
by Revised Classification Item

<u>Item</u>	<u>N</u>	<u>Mean</u>	<u>S.D.</u>	<u>R^2<a></u>
Institutional conduct--major incidents	4511	0.46	3.15	.61
Severity of other offenses	4511	1.00	1.28	.17
History of institutional violence	4511	0.31	1.15	.06
Severity of current offense	4511	1.98	1.39	.04
Prior felony convictions	4511	1.74	1.75	.04
Escape history	4511	-2.73	1.21	.03
Institutional conduct--minor incidents	4511	3.84	3.09	.02
Current detainer	4511	0.16	0.83	.01
Recency of institutional violence	4511	0.06	0.42	.01
Total reclassification score		6.74	6.39	1.00

<a> Calculated using SPSS regression procedure.

 Total does not equal 1.00 due to rounding.

Classification and Race

A recurring legal and management issue pertaining to inmate classification has centered on the role of race as a decision-making criterion and, thus, deserves special attention in analyzing any prison classification system. Many court rulings have commented or found that race has been purposely or inadvertently used as a factor in determining inmate placement. From a management perspective, the debate has continued. Some correctional agencies, like the Federal Prison System, deliberately attempt to maintain an ethnic balance, as well as a diversity in age categories, in their institutions. The theory behind this practice is that maintaining an ethnically heterogeneous population minimizes the potential for major mass disturbances that may be related to issues of race.

For these reasons, it is important to assess whether these three objective systems have any underlying racial biases. It has already been determined that race is not used as an explicit classification criterion, but it could nevertheless surface if factors associated with race are strong determinants of the scoring process.

Table 34 summarizes a cross-tabulation of each agency's initial classification score by ethnicity. California shows no systematic racial bias, with relatively equal proportions of each ethnic group represented in the four classification levels. The only modest relationship is that Hispanics are less likely than white or black inmates to be scored for Level IV security.

Table 34

Distribution of Initial Classification Score by Ethnicity

<u>Classification Score Level</u>	<u>California</u>					
	<u>Black</u>		<u>Hispanic</u>		<u>White</u>	
	N	%	N	%	N	%
IV (Maximum)	171	30.5	91	24.0	159	30.8
III (High Medium)	163	29.1	117	30.8	135	26.2
II (Low Medium)	137	24.4	115	30.3	123	23.8
I (Minimum)	90	16.0	57	15.0	99	19.2

<u>Classification Score Level</u>	<u>Illinois</u>					
	<u>Black</u>		<u>Hispanic</u>		<u>White</u>	
	N	%	N	%	N	%
Maximum	229	30.4	19	24.4	64	12.8
High Medium	212	28.2	23	29.5	106	21.2
Medium	128	17.0	17	21.8	121	24.3
Low Medium	143	19.0	12	15.4	143	28.7
Minimum	41	5.4	7	9.0	65	13.0

<u>Classification Score Level</u>	<u>Wisconsin</u>					
	<u>Black</u>		<u>American Indian</u>		<u>White</u>	
	N	%	N	%	N	%
Maximum/Assaultive Scale	124	14.9	7	8.0	141	8.9
Medium	286	34.2	34	38.6	443	28.1
Minimum	426	51.0	47	53.4	991	62.9

A different picture exists for Illinois and Wisconsin, where clear patterns emerge of whites being disproportionately represented in the medium and minimum security categories at initial classification. Why is this occurring?

A cross-tabulation of the Illinois classification items shows that five initial items are also statistically associated with race (Table 35). The direction of these relationships indicates that blacks and Hispanics tend to have more frequent histories of parole supervision, more severe current offenses, longer lengths of stay, and more prior escapes. At reclassification, two items (current classification score and gang affiliation) serve to maintain the racial disparity occurring at initial classification.

Table 35

Illinois
Classification Items Associated with Ethnicity

<u>Item</u>	<u>Chi-Square</u>	<u>Probability</u>
Initial classification		
Prior supervision history	34.186	.0001
Current offense seriousness	41.488	.0001
Violent offense score	36.133	.0001
Expected length of stay	22.402	.0001
Number of escapes	9.189	.0101
Reclassification		
Current classification score	5.088	.0785
Gang affiliation	51.646	.0001

There are significant policy implications for these findings. As presently constructed, the Illinois system tends to group facilities by race, which may cause management and legal difficulties. Second, close scrutiny should be directed to the predictive validity of these items and their weights. If they have little predictive value, then one would have to question the system's equity.

Initial classification scores were also found to be significantly correlated with race in the Wisconsin analysis. Looking at Table 34, one can see that blacks are overrepresented in the maximum custody score level, while both blacks and American Indians are underrepresented in the minimum custody level. As shown in Table 36, these relationships are, to a great extent,

reflected in custody level assigned. Here, blacks and American Indians are again disproportionately represented in maximum custody and the underrepresentation of blacks in minimum custody is even more pronounced. However, these analyses show only an association between custody level and race; they do not provide sufficient evidence to directly attribute initial classification score or placement to ethnicity. In fact, as suggested in Table 34, score and placement are more likely to be influenced by assaultiveness.

Table 36

Wisconsin
Relationship Between Race and
Initial Custody Level Assigned
(N = 2499)

<u>Custody Level Assigned</u>	<u>Black</u>	<u>American Indian</u>	<u>White</u>
Minimum	17.3%	36.4%	32.1%
Medium	49.9	36.4	46.7
Maximum	32.8	27.3	21.1

Simulation of the Wisconsin NIC Model on California's Inmates

A special analysis of the classification scoring process was requested by NIJ to determine what would happen if the NIC (Wisconsin) model was applied to California's inmates. This interest was spurred, in part, by the fact that the NIC model is being used in so many jurisdictions and, in part, by the previous analysis, which showed how California's scoring process and criteria differ from those of the other two agencies. Despite these distinctions, would it really make that much difference if California used another agency's system?

This type of analysis has been done previously in Nevada, where three classification systems--Federal Prison System, California, and NIC--were simultaneously applied to a sample of Nevada prison admissions via computer simulation. The results showed few differences among the three systems in terms of their aggregate results. No analysis was done to learn if individuals would have been classified similarly.<1>

<1> J. Austin, "Assessing the New Generation of Prison Classification Models," Crime and Delinquency (October 1983), pp. 561-576.

In the present study, the simulation was limited to California's inmates because that agency had the only data file permitting replication of another agency's classification criteria via a computer program. California's classification system, by virtue of the large number of items used for classification, could not be applied to other agencies' more limited information systems. Indeed, it was only possible to apply California's system to the Nevada inmates, as cited above, because of the construction of an elaborate, manually coded data file that purposely included all of the California, as well as the NIC and Federal Prison System, items.

Despite the richness of the California data file, it was not possible to directly replicate three scoring items found on the NIC instrument. Consequently, estimation procedures were utilized to approximate the actual scoring computation. As described below, these procedures may tend to underestimate the proportion of cases qualifying for maximum/close custody, while exaggerating the number of minimum custody placements at initial classification:

1. Prior assaultive offense history (substituted history of assaultive behavior while incarcerated previously in state or local facilities. This procedure tends to underestimate the actual assaultive history score.)
2. Alcohol/drug abuse (substituted history and current record of drug-related disciplinary incidents, as well as current offense if related to drug use. This procedure tends to underestimate actual drug/alcohol abuse score.)
3. Prior felony convictions (substituted total number of jail, prison, and juvenile commitments. This procedure may under- or overestimate the actual prior felony conviction score.)

Finally, in order to directly compare the classification level scores of the two systems, Level IV was equated to the close/maximum custody level, Levels III and II to the medium custody level, and Level I to the minimum custody level.

Results of the simulations are presented in Table 37. Given the direction and bias of the estimation procedure described above, one can argue that both instruments appear to produce similar custody distributions despite their unique scoring systems. Approximately 25 to 30% would qualify for close/maximum custody, and 17 to 24% would qualify for minimum custody. These results are similar to those obtained from the simulations done on Nevada inmates.

Table 37

Comparison of NIC and California Initial Classification Scores
for California Inmates

	Frequency Percent Row Pct <u>Col Pct</u>	NIC Classification Levels			
		<u>Close</u>	<u>Medium</u>	<u>Minimum</u>	<u>Total</u>
California Classification Levels<a>	Minimum (0-19 pts)	22 1.45 8.53 5.70	136 8.95 52.71 17.57	100 6.58 38.76 27.86	258 16.98
	Medium (20-49 pts)	166 10.93 20.24 43.01	492 32.39 60.00 63.57	162 10.66 19.76 45.13	820 53.98
	Maximum (50-high pts)	198 13.03 44.90 51.30	146 9.61 33.11 18.86	97 6.39 22.00 27.02	441 29.03
	Total	386 25.41	774 50.95	359 23.63	1519 100.00

<a> Converted to NIC custody levels.

Table 37 also shows the individual levels of disagreement among the two systems (i.e., Do they classify the same individuals in a similar way?). In general, a large amount of disagreement occurs in the minimum and maximum custody levels. However, it should also be noted that the level of disagreement is generally limited to the nearest security level. Thus, only a small percentage (8.5%) of the inmates designated minimum custody by the California instruments would be considered close/maximum custody according to the NIC model. The widest margin of disagreement is in the maximum security level, where 22% of California's Level II inmates would be classified as minimum custody inmates if one used the NIC model.

Conclusion

All three systems approach classification using unique instruments, items, weights, scales, and definitions. The only similarities are that they

have quantified their decision-making criteria, which by itself represents an important change from traditional classification systems. Most significant, criteria for classification are explicit and measurable, enabling the type of analysis performed here and making the overall process more accountable.

The analysis conducted thus far has highlighted major differences in the agencies' scoring scales. California relies very heavily on a single item (sentence length) for both initial classification and reclassification decisions despite the fact that it has the largest set of classification items. Conversely, Wisconsin and Illinois use fewer items and are less dependent on a select number of items.

In terms of current classification philosophy, Wisconsin and Illinois strongly adhere to a "just desserts" orientation. Inmates are initially assigned to a custody level based on a set of pre-incarceration items reflecting offense severity, prior assaultiveness, and an array of social stability measures. Thereafter, substantial adjustments can be made, depending primarily on demonstrated ability to conform to prison conditions. While California may share this philosophy, it is not easily achieved, given the structure and weighting of its classification instruments.

A final point concerns the issue of implementation, testing, and modification. All three agencies were pioneers in this new era of objective classification systems. And the research conducted here suggests that refinements in their initial designs are now warranted. California is currently trying to find a means of lessening the influence of the prison term item. Wisconsin needs to adjust its cutoff points to reduce excessive override rates and restore credibility to its entire system. Illinois has made adjustments in its system to decrease the influence of the age item. However, Illinois must also be concerned with the inherent tendency of its system to place disproportionate numbers of black inmates in maximum security.

These issues highlight the need for other agencies to pilot test their new classification instruments prior to implementation. Many of the operational issues raised here could have been avoided if pilot testing had been conducted.

CHAPTER 3

VALIDATION OF THE AGENCIES' OBJECTIVE CLASSIFICATION SYSTEMS

Introduction

The second major task was to evaluate how well each of the agencies' objective systems performs in classifying inmates according to actual risk level. Three separate types of analysis were completed to address the following questions:

- To what extent is each of the items used to classify inmates associated with prison conduct?
- To what extent does the total classification score correctly classify inmates according to prison conduct?

As in the scoring assessment described in Chapter 2, the analysis here relied upon admission samples of inmates who had been classified under the newly implemented classification systems. Follow-up data on each inmate's disciplinary record were then collected, coded, and merged with the inmate classification data to conduct tests of association. No attempt was made to conduct validation analysis on the criterion variables of escape, suicide, or fatalities (homicides) as these incidents were found to occur too infrequently to allow for meaningful analysis.

It should also be noted that this task was limited to a test of the initial classification instruments. Validating the reclassification instruments for these jurisdictions was not feasible and/or was not appropriate for two reasons. First, reclassification instruments were not applied to a substantial number of cases sampled in the three state agencies. In California, Level I and, to a lesser extent, Level II inmates are infrequently reclassified because they are generally serving relatively short prison terms (less than one or two years) and they are housed in low security facilities by virtue of their initial classification score and good conduct. As long as these low security inmates conform to prison regulations and have relatively short terms till discharge, reclassification is not required. Although it happens less frequently for Level III and Level IV inmates, the same phenomenon of no reclassification for inmates who are exhibiting neither extreme negative nor positive behavior resulted in few cases to be analyzed. Reclassification was also rare in Illinois, primarily because the agency only began using a reclassification instrument in 1984. Analysis of Wisconsin's system was similarly limited due to its high rate of overrides and limited application of its reclassification instrument.

Second, the manner in which reclassification instruments have been structured made validation analysis irrelevant. As shown in Chapter 2, reclassification decisions are driven by the documented behavior of the inmate

since initial classification or the most recent reclassification. In essence, an inmate's security level is adjusted largely on the basis of in-custody behavior--a sort of "just desserts" approach. Depending upon how the weights of the reclassification instrument are designed, movement to higher or lower classification levels can occur quite quickly or more slowly. However, since the items used to reclassify inmates are the same variables used to test the validity of the instrument (i.e., inmate conduct), the statistical analysis becomes circular in its logic. One would expect high inter-correlations between the reclassification items and criterion variables.

What should be tested in future studies is whether inmates continue to act positively or negatively after an inmate has been reclassified due to a major disciplinary incident. In other words, to what extent are the reclassification items predictive of continued behavior after a reclassification decision has been made? To conduct such analysis, a separate cohort of inmates receiving a reclassification score would then be followed for a designated period in order to assess the relationship of reclassification to inmate conduct after the custody change and/or decision. Such an analysis would involve a separate effort and was beyond the scope of this study.

Item Validation Analysis

The first analysis examined each system in terms of the bivariate relationships of the individual scoring items with recorded disciplinary conduct. If warranted, more sophisticated multivariate analyses using regression were applied to assess the relative strength of variables showing strong relationships with the criterion variables.

California

The California validation sample consisted of 16,000 inmates admitted in FY 1981-82. Disciplinary data on these inmates were collected by CDC researchers for a six-month period following initial classification or until placement in a different classification level. Although a number of criterion variables were used in the analysis, only two are shown here to test the predictive quality of each classification item on the initial classification form.<1> These two items were selected to simplify analysis and to maintain comparability with Illinois and Wisconsin. The items chosen were:

- Total number of major incidents (excluding suicide and non-violent sex acts), and
- Total number of major assaultive incidents only.

<1> CDC researchers examined a variety of disciplinary measures. However, the results were similarly independent of the dependent measures employed in the analysis.

The first statistical analysis was to identify those classification item scores correlated with these two variables. Table 38 lists those items with zero-order correlations (R) greater than 0.05. Tests of significance were not used to select the most promising items as even marginal zero-order correlations of 0.02 will be statistically significant due to the sample size of 16,000 cases. In such large samples, correlations that indicate no substantive relationship with the dependent variable will show to be statistically significant. This was indeed the case in California, where R's of less than 0.02 were statistically significant at the 0.001 level. If the test of statistical significance had been mechanically relied upon, virtually all of the classification items would have been viewed as strongly predictive of inmate behavior, which is certainly not the case.<1>

Table 38

Zero-Order Correlations of California
Initial Classification Item Scores with Disciplinary Rates<a>

<u>Classification Item</u>	<u>Total Incidents</u>	<u>Incidents Involving Assault</u>
	R	R
I. <u>Background Items</u>		
Prison term	0.07	0.09
Age	0.11	0.09
Employment	0.06	0.07
II. <u>Prior Incarceration Behavior</u>		
Disciplinary Incidents	0.06	0.07
Assaults on Staff	0.05	0.07
Assaults on Inmates	0.08	0.08
Weapon Possessions	0.07	0.07
Incidents Causing Injury	0.06	0.06
Minimum Security Living	-0.06	-0.06
No Serious Incidents	-0.06	-0.05
Work/School/Vocational Assignments	-0.05	-0.05

<a> Expressed as rates per first six months of incarceration. Item scores are significant at the 0.05 level.

<1> See R. Henkel, Tests of Significance (1976), pp. 78-87 for an excellent discussion on the use and misuse of tests of significance.

With this in mind, several substantive conclusions can be drawn from Table 38 by focusing on the size and direction of these correlations with disciplinary conduct:

- Only 11 of the 24 initial classification items proved to have zero-order correlations exceeding 0.05, and all of these relationships are quite modest.
- Although prison term and age have the strongest correlations, the greatest number of items fall within the prior incarceration behavior category.
- Few differences exist in these relationships regardless of whether one uses total or assaultive incidents.
- Although the correlations are quite modest, they are in the proper direction in terms of the weighting scheme.

Throughout this analysis, it should be remembered that the correlations reflect relationships between classification scores and incident rates. Consequently, if the weights were adjusted for some items, the bivariate relationships could be strengthened. For example, age is scored as a dichotomous variable with inmates receiving either 0 points for being age 26 or older, or 2 points for being under age 26 at admission. An ordinal scale of weights 0, 1, 2, and 3 might produce a relationship that would better mirror the statistical correlation of age to disciplinary tickets. Nevertheless, this analysis shows that the initial classification items are weak predictors, albeit in the correct direction, of inmate misconduct. Several regression models were constructed but produced expected low R^2 scores of less than 3% for each equation.

Illinois

The Illinois item analysis was based on a much smaller subsample of 500 prison admissions processed through the new system in 1982, with follow-up disciplinary data collected for a 12-month period after initial classification.

The results of the bivariate analysis of each classification item with total major disciplinary tickets are presented in Table 39. They also reveal that only a few items demonstrate moderate relationships with prison misconduct. Similar to the findings for California, age has a relatively strong correlation, followed by the number of prior convictions (also related to age), the burglary/theft ratio score, and the violence offense score. Of the two adjustment and dangerous scores, only the latter proved to have a statistically significant relationship with prison conduct.

Table 39

Zero-Order Correlations of Illinois
Initial Classification Item Scores with Disciplinary Rates<a>

<u>Classification Item</u>	<u>Total Incidents</u>
	R
I. <u>Adjustment Items</u>	
Prior Convictions	-0.14
Violence Ratio Score	0.09
Burglary/Theft Ratio Score	0.11
Prior Escapes	-0.04
Current Offense	0.00
Prior Supervision History	-0.06
Total Adjustment Score	0.04
II. <u>Dangerous Items</u>	
Seriousness of Current Offense	0.04
Employment	0.01
Age	0.22
Violence Offense Score	-0.11
Expected Length of Stay	0.02
Total Dangerous Score	0.09

<a> Expressed as rates per first 12 months of incarceration. Item scores are significant at the 0.05 level.

Unlike findings for California, the expected length of stay item, which is analogous to California's prison term item, did not show a relationship. Similarly, prior escapes, current offense, seriousness of the current offense, and employment all demonstrated virtually non-existent zero-order relationships with misconduct rates.

The directions of these relationships are also significant. Age is scored so that younger inmates receive the highest points, which is also meant to suggest that younger inmates tend to have higher misconduct rates. The violent offense score is coded so that inmates with a history of prior violence receive positive points, which means that this variable is actually inversely related to inmate misconduct; that is, inmates with a history of violence tend to have lower rates of misconduct. However, they are receiving

higher security level designators according to the instrument's scale. Similarly, the prior conviction score, which is also age-related, is inversely related to misconduct rates. These examples of how the classification scoring process runs counter to actual misconduct rates suggest that the Illinois system will not have its desired impact on suppressing misconduct rates in the institutions. Based on this analysis, a careful review of the weighting scheme seems necessary.

The low zero-order relationships of these items again indicate that regression analyses would produce minimal predictive efficiency. Several regression models were attempted, with no more than 4% of the variance explained by the classification items.

Wisconsin

The Wisconsin item analysis was based on the current version of the initial classification instrument and a sample of 1693 individuals with six months of follow-up data. Only five of the eight items on the Wisconsin scale exhibited significant correlations with the number of infractions reported (see Table 40). Correlation coefficients exceeded 0.05 for only two initial classification items. However, one item, stability factors (a combination of age, education, and employment), demonstrated a stronger relationship with prison behavior than any item on the three agency instruments tested.

Table 40
Zero-Order Correlations of
Wisconsin Initial Classification Item Scores with
Disciplinary Rates<a>

<u>Classification Item</u>	<u>All Incidents</u>	<u>Incidents Involving Weapons/Assaults</u>
	R	R
History of institutional violence	0.05	0.05
Severity of current offense	-0.04	0.00
Severity of other offenses	-0.08	0.00
Escape history	0.01	-0.02
Alcohol/drug abuse	0.00	0.02
Current detainer	-0.02	0.00
Prior felony convictions	-0.14	-0.03
Stability factors	0.31	0.11

<a> Expressed as rates per first six months of incarceration. Item scores are significant at the 0.05 level.

When disciplinary records were limited to incidents involving weapons or assaults, all relationships decreased substantially with the exception of history of institutional violence, which showed a slightly stronger correlation with this outcome measure.

Classification Scale Analysis

A second test for assessing the predictive quality of each agency's objective classification system is to examine the extent to which the total score discriminates among inmates likely or unlikely to engage in prison misconduct. Instead of studying the relative power of each individual scoring item, project staff evaluated how well the entire score performs in classifying inmates according to actual risk level.

A standard statistical test referred to as the Mean Cost Rating (MCR) was applied to these results for each agency. The MCR creates an index varying from 0 to 1, with 1 representing perfect prediction or classification. The index was developed by Duncan, Ohlin, Reiss, and Stanton in 1952 and has been widely used elsewhere as a measure of predictive efficiency.<1> In general, MCR ratings above 0.40 are considered evidence of a fairly predictive system, although there are no universal standards to make such judgements.

California

Distributions of disciplinary incidents by initial classification score for California's large cohort are reported in Table 41 on the following page. Here one can see that the initial scale does a fair job of discriminating inmates according to actual conduct. The MCR's for both measures of misconduct (total incidents and assaults) are relatively high (0.42 and 0.53, respectively). One should also note that the frequency of misconduct as measured by the CDC data was quite low.

How does one reconcile these more positive findings with the relatively weak findings presented in the individual item analysis? Certainly, one obvious problem is the relative infrequency of misconduct reports, which makes correlations analysis less powerful. Moreover, although the MCR scores are strong, one can also observe a high rate of misclassification, especially false positives for the Level IV (maximum security) inmates. Nearly 90% of these inmates showed no assaults, and almost 80% had no reports whatsoever.

Two possible explanations come to mind regarding the high rate of conformity among Level IV inmates. First, the classification system is placing high risk inmates in high security settings, which de facto restricts the high risk inmate from acting out. For example, if high security inmates

<1> "Formal Devices for Making Selection Decisions," American Journal of Sociology (1952), pp. 573-584.

are moved by custody under strict controls (e.g., physical restraints, multiple escorts, etc.), then the opportunity for assaults is greatly diminished. Thus, the fact that a high percentage of Level IV inmates had no reported incidents may indicate the system is operating correctly. Second, these results may also suggest the reverse--that the system is overclassifying unnecessarily by assigning high security levels to inmates who do not require such placement.

Table 41
California
Distribution of Disciplinary Incidents
by Initial Classification Score<a>

<u>Classification Level</u>	<u>No Incidents</u>		<u>Incidents Reported</u>	
	N	%	N	%
IV (Maximum)	1,099	79.0	292	21.0
III (High Medium)	2,948	88.7	377	11.3
II (Low Medium)	4,329	95.4	211	4.7
I (Minimum)	6,654	97.2	189	2.8
Total	15,030	93.4	1,069	6.6

Mean Cost Rating = 0.42

	<u>No Assaultive Incidents</u>		<u>Assaultive Incidents</u>	
	N	%	N	%
IV	1,238	89.0	153	11.0
III	3,149	94.7	176	5.3
II	4,473	98.5	67	1.5
I	6,792	99.3	51	0.8
Total	15,652	97.2	447	2.8

Mean Cost Rating = 0.53

<a> Reflects a six-month follow-up from date of initial classification.

Illinois

The results from the Illinois data are, at first glance, less promising (Table 42). Although the distribution is in the correct direction, it produces a lower MCR compared to California (0.22). A truncated security rating of maximum, medium, and minimum was also used to ascertain what impact it had on the MCR, but it served only to weaken the overall MCR (0.17). The distribution is weakest for the high medium cases, where an unanticipated proportion of inmates received no disciplinary tickets. These lower MCR's for Illinois may be due to sampling or measurement error, or they may represent a true weakness in the system to predict behavior.

Table 42

Illinois
Distribution of Disciplinary Incidents
by Initial Classification Score<a>

<u>Classification Level</u>	<u>No Dangerous Incidents</u>		<u>Dangerous Incidents</u>	
	N	%	N	%
Maximum	37	35.2	68	64.8
High Medium	61	51.3	58	48.7
Medium	47	43.5	61	56.5
Low Medium	58	63.7	33	36.3
Minimum	28	68.3	13	31.7
Total	231	49.8	233	50.2

Mean Cost Rating = 0.24

	N	%	N	%
Maximum	37	35.2	68	64.8
Medium	166	52.2	152	47.8
Minimum	28	68.3	13	31.7
Total	231	49.8	233	50.2

Mean Cost Rating = 0.17

<a> Reflects 12-month follow-up from date of initial classification.

To illustrate how sensitive the MCR can be to variations in data, an MCR was calculated using the criterion of "dangerous" tickets, with a 6-month instead of 12-month follow-up period for the 1,333 admission cohort (Table 43).^{<1>} Here one sees an almost bimodal distribution and a significantly higher MCR of 0.55, which exceeds California's MCR rate. This MCR is obviously being driven by the high incident rate for the maximum security inmates but with less discrimination among the medium and minimum security inmates. Nevertheless, the Illinois system consistently identified the high risk inmate requiring maximum security.

Table 43

Illinois
Distribution of Dangerous Tickets
by Initial Classification Score^{<a>}

Classification Level	No Tickets		Tickets	
	N	%	N	%
Maximum	55	36.2	97	63.8
High Medium	235	81.0	55	19.0
Medium	140	87.5	20	12.5
Low Medium	269	91.8	24	8.2
Minimum	413	94.3	25	5.7
Total	1,112	83.4	221	16.6

Mean Cost Rating = 0.55

^{<a>} Reflects 6-month follow-up from date of initial classification.

Wisconsin

In analyzing the Wisconsin data, simple cross-tabulations of custody scores and number of disciplinary reports received by each inmate were first produced. Next, disciplinarys and custody level assignments were cross-tabulated. Finally, cross-tabulations of custody scores and disciplinary reports were developed within actual custody levels assigned.

^{<1>} These data were collected by Illinois DOC researchers as part of an earlier study used to construct the reclassification instrument. "Dangerous" tickets generally reflect assaults and fights.

Based on the results of these analyses (and associated chi-squares), a mean cross rating was not computed. The cross-tabulations produced no discernible patterns; the overall relationship between disciplinaries and custody scores was very weak, making MCR computations futile. Even breaking the custody instruments into two scales--assaultiveness and general adjustment--and testing each against disciplinary records failed to produce any significant relationships.

Reasons for the lack of relationships may be due to prison operations in Wisconsin and the current use of the classification system. As noted earlier, the Wisconsin staff-to-inmate ratio is significantly higher than that of Illinois or California. Thus, considerably more control may be exercised over inmates placed in the higher custody levels. Correctly identifying inmates with propensities for acting out and applying appropriate levels of control may effectively suppress relationships that would surface in an experimental (random assignment) situation. The issue of inmate control is further complicated by the fact that nearly half of all classifications are overrides, with the majority (80%) placing inmates in higher custody levels.

Frequencies of disciplinaries received by Wisconsin inmates at each custody level are presented in Table 44. Differences between inmates at maximum and minimum custody are evident, but medium custody inmates actually had slightly higher rates of infractions than those at maximum.

Table 44

Wisconsin
Number of Major Disciplinary Reports
Received by Inmates at Each Custody Level<a>

<u>Custody Level</u>	<u>None</u>	<u>One</u>	<u>Two</u>	<u>Three or More</u>
Maximum	47.6%	16.0%	12.8%	23.5%
Medium	44.2	19.9	12.1	23.8
Minimum	53.0	20.4	10.3	16.3

<a> Reflects six-month follow-up from date of initial classification.

Project staff had the opportunity to evaluate the use of the NIC instruments in the Tennessee Department of Corrections, where, after completing the forms, assignments were made on an almost random basis (84% of all placements were to medium security). Because scales basically identical to

Wisconsin's original version are used by that agency, some results from the study are presented in Table 45.<1> In this instance, strong relationships between custody scores and disciplinary reports were evident, contradicting the Wisconsin findings.

Table 45

Tennessee
Comparisons of Number of Disciplinary Reports Received:
Close Security and Other Security Inmates (by Score)

<u>Class of Misconduct Report</u>	<u>Mean Number Received by Inmates Scoring 9 or Less at Initial Classification</u>	<u>Mean Number Received by Inmates Scoring 10 or More and Placed in Medium Security</u>
A	0.360	0.464 (+28.9%)
B	0.722	1.048 (+45.2%)
C	<u>2.619</u>	<u>2.976 (+13.6%)</u>
Total	3.701	4.488 (+21.4%)

Misconduct Rates by Actual Placement in California

A final method for assessing the validity of an agency's system is to compare disciplinary rates of inmates who are in their appropriate classification levels to those of inmates who are not. If a system is functioning correctly, one would expect inmates who are underclassified to have higher rates of misconduct when compared to inmates who have been correctly scored and housed.

This type of analysis is difficult unless the agency's information system is capable of tracking classification scores, institutional movement, and location of each disciplinary event. California was able to complete such an analysis in a prior study, using its automated classification system.<2> This

- <1> National Council on Crime and Delinquency, Evaluation of Tennessee Department of Corrections Classification System (Madison, WI: NCCD-Midwest, June 1985), p. 55.
- <2> J. Gibbs, "Comparison of Disciplinary Records for In-Level Inmates and Those Overridden to Lower Level Institutions," in Review and Analysis of Departmental Classification System, California Department of Corrections (April 1984).

analysis used a sample of the June 30, 1983, inmate population. Sampled inmates were then tracked for six months to record all of the major disciplinary tickets that they had received during this period. It was also possible to track institutional movement and classification level. Since California was experiencing a relatively high override rate (30%), the sample included a substantial proportion of inmates who were not housed in their appropriate security levels.

Table 46 summarizes the results of this analysis for all inmates who remained in Level IV institutions for the six-month period. Although 3,419 of the 3,853 inmates housed in these institutions were classified by the instrument for a Level IV facility, a significant number were not. Yet the misconduct rates are fairly consistent across the four groups.

Table 46

California
Number of Inmates by Inmate Level and Number of Serious Disciplinaries
Received Between June 30 and December 31, 1983<a>

<u>No. of Serious Disciplinaries</u>	<u>Level IV Institutions</u>				
	<u>Level I</u>	<u>Level II</u>	<u>Level III</u>	<u>Level IV</u>	<u>Total</u>
0	(107) 81.7%	(82) 91.1%	(182) 85.4%	(2,981) 87.2%	(3,352) 87.0%
1	(19) 14.5	(7) 7.8	(25) 11.7	(284) 8.3	(335) 8.7
2	(3) 2.2	(1) 1.1	(4) 1.9	(92) 2.7	(100) 2.6
3	(1) 0.8	(0) 0.0	(1) 0.5	(41) 1.2	(43) 1.1
4	(0) 0.0	(0) 0.0	(1) 0.5	(15) 0.4	(16) 0.4
5	(0) 0.0	(0) 0.0	(0) 0.0	(2) 0.1	(2) 0.1
6 or more	(1) <u>0.8</u>	(0) <u>0.0</u>	(0) <u>0.0</u>	(4) <u>0.1</u>	(5) <u>0.1</u>
Total	(131) 100.0	(90) 100.0	(213) 100.0	(3,419) 100.0	(3,853) 100.0

<a> Excludes inmates in med/psych or special housing or in the reception centers on June 30, 1983, and inmates paroled or discharged before January 1, 1984.

Table 47 repeats this analysis for inmates housed in Level III facilities, with a similar finding: inmates who were housed out of their scored classification level have similar misconduct rates. This table is especially relevant given earlier discussions on the influence of prison term in determining an inmate's classification level. Clearly, a large proportion of Level IV inmates did not require placement in Level IV institutions.

Table 47

California
Number of Inmates by Inmate Level
and Number of Serious Disciplinaries Received
Between June 30 and December 31, 1983<a>

<u>No. of Serious Disciplinaries</u>	<u>Level III Institutions</u>				
	<u>Level I</u>	<u>Level II</u>	<u>Level III</u>	<u>Level IV</u>	<u>Total</u>
0	(419) 89.2%	(556) 90.7%	(4,219) 87.3%	(1,208) 87.7%	(6,402) 87.8%
1	(34) 7.2	(39) 6.3	(379) 7.8	(100) 7.3	(552) 7.5
2	(14) 3.0	(9) 1.5	(143) 2.9	(32) 2.3	(198) 2.7
3	(1) 0.2	(6) 1.0	(41) 0.9	(17) 1.3	(65) 0.9
4	(2) 0.4	(2) 0.3	(28) 0.6	(10) 0.7	(42) 0.6
5	(0) 0.0	(0) 0.0	(12) 0.3	(3) 0.2	(15) 0.2
6 or more	(0) <u>0.0</u>	(1) <u>0.2</u>	(11) <u>0.2</u>	(7) <u>0.5</u>	(19) <u>0.3</u>
Total	(470) 100.0	(613) 100.0	(4,833) 100.0	(1,377) 100.0	(7,293) 100.0

<a> Excludes inmates in med/psych or special housing or in the reception centers on June 30, 1983, and inmates paroled or discharged before January 1, 1984.

This finding does not necessarily reflect "bad" classification practices. Indeed, the opposite is more likely. Staff are not randomly overriding Level IV inmates to lower security settings. Instead, they are carefully choosing those "marginal" Level IV inmates who, based on judgement and current in-custody behavior, could be safely handled in a less secure facility. What it does suggest, however, is that some fine-tuning of the existing classification criteria is needed. If factors being used by staff to override classification scores continue to prove successful, the agency may benefit by incorporating these items into its classification instruments.

Conclusion

On the whole, the results presented here replicate findings from other studies. Items and scales used to classify inmate security risk at admission prove to be weak predictors of actual behavior. The single encouraging finding is that the associations are generally in the proper direction. With additional analysis it may be possible to enhance these results by adjusting the item weights and scales.

If one compares the statistical relationships of the individual initial classification items used by the three agencies, only age consistently demonstrates predictive validity. Yet, just one agency, Illinois, relies heavily upon age in initial classification decision-making. Conversely, various measures of the instant offense (prison term, severity of current offense, and expected length of stay) evidence weak relationships with inmate misconduct but greatly influence the scoring process. The inability of the instant offense item to predict inmate behavior is most notable in California, where the majority of inmates who were designated high security did not receive any major disciplinary report during the first six months of incarceration. Consequently, agencies that rely heavily upon the instant offense for all classification decisions are highly likely to overclassify their inmate populations in terms of actual custody needs.

On a more positive note, the classification scales do demonstrate an ability to classify inmates according to actual risk. Despite a significant amount of overclassification, inmates who were placed in higher security levels did exhibit substantially higher rates of misconduct.

CHAPTER 4

IMPACT OF THE AGENCIES' OBJECTIVE CLASSIFICATION SYSTEMS ON MISCONDUCT, ESCAPE, AND FATALITY RATES

Introduction

Perhaps the most important objective of any classification system is to reduce the total amount of violence, disciplinary incidents, fatalities, and escapes occurring within prisons. Unfortunately, determining whether classification is having such an impact is a very difficult enterprise. Researchers often encounter immense measurement problems in the reliability and validity of official agency documents, which are often collected in a non-systematic manner over time. Moreover, they must try to sift through an array of competing factors that may be exerting equal or more powerful influences on the dependent measures. For example, fluctuations in disciplinary rates could be attributed to changes in agency reporting procedures (instrumentation), changing admission characteristics (selection), changing sentencing policies, or prison crowding (history). Furthermore, reductions in disciplinary rates could be attributed not so much to the classification instrument per se as to the agency's sudden interest in a classification system. This, in turn, may facilitate greater training and adherence to existing classification procedures, thus enhancing management of the inmate population. For example, reductions in disciplinary rates may simply be the result of correctional staff paying greater attention to classification policy.<1> Despite these caveats in monitoring system-wide rates and interpreting their causal relationships to the introduction of a new classification system, it is essential that such analysis be done, as it provides one important criterion for examining the possible impact of classification.

As indicated in the methodology discussion, the general analytic framework applied here is that of interrupted time-series analysis. Under ideal circumstances, sufficient and accurate time series data points would be available to allow a statistical comparison of pre- and post-classification implementation observations. The statistical model for time series can be represented as follows:

<1> This phenomenon has considerable merit, especially when one considers the results of the validation analysis presented in Chapter 3.

$$Y_t = b_{pre} + b_{post} + e_t$$

where

Y_t = the t^{th} observation of a time series data set

b_{pre} = pre-intervention series rates

b_{post} = post-intervention series rates

e_t = error term associated with Y_t

If no effects are assumed to be observed (i.e., null hypothesis), then the analysis would show no difference between pre- and post-intervention rates.

For classification studies, the intervention is the abrupt or lagged introduction of the new classification system. Comparisons between the pre-classification time intervals and implemented or post-classification system time intervals would provide analysis on the effects of classification. Outcome measures would include those variables that the classification system is expected to impact (i.e., escape, assaults, etc.).

In the following pages, this analytic framework was applied to aggregate data made available from the three state correctional agencies. Problems arose in the analysis due to the absence of sufficient data points (at least 25 are desirable), insufficient post-implementation time intervals for studying the impact of a newly implemented policy (usually two to three years), and possible bias introduced by uneven data reporting standards. In some respects, the analysis more closely resembled a pre-post test rather than a rigorous time-series analysis. Despite these methodological limitations, some important, albeit tentative, conclusions can be drawn on how effective these systems have been in curbing disruptive inmate behavior.

For each of the three agencies, three levels of system-rate analysis are presented. First, an overview is given of the overall trends in classification scores and custody assignment. Second, pre- and post-classification implementation time-series analyses are done to determine the impact of the new systems on major disciplinary or misconduct incident rates. The final analysis repeats the time-series analysis but looks only at the most serious and least frequent incidents of suicides, fatalities, and escapes.

Trends in Classification Scores for California and Illinois

Before proceeding with interpretation of the time-series data, it is helpful to understand how successfully each agency's system was implemented. Of particular significance is the extent to which inmates are actually being housed in accordance with their classification scores. If staff are

overriding the designated scores (either upward or downward) in a substantial number of cases, then one might expect a less than substantial impact on system rates as opposed to a situation in which there is full compliance with the classification scoring system.

Classification level score distributions for California and Illinois are summarized in Table 48. This type of data, however, was not available for Wisconsin. Interestingly, both Illinois and California scored approximately one-third of their inmates in minimum security, which was far more than these agencies reported prior to their new classification systems.

Table 48

Trends in Classification Level Scores
for Resident Inmate Population
by Agency

California

	<u>June 1981</u>	<u>June 1982</u>	<u>June 1983</u>	<u>July 1985</u>
Level IV (Maximum)	22.5%	24.6%	25.2%	26.1%
Level III (High Medium)	23.1	22.6	23.6	22.8
Level II (Low Medium)	22.1	21.8	20.8	18.7
Level I (Minimum)	32.3	31.0	30.4	32.5
Override Rate	35.7	31.3	29.4	35.2

Illinois

	<u>June 1983</u>	<u>June 1985</u>
Maximum	37.6%	32.6%
Medium	37.2	30.9
Minimum	22.8	33.7
Missing/Pending	2.4	2.8
Override Rate	20.0	29.1

Trends in the California classification level scores indicate a slight but steady upward trend in the proportion of inmates scored as Level IV or maximum security. A separate analysis conducted by CDC staff in 1984 found that the cause of this trend was simply longer sentences being imposed by the courts. It may be recalled that in Chapter 2 prison term, or sentence, was found to be the principal item determining inmates' scores. As those terms increased due to legislative changes in the sentencing structure, the proportion of inmates assigned to higher security levels also increased, regardless of other risk considerations.

A different trend in classification level scores occurred in Illinois, where the proportion of inmates classified for maximum and medium security declined, while that for minimum security increased. The minimum security population was 23% in June 1983 but had grown to 34% by June 1985, while the maximum and medium security population had decreased. Most of the movement appears to stem from reclassification of medium security inmates for minimum security, which is analyzed in greater detail later in this chapter. The primary reason for the shift toward lower security designations has been the implementation of the agency's new reclassification instrument in 1984, which allows inmates, based on their institutional conduct, to move quickly to lower security facilities.

One also notes that substantial override rates are occurring in both jurisdictions, ranging from 20 to 35%. The consequences of these high override rates are especially relevant to time-series analysis. If these systems are truly predictive, then high override rates will tend to compromise their potential to suppress aggregate rates of misconduct, escapes, or fatalities.

Trends in Placements

One gets a better feel for the possible effects of these override rates by comparing score placements, and the reclassification process.

California

California routinely generates a highly useful management report comparing inmate classification scores by the facility security level to which the inmate is actually assigned. Table V-36 summarizes the most current report available as of June 30, 1985, for the entire prisoner population for which data were obtainable. This table includes two additional classification categories for inmates in high security units (analogous to administrative segregation and protective custody), and inmates assigned to specialized medical facilities. These inmates have been scored on the classification instrument but have been housed in these units due to their requirements for special handling. Consequently, the key cells for purposes of analyzing overrides are those cross-tabulations of inmate score levels I-IV (columns) versus actual placement levels I-IV (rows).

Table 49 also shows the greatest amount of override occurring for the Level IV-scored (maximum security) inmates, of which only 35% were actually assigned to a Level IV facility.<1> Most Level IV-scored inmates were

<1> This 35% figure is somewhat misleading because most of the special security cases (N = 2,510) are also scored as Level IV inmates. If one were to add these 2,510 cases to the 2,476 Level IV cases already located in Level IV facilities, the misclassification rate approximates 50%.

actually being housed in Level III facilities, which was below their designated levels.

Table 49

Comparison of California Classification Score
Versus Actual Facility Location

Location	Security Designation Score				Special Housing			
	I	II	III	IV	Security	Medical	Total	Percent
I	8,726	1,062	114	10	0	0	9,902	25.7
Facility	II	2,320	4,202	360	31	0	6,913	18.1
Security	III	1,212	1,354	7,133	4,369	217	1,995	16,280
Level	IV	163	78	169	2,476	2,293	2	5,181
Total	12,421	6,696	7,776	6,886	2,510	1,997	38,286	
Percent	32.4	17.9	20.3	18.0	6.6	5.2	100.0	

Source: California Department of Corrections Classification Division, Population Analysis as of June 30, 1985.

The reason for this finding is readily apparent. California has been facing a massive crowding problem and major lawsuits at its Level IV institutions. This has forced classification staff to place a substantial number of high security-scored inmates in Level III facilities. The implications for time-series analysis are also obvious. If California is using a truly predictive system but is placing inmates outside their designated facilities due to overcrowding, one could anticipate substantial increases in misconduct rates independent of the presence of the new classification system. One could also argue that if the incident rates remain stable despite the override rates, then again the system may not be wholly predictive.

The pattern of internal movement from initial to reclassification for California is presented in Table 50. Although there is movement toward the lower security categories of Level I and II inmates, much less movement is shown for the inmates designated Level IV or maximum security at admission. Table 50 is based on a random sample of 1,522 inmates from California's prisoner population, which allows comparison of initial and current classifi-

cation scores. This table shows that 76% of the maximum security inmates were still classified as maximum security. The inability of the Level II inmates to move to lower security levels appears again to be a function of the extreme weight assigned to the prison term item, making it difficult to move to a lower security level without an override.

Table 50

Comparison of California Initial and
Current Classification Scores

<u>Initial Classification</u>	<u>Current Classification</u>				<u>Total<a></u>
	<u>Level I</u>	<u>Level II</u>	<u>Level III</u>	<u>Level IV</u>	
Level I	95.0%	3.1%	1.6%	0.4%	16.9% (253)
Level II	46.6	42.2	8.9	2.3	25.2 (384)
Level III	7.1	26.7	54.7	11.6	28.8 (439)
Level IV	5.4	2.7	15.7	76.2	29.0 (441)
Total	31.5% (479)	19.6% (299)	22.8% (347)	26.1% (397)	100.0% (1,522)

<a> Reflects marginal column percent.

 Reflects marginal row percent.

All other percents reflect row percents.

Illinois

The Illinois analysis was based on a specially constructed cohort sample of 1,300 inmates admitted to Illinois prisons in 1982 and processed through both the initial and reclassification instruments.<1> The data file allowed the movement of inmates to be studied from their initial classification through their first reclassification.

This analysis confirms a rapid and substantial shift toward medium and minimum categories after initial classification. For example, only 9% of new

<1> The same sample is used in Chapter 3 to conduct validation analysis with follow-up disciplinary conduct reports.

admissions were scored as minimum security inmates, but by reclassification 35% qualified for minimum security placement. Most of the "new minimums" were coming from those inmates initially classified medium security. Conversely, only 7% of the new intakes were later designated maximum at reclassification, compared to 23% at intake. The differences between the distributions shown in Tables 48 and 51 also suggest that most of the Illinois overrides were occurring for inmates whose initial classification scores were medium, which was viewed as too low by institutional/classification staff and thus upgraded via an override to maximum security.

Table 51

Comparison of Illinois Initial and Reclassification Scores

<u>Initial Classification</u>	<u>Reclassification</u>			<u>Total<a></u>
	<u>Maximum</u>	<u>Medium</u>	<u>Minimum</u>	
Maximum	12.4%	82.9%	4.8%	22.6% (302)
Medium	5.4	53.1	41.5	68.5 (914)
Minimum	3.2	39.0	58.5	8.8 (117)
Total	6.7% (84)	58.6% (781)	34.7% (463)	100.0% (1,333)

<a> Reflects marginal column percents.

 Reflects marginal row percents.

All other percents reflect row percents.

Wisconsin

Once again due to differences in the agency's data system, the Wisconsin analysis is presented in a slightly different format when compared to Illinois and California. Similar to Illinois, it was not possible to analyze the current classification scores versus current placements for the resident inmate population. However, it was possible to analyze initial and reclassification scores versus initial and reclassification placements for all inmates who have been classified under the original and revised instruments.

High override rates have been encountered since the new system was first implemented in Wisconsin. As Table 52 indicates, overrides have been used in approximately 45% of all classifications. Interestingly, the scale revisions

introduced in 1984 to reduce the rate of overrides have had the opposite effect. Override rates at both initial and reclassification increased considerably after the changes were implemented.

Table 52

Use of Overrides in Wisconsin

	<u>Original Scales' Override Rate</u>	<u>Revised Scales' Override Rate</u>
Initial Classification	47.3% (2683)	53.4% (2505)
Reclassification	40.6% (1942)	44.2% (4511)

Tables 53 through 56 further breakdown overrides in Wisconsin. Actual placements are compared with custody scores for both versions of the initial and reclassification scales. At initial classification, most overrides were to higher custody levels (2,135 of 2,607). At reclassification, overrides were about evenly divided, with 51% going to higher custody levels and 49% resulting in lower custody placements.

Table 53

First Custody Assignment by Custody Score
Original Wisconsin Custody Scale

<u>Initial Custody Score</u>	<u>Custody Level Assigned</u>			<u>Total</u>
	<u>Maximum</u>	<u>Medium</u>	<u>Minimum</u>	
Minimum	12.0% (166)	41.3% (573)	45.4% (629)	51.0% (1368)
Medium	23.8 (255)	55.7 (597)	19.5 (209)	39.5 (1061)
Maximum	73.7 (188)	22.4 (57)	3.5 (9)	9.5 (254)
Total	22.7 (609)	45.7 (1227)	31.6 (847)	100.0 (2683)

Table 54

First Custody Assignment by Custody Score
Revised Wisconsin Custody Scale

<u>Initial Custody Score</u>	<u>Custody Level Assigned</u>			<u>Total</u>
	<u>Maximum</u>	<u>Medium</u>	<u>Minimum</u>	
Minimum	14.1% (207)	48.0% (704)	37.9% (557)	58.6% (1468)
Medium	30.1 (230)	54.2 (415)	15.7 (120)	30.5 (765)
Maximum	71.7 (195)	25.1 (68)	3.4 (9)	10.9 (272)
Total	21.5 (632)	40.3 (1187)	23.3 (686)	100.0 (2505)

Table 55

Reclassification Scores by Custody Level Assigned
Original Wisconsin Scale

<u>Reclassification Custody Score</u>	<u>Custody Level Assigned</u>			<u>Total</u>
	<u>Maximum/Close</u>	<u>Medium</u>	<u>Minimum</u>	
Minimum	6.5% (69)	8.8% (92)	84.6% (887)	54.0% (1048)
Medium	27.0 (202)	23.4 (175)	49.5 (370)	38.5 (747)
Maximum/Close	61.9 (91)	19.0 (28)	19.0 (28)	7.6 (147)
Total	18.6 (362)	15.2 (295)	66.2 (1285)	100.0<a> (1942)

<a> Total does not equal 100.0% due to rounding.

Table 56

Reclassification Scores by Custody Level Assigned
Revised Wisconsin Scale

Reclassification Custody Score	Custody Level Assigned			Total
	Maximum/Close	Medium	Minimum	
Minimum	9.1% (181)	25.0% (496)	65.9% (1,308)	44.0% (1985)
Medium	26.2 (360)	39.8 (547)	34.0 (468)	20.5 (1375)
Maximum/Close	57.8 (662)	28.5 (326)	13.7 (157)	25.5 (1145)
Total	26.7 (1203)	30.4 (1369)	42.9 (1933)	100.0 (4505)

In total, it appears that the objective classification system has had little impact on inmate placements in Wisconsin. This finding can clearly be seen in Table 57, which summarizes placements rather than scores for inmates from 1981-1985. Wisconsin has, throughout the period analyzed, housed approximately one of every five inmates in minimum security facilities. This is substantially below the proportion of minimum security placements in both Illinois and California, and also far less than is indicated by the custody assessment scales, as reported in Chapter 2.

Table 57

Wisconsin
Trends in Classification Placements<a>

Placement	Dec. 1981	Dec. 1982	Dec. 1983	Dec. 1984	Dec. 1985
Maximum	47.7%	46.4%	46.6%	46.8%	43.7%
Medium	27.8	26.8	27.8	29.1	28.6
Minimum	20.8	20.9	20.1	19.8	20.6
Reception Center	3.7	5.9	5.5	6.5	7.1

<a> Males only.

Time-Series Trends in Disciplinary Incidents, Escapes, and Fatalities

California

Misconduct rates for California were operationally defined as disciplinary incidents for the following offenses:

- Assaults with weapons
- Assaults without weapons
- Possession of weapons
- Possession or sale of drugs (excluding alcohol)
- Sex acts (voluntary or involuntary)

Reports on these offenses are aggregated and tabulated annually by CDC central office staff. Each institution also reports average monthly and yearly populations, which allows these misconduct incidents to be converted into rates per 100 inmate population.

Table 58 and Figure 27 on the following pages summarize these misconduct rates for 1976 through 1984. The new classification system was abruptly implemented in March 1980 with all current inmates, as well as all new court commitments, being reclassified under the new system. Consequently, 1980 was initially chosen as the point of policy intervention. However, California officials also reported (independent of a review of these findings) that actual placement of inmates according to the new system was not fully felt until the summer of 1980, when large numbers of inmates became eligible for minimum security (Level I) placement.

The most striking trend for California is the steady and rather dramatic rise in misconduct rates since 1976.<1> Incident rates have doubled during this nine-year period, with the greatest increases occurring for the most serious incidents of assault and possession of weapons. Less serious incidents of drug and sex acts have also increased but not at the same pace.

A simple visual inspection also shows that in 1980 the rate reached 11.37 per 100 and then declined slightly until 1984, when it again jumped to an 11.72 rate.

One tentative interpretation of these trends is that classification may have produced a moderating effect on an historically upward trend. However, this does not explain why the trend continued to climb again in 1984 and is now at an all-time high. One alternative explanation is that population growth rate and attending prison crowding conditions are more responsible for these new upward trends.

<1> Indeed, since the department began collecting major incident reports in 1970, the rate has increased tenfold.

Table 58

California Time-Series Analysis
Major Incidents (1976-1984)<a>

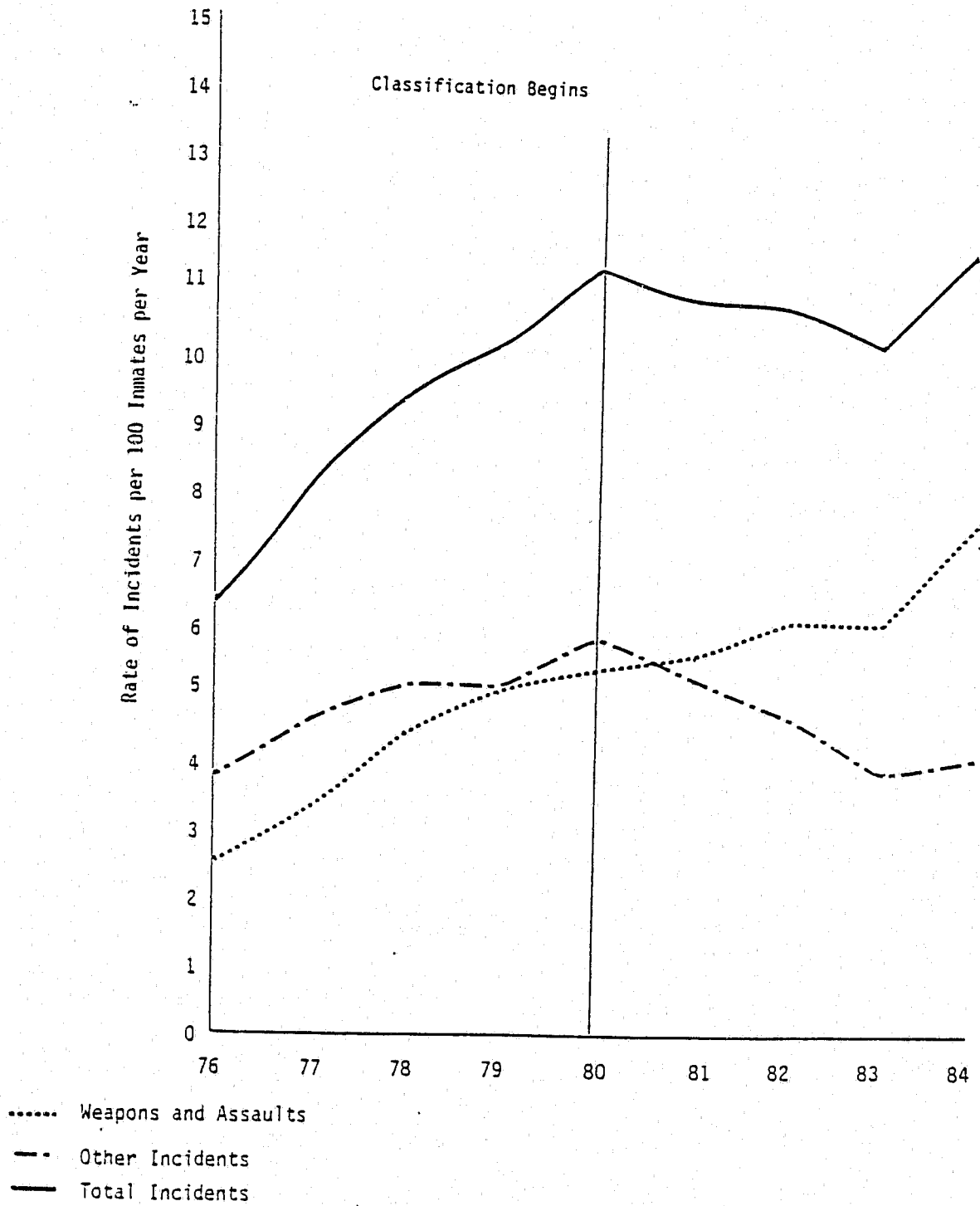
<u>Incident</u>	<u>Pre-classification System</u>					<u>System Implemented</u>			
	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>1984</u>
<u>Weapons and Assaults</u>	2.60	3.49	4.36	5.02	5.44	5.55	6.17	6.13	7.58
Assaults with Weapons	1.00	1.17	1.32	1.39	1.45	1.50	1.46	1.60	2.33
Assaults Without Weapons	0.65	0.86	1.21	1.75	1.86	2.01	2.09	2.13	2.36
Possession of Weapons	0.95	1.46	1.83	1.88	2.13	2.04	2.62	2.40	2.89
<u>Other Incidents</u>	3.86	4.69	5.13	5.07	5.93	5.26	4.63	3.97	4.14
Drugs	3.83	4.61	5.05	4.94	5.84	5.12	4.48	3.82	4.02
Sex<c>	0.03	0.08	0.08	0.13	0.09	0.14	0.15	0.15	0.12
<u>Total Major Incidents</u>	6.46	8.18	9.49	10.09	11.37	10.81	10.80	10.10	11.72

<a> All rates are expressed as incidents per 100 inmates per year. Average annual male and female populations were used to calculate per 100 rates.

 Includes possession and sale of opiates and marijuana. Most incidents are for possession and only for marijuana.

<c> Includes both voluntary and involuntary sexual acts between inmates.

Figure 27
CALIFORNIA TIME-SERIES ANALYSIS
MAJOR INCIDENTS
1976-1984



In contrast to major incident rates, rates for suicides, fatalities, and escapes have not increased. In fact, as shown in Table 59, escape and fatality rates have actually decreased, most significantly, after the new classification system was implemented. The most dramatic decline has been for escapes. Clearly, the new objective system has not had any negative effects on these rates.

Table 59

California Time-Series Analysis
Escapes, Homicides, Suicides<a>

	Pre-classification System					System Implemented			
	1976	1977	1978	1979	1980	1981	1982	1983	1984
Escapes	0.67	0.68	0.62	0.73	0.45	0.50	0.44	0.32	0.20
Fatalities	0.09	0.09	0.08	0.07	0.06	0.06	0.04	0.03	0.04
Suicides	0.03	0.06	0.02	0.04	0.05	0.05	0.08	0.05	0.04

<a> Expressed as rates per 100 inmates per year.

Project staff then analyzed rates disaggregated by institutional location. Table 60, on page 170, reports these rates, which were readily available for the more serious offense of assault only from 1978-1984. One can see that the 1984 increases were greatest in the lockup, Level III, and Level IV institutions. The lockup unit increases are especially noteworthy because two court orders have served to reduce the overcrowding that had existed there prior to 1984. CDC has embarked on a controversial policy of concentrating its 2,510 high security lockup prisoners in two institutions (Folsom and San Quentin). Despite efforts to depopulate these units to allow single-cell confinement and extreme security measures, the assault rate has continued to escalate.

Substantial rises were also observed for the Level III and, more dramatically, for the Level IV institutions. The Level III increases are significant, given the previously observed trend of overriding Level IV-scored inmates and placing them in Level III institutions. Part of the increases may thus be related to these override actions. However, there was also the attending problem of overcrowding at all mainline population institutions, which could have caused the systemwide increases. In the following section, the overcrowding factor will be examined in greater detail.

Table 60

Rate of Inmate Assault Incidents
in California Men's Institutions by Lockup Units and
Classification Level of Mainline Population (1978-1984)<a>

<u>Institutions by Level</u>	<u>1978</u>	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>1984</u>	<u>Change from 1978 to 1984</u>
Total, All Men's Institutions	2.6	3.2	3.3	3.5	3.6	3.7	4.8	+2.2
All Lockup Units	9.5	13.2	11.0	10.1	10.6	13.8	17.4	+7.9
Total, All Mainline Institutions	1.9	2.1	2.4	2.7	2.7	2.8	4.0	+2.1
Level I--Mainline	1.0	1.5	1.7	1.0	1.6	1.4	2.1	+1.1
Level II--Mainline	1.6	2.0	2.4	2.4	2.4	2.8	2.9	+1.3
Level III--Mainline	2.7	3.0	2.4	3.2	2.7	3.2	4.6	+1.9
Level IV--Mainline	1.3	1.4	2.7	4.1	4.5	4.2	7.3	+6.0
All Reception Centers	2.2	1.9	3.3	2.7	2.5	1.6	2.0	-0.2

<a> Per 100 average daily inmate population per year.

Source: Offender Information Services Branch
Administrative Services Division
California Department of Corrections

Illinois

Illinois has been collecting detailed summary statistics on all disciplinary incidents since 1979. These reports, unlike California's, reflect both major and minor tickets resulting in "guilty" verdicts. For purposes of this study, 72 monthly summary reports submitted by each institution from 1979 through 1984 were computerized. Although some 28 offenses are represented on each sheet, analysis also focused on the following serious offenses, which are comparable to California's:

- Assaults and fighting
- Dangerous contraband (includes weapons)
- Dangerous disturbances

- Sex acts
- Drugs (possession and sale)

Illinois' classification system was implemented in November 1981 and later modified in September 1982. The reason for the 1982 adjustment was to downgrade the effects of the age factor in the scoring process. Institutional staff were reporting that facility populations were less heterogeneous with respect to age, which was causing disciplinary problems. The revised system was intended to reduce the potential for some institutions to become filled with predominantly youthful gang members.

Some support for the change in policy can be seen in Table 61 and Figure 28. Prior to 1981, the rates fluctuated and then increased again in 1982, the year of full implementation. In 1983, the year following adjustment to the system, the rates declined but have since risen to new highs in 1984. As with California, increases in misconduct occurred for the most serious offenses of assaults, fighting, contraband (weapons), and other disturbances. Rates for sex acts and drug incidents (sale and possession) have actually declined since 1979.

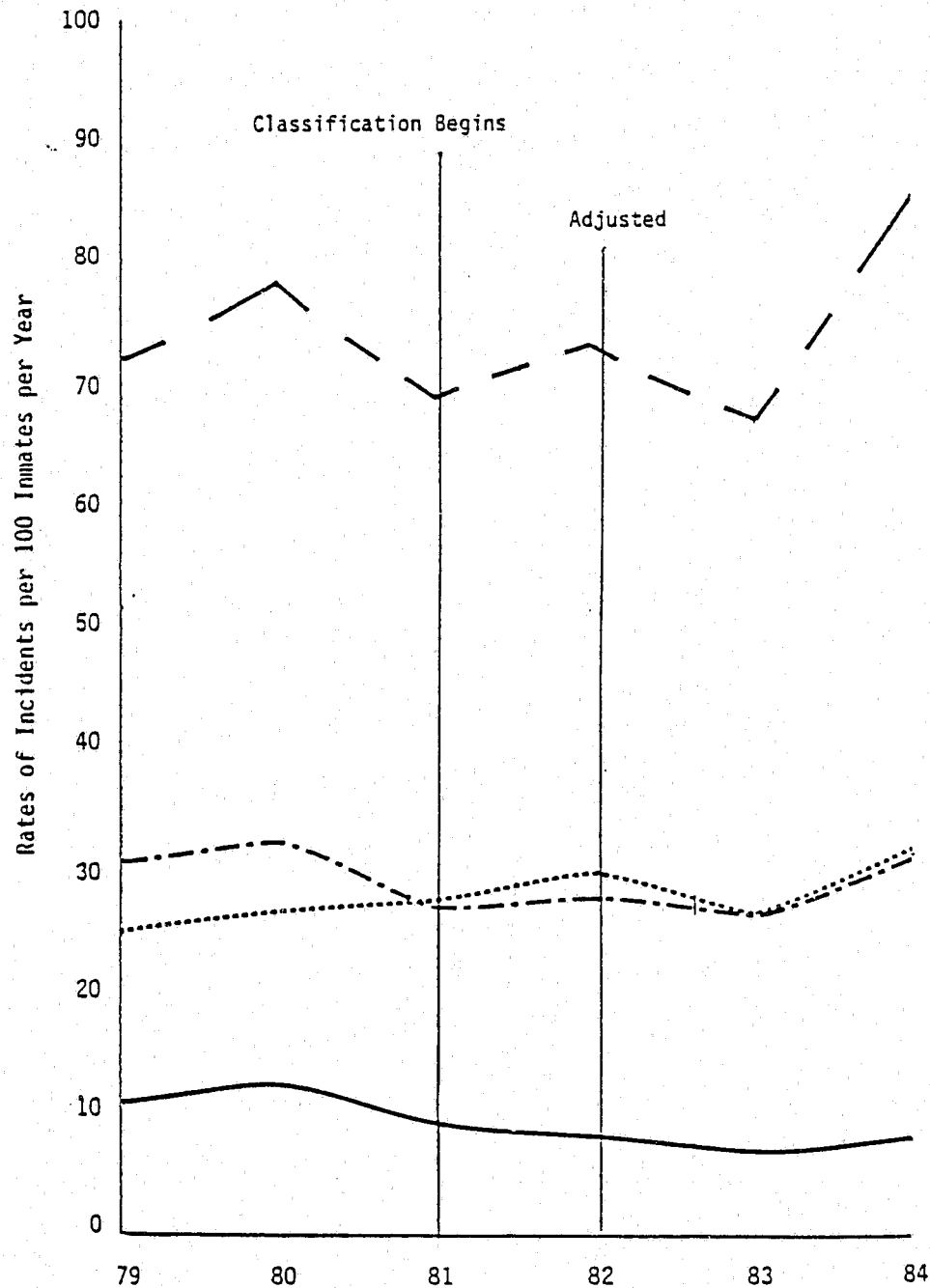
Table 61

Illinois Time-Series Analysis
Major Incidents (1979-1984)<a>

<u>Incident</u>	<u>Pre-classification System</u>		<u>New System</u>	<u>Adjusted System</u>		
	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>1984</u>
Assaults and Fighting	2.0	2.2	2.2	2.4	2.1	2.6
Dangerous Contraband	0.4	0.5	0.6	0.7	0.7	1.0
Dangerous Disturbances	2.6	2.7	2.1	2.2	2.1	2.6
Sex	0.2	0.2	0.2	0.2	0.2	0.2
Drugs	0.8	1.0	0.7	0.7	0.5	0.7
Total Major Incidents	6.0	6.6	5.8	6.1	5.6	7.1
All Reports	48.7	55.2	53.3	52.8	51.1	59.5

<a> All incident rates reflect number of incidents per 100 inmates per month.

Figure 28
ILLINOIS TIME-SERIES ANALYSIS
MAJOR INCIDENTS
1979-1984



- Assaults and Fighting
- .-.- Dangerous Disturbances
- Drugs
- Total Major Incidences

Turning to the more serious and infrequent measures of escape, fatalities, and suicides, no clear upward or downward trend can be discerned (Table 62). These rates are considerably lower than those for California. Again, one can safely conclude that the new system has not adversely affected these rates despite major shifts toward lower security levels.

Table 62

Illinois Time-Series Analysis
Escapes, Fatalities, Suicides (1977-1984)<a>

	Pre-classification System				New System	Adjusted System		
	1977	1978	1979	1980	1981	1982	1983	1984
Escapes	0.14	0.16	0.11	0.25	0.06	0.11	0.13	0.10
Fatalities	0.00	0.01	0.00	0.00	0.02	0.01	0.02	0.01
Suicides	0.02	0.04	0.01	0.03	0.04	0.02	0.04	0.03

<a> Expressed in rates per 100 inmates per year.

As with California, disciplinary rates were then disaggregated by institution as shown in Table 63, on page 174. Of the 17 institutions, only 10 were available for housing from 1979-1984. No consistent trends are readily apparent. Indeed, the major finding is that institutions vary considerably in their rates over time and amongst each other. This suggests that considerable problems may exist in the measurement and reporting by staff of disciplinary incidents. One is also concerned that this "unevenness" in reporting standards may be contributing to inequities in disciplinary actions and, ultimately, reclassification decisions, which are heavily driven by disciplinary conduct.

It is also noteworthy that the 1984 increase in disciplinary rates reported in Table 63 was principally limited to eight institutions, of which three were newly opened medium or minimum security facilities (Dixon, Lincoln, and Jackson). In the remaining institutions, there were no changes or reductions in disciplinary rates. At the aggregate level it is impossible to explain these contradictory shifts, but they collectively argue that official disciplinary behavior is the product of many factors that are independent of the classification system itself.

Table 63

Illinois
Total Disciplinary Rates by Institution

<u>Institution</u>	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>1984</u>
<u>Maximum</u>						
Stateville	54.8	69.6	51.6	48.2	45.8	71.1
Menard	44.2	37.9	46.0	62.1	63.0	81.0
Joliet	29.3	44.0	38.8	38.9	43.3	40.2
Pontiac	73.3	95.7	96.3	86.8	74.4	87.2
Menard Psych.	34.3	40.6	43.7	30.3	30.1	32.0
Dwight	50.2	62.4	64.8	47.3	70.8	57.4
<u>Medium</u>						
Logan	58.5	58.5	63.8	57.8	69.2	64.8
Vandalia	55.7	51.3	59.4	59.1	49.7	52.5
Sheridan	45.8	53.8	27.8	9.3	41.5	44.1
Graham	N/A	N/A	53.7	53.3	39.4	63.3
Central	N/A	N/A	40.6	44.8	43.8	65.6
Dixon	N/A	N/A	N/A	N/A	9.0	25.1
Shawnee	N/A	N/A	N/A	N/A	N/A	4.1
<u>Minimum</u>						
Vienna	3.2	3.3	3.1	2.9	4.4	3.9
East Moline	N/A	N/A	14.5	18.5	23.3	25.0
Lincoln	N/A	N/A	N/A	N/A	N/A	67.0
Jackson	N/A	N/A	N/A	N/A	N/A	50.2

Wisconsin

Data regarding misconduct reports on Wisconsin inmates were captured from an automated file that contained 80,000 disciplinary records for 1981 through 1984. Each report lists up to four separate violations; includes data on injuries to staff, self or other inmates; identifies what weapons (if any) were involved; specifies the type of contraband involved (if any); and lists disposition(s) of the infraction(s).

To eliminate differences in disciplinary reporting practices among Wisconsin institutions and staff and to provide data reasonably similar to that supplied by California and Illinois, disciplinary reports were included

in this analysis only if a finding of guilty was recorded and the disposition included loss of good time, adjustment or program segregation, or referral for prosecution.

Table 64, on page 177 presents monthly averages of major infractions reported in each of Wisconsin's institutions from January-June 1981 through July-December 1982. As the data illustrate, the system-wide rate for major disciplinary reports has fallen from 10.9 to 7.0, a 36% decrease. Rates peaked in the July-December 1981 timeframe at 11.8 and declined in every period thereafter. The two largest facilities, Waupun Correctional Institution and Green Bay Correctional Institution, have shown rather dramatic declines--54% at Waupun and 38% at Green Bay. The Waupun figure may be partially attributable to a reduction in crowding, but the Green Bay decline occurred while the population increased 17%.

A summary of major incidents is presented in Figure 30 and Table 65. Escapes and drug/alcohol-related infractions dropped significantly after implementation of the objective classification system. Arson, injuries to staff, and injuries to other inmates also decreased considerably in 1983, but in 1984 climbed close to previous levels. Self-inflicted injuries recorded in 1984 surpassed those registered for any of the other three years analyzed.

While declines in rates of major incidents cannot be conclusively attributed to the use of an objective system, it seems feasible that an understanding by inmates of the consequences of their behavior could result in less acting out. Behavioral measures were included in the reclassification instrument for many reasons, including potential of enhancing management of prisoners by clearly articulating how their actions affect placement decisions.

Figure 29

WISCONSIN TIME-SERIES ANALYSIS
MAJOR INCIDENTS.
1981-1984

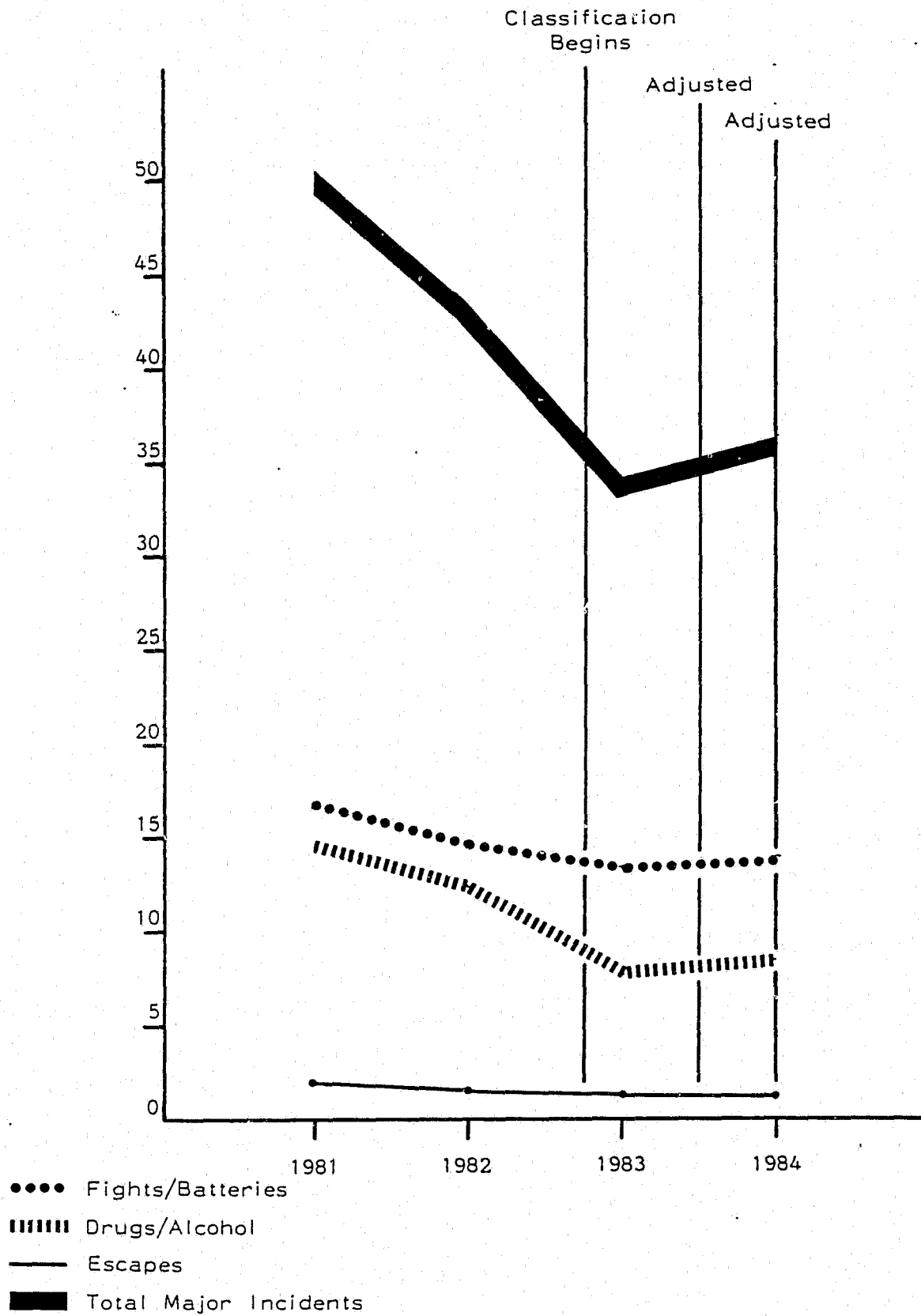


Table 64

Wisconsin Time-Series Analysis
Major Disciplinary Reports by Institution Per 100 Population
(Monthly Averages)

<u>Institution</u>	<u>Pre-Classification System</u>			<u>New System</u>			<u>Adjusted System</u>	
	<u>1/81-6/81</u>	<u>7/81-12/81</u>	<u>1/82-6/82</u>	<u>7/82-12/82</u>	<u>1/83-6/83</u>	<u>7/83-12/83</u>	<u>1/84-6/84</u>	<u>7/84-12/84</u>
WCI	14.6	12.9	11.4	10.1	12.6	9.1	8.9	6.7
GBCI	13.5	15.8	13.4	13.6	12.3	10.7	11.0	9.4
WTI	21.0	30.6	34.9	13.9	8.8	11.0	9.1	8.3
FCI	4.8	7.9	7.8	6.1	5.8	7.7	7.0	7.0
KCI	10.1	13.1	10.5	9.3	8.5	9.7	7.7	10.6
OCI	4.4	4.0	5.4	6.3	4.7	4.2	4.7	6.3
TCI	7.9	8.8	10.7	10.8	8.5	7.2	3.7	3.6
Total	10.9	11.8	10.9	9.1	8.3	8.2	7.4	7.0

Table 65

Wisconsin Time-Series Analysis
Major Incidents (1981-1984)<a>

<u>Incident</u>	<u>Pre-classification System</u>		<u>System Implemented</u>	
	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>1984</u>
Escapes	2.0	1.8	1.5	1.4
Sex Offenses	3.8	2.0	1.9	1.7
Weapons	6.2	4.9	4.5	4.5
Fights/Batteries	16.8	14.9	13.4	13.8
Arsons	0.8	0.6	0.4	0.5
Drugs/Alcohol	14.5	12.6	7.8	8.6
Injuries to Staff	1.4	1.5	0.9	1.1
Injuries to Self	1.8	1.9	1.6	2.0
Injuries to Other Inmates	3.2	3.0	2.2	2.6
Total Major Incidents	50.5	43.2	34.2	36.2

<a> These figures do not correspond to the disciplinary rates presented in Table 64. The previous table is based on the number of reports filed. As explained in an earlier section, each report can contain up to four violations. The above table reflects all violations recorded.

All incident rates reflect number of incidents per 100 inmates per year.

However, rates of disciplinaries began to decline in 1982 prior to implementation of the system; more recent declines may simply be a continuation of that trend. In addition, it was found that due to facility restrictions, inmates were not being housed according to scores derived from the classification instruments. In fact, a good deal of overclassification occurred in Wisconsin when compared to California and Illinois.

Overcrowding and Misconduct Rates

Considerable research has been done in identifying factors that are related to inmate misconduct but are independent of classification decisions. Specifically, level of overcrowding within an institution and sharp shifts in the size and character of an inmate population have been shown to positively associate with increases in misconduct, illnesses, and fatalities.<1> Consequently, some attempt must be made in time-series analysis to account for these historical factors that may be confounding the time-series trends associated with classification policy.

For this analysis, measures of population growth and crowding were construed for California and Illinois, which provided the necessary data. It would have been preferable to include other external factors, such as shifts in prison admission characteristics, length of stay, and staffing and facility characteristics. These factors could obviously interact with misconduct incidents, but these types of data were not readily available for purposes of time-series analysis.

Table 66, together with Figure 30, graphically portrays incident rates, population growth, and the ratio of population size to design for California. That agency has recently experienced massive population growth without expanding its capacity, creating a chronic overcrowding situation. As indicated previously, its misconduct rate peaked in 1980 and then declined, only to increase sharply again in 1984. These trends provide further evidence that the objective classification system had but a temporary suppression effect on disciplinary rates. As the extent of prison population growth and associated overcrowding continued to rise, disciplinary rates eventually reversed their downward trend and began to climb again. One interpretation, popular within California, is that classification is losing its effect as the crowding situation worsens.

Table 66

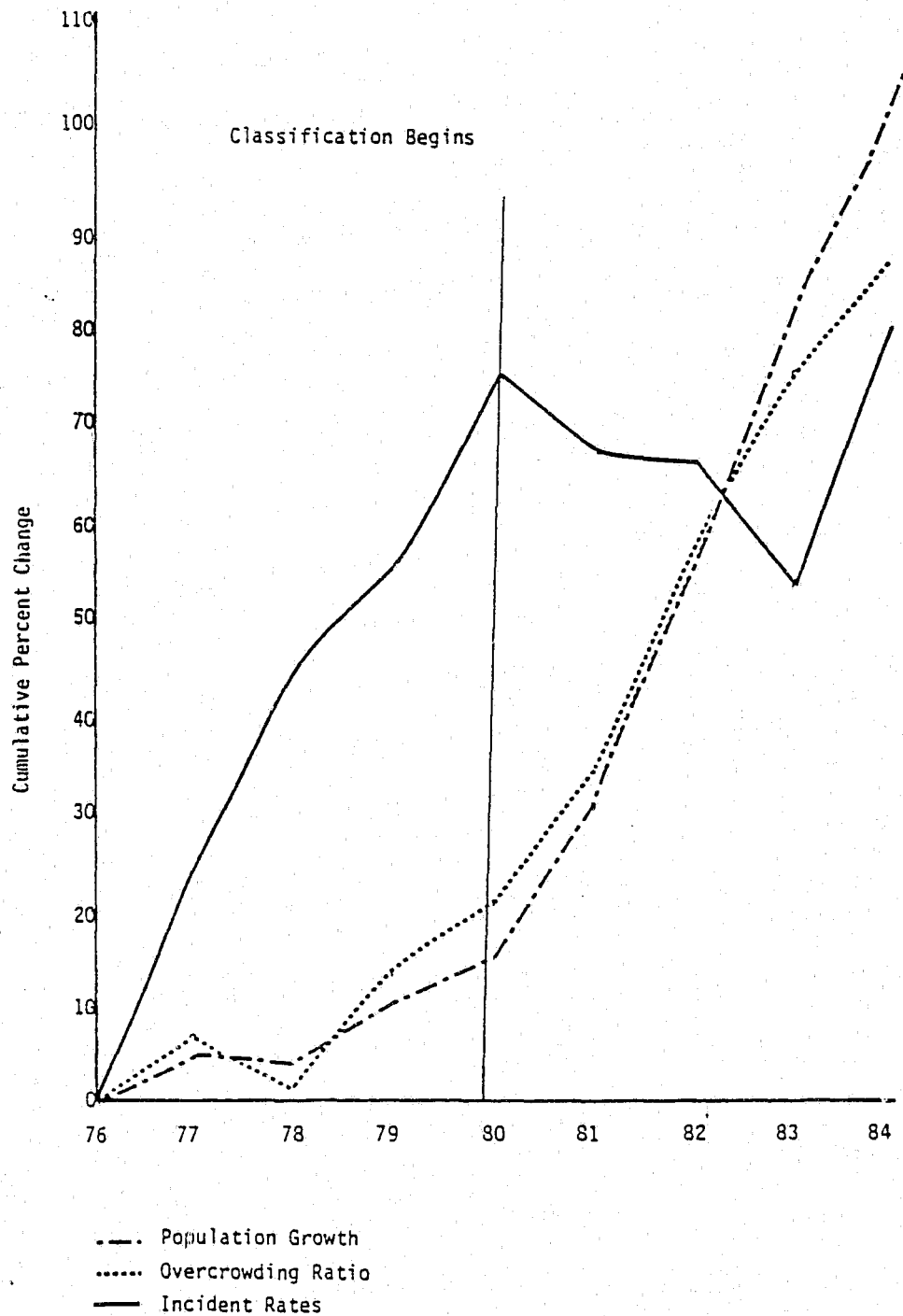
California Daily Populations,
Annual Incident Rates, and Design Capacities

	1976	1977	1978	1979	1980	1981	1982	1983	1984
Annual Population	20,345	21,535	20,629	22,534	23,511	26,768	32,127	37,228	42,127
Cumulative % Change	0	6	4	11	16	32	58	83	107
Design Capacity	24,399	24,140	24,140	23,945	23,534	23,800	24,611	25,703	26,792
Percent Crowded<a>	83	89	85	94	100	112	131	145	157
Cumulative % Change	0	7	2	13	21	35	58	75	89
Major Incident Rate	6.46	8.18	9.49	10.09	11.37	10.81	10.80	10.10	11.72
Cumulative % Change	0	27	47	56	76	67	67	56	81

<a> Calculated as Annual Population/Design Capacity

<1> V. Cox, P. Paulus, and G. McCain, "Prison Crowding Research: The Relevance for Prison Housing Standards and a General Approach Regarding Crowding Phenomena," American Psychologist (1984), pp. 1148-1160.

Figure 30
 Time-Series Trends of
 Cumulative Percent Change in California
 Inmate Population, Overcrowding, and Incident Rates
 1976 - 1984



Illinois (Table 67, Figure 31) represents a very different situation, simply by virtue of the absence of overcrowding from 1979 through 1984. The analysis is complicated by adjustments in its system in 1982 and the short timeframe available for analysis. However, the overall trend for misconduct is characterized by year-to-year fluctuations, with a slight drift to a lower level by 1983 followed by a sharp rise. Interestingly, the inmate populations had also grown, but always within the agency's design capacity. The sharp rise in incidents is slightly associated with a surge in the inmate population that began in 1983 and continued through 1984. This period of growth reflects a curtailment of the agency's early release program and the opening of several new facilities, suggesting that classification was not a major contributor to the higher misconduct rates.

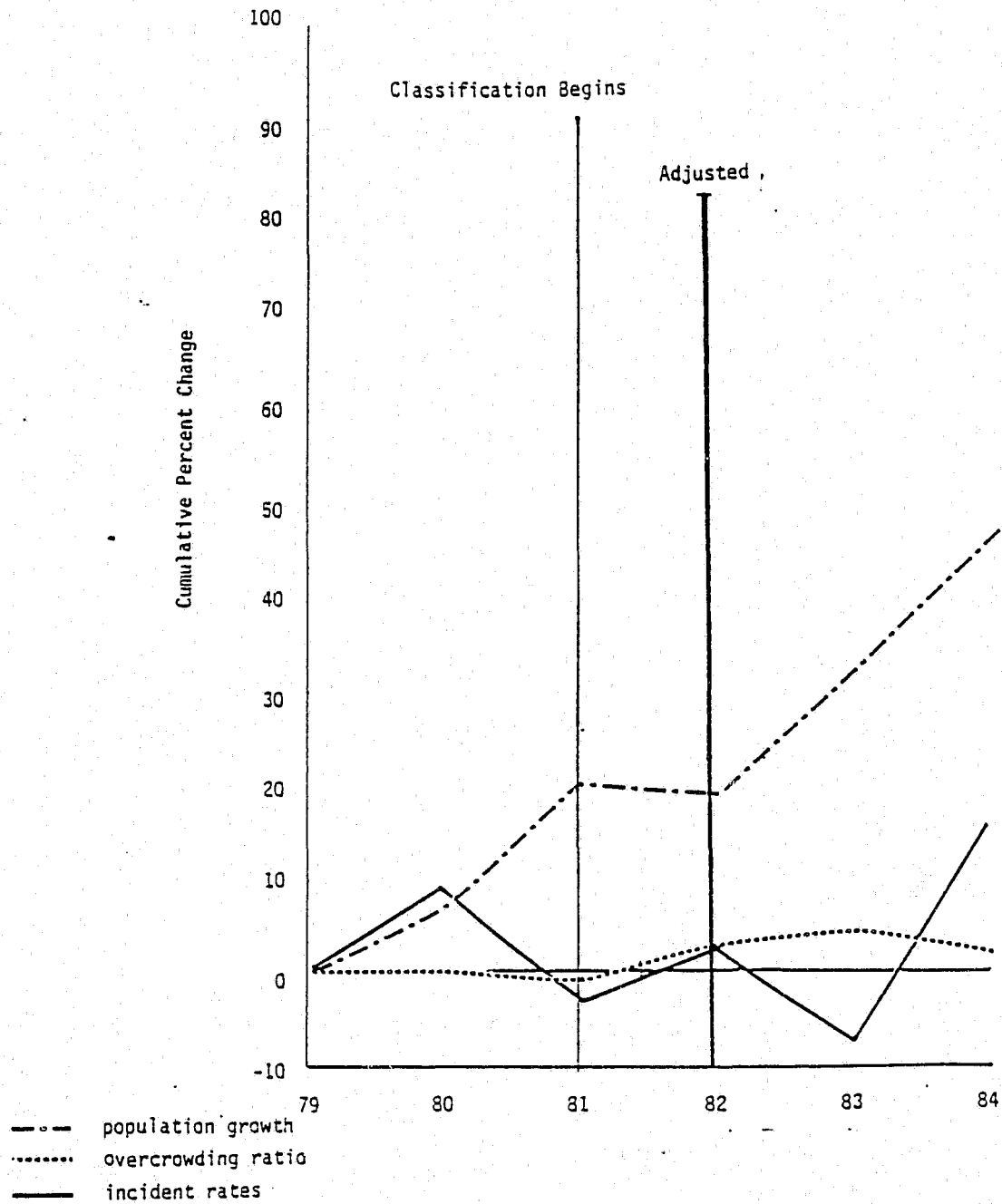
Table 67

Illinois Daily Populations,
Monthly Incident Rates, and Design Capacities

	<u>1979</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>	<u>1983</u>	<u>1984</u>
End of Year Population	11,683	12,500	13,994	13,895	15,437	17,250
Cumulative % Change	0	7	20	19	32	48
Design Capacity	11,940	12,763	14,470	13,943	15,318	17,390
Percent Crowded<a>	98	98	97	100	101	99
Cumulative % Change	0	0	.100	200	300	100
Major Incident Rate	6.0	6.6	5.8	6.1	5.6	7.1
Cumulative % Change	0	10	3	2	7	18

<a> Calculated as End-of-Year Population/Design Capacity

Figure 31
 Time-Series Trends of
 Cumulative Percent Change in Illinois
 Inmate Population, Overcrowding, and Incident Rates
 1979 - 1984



Conclusion

The time-series data presented a number of important trends that reflect both negatively and positively on these three classification systems. On the negative side, staff in all three agencies have experienced problems in adopting their classification systems as designed. Override rates were found to be excessive, indicating that substantial numbers of inmates were not being housed as classified. This trend greatly restricted the ability of project staff to conduct a true test of system impact on aggregate rates of misconduct.

The high rates of override may be contributing directly to the second finding: no clear evidence that these new objective systems had decreased the extent of official rates of misconduct. Only Wisconsin experienced a clear drop in disciplinary rates, and that agency had the highest override rate. On the other hand, this finding of no impact can be viewed positively, given three historical forces: (1) rapid growth in prison population, (2) greater numbers of placements in medium and minimum security/custody levels, and (3) increases in overcrowding. The presence of these forces, as well as other potential factors, argue that the new systems have helped control misconduct but that they alone cannot be held totally accountable for reducing institutional violence.

CHAPTER 5

IMPLICATIONS OF THE EFFECTIVENESS EVALUATION

Introduction

As noted in Chapter 1, this assessment of the classification systems used in California, Illinois, and Wisconsin represents the first major study of objective prison classification systems. Any pioneering study is likely to be constrained by factors beyond researchers' control. In this analysis, severe limitations in correctional data systems made it difficult to carefully track the movement and conduct of inmates. In addition, its focus was restricted primarily to initial classification due to the agencies' infrequent use or recent initiation of their classification components. Consequently, this evaluation must be viewed as a preliminary step toward enhancing the development and effectiveness of objective classification systems. Nevertheless, it provides a relatively comprehensive analysis of three objective systems as they have operated under actual prison conditions, and its findings highlight important issues that need to be considered by correctional administrators and future research studies.

Major Implications

• Despite limitations on their predictive qualities, the objective prison classification systems used in California, Illinois, and Wisconsin have demonstrated a number of benefits that warrant their continuation at this time. For example, in these jurisdictions, the proportion of inmate populations housed in lower security levels has increased without adversely affecting rates of prison misconduct, escapes, or fatalities. This finding alone could have profound consequences for some agencies in terms of prison capacity expansion plans and staffing requirements. If jurisdictions have the capacity for housing greater numbers of inmates in less expensive minimum and medium security facilities, then substantial amounts of precious agency resources can be reallocated for other correctional operations.

Objective systems have also demonstrated an enhanced capacity to precisely monitor all aspects of classification operations and inmate movement. Quantification of the decision-making process has translated into a more efficient prison system whereby the security needs of inmates are more closely matched with available agency resources. Moreover, manipulation of assignment by staff and inmates has generally been made more difficult under tightly monitored override procedures.

Finally, objective systems are capable of generating a rich body of data that can be used to enhance evaluation of classification decision-making, both its process and its impact. For instance, data are now available regarding inmates' actual security and custody needs, security and custody capabilities of an agency's institutions, and prisoners' programming requirements.

- Initial classification items and scales have demonstrated a relatively weak capacity to predict inmate behavior. Further, the strength of these statistical relationships is insufficient to warrant heavy reliance upon these instruments for permanent classification. Indeed, considerable evidence suggests that some agencies' initial classification instruments are overclassifying inmates who may require only medium custody.

Reclassification instruments that rely on measures of in-custody behavior to adjust initial classification scores are the most appropriate means for making final classification decisions. The reclassification scoring process should be independent of initial scoring criteria and heavily influenced by a variety of items reflecting both negative and positive inmate behavior. Unfortunately, reclassification tends to receive short shrift in actual prison operations. Substantial portions of inmate populations are not being reclassified according to schedule, which in turn exacerbates the misclassification phenomenon. Correctional systems need to place greater emphasis on the importance of reclassification as the primary means for making classification decisions.

- Since the introduction of the objective classification systems in California and Illinois, the rate of increase in disciplinary problems leveled off considerably, although significant increases were again evident in 1984. In Wisconsin, the rate of disciplinary reports filed has decreased dramatically following system implementation. Escape rates have been reduced in all three jurisdictions and remained at lower levels in 1984. While many other factors influence prison behavior, introduction of the classification systems has at least coincided with reduced conduct report rates. However, even if these effects could be attributed to the new classification systems, the recent increases noted in California and Illinois may indicate that the effects are only temporary. On the other hand, it could also be hypothesized that failure to fully implement the classification systems (the phrase "failure to implement" is based on heavy use of overrides) gradually diminishes expectations of inmates and reduces the potential benefits of an objective system. Similarly, rapid growth in prisoner population, which has led to overcrowding, may be compromising system impact.

- Comparisons involving the use of the NIC and California systems on the same population indicate that while the aggregate numbers of inmates at each classification level are similar under each system, there is considerable change in the individuals classified at each level. Only 52% of the sample is classified at the same level under both systems. This is not an unexpected finding since very different factors drive each system. However, it does point to significant differences in decisions, resulting from the structure of the systems, and re-emphasizes the need for additional studies of the impact of placement decisions using various measures of inmate behavior.

In addition, these comparisons indicate that the NIC instrument, generally regarded as a liberal approach to classification, actually results in fewer placements in minimum custody. (The NIC classification scale, however, does allow faster movement to lower custody levels.)

- The high override rates encountered seem due to staff resistance to change as well as the more commonly accepted rationale of lack of bed space at lower security levels. Regression analyses completed to determine the relative influence of classification scale items on actual placements clearly indicate that the criteria traditionally used by corrections--length of sentence, severity of offense--continue to exert considerable influence on placement decisions. In California, sentence length drives both classification scores and placement. In Illinois and Wisconsin, however, this factor has far less influence on classification scores and actual placements. The continued use of these criteria generally indicates staff unwillingness to accept other criteria outlined on the classification scale.

Unacceptable levels of overrides (i.e., generally exceeding 20%) pose a serious threat to objective classification systems. Correctional officials need to re-examine the reasons for such overrides and make appropriate adjustments. If a particular override factor is constantly being invoked, then either that factor should be included as a formal criterion item or adjustments should be made in the current item weight and/or classification scale.

- Although many agencies have reported implementation of objective classification systems, only a handful have conducted rigorous evaluations. Indeed, an alarming trend among many agencies is simply to "buy" the most available and affordable model on the correctional market today. Most of these models are untested or have been found to possess limitations in design or predictive efficiency. Those models that have been evaluated will require substantial modification and may not be applicable with different inmate population, staffing, and facility characteristics.

Consequently, the most pressing research agenda entails building upon this preliminary study. Agencies that have embarked on objective classification must now initiate long-term efforts to conduct both process and validation studies similar to this national study. Moreover, agencies should begin developing a permanent in-house capacity that would allow them to routinely monitor, evaluate, and refine classification policy independent of federal financial resources.

In conducting these studies, more attention should be focused on the role of facility design and staffing configurations in suppressing inmate behavior. Federal agencies should encourage correctional systems to conduct experimental studies in which inmates are randomly assigned to varying levels of staffing configurations and facility environments. This will be less difficult to accomplish in those jurisdictions that are expanding their present capacities,

where experimental assignment conditions can be tried without adversely affecting prison operations.

In essence, corrections has begun using what must only be viewed as the first generation of objective classification systems. As more research is compiled, the body of knowledge will expand and objective classification can be improved.

**GUIDELINES FOR DEVELOPING,
IMPLEMENTING, AND REVISING
OBJECTIVE
PRISON CLASSIFICATION SYSTEMS**

GUIDELINES FOR DEVELOPING, IMPLEMENTING, AND REVISING OBJECTIVE PRISON CLASSIFICATION SYSTEMS

Introduction

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

There appear to be four distinct stages in the change process:

- Development: The objective system is created, and new forms and procedures are devised;
- Pilot testing: The new process is tried out, first "on paper" and then in one or more pilot institutions. Based on the information obtained, the original procedures are "de-bugged" and the forms modified.
- Implementation: The system-wide use of the new process is initiated, following explicit planning regarding how the "on-board" prisoner population will be brought into the new approach. Based on data gained through monitoring, "fine tuning" of the classification system occurs in an orderly fashion on a scheduled basis.
- Acceptance: The final stage is reached when both staff and inmates use the new classification system's language and the agency modifies the configuration of its institutions, staffing, and programs in light of the data that management receives from the classification process.

Some agencies, however, do not pass through each stage successfully. For example, a number of jurisdictions that have developed and implemented objective classification approaches have now initiated or are considering revision of those approaches.

In many respects, agencies contemplating modification of their objective classification systems are in the same position as agencies considering introduction of an objective classification approach. Both groups will either modify their present systems to some extent, scrap their systems in lieu of another objective approach, or, as in the case of one agency, return to the former subjective classification approach. However, agencies revising their

objective classification systems possess the advantage of having undergone the development and implementation processes. It is likely that they have learned a great deal about the various benefits and problems of introducing an objective classification system. Nevertheless, agencies considering substantial modification of their objective systems are likely to profit from many of the guidelines presented in this section.

The survey of correctional agencies having objective classification systems found that they approached the change process in a variety of ways, some quite effective and others not nearly as satisfactory. However, there does appear to be a commonality among successful approaches. Important to completion of the entire change process are a minimum of 13 tasks that should be considered in developing and implementing an objective classification system. (See Figure 32.) These are discussed in the sections that follow.

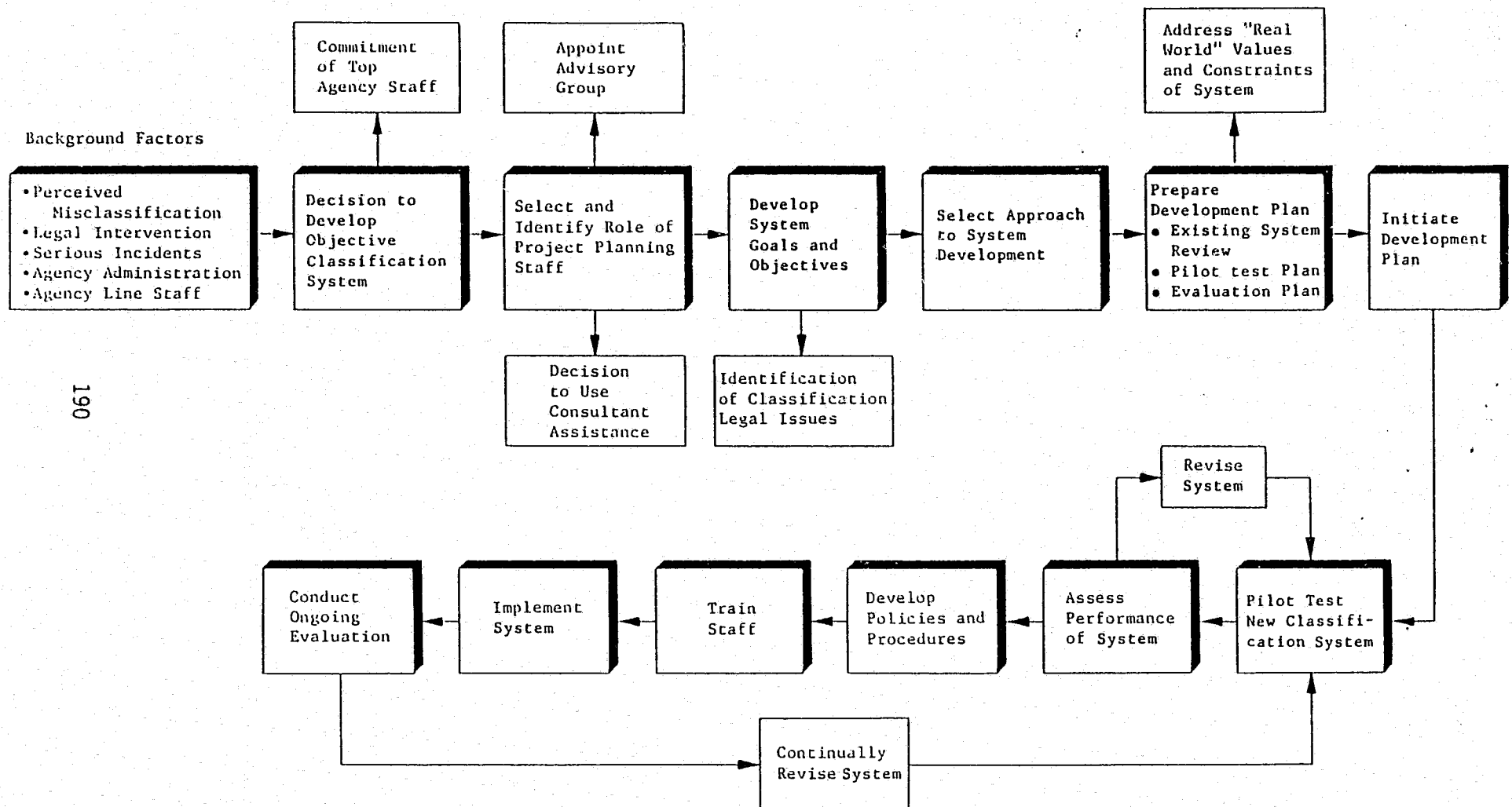
Decision to Develop an Objective Classification System

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

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

Figure 32

Suggested Process for Developing and Implementing
An Objective Prison Classification System



- Can an organizational climate be created to support successful completion of the classification project?
- Is there an adequate experience base to sustain the development and updating of the objective system?

Commitment of Top Agency Personnel

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

In committing to such a weighty undertaking, administrative staff should determine the practical limitations that they will face. For instance, the budget and timetable for developing the classification system will have implications for the size and salary of planning staff, the caliber of resource persons to be utilized, the amount of effort involved in system preparation, and the number of subtopics to be dealt with in the developmental process.

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

Several survey respondents also reported that their classification system planning personnel were constrained by the expectations of others. Top agency staff should determine what their expectations will be so as to minimize interference with planning staff. Planners must be aware that they operate within an agency or institutional framework that has a general philosophical commitment and imposes certain restraints. These planners are accountable for funds from the agency, which believes that the planners' efforts will be congruent with the agency's philosophy and purpose. Planners--with their own philosophical commitments--need to work out how they will address these various expectations.

Selection of Project Planning Staff

It is obvious that a number of systems developed by surveyed agencies were less than successful as a direct result of the selection of persons who were not sufficiently qualified or experienced to oversee such a complex and time-consuming undertaking. In fact, nearly one-third of the respondents indicated that lack of expertise constituted a major problem during system development. Agency administrators must put aside personal friendships and political considerations and retain staff who are either currently knowledgeable of objective approaches and their developmental processes or who possess the skills to acquire such knowledge through training, document review, and/or examination of other objective classification approaches.

Some agencies may find that they either do not employ such personnel or, if they do, are unable to commit them full time to the project. In this event, consultants familiar with objective classification system development should be retained, but only after determining that the consultants' knowledge, communication skills, and availability are such that their retention will assist rather than impede system development. It is also important that the agency maintain control over all project activities. The majority of agencies reporting the use of consultants in developing their systems believed such assistance to be of value. However, several agencies stated that the consultants were a detriment either because they did not possess the requisite skills, could not work cooperatively with agency staff, or were committed to so many other endeavors that sufficient time was not available for the classification project.

Identification of Role of Classification System Planners

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

The classification system, if based upon a consensus approach, may be designed exclusively to find and meet the needs and interests of agency personnel. In Missouri, for example, a variety of staff were involved in all stages of the process. The system's objectives, content, and implementation methods were tailored to their needs. The planners' role was to elicit staff opinions on what factors and weightings of factors were important. The planners then designed a system to meet these expectations, periodically asking agency personnel for additional feedback. Such staff involvement was also credited with increasing acceptance of the new system. In Florida, a task force, comprised of staff representing various disciplines within the agency, used a consensus approach to identify classification criteria.

Alternately, planners may decide that they have either a special expertise in classification system development or a statistically based

approach that does not warrant other staff input. They would then structure the system without the involvement of other agency staff. Project planners in Illinois employed this approach to identify classification criteria that were significantly associated with dangerous behavior. Further, the Illinois planners believe that the use of such research in designing the new system enhanced its credibility among agency staff.

Development of Classification System Goals and Objectives

The agency should develop a statement of purpose summarizing in one or two sentences the overall aim of the classification system and the general impact it is expected to have on the correctional system. Goals specify the major areas that the classification system will address, such as protection of the public, principle of least restrictive confinement consistent with prisoners' risk, etc. Objectives explicitly describe the results to be achieved, such as a 40% reduction in escapes during the next fiscal year, 25% reduction in the number of interinstitutional transfers, etc. The questions below are useful in selecting goals and objectives for the system:

- What is most relevant to the agency?
- What is most applicable to the overall goals of the agency?
- What will be most difficult to achieve?
- What will be most useful in classifying offenders?
- What is feasible?

Following selection, classification system goals and objectives must be formulated into written statements. Each major area included in the goals statement should be translated into specific objectives or outcome statements. To illustrate, an objective related to the goal of reducing major institutional disciplinary violations could be: "By January 1, 1988, 45% of all inmates with three or more such violations will be reviewed quarterly by the classification committee."

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

Well-developed end-result objectives for a classification system should meet the following criteria:

- Specify the outcomes of the system;
- Specify the tasks and responsibilities staff are expected to undertake;

- Provide consistency and integration among the diverse elements of the system; and
- Establish a basis for evaluation.

Development of Advisory Group

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

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

By arranging regular advisory group meetings and calling special meetings if necessary, system planners can clarify the rationale for their decisions and give other staff a feeling of being part of the process. Wise use of the group will increase support for the completed system.

Identification of Legal Issues

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

Not surprisingly, many survey respondents identified the courts as one of the primary impetuses for developing objective prison classification systems. Half of the respondents reported legal challenges to their previous classification processes. Alabama, for example, stated that the constitutionality of its entire correctional system, including classification, had been successfully challenged. An inmate suit in Idaho claimed that the lack of objectivity in classification procedures was unconstitutional, and two

class action suits in Tennessee charged civil rights violations in classification decision-making.

In light of such litigation, correctional agencies should include minimal procedural safeguards in their classification systems to ensure that due process and equal protection, as well as other legal requirements, are met. This will extend to inmates those rights that seem justified and should limit litigation pertaining to classification following implementation of objective systems.

Selection of Approach to System Development

Most survey respondents indicated that they had adapted a system used in another jurisdiction. These correctional agencies have elected to "borrow" another agency's classification system for a number of reasons, including:

- The apparent success of the system in improving classification decision-making;
- The time, effort, and cost of evaluating the current classification process;
- A lack of expertise on the part of correctional administrators relative to understanding the intricacies of an effective classification system; and
- The belief that other agencies often possess knowledge and experience above and beyond that of the agency considering a new correctional approach.

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

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

- How well does the system address the agency's overall goals and objectives?
- To what extent does the system correlate with the purpose of the agency's classification system?
- Is the offender information available to the agency consistent with the informational requirements of the system?

- Are the criteria now employed by the agency to assess security and program needs consistent with those used by the system?
- Does the system facilitate housing assignment, custody needs, and program assignment, as well as security assessment?
- Does the system promote the matching of inmate needs and agency resources?
- To what extent does the system control staff discretion?
- Does the system promote policies and procedures that are capable of standardization?
- Does the system address classification legal issues?
- Is the system so complex as to require the use of outside consultants?
- Does the system incorporate a feedback and monitoring plan to permit periodic evaluations of classification outcomes and the decision-making process?
- Can the system be automated and incorporated into the agency's management information system?
- Finally, is the system consistent with the philosophy of agency classification and security staff; that is, is it an approach they will find acceptable and eventually become committed to?

Preparation of Development Plan

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

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

- Development of a project management and reporting system;
- Preparation of a project budget;

- Establishment of a project timetable; and
- Development of a project work plan incorporating the following tasks:
 - Analysis of existing and proposed system goals and objectives;
 - Assessment of agency classification policies and procedures;
 - Review of information and information sources;
 - Assessment of offender measurement and testing instruments;
 - Evaluation of staff discretion;
 - Review of classification procedures for special management inmates;
 - Analysis of agency's capabilities to assign inmates to appropriate housing and programs;
 - Review of present classification security and custody decision-making processes;
 - Evaluation of the relationship of the classification system with other components of the criminal justice system;
 - Review of procedures used to update the classification system;
 - Development of uniform criteria for determining security and custody levels;
 - Preparation of draft security determination instruments;
 - Assessment of security and programmatic capabilities of agency institutions;
 - Preparation of pilot-test format; and
 - Development of evaluation and validation plan.

Preparation of Implementation Plan

The successful introduction of an objective classification approach does not end with its development, for the new system must still be implemented. However, as evidenced by the experiences of some survey respondents, the implementation phase can result in severe time and budgetary constraints, redesign of the classification format, modification of classification criteria, and staff resistance. For example, New York found it necessary to revise its user's manual to clear up ambiguities in instructions. Illinois decided to alter its scoring instrument in order to eliminate an overconsideration of age. California developed tighter regulations to control overrides, which were being used in almost half of all initial classification decisions. In addition, nearly one-half of the respondents experienced problems related to staff resistance, and over one-third stated that their allotted timeframes were too limited.

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

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

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

Pilot Testing of New System

It is important for an agency to pre-test its classification instrument. Pilot testing can help the agency avoid making piecemeal modifications to correct problems as they crop up following implementation of a new system. Consequently, it was surprising to find that only one-half of the survey respondents had tested their new systems before formal implementation. The experience of Kentucky serves to point up the usefulness of pilot testing. The agency tested its objective scoring instrument on approximately one thousand files of inmates already assigned to medium and maximum security. As a direct result of this testing, planning staff were able to make several important scoring adjustments prior to agency-wide use of the new system: the weight given disciplinary reports was increased, while the number of points allotted to education and employment was decreased. In assessing the various activities involved in system development and implementation, Kentucky planners view pilot testing as "a must."

Pilot testing will be either the last task in the development of the objective classification system or the first in the implementation phase. The testing process should include both a "paper" test of the process using available data and a formal pilot test of the system by institutional staff.

The intent is to determine both how well the instrument performs using a sample of the present inmate population and what modifications may be necessary prior to implementation system-wide.

The pilot test of any objective classification instrument should be conducted with the established goals and objectives for the system in mind. For example, if an objective of the system is to distribute the inmate population proportionately among the various security and custody categories, the pilot test should measure the extent to which the new system addresses this objective. A correctional agency that is desirous of assigning approximately 20% of its inmate population to each of five designated security levels would not be satisfied with a classification approach that places 5% in maximum security, 35% in close security, 15% in medium security, 40% in minimum security, and 5% in community security. While this distribution may represent the actual security composition of the agency's inmate population, it does not adequately respond to the previously established objective. The agency has one of two decisions to make at this time: first, either alter or reweight the factors comprising the security scale, or, second, modify the original security assignment objective.

Other objectives for the classification system, such as matching inmate needs with agency resources, identifying program requirements, addressing the specific security and custody needs of special management inmates, and checking the reliability, validity, and timeliness of classification information, can also be evaluated through the pilot test.

Another method of pilot testing is to compare the new system via a simulation with an established classification model such as that developed by the Federal Prison System. In the simulation approach, a statistically representative sample of the agency's overall inmate population would be classified using both the new system and the validated system. The results of the two simulations would then be compared to examine the extent of misclassification. For example, should the Federal Prison System custody determination instrument assign 13% of the sample to a high security status, in contrast to 27% for the new system, several questions need to be answered. First, does the Federal Prison System security approach consider the unique characteristics of the particular agency's inmate population? Second, are there any criteria, such as gang affiliation and protective custody requirements, that influence the agency's system but are not included in the security determination section of the Federal model? Finally, by using another classification system, is the agency "comparing apples with oranges"? Specifically, are the security categories employed by the Federal Prison System correlated with those used by the agency? For example, Security Level Four (SL-4) in the Federal Prison System is comparable to upper medium or close security categories utilized by most state correctional systems. However, the approximate comparability may be lacking in the pilot test so as to depict some misclassification when in fact little or none exists.

Development of Policies and Procedures

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

Policies are necessary for the agency to adequately convey its objectives to all personnel. At a minimum, they should include direction for successfully interpreting the purpose, goals, and objectives of the new classification system. Policy statements should explain why the system does what it does.

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

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

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

Training of Staff

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

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

In addition to this introductory program, training should be provided on both a pre-service and in-service basis for all agency personnel. Once the system is in place and accepted by staff, the necessity to discuss the background for its need and development generally decreases. A minimum of eight hours should be devoted to system training on the pre-service level and four hours on an in-service basis.

Methods for presenting the material will vary according to the nature of the information to be learned and the role of staff in the learning process. Subject matter may be taught in one-way presentations (lectures, symposiums, films, panels, debates) or in participatory methods (discussion and problem-solving groups, brainstorming sessions, role playing). In the former method, staff will assume a relatively inactive role, listening, watching, and taking notes. The presentation should be pre-determined in detail and, thus, will not be affected much by the audience. In the latter method, staff will be dynamically involved. They will bring up examples from their own correctional experience. Problems and solutions will be found collectively. Numerous survey respondents, such as the Federal Prison System, Kentucky, and Minnesota, also found it useful to involve staff in hands-on application of the scoring instrument, using case files. This activity would be followed by discussions to enhance interrater reliability. The interest and concerns of staff relative to the classification system and its eventual implementation should direct the course of the participatory approach.

Another important component of the training program is the selection of the instructional staff. Instructors should be chosen on the basis of their expertise and teaching ability. Involvement in developing the classification system, while helpful, does not necessarily mean that participants can translate that knowledge to agency staff. Instructors may be drawn from a variety of sources within the agency, such as the targeted staff itself and administrative personnel, and from professional fields outside the agency. Selecting instructors from each of these areas has advantages and limitations. An instructor from staff will be familiar with the other participants; however, fulfilling the role of both co-learner and instructor is difficult unless all staff are given the opportunity and this is clarified beforehand. The planners of the classification system run the risk of being unable to break out of their role as system developers, who are seen by other agency staff as having a vested, and possibly overly zealous, interest in the successful implementation of the classification system. Outside instructors can play the role of experts more easily, but they may be out of touch with both the classification system and the job reality of agency staff. Clear

lesson plans, personal contacts with agency staff, and last-minute briefings will help minimize these risks.

Final Considerations

Project staff became aware via the survey results and their experience in implementing systems that several points need to be highlighted to expedite system development and implementation.

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

Second, the criteria incorporated into the new system should generally be comparable to those factors previously employed by classification staff in deriving security assignments.

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

Fourth, the quantitative character of the objective approach should manifest risk as an interaction of factors along a continuum. This will permit the agency to conduct statistical analyses of consistency, analyze trends, and simulate the results of proposed modifications.

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

Sixth, the system should exclude factors that are legally vulnerable.

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

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

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

The preceding guidelines, while not inclusive, were prepared to help correctional agencies anticipate problems that may arise during system development and implementation, or revision, and to suggest strategies for addressing these issues before they become problematic.

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APPENDICES

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APPENDIX A
PRELIMINARY QUESTIONNAIRE

Evaluation of Model Prison Classification Systems

(Name of Person Completing Questionnaire)

(Title)

(Agency)

(Telephone Number)

1. Has your agency developed a new system of classification based on an objective approach?

☐ No; PLEASE RETURN QUESTIONNAIRE IN THE ATTACHED ENVELOPE
☐ Yes; PLEASE CONTINUE WITH QUESTION 2

2. Which of the following types of objective classification systems best describes your agency's model? (Check One)

☐ Additive
☐ Decision Tree
☐ Predictive
☐ Psychometric
☐ Other; Please Describe: _____

3. What areas of prisoner classification does the model address:

Security (Facility Assignment) Decision-Making

☐ Yes
☐ No

Custody (Supervision Requirements) Decision-Making

☐ Yes
☐ No

Program Needs Assessment

☐ Yes
☐ No

4. Please provide a brief description of the model:

5. In what year was the new classification model developed? _____

(Please complete the questions on the back side of this form)

6. Has the model been completely implemented?

- ☐ Yes
☐ No; PLEASE CONTINUE WITH QUESTION 6a.

6a. If the model has not been completely implemented, please estimate to what extent the model has been implemented. Please check the most appropriate response.

- ☐ 0%
☐ 25%
☐ 50%
☐ 75%

7. Has the model been evaluated?

- ☐ No
☐ Yes; PLEASE CONTINUE WITH QUESTION 7a.

7a. If yes, have the following components been specifically evaluated?

Evaluation of the Development Process

- ☐ Yes
☐ No

Evaluation of the Implementation Process

- ☐ Yes
☐ No

Evaluation of Effectiveness

- ☐ Yes
☐ No

Finally, please enclose any information which pertains to your agency's classification model, including, but not limited to, the following: (If available)

- Policies and Procedures (those relevant to the model only)
- Development Process
- Implementation Process
- Evaluation Results

THANK YOU FOR YOUR ASSISTANCE

APPENDIX B
SURVEY INSTRUMENT

Evaluation of Model Prison Classification Systems

GENERAL INSTRUCTIONS

Please provide the following:

(Your Name)

(Your Title)

(Agency Name)

(Telephone Number)

In completing this questionnaire, please confer with other agency staff if you believe it would be helpful. Also, if you wish to assign certain segments of the questionnaire to your staff for completion, please do so.

If you need more space to answer a question than is provided on the questionnaire, please record your response on a sheet of paper and attach it to the questionnaire. Also, if you have any supportive or descriptive information, e.g., classification manual, reports, regulations, etc., that relates to any survey question, please return a copy with your completed questionnaire.

We are available to answer any question you may have about the attached questionnaire. Please call either Cindie Unger or Bob Buchanan, project staff, at (816) 753-6570.

Please return the completed questionnaire to Correctional Services Group, Incorporated, by SEPTEMBER 30, 1984.

THANK YOU FOR YOUR HELP

SECTION I - BACKGROUND

This first section of the questionnaire has been prepared to obtain information on two related subjects. The first area of interest pertains to the classification approach your agency previously used to determine inmate security/custody and program requirements. The second area of interest concerns those factors that motivated the development of a new or modified classification system.

1. Briefly describe the classification process or system that your agency used prior to the implementation of your current system. Please follow the format given below:

INITIAL CLASSIFICATION

	<u>Previous Classification</u> (Description)	<u>Present Classification System</u> (Differences)
Staff Involved: (Position)		
Staff Responsibilities		
Decision-Making Process		
Decision-Making Criteria Used (Top 5)	1. 2. 3. 4. 5.	1. 2. 3. 4. 5.
Timeframe/ Schedule for Process		

	<u>Previous Classification</u> (Description)	<u>Present Classification System</u> (Differences)
Staff (Position) with Authority to Make Final Decisions	_____	_____
	_____	_____

RECLASSIFICATION

	<u>Previous Classification</u> (Description)	<u>Present Classification System</u> (Differences)
Staff Involved: (Position)	_____	_____
	_____	_____
	_____	_____
Staff Responsibilities	_____	_____
	_____	_____
	_____	_____
Decision-Making Process	_____	_____
	_____	_____
	_____	_____
	_____	_____
Decision-Making Criteria Used (Top 5)	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
Timeframe/ Schedule for Process	_____	_____

	<u>Previous Classification</u> (Description)	<u>Present Classification System</u> (Differences)
Staff (Position) with Authority to Make Final Decisions	_____	_____
	_____	_____

CENTRAL CLASSIFICATION

	<u>Previous Classification</u> (Description)	<u>Present Classification System</u> (Differences)
Staff Involved: (Position)	_____	_____
	_____	_____
	_____	_____
Staff Responsibilities	_____	_____
	_____	_____
	_____	_____
Decision-Making Process	_____	_____
	_____	_____
	_____	_____
	_____	_____
Decision-Making Criteria Used (Top 5)	1. _____	1. _____
	2. _____	2. _____
	3. _____	3. _____
	4. _____	4. _____
	5. _____	5. _____
Timeframe/ Schedule for Process	_____	_____

	<u>Previous Classification</u> (Description)	<u>Present Classification System</u> (Differences)
Staff (Position) with Authority to Make Final Decisions	_____	_____

2. List at least three primary problems/drawbacks of the previous classification system:

1. _____
2. _____
3. _____

3. Who or what provided the impetus for change? (RANK ORDER--1 MOST IMPORTANT, ETC.)

☐ Courts
Explain: _____

☐ Agency Staff
Explain: _____

☐ Serious Incidents
Explain: _____

☐ Perceived Misclassification
Explain: _____

☐ Other
Explain: _____

SECTION II - DEVELOPMENT

This section is primarily devoted to assessing the process that your agency went through in developing its objective classification approach. This information is important as it will be combined with the responses from other correctional systems to prepare a comprehensive development model which agencies either considering or planning an objective classification system can utilize. Interspersed throughout this section are also questions pertaining to describing your present system.

1. What were your agency's goals for the new classification system?
(IF PUBLISHED, PLEASE ATTACH)

2. How was the new classification system developed? (ONE)

- ☐ Modeled after the NIC system. SKIP TO QUESTION 3
☐ Adapted another system (Specify: _____) SKIP TO QUESTION 3
☐ Developed within agency, no outside assistance. SKIP TO QUESTION 3
☐ Developed within agency, outside assistance used. ANSWER QUESTION 2A
☐ Consultants developed, with agency input. ANSWER QUESTION 2A

- 2a. If outside assistance was used in developing your classification system, please describe the type and extent of the services provided:

3. If your classification approach was based on the NIC model, another state or the Federal Bureau of Prisons system, what modifications (if any) were made to adapt that approach to your correctional agency?

4. Did the National Institute of Corrections help fund the development, implementation or evaluation of your classification system?

[] No

[] Yes; Please explain: _____

5. Please identify key staff (by position) who were involved in developing the new system and describe the role of each:

Position

Role

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

6. Please rate the reaction of line staff to the new system during its development, prior to implementation. (CHECK ONE AND EXPLAIN YOUR ANSWER IN 6A.)

[] Supportive

[] Mixed Reaction

[] Resistive

- 6a. Why do you think line staff responded as they did?

7. Please rate the reaction of managerial and supervisory staff to the new system during its development, prior to implementation. (CHECK ONE AND EXPLAIN YOUR ANSWER IN 7A.)

- ☐ Supportive
☐ Mixed Reaction
☐ Resistive

7a. Why do you think managerial and supervisory staff responded as they did?

8. Was information (FBI "Rap" Sheets, Presentence Investigation, etc.) availability considered during development of the system?

- ☐ No
☐ Yes

8a. Is all the information you need to classify inmates available for most inmates?

- ☐ No. ANSWER QUESTION 8B
☐ Yes. ANSWER QUESTION 8C

8b. If "No," what type of information is generally not available?

8c. If "Yes," is the available information sufficiently accurate to be genuinely useful for classifying inmates?

☐ Yes

☐ No. Which type of information is available but often inaccurate or imprecise?

9. Are agencies outside of corrections aware of your new system?

☐ No SKIP TO QUESTION 10

☐ Yes

9a. If "Yes," how was this awareness achieved and how has it affected the system?

9b. Specifically, what has been the reaction (if any) of the courts and the legislature?

10. Was a classification manual developed? (IF YES, PLEASE PROVIDE.)

☐ No ANSWER QUESTION 10A

☐ Yes ANSWER QUESTION 10B

10a. If "No," is one being developed?

- ☐ No SKIP TO QUESTION 11
☐ Yes ANSWER QUESTION 10B

10b. If "Yes," are there differences between classification manual procedures and actual day-to-day operations?

- ☐ No
☐ Yes Please describe the major differences: _____

11. Does your system define custody (type and amount of supervision required) as being different from security (type of facility/housing required)?

- ☐ No
☐ Yes

12. What is your agency definition of...

Security _____

Custody _____

Security/Custody (used synonymously) _____

13. What security/custody labels are assigned to inmates within your system (e.g., maximum, close, etc.)?

14. What security/custody labels are assigned to institutions within your system?

15. Have you defined the classification criteria/factors used by your new system (e.g., "severity of offense," "number of prior commitments," etc.)?

- ☐ No
☐ Yes PLEASE PROVIDE A COPY OF THE DEFINITIONS.

16. Indicate, with an "X," which of the following factors were included in initial security/custody determination; then explain why the factor was used or why it was not used:

☐ Length of sentence
Why/Why not? _____

☐ Criminal history
Why/Why not? _____

☐ Extent of violence in current offense
Why/Why not? _____

☐ Detainers
Why/Why not? _____

☐ Escape history
Why/Why not? _____

☐ Prior commitments
Why/Why not? _____

☐ Prior institutional adjustment
Why/Why not? _____

☐ Other: _____

Why? _____

17. Indicate, with an "X," which of the following factors were included in security/custody determination at reclassification; then explain why the factor was used or why it was not used:

☐ Major disciplinary violations
Why/Why not? _____

☐ Program participation
Why/Why not? _____

☐ Time in present security/custody level
Why/Why not? _____

☐ Time to release
Why/Why not? _____

☐ Institutional adjustment
Why/Why not? _____

☐ Other: _____

Why? _____

18. Is your management information system (check one):

☐ Manual

☐ Computer-assisted

☐ Fully automated

☐ Other; Please specify: _____

18a. In terms of supporting the classification function, what, if any, are the limitations of your current management information system?

19. Is the classification process and information currently incorporated into the agency's management information system?

☐ Yes

☐ No Are there any plans to incorporate it into the management information system?

20. Which of the following major problems did you encounter during the development phase? (CHECK ALL THAT APPLY)

- ☐ Insufficient funding
- ☐ Lack of staff support
- ☐ Insufficient state effort
- ☐ Not enough time
- ☐ Not enough expertise
- ☐ Changes in administration
- ☐ Other; specify: _____

20a. What should have been done differently? _____

21. Are classification decisions/actions monitored for conformance to the system?

☐ No

☐ Yes Please explain how: _____

22. Is classification decision-making in your system a group and/or individual responsibility?

☐ Group

☐ Individual

☐ Group and individual

Explain: _____

23. Is your classification system the same for male and female inmates?

☐ Yes

☐ No How does it differ? _____

24. How is your classification system used to determine when an inmate should be considered for transfer to higher or lower level institutions?

25. Does your system house inmates with more than one security/custody level within the same institution?

☐ No

☐ Yes Why? _____

26. Does your classification system provide for housing unit assignments?

☐ No

☐ Yes Describe: _____

27. Was the system planned to identify new facility/renovation requirements?

☐ No SKIP TO QUESTION 28

☐ Yes ANSWER QUESTIONS 27A AND 27B

27a. If "Yes," has this actually occurred?

☐ No

☐ Yes

27b. Please explain your answer to 27a, above: _____

28. Please describe how your current classification system is used for planning purposes.

29. What, if any, is the inmate's involvement in the classification process?

30. In your system, are staff able to overrule the recommendations of classification scoring instruments, or similar forms, through the use of overrides or similar actions?

- ☐ No SKIP TO QUESTION 31
☐ Yes ANSWER QUESTIONS 30A, 30B, 30C, 30D AND 30E

30a. If "Yes," do overrides require written justification?

- ☐ Yes
☐ No

30b. If "Yes," do overrides require supervisory approval?

- ☐ No
☐ Yes

30c. In 100 classification decisions, please estimate the number of times staff invoke at least one override:

30d. Has this rate changed over the last 12 months?

- ☐ Increased
☐ Decreased
☐ Remained the same

Explain your answer to 30e: _____

30e. What is the single, most often used override? _____

31. Have you performed a security/custody rating of your correctional institutions? That is, does each have a security level designation that indicates what level inmate should be housed there?

- ☐ Yes ANSWER QUESTIONS 31A AND 31B
☐ No SKIP TO QUESTION 31C

31a. Who (position) performed the security/custody rating? _____

31b. Which of the following factors were used? (CHECK ALL THAT APPLY)

- ☐ Perimeter
- ☐ Towers
- ☐ Housing Type (single cell, multiple cell, etc.)
- ☐ Perimeter Patrol
- ☐ Detection Devices
- ☐ Staffing
- ☐ Proximity to Residential Area
- ☐ Other; specify: _____

SKIP TO QUESTION 32

31c. Are there any plans to perform a security/custody rating of your institutions?

- ☐ Yes
- ☐ No

32. Does your new system include an inmate program needs assessment component?

☐ No Are there any plans to include one? _____

SKIP TO QUESTION 34, PAGE 17

☐ Yes Check (X) the program needs that are addressed by your system:

- ☐ Intellectual/adaptive
- ☐ Educational
- ☐ Vocational
- ☐ Work skills
- ☐ Medical
- ☐ Substance abuse
- ☐ Psychological
- ☐ Special needs, i.e., protective custody, aged/infirm, etc.
- ☐ Mental health care
- ☐ Family/community ties
- ☐ Other; specify: _____

33. When is the program needs assessment conducted? _____

33a. What instruments, if any, are used to assess program needs?

34. Does the classification system enable agency staff to match inmate needs to the agency's programs/services?

- ☐ No
☐ Yes PLEASE EXPLAIN HOW

35. What date did the agency begin developing the new classification system?

Month

Year

SECTION III - IMPLEMENTATION

This section has been designated to obtain information relative to the process your agency employed to introduce or implement an objective classification approach. A review of several new classification systems has determined that objective classification models, no matter how much time, effort and resources are expended in development, are unlikely to meet their stated goals and objectives without a well thought out implementation process.

1. What date was the new classification system implemented system-wide?

Month

Year

2. Identify, by position, the key staff that were involved in the implementation process and describe the role of each:

Position

Role

3. Did any agency staff attend the National Institute of Corrections training session on implementation of classification systems?

☐ No

☐ Yes Was this useful? ☐ Yes ☐ No Please explain answer:

4. Were outside consultants or NIC staff used during the implementation phase?

☐ No

☐ Yes What was their role? _____

5. Was an implementation plan, including a timetable, prepared?

☐ No

☐ Yes PLEASE RETURN WITH THIS QUESTIONNAIRE

6. From the point of beginning implementation, how long was required to bring the entire corrections system under the new classification system?

7. What constraints, if any, did you experience during the implementation process? (CHECK ALL THAT APPLY)

☐ Funding

Explain: _____

☐ Staff resistance

Explain: _____

☐ Limited timeframe

Explain: _____

☐ Facility limitations

Explain: _____

☐ Program constraints

Explain: _____

☐ Insufficient training

Explain: _____

[] Other: _____

Explain: _____

8. Were staff trained in the use of the system prior to its formal implementation?

[] No SKIP TO QUESTION 9

[] Yes PLEASE ANSWER QUESTIONS 8A-D

8a. How many hours of training was provided? _____

8b. Who conducted the training? _____

8c. What level(s) of personnel were trained? (e.g., management, supervisory, line, etc.)

8d. Briefly describe the training provided or attach curriculum: _____

9. What would you have done differently relative to the implementation of the system?

10. Was the implementation process the same for security determination and program needs assessment?

[] Yes

[] No Please describe any differences:

11. Was the system pilot-tested prior to implementation?

☐ No SKIP TO QUESTION 12

☐ Yes If "Yes," did you "test" criteria/instruments against (check as many as apply):

☐ Number of disciplinaries

☐ Incidents of violence

☐ Escapes/escape attempts

☐ Other outcomes (specify): _____

11a. Briefly describe the pilot-testing program: _____

11b. If "Yes," what changes came about, if any, as a result of the testing?

12. What components of your classification system, if any, are not currently operational?

12a. Are there plans to put these components into operation?

☐ No

☐ Yes Please describe the plans: _____

SECTION IV - EVALUATION

The purpose of this section of the questionnaire is to obtain any evaluation results your agency may have prepared regarding the impact and/or effectiveness of the present classification approach. The project team understands that many new classification systems have been in place only a brief period of time which has minimized any ability to conduct a comprehensive effectiveness evaluation. However, even given this limitation, your agency may have been able to assess the impact of the new classification model in terms of inmates classified, changes (increases/reductions) in security and custody levels, etc. In short, project staff are interested in any evaluations that have been performed no matter how informal or in-depth.

1. Has your new classification system been evaluated?

- ☐ No---None planned
- ☐ No---In progress
- ☐ No---Evaluation being planned
- ☐ Yes--Please attach any written report

2. Who conducted the evaluation?

3. Please explain to what extent the new classification system has and/or has not met its stated goals and objectives?

4. Has the new system had a significant impact on any of the following: (CHECK ALL THAT APPLY.)

☐ Disciplinary transfers

Explain: _____

☐ Inmate disciplinary violations

Explain: _____

☐ Escapes/escape attempts

Explain: _____

[] Inmate grievances

Explain: _____

[] Serious (violent) incidents

Explain: _____

[] Use of existing institutions

Explain: _____

[] Staffing

Explain: _____

[] Programs and program planning

Explain: _____

[] Proportion of inmates at each security/custody level

Explain: _____

[] Improved risk assessment

Explain: _____

[] Reduced costs for housing

Explain: _____

[] Reduced costs for inmate transfers

Explain: _____

[] Paperwork

Explain: _____

[] Other: _____

Explain: _____

5. Have any modifications been made in the classification system as a consequence of the results of the evaluation?

[] No

[] Yes Please describe these modifications: _____

6. Describe the single most significant impact of the new classification system on your agency's overall correctional operation:

7. Describe the most significant problem or weakness of the new system:

8. Do you plan any further evaluation or "fine tuning" of your classification system?

☐ No Why not? _____

☐ Yes Why is it necessary? _____

9. If additional funding to improve prisoner classification were made available to your agency, in which of the following areas would your agency need technical assistance? (RANK 1 = MOST IMPORTANT, ETC.)

☐ Implementation

☐ Staff Training

☐ Evaluation/Validation

☐ Refinement of System for Special Management Population

☐ Development of Classification System for Planning Purposes

☐ Integration of Classification System with Management Information System

☐ Development/Revision of Classification Manual

☐ Develop Classification Decision-Making Monitoring System

☐ Security/Custody Rating of Correctional Institutions

☐ Development of Program Needs Assessment Component

☐ Other; specify: _____

☐ Other; specify: _____

APPENDIX C
SUPPORTING DOCUMENTATION

Impetus for Changing Classification System by Agency

<u>Agency</u>	<u>Courts</u>	<u>Agency Staff</u>	<u>Perceived Serious Incidents</u>	<u>Misclassification</u>	<u>Administration</u>	<u>Other</u>
Alabama	x	x	x	x		
Alaska<a>						
Arkansas<g>						
California				x		x
Colorado		x		x	x	
District of Columbia<c>						
Florida<d>						
Georgia	x	x	x	x		
Hawaii<e>						
Idaho	x			x	x	
Illinois<e>						
Indiana	x	x	x	x		x
Iowa	x	x				
Kansas	x			x		x
Kentucky	x	x		x		
Maine	x	x	x		x	
Michigan<d>						
Minnesota						x
Mississippi	x	x	x	x		
Missouri	x		x	x	x	
Montana	x		x	x	x	x
Nebraska		x	x	x		
Nevada				x		
New York				x	x	x
North Carolina	x	x		x	x	
North Dakota					x	
Ohio					x	
Oklahoma	x			x	x	x
Oregon		x	x	x		x
Pennsylvania		x		x		x
South Carolina<f>						
Tennessee	x			x	x	
Utah		x	x			
Vermont					x	
Virginia		x				
Washington			x	x		
West Virginia	x					
Wisconsin	x				x	
Federal Prison System	x	x	x	x		
Total	17	15	12	21	12	10

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
 Agency is pilot testing system on female population.
 <c> System is a pilot project.
 <d> Agency did not respond.
 <e> Data are not available.
 <f> Agency has adapted FPS model, and system is under development.
 <g> System has not been implemented.

Staff Involved in Developing New Classification System by Agency

Agency	Agency Adminis- tration	Central Office Classi- fication Adminis- tration	Central Office Staff	Institu- tional Adminis- tration	Security Staff	Program Staff	HIS Staff	Classi- fication Counseling Casework Staff	Steering Committee Task Force Etc.	Probation/ Parole	Treatment Staff	Records Staff	Project Staff	Consultant	Training Staff	Unit Team	Institu- tional Staff (General)	Other
Alabama	x	x					x				x							
Alaska<a>																		
Arkansas<g>																		
California	x	x											x					
Colorado						x	x	x	x									
District of Columbia<c>																		
Florida<d>																		
Georgia	x	x																
Hawaii<e>																		
Idaho	x			x		x				x								
Illinois	x		x	x								x						
Indiana		x						x		x	x							
Iowa	x			x	x			x			x							
Kansas	x	x				x		x			x					x		
Kentucky	x			x				x							x			
Maine	x				x	x								x				
Michigan<d>																		
Minnesota	x						x		x				x					
Mississippi	x	x																
Missouri	x		x							x				x				
Montana	x	x		x	x			x									x	
Nebraska	x		x				x											
Nevada	x							x										
New York	x	x							x									
North Carolina	x	x		x														
North Dakota	x	x		x		x												
Ohio	x	x																
Oklahoma	x	x																x
Oregon	x			x		x												
Pennsylvania	x																	
South Carolina<f>																		
Tennessee				x				x			x							
Utah	x			x		x												
Vermont	x			x	x			x					x					
Virginia	x	x	x	x							x							
Washington		x		x				x					x			x		
West Virginia																		
Wisconsin	x	x					x											x
Federal Prison System									x									
Total	26	15	3	14	4	7	4	11	4	3	6	1	4	2	1	2	1	2

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
 Agency is pilot testing system on female population.
 <c> System is a pilot project.
 <d> Agency did not respond.
 <e> Data are not available.
 <f> Agency has adapted FPS model, and system is under development.
 <g> System has not been implemented.

Factors Included in Initial Security/Custody Determination by Agency

Agency	Length of Sentence	Criminal History	Extent of Violence in Current Offense	Detainers	Escape History	Prior Commitments	Prior Institutional Adjustment	Age	Substance Abuse	Time-related Criteria	Other
Alabama	x	x	x	x	x	x	x	x			x
Alaska<a>											
Arkansas<g>											
California	x			x	x	x	x				x
Colorado		x	x	x	x	x	x				
District of Columbia<c>											
Florida<d>											
Georgia	x	x	x	x	x	x	x				
Hawaii<e>	x			x	x	x					x
Idaho	x	x		x	x	x	x				x
Illinois	x	x	x	x	x	x					
Indiana	x	x	x	x	x	x				x	x
Iowa	x	x	x	x	x	x	x				x
Kansas	x	x	x	x	x	x	x			x	
Kentucky		x		x	x	x	x				
Maine	x	x	x	x	x	x	x				x
Michigan<d>											
Minnesota	x	x	x	x	x	x	x			x	
Mississippi	x	x	x	x	x	x	x				
Missouri	x	x	x	x	x	x	x				
Montana	x	x	x	x	x	x			x		
Nebraska	x	x	x	x	x	x	x				
Nevada		x	x	x	x	x	x				
New York	x	x	x	x	x	x	x				x
North Carolina		x		x	x	x	x				
North Dakota	x	x	x	x	x	x	x				
Ohio	x	x		x	x	x	x				
Oklahoma	x		x	x	x	x	x				x
Oregon	x	x	x	x	x	x	x	x			
Pennsylvania	x		x	x	x	x	x		x		
South Carolina<f>											
Tennessee	x	x	x	x	x	x	x				
Utah	x	x	x	x	x	x	x				
Vermont		x	x	x	x	x	x	x	x		x
Virginia	x	x	x	x	x	x	x		x	x	
Washington	x	x	x	x	x	x	x	x			
West Virginia	x	x	x	x	x	x	x				
Wisconsin		x	x	x	x	x	x				
Federal Prison System	x	x	x	x	x	x	x				
Total	27	29	27	31	33	30	29	4	4	4	10

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
 Agency is pilot testing system on female population.
 <c> System is a pilot project
 <d> Agency did not respond.
 <e> Data are not available.
 <f> Agency has adapted FPS model, and system is under development.
 <g> System has not been implemented.

Factors Used in Determining Security/Custody Level at Reclassification by Agency

Agency	Major Disci- plinary Violations	Program Partici- pation	Time in Present Security/ Custody Level	Time to Release	Institu- tional Adjustment	Substance Abuse	Family/ Community Ties	Psycho- logical Problems	Other
Alabama	x	x	x	x	x				x
Alaska<a>									
Arkansas<g>									
California	x	x							x
Colorado	x			x	x				
District of Columbia<c>									
Florida<d>									
Georgia	x	x	x		x				
Hawaii<e>	x			x		x	x	x	
Idaho	x	x		x					x
Illinois	x	x			x				
Indiana	x		x	x	x		x		
Iowa	x			x	x			x	x
Kansas	x	x		x					
Kentucky	x			x	x				
Maine	x	x		x	x				x
Michigan<d>									
Minnesota	x		x	x	x				x
Mississippi	x	x	x	x	x				
Missouri	x	x	x	x	x				x
Montana	x	x	x	x	x				
Nebraska	x	x		x	x				
Nevada	x			x	x		x		
New York	x		x	x	x				x
North Carolina	x			x	x				
North Dakota	x	x	x	x	x				
Ohio	x			x					
Oklahoma	x	x		x					x
Oregon	x			x	x				
Pennsylvania	x	x		x	x	x		x	x
South Carolina<f>									
Tennessee	x	x	x	x	x				
Utah	x	x	x	x	x				
Vermont	x			x	x				
Virginia	x		x		x	x			x
Washington	x	x	x	x	x				
West Virginia	x	x	x	x	x				
Wisconsin	x				x				
Federal Prison System	x	x		x	x	x	x	x	
Total	33	19	14	28	27	4	4	4	11

<a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.

 Agency is pilot testing system on female population.

<c> System is a pilot project.

<d> Agency did not respond.

<e> Data are not available.

<f> Agency has adapted FPS model, and system is under development.

<g> System has not been implemented.

Estimated Number of Overrides per 100 Classification Decisions
by Agency

Agency	<u>Less Than 5</u>	<u>5-10</u>	<u>11-15</u>	<u>16-20</u>	<u>21-25</u>	<u>26-35</u>	<u>36-50</u>	<u>More Than 50</u>
Alabama<e>								
Alaska<a>								
Arkansas<g>								
California			x					
Colorado			x					
District of Columbia<c>		x						
Florida<d>								
Georgia				x				
Hawaii<e>								
Idaho					x			
Illinois			x					
Indiana	x							
Iowa			x					
Kansas						x		
Kentucky				x				
Maine					x			
Michigan<d>								
Minnesota	x							
Mississippi	x							
Missouri<e>								
Montana<e>								
Nebraska							x	
Nevada					x			
New York				x				
North Carolina				x				
North Dakota<e>								
Ohio		x						
Oklahoma	x							
Oregon	x							
Pennsylvania		x						
South Carolina<f>								
Tennessee<e>								
Utah	x							
Vermont		x						
Virginia			x					
Washington		x						
West Virginia<e>								
Wisconsin							x	
Federal Prison System				x				
Total	6	5	5	5	3	1	2	

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
- Agency is pilot testing system on female population.
- <c> System is a pilot project
- <d> Agency did not respond.
- <e> Data are not available.
- <f> Agency has adapted FPS model, and system is under development.
- <g> System has not been implemented.

Most Frequently Used Type of Override by Agency

Agency	Over-crowding	Institutional Behavior	Administrative Option	Policy Statute	Labor Needs	Community Reaction	Time Criteria	Accelerate Review Schedule	Security-Custody Concern	Other
Alabama										
Alaska<a>										
Arkansas<g>										
California	x									
Colorado				x						
District of Columbia<c>										
Florida<d>										
Georgia					x					x
Hawaii<e>									x	
Idaho										x
Illinois			x							
Indiana									x	
Iowa										x
Kansas									x	
Kentucky				x						
Maine							x			
Michigan<d>										
Minnesota			x							
Mississippi									x	
Missouri	x									
Montana										
Nebraska								x		
Nevada<e>										
New York										x
North Carolina									x	
North Dakota		x								
Ohio	x									
Oklahoma					x					
Oregon						x				
Pennsylvania					x					
South Carolina<f>										
Tennessee				x						
Utah									x	
Vermont										x
Virginia										x
Washington										x
West Virginia										
Wisconsin										x
Federal Prison System									x	
Total	3	1	2	3	3	1	1	1	8	7

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
 Agency is pilot testing system on female population.
 <c> System is a pilot project.
 <d> Agency did not respond.
 <e> Data are not available.
 <f> Agency has adapted FPS model, and system is under development.
 <g> System has not been implemented.

Major Problems Encountered During Development Phase by Agency

Agency	Insuf- ficient Funding	Lack of Staff Support	Insuf- ficient Staff Effort	Not Enough Time	Not Enough Expertise	Changes in Admin- istration	Other	No Problems
Alabama				x	x	x	x	
Alaska<a>								
Arkansas<e>								
California				x				
Colorado								
District of Columbia<c>								
Florida								
Georgia						x		
Hawaii					x	x		
Idaho				x			x	
Illinois								x
Indiana		x		x			x	
Iowa	x	x						
Kansas				x	x			
Kentucky								x
Maine	x	x			x			
Michigan								
Minnesota							x	
Mississippi	x			x		x		
Missouri					x			
Montana	x						x	
Nebraska	x			x				
Nevada	x	x	x		x		x	
New York								x
North Carolina							x	
North Dakota				x				
Ohio							x	
Oklahoma				x				
Oregon				x				
Pennsylvania								x
South Carolina<d>								
Tennessee		x		x	x	x		
Utah							x	
Vermont								x
Virginia				x		x		
Washington	x	x						
West Virginia	x		x		x			
Wisconsin	x	x		x	x	x	x	
Federal Prison System								x
Total	9	7	2	13	9	7	10	6

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
 Agency did not respond.
 <c> System is a pilot project.
 <d> System is under development.
 <e> System has not been implemented.

Staff Involved in Implementing New Classification System by Agency

Agency	Agency Administration	Central Office Classification Administration	Central Office Staff	Institutional Administration	Security Staff	Program Staff	HIS Staff	Classification Counseling Casework Staff	Steering Committee Task Force, Etc.	Treatment Staff	Project Staff	Training Staff	Unit Team	Institutional Staff (General)	Legal Representative	Other
Alabama		x						x		x						
Alaska<a>																
Arkansas<g>													x			
California					x	x										
Colorado	x						x							x		
District of Columbia<c>																
Florida<d>																
Georgia		x														
Hawaii<e>																
Idaho	x					x										
Illinois	x		x				x									
Indiana	x			x												
Iowa	x			x	x					x				x		
Kansas	x	x						x					x			
Kentucky				x				x				x				x
Maine	x			x	x			x								
Michigan<d>																
Minnesota		x					x	x								
Mississippi	x		x					x	x							
Missouri			x								x	x				x
Montana				x	x											
Nebraska	x			x						x						
Nevada		x						x								
New York	x	x						x			x					
North Carolina		x						x								
North Dakota	x	x		x	x	x										
Ohio	x	x														
Oklahoma		x						x								
Oregon<d>																
Pennsylvania	x									x						
South Carolina<f>																
Tennessee			x	x												
Utah				x		x										
Vermont	x			x	x			x			x			x		
Virginia		x	x													
Washington		x						x								x
West Virginia<e>																
Wisconsin	x	x					x	x								
Federal Prison System	x			x											x	
Total	16	13	5	11	6	4	4	13	1	4	3	2	4	2	1	3

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
 Agency is pilot testing system on female population.
 <c> System is a pilot project.
 <d> Agency did not respond.
 <e> System has not been implemented.
 <f> Agency has adapted FPS model, and system is under development.
 <g> System has not been implemented.

Type of Constraints Experienced During Implementation Phase by Agency

<u>Agency</u>	<u>Funding</u>	<u>Staff Resistance</u>	<u>Limited Timeframe</u>	<u>Facility Limitations</u>	<u>Program Constraints</u>	<u>Insufficient Training</u>	<u>Premature Training</u>	<u>Changes in Sentencing</u>	<u>No Problems</u>
Alabama	x			x					
Alaska<a>									
Arkansas<g>									
California			x		x	x			
Colorado									
District of Columbia<c>									
Florida<d>									
Georgia		x				x			
Hawaii<e>									
Idaho		x	x		x	x			
Illinois		x				x			
Indiana		x	x	x		x			
Iowa	x	x							
Kansas			x			x			
Kentucky									x
Maine <d>									
Michigan<d>									
Minnesota	x	x		x	x			x	
Mississippi	x			x		x			
Missouri		x		x		x			
Montana		x							
Nebraska		x	x			x			
Nevada	x	x				x			
New York									x
North Carolina			x						
North Dakota									x
Ohio<d>									
Oklahoma		x	x			x			
Oregon			x		x	x			
Pennsylvania		x							
South Carolina<f>									
Tennessee		x	x				x		
Utah			x						
Vermont		x	x						
Virginia<d>									
Washington	x		x			x			
West Virginia<e>									
Wisconsin	x			x					
Federal Prison System	x	x		x					
Total	8	15	12	7	4	13	1	1	3

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
 Agency is pilot testing system on female population.
 <c> System is a pilot project.
 <d> Agency did not respond.
 <e> System has not been implemented.
 <f> Agency has adapted FPS model, and system is under development.
 <g> System has not been implemented.

Evaluation of New Classification System by Agency

Agency	None Planned	Evaluation Planned	Evaluation In Progress	Evaluation Completed
Alabama		x		
Alaska<a>				
Arkansas<g>				
California		x		
Colorado				
District of Columbia<c>				
Florida<d>				
Georgia			x	
Hawaii<e>				
Idaho		x		
Illinois		x		
Indiana			x	
Iowa			x	
Kansas				x
Kentucky	x			
Maine				
Michigan<d>				
Minnesota			x	
Mississippi<d>				
Missouri		x		
Montana			x	
Nebraska	x			
Nevada			x	
New York				x
North Carolina		x		
North Dakota	x			
Ohio		x		
Oklahoma		x		
Oregon			x	
Pennsylvania		x		
South Carolina<f>				
Tennessee		x		
Utah	x			
Vermont			x	
Virginia				x
Washington<d>				
West Virginia<e>				
Wisconsin		x		
Federal Prison System			x	
Total	4	11	9	3

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
- Agency is pilot testing system on female population.
- <c> System is a pilot project.
- <d> Agency did not respond.
- <e> System has not been implemented.
- <f> Agency has adapted FPS model, and system is under development.
- <g> System has not been implemented.

Areas Impacted by Classification System by Agency

Agency	Disciplinary Transfers	Disciplinary Violations	Escapes/ Escape Attempts	Inmate Grievances	Violent Incidents	Use of Existing Institutions	Staffing	Percent of Inmates at Each Security/Custody Level	Improved Risk Assessment	Reduced Housing Costs	Reduced Transfer Costs	Paperwork	Programs and Program Planning
Alabama	x		x							x		x	x
Alaska<a>													
Arkansas<g>													
California	x		x	x	x	x		x	x	x		x	x
Colorado<b,e>													
District of Columbia<c>													
Florida<d>													
Georgia			x					x				x	
Hawaii<e>													
Idaho			x					x				x	x
Illinois								x	x			x	
Indiana<e>													
Iowa			x		x	x	x					x	x
Kansas<e>													
Kentucky			x					x	x			x	
Maine							x	x	x			x	x
Michigan<d>													
Minnesota			x	x		x		x	x				x
Mississippi<e>													
Missouri						x		x				x	
Montana		x	x	x	x	x	x	x	x				x
Nebraska			x	x		x		x	x			x	
Nevada<e>													
New York				x		x	x	x	x	x		x	
North Carolina						x			x				
North Dakota			x		x			x	x			x	x
Ohio<e>													
Oklahoma	x					x		x			x		x
Oregon			x	x								x	x
Pennsylvania			x	x				x	x		x	x	x
South Carolina<f>													
Tennessee<e>													
Utah	x	x		x					x				x
Vermont	x	x	x	x	x	x	x	x	x	x		x	
Virginia			x						x				
Washington<e>													
West Virginia<g>													
Wisconsin						x		x				x	x
Federal Prison System	x		x			x		x	x				
Total	6	3	15	9	5	12	5	17	16	4	2	16	13

- <a> Agency has adapted FPS model, but declined to participate in survey due to litigation involving classification.
 Agency is pilot testing system on female population.
 <c> System is a pilot project.
 <d> Agency did not respond.
 <e> System has not been evaluated.
 <f> Agency has adapted FPS model, and system is under development.
 <g> System has not been implemented.

APPENDIX D:
CASE STUDY FORMAT

FORMAT FOR OBJECTIVE PRISON CLASSIFICATION CASE STUDIES

The following format is to be used in preparing case studies for existing objective prison classification systems. It is understood that one or more elements for a particular classification system may not exist and, as such, will not be included in the case study description.

INTRODUCTION

The introduction to each classification case study will include a brief description of the classification system, reasons for development, goals and objectives of the system, and evaluation results, if available.

OBJECTIVE PRISON CLASSIFICATION SYSTEM DESCRIPTION

Section 1: Origin and Development

This section will provide a brief review of the previous classification system, a detailed analysis as to what motivated the agency to develop the present classification system, the developmental process, including a description of the staff involved, timeframe for development, reaction of staff to the systems developed, problems associated with this development, and any historical information which may be valuable in describing the overall success of the development process.

Section 2: Classification System Implementation

This section will describe how long the implementation process took, who, in terms of position, was involved in the implementation process, what outside assistance was incorporated in the system's implementation, whether a pilot testing program was used prior to formal implementation, and what problems, if any, were encountered during implementation.

Section 3: Goals and Objectives

This section will describe the various goals of the system as well as its specific objectives. As much as possible, objectives should be specified in terms of what they are and whether they have been met, determined through a formal evaluation.

Section 4: Classification System Administration and Management

This section will provide an analysis of those staff that both operate and monitor the system. It will describe not only positions but also the particular individuals within the system, including an analysis as to why this staffing structure is as it is and why the current classification management approach is effective in administering the system at the present time.

Section 5: Classification System Description

This section will provide an overview of the classification system in question. Specifically, it will describe the classification system, e.g., additive, decision-tree, predictive, etc. It will attempt to describe both the initial, reclassification, and central office role in the classification system, how inmates are assigned to security and custody levels, whether the classification system includes a program needs assessment and a description of this component, if it exists, and how the classification system matches prisoner security and program requirements with the agency resources. This section will also include whether a policies and procedures manual exists and whether there have been any problems in the development of regulations pertaining to the new classification approach.

Section 6: Classification System Cost

This section will assess the overall cost of the development and implementation of the classification system, specifically with respect to funding provided by outside resources such as the National Institute of Corrections or the National Institute of Justice. Both the initial start-up cost and annual operational cost should be detailed.

Section 7: Classification System Effectiveness

While it is anticipated that most agencies will not have evaluated the effectiveness or impact of their respective classification system, any evidence of such research should be documented by case study staff. Records substantiating system effectiveness should be collected and used to assess such major areas as correct security/custody level assignment, reductions in major variables associated with adequate classification, inmate understanding and satisfaction with the classification system, reduction in inmate grievances related to classification, etc.

Section 8: Classification System and Special Management Inmates

This section should include an analysis of how the classification system is used to classify special management prisoners, including but not limited to mentally ill, medically ill, protective custody prisoners, disciplinary problem prisoners, etc. Attention should also be afforded in this section as to whether the new classification system is used for female prisoners and, if not, what approach is employed to classify this segment of the prisoner population.

Section 9: Classification System Use in Planning

This final section in the case study will analyze the use, if any, of the classification system in planning new correctional facilities and/or programs and services for the prisoner population.

APPENDIX E .
OBJECTIVE PRISON CLASSIFICATION CASE STUDIES

OBJECTIVE PRISON CLASSIFICATION CASE STUDY: CALIFORNIA

INTRODUCTION

The California Department of Corrections implemented a new custody classification system in 1980 based upon a quantitative score derived from an additive check list. Following a year of study and research, the system was implemented and has since demonstrated considerable promise in achieving the Department's goals of rationally managing correctional resources and maintaining each inmate at the lowest custody level commensurate with the safety of the public and members of the correctional community. The scoring factors were modeled specifically for the California prisoner population and the agency's existing facilities. However, the basic structure of the system could be applied to any correctional agency with multiple facilities and custody levels.

OBJECTIVE PRISON CLASSIFICATION SYSTEM DESCRIPTION

Origin and Development

The California objective classification system had its origins in official projections of unprecedented growth in the prisoner population during the 1980s. The first serious effort to plan for this growth was severely criticized by the legislature. Probing questions were asked concerning the nature of the inmate population, inmates' custodial potential, and the use of existing facilities relative to this potential--in a word, "classification." Not only were the answers to these questions not forthcoming, but the means for responding to them did not exist. It became obvious that a thorough study of inmate classification was long overdue.

The study began in January 1979 with the establishment of a number of advisory committees, a survey of the published literature, and inquiries about classification efforts in other jurisdictions. An initial analysis of classification decision-making very quickly found that the existing classification system was basically a "non-system." While all 11 male institutions used the same custody labels, the meaning of these designations was not comparable across institutions.

It became further evident that during the preceding decade institutions had increased the long-standing tendency to become "mini-systems" with a full range of inmate types and program offerings. This proved to be a problem because the physical plants differed in their abilities to provide custodial control. Such heterogeneity, coupled with somewhat ambiguous criteria for institutional placement, made it possible to justify the assignment of almost any new inmate to any institution.

Although centralized reception was administratively convenient, the process itself was fraught with problems. Program resources failed to materialize, receiving institutions often ignored program prescriptions, and, ultimately, available bed space became the overriding consideration. Concerns were also raised about the efficacy of the clinical process itself. Judgemental disparity among decision-makers was believed to thwart uniform classification, and the basis and accuracy of behavioral predictions were questioned. Equally important was the growing awareness that the process contained structural features that systematically overclassified inmates on the custodial dimension.

Finally, there was no apparent way to systematically collect information about the "non-system" for routine evaluative purposes, and the ambiguity of existing definitions would have probably rendered the information useless anyway.

It became clear that the original goal of improving existing classification tools was no longer appropriate. Efforts to revise classification would have to go back to a very basic conceptual level and from there begin to methodically build an entirely different system.

The first developmental task was to analyze the existing custodial resources for housing inmates. This would provide the baseline in determining the system's ultimate capability for custodial control. The analysis was fairly simple since there were only three types of structures (inside cell construction, outside cell construction, and dormitory), combined with three types of perimeters (walls with armed coverage, fences with armed coverage, and no secure perimeters). Since these two dimensions varied together (the inside cells have walls with armed coverage), it was possible to conceive of the resources as four categories on a custody continuum. Dormitories without secure perimeters were designated as Level I (minimum); dorms having fences with armed coverage were grouped as Level II (low medium); facilities utilizing outside cell construction and fences with armed coverage were assigned to Level III (high medium); and the two walled institutions with the most security were designated to Level IV (maximum).

Clustering the institutions was a relatively simple task; determining which inmates should be where and why, however, was much more difficult. This required combining the concepts of "potential for escape" and "potential for disciplinary problems." Early attempts to do so proved futile because of the heterogeneous nature of each institution's population and the subjective nature of the assignment process.

The central problem was the proposal to use the facilities in a way that severely limited the ability to make use of existing data. A re-analysis of counselor recommendations found that, while there was an intolerable level of unexplained variance in the institutional recommendations, it was possible to enumerate factors generally used to make those recommendations. It was also

apparent that several items, led by the length of sentence (or offense severity), were weighted much more heavily.

This list was then combed for variables that met the four principles outlined on page 5. Also eliminated were variables that prior research had not found to be associated with prison behavior. The remaining variables were grouped into seven areas, with five items under the general heading of "background factors" and two under the heading "prior incarceration behavior."

A variety of methods for structuring classification decisions were explored. The additive check list system was finally selected because of its ability to handle multiple factors without becoming unduly complex. On the other hand, it also requires that the decision factors be assigned relative numerical weights, thereby creating the proverbial problem of adding apples and oranges. This can be overcome in a straightforward statistical manner (such as by using beta weights or a variation thereof) when the task is simply to increase uniformity of decisions and to control disparity. The task, however, was to build a system that did not exist. To make the check list work, development staff needed one key factor around which the others could be organized--some variable that would allow them to compare and add apples and oranges. "Sentence length," which in California is directly related to severity of crime, seemed a good candidate and became the "anchor" variable against which all other factors were to be weighted and compared.

In subsequent meetings, the advisory committees were asked to review the list of variables, describe those that were roughly equal for purposes of custody classification and, if unequal, to indicate their relative value compared to an additional six months to serve. At the same time, smaller studies were being conducted of special as well as routine cases.

The third revised check list was put through a "dry run" in October 1979, followed by a pilot project in which the check list was used at the reception centers for one week. The purpose of the pilot project was not only to discover last-minute problems with the form but also to see if operational difficulties would emerge. The primary finding was that the classification staff varied considerably in the institutions they approved, as well as diverged from the scoring system itself. A full 45% of the cases were assigned to different levels than indicated by the scores on the forms. This finding led to procedures for very tight control over cases that were to be handled as exceptions to the system.

The final step in this phase of the project was to test the predictive power of reception center scores against actual inmate behavior. One institution from each of the four custody levels was selected to participate. The counselors at each institution drew 100 cases, representing a 5 to 10% sample. Detailed disciplinary histories were collected on these inmates and compared with their scores at reception. The study showed that the scores were predictive of subsequent behavior. Although the statistical correlations

were not very high for institutional behavior, all were significant and in the right direction. The relationship with escapes was even more encouraging.

At about the time of the validation study, a separate check list was developed for the reclassification and transfer of inmates.

Classification System Implementation

The results of the validation study, together with the reclassification system, were presented to the director's staff and the superintendents in February 1980. Implementation of the new reception center classification system was set for March. The plan for the reclassification system was to evaluate all inmates with the new system as they came up for their normal annual or semiannual review, a process that would take about two years. However, the legislature, supported by hired consulting firms, had become increasingly aggressive with questions about the custodial potential of the inmate population relative to the type of new correctional facilities needed. Because of such legislative pressure, it was decided to reevaluate all inmates as soon as possible. Thus began the task of using the new system to reevaluate all inmates within a seven-week period.

The first two weeks were spent training counselors, with the next three weeks given for case evaluations and the final two for data processing and analysis. Approximately 8,000 hours of caseworker time were used in the reevaluations, with about 18,000 cases received in usable form by the deadline. The first analysis of the population was completed in April 1980.

The new reception center process became fully operational in March 1980. The new reclassification process was effected in August, with the issuing of a new format and revised procedures.

Agency staff note several problems that arose during the implementation phase. Implementation was greatly complicated by a major increase in population. From April through December 1980, 1,700 inmates were added to the count. In addition, some resistance was originally encountered from institution administrators who correctly perceived that the centralized system would limit their traditional decision-making authority. At the same time, many counselor staff had difficulty reconciling their professional self-image with a point system. Department staff believe that the urgency of legislative and budget needs forced the new system into operation well ahead of schedule. As a result, it was superimposed over the old system without resolution of conflicting policies and procedures. In many areas two sets of policies existed, and decisions had to be made on a day-to-day basis. Finally, programs offered at an institution occasionally did not match the inmate's custodial needs and the facilities did not correspond to inmate security profiles.

Goals and Objectives

With the help of the advisory committees, four goals for the project were developed. First, all inmates should be placed in the lowest custody level consistent with public safety. Second, inmates should be classified on the basis of objective information and criteria. Third, the process must be applied uniformly so that comparably situated inmates receive similar custody assignments. And fourth, the system must provide for centralized control over the process.

In addition to these goals, a set of principles was developed to govern the elements and criteria comprising the system. First, the classification criteria had to be "just." This was defined as requiring that the factors be something that the inmate actually had or had not done rather than something that someone expected the inmate would or would not do. Second, the system and its elements had to be understandable for those to whom they were to be applied as well as for those who apply them. Third, the criteria had to have some empirical evidence for their predictive validity. Finally, the criteria had to make sense; staff were not interested in simple statistical correlations between past and future behavior that have no intuitive or common sense meanings.

Classification System Description

The California DOC Inmate Classification System is an objective, points-based system involving over 40 variables with differing weights. The system centers around the use of CDC Form 839 and CDC Form 840. (See Figures 1 and 2). The former is used to score an inmate upon admission to the Department, while the latter is employed to modify the score every six months thereafter or earlier if the inmate's behavior warrants a more immediate reassessment. Each of the forms includes factors that are positively and negatively weighted and, consequently, can increase or decrease an inmate's classification score.

This classification score is then used to determine the appropriate security level to which the inmate should be assigned:

<u>Score</u>	<u>Security Level</u>
0-19	I
20-29	II
30-49	III
50 or more	IV

The inmate is assigned to a prison with a like level designation. Level I represents the least secure facility with the lowest risk inmates; Level IV is the most secure facility with the highest risk inmates.

CDC 839 (Rev. 6-80)

CDC Reclassification Score Sheet

DATE OF CURRENT REVIEW:

8. Unfavorable Behavior Since Last Review

a) No. of serious or major CDC 115's

b) No. of escapes during current period

c) No. of physical assaults on staff

d) No. of physical assaults on inmates

e) No. of smuggling/trafficking in drugs

f) No. of possessing deadly weapons

g) No. of inciting disturbance

h) No. of cause serious injury/assaults

i) Total Unfavorable Points

No. of 6 mo. periods

9. Favorable Behavior Since Last Review

a) Continuous minimum custody

b) Continuous dorm living

c) No serious 115's

d) Above average, full time
work/vocational/school program

ii) Total Favorable Credits

10. Computation of Classification Score

a) Net Change = Unfavorable less Favorable

b) Any change for holds or detainers (6 points)

c) Any change of sentence points (4 points per year)

d) Prior Classification Score

e) Adjusted Classification Score

11. Current Placement

a) Current institution/camp:

b) assigned custody: (e.g. MIN-A-RS)

c) Special custody housing: (SHU/MCU/PHU)

d) Special case factors:

e) Any change in Minimum Release Date:

12. Staff Signature:

13. Auditor Signature:

14. CSR Action:

a) Institution approved:

b) CSR's last name/first initial:

c) Exceptional placement:

Reasons:

15. Community Placement Consideration:

a) Placement:

b) Date:

CDC NUMBER (used in Col. 6)

1 2 3 4 5 6

INMATE'S LAST NAME:

7 8 9 10 11 12 13 14 15 16 17 18

INITIALS

19 20

CDC 340 (Rev. 6-82)

Overall, the classification system attempts to measure two major risk elements relative to inmates: escape attempt potential and aggressive, violent behavior potential.

Classification System Administration and Management

The initial classification process is conducted for males at the Vacaville facility in the northern part of the state and at Chino in the southern. Female classification occurs at the Ontario institution. Central office staff visit each of these facilities weekly to review and approve classification recommendations.

Counselors and their supervisors can also recommend overrides of classification scores, which central office personnel are authorized to approve. While institutional assignments can be overridden, the custody score level determined by the classification system is final unless new information is obtained that would increase or decrease an inmate's point score and alter the overall classification score.

Central office staff consist of 13 personnel who are also responsible for overseeing the transfer process, conducting periodic audits to determine whether inmates are being properly classified, and conducting training sessions with institutional staff when inconsistencies in instrument scoring or other procedures are found. Central office staff also approve emergency classification recommendations made locally by institutional personnel. The roles of central office and institutional classification staff remain essentially the same under the new system.

Classification System Costs

Outside funding for the new system was provided in 1979 through a grant from the National Institute of Corrections; funding for the two-year grant is estimated at \$60,000. In addition, the California Department of Corrections provided substantial funding for personnel and expenses related to classification system development and implementation. These costs have been difficult to estimate because most of the funding was budgeted for classification purposes not directly related to the new system.

Similar to other objective classification approaches developed in recent years, no substantial costs have been associated with maintaining the system after implementation. Staff duties have been modified according to the new classification policy statement, and no new personnel have been added. In fact, agency staff believe that the new classification system has minimized the need for additional classification personnel, which the previous subjective system would probably have warranted.

Classification System Effectiveness

In addition to the effectiveness evaluation reported earlier in Section V, the California Department of Corrections conducted a review of the classification system in 1984. This is a preliminary report that prompted an in-depth evaluation of the system, which is expected to be completed in early 1986.

This 1984 analysis produced numerous findings resulting in the following policy and administrative recommendations.

Policy recommendations:

- The goals of the Department's inmate classification system should be clearly documented to assist staff in meeting the objectives of the inmate classification system;
- Separate categories for medical/psychiatric and special housing cases should be established;
- The point brackets for classification housing levels should be increased as should the weighting factor for serious disciplinaries;
- Long-term research and evaluation of the inmate classification system should be conducted; and
- Certain score sheet items should be either eliminated or redefined in future evaluations of the system.

Administrative recommendations:

- Existing classification data tables should be modified following analysis in order to assist the agency in formulating/changing policy;
- A position should be established to monitor the computerized classification system;
- The time lag in processing CDC forms 839/840 should be reduced; and
- Based on the large percentage of errors contained on the 839/840 CDC forms, additional training sessions should be provided correctional counselors.

The 1984 assessment yielded several other important findings. For instance, the new system appears to use too much, and in some cases, inadequately defined, information. Of the 40 variables comprising the initial classification and reclassification forms, 10 account for over 95% of the

classification scores assigned to inmates. The evaluation also found that more than 12,000 prisoners were housed out of level and that the system was overclassifying a large number of inmates. Finally, the agency's work training incentive program had not been factored into the classification system.

Classification System and Special Management Inmates

The agency is currently working on means of improving the new system's use with special management prisoners. When a Departmental classification system was implemented in 1980, each institution was assigned a classification housing level based upon its structure and custodial security. Further, all inmates were assigned classification scores that determined at what institutional level each would be housed. This scoring was also a factor in determining the classification level of each institution.

However, the Department did not address inmates' special management needs in the new classification system, but rather continued to designate beds in some facilities, regardless of institutional classification housing levels, for psychiatric, medical, protective custody, and lock-up cases. In a majority of these cases, inmates' classification score levels did not match the institutional classification housing levels.

A good example of how a classification system fails to accommodate special management inmates can be found in the assignment and management of inmates needing psychiatric or medical care. Departmental policy requires that all inmates needing medical or psychiatric services would be transferred to the California Men's Colony at San Luis Obispo or the California Medical Facility at Vacaville, where major hospitals are located. These institutions are both designated as Level III facilities and, as a result, those inmates in Levels I, II, and IV who were transferred to one of these institutions for mandated programs would be reflected as out-of-level cases. This has led to some confusion because these assignments do not accurately depict the agency's inmate housing policy. This practice complicates population projections, and, in the end, it is very difficult to explain. Similar situations are found at San Quentin and Folsom, which are specified as facilities to house inmates needing maximum security control, and the correctional training facility at Soledad, which is designated as an institution to house inmates in need of protective custody.

In response to these special management issues, a task force appointed by the governor in 1984 (the Wilson Task Force) recommended that the agency create two separate classification categories, one for psychiatric/medical inmates and the other for lock-up cases. These two categories would be distinct from the four custody level designators employed for the majority of California inmate population. This strategy would substantially reduce the number of inmates designated as being out of level and permit a better understanding and analysis of the Department's population.

Classification System and Female Inmates

California's inmate classification system is used in the same manner with both male and female inmates. While fewer facility assignments are available for females, an effort is made to designate each new female admission to the least restrictive appropriate secure facility.

Classification System Use in Planning

The new classification system has had a substantial impact upon the Department in the area of facility planning. Historically, requests have been made for higher custody facilities because of a perceived shortage of lower custody inmates. However, in response to the increase in the number of inmates rated for lower custody, planning for new facilities has had to make a dramatic adjustment, with more emphasis on community centers, camps, and open facilities.

To facilitate planning and fiscal year budgeting, the classification system information base is computerized so that the progress of each inmate is tracked and data for program and policy planning are readily retrievable. However, even given this planning capability, over 20% of the inmates are still housed in facilities that do not correspond with their classification scores. In an attempt to reduce this number, all of these cases are reviewed for transfer potential while the programs of each institution are examined for either movement or the establishment of a quota of out-of-level inmates.

OBJECTIVE PRISON CLASSIFICATION CASE STUDY: FEDERAL PRISON SYSTEM

INTRODUCTION

Unlike the circumstances that exist for many other jurisdictions, the Federal Prison System (FPS) was not in a crisis situation, (e.g., overcrowding, court order) when it decided to modify its classification procedures. The impetus for change came from observations of inconsistency in the custody classification process. A task force was subsequently established to look into ways to gain greater consistency in custody decision-making. It soon became apparent, however, that it was not possible to look at custody decision-making without also taking into consideration institution security. Consequently, the mandate given the task force was changed to allow it to review the FPS's entire classification process. Slightly more than two years later, in April 1979, the Federal Prison System instituted an objective classification process. Evaluations of the system indicate that it is effective in assigning prisoners to the least restrictive security level consistent with their needs and has enhanced use of available resources.

OBJECTIVE PRISON CLASSIFICATION SYSTEM DESCRIPTION

Origin and Development

Prior to the development of the new objective system, the FPS had policy and procedure that described its ongoing classification process. There was a generally accepted understanding as to what type of inmate went to which institutions; transfers "up or down" were usually arranged between wardens; custody levels were decided by each facility's classification team in accord with system-wide policy guidelines. However, it was observed that comparable institutions, which presumably housed similar inmates, actually had widely discrepant proportions of prisoners in the FPS's various custody levels. It had also been noted that inmates transferred from a higher to a lower security institution might be placed in a more restrictive custody status until staff at the new facility "got to know the prisoners."

As a result of these observations, the Classification Project Task Force was created in the spring of 1977 to examine means for improving custody decision-making. The task force consisted of ten FPS staff from both the central office and field institutions, representing a wide variety of disciplines and extensive corrections experience. Its co-chairmen were Assistant Directors, both members of the executive staff; they provided direct feedback to the Director and other top officials.

At its initial meeting the Classification Project Task Force realized that its mandate to review Federal Prison System custody procedures was too limited. Moreover, confusion between what was "custody" and what was

"security" surfaced since the system used the terms interchangeably and also employed the same labels (maximum, medium, minimum) to describe both institutions and inmate custody levels.

The key role of classification (and the fact that in a correctional system "everything is connected to everything") led to the task force's mission being expanded to include a review of the FPS's total classification process.

In order to gain clarity and facilitate communication, the task force defined security in terms of the physical characteristics of institutions; custody was defined as the level of supervision, within a given facility, that a particular inmate required. Understanding was further enhanced by using different labels. Institutional security levels were given Roman numerals (from I to VI--least to most secure), while custody categories were assigned to inmates (COMMUNITY, OUT, IN, and MAXIMUM). Consistent, explicit definitions for each label were established (later incorporated into written policy).

The initial focus of the task force was to develop a designation process; that is, a consistent procedure for deciding how a newly admitted inmate would be assigned to a specific institution. Three procedures needed to be created: (1) a method for determining the security level of institutions, (2) a method for determining the security needs of every new inmate, and (3) a method for matching (1) and (2).

A search of existing literature and a visit to two state correctional systems (Michigan and Oregon) revealed a number of helpful ideas and suggestions; however, no existing classification approach fit the particular circumstances of the Federal Prison System. Therefore, the FPS developed its own system. A consensus approach was followed; widespread input was invited initially and comments solicited on preliminary documents as they were developed.

The developmental process--which included devising and revising a designation form, performing several "paper" validations, and developing a procedures manual--took a year. A second year was used to pilot test the new system in one of the FPS's five regions--the Western Region, then consisting of eight institutions.

Since many FPS staff viewed the existing classification process as "working," the decision to involve staff in the development of the new system proved very helpful in its implementation and eventual acceptance. Personnel were kept aware of the various stages of the system's development. Since many contributed to the creation of the new classification approach, a sense of ownership and a desire to see the project succeed resulted.

Classification System Implementation

Implementation of the objective classification system began in 1979, and approximately two years later the system was operational within all FPS institutions.

The key factor in implementing the new classification approach was the orientation and training offered to staff who would be using the system. In addition, information was widely disseminated to all categories of staff through periodic updates circulated in a system-wide newsletter. Information was also included in the regular training sessions held at each institution.

During the actual classification training, the focus was hands-on experience rather than classroom lectures. Sample cases were used; trainees worked in small teams. Several members from the task force were available throughout each session. Most important, top-level executives were in attendance to evidence their support for the project.

Implementing the system for use with newly admitted inmates was fairly simple. Staff functioned as if the new approach were the way the FPS always performed the designation function, and new admissions accepted it as part of the routine.

Implementation was more complicated for on-board inmates. They, too, had to be oriented to the new system. This was done by preparing articles for each institution's inmate paper. Prisoners also had opportunities to discuss the new system with their caseworkers, as well as during "town meetings" in their living units. Most difficult in the transition was the change in custody. The FPS moved from five custody categories--maximum, close, medium, minimum, community--to four--maximum, in, out, community. The change for the prisoners in maximum and close and those in minimum and community was straightforward. Those in medium presented a problem: they had to become either IN or OUT. At each inmate's scheduled institutional reclassification meeting, the new form was employed. Medium custody inmates were then categorized according to the findings on the new form. However, no inmate lost privileges if the individual had adjusted well since last appearing before the classification committee; that is, no prisoner was to lose privileges earned under the old system just because a form had been changed.

The development and implementation of the FPS's objective classification system was done entirely in-house. Task force members played the major role in all aspects of bringing the new system into being. Two-member teams from the task force went to the institutions to collect needed data. Members also helped conduct the training sessions. When problems arose, they were available for telephone consultation. They also participated in "fine-tuning" sessions after pilot-test data had been collected and made the necessary modifications for the next revision. In great measure the success of the

FPS's new classification approach is a consequence of the contributions made by the individuals who served on the Classification Project Task Force.

Goals and Objectives

The initial mandate given the task force by the executive staff was to review custody procedures. This was later expanded to include the total classification process. But a more basic question remained: After the task force completed its work, would FPS operations be any better than before the classification project began? In other words, had anything been improved?

In order to answer this question, six criteria were established. The new classification system would have demonstrated its utility if it:

- (1) Confined inmates in the least secure facilities for which they qualified;
- (2) Kept the inmate population throughout the FPS in better balance;
- (3) Decreased the number of transfers, particularly for custody reasons;
- (4) Reduced the number of inmates seeking protective custody;
- (5) Eliminated "preferential transfers" between institutions; and
- (6) Made better use of available resources.

The developmental process was guided by three principles:

- I. Inmates should be confined in the least restrictive, appropriately secure facility.
- II. The best predictor of future behavior is past behavior.
- III. Recent behavior is a better predictor of future actions than far distant past behavior.

These principles provided a frame of reference for the task force's work. They helped both in developing the overall concept for the new classification system and in providing a focus for the details; that is, the assignment of point values within items on the newly devised forms.

Classification System Description

The FPS's objective classification system consists of two forms: an initial designation form, which is used at time of admission to the system (Figure 1) and a reclassification form, which is used for formal reconsideration of custody status (Figure 2). Separate forms, not developed by the task force, are used to record each prisoner's needs as determined by the unit classification committee.

The Federal Prison System's classification approach uses an additive process. On the designation form, each new commitment is awarded a number of points for six items: Type of Detainer, Severity of Current Offense, Expected Length of Incarceration, Type of Prior Commitments, History of Escapes or

INMATE LOAD DATA				1. REGISTER NO.	
2. LAST NAME		3. FIRST		4. MIDDLE	
5. SUFFIX		6. RACE		7. ETHNIC ORIGIN	
8. SEX		9. DATE OF BIRTH			
10. OFFN/CIRG/SENT					
11. FBI NUMBER		12. HEIGHT FT IN		13. WEIGHT	
14. SOC. SEC. NO.		15. HAIR		16. EYES	
17. STATE OF BIRTH		18. OR COUNTRY OF BIRTH		19. CITIZENSHIP	
20. ADDRESS - STREET					
21. ADDRESS - CITY					
22. ADDRESS - STATE		23. ZIP CODE		24. OR FOREIGN COUNTRY	
25. REMARKS					
SECURITY DESIGNATION DATA					
IMPORTANT: Enter all CIM assignments in SENTRY before entering this portion of form.					
1. DESIGNATION LIMITATIONS		0 - NONE 1 - MISDEMEANOR		2 - NARA 3 - YCA	
4 - STUDY 5 - SPLIT		6 - PSYCH 7 - MEDICAL			
2. ADDITIONAL CONSIDERATIONS		0 - NONE 1 - MEDICAL HEALTH		2 - MENTAL HEALTH 3 - AGGRESS SEX BEHAVIOR	
4 - DEPORTABLE ALIEN					
3. USM OFFICE			4. JUDGE		
5. RECOMMENDED FACILITY			6. RECOMMENDED PROGRAM		
7. TYPE OF DETAINER		0 - NONE 1 - LOWEST/LOW MODERATE		3 - MODERATE 5 - HIGH	
7 - GREATEST					
8. SEVERITY OF CURRENT OFFENSE		0 - LOWEST 1 - LOW MODERATE		3 - MODERATE 5 - HIGH	
7 - GREATEST					
9. EXPECTED LENGTH OF INCARCERATION		0 - 0-12 MONTHS 1 - 13-59 MONTHS		3 - 60-83 MONTHS 5 - 84 PLUS MONTHS	
MONTHS					
10. TYPE OF PRIOR COMMITMENTS		0 - NONE 1 - MINOR		3 - SERIOUS	
11. HISTORY OF ESCAPES OR ATTEMPTS		MINOR		NONE	
		0		>15 YRS	
		1		10-15 YRS	
		2		5-10 YRS	
		3		<5 YRS	
12. HISTORY OF VIOLENCE		SERIOUS		0	
		4		5	
		6		7	
13. PRE-COMMITMENT STATUS		0 - NOT APPLICABLE 3 - OWN RECOGNIZANCE		6 - VOLUNTARY SURRENDER	
14. VOLUNTARY SURRENDER DATE (MM-DD-YYYY)		15. VOLUNTARY SURRENDER LOCATION			
16. IF ELIGIBLE FOR SL-1, IS THERE ANY MEDICAL REASON THAT WOULD PRECLUDE DESIGNATING A CAMP?		Y - YES N - NO			
17. REMARKS					

U.S. Department of Justice
Federal Bureau of Prisons

Custody Classification

1. Institution	Code	2. Unit	3. Date Mo - Day - Yr:
4. Name, Last	First	Initial	5. Register No.

SECTION A		SECURITY SCORING				
1. TYPE OF DETAINER	0 = None 1 = Lowest/Low Moderate	3 = Moderate 5 = High	7 = Greatest			
2. SEVERITY OF CURRENT OFFENSE	0 = Lowest 1 = Low Moderate	3 = Moderate 5 = High	7 = Greatest			
3. PROJECTED LENGTH OF INCARCERATION	0 = 0 - 12 Months 1 = 13 - 39 Months	3 = 60 - 83 Months 5 = 84 Plus Months	7 = 84 Plus Months	3a. Number of months _____		
4. TYPE OF PRIOR COMMITMENTS	0 = None 1 = Minor	3 = Serious				
5. HISTORY OF ESCAPES OR ATTEMPTS	None MINOR SERIOUS	0 1 4	15 yrs 1 4	10-15 yrs 1 5	5-10 yrs 2 6	5 yrs 3 7
6. HISTORY OF VIOLENCE	None MINOR SERIOUS	0 1 4	15 yrs 1 4	10-15 yrs 1 5	5-10 yrs 2 6	5 yrs 3 7
7. PRE-COMMITMENT STATUS	0 = Not Applicable -3 = Own Recognition -6 = Voluntary Surrender					

8. BASE SCORE

SECTION B		CUSTODY SCORING				
1. PERCENTAGE OF TIME SERVED	3 = 0 thru 25% 4 = 26 thru 75%	5 = 76 thru 90% 6 = 91 plus %				
2. INVOLVEMENT WITH DRUGS & ALCOHOL	2 = Within past 5 years 3 = More than 5 years ago	4 = Never				
3. MENTAL/PSYCHOLOGICAL STABILITY	2 = Unfavorable 4 = No Referral or Favorable					
4. TYPE & NUMBER OF MOST SERIOUS DISCIPLINARY REPORT(S)	0 = Any Greatest (100) within last 10 years 1 = More than one high (200) within last 2 years 2a = Only one high (200) within last 2 years 2b = More than one moderate (100) within last year	3a = Only one moderate (100) within last year 3b = More than one low moderate (400) within last year 4 = Only one low moderate (400) within last year 5 = None				
5. FREQUENCY OF DISCIPLINARY REPORT(S) WITHIN LAST YR	0 = 4 Plus 1 = 2 thru 3	2 = 1 3 = None				
6. RESPONSIBILITY INMATE HAS DEMONSTRATED	0 = Poor 2 = Average	4 = Good				
7. FAMILY/COMMUNITY TIES	3 = None or Minimal 4 = Average or Good					

9. CUSTODY TOTAL

10. CUSTODY VARIANCE (Circle Intersecting Point):

		CUSTODY TOTAL (Sec. 3, Item 3)																				
B A S E S C O R E		10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
	0 - 6 pts.	-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	-1	-2	-3	-4	-5	-6	-7	-8
	7 - 9 pts.	-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	-1	-2	-3	-4	-5	-6	-7
	10 - 13 pts.	-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	0	-1	-2	-3	-4	-5	-6
	14 - 22 pts.	-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	0	0	0	-1	-2	-3	-4
	23 - 29 pts.	-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	0	0	0	0	-1	-2	-3
30 - 36 pts.	-10	-9	-8	-7	-6	-5	-4	-3	-2	-1	0	0	0	0	0	0	0	0	-1	-2	-3	

9a. Custody Variance Score (+) or (-)

10. SECURITY TOTAL: Add or subtract the custody variance (above) to the Base Score (Sec. A, Item 3)

11. SECURITY LEVEL	1 = 0 - 6 pts. 2 = 7 - 9 pts.	3 = 10 - 13 pts. 4 = 14 - 22 pts.	5 = 23 - 29 pts. 6 = 30 - 36 pts.
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12. CUSTODY CHANGE CONSIDERATION:

If Custody Variance Score (Sec. 3, Item 9) is in the plus (+) range, consider a custody increase.
If Custody Variance Score (Sec. 3, Item 9) is in the minus (-) range, a custody decrease may be considered.
If Custody Variance Score (Sec. 3, Item 9) is Zero (0), present custody should continue.

SECTION C		INSTITUTION ACTION	
1. TYPE OF REVIEW: EXCEPTION _____	REGULAR _____		
2. CURRENT CUSTODY: MAX _____	IN _____	OUT _____	COMM _____
3. NEW CUSTODY: MAX _____	IN _____	OUT _____	COMM _____
4. ACTION: APPROVE _____	DISAPPROVE _____	5. DATE OF NEXT REVIEW: _____	
6. CHAIRPERSON'S NAME AND SIGNATURE _____			
7. FOR EXCEPTION REVIEW NAME (Warden or Designee) AND SIGNATURE _____			
8. BY OF FINAL ACTION: LEVEL _____			
CUSTODY _____			

BP-13 (Mammal)
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Attempts, and History of Violence. These points are added to obtain a Security Total. The range that the offender's Security Total falls within determines the security level to which the individual is assigned. Within that security level, the prisoner is sent to a specific institution, depending upon such considerations as proximity to the offender's home, level of overcrowding, and racial balance.

The six items on the designation form were developed from an initial list of 92, which the task force reduced to 47 potentially significant factors. A wide range of FPS staff then ranked these 47 items in terms of their importance to the classification process, and the six highest factors were incorporated into the designation form.

Reclassification involves the completion of a form by the prisoner's case manager, based on information gathered since the previous reclassification committee meeting. This two-part form is completed every time the individual is formally reviewed for reclassification.

Section A of the reclassification form repeats the six designation factors and scores the prisoner as to current security needs.

The second part of the form--Section B--consists of seven items: Percent of Time Served, Involvement with Drugs/Alcohol, Mental/Psychological Stability, Most Serious Disciplinary Report (past year), Frequency of Disciplinary Reports (past year), Responsibility Inmate Has Demonstrated, and Family/Community Ties. These points are added to arrive at a Custody Total. The range encompassing this score is then located on a grid. Three recommendations are possible: consider for a custody increase; continue present custody; consider for a custody decrease. The grid is arranged so that it requires greater effort for inmates with high security needs to be considered for reduced custody than is true for prisoners with low security needs.

Since the six items that determine a prisoner's security needs are based on pre-incarceration information, the Security Total rarely changes. Consequently, the major method by which inmates move to lower (or higher) security institutions is a change in custody level.

Each newly assigned offender automatically begins in the highest custody level at the designated institution. Thus, new prisoners who require either SL-VI or SL-V security begin their confinement with MAXIMUM custody; new commitments with SL-IV, III, or II security needs start with IN custody; and those with SL-I security requirements commence their sentences with OUT custody. (See Table 1 and note underlined "X" at each security level.)

TABLE 1
SECURITY LEVELS AND CUSTODY CATEGORIES

<u>INMATE CUSTODY</u>	<u>Institution Security</u>					
	<u>SL-VI</u>	<u>SL-V</u>	<u>SL-IV</u>	<u>SL-III</u>	<u>SL-II</u>	<u>SL-I</u>
MAXIMUM	X	X		X	X	
IN	X	X	X	X	X	
OUT			X	X	X	X
COMMUNITY				X	X	X

A detailed classification manual was developed by the task force. In addition to citing appropriate authority to establish the manual as policy, it contains explicit instructions for completing all the forms, shows worked examples, and assigns specific responsibility for the various procedures. Thus, it is a ready reference for classification committee members. Further, it served as a basic training document during implementation of the new system and continues in this role with newly hired staff.

Classification System Administration and Management

Because the Federal Prison System operates institutions across the nation, better coordination required that regions be established. Accordingly, the FPS has created five regions, each containing approximately 10 institutions. The original concept called for each region to have at least one institution at each security level (except for the single, end-of-the-line SL-VI at Marion). Within each region is a regional office where a Regional Designation Officer serves as a coordination point for initial designations and intra-regional transfers. These staff also arrange inter-regional transfers.

The classification process begins when a Community Programs Officer (CPO) is informed by the court that a new prisoner has been sentenced to the FPS. The CPO obtains the information necessary to complete the initial designation form. That material is communicated to the regional office, where it is considered in light of other information concerning the Federal Prison System. The Regional Designation Officer then makes an assignment to a specific institution at the security level appropriate for the new inmate. Meanwhile, the CPO has forwarded the designation documentation to the receiving institution, which has been informed by the regional office to expect the new commitment.

During the admission and orientation phase the prisoner is interviewed, screened, and tested. After 30 days, the new admission is assigned living quarters. [Several FPS institutions employ an objective, consistent "internal classification" procedure to make living quarters assignment. (See Quay,

1984.)) He or she subsequently meets with the unit classification committee and participates in the development of an institutional program.

Depending on the individual's custody level, a formal reclassification session is scheduled: Maximum custody--9 to 12 months, In custody--6 to 9 months, Out custody--3 to 6 months; Community custody--at least once each year. (Program reviews are held by the unit classification committees every 90 days.) At the meeting a reclassification form is completed by the inmate's caseworker, using input from other team members as well as the prisoner's work and program supervisors. Based on performance since the last reclassification meeting, the form makes a recommendation as to whether the prisoner's custody should be increased, decreased, or remain the same. Staff make the final decision. If they decide to follow the recommendation, that is indicated and the form serves as documentation. However, if they decide to override the recommendation, they must remain within policy guidelines. For example, if the form recommends consideration for a lower custody category, the committee can disagree and keep the prisoner's custody at its current level, but cannot increase it to a higher category. They must also justify in writing the rationale for their disagreement.

In accord with policy guidelines, the reclassification committee may decide to place an inmate in a custody classification that the current institution does not have. Such a decision triggers consideration for a move to a more (or less) secure facility with the appropriate custody category. This information is then communicated to the Regional Designation Officer, who arranges for all transfers.

In order to ensure that classification policy is being followed, on-site audits are conducted annually. These visits include a review of the records by the Regional Designation Officer, as well as observation of classification committees in action. Following the audit, a written report is prepared, signed by the Regional Director, and sent to the institution. Policy requires that a written response (signed by the warden) be prepared within 45 days. These procedures serve both as a quality control and as documentation that the facility is in compliance with the policies of the Federal Prison System.

Classification System Cost

No outside funding was used in developing the Federal Prison System's objective classification approach. However, since the developmental process involved personnel traveling to meetings and to gather data, there was a "cost" to the FPS for time away from their usual positions. However, the task force members' enthusiasm about their selection and participation in this project--several indicated it was the high point of their careers--may have served as a morale booster, leading to greater levels of productivity when they returned to their regular jobs.

Maintaining the system entailed no additional costs. The duties of on-board personnel were modified according to the new classification policy statement, but no additional staff were required.

Classification System Effectiveness

The FPS's new classification system was evaluated at two levels. The first assessed the system as a whole: Were things better because a new system had been implemented? The second involved demonstrating that newly devised forms provided valid information.

Six criteria were established for assessing the first level of the evaluation. (These are listed in the section on Goals and Objectives.) The findings were (Levinson, 1980): (1) The new classification did confine inmates in less secure facilities without increasing assaults or escapes. (2) It also distributed the prisoner population more evenly and better balanced each facility's racial composition. (3) The system reduced the number of inter-institutional transfers. (4) A year-long assessment at one Western Region SL-V facility, during the pilot-testing phase (1978), indicated that the new classification approach did not reduce the number of inmates seeking protective custody. (5) Policy implemented as part of the new classification manual removed transfer authority from wardens, eliminating preferential transfers. (6) By providing more current, consistent, and relevant information to management, better-informed decision-making occurred; that is, type of needed facilities were precisely specified, staffing patterns were adjusted, and budget justification became more specific.

More recent data provide additional support regarding the improvements brought about by the new classification system. Comparing the distribution of the FPS's male prisoner population before and after implementation of the new approach reveals an overall "downshift"; that is, a greater proportion of inmates are now housed in less secure facilities--from 23% in 1977 to 33% in 1982. At the same time, the percent of prisoners in the FPS's maximally secure institutions (SL-V & VI) decreased from 38% to 20%. Significantly, this occurred while the percent of inmates incarcerated for crimes of violence increased from 23% to 31%. As shown in Table 2, this "downshift" was accompanied by a reduction in transfers and a lower rate of escape per 1000 prisoners.

TABLE 2
PRE- AND POST-IMPLEMENTATION OF NEW CLASSIFICATION SYSTEM:
PERCENT INMATES TRANSFERRED AND ESCAPE RATE/1000

	<u>1976</u>	<u>1977</u>	<u>1978</u>	<u>1979*</u>	<u>1980</u>	<u>1981</u>	<u>1982</u>
Transfers	41%	43%	52%	50%	48%	42%	36%
Escape/1000	14	15	14	14	15	10	6
n =	42.4k	45.3k	46.6k	42.9k	40.0k	39.9k	44.9k

*Transition year; new system began agency-wide on 4/79.

The second level of evaluation--form and item validity--began during the Western Region pilot-testing phase and has continued during post-implementation. "Fine-tuning" sessions have been held every 12 to 18 months to review accumulated information. Based on this material, modifications are made in procedures and/or scoring.

Table 3, using data from 1100 inmates randomly selected from 35 FPS institutions (Kane & Saylor, 1983), reveals that the items used to make initial security designations are significantly related to post-admission behavior. Each "X" indicates a significant relationship (at least .05) between Security Designation Item and Criterion.

TABLE 3
RELATIONSHIP BETWEEN SECURITY DESIGNATION ITEMS
AND SUBSEQUENT INSTITUTIONAL BEHAVIOR

	<u>Criteria</u>						
	<u>Disci- plinary Transfer</u>	<u>Violence</u>	<u>Overall Misconduct</u>	<u>Severity of Misconduct</u>			
				<u>Greatest</u>	<u>High</u>	<u>Moderate</u>	<u>Low-Mod</u>
Type of Detainer	---	---	X	---	---	X	---
Severity of Offense	---	X	X	X	---	X	X
Length of Incarceration	X	X	---	---	---	---	---
Prior Commitments	X	X	X	---	X	---	---
Escapes or Attempts	X	---	X	X	X	X	---
History of Violence	X	X	X	X	X	X	---
Total Score	X	X	X	X	X	X	X

"Total Score," which Table 3 reveals to be the best predictor of the seven post-incarceration criteria, reflects the finding that the designation form is making useful distinctions.

Another perspective is provided by Table 4, which shows differences among the form-identified groups.

TABLE 4
AVERAGE NUMBER OF DAYS TO ACCUMULATE
100 MAJOR DISCIPLINARY "GUILTY" DECISIONS

<u>Security Level*</u>	<u>Average Number of Days</u>
SL-I	266
SL-II	205
SL-III	74
SL-IV	74
SL-V	45
SL-VI	24

*Except for SL-VI, averages are based on data collected at three different facilities at each security level; the SL-VI figure is based on data gathered on two different occasions (eight months apart) at the single SL-VI institution.

The orderly progression depicted in Table 4 lends creditability to the grouping of inmates in accord with the security designation form.

The foregoing suggests that inmates designated to the different security level institutions are, indeed, distinguishable from each other in terms of subsequent behavior. Another way to determine if this is true is by examining what happens when "wrong" designations are made. Two studies were conducted--one at a single SL-III institution (Mabli, 1982) and the other encompassing 35 different FPS facilities (Kane & Saylor, 1983).

Mabli reported that SL-3 inmates committed to an SL-III institution had the higher percentage with no disciplinary reports (during 12 months following admission) when compared with non-SL-3 inmates in the same facility.

The Kane & Saylor study, using multiple regression analysis, reported "the likelihood of a disciplinary transfer was found to be statistically significant for both over- and under-designated prisoners." Moreover, the greater the over- or under-designation, the more likely such a transfer would occur: "Plausibly, under-designated (inmates) were transferred for (their) exploitive action, whereas over-designated prisoners were moved after (being aggressed against) to prevent (further) exploitation."

While admittedly not a panacea, the FPS's new classification system does appear to be a valid approach that helps reduce some of management's problems.

Classification System and Special Management Inmates

The FPS's objective classification system was devised to assign prisoners to institutions based on their security needs. However, there are inmates for

whom other considerations outweigh (at least initially) security issues; for example, physically or mentally ill offenders. Specific provisions are incorporated into the FPS's approach to assist in properly managing these special cases.

In addition to the security scoring, the security designation form contains an "Additional Considerations" section that also must be completed. Eight categories of Special Offenders are listed: medical, psychiatric, aggressive sexual behavior, threat to government officials, offense in greatest severity category, high severity drug offense, deportable alien, and organized crime member. New admissions falling into any one or more of these categories may have their security-based institution designation overridden. Justification for such overrides must comply with policy guidelines and be documented on the form.

If the reason for the override is temporary (e.g., a curable medical problem), the designation officer indicates two institutions on the form. The first considers the prisoner's special need; the second is based on the security score. Once the special management problem has been rectified, the inmate is transferred to the appropriate security level institution. This procedure reduces attempts by prisoners to manipulate the system. It also expeditiously moves inmates through specialized facilities, thereby helping ensure that scarce bed space does not become clogged unnecessarily.

Classification System and Female Inmates

The FPS's objective classification system is also used with female offenders. While the range of institution security levels available for women prisoners is curtailed, effort is made to designate each new female admission to the least restrictive appropriately secure facility. Table 5, which compares the distribution of male and female prisoners in the Western Region, reveals a concentration of women inmates at the lower security needs levels.

TABLE 5
COMPARISON OF MALE AND FEMALE PRISONERS--1/81
INMATES' SECURITY LEVEL

	<u>SL-1</u>	<u>SL-2</u>	<u>SL-3</u>	<u>SL-4</u>	<u>SL-5</u>	<u>SL-6</u>	
Male	33%	16%	19%	24%	7%	1%	(n=3456)
Female	44%	24%	17%	12%	3%	0.4%	(n=227)

Classification System Use in Planning

At the time that the Federal Prison System began to review its classification system, serious thought was being given to making a budgetary request to build a second SL-VI facility. Moreover, while maximum and medium security institutions were overcrowded, unused bed space existed in minimum security camp facilities. Thus, the FPS was faced with the prospect of constructing highly expensive maximally secure beds, while underutilizing its least expensive living quarters.

The new classification system demonstrated what many staff suspected: prisoners were being overclassified. As a result of the new approach, the FPS did not build the second top-level security facility, but found a greater need for medium and minimum beds--a considerable savings for the taxpayer.

In addition, high-level administrators now have a more accurate, up-to-date picture of both new admissions and the current population. This enables managers to ascertain whether the incoming population is changing and to assess not only where new facilities might be needed but also what a new institution's security level should be to best meet commitment trends. Thus, management has better information, can more accurately forecast needs, and more comprehensively justify its budget requests.

Finally, the new objective system permits a more knowledgeable allocation of current resources. Consistent, early identification of which prisoners require maximal control and which do not allows differential staffing patterns to be implemented. It also leads to the "de-securitizing" of institutions; that is, not staffing every perimeter tower 24 hours per day. For example, the Federal Prison System was able to reduce the security levels of both Terre Haute (Indiana) and Otisville (New York) from SL-V to IV and from SL-IV to III, respectively. More homogeneous institutional populations and a better ability to predict where trouble may develop enable a more cost-efficient distribution of in-house resources.

OBJECTIVE PRISON CLASSIFICATION CASE STUDY: FLORIDA

INTRODUCTION

In October 1979, the Florida Department of Corrections began classifying inmates under a system of objective custody classification criteria. This was the Department's first step toward identifying and using standard elements and practices in four separate but interrelated decision-making areas within the inmate classification process: custody classification, inmate movement, inmate program needs assessment and participation scheduling, and work assignment. To date, only the custody classification component has been pilot tested and implemented agency-wide. A 1981 evaluation of the new system indicates that it provides a legitimate basis for determining inmate custody levels and has resulted in more efficient assignment of custody grades.

OBJECTIVE PRISON CLASSIFICATION SYSTEM DESCRIPTION

Origin and Development

In 1979 the Florida state legislature directed the Department of Corrections to "review and document the security classification of inmates as to the criteria of each classification and the number of inmates in each classification and present an institutional plan to provide adequate security for these inmates." In response to this directive, the Department examined the existing classification system and those procedures believed to be commonly accepted and widely used. This review produced several findings that indicated the system employed informal and subjective criteria. First, since there was no explicit guidance as to what criteria should be applied, each classification officer usually drew upon his or her own training and experiences to make custody assignments. Second, case-by-case application of the criteria resulted in disparities in the distribution of custody grades for each caseload. Third, the quality and quantity of offender data used to make classification decisions varied dramatically in accuracy, completeness, and objectivity. Fourth, many of the offender data used by classification staff, which were obtained through pre-sentence investigation reports, were inconsistent due to non-specific instructions provided to probation services field staff. Finally, in addition to the absence of guidelines specifying what criteria to employ and when, there was substantial uncertainty concerning how criteria should be applied. As a result, classification officers frequently interpreted custody grades quite differently from institution to institution. This interpretive freedom led to non-uniform decisions that were increasingly subject to objective questioning.

Prior to initiating development of an objective classification approach, the Department made several assumptions concerning the course of action proposed to meet the legislative mandate. These included the following:

- The existing system of inmate classification, though informal and non-uniform, generally works and is essentially self-correcting. This is exemplified through the Department's ability to maintain a large inmate population with a minimal rate of escape and assault, as well as a limited number of disciplinary incidents;
- The emphasis on individual diagnosis and treatment of the offender that characterizes the current classification system is necessary and should not be eliminated; and
- The development of standard criteria and procedures should not preclude the judgement and experience of skillful professionals from the decision-making process.

Several distinct phases were involved in developing the Florida Department of Corrections' inmate classification system:

- Identification of the classification decision criteria;
- Organizing these criteria into related sets of variables and then establishing the relative importance of each to the classification decision;
- Incorporating the ranked sets of elements and sub-elements into a standard system of decision-making logic;
- Mapping the decision-making logic to provide for assignment of standard custody grades;
- Translating the decision-making logic into a weighted scoring scheme that maintains the integrity of the logic while resulting in appropriate assignment of custody grade; and
- Developing a user interface with the classification system through the design of a simplified set of field forms.

As a first step, "brain writing," a method for generating ideas within a small group, was used to obtain a list of classification criteria by consensus. Forty-three classification criteria were subsequently identified as having some relevance to the classification decision. However, this list needed to be ordered according to the relative importance of each item to inmate classification. To do this, the task force, comprised of staff representing various disciplines within the agency, employed a process known as Interpretive Structural Modeling (ISM). Under a grant from the Law Enforcement Assistance Administration, the Department of Corrections used the ISM computer program to provide a relative ranking of the identified criteria. Beginning with the highest priority classification criteria, a logic diagram, or decision tree, was constructed by the task force with the assistance of

outside consultants and staff from the Department's Bureau of Planning, Research, and Statistics. The decision tree acts as a screen through which each inmate must pass before reaching a level where sufficient information is known to make a final classification status assignment.

Once the decision-tree diagram was completed, the task of mapping the inmate groups, each signified by a terminal box, to custody assignments of close, medium, and minimum was addressed. The task force was instructed to locate each uniquely identified terminal box on a continuum with a scale of 0 to 100, where 0 was the "most minimum" custody assignment and 100 represented the "closest of the close" custody assignment. Staff of the Bureau of Planning, Research, and Statistics then converted this ranking of inmate groups to a scheme of weights for each element and sub-element. This weighting, in turn, would result in the assignment of a custody grade indicated on the decision-tree diagram. Field forms were then designed to allow staff responsible for classification decision-making to rapidly determine the appropriate custody grade of each inmate.

Classification System Implementation

Under a grant awarded by the National Institute of Corrections, the new classification system was pilot tested in five correctional facilities. The facilities represented large and small institutions; a full range of close, medium, and minimum custody inmates; a youthful offender facility; a female facility; facilities with high and low degrees of "outside labor" requirements; and statewide geographical distribution. In addition to the test sites, Florida's Adult Services Program Office selected three facilities as "controls" so that the results of the pilot tests could be compared to the existing method of inmate classification. The average number of inmates involved in both the pilot and control populations represented approximately 15% of the Department's inmate population during the test period.

In addition to the pilot test project, classification supervisors, superintendents, and staff at the pilot institutions were trained in the use of custody reclassification criteria in September 1979.

Assignment of custody levels by criteria was initiated in October 1979. Classification teams at the pilot sites were instructed to depart from routine classification schedules and intensify review activities to ensure that every inmate would be classified under the proposed criteria by January 1980. During the next six months, inmates at the pilot facilities who had been classified under the previous system received a second review, using the criteria according to the normal reclassification schedule. Reports of any modifications to custody as a result of exceptional or unscheduled reviews were reported using forms developed for the project.

In addition, staff prepared classification reports for inmates who escaped from non-pilot facilities between October 1979 and July 1980. While

these reports were limited to central office interpretation of data contained in inmates' jackets and did not reflect entries made by classification officers more familiar with inmates' current behavior, the collection of this information permitted at least a tentative analysis of variables that might be related to escape behavior.

Goals and Objectives

Both operational and performance goals were established for the new classification system. Operational goals included the following:

- Reflect the values of the professional staff responsible for classification decisions;
- Provide a structure based upon empirical offender data that can be substantiated by records of observable events;
- Reduce the amount of narrative reporting;
- Ensure that decisions made from the uniform criteria are consistent with state-of-the-art practices;
- Provide for the routine collection of offender data assumed to be relevant to the assessment of risk in the assignment of custody grade. In addition, capture and process data in a manner that will allow rigorous analysis and evaluation to determine the validity of the proposed criteria; and
- Identify and respond to changes within the inmate population relative to risk-related variables and allow for improved understanding of the classification process. In addition, permit the identification and assimilation of new criteria based upon input provided by professional and field staff.

With respect to performance goals, the following were developed:

- Increase the uniformity and consistency of inmate custody classifications through the use of standard, uniformly weighted criteria;
- Provide an opportunity to determine the predictability of the standard criteria using data-based methods;
- Increase the efficiency and reliability of the classification process;
- Improve the documentation of the classification process, providing for the clear identification of significant reasons for classification decisions; and

- Provide classification officers with feedback opportunities relating to the outcome of classification decisions.

Classification System Description

The Florida Department of Corrections' classification system is based upon a decision-tree model with an additive component.

Two classification forms are used by the Department to determine an inmate's custody status: the Initial Inmate Classification Questionnaire (see Figure 1), which is used to determine the first official assignment of custody at the conclusion of the reception process, and the Inmate Custody Reclassification Questionnaire (see Figure 2), which is used for all subsequent classification actions as required under Department policy and procedure. A third form, the Report of Inmate Classification Action (see Figure 3), is employed to summarize the action of the classification committee relative to inmate custody decision-making.

The Initial Inmate Classification Questionnaire consists of 14 questions about the inmate. These questions cover such areas as escape history, current offense, length of sentence, and use of intentional violence. The assignment of a standard, general-range custody status is based upon the total number of points given for each true statement about the offender.

It is important for the user to understand that the points for one question do not indicate the relative value or importance of that item when compared to any other question. In other words, the three points awarded in Question 12 because the inmate is determined to be sadistic does not imply that being sadistic is three times as important to classification as the one point received in Question 7 for a sentence of seven to ten years.

In using the Initial Inmate Classification Questionnaire, the officer simply begins at Section I, which includes five questions. This section has been designed to determine whether the inmate should be classified close custody for any single factor and carries a point value of ten. Section II consists of Questions 6 through 14. If ten points were not awarded in Section I, responses to the questions in this section will then place the inmate in one of three custody groups. Answer to questions in this section will provide a score from 0 to 17.

FLORIDA DEPARTMENT OF CORRECTIONS
INITIAL INMATE CLASSIFICATION QUESTIONNAIRE

SECTION I: Using a #2 pencil, black in the center of each circle on the score sheet corresponding to a true statement about the inmate being classified. Add the points for each marked circle to obtain a total score for items 1 through 5.

1. The inmate has been diagnosed by professional staff as:
 - a) Psychotic and not in a state of remission
 - b) Psychotic, but in a state of remission
2. The inmate is under sentence of death
3. The inmate received a life sentence with one or more 25 year mandatory requirements
4. The inmate has escaped during the last five years:
 - a) From a major institution, road prison, or vocational center/close custody at the time of escape
 - b) From close custody non-D.C. facility (i.e., jail)
 - c) From a major institution, road prison or vocational center/medium custody at the time of escape
 - d) From an other D.C. or non-D.C. facility/medium custody at the time of escape
 - e) From a major institution, road prison, or vocational center/minimum custody at the time of escape
 - f) From a C.C.C.
 - g) From an other D.C. or non-D.C. facility/minimum custody at the time of escape

If no entry was made in item 4, skip item #5, compute Section I score and GO ON TO ITEM 6.

5. The inmate escaped during the last five years with a modus operandi that involved:
 - a) Violence against D.C. staff
 - b) Taking a hostage of D.C. staff
 - c) Weapons
 - d) Violence against a private citizen
 - e) Taking as a hostage a private citizen
 - f) An organized plan
 - g) Assistance by D.C. staff
 - h) Assistance by a private citizen (accomplice)

THE POINT TOTAL FOR ITEMS 1 THROUGH 5 IS _____.

If the point total is greater than 10, place a "10" in the box. If the point total is less than 10, place the point value in the box indicating the score for Section I.

SECTION II: Continue to black in each circle at the beginning of a true statement about the inmate. Add the points for each marked circle to obtain a total score for items 6 through 14.

6. The inmate's primary offense of his/her current commitment is:

- a) Murder, 1st degree
- b) Murder, 2nd degree
- c) Manslaughter
- d) Arson
- e) Sexual Battery/Forcible Rape
- f) Robbery
- g) Aggravated Assault
- h) Armed Burglary
- i) Child Molesting
- j) Escape
- k) Riot
- l) Strike in Correctional Institution
- m) Kidnapping
- n) Mayhem
- o) Terrorist/Bombing Acts
- p) Possession Weapon in Prison
- q) Assault w/Intent to Kill
- r) Shooting into a Building
- s) Cruelty to Children
- t) Possession of Explosives
- u) Resisting an Officer
- v) Murder, 3rd Degree
- w) Other Violent Offenses
- x) Unarmed Burglary
- y) Larceny
- z) Auto Theft
- aa) Forgery
- bb) Narcotics
- cc) Incest
- dd) Aggravated Battery
- ee) Breaking and Entering
- ff) Possession of a Concealed Weapon
- gg) Manslaughter, Auto
- hh) Other Non-Violent Crimes

7. The inmate is under total length of sentence of:
(Add all sentences, either current or pending, and round off to the nearest year)
- a) Life or Death
 - b) 51 years or more
 - c) 21 - 50 years
 - d) 11 - 20 years
 - e) 7 - 10 years
 - f) 6 years
 - g) 5 years
 - h) 4 years
 - i) 3 years
 - j) 2 years
 - k) 1 year
8. His/her current offense involved intentional violence resulting in:
(Check only one)
- a) Death of a criminal justice officer
 - b) Death of a private citizen
 - c) Personal injury of a criminal justice official
 - d) Personal injury of a private citizen
 - e) Threat to a person
 - f) Property damage
9. The inmate has a verified history involving intentional violence that resulted in: (Check only one)
- a) Death of a criminal justice official
 - b) Death of a private citizen
 - c) Personal injury of a criminal justice official
 - d) Personal injury of a private citizen
 - e) Threat to a person
 - f) Property damage
10. The inmate has been sentenced consecutively to more than one three-year mandatory minimum sentence
11. It has been determined that the inmate currently has a need for one or more of the following programs:
- a) Psychiatric Counseling
 - b) Psychological Counseling
 - c) Drug Counseling
 - d) AA Counseling
 - e) Academic Program
 - f) Vocational Training
 - g) Other _____
Explain _____
 - h) Other _____
Explain _____

12. Based upon his performance/evaluations during the reception period or during jail or prison confinement preceding this admission, or if the verified available data from sources such as the PSI, indicates that the inmate has exhibited one of the following characteristics: (If the inmate's behavior is observed, place a mark in Column A; if professionally diagnosed, mark Column B. Check only one item a through i; others as needed)

- | <u>A</u> | <u>B</u> |
|----------|---|
| a) | Homicidal (If suspected, secure professional diagnosis) |
| b) | Sadistic (If suspected, secure professional diagnosis) |
| c) | Unable to handle stress |
| d) | Suicidal (If suspected, secure professional diagnosis) |
| e) | Subject to hallucination |
| f) | Paranoid (If suspected, secure professional diagnosis) |
| g) | Abusive |
| h) | Aggressive |
| i) | Deals in contraband |
| | |
| j) | Uses alcohol or drugs |
| k) | Non-Conformist |
| l) | Threatening |
| m) | Masochistic (If suspected, secure professional diagnosis) |
| n) | Retarded (If suspected, secure professional diagnosis) |
| o) | Manipulative |
| p) | Argumentative |
| q) | Pliable |
| r) | Lacks initiative |
| s) | Low tolerance for frustration |
| t) | Exhibits hostility with respect to authority |
| u) | Fails to accept responsibility for his own actions |
| v) | History of sex offenses |

POINTS MAY BE AWARDED FOR ITEMS MARKED IN EITHER COLUMN (A) OR (B) OR BOTH

NOTE:

If any items requiring professional diagnosis are observed by not confirmed, mark the score sheet by blackening in the circle on the score sheet labeled "unconfirmed." In addition, briefly describe the specific instances on back of score sheet.

13. Institutional adjustment during this reception period or detention period prior to admission has been continually less than satisfactory as evidenced by: (Check one)

- a) Disciplinary confinement or loss of gain time during his last period of incarceration (including jail confinement preceeding his current admission)
- b) Demonstrated lack of cooperation with institutional staff
- c) Demonstrated maladjustment or unadaptability to institutional routine/supervision

14. The inmate has made use of one of the following skills in jail or in the prison environment in an escape, escape attempt or assault within the last five years:

- a) Firearms
- b) Explosives
- c) Incendiaries
- d) Martial Arts
- e) Locksmith
- f) Electronics
- g) Weapons other than firearms
- h) Other _____

Explain: _____

Add all of the points awarded for items 6 through 14 and enter the score in the space provided on the score sheet entitled "Section II Total."

Summary:

Add the scores for Section I and Section II and enter the "Combined Total Score" in the space provided on the score sheet.

Note:

Enter combined total score on item #7 of the Report of Inmate Classification Action.

FLORIDA DEPARTMENT OF CORRECTIONS

INMATE CUSTODY RECLASSIFICATION QUESTIONNAIRE

SECTION 1 Using a No. 2 pencil, blacken the circle on the score sheet corresponding to a true statement about the inmate being reclassified. Add the points for each marked circle to obtain a total score for items 1 through 5.

1. The inmate has been diagnosed by professional staff as:
 - a. Actively psychotic (not in a state of remission).
 - b. Psychotic, but in a state of remission.
2. The inmate is under sentence of death.
3. The inmate received a life sentence with one or more 25 year mandatory requirements or has received any mandatory term exceeding 25 years and has served less than 40% of the total mandatory requirement.
4. The inmate escaped or was involved in an escape attempt during the last five years:
 - a. From a major institution, road prison or vocational center/close custody at time of escape.
 - b. From a close custody non-DC facility (i.e. jail)
 - c. From a major institution, road prison, or vocational center/medium custody at the time of escape.
 - d. From other DC or non-DC facility/medium custody at the time of escape.
 - e. From a major institution, road prison, or vocational center/minimum custody at the time of escape.
 - f. From a CCC.
 - g. From other DC or non-DC facility/minimum custody at time of escape.

If no entry was made in item No. 4, skip item No. 5, compute Section 1 score and GO ON TO ITEM No. 6.

5. The inmate escaped or was involved in an escape attempt during the last five years with a modus operandi that involved:
 - a. Violence against DC staff
 - b. Taking a hostage of DC staff
 - c. Weapons
 - d. Violence against a private citizen
 - e. Taking as hostage a private citizen
 - f. An organized plan
 - g. Assistance by DC staff
 - h. Assistance by a private citizen (accomplice)

THE TOTAL SCORE FOR ITEMS 1 THROUGH 5 IS

If the total score is greater than 10, place a "10" in the space provided; otherwise enter the score.

.....SECTION 1 TOTAL

SECTION II Continue to blacken the circle on the score sheet corresponding to a true statement about the inmate. Add the points for each marked circle to obtain a total score for items 6 through 13.

6. The inmate's primary offense of current commitment is (CHECK ONLY ONE)

- a. Murder, 1st Degree
- b. Murder, 2nd Degree
- c. Manslaughter
- d. Arson
- e. Sexual Battery/Forcible Rape
- f. Robbery
- g. Aggravated Battery
- h. Aggravated Assault
- i. Armed Burglary
- j. Child Molesting
- k. Escape
- l. Riot
- m. Strike in Correctional Institution
- n. Kidnapping
- o. Mayhem
- p. Terrorist/Bombing Acts
- q. Possession Weapon in Prison
- r. Assault w/Intent to Kill
- s. Shooting into a Building
- t. Cruelty to Children
- u. Possession of Explosives
- v. Resisting an Officer
- w. Murder, 3rd Degree
- x. Other Violent Offenses
- aa. Unarmed Burglary
- bb. Larceny
- cc. Auto Theft
- dd. Forgery
- ee. Narcotics
- ff. Incest
- gg.
- hh. Possession of a Concealed Weapon
- ii. Manslaughter, Auto
- jj. Other Non-Violent Crimes

7. The inmate is under total length of sentence of: (Add all sentences, either current or pending, and round off to the nearest year.)
- a. Life
 - b. 51 Years to Life
 - c. 21 - 50 Years
 - d. 11 - 20 Years
 - e. 7 - 10 Years
 - f. 6 Years
 - g. 5 Years
 - h. 4 Years
 - i. 3 Years
 - j. 2 Years
 - k. 1 Year
8. The inmate has served less than 20% of a definite sentence of 25 years or less OR less than 5 years of a life sentence or sentence greater than 25 years.
9. The inmate's current offense involved intentional violence resulting in: (check only one)
- a. Death of a criminal justice official
 - b. Death of a private citizen
 - c. Personal injury of a criminal justice official
 - d. Personal injury of a private citizen
 - e. Threat to a person
 - f. Property damage
10. The inmate has a verified history involving intentional violence that resulted in: (check only one)
- a. Death of a criminal justice official
 - b. Death of a private citizen
 - c. Personal injury of a criminal justice official
 - d. Personal injury of a private citizen
 - e. Threat to a person
 - f. Property damage

11. a. The inmate has been sentenced consecutively to more than one three-year mandatory minimum sentence, and the total not exceeding 15 years, has served less than 40% of the minimum requirement.
- b. The total composite mandatory sentence exceeds 15 years but is less than 25 years and the inmate has served less than 40% of the minimum requirement.

12. It has been determined that the inmate currently has a need for one or more of the following programs:

MARK A if needed and available, then indicate if inmate is participating in the program by MARKING C or not participating by MARKING D.

- a. Psychiatric Counseling
b. Psychological Counseling
c. Drug Counseling
d. AA Counseling
e. Academic Program
f. Vocational Training
g. Other (Explain)
h. Other (Explain)

If any item is checked in both Columns A and D, the score for item 12 is one point.

13. a. The inmate is more than 2 years from earliest expected release date on a sentence of more than 5 years.
- OR
- b. The inmate is more than 6 months from earliest expected release date on a sentence of less than or equal to 5 years.

ADD ALL OF THE SCORES FOR ITEMS 6 THROUGH 13 TO DETERMINE THE SECTION II TOTAL

SECTION III

14. Based upon performance/evaluations during current commitment, the inmate has one of the following behavior characteristics. If the inmate's behavior is observed, place a mark in Column A; if professionally diagnosed, mark Column B. Check only the most serious problem for a through i.

- a. Homicidal (if suspected, secure professional diagnosis)
- b. Sadistic (if suspected, secure professional diagnosis)
- c. Unable to handle stress
- d. Suicidal Act (if confirmed by professional diagnosis; note as standard protection exception and mark close)
- e. Subject to hallucination
- f. Paranoid (if suspected, secure professional diagnosis)
- g. Abusive
- h. Aggressive
- i. Deals in contraband
- j. Uses alcohol or drugs
- k. non-conformist
- l. Threatening
- m. Masochistic (if suspected, secure professional diagnosis)
- n. Retarded (if suspected, secure professional diagnosis)
- o. Manipulative
- p. Argumentative
- q. Pliable
- r. Lacks initiative
- s. Low tolerance for frustration
- t. Exhibits hostility with respect to authority
- u. Fails to accept responsibility for own actions

POINTS MAY BE AWARDED TO ITEMS MARKED IN EITHER COLUMN A OR B OR BOTH. If any items requiring professional diagnosis are observed but not confirmed, mark the score sheet by blackening in the circle labeled "unconfirmed". In addition, briefly describe the specific instances on the back of sheet.

15. Institutional adjustment during the last six months has been continually less than satisfactory as evidenced by: (check one)
- a. Has received disciplinary confinement or loss of gain time during last period of incarcerating including jail confinement
 - b. Demonstrated lack of cooperation with institutional staff
 - c. Demonstrated maladjustment or unadaptability to institutional routine/supervision.

16. Has had an unsatisfactory work rating during the last six months
17. The inmate has made use of one of the following skills in jail or the prison environment in an escape, escape attempt or assault within the last five years:
- a. Firearms
 - b. Explosives
 - c. Incendiaries
 - d. Martial arts
 - e. Locksmith
 - f. Electronics
 - g. Weapons other than firearms
 - h. Other

If the total score for items 14 through 17 is less than 4, place the score in the box provided. If the total score is greater than or equal to 4, place a "4" in the box for the SECTION III total.

SUMMARY

Add the score for Sections I, II, and III in the boxes provided below:

Section I Total

Section II Total

Section III Total

Combined Total Score:

NOTE: Enter combined total score on item No. II of the Report of Classification Action.

Custody Score

0 - 4

5 - 7

8+

Suggested Custody

Minimum

Medium

Close

REPORT of INMATE CLASSIFICATION ACTION

E-43

Following completion of Sections I and II, a general custody status will be determined for each inmate by using the following table:

<u>Custody</u>	<u>Score</u>
Minimum	0-3 points
Medium	4-5 points
Close	6 or more points

The Inmate Custody Reclassification Questionnaire (Figure 2) is completed in much the same fashion as the Initial Inmate Classification Questionnaire. The primary difference is a third section consisting of four questions related to institutional behavior. Point totals of 0 to 12 for this section will cause an additional 0 to 4 value to be added to the classification score derived from Sections I and II. Points given in Section III will generally cause the custody status to increase one full level from that derived by Section II (if not already close).

The third and final form used in carrying out the Florida classification process is the Report of Inmate Classification Action (Figure 3). This form is used to make a written record of the decision to assign or reassign a custody status of close, medium, or minimum to an inmate. It is used for reporting custody classification of inmates in major institutions, road prisons, vocational centers, and any other facility within the agency.

Classification staff can override the scored custody grade through the use of standard exceptions. These include exceptions for three major areas: exceptional supervision requirement, presence of an identified pressure situation, and existence of an outstanding warrant or detainer. Specific reasons for overrides due to the exceptional supervision requirement are discussed later under Classification System Use for Special Management Inmates. If the standard exceptions included under these three areas are not applicable to an override of the scored custody grade, then departure from that grade may be accomplished via an open-ended reason. However, these reasons must be thoroughly described, documented, and approved by supervisory personnel.

With respect to acceptance of the system by classification staff as determined by the override rate, the pilot test, which involved an assessment of 2,630 classification reports, determined that 29.2% were classified by exception, with 20.8% of the exceptions calling for an increase in custody and 8.4% recommending a reduction.

Classification System Administration and Management

Initial classification is conducted at the Department's four reception centers. New admissions are scored by classification specialists, who also function as case managers, and inmates' initial classification scores are then

entered into the data base at the local level. If classification staff disagree with the scored custody grades, they can override the scores through standard exceptions without central office approval. Such exceptions are also entered into the data base at the institutional level. Classification decisions made at the reception centers are later reviewed at the facilities to which inmates have been assigned.

Reclassification occurs every six months or upon transfer to another facility. The process closely resembles that used at initial classification, with additional consideration given to inmates' adjustment. Scores are computed at the institutional level by classification specialists, and exceptions can be made, again without central office approval. Reclassification decisions are added to the data base, forming a "running log" of inmates' evaluations during confinement.

Classification System Cost

For the most part, expenditures for the development and implementation of Florida's objective classification system were covered by two grants from the National Institute of Corrections, totaling approximately \$200,000. The first grant funded a department-wide pilot project related to the development of a uniform inmate classification system. The second was used in evaluating this system. Direct costs to the agency were limited primarily to staff time and travel expenses.

Classification System Effectiveness

The most extensive assessment of the effectiveness of the Department's classification system was completed in February 1981 by the Bureau of Planning, Research, and Statistics. This evaluation, which reported the results of the pilot program, concentrated on two major areas. The first was an assessment of whether the system was meeting its operational goals. The second was an evaluation of the performance of the classification criteria, with concern focused on custody assignments, escape attempts, assaults, and other performance variables related to custody classification.

The scope of the evaluation was limited to the standard custody criteria employed in reclassification of inmates who were in the prison system longer than six months. The evaluation produced the following findings:

- The custody criteria were generally accepted by field staff as a legitimate basis for assigning inmate security levels;
- The system resulted in a more efficient assignment of custody grades in pilot institutions, with a reduction in close custody in these facilities; and

- There was no substantially adverse effect on the rates of escape, assault, or major disciplinary actions, although there was a slight reduction in assaults and major disciplinary infractions during the test period.

The evaluation also determined that while the override rate was approximately 30%, it would gradually be reduced as staff acquire more proficient understanding and trust of the new classification criteria. In fact, the evaluation concluded that it would never be desirable to have more than 85% of all classification decisions made using the derived custody score grade. This would imply that classification staff are not reviewing each case or are simply defaulting to the criteria without giving the system or the inmate the benefit of professional judgement and input.

Classification System and Special Management Inmates

The classification system does not specifically address the diagnostic and assessment needs of special management inmates, such as those requiring protective custody or administrative segregation or those judged to be mentally ill or mentally retarded. It does, however, provide for the use of standard exceptions to the scored custody grade for inmates appearing to have an exceptional supervision requirement. These exceptions include inmates who are informants known to the general population, inmates who require restraint for assaultive behavior, inmates who require restraint for homosexual behavior, inmates who need personal protection, and inmates whose past criminal record indicates affiliations with organized crime, political terrorists, organized crimes, or known violent activist groups.

Classification System and Female Inmates

The Department of Corrections classification system applies to female inmates in the same manner as it does to male inmates. Unlike many systems that pilot tested their new classification approaches without attempting to address the needs of female offenders, the Florida Department of Corrections pilot tested its system using an entire female facility, the Broward Correctional Institution for Women. The females at this institution were divided in half, one unit classified using the Department's previous approach while the other was classified according to the new system. This division was made in an attempt to isolate administrative variables that could affect data on assaults, escapes, and disciplinary reports when comparing performance over time among facilities.

Classification System and Planning

Direct application of the classification system to agency planning has so far been relatively limited. However, the new system has been useful in determining general principles of need. In particular, it has been employed to project program requirements for the prisoner population. Since the system

is believed to be classifying inmates appropriately, it is anticipated that the system will continue to be used to provide an accurate gauge of various inmate needs.

OBJECTIVE PRISON CLASSIFICATION SYSTEM CASE STUDY: ILLINOIS

INTRODUCTION

In response to a growing population and corresponding demand on effective placement decisions and capacity utilization, the Illinois Department of Corrections has developed and implemented an empirically based, objective classification system to meet its unique needs. This system uses weighted criteria to determine risk levels and security requirements for adult male prisoners. A reclassification component provides for continual monitoring of these factors and assessment of transfer prerequisites. Specially designed instruments are also used to identify candidates for placement in community correctional centers and to assign supervision levels through the parole phase of custody. In addition, the Department has developed a separate classification system for female inmates, one which is based on a process similar to that for males but employs different scoring criteria. The initial classification system and the supervision case classification system have undergone formal evaluations, which led to improvements in the systems. The community correctional system is currently under evaluation and modification. The reclassification system is scheduled for a process evaluation and initial classification will be revalidated in 1986. The staff generally view the system as having met its goals of providing a standardized procedure for classification decision-making and placing inmates in the lowest security level consistent with public safety.

OBJECTIVE PRISON CLASSIFICATION SYSTEM DESCRIPTION

Origin and Development

Historically, the classification of inmates among security levels in Illinois state prisons was based upon subjective criteria with little evaluation of outcome. Classification was principally a caseworker decision, using guidelines that were commonly perceived to be logical, but were unsubstantiated by empirical investigation. While classification decisions were reviewed by a designated Transfer Coordinator, the basis of his decisions was similarly subjective. Such subjective evaluations tended to be conservative, and consequently costly, and the decisions often classified inmates inappropriately.

In 1978 a riot occurred at the maximum security institution located at Pontiac, resulting in the deaths of three officers. Subsequently, the Director of the Department of Corrections and other key leaders were removed from office. In early 1979, the newly appointed Director established as a priority the functions of research, planning, and policy analysis. Classification was part of this endeavor. Federal assistance was requested to study the Department's classification system.

In evaluating the system, it was found that classification decisions were inconsistent system-wide and that an emphasis on type of offense and length of sentence, caused by a lack of other information, resulted in overclassifications. It was also found that a predominance of available bed space within maximum security institutions led to classification of inmates where space was readily obtainable, thus augmenting the tendency to overclassify. Moreover, the failure of the system to provide for regular, systematic review often led to inmates becoming "lost" within the system.

These findings prompted the Director to appoint a committee to develop a new adult male inmate classification system. Development of the new system involved two phases, the first rather exploratory and the second highly structured and scientific.

Phase I was initiated when the Deputy Director of Policy Development was designated Project Director. The Deputy Director, along with a committee of wardens, was to consider three alternative means by which to develop a new system: adoption of the Federal Prison System classification system, review of other state systems for adoption, and development of an eclectic system for Illinois.

After the committee had studied each alternative, a tentative decision was reached to develop a unique Illinois classification system. Attention was directed toward identification of an instrument that would provide for uniform and objective classification decision-making. However, the committee never reached consensus on the variables that would comprise the instrument, and the committee chair finally proposed an instrument he had developed. This system, an additive one, weighed three factors very heavily: nature of current offense, length of sentence, and age of first arrest. The system was rejected by the committee, as were five subsequent drafts. The development effort came to a halt.

It was restarted as Phase II in April 1981 after the appointment of a new Deputy Director of Policy Development. While continuing to work with the committee of wardens, she provided a highly structured approach to the development of a classification system. The system's purpose, goals, and objectives were clearly delineated, and an analysis of research related to offender classification was undertaken.

In addition to providing objectivity, the instrument was to delineate each inmate's security requirements and psycho-social needs. A codified score sheet was to frame the decision-making process. Efforts were also directed at identifying variables that provided some predictive accuracy of an inmate's risk to escape or incur disciplinary infractions.

Two dependent variables were identified for analysis of predictive quality: the inmate's total institutional violations over time as a predictor of problem behaviors and the seriousness of the inmate's violations as an

indicator of his potential for dangerous behavior. Data were gathered, via a post-dictive random sample stratified by offense class, on inmates released to supervision. Data collected included offense history, institutional violations, transfers, security changes, and special housing assignments. These were codified as independent variables and subjected to regression analysis. Factors demonstrating a strong relationship to the dependent variables were identified and weighted according to the relative strength of their relationship. Using these weighted factors, the classification instrument, in its most basic form, was established.

This instrument was then defined, tested, and implemented. This process involved field testing the instrument. Reception and classification (R & C) staff were trained in its use, and for 30 days they scored all new inmates and recommended assignments in accordance with the decisions indicated by the instrument. Similar to previous procedures, the recommendations were reviewed and approved by the Transfer Coordinator. This test yielded three important discoveries: (1) R & C staff had not classified inmates properly under the old system; (2) when outcomes of classification decisions based on the old and new systems were compared, they were found to be inconsistent; and (3) the new classification system did result in a lower classification of inmates.

Testing of the instrument was continued using the two dependent variables. A research consultant was employed to make further statistical refinements to the instrument. After the predictive accuracy of the instrument was substantiated, the Planning Unit engaged in a stratified random sampling of inmates who had exited the system, which further confirmed the instrument's predictability.

In addition to predicting risk, the Illinois system was designed to "match" the offender to an institution. Thus, it was necessary to identify each institution's security and programmatic resources. A survey was provided the wardens of all Illinois institutions for completion. The results were incorporated into a matrix to be used in conjunction with the classification instrument.

A classification manual was subsequently developed, and by October 1981, approximately six months after Phase II had been initiated, the Adult Male Classification System was ready to be implemented. Development of a reclassification instrument was not initiated at this time because large staff resources were taken from the classification effort and diverted to the Department's Prison Overcrowding Project. However, attention was refocused on reclassification after a legal challenge to the process.

In April 1983, under a grant from the National Institute of Corrections, a core committee was established to develop a reclassification instrument. The objectives of this group were the same as in the initial classification project, although concentration of effort was to be in identifying behavioral characteristics and special needs of importance after assignment to an

institution, as well as prerequisites for transfer. Consequently, the core committee was composed largely of field service representatives and specialists in clinical services.

The framework for development approximated that used in initial classification. Objectives were determined and used as a basis for identification of the variables to be employed in the reclassification instrument. Instrument design followed. After field testing on a 10% random sample, the system was accepted.

Staff of the Illinois Department of Corrections were visited in February 1985 and asked to comment on the development of the new classification system. Responses suggest acceptance of the system and insightful recognition of developmental weaknesses and strengths.

Staff note several areas in which development could have been improved. They point out, for example, that use of an integrated and automated data base reduces developmental time. Data were hand collected in Illinois, and this procedure resulted in a large resource inefficiency and delayed the project's completion. Noting that development was interrupted by commitments to other projects, staff also emphasize the importance of identifying and maintaining necessary project resources. Similarly, staff also stress the importance of including both formal and informal leaders in major systemic developments.

These weaknesses, however, are balanced by numerous positive perceptions of the development process. Staff praise the commitment to the project evidenced by top organizational leaders, which acted to reduce resistance to change. Staff also express favorable reaction to the use of research during the design phase. This research enhanced the credibility of the instrument and tended to reduce the disputes inherent in consensual identification of predictive variables. Finally, staff commend the judicious use of consultants in developing the new system. Consultants were limited to an analytical rather than a functional role, thus precluding a project void after their departure.

Classification System Implementation

Implementation of the Adult Male Initial Classification System, which began in November 1981, also spanned six months, with validation and revision of the instrument requiring another three months.

A new nine-member committee was established to guide the implementation of the classification system. The committee, more heterogenous than that preceding it, represented those most closely involved in the new process: four assistant wardens, a representative from the Division of Research and Planning, the Transfer Coordinator, the manager of information systems, a Warden from a minimum security facility, and the Deputy Director of Policy Development, who served as chair.

The mission of the committee was to ensure standardization of the R & C process via the instrument and development of an interface with data processing. It was also necessary to revise the R & C intake process, as space constraints would allow only a 10 to 15-day processing period rather than the previous 30 days. Another chief objective was to provide for the automation of data. Until May 1982, all data were hand collected. Automation provided for data base improvements and established an efficient means by which the success and reliability of the instrument could be continuously monitored.

R & C staff, however, found the proposed instrument to be objectionable because it heavily weighed the age of the inmate, resulting in the maximum security confinement of many youthful offenders. Steps were immediately taken to address this concern. The instrument was re-evaluated, and testing indeed suggested an overconsideration of the age variable. Accordingly, the instrument was revised. Implementation of the reclassification system, as noted earlier, did not begin until approximately two years after the initial classification process was put into operation. In the spring of 1984, an academy trainer visited field users to instruct on instrument usage. Field staff recommendations emanating from the training were returned to the core committee, and adjustments made.

The reclassification system was put into full operation in June 1984, a little over a year after implementation was begun. Validation of the instrument is a current project, but staff indicate that it has been effective in identifying inmates for transfer.

In regard to the implementation process itself, staff interviewed in February 1985 expressed mixed reactions. For instance, responsiveness by the core committee to field concerns and inquiries regarding the instrument's design is perceived as having enhanced the system's acceptance and lessened resistance. Early in the classification effort, field advice was not considered--and the first system was never accepted nor a consensus reached on predictive variables. During implementation, however, field objections to the age variable were not only considered but also led to an improvement in the number of administrative overrides. Incorporation of this feedback did much to enhance the instrument's credibility and acceptability to staff. On the other hand, some staff believe implementation of the new system was hindered somewhat by turnover in the Transfer Coordinator position. The Illinois project now has its third Coordinator, one who was not involved in the development of the new system. A lack of involvement in developing the system has made it difficult for him to acquire an intimate familiarity with fundamental systemic concepts that can be transferred to many smaller and day-to-day decision matters.

Goals and Objectives

Four major goals were defined for the Illinois classification system:

- (1) Develop a department-wide system for classification decision-making.
- (2) Place inmates in the lowest level security classification possible while protecting public safety.
- (3) Impact institutional programming through a more effective allocation of resources.
- (4) Improve the management and service delivery of the Department through the use of classification designations.

Classification System Description

The Illinois Adult Male Classification System is a predictive system that includes components for initial classification and reclassification. The initial component is designed to determine inmate risk and security levels; the reclassification component is used to assess the appropriateness of reassigning inmates to less (or more) secure facilities. These components are supplemented by a matrix that enables staff to match prisoners with institutions meeting their security needs.

Initial classification is based on a predictive scoring instrument that is completed by Reception and Classification (R & C) staff. (See Figure 1.) The instrument is composed of several weighted criteria, which are objectively scored to establish an inmate's security requirements. Part of these criteria are aimed at identifying an inmate's adjustment potential. These include age at admission, number of prior convictions, current offense, and escape history. The remaining criteria--severity of current offense, employment history, age, violence of current offense, and expected length of stay--are used to predict dangerous behavior. Thus, each inmate receives an adjustment and a dangerousness score. Staff use these scores in conjunction with a security level designation matrix (Figure 2) to determine placement. This placement recommendation is then forwarded first to the R & C Supervisor and later to the Transfer Coordinator for review and approval. If an R & C counselor disagrees with the security level designation, he or she can recommend in writing that it be overridden. Such a recommendation, usually due to administrative concerns, is then sent to the Transfer Coordinator for review and final decision. Available bed space may also alter placement based on the security level designation.

Reclassification is conducted annually for each inmate or as requested by an inmate or management. A primary means of evaluating prisoners' changing security and special needs is the security designation instrument, which is scored at the institutional level by a clinical counselor. Focusing on

UN DATE: 10/21/85 RECEPTION CLASSIFICATION REPORT # 6
CENTRALIA (12)

NAME: IDOC NUMBER: .

EVALUATION DATE: _____

*** SECURITY DESIGNATION ***

ADJUSTMENT SCORE

1. A. AGE AT CURRENT ADMISSION _____

(SUBTRACT 14 FROM CURRENT AGE) - 14
=====

B. AGE AT ADMISSION SCORE _____

(ENTER THIS VALUE IN THE SPACES
UNDER COLUMN B FOR 2, 3, 4)

SEE CODE SHEET A FOR 2-5

ROUND CALCULATIONS 2-4 TO THE NEAREST WHOLE NUMBER)

CONVICTIONS X WT/AGE AT ADMISSION SCORE _____

(COLUMN A)

(COLUMN B)

(COLUMN C)

2. NUMBER OF CONVICTIONS
(NOT INCLUDING CURRENT) _____

X 20/ _____

=

_____ (A)

3. VIOLENCE RATIO SCORE _____

X 10/ _____

=

_____ (B)

4. ADJUSTMENT RATIO SCORE _____

X 30/ _____

=

_____ (C)

5. ESCAPE/ABSCONDING SCORE

ENTER 5 AT (C) IF EVER CONVICTED OF ESCAPE OR ABSCONDING FROM A
PRIOR SUPERVISION OR INCARCERATION, OTHERWISE ENTER 0 (ZERO)

_____ (D)

6. CURRENT OFFENSE SCORE

ENTER 10 AT (E) IF SERIOUSNESS OF CURRENT OFFENSE RATES
6 THROUGH 7 ON CODE SHEET B, OTHERWISE ENTER 0 (ZERO)

_____ (E)

7. PRIOR SUPERVISION HISTORY

ENTER 5 AT (F) IF THERE WAS A TECHNICAL VIOLATION OR NEW
OFFENSE WHILE ON SUPERVISION, OTHERWISE ENTER 0 (ZERO)

_____ (F)

8. TOTAL ADJUSTMENT SCORE

ADD 2 THROUGH 7, ENTER AT (G)

_____ (G)

RUN DATE: 10/21/85 RECEPTION CLASSIFICATION REPORT # 6
CENTRALIA (12)

NAME: IDOC NUMBER:

DANGEROUS SCORE

9. CURRENT OFFENSE SERIOUSNESS
ENTER 10 AT (H) IF SERIOUSNESS OF CURRENT OFFENSE RATES 5 OR
HIGHER FROM CODE SHEET B, OTHERWISE ENTER 0 (ZERO) _____ (H)

10. EMPLOYMENT SCORE
ENTER 10 AT (I) IF UNEMPLOYED PRIOR TO THE COMMISSION OF THE
OFFENSE; IF FULL TIME, PART TIME OR PARTIALLY EMPLOYED,
ENTER 0 (ZERO) _____ (I)

11. AGE SCORE
ENTER 7 AT (J) IF 22 OR UNDER, OTHERWISE ENTER 0 (ZERO) _____ (J)

12. VIOLENT OFFENSE SCORE
ENTER 5 AT (K) IF A PRIOR CONVICTION FOR VIOLENCE AGAINST A
PERSON, OTHERWISE ENTER 0 (ZERO) _____ (K)

13. EXPECTED LENGTH OF STAY
ENTER 3 AT (L) IF EXPECTED STAY IS GREATER THAN 3 YEARS,
OTHERWISE ENTER 0 (ZERO) _____ (L)

14. TOTAL DANGEROUS SCORE
ADD 9 THROUGH 13, ENTER AT (M) _____ (M)

RUN DATE: 10/21/85 RECEPTION CLASSIFICATION REPORT # 6
CENTRALIA (12)

NAME: IDOC NUMBER:

*** INITIAL SECURITY DESIGNATION ***

15. ADJUSTMENT SCORE RANGE

6 = LOW 0-11
3 = MODERATE 12-29
1 = HIGH 30+

(N)

16. DANGEROUS SCORE RANGE

6 = LOW 0-17
3 = MODERATE 18-21
1 = HIGH 22+

(O)

17. SECURITY LEVEL DESIGNATION
(SEE CODE SHEET C)

(P)

18. COUNSELOR'S COMMENTS:

19. COUNSELOR'S SIGNATURE AND DATE:

SIGNATURE

CODE

DATE

20. R & C SUPERVISOR'S REVIEW:

INITIALS

RUN DATE: 10/21/85 RECEPTION CLASSIFICATION REPORT # 6
CENTRALIA (12)

NAME: IDOC NUMBER:

*** PLACEMENT CONCERNS ***

- *****
1. CRITICAL SPECIAL NEEDS REQUIRING PLACEMENT CONSIDERATION: _____ (A)
- A. NONE.....ENTER 0
- B. MEDICAL PLACEMENT.....ENTER 1
- C. MENTAL HEALTH PLACEMENT.....ENTER 2
- D. PHYSICAL IMPAIRMENT.....ENTER 3
- E. OTHER SPECIAL NEED WHICH AFFECTS PLACEMENT..ENTER 4
(MUST DOCUMENT IN SUMMARY REPORT)
- *****

- *****
2. ADMINISTRATIVE CONCERNS REQUIRING PLACEMENT CONSIDERATIONS: _____ - _____ - _____
(B) (C) (D)
- A. NONE.....ENTER 0
- B. KEEP SEPARATE FROM.....ENTER 1
- C. KNOWN GANG AFFILIATION.....ENTER 2
- D. MAJOR CRIMINAL CHARGES PENDING.....ENTER 3
- E. PROTECTIVE CUSTODY/SAFEKEEPING.....ENTER 4
- F. THREAT TO INSTITUTION SECURITY.....ENTER 7
- G. UNDERRATED SECURITY DESIGNATION SCORE.....ENTER 3
- H. OTHER ADMINISTRATIVE CONCERN.....ENTER 9
(MUST DOCUMENT IN SUMMARY REPORT)
- *****

- *****
3. SECURITY LEVEL RECOMMENDATIONS:
- SECURITY LEVEL FROM 17 (F) _____ (E)
- R & C RECOMMENDED CHANGE OF SECURITY LEVEL (COMMENT AT 5) _____ (F)
- *****

EXPLANATION OF CLASSIFICATION ACTION: _____ (G) _____ (H) _____ (I)

- A. SECURITY LEVEL - TOO HIGH.....ENTER 1
- B. SECURITY LEVEL - TOO LOW.....ENTER 2
- C. ADMINISTRATIVE CONCERNS REQUIRES
SPECIAL PLACEMENT.....ENTER 3
- D. CRITICAL NEEDS REQUIRES SPECIAL PLACEMENT.....ENTER 4
- E. INITIAL SECURITY LEVEL RAISED DUE TO INSTITUTION
DISCIPLINARY ACTION DURING RECEPTION.....ENTER 5
- *****

5. WRITTEN EXPLANATION OF DISAGREEMENT:

COUNSELOR'S SIGNATURE _____

CODE _____

RUN DATE: 10/21/85 RECEPTION CLASSIFICATION REPORT # 6
CENTRALIA (12)

NAME: IDOC NUMBER:

6. PLACEMENT RECOMMENDATIONS:

INSTITUTION
CODE

RANK ORDER OF RECOMMENDED INSTITUTION PLACEMENT

#1 _____

_____ (J)

#2 _____

_____ (K)

#3 _____

_____ (L)

COUNSELOR'S SIGNATURE CODE

(M)

R & C SUPERVISOR'S SIGNATURE

(N)

7. TRANSFER COORDINATOR'S ACTION:

_____ (A)

1 = CONCURS 2 = DOES NOT CONCLR

INSTITUTIONAL PLACEMENT

_____ (B)
CODE

8. FINAL SECURITY DESIGNATION LEVEL

_____ (C)

EXPLANATION OR SEE ATTACHED MEMO _____ (D)

CODE SHEET C

SECURITY LEVEL DESIGNATION

Initial Reception Classification Matrix

Dangerous Scale

		Low (0 - 17)	Moderate (18-21)	High (22 +)
		6	3	1
A D J U S T M E N T S C A L E	Low (01-11) 6	6	4	2
	Moderate (12-29) 3	4/5*	3	2
	High (30 =)	3	2	2

Maximum = 2

Medium = 5, 4, 3

Minimum = 6, 7

Decision Logic: If the inmate is under 21 and first commitment or had a poor prior institutionalization, then security level is 4; otherwise security level is 5.

GM:rf

institutional adjustment, it assesses inmates relative to such criteria as number of days sentenced to segregation, number of primary assignments, and gang-related activity, as well as factors related to current offense and age. Also considered in the reclassification process are critical special needs and administrative concerns. Based on this information and the institutional matrix, the counselor can recommend transfer to another facility or continued assignment at the current one. If transfer is advised, the counselor can rank institutions considered for reassignment. All reclassification data and recommendations are collected into a single document (Figure 3) and sent to the Clinical Services Supervisor for verification. The recommendation is then voted on by the Institutional Assignment Committee and given to the warden for approval. Final responsibility for transfer authorization lies with the Transfer Coordinator.

Classification System Administration and Management

The institutional counselors and clinical staff have responsibility for review and recommendations of security level designation and placement. Their recommendations are reviewed and approved or denied by the Transfer Coordinator, who reports to the Deputy Director of Adult Institutions. This position reports to the Director of the Illinois Department of Corrections.

The Chief Records Officer is responsible for maintaining records of all classification actions through the Records Office function located in all institutions. This includes both manual file maintenance and electronic data entry. The Records Office function maintains all manual inmate files; the Data Processing Unit is responsible for the maintenance of all electronic files.

The classification system is monitored by the Bureau of Administration and Planning, Planning and Budget Section. A full-time staff position in the Planning and Budget Unit is responsible for monitoring, reporting, and resolving problems with the system.

The Transfer Coordinator and the Manager of the Planning and Budget Section share joint responsibility for the successful operation of the classification system. This division of responsibility between daily operation and development and validation has proven to be effective in meeting all concerns. It allows Adult Division personnel to focus on management requirements while the objective aspects of the system are developed and maintained from a research perspective, thus providing a built-in system of checks and balances.

Classification System Cost

The classification system was funded by an initial grant from the Illinois Law Enforcement Commission followed by a grant from the National Institute of Corrections. Departmental resources contributed to the project

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS

PAGE

1

CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #3

STATEVILLE

01

NAME:

IDOC NUMBER:

1. COUNT THE NUMBER OF DAYS SENTENCED TO SEGREGATION IN THE LAST 6 MONTHS. ADD THIS TOTAL TO THE NUMBER OF DAYS SERVED IN SEGREGATION DURING THE LAST 6 MONTHS TO WHICH THE INMATE WAS SENTENCED PRIOR TO THE BEGINNING OF THIS PERIOD. THIS INFORMATION IS OBTAINED FROM THE MASTER FILE. ENTER THE TOTAL IN (A). ENTER THE APPROPRIATE CODE IN (B).

_____ (A) _____ (B)

A. 15 DAYS OR MORE, ENTER 20.

B. 5 TO 14 DAYS, ENTER 10.

C. 0 TO 4 DAYS, ENTER 0.

2. CURRENT SECURITY LEVEL:

A. MAXIMUM SECURITY (1,2), ENTER 7.

_____ (C)

B. MEDIUM MINIMUM, ENTER 0.

3. ENTER THE NUMBER OF PRIMARY ASSIGNMENTS IN THE LAST SIX MONTHS IN (C). THIS IS OBTAINED FROM THE ASSIGNMENT HISTORY, REPORT # 2, OR THE MASTER FILE.

ENTER THE APPROPRIATE CODE IN (E).

A. 7 OR MORE PRIMARY ASSIGNMENTS, ENTER 10.

_____ (D) _____ (E)

B. LESS THAN 7 PRIMARY ASSIGNMENTS, ENTER 0.

4. CURRENT AGE OF THE INMATE:

A. TWENTY-TWO OR YOUNGER, ENTER 3.

_____ (F)

B. TWENTY-THREE OR OLDER, ENTER 0.

5. A DOCUMENTED ESCAPE FROM A FEDERAL, STATE OR COUNTY CORRECTIONAL CENTER THAT RESULTS IN A CRIMINAL CONVICTION OR HAS BEEN ABSENT FROM A COMMUNITY CORRECTIONAL CENTER FOR MORE THAN 24 HOURS.

_____ (G)

A. ONE OR MORE ESCAPES, ENTER 6.

B. NO ESCAPE HISTORY, ENTER 0.

6. CURRENT OFFENSE SCORE:

A. CURRENT OFFENSE IS VIOLENCE AGAINST A PERSON, ENTER 3.

_____ (H)

B. OTHERWISE, ENTER 0.

7. GANG ACTIVITY SCORE:

A. THERE IS DOCUMENTED EVIDENCE THAT INMATE ACTIVELY PARTICIPATES IN GANG ACTIVITIES, ENTER 2.

_____ (I)

B. OTHERWISE, ENTER 0.

8. TOTAL SCORE:

ADD 1 THROUGH 7.

_____ (J)

9. SECURITY DESIGNATION:

POINTS SECURITY RATING CIMIS CODE

0-3 MINIMUM 6

_____ (K)

4-12 LOW MEDIUM 5

13-17 MEDIUM 4

18-23 HIGH MEDIUM 3

24-HIGHER MAXIMUM 2

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS

PAGE 2

CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #3

STATEVILLE

01

NAME:

IDOC NUMBER:

10. COUNSELOR'S COMMENTS CONCERNING THE ABOVE NINE ITEMS - NARRATIVE.

11. COUNSELOR'S SIGNATURE AND DATE

CODE

DATE

12. SUPERVISOR'S REVIEW:

INITIALS

AME:

01
IDOC NUMBER:

1. CRITICAL SPECIAL NEEDS REQUIRING PLACEMENT CONSIDERATION:
(MUST DOCUMENT IN ITEM # 6A)

A. NONE	ENTER 0	_____ (A)
B. MEDICAL PLACEMENT	ENTER 1	
C. MENTAL HEALTH PLACEMENT	ENTER 2	
D. PHYSICAL IMPAIRMENT	ENTER 3	
E. OTHER SPECIAL NEED WHICH AFFECTS PLACEMENT	ENTER 4	

2. ADMINISTRATIVE CONCERNS REQUIRING PLACEMENT CONSIDERATIONS:
(MUST DOCUMENT IN ITEM # 6A-E)

A. NONE	ENTER 0	_____ (B)
B. KEEP SEPARATE FROM	ENTER 1	
C. KNOWN GANG AFFILIATION	ENTER 2	
D. MAJOR CRIMINAL CHARGES PENDING	ENTER 3	_____ (C)
E. PROTECTIVE CUSTODY/SAFEKEEPING	ENTER 4	
F. THREAT TO INSTITUTION SECURITY	ENTER 5	
G. UNDERRATED SECURITY DESIGNATION SCORE	ENTER 6	
H. OTHER ADMINISTRATIVE CONCERN	ENTER 7	_____ (D)

3. SECURITY LEVEL RECOMMENDATIONS:

CURRENT SECURITY LEVEL _____ 2 (E)

IF CURRENT INCARCERATION TOTALS SIX MONTHS OR MORE,
ENTER SCORED SECURITY DESIGNATION FROM REPORT # 3, 9(K) _____ (F)

RECOMMENDED CHANGE OF SECURITY LEVEL: COMMENT IN ITEM # 6 _____ (G)

4. EXPLANATION OF CLASSIFICATION ACTION:

A. NO CHANGE RECOMMENDED	ENTER 0	_____ (H)
B. SECURITY LEVEL - TOO HIGH	ENTER 1	
C. SECURITY LEVEL - TOO LOW	ENTER 2	
D. ADMINISTRATIVE CONCERNS REQUIRES SPECIAL PLACEMENT	ENTER 3	_____ (I)
E. CRITICAL NEEDS REQUIRES SPECIAL PLACEMENT	ENTER 4	
F. IMPROVEMENT IN BEHAVIOR WARRANTS OVERRIDE	ENTER 5	
G. SERIOUS BEHAVIOR PROBLEMS WITHIN PAST YEAR WARRANTS OVERRIDE	ENTER 6	_____ (J)
H. GOOD ADJUSTMENT WARRANTS OVERRIDE	ENTER 7	

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS

PAGE 2

CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #4

STATEVILLE

01

NAME:

IDOC NUMBER:

5. PLACEMENT RECOMMENDATIONS:

RANK ORDER OF RECOMMENDED INSTITUTION

INSTITUTION

CODE

1. _____

_____ (K)

2. _____

_____ (L)

3. _____

_____ (M)

6A. ADDITIONAL INFORMATION AND COMMENTS

INCLUDE ALL NICKNAMES, AKA'S, AND GANG AFFILIATIONS:

6B. INSTITUTIONAL ADJUSTMENT HISTORY:

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS

PAGE 3

CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #4

STATEVILLE

01

NAME:

IDOC NUMBER:

6C. PURPOSE OF TRANSFER:

6D. KNOWN ENEMIES/RAP PARTNERS (NAME, NUMBER, LOCATION:)

6E. ESCAPE RISK: YES _____ (N) NO _____ (D)
IF YES, EXPLAIN FULLY:

7. COUNSELOR'S SIGNATURE:
COMMENTS:

COUNSELOR'S SIGNATURE

(P)

E-65

DATE

CODE

(Q)

8. SUPERVISOR'S REVIEW:

1=CONCURS

2=DOES NOT CONCUR

COMMENTS:

SECURITY LEVEL

PLACEMENT RECOMMENDATION

(R)

(S)

SUPERVISOR'S SIGNATURE

DATE

9. ASSIGNMENT COMMITTEE ACTION:

1=CONCURS

2=DOES NOT CONCUR

VOTE

NAME	TITLE	DATE	SECURITY	PLACEMENT
-----	-----	-----	-----	-----
-----	-----	-----	-----	-----
-----	-----	-----	-----	-----
-----	-----	-----	-----	-----
-----	-----	-----	-----	-----
-----	-----	-----	-----	-----
-----	-----	-----	-----	-----
-----	-----	-----	-----	-----

COMMENTS:

COMMITTEE VOTE: (T) (U)

IF A NONCONCURRENCE IS VOTED

ENTER RECOMMENDATION:

SECURITY LEVEL (V)

PLACEMENT

(W)

(X)

(Y)

(INSTITUTION)

(CODE)

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS

PAGE 5

CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #4

STATEVILLE

01

NAME:

IDOC NUMBER:..

10. WARDENS ACTION:

1=CONCUR

2=DOES NOT CONCUR

SECURITY LEVEL

_____(Z)

PLACEMENT RECOMMENDATION

_____(AA)

COMMENTS:

WARDENS SIGNATURE

DATE

11. TRANSFER COORDINATOR'S ACTION:

1=CONCURS 2=DOES NOT CONCUR

SECURITY LEVEL

_____(A)

PLACEMENT RECOMMENDATION

_____(B)

FINAL SECURITY

_____(C)

INSTITUTIONAL PLACEMENT

_____(D)

EXPLANATION OR SEE ATTACHED MEMO:

TRANSFER COORDINATOR'S SIGNATURE

DATE

consisted primarily of staff time and travel through the development phase. This included Core Committee, Planning and Research, and Data Processing personnel. Funds were also expended in modifying the EDP system required to document the classification process.

Classification System Effectiveness

The initial classification system was implemented in November 1981 and formally validated in October 1982. At that time, modifications were made to the cutting points for recommended security level designation. Table 1 indicates the dimensions of these changes. As the table shows, the revision increased medium security levels and reduced overrides. An informal study of the system, conducted in November 1984, indicated the system was functioning as originally designed. A formal revalidation is in the planning stage; completion is projected for fall 1986.

Male reclassification has been operational since July 1984. During this period, several procedural modifications have been made to enhance the quality of information supplied during the process. A formal validation of the system will be conducted in the future.

Unofficially, the system is generally perceived as meeting its stated goals. It appears to have resulted in improved risk determination and to have resolved the problem of overclassification since fewer inmates are assigned to maximum security facilities. The chief point of dissatisfaction with the system continues to be the pressures of bed space and their resulting impact on placement. As review and evaluation of the system proceed, staff expect fine-tuning to continue in order to meet the changing needs of both the Department and inmates.

Classification System and Female Inmates

The classification process for female inmates is very similar to that used for males. However, there are some significant distinctions. (See Figures 4 and 5.) Data analysis indicated that different instruments would be more effective with female inmates. While most of the variables on the instruments are the same, some variance exists. The scoring/weighting processes also differ slightly. In addition, the Illinois Department of Corrections maintains only one adult female facility, which is designated maximum security. Therefore, all security designations for female inmates are technically maximum security. The female instrument is used to designate custody levels within the institution.

Classification System and Special Management Inmates

The classification system utilizes special management information in conjunction with an objectively derived security designation to make specific security/placement recommendations. This is particularly true for inmates

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS
CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

PAGE 1

RUN DATE: 10/29/85 RECEPTION CLASSIFICATION REPORT # 5
DWIGHT (06)

NAME: IDOC NUMBER:

EVALUATION DATE: _____

*** SECURITY DESIGNATION ***

DANGEROUS SCORE

1. AGE AT ADMISSION

0 = 30 OR OLDER 2 = 23-25 4 = 20 OR YOUNGER
1 = 26-29 3 = 21-22

+ _____ (A)

NUMBER OF PRIOR CONVICTIONS

0 = NONE 2 = TWO 4 = FIVE OR MORE
1 = ONE 3 = THREE, FOUR

+ _____ (B)

3. CURRENT OFFENSE DANGEROUSNESS
(SEE CODE SHEET A)

+ _____ (C)

4. PAST OFFENSE DANGEROUSNESS
(SEE CODE SHEET A)

+ _____ (D)

=====

5. ADD 1 THRU 4

TOTAL DANGEROUS SCORE
(ENTER SUM)

+ _____ (E)

ADJUSTMENT SCORE

6. AGE AT ADMISSION

0 = 30 OR OLDER 2 = 23-25 4 = 20 OR YOUNGER
1 = 26-29 3 = 21-22

+ _____ (F)

7. NUMBER OF PRIOR CONVICTIONS

0 = NONE 2 = TWO 4 = FIVE OR MORE
1 = ONE 3 = THREE, FOUR

+ _____ (G)

8. AGE AT FIRST CONVICTION

0 = 28 OR OLDER 2 = 21-23 4 = 18 OR YOUNGER
1 = 24-27 3 = 19-20

+ _____ (H)

9. ABSENCE FROM SUPERVISION OR CONTROL

0 = NONE
4 = ONE OR MORE ACTS OF: FAILURE TO REPORT OR TO APPEAR
ON BOND, BOND JUMPING OR FLEEING, ABSCONDING FROM
PROBATION OR PAROLE, FLEEING LAW ENFORCEMENT OFFICER,
ESCAPE OR ATTEMPTED ESCAPE FROM JAIL, PRISON, OR
WORK-RELEASE CENTER INCLUDING 'WALK-AWAYS'.

+ _____ (I)

10. SUPERVISION FAILURE (+ OR -)

-4 = ALL SUPERVISIONS SUCCESSFUL
-2 = NO SUPERVISION
0 = ONLY FLEEING FROM SUPERVISION OUTCOME/UNKNOWN
+2 = TECHNICAL FAILURE ONLY
+4 = NEW OFFENSE FAILURE

+ _____ (J)

=====

11. ADD 6 THRU 10

TOTAL ADJUSTMENT SCORE
(ENTER SUM)

CIRCLE +
ONE - _____ (K)

RUN DATE: 10/29/85 RECEPTION CLASSIFICATION REPORT # 5
DWIGHT (06)

NAME: IDOC NUMBER:

*** INITIAL SECURITY DESIGNATION ***

12. ADJUSTMENT SCORE RANGE

6 = LOW 0-3

3 = MODERATE 4-5

1 = HIGH 6+

____ (L)

13. DANGEROUS SCORE RANGE

6 = LOW 0-4

3 = MODERATE 5-8

1 = HIGH 9+

____ (H)

14. SECURITY LEVEL DESIGNATION

(SEE CODE SHEET C)

____ (N)

15. COUNSELOR'S COMMENTS:

16. COUNSELOR'S SIGNATURE AND DATE:

SIGNATURE_____
CODE_____
DATE

17. S & C SUPERVISOR'S REVIEW:

INITIALS (P)

RUN DATE: 10/29/85 RECEPTION CLASSIFICATION REPORT # 5
DWIGHT (06)

NAME: [REDACTED]

IDOC NUMBER: [REDACTED]

*** PLACEMENT CONCERNS ***

- *****
1. CRITICAL SPECIAL NEEDS REQUIRING PLACEMENT CONSIDERATION: _____ (A)
- A. NONE.....ENTER 0
- B. MEDICAL PLACEMENT.....ENTER 1
- C. MENTAL HEALTH PLACEMENT.....ENTER 2
- D. PHYSICAL IMPAIRMENT.....ENTER 3
- E. OTHER SPECIAL NEED WHICH AFFECTS PLACEMENT..ENTER 4
(MUST DOCUMENT IN SUMMARY REPORT)
- *****

2. ADMINISTRATIVE CONCERNS REQUIRING PLACEMENT CONSIDERATIONS: _____ - _____ - _____
- A. NONE.....ENTER 0 (B) (C) (D)
- B. KEEP SEPARATE FROM.....ENTER 1
- C. KNOWN GANG AFFILIATION.....ENTER 2
- D. MAJOR CRIMINAL CHARGES PENDING.....ENTER 3
- E. PROTECTIVE CUSTODY/SAFEKEEPING.....ENTER 4
- F. THREAT TO INSTITUTION SECURITY.....ENTER 7
- G. UNDERRATED SECURITY DESIGNATION SCORE.....ENTER 8
- H. OTHER ADMINISTRATIVE CONCERN.....ENTER 9
(MUST DOCUMENT IN SUMMARY REPORT)
- *****

3. SECURITY LEVEL RECOMMENDATIONS: _____ (E)
- SECURITY LEVEL FROM 14 (N)
- R & C RECOMMENDED CHANGE OF SECURITY LEVEL (COMMENT AT 5) _____ (F)
- *****

EXPLANATION OF CLASSIFICATION ACTION: _____ (G) _____ (H) _____ (I)

- A. SECURITY LEVEL - TOO HIGH.....ENTER 1
- B. SECURITY LEVEL - TOO LOW.....ENTER 2
- C. ADMINISTRATIVE CONCERNS REQUIRES
SPECIAL PLACEMENT.....ENTER 3
- D. CRITICAL NEEDS REQUIRES SPECIAL PLACEMENT.....ENTER 4
- E. INITIAL SECURITY LEVEL RAISED DUE TO INSTITUTION
DISCIPLINARY ACTION DURING RECEPTION.....ENTER 5
- *****

5. WRITTEN EXPLANATION OF DISAGREEMENT:

RUN DATE: 10/29/85

RECEPTION CLASSIFICATION REPORT # 5

DWIGHT

(06)

NAME:

IDOC NUMBER:

6. PLACEMENT RECOMMENDATIONS:
RANK ORDER OF RECOMMENDED COTTAGE PLACEMENTCOTTAGE
CODE

#1 _____

_____ (

#2 _____

_____ (

#3 _____

_____ (

COUNSELOR'S SIGNATURE CODE_____
P & C SUPERVISOR'S SIGNATURE*****
7. WARDEN'S ACTIONS:

1 = CONCURS WITH RECOMMENDATION _____ (

2 = DOES NOT CONCUR WITH RECOMMENDATION

8. FINAL SECURITY DESIGNATION LEVEL _____ (

9. COTTAGE OF ACTUAL PLACEMENT
(IF DIFFERENT FROM RECOMMENDED) _____

DATE

CODE _____ (

10. COMMENTS

WARDEN'S SIGNATURE_____
DATE

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #3

DWIGHT

06

NAME: . . .

IDOC NUMBER: . . .

1. ENTER THE NUMBER OF DAYS SENTENCED TO LOSS OF PRIVILEGE-ROOM RESTRICTION DURING THE LAST SIX MONTHS IN (A). THIS INFORMATION IS OBTAINED FROM THE MASTER FILE. IT IS NOT THE NUMBER OF DAYS ACTUALLY SPENT IN ROOM RESTRICTION. ENTER THE APPROPRIATE CODE IN (B).

A. 7 OR MORE DAYS, ENTER 5.
B. LESS THAN 7 DAYS, ENTER 0.

_____ (A) _____ (B)

2. ENTER THE NUMBER OF DAYS SENTENCED TO SEGREGATION DURING THE LAST SIX MONTHS IN (C). THIS INFORMATION IS OBTAINED FROM THE MASTER FILE. IT IS NOT THE NUMBER OF DAYS ACTUALLY SPENT IN SEGREGATION. ENTER THE APPROPRIATE CODE IN (D).

A. 1 OR MORE DAYS, ENTER 4.
B. 0 DAYS, ENTER 0.

_____ (C) _____ (D)

3. ENTER THE NUMBER OF DAYS SENTENCED TO ROOM LOCK-UP DURING THE LAST SIX MONTHS IN (E). THIS INFORMATION IS OBTAINED FROM THE MASTER FILE. IT IS NOT THE NUMBER OF DAYS ACTUALLY SPENT IN ROOM LOCK-UP. ENTER THE APPROPRIATE CODE IN (F).

A. 1 OR MORE DAYS, ENTER 3.
B. 0 DAYS, ENTER 0.

_____ (E) _____ (F)

4. ENTER THE NUMBER OF PRIMARY ASSIGNMENTS IN THE LAST SIX MONTHS IN (G). THIS IS OBTAINED FROM THE ASSIGNMENT HISTORY REPORT #2. ENTER THE APPROPRIATE CODE IN (H).

A. 6 OR MORE PRIMARY ASSIGNMENTS, ENTER 2.
B. LESS THAN 6 PRIMARY ASSIGNMENTS, ENTER 0.

_____ (G) _____ (H)

5. CURRENT AGE OF THE INMATE

A. TWENTY-THREE OR YOUNGER, ENTER 1.
B. TWENTY-FOUR OR OVER, ENTER 0.

_____ (I)

6. TOTAL SCORE

ADD B, D, F, H, I. ENTER IN (J)

_____ (J)

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS

PAGE

CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #3

DWIGHT

06

NAME: ~~XXXXXXXXXX~~

IDOC NUMBER: ~~XXXXXXXXXX~~

7. SCORED SECURITY DESIGNATION

ENTER THE CORRECT SCORED SECURITY DESIGNATION IN (K). _____ (K)

POINTS	SECURITY LEVEL	CIMIS CODE
0	MINIMUM	6
1-5	MEDIUM	4
6+	MAXIMUM	2

8. COUNSELOR'S COMMENTS CONCERNING THE ABOVE FIVE ITEMS:

9. COUNSELOR'S SIGNATURE AND DATE _____ CODE: _____

10. SUPERVISOR'S REVIEW: _____
INITIALS

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #4

DWIGHT

06

NAME:

IDOC NUMBER: . .

1. CRITICAL SPECIAL NEEDS REQUIRING PLACEMENT CONSIDERATION:

A. NONE	ENTER 0	_____ (A)
B. MEDICAL PLACEMENT	ENTER 1	
C. MENTAL HEALTH PLACEMENT	ENTER 2	
D. PHYSICAL IMPAIRMENT	ENTER 3	
E. OTHER SPECIAL NEED WHICH AFFECTS PLACEMENT (MUST DOCUMENT IN ITEM # 6)	ENTER 4	

2. ADMINISTRATIVE CONCERNS REQUIRING PLACEMENT CONSIDERATIONS:

A. NONE	ENTER 0	_____ (B)
B. KEEP SEPARATE FROM	ENTER 1	
C. KNOWN GANG AFFILIATION	ENTER 2	
D. MAJOR CRIMINAL CHARGES PENDING	ENTER 3	_____ (C)
E. PROTECTIVE CUSTODY/SAFEKEEPING	ENTER 4	
F. THREAT TO INSTITUTION SECURITY	ENTER 5	
G. UNDERRATED SECURITY DESIGNATION SCORE	ENTER 6	
H. OTHER ADMINISTRATIVE CONCERN (MUST DOCUMENT IN ITEM # 6)	ENTER 7	_____ (D)

3. SECURITY LEVEL RECOMMENDATIONS:

CURRENT SECURITY LEVEL	2	(E)
ENTER SCORED SECURITY DESIGNATION FROM REPORT # 3, 7(K)		_____ (F)
RECOMMENDED CHANGE OF SECURITY LEVEL: COMMENT IN ITEM # 6		_____ (G)

4. EXPLANATION OF CLASSIFICATION ACTION:

A. NO CHANGE RECOMMENDED	ENTER 0	_____ (H)
B. SECURITY LEVEL - TOO HIGH	ENTER 1	
C. SECURITY LEVEL - TOO LOW	ENTER 2	
D. ADMINISTRATIVE CONCERNS REQUIRES SPECIAL PLACEMENT	ENTER 3	_____ (I)
E. CRITICAL NEEDS REQUIRES SPECIAL PLACEMENT	ENTER 4	
F. IMPROVEMENT IN BEHAVIOR WARRANTS OVERRIDE	ENTER 5	
G. SERIOUS BEHAVIOR PROBLEMS WITHIN PAST YEAR WARRANTS OVERRIDE	ENTER 6	_____ (J)
H. GOOD ADJUSTMENT WARRANTS OVERRIDE	ENTER 7	

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS

PAGE

CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 10/21/95

RECLASSIFICATION REPORT #4

DWIGHT

06

NAME:

IDOC NUMBER:

5. PLACEMENT RECOMMENDATIONS:
RANK ORDER OF RECOMMENDED COTTAGE

COTTAGE CODE

1. _____

(K)

2. _____

(L)

3. _____

(M)

6. COMMENTS:

COUNSELOR'S SIGNATURE

CODE (N)

DATE

7. SUPERVISOR'S REVIEW:

1=CONCURS

2=DOES NOT CONCUR

COMMENTS:

SECURITY _____ (C)

PLACEMENT _____ (P)

COUNSELOR'S SIGNATURE

CODE (Q)

DATE

CIMIS

ILLINOIS DEPARTMENT OF CORRECTIONS

PAGE

CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 10/21/85

RECLASSIFICATION REPORT #4

DWIGHT

06

NAME:

IDOC NUMBER:

8. ASSIGNMENT COMMITTEE ACTION:

1=CONCURS

2=DOES NOT CONCUR

NAME

TITLE

DATE

SECURITY

PLACEMENT

COMMENTS:

COMMITTEE VOTE: (R) (S)

9. WARDENS ACTION:

1=CONCUR

2=DOES NOT CONCUR

SECURITY (T)

COMMENTS:

PLACEMENT (U)

WARDENS SIGNATURE

DATE

Table 1

Comparisons Between Original and Revised
Male Initial Classification Instruments

	<u>Original Instrument</u>		<u>Revised Instrument</u>	
Security Level				
Maximum (1, 2)	35.8%	(1,188)	23.0%	(1,002)
Medium (3, 4, 5)	57.0%	(1,889)	68.1%	(2,847)
Minimum (6)	6.6%	(220)	7.9%	(332)
Overrides				
Percentage of Cases with Overrides	38.0%	(1,265)	24.6%	(1,030)
Percentage of Overrides Resulting in Change of Security Level	18.0%	(582)	11.6%	(488)
Explanation of Overrides				
Security Level Too High	25.0%	(332)	0.7%	(30)
Security Level Too Low	26.0%	(346)	9.3%	(391)
Administrative Concern	44.0%	(586)	22.1%	(925)
Special Need	4.0%	(52)	1.3%	(56)
Disciplinary Action	0.6%	(8)	0.2%	(8)

Source: IDOC Planning and Research Unit

with either critical special needs (mental illness/retardation, physical handicaps, etc.) or serious administrative concerns (protective custody, gang involvement, etc.). Thus, an inmate's objectively derived security designation/placement recommendation may be overridden by management review of critical special needs or administrative concerns.

Classification System Use in Planning

Information from the classification system is continuously fed into both short- and long-term planning processes. These data are particularly valuable in planning long-term requirements for bed space needs. To this end, the Department has developed a Classification Simulation Model that projects bed space requirements by security level for a ten-year period. This model requires inputs on admissions, exits, probability of security level change, and projected populations to determine relative security level distributions. By utilizing this model, the relative requirements for various security level bed space needs can be determined and the impact of system modifications can be assessed.

OBJECTIVE PRISON CLASSIFICATION CASE STUDY: KENTUCKY

INTRODUCTION

The Kentucky Department of Corrections has adapted the National Institute of Corrections classification model in order to better respond to litigation and growing population pressures. In general, the development and implementation process was uneventful. The new system has met agency goals in that it is objective, appears to be defensible under litigation, and has provided solid data for future planning.

OBJECTIVE PRISON CLASSIFICATION SYSTEM DESCRIPTION

Origin and Development

The previous classification system is described as subjective in nature. As each inmate entered the correctional system, he/she resided for a period of two to three weeks at the assessment center, where academic, medical and psychological testing was completed. The classification committee, composed of the Assessment Center Director, a classification officer, social worker, and representative of the custody staff, recommended placement based upon the charge, length of sentence, results of testing, and the inmate's behavior at the assessment center. This system required reclassification every six months using the same basic decision-making criteria. In reality, placement, as well as transfer, was often based on available bed space. The classification system did not utilize definite, measurable criteria, and no organized system for monitoring or evaluating data existed. Additionally, facilities often differed in the classification of similar cases.

Several factors contributed to the need for change. An inmate class action suit dealing with prison conditions, including population and classification, was initiated in 1977 and settled by consent decree in 1980. The consent decree called for major reductions in prison population and an outside audit of the classification system. A review of inmate cases indicated that the system was overclassifying inmates. During this time a number of laws were enacted mandating more prison time for various crimes, and an inadequate number of beds demanded more efficient management of the classification process.

The National Institute of Corrections custody determination model, introduced in late 1981, was viewed as a possible approach for addressing these problems, as well as for providing a defensible system in court. Although little was known about the NIC plan, a core team of eight persons, as

provided in an NIC grant, participated in the classification system training in Boulder, Colorado. This core team was composed of the Institutional Classification Officer, Director of Planning and Research, Assessment Center Director, Classification Branch Manager, Director of Operations, Institution Unit Coordinator, Warden of the Women's Prison, and Director of Training. With little knowledge of the NIC model and no obligation to adopt it, the core team received the training openly. During the training, the team decided to seriously consider adoption of the model. In the two weeks following the training, the core team modified the model to include an assessment of needs, a summary sheet, and a determination of overrides, and changed some point values in order to reflect the thinking and trends in statutory requirements. The team also developed an implementation plan, which was subsequently approved by the Commissioner of Corrections.

The development phase began with the creation of an automated data processing capability, revision of the classification manual, and conduct of a pilot test. The pilot test, which was performed at the assessment center by core team members, included classification of approximately one thousand files of inmates already assigned to maximum and medium security. This effort was valuable in establishing where inmates would score on security and custody levels. Only three areas of the classification model were modified as a result of the pilot test. The scoring of disciplinary reports was given additional weight, the number of points for education and employment was reduced, and statutory crimes were weighted according to the provisions of the law. The results of the pilot test were then automated, and the data were analyzed by the core team and key central office staff.

During this phase, contact with NIC project staff and consultants was continued to ensure that the integrity of the NIC model was maintained while the uniqueness of the Kentucky system was considered. The core team functioned productively, possibly due to its composition of similar-level management staff with prior institution experience and an avoidance of administrative fiats. Only when fully developed and ready for implementation was the new system openly discussed outside the core team. The team determined the key personnel who would need to be sold on the system and the most appropriate core team member to make the contact. The credibility of the team members with key staff in the correctional system, together with their thorough knowledge and belief in the new system's capability of providing relief from time-consuming litigation, proved an important factor.

On the whole, core team members are satisfied with the development process. They believe that it proceeded as efficiently as possible, given a bureaucratic setting, and that the new system is well adapted to agency needs. Of particular importance to the success of the development phase was the timeframe established by the core team. This schedule allowed sufficient time to devise the system but was not so long as to decrease enthusiasm. It also helped keep work on the system a high priority within the agency.

Although team members are pleased with the way the new classification system was developed, they feel the process could have been improved. For instance, it would have been helpful if the team had initially been able to visit agencies employing objective systems. (Very few objective systems were operational at that time, however.) This would have acquainted them with the strengths and weaknesses of various systems and allowed them to discuss Kentucky's unique needs and problems with staff experienced in objective classification. In addition, a more extensive pilot test would have enabled the team to identify and close more loopholes, thus facilitating implementation. Team members consider pilot testing a "must" for any agency developing a new classification system and recommend that sufficient time and effort be given to this crucial activity.

Classification System Implementation

Eighteen months following the formal exposure of the core team to the NIC model, formal training for implementation began. The classification manual, along with the content of the training, was instrumental to successful implementation. The pilot test had provided a base of information, used to work out most of the bugs and potential problems that classification personnel would face.

The first phase of training involved twenty institutional personnel who would be scoring the classification instrument. This training included background on the system's development, discussion of each line item, viewing of summary sample files, and a hands-on classification scoring process comparing the old classification system to the new one. The entire core team actively participated in the training phase. Participants responded positively, and only minor changes in definition and classification resulted.

The second phase of training involved fifty participants in each of two eight-hour sessions. Wardens, deputy wardens, and selected custody staff participated in broad-based training that encompassed historical issues of classification, the process of developing the new system, and issues relative to the consent decree addressed by the new system. The participants also comparatively scored inmates, using both the old and new classification systems.

The third phase of training was a three-hour general employee orientation program that was provided to all existing institutional staff and included in the orientation program for all new employees.

Implementation was gradual. Since inmates were already being reclassified every six months using the old system, the new system was inserted into this existing time line. Each classification plan was reviewed for scoring accuracy by the institutional team committee, with a copy forwarded to the Director of Classification in the central office. Inmates received copies of their plans, along with an explanation of the new system.

During the initial classification process, inmates who were in minimum security but scored higher on the new instrument were grandfathered by exception into minimum custody level. Inmates who scored lower were, and continue to be, transferred according to available bed space or placed on a waiting list for such transfers.

The core team continued to monitor the process and made minor revisions of definition at six months, while a major review, including examination of data collected, was made at one year. Formal reviews are conducted annually according to the system design. The Director of Classification, as well as the Director of Planning and Research, continues to ensure that data are maintained, monitored, and reviewed.

Staff reaction to implementation of the new system has generally been favorable. Although line staff expressed some resistance initially, they soon saw the merits of a system that would reduce inconsistency, inmate dissatisfaction, and classification challenges. In fact, the core team reports that staff would like even tighter guidelines to be developed. Team members attribute such acceptance to their strategy of waiting until the system was completely developed and tested before presenting it to staff. This strategy enabled the team to better deal with any fears of change since staff could see how the whole system operated. It also precluded much of the controversy and criticism that occur when something new is introduced piecemeal.

Classification System Goals and Objectives

Based upon the issues arising at the time of the system's development, the core team established a number of goals. The primary goal was the development of an easily administered objective system that was defensible to litigation. This system was also to define custody and security levels and match the various classifications of inmates to the existing correctional system physical plant. Another important goal was the development of an automated information system that could ease data collection and retrieval, as well as project population and custody level needs.

Although no formal outside evaluation has occurred, ongoing internal review reveals that these goals have been met. Clearly, litigation has been reduced. Inmates understand the classification system and feel that it is fairly administered. The automated information system has enabled the correctional system to be more immediately responsive to problems and to better project future needs.

Classification System Description

The Kentucky correctional system has adopted the National Institute of Corrections classification model. Within the system, security is defined as the type of physical (architectural and environmental) constraints provided

by the institution. Custody is defined as the degree of supervision provided by staff. Security/custody labels of maximum, close, medium, restricted, and minimum are assigned to inmates. Institutional security/custody labels are maximum, medium, and minimum. All security/custody factors in the NIC model were used, employing the same definitions, with the following exceptions. Inmate program participation is a component of the reclassification process, but it is not used to determine custody level. The weights of reclassification factors were modified to give more points to disciplinary reports and fewer points for employment and education. It was also decided to continue the policy of prohibiting minimum security placement of inmates with more than 48 months to parole eligibility or release. In addition, for purposes of classification, the agency uses only the offenses for which the inmate was convicted, rather than the crimes with which he/she may have been charged.

Initial classification is conducted at the assessment center, using a three-part scoring form. (See Figure 1.) The first part of this form is used to determine a custody score based on factors such as history of institutional violence, severity of current offense, escape history, and detainers. The second part is designed to assess inmate needs in areas ranging from health and behavioral problems to educational and vocational status. The last part of the form is a summary sheet that presents the total custody score, override considerations, custody level and institutional assignments, and program recommendations. The summary sheet is completed in triplicate, with copies going to the inmate's file, the inmate, and the central office. In addition, summary data are entered into the management information system.

Reclassification occurs at the institutional level every six months. Again, a three-part form is used to score each inmate. (See Figure 2.) This form is similar to the initial classification instrument, with two significant exceptions. First, in the custody scoring section, factors related to substance abuse and stability have been replaced by factors concerned with institutional adjustment. Second, on the summary sheet, program participation has been substituted for program recommendations. Otherwise, the reclassification form is scored and processed in the same manner as the initial classification form.

Initially, there were fourteen override areas; however, after the review at one year, several were combined so that now there are eight override areas. Currently, overrides occur in approximately 20% of all decisions. Of this figure, 8% are to a higher custody level for statutory reasons, while 5% are for administrative reasons, primarily the 48 months to parole eligibility or release rule. Another 4% are to a lower custody level, with the remainder of the overrides--3%--encompassing various other reasons.

Using this classification system, the agency finds itself short of minimum placement beds. At initial classification, over one half of the inmates are assigned based upon their scores, while the remainder are placed on a waiting list.

INITIAL INMATE CLASSIFICATION

NAME _____ Last _____ First _____ MI _____ AGE _____ NUMBER _____
CLASSIFICATION OFFICER _____ CODE _____ DATE _____

1. HISTORY OF INSTITUTIONAL VIOLENCE

(Jail or Prison, code most serious within last five years)

None 0 _____ score
Violence not involving use of a weapon or resulting in serious injury 3
Violence involving use of a weapon and/or resulting in serious injury or death 7

2. SEVERITY OF CURRENT OFFENSE

(Refer to the Severity of Offense Scale. Score the most serious offense if there are multiple convictions.)

Low 1 _____ score
Low Moderate 2
Moderate 3
High 6
Highest 7

3. PRIOR ASSAULTIVE OFFENSE HISTORY

None 0 _____ score
Low 1
Low Moderate 2
Moderate 3
High 4
Highest 6

4. ESCAPE HISTORY (Rate last 5 years of incarceration.)

No escapes or attempts (or no prior incarcerations) 0 _____ score
An escape or attempt last five years resulting in administrative action only 4
Escape II conviction within last five years 6
Escape I conviction within last five years 9

SCHEDULE A SCORE (add items 1 through 4)

(If score is 10 or over, use Schedule A for appropriate custody assignment. If score is 9 or under, use Schedule B for Custody assignment. In either case, complete all 9 questions.)



5. ALCOHOL/DRUG ABUSE

None 0 _____ score
Abuse causing occasional legal and social adjustment problems 1
Serious abuse, serious disruption of functioning 3

6. CURRENT DETAINER

None 0 _____ score
C or D felony detainer 1
A or B felony detainer or detainer for 3 or more class C or D felonies 6

7. PRIOR FELONY INCARCERATIONS

None 0 _____ score
One 2
Two 4
Three or more 6

8. STABILITY FACTORS

(check appropriate box(es) and combine for score.)

☐ High school diploma or GED received -1 _____ score
☐ Employed/attending school (full or part-time) six months or longer at time of arrest .. -1

SCHEDULE B SCORE (Add items 1 through 8.)

TOTAL SCORE

ASSESSMENT OF NEEDS

NAME _____ Last _____ First _____ MI _____ AGE _____ NUMBER _____

CLASSIFICATION OFFICER _____ CODE _____ DATE _____

HEALTH:

1 Sound physical health; seldom ill	2 Handicap or illness which interferes with functioning	3 Serious handicap or chronic illness; needs frequent medical care	code
-------------------------------------	---	--	------

a. Observation b. Self-report c. Verified Medical History d. Medical Exam

ALCOHOL USAGE:

1 No apparent problem	2 Occasional abuse, some disruption of functioning	3 Frequent abuse, serious disruption; needs assistance	code
-----------------------	--	--	------

a. Observation b. PSI c. Self-report d. Other

OTHER SUBSTANCE USAGE:

1 No apparent problem	2 Occasional abuse, some disruption of functioning	3 Frequent abuse, serious disruption; needs assistance	code
-----------------------	--	--	------

a. Observation b. PSI c. Self-report d. Other

INTELLECTUAL ABILITY:

1 Normal intellectual ability; able to function independently	2 Some need for assistance	3 Independent functioning severely limited	code
---	----------------------------	--	------

a. Self-report b. Observation c. BETA _____ d. WAIS _____

BEHAVIORAL/EMOTIONAL PROBLEMS:

1 Exhibits appropriate emotional responses	2 Symptoms limit adequate functioning; requires counseling; may require medication	3 Symptoms prohibit adequate functioning; requires significant intervention; may require medication or separate housing	code
--	--	---	------

a. Observation b. PSI c. Psychological/Psychiatric Evaluation d. Other

SEXUAL BEHAVIOR:

1 No apparent dysfunction	2 Situational or minor problems	3 Real or perceived chronic or severe problems	code
---------------------------	---------------------------------	--	------

a. Self-report b. Observation c. PSI d. Psychological/Psychiatric Evaluation

EDUCATIONAL STATUS:

1 Has High School diploma or GED	2 Some deficits, but potential for GED	3 Major deficits in math and/or reading; needs remedial programs	code
----------------------------------	--	--	------

a. Self-report b. PSI c. Educational Record d. TABE: R____ M____ L____

VOCATIONAL STATUS:

1 Has sufficient skills to obtain satisfactory employment	2 Minimal skill level; needs enhancement	3 Virtually unemployable; needs training	code
---	--	--	------

a. Self-report b. PSI c. Employment Record d. Other

JOB RELATED SKILLS:

1 Has sufficient positive work to maintain employment	2 Some deficits; needs program to develop positive work habits	3 Work habits insufficient to maintain employment; needs strong work program	code
---	--	--	------

a. Self-report b. PSI c. Employment Record d. Other

LIVING SKILLS:

1 Presents and expresses self appropriately to social context	2 Has mastered basic survival skills; needs enrichment	3 Lacks skills necessary for social survival	code
---	--	--	------

a. Self-report b. Observation c. PSI d. Psychological Evaluation

MARITAL/FAMILY:

1 Relatively stable relationships	2 Some disorganization or stress, but potential for improvement	3 Major disorganization or stress	code
-----------------------------------	---	-----------------------------------	------

a. Observation b. Self-report c. PSI d. Report from family

COMPANIONS:

1 No adverse relationships	2 Associations with occasional negative results	3 Associations almost completely negative	code
----------------------------	---	---	------

a. Observation b. Self-report c. PSI d. Other

INITIAL CLASSIFICATION SUMMARY

NAME _____ AGE _____ NUMBER _____
 Last First MI
 CLASSIFICATION OFFICER _____ CODE _____ DATE _____

1. Override Considerations - Override: _____

- 0. NONE
- 1. Statutorially ineligible
- 2. Protective custody
- 3. Psychiatric needs
- 4. Detainer
- 5. Documented information of escape risk
- 6. Lower level of custody indicated by documented evidence in the inmate file
- 7. Administrative override
- 8. Other _____

TOTAL CUSTODY SCORE _____ score _____ code _____
 (from page one)
 ORIGINAL CUSTODY LEVEL _____
 OVERRIDE _____ score _____ code _____
 FINAL CUSTODY LEVEL _____

2. Custody Level Assignment:

- 1. Minimum
- 2. Restricted
- 3. Medium
- 4. Close
- 5. Maximum

BETA _____ WAIS _____

score _____
 code _____

3. Institution Recommended: _____ Institution Assigned: _____

score _____
 code _____

4. Program Recommendations (next 6 months): (In order of priority)

Program Code Enrollment Code*

score _____
 code _____
 score _____
 code _____

TABE: R _____ M _____ L _____

COMMENTS: _____

score _____
 code _____

Inmate's Signature _____

score _____
 code _____

Chairperson's Signature _____ Code _____

* ENROLLMENT CODE

- 1 = Program available
- 2 = Program currently at capacity/unavailable
- 3 = Program needed but does not exist at assigned institution
- 4 = Inmate refuses program
- 5 = Program not available due to custody level

- () PSI available
- () PSI not available (Review in 60 days)

TOTAL SCORE _____ code _____

code _____

INMATE RECLASSIFICATION

NAME _____ AGE _____ NUMBER _____
 Last First MI
 CLASSIFICATION OFFICER _____ CODE _____ DATE _____

1. HISTORY OF INSTITUTIONAL VIOLENCE

(Jail or Prison, code most serious within last five years)

None 0 ----- score
 Violence not involving use of a weapon or resulting in serious injury 3
 Violence involving use of a weapon and/or resulting in serious injury or death 7

2. Did above violence occur within last six months?

Yes 3 ----- score
 No 0

3. SEVERITY OF CURRENT OFFENSE

(Refer to the Severity of Offense Scale.)

Low 1 ----- score
 Low Moderate 2
 Moderate 3
 High 6
 Highest 7

4. PRIOR ASSAULTIVE OFFENSE HISTORY

None 0 ----- score
 Low 1
 Low Moderate 2
 Moderate 3
 High 4
 Highest 6

SCHEDULE A SCORE (add items 1 through 4)

(If score is 10 or over, use Schedule A for appropriate custody assignment. If score is 9 or under, use Schedule B for Custody assignment. In either case, complete all 9 questions.)



5. ESCAPE HISTORY (Rate last 5 years of incarceration.)

No escapes or attempts 0 ----- score
 An escape or attempt within last five years resulting in administrative action only 4
 Escape II conviction within last five years 6
 Escape I conviction within last five years 9

6. NUMBER OF DISCIPLINARY REPORTS

None in last 7 - 12 months -3 ----- score
 None in last 6 months -1
 One in last 6 months 0
 Two in last 6 months 4
 Three or more in last 6 months 6

7. MOST SEVERE DISCIPLINARY REPORT RECEIVED (last 24 months)

None 0 ----- score
 Low Moderate 3
 Moderate 5
 High 7
 Highest 9

8. CURRENT DETAINER

None 0 ----- score
 C or D felony detainer 1
 A or B felony detainer or detainer for 3 or more class C or D felonies 6

9. PRIOR FELONY INCARCERATIONS

None 0 ----- score
 One 2
 Two 4
 Three or more 6

SCHEDULE B SCORE (add items 1 through 9)

TOTAL SCORE

ASSESSMENT OF NEEDS

NAME _____ AGE _____ NUMBER _____
 Last First MI

CLASSIFICATION OFFICER _____ CODE _____ DATE _____

HEALTH:

1 Sound physical health; seldom ill 2 Handicap or illness which interferes with functioning 3 Serious handicap or chronic illness; needs frequent medical care _____ code

a. Observation b. Self-report c. Verified Medical History d. Medical Exam

ALCOHOL USAGE:

1 No apparent problem 2 Occasional abuse, some disruption of functioning 3 Frequent abuse, serious disruption; needs assistance _____ code

a. Observation b. PSI c. Self-report d. Other

OTHER SUBSTANCE USAGE:

1 No apparent problem 2 Occasional abuse, some disruption of functioning 3 Frequent abuse, serious disruption; needs assistance _____ code

a. Observation b. PSI c. Self-report d. Other

INTELLECTUAL ABILITY:

1 Normal intellectual ability; able to function independently 2 Some need for assistance 3 Independent functioning severely limited _____ code

a. Self-report b. Observation c. BETA _____ d. WAIS _____

BEHAVIORAL/EMOTIONAL PROBLEMS:

1 Exhibits appropriate emotional responses 2 Symptoms limit adequate functioning; requires counseling; may require medication 3 Symptoms prohibit adequate functioning; requires significant intervention; may require medication or separate housing _____ code

a. Observation b. PSI c. Psychological/Psychiatric Evaluation d. Other

SEXUAL BEHAVIOR:

1 No apparent dysfunction 2 Situational or minor problems 3 Real or perceived chronic or severe problems _____ code

a. Self-report b. Observation c. PSI d. Psychological/Psychiatric Evaluation

EDUCATIONAL STATUS:

1 Has High School diploma or GED 2 Some deficits, but potential for GED 3 Major deficits in math and/or reading; needs remedial programs _____ code

a. Self-report b. PSI c. Educational Record d. TABE: R____ M____ L____

VOCATIONAL STATUS:

1 Has sufficient skills to obtain satisfactory employment 2 Minimal skill level; needs enhancement 3 Virtually unemployable; needs training _____ code

a. Self-report b. PSI c. Employment Record d. Other

JOB RELATED SKILLS:

1 Has sufficient positive work to maintain employment 2 Some deficits; needs program to develop positive work habits 3 Work habits insufficient to maintain employment; needs strong work program _____ code

a. Self-report b. PSI c. Employment Record d. Other

LIVING SKILLS:

1 Presents and expresses self appropriately to social context 2 Has mastered basic survival skills; needs enrichment 3 Lacks skills necessary for social survival _____ code

a. Self-report b. Observation c. PSI d. Psychological Evaluation

MARITAL/FAMILY:

1 Relatively stable relationships 2 Some disorganization or stress, but potential for improvement 3 Major disorganization or stress _____ code

a. Observation b. Self-report c. PSI d. Report from family

COMPANIONS:

1 No adverse relationships 2 Associations with occasional negative results 3 Associations almost completely negative _____ code

a. Observation b. Self-report c. PSI d. Other

RECLASSIFICATION SUMMARY

NAME _____ Last _____ First _____ MI _____ AGE _____ NUMBER _____
 CLASSIFICATION OFFICER _____ CODE _____ DATE _____

1. Override Considerations - Override: _____ code

0. NONE
1. Statutorially ineligible
2. Protective custody
3. Psychiatric needs
4. Detainer
5. Documented information of escape risk
6. Lower level of custody indicated by documented evidence in the inmate file
7. Administrative override
8. Other _____

TOTAL CUSTODY SCORE _____
 (from page one)

score code

ORIGINAL CUSTODY LEVEL _____

OVERRIDE _____

score code

FINAL CUSTODY LEVEL _____

score code

2. Custody Level Assignment:

1. Minimum
2. Restricted
3. Medium
4. Close
5. Maximum

BETA _____ WAIS _____

score code

3. Institution Recommended: _____ Institution Assigned: _____

code

4. Program Performance (since last classification)

Program Code Progress Code* Participation Code†

code

score

code

score

5. Current Total Good-Time Loss _____

TAB: R _____ M _____ L _____

6. Recommended Program Changes (next 6 months):

Program Code

code

score

COMMENTS: _____

code

score

Inmate's Signature _____

code

Chairperson's Signature _____ Code _____

score

* PROGRESS CODES

- 1 = Excellent
- 2 = Above average
- 3 = Satisfactory
- 4 = Needs improvement
- 5 = Poor

† PARTICIPATION CODES

- 1 = Inmate currently enrolled
- 2 = Program completed successfully
- 3 = Inmate dropped out, lack of interest
- 4 = Inmate terminated, behavior problem
- 5 = Inmate terminated, Administrative reasons
- 6 = Program not available
- 7 = Refuses program

code

TOTAL SCORE

code

Classification System Administration and Management

Although the Director of Classification is charged with the administration of the classification system, core team members who participated in the initial development continue to be involved in various phases of administration and management by virtue of job function. The Director of Classification monitored the scoring of each inmate's classification for six months following implementation but currently reviews only exceptions and overrides. The core team still meets periodically on an informal basis at the request of any member. The Director of Classification and the Director of Planning and Research remain in close contact regarding data review and future budgetary planning. The core team continues to formally review the entire system annually. Team members feel comfortable with the review process but would like more time for data analysis.

Classification System Cost

The cost for development and implementation of the system is described as minimal. The National Institute of Corrections provided a grant enabling the core team to receive initial training and consultation throughout the development and implementation process. The automated management information was already budgeted; therefore, the inclusion of data collection for this system was absorbed into the start-up costs. In addition, the assessment center staff and classification personnel were in place to administer the previous classification system. Core team members speculate that the new system may in fact be a cost savings to the agency due to its more efficient use of resources and improved ability to predict bed space requirements.

Classification System Effectiveness

While no formal evaluation of the system has been conducted, core team review reveals a consensus that inmates are being placed in more appropriate custody and security levels. However, although the needs assessment instrument is being administered and scored, inmate placement may not correspond to program needs. It is hoped that data collection will influence the budget process so that more viable programs can be implemented. Institutional placements must currently be made on the basis of bed space available rather than program needs.

The system also provides clear-cut guidelines that have increased staff effectiveness and satisfaction with the system. Inmates understand the process and feel that their actions and progress can affect reclassification and, therefore, their custody and security levels. The system has been effective in reducing inmate grievances and general malcontent. While 15% more inmates are receiving minimum placements, the number of escapes has diminished. It is not clear, however, whether this decrease is a result of the classification process or other factors. The new system does not appear to have affected the number of serious incidents or disciplinary violations.

Staff have noticed some reductions in the number of institutional transfers. No reductions in costs for housing have been noted although the costs for facility planning are expected to decrease. Most staff also feel that the new system has reduced paperwork.

Classification System and Special Management Inmates

Although the needs assessment instrument provides adequate information to plan for male special management inmates, the inability of institutional budgets to provide corresponding programming, as well as the insufficient number of beds in the state system, prevents adequate service delivery. Placements for mental, medical, or protective services are generally provided through statutory or administrative overrides. An inmate whose reclassification results in a change in custody score may appeal the decision to the Director of Classification. The number of appeals has been minimal, however.

Classification System and Female Inmates

Female offenders are classified in the same manner as male offenders. However, the effects of classification differ greatly for females. For example, no women have ever been classified as maximum custody, and very few have required close custody. Consequently, custody has a lesser impact on programming for females. Moreover, as only one institution is available for placement of female inmates, resources are concentrated in one place rather than distributed among several facilities, ensuring that inmates have relatively equal access to available programs and services. Since there are significantly fewer females than males, women are also more likely to get into the programs of their choice. Perhaps the most important difference between the females and males is that the female facility is not overpopulated. As a result, the system works more effectively, enabling staff to assign female inmates to appropriate custody levels and better meet their needs.

Classification System Use in Planning

The automation of data in the classification system has improved the agency's planning ability. Easily accessible documentation can now project needed bed space in the various custody levels. Inmate programs are systematically known and can be projected in response to legislative requests and budgetary planning. Furthermore, the classification system facilitates provision of data concerning compliance with federally funded programs.

Although staff are positive concerning their ability to utilize the data that the classification system generates, they also see potential in expanding the research component to serve as a planning tool for new facilities, programs, and services.

The classification system has generated much interest in regard to parole. The system interfaces well with, and provides better information for, parole supervision. Staff believe that continued research and planning would benefit both correction and parole components.

OBJECTIVE PRISON CLASSIFICATION CASE STUDY: MISSOURI

INTRODUCTION

To enhance the effectiveness of both its classification process and overall operations, the Missouri Department of Corrections and Human Resources has developed and implemented an objective classification system, which is based on the Correctional Classification Profile, a system designed to assess prisoners' risks to the public and the institution and then assign prisoners to the least restrictive custody level required for protection of the public, staff and other inmates, as well as themselves. The system also enables prisoners' needs to be matched with institutional resources. The new system has not been formally evaluated, but most staff believe prisoners are now being classified more appropriately, and a high degree of interrater reliability has been found.

OBJECTIVE PRISON CLASSIFICATION SYSTEM DESCRIPTION

Origin and Development

Missouri's development of an objective classification system was a response to several factors. The tremendous overcrowding experienced by the state's correctional facilities during the late 1970's created conditions that led, in March 1979, to a federal court order limiting maximum security bed space. The subsequent backlog at the Reception and Diagnostic Center resulted in more rapid processing of prisoners, which tended to exacerbate the inadequacies of the old classification system, which was highly subjective. Having no well-defined written procedures, classification staff relied heavily on "professional intuition"--personalized assessments of such factors as prisoners' age, time to release, and institutional record, if any, and staff knowledge regarding each of the institutions in Missouri's correctional system. Numerous prisoners were inappropriately assigned security levels, a condition that led to management problems, escapes, and substantial movement of prisoners among institutions.

Eventually, a "worst-case" situation occurred when a prisoner confined for rape and escape was placed in a low security institution and repeated the offenses for which he was incarcerated before being recaptured. This incident, along with the resulting community outcry, led the governor to request a review of the classification system, including recommendations for its improvement.

In response to the governor's concerns, the National Institute of Corrections provided a short-term technical assistance grant to an outside

consultant, who was requested to conduct a thorough evaluation of the existing classification system and provide recommendations, if warranted, to improve prisoner security assessment. The consultant noted numerous inadequacies in the system and made several recommendations regarding the timely receipt and evaluation of classification information and the development of effective classification policies and procedures.

Based upon the success of the short-term technical assistance, the National Institute of Corrections made additional funds available for the development of a new classification system that would minimize subjective judgement while maximizing consistency in classification decision-making. A consultant firm was hired by the state to conduct the project.

Following a year-long study, the consultant firm provided the Department with an extensive list of recommendations and a classification system that included an objective approach to security and custody determination and a standardized process for matching inmate needs to Department resources.

The newly appointed Director of Corrections, a strong supporter of objective classification, initiated a two-phase process for translating the consultant's recommendations into a new classification system.

In the first phase, sixty administrative, supervisory, and line staff were divided into eight subcommittees. Each subcommittee was asked to examine a chapter from the consultant's report in light of questions developed by the Assistant Superintendent of Support Services.

The subcommittees met in February 1982 to discuss the consultant's recommendations. During the three-day session, each subcommittee presented material relating to the recommendation(s) in the chapter it had reviewed. Then the staff representatives met in small groups to discuss the recommendation(s). Relying on consensus, staff discarded numerous recommendations; others were accepted or modified.

Two other important decisions also resulted from this session. A coordinator was hired to guide development of the new system, and a timeframe of one year was established to complete development and begin implementation.

The second phase of development was then begun. A steering committee, appointed by the coordinator, met to determine goals and objectives for the new system. Later, committee members were assigned to head new subcommittees, which would address the components of the new system (e.g., initial classification, reclassification, education, staff training).

In October 1982, the subcommittees submitted their reports to the coordinator, and then assembled for a second meeting. As in the first

meeting, subcommittee reports were presented and discussed in small groups and, after reconvening, numerous recommendations were modified and/or adopted.

At the end of the session, a policy committee composed of administrative staff from the central office was established. This committee finalized issues that had been adopted and resolved issues on which consensus had not been reached. It also rewrote Department policies impacted by the new system, developed classification forms and a user's manual, and defined an implementation schedule. By February 1983, 13 months after development was begun, the stage was set for the implementation process.

In general, most staff express satisfaction with the development process. The in-house approach is viewed as an effective means of obtaining staff commitment and consensus. Still, some disagreement concerning development exists. While some staff believe the subcommittees were of workable size, others think they were too large and should have been reduced to facilitate discussion and decision-making. In addition, some staff think that the consultants should have been present at the first discussion session to provide a better understanding of their recommendations. It has also been noted that implementation of the new system would have been easier and more effective if training, educational, and vocational staff, along with additional caseworkers, had been involved more extensively in the development process. Another concern is the length of time that elapsed between the second discussion session and the eventual start of implementation. Although time was needed to resolve several policy issues and prepare a user's manual, some staff felt the seven-month delay was too long, resulting in a loss of commitment. A final issue is the classification instrument itself. A number of staff believe that the instrument should have been thoroughly pilot tested prior to implementation. Some also question the use of certain scoring factors, which seem to be based more on consensus than hard data. In addition, the instrument has proven problematic in addressing classification requirements for special management inmates.

Classification System Implementation

Implementation of the new system began in February 1983 at the Reception and Diagnostic Center, where staff started employing the objective scoring instrument to classify new prisoners.

Simultaneously, staff involved with classification at the institutional level were being trained to use the new instrument. A three-person team traveled to each institution to conduct a three-day training session based on lectures and scoring exercises derived from case files. After each exercise, results were discussed to ensure a high degree of interrater reliability and consistency with the objective system.

In April 1983, staff began reclassifying prisoners assigned to their institutions, although, administratively, it had been decided that no

immediate transfers would result from these new classifications. By May all prisoners had either an initial classification or a reclassification score.

At this time, copies of these scores were submitted to the data processing section for computer entry, and a specially designed program was used to analyze the scores for presentation to Department executive staff. The executive staff believed that the distribution of prisoners among classification categories was inconsistent with their knowledge of the inmate population. As a result, the classification instrument was modified. Scores for all inmates were readjusted, a new analysis performed, and the system finalized.

Due to the alteration of the scoring instrument and continuing confusion among classification staff, a second round of training sessions was conducted during October 1983. Following these sessions, staff continued to score prisoners consistent with the new objective system, and no further training was undertaken.

The most problematic aspect of the implementation process seems to have been the training component. Some staff, for example, feel that a longer training period was needed or that sessions should have included more scoring practice/discussion. Some also believe a larger training team was needed. Other staff think a key person should have been designated at each institution. This person would train other staff, particularly new ones. In contrast to the "key person" approach, some staff think regular training sessions should be instituted. Such sessions, they believe, would assure greater department-wide consistency than training conducted by supervisors, while also updating staff on any changes in the system. A few staff also expressed dissatisfaction that superintendents had received limited training and, consequently, did not seem to have sufficient understanding of the system. The greatest concern among staff, however, was that the administration had not been represented during the training sessions. Frequently, staff raised questions that required administrative interpretation, and the inability of the training team to respond created distrust in the new system.

Several other problems related to implementation have also been noted. The user's manual, according to some staff, could have been better developed, particularly in regard to specification, and more complete prior to the initial training sessions. Increased paperwork was another problem perceived during implementation. In addition, scoring was sometimes made difficult by a lack of information, such as presentence investigation reports, medical test results, and detainer and/or warrant verification. Finally, some staff believe that implementation would have been more effective if it had been done more slowly, with institutions coming on line one by one.

Classification System Goals and Objectives

Early in the development phase of the new classification system, the steering committee adopted the following goals:

- "1. To provide for the development of sufficient prison capacity in appropriate locations.
2. To provide capacity that is sufficiently secure, consistent with professional classification, to protect correctional employees and the public at large.
3. To provide for the critical medical, educational, and vocational needs of prisoners and to ensure that once these needs are met, that prisoners are put to work to reduce the cost of operating the prison system.
4. To provide sufficient staff to safely and effectively operate each operation.
5. To provide a healthy, safe and humane environment in which inmate [sic] can discharge their obligation to society.
6. To provide adequate facilities in which to fulfill the previous basic objectives of the [Corrections Master] Plan."

Staff report that these goals proved very helpful in guiding initial planning efforts.

To date, no formal evaluation of the new system has been conducted, so it is not yet possible to determine the extent to which these goals have been met.

Classification System Description

The new classification system is based on the Correctional Classification Profile, developed by Correctional Services Group, Inc., in 1981. The heart of this system is the Initial Classification Analysis (ICA) and the Reclassification Analysis (RCA), comprising eight factors of major importance in determining the appropriate institutional assignment of the inmate. (See Figures 1 and 2.)

Each of the factors on the ICA/RCA is scored on a range of "5" to "1," with "5" being the highest or most important need and "1" being the lowest or least important. The evaluator determines the appropriate value according to definitions provided for each factor. Examples of the instruments used to score the eight factors are presented in Figures 3 and 4, which

Missouri Department of Corrections & Human Resources
DIVISION OF ADULT INSTITUTIONS
INITIAL CLASSIFICATION ANALYSIS (ICA)

NAME _____ NUMBER _____ DATE _____

FACTOR	CODE	ICA SCORE	JUSTIFICATION	TREATMENT
Medical and Health Care Needs	M	1 2 3 4 5		
Mental Health Care Needs	MH	1 2 3 4 5		
Security/ Public Risk Needs	P	1 2 3 4 5		
Custody/ Institutional Risk Needs	I	1 2 3 4 5		
Educational Needs	E	1 2 3 4 5		
Vocational Training Needs	V	1 2 3 4 5		
Work Skills	W	1 2 3 4 5		
Proximity to Release Residence/Family Ties	F	1 2 3 4 5		

PROTECTIVE CUSTODY _____

INMATE SIGNATURE _____ SCORED: _____
(Name and Title)

DATE REVIEWED _____ ASSIGNED TO _____

DAI - 0001 (1/83)

Missouri Department of Corrections & Human Resources
DIVISION OF ADULT INSTITUTIONS
RE-CLASSIFICATION ANALYSIS (RCA)

NAME _____ NUMBER _____ DATE _____

FACTOR	CODE	RCA SCORE	JUSTIFICATION	TREATMENT
Medical and Health Care Needs	M	1 2 3 4 5		
Mental Health Care Needs	MH	1 2 3 4 5		
Security/ Public Risk Needs	P	1 2 3 4 5		
Custody/ Institutional Risk Needs	I	1 2 3 4 5		
Educational Needs	E	1 2 3 4 5		
Vocational Training Needs	V	1 2 3 4 5		
Work Skills	W	1 2 3 4 5		
Proximity to Release Residence/Family Ties	F	1 2 3 4 5		

PROTECTIVE CUSTODY _____

INMATE SIGNATURE _____ SCORED: _____
(Name and Title)

DATE REVIEWED _____ ASSIGNED TO _____

DAI 0002 (1/83)

Missouri Department of Corrections & Human Resources
DIVISION OF ADULT INSTITUTIONS
INITIAL CLASSIFICATION ANALYSIS

Name _____ Number _____ Date _____

PUBLIC RISK ASSESSMENT
(CODE P)

Instructions: Circle appropriate level and enter P-Score.

A. Extent of Violence, Current Offense

1-None	2-Threat	3-Injury Provoked	4-Unprovoked Injury/Death	5-Capital Murder/ Life Sentence
--------	----------	----------------------	------------------------------	------------------------------------

B. Use of Weapon, Current Offense

1-None	2-CCW	3-Weapon Involved
--------	-------	----------------------

C. Escape History

1-None	2-Unsupervised over 6 mos. ago	3-Unsupervised less than 6 months ago	4-Supervised, over 2 yrs. ago	5-Supervised, less than 2 yrs. ago
--------	--------------------------------------	---	-------------------------------------	--

D. Violence by History

1-None	2-One Incident	3-Two Incidents	4-Three or more Incidents
--------	-------------------	--------------------	------------------------------

E. Detainer/Holds

1-None	2-Misdemeanor Detainer ex- pected to in- crease sen- tence length by less than 6 months	3-Detainer, ex- pected to in- crease sen- tence length by more than 6 months, Class D or less felony	4-Detainer, ex- pected to in- crease sen- tence length, Class C fel- ony or above	5-Detainer, cap- ital offense, or life sentence
--------	---	---	--	--

F. Time to Expected Release

1-(0-12) months	2- 1-4 years to serve	3- 4-7 years to serve	4- 7-10 years to serve	5- 10 years+ to serve
--------------------	-----------------------------	-----------------------------	---------------------------	--------------------------

G. Community Stability, (from Client Analysis Scale)

1-Regular level (16-31 points)	2-Intensive level (4-16 points)
-----------------------------------	------------------------------------

H. Sexual Offender

4-Current Sex
Offense

P-Score

Missouri Department of Corrections & Human Resources
DIVISION OF ADULT INSTITUTIONS
INITIAL CLASSIFICATION ANALYSIS

Name _____ Number _____ Date _____

INSTITUTIONAL RISK ASSESSMENT
(CODE 1)

Instructions: Circle appropriate level and enter I-Score.

A. Prior Institutional Adjustment (Recidivists to be scored at no higher level than that assigned at time of release.)

1. Escapes, History

- | | | | | |
|--------|---|---|--|---|
| 1-None | 2-Unsupervised
escape over 6
months ago | 3-Unsupervised
escape less
than 6 mos.
ago | 4-Supervised
escape (C-2,
C-5) over 2
years ago | 5-Supervised
escape (C-2,
C-5) less
than 2 yrs.
ago |
|--------|---|---|--|---|

2. Inmate Assault History

- | | | | | |
|--------|--------------------------------------|--|--|-------------------------------------|
| 1-None | 2-Other,
assaultive
background | 3-Unprose-
cuted assault
on inmate | 4-Prosecuted
assault on
inmate or un-
prosecuted
assault on
staff | 5-Prosecuted
assault on
staff |
|--------|--------------------------------------|--|--|-------------------------------------|

3. Other

- | | | | |
|--------------------------------------|--|--|---|
| 1-No serious
infractions
noted | 2-Possession of
dangerous
contraband | 3-Major dis-
ciplinary
violation | 4-Involvement
in serious in-
stitutional
disturbances,
e.g., riot |
|--------------------------------------|--|--|---|

B. Adjustment Under Probation and Parole Supervision

- | | |
|--|--|
| 1-No History of
supervision
or has suc-
cessfully
completed most
recent period
of super-
vision | 2-Most recent
period of
supervision
revoked |
|--|--|

C. Alcohol/Drug Problems

- | | | |
|--------------|---|--|
| 1-No history | 2-History, but
has not in-
terfered with
institutional
adjustment | 3-Has accumulated
an average of
one or more al-
cohol and/or
drug related
conduct viola-
tions during the
last three years
of most recent
incarceration |
|--------------|---|--|

I-Score

deal with assessing an inmate's needs relative to public risk (security) and institutional risk (custody).

Factors are listed in order of priority, going from top to bottom. Thus, the first consideration to be made in determining an institutional assignment is that of the inmate's medical needs. This is followed by consideration of the inmate's mental health needs, etc. The factor having the highest score (among the first five factors) represents the greatest concern in assigning the inmate to an institution and becomes the primary factor in determining institutional assignment. Where more than one institution has the resources available to address the primary factor, the caseworker proceeds to pair the remaining factors with institutional resources, using the Institutional Resource Grid (Figure 5), until a "best match" is identified.

In order to assure that inmates continue to be housed at institutions that are compatible with public safety and meet the changing needs of inmates, a reclassification procedure has been established, based on the same considerations and factors used in determining initial classification.

Each inmate assigned to the Department of Corrections and Human Resources is periodically reviewed and rescored on the eight factors of major importance. These reclassification scores are entered on the Reclassification Analysis form and compared with institutions' resources to determine if the institutional assignment should be changed to better meet the inmate's needs. Reclassification thus reflects the inmate's movement through the correctional system to eventual release by regularly and objectively evaluating progress made by the inmate in the areas covered by the eight factors. This program also reflects the ability of the inmate to eventually be returned to society as a productive citizen.

Classification System Administration and Management

The initial component of Missouri's classification system is administered by the Department's Diagnostic Center Superintendent, whose staff complete all background interviews and perform educational and psychological testing of prisoners entering the state's correctional system. The Diagnostic Center Superintendent is administratively responsible to the Department's Director of Institutions.

Initial and reclassification decisions pertaining to security assignments and transfers are under the purview of the Central Transfer Authority (CTA). The CTA is a new office established in conjunction with the new classification approach. The Central Transfer Authority also is currently responsible to the Director of Institutions.

The classification system will soon come under the authority of a new Director for Classification and Treatment. This position, to be established in early 1985, will be responsible for overseeing all classification

Institutional Resources Grid

Missouri State Penitentiary	5	4	5	5	4	3
Missouri Training Center for Men	3	4	4	4	5	4
Missouri Eastern Correctional Center	3	4	4	4	5	4
Central Missouri Correctional Center	2	2	3	3	5	3
Missouri Intermediate Reformatory	2	2	3	3	5	5
Renz Correctional Center/Male	2	3	2	2	2	3
Renz Correctionsl Center/Female	3	4	5	5	4	4
Ozark Correctional Center	2	2	2	2	4	5
State Correctional Pre-Release Center	2	2	2	2	1	1
Boonville Correctional Center	2	3	3	3	5	5
Chillicothe Correctional Center	2	3	2	2	5	5
Ka Cee Honor Center	2	2	1	1	-	-
St. Mary's Honor Center	2	2	1	1	-	-
Halfway House	2	2	1	1	-	-

actions within the agency, as well as the delivery of all inmate rehabilitative programs.

Classification System Costs

The new Missouri correctional classification system was developed through funding by the National Institute of Corrections. The Institute funded, through a short-term technical assistance grant, the initial assessment of the former classification approach in late 1979 and, through its FY 1981 Program Plan, the eventual development of the present classification system.

While minimal Department funds were used directly for development of the system, a moderate amount of funding was expended for staff time and travel expenses to attend a series of workshops conducted by the consultant group. Considerable more funding was expended to develop the new classification approach, particularly to conduct the two discussion sessions during the development phase.

Classification System Effectiveness

As noted previously, Missouri's new classification system has not been formally evaluated. However, interviews with supervisory and administrative personnel, conducted eighteen months after implementation began, provide an indication of how effectively staff perceive it to be operating. A number of institutional staff have expressed frustration concerning the new system. Although the scoring instrument appears to be classifying inmates appropriately, inadequate bed space often thwarts appropriate housing assignments. Consequently, prisoners must frequently be housed according to available bed space, a situation that has led some staff to conclude the system does not work.

Other concerns have also been brought out. There is a general perception that continued viability of the system is dependent on the appointment of a single focus of control. This control appears necessary to interpret guidelines, monitor consistency of application, and decide whether suggested changes should be considered and incorporated into the system. This concern should be resolved with the appointment of the Classification and Treatment Director, as discussed earlier. In addition, as noted earlier, some staff believe that the new system does not adequately address special management inmates. Finally, parole staff express some dissatisfaction with the incompatibility between reclassification and community placement needs. However, they also acknowledge that since institutional and parole objectives are so disparate, compatibility is highly unlikely to occur.

Still, most staff appear relatively satisfied with the new system. They had perceived a need for objective classification and think the new system classifies prisoners much more accurately relative to their security,

custody, and program requirements. They also believe it has reduced management problems and transfers.

Such favorable views appear to have gained some support from a recent study conducted by the Department's research and planning unit. Although a direct relationship to the new classification system was not established, the study found that in 1984 the Department experienced its lowest escape rate in ten years, .34%. This finding is particularly noteworthy since the Department was simultaneously housing its largest population in over a decade.

In general, then, staff appear dissatisfied not so much with the new system as with the conditions under which it must currently operate.

Classification System and Special Management Inmates

Similar to most other objective classification approaches, the new Missouri system does not address itself directly to the security and custody requirements of special management prisoners. The unique housing requirements of administrative and disciplinary segregation inmates, protective custody and death row prisoners, and inmates subject to mental illness or substantial retardation often supercede the capabilities of the Department's objective scoring system. Given this limitation, the plan developed by the consultant group made several recommendations relative to the classification of special management prisoners. In response to these recommendations, the Department is establishing a centralized treatment unit for prisoners with serious mental health problems, and developed a special needs assessment program to identify and suggest programming for prisoners who may experience adjustment problems.

Classification System and Female Inmates

Female prisoners are classified under the same system as male prisoners. Although the system was easily adapted for use with females, some question about its appropriateness exists. For instance, female long-term inmates are significantly less likely than males to be violent, but the length of their sentences excludes them from lesser security levels, where they might benefit from greater programming and work opportunities.

At the time this case study was being prepared, an evaluation was being conducted by the University of Missouri-Columbia to validate the ability of the classification system to effectively identify the security and program needs of female inmates. Initial findings suggest the system does achieve both of these objectives.

Classification System Use in Planning

The new classification approach was employed to provide an assessment of the types of prisoners in the Missouri correctional system now and those likely to be confined over the next decade. This effort was conducted as part of a ten-year master plan recently completed for the Department of Corrections and Human Resources. The findings of this analysis suggest that new construction should concentrate on lower and medium security beds, with lesser emphasis on high security prisoner housing requirements.

OBJECTIVE PRISON CLASSIFICATION CASE STUDY: NEW YORK

INTRODUCTION

The New York objective classification system employs an additive scale in combination with a decision tree to measure public and institutional risk. The system was developed to improve management of the agency's expanding prisoner population and to standardize classification decision-making. Recent assessments of the new system indicate that it is meeting the agency's goal of increasing lower security level placements without resulting in reverse transfers and danger of escape or violence. The system has also proved successful in promoting consistent decision-making and enhancing management of the classification process.

OBJECTIVE PRISON CLASSIFICATION SYSTEM DESCRIPTION

Origin and Development

Historically, classification decisions in New York were based largely on custom and intuition. As a result, decisions were inconsistent between individual counselors, between counseling units at different institutions, and between facilities and central office review staff. Furthermore, the reasons for decisions were not explicitly set forth.

By the late 1970s, this lack of consistency and explicitness became intolerable for four reasons. First, the Department had expanded rapidly from a system of 17 facilities for 13,000 inmates to a system of 32 facilities for 21,000 inmates. This growth, along with the resultant increase in organizational complexity, severely strained the Department's ability to manage the informal classification system. Second, capacity expansion to house the population increase was almost entirely medium security. Consequently, staff were forced to classify inmates to lower levels of security than they had been accustomed to, without any new criteria to replace the customary ones. In addition, staff were faced with frequent and unpredictable requests from central office to quickly identify additional reduced security inmates. Third, considerable disagreement existed regarding the appropriateness of classification decisions. The Budget Office thought inmates were overclassified; many Department staff thought inmates were underclassified. Fourth, as courts became more concerned with classification, the Department's system became increasingly vulnerable to legal challenge.

By the latter part of the decade, it was apparent that existing operations were in need of revision. The agency needed a system that could be managed more effectively, would produce widely accepted decisions, would appropriately identify inmates for reduced security, and would be legally defensible.

Development of a new classification system began in November 1978, following receipt of an NIC grant to evaluate and improve the security classification process at the Department's reception/classification centers. Project staff, consisting of a project director and research assistant, were selected. The director reported to the Assistant Commissioner in charge of classification. In addition, the Commissioner appointed a Security Classification Guideline Steering Committee, composed of superintendents representing different security levels, relevant executive staff, and directors of relevant offices. The Steering Committee advised project staff and made final guideline recommendations to the Commissioner. Staff decided to design separately a guideline for initial security classification of adult males, then one for young males, and finally a reclassification guideline for all males.

The project proceeded through several developmental steps. First, in order to take advantage of work already done, the literature on objective guidelines in criminal justice was reviewed and a report written. The written policies and procedures concerning classification in federal and other state jurisdictions were also examined.

Second, to better understand the context into which the new system would be introduced, the current classification system was reviewed, and a statistical analysis of classification decisions was completed.

Third, project staff worked intensively with staff at the classification center for adult males to design a draft guideline. Classification staff first identified the criteria that they used to make decisions. Once the criteria were identified, they were quantified and assigned relative weights. Through participant observation, the project director also determined the assumptions underlying classification decisions. Out of this work came a draft Initial Adult Guideline.

Fourth, project and classification staff made field visits to all facilities receiving adult male inmates following initial classification, and the draft guideline was discussed with staff at each facility. As a result of these visits, the draft guideline was modified.

Fifth, detailed guideline scoring rules were written. This task required careful study of the completeness and quality of the written data available to classification staff.

Sixth, a simulation of several guideline variants was run on a random sample of inmate cases, the outputs of these variants were analyzed, and the draft was modified once more.

The same steps were used to develop the Initial Guideline for Young Males and the Reclassification Guideline for Males, with the following additions. For the youth guideline, a regression analysis was run to study whether the

criteria that classification staff thought determined their decisions actually did so. A statistical analysis was also run to ascertain whether the factors used to determine the likelihood of disciplinary problems were valid. In addition, to identify possible predictive factors unknown to staff, a report was prepared summarizing the results of 100 studies that relate inmate characteristics to institutional misconduct.

Agency staff report that few major problems were encountered during the development stage. The only notable difficulty involved some initial resistance by classification officers who believed that their positions might be depreciated or even eliminated due to the use of objective guidelines.

Classification System Implementation

As in the development phase, implementation of the Initial Adult Guideline proceeded through several steps. First, a pilot test was run in which a small number of cases were classified by the staff. The results were then analyzed and discussed by staff. This pilot test resulted in several modifications that made the guideline more "user-friendly."

Second, an interrater reliability test was run; the measure of reliability was extremely high.

Third, the Steering Committee made minor modifications in the guideline and then recommended its adoption to the Commissioner. The Commissioner approved the guideline, and it was written into the Department's official directives.

Fourth, the project director conducted training in use of the new guideline. During the five-day sessions, emphasis was placed on working with sample cases.

Fifth, two monitoring instruments were developed. One summarized the distribution of security classification decisions and overrides by counselor. The second tracked all adult male inmates out of classification into general population and reported all reverse transfers. The reasons for reverse transfer were subsequently analyzed, and the cases were checked for scoring errors.

The Initial Youth Guideline was implemented similarly to the Initial Adult Guideline. However, the Security Reclassification Guideline was implemented somewhat differently. In contrast to the Initial Guideline, which is used at three facilities by staff who specialize in classification, the Reclassification Guideline is employed at 41 facilities by staff who serve several functions in addition to classification. Consequently, the Reclassification Guideline is designed to be much simpler than the Initial Adult Guideline, and, thus, required only one day of training. In the pilot test, the Reclassification Guideline was used at five facilities for four

months, and the results were compared to those from five matched control facilities.

It required approximately two months to implement each of the Initial Guidelines, while it took almost eight months to implement the Reclassification Guideline at all 41 general confinement facilities.

No major constraints were encountered during the implementation phase. However, staff stress the importance of preparing and following an effective implementation plan and allotting sufficient time for implementation activities.

Goals and Objectives

The goals of the Security Classification Guidelines are to promote consistent and explicit decisions; to identify the lowest level of security necessary to protect the public, staff, other inmates, and the inmate himself; and to improve management capability.

Classification System Description

The objective classification system developed by the New York Department of Correctional Services focuses on security alone. Program participation does not enter into the security classification decision at all. The Initial Adult Guideline (Figure 1) distinguishes between two types of security risk: public and institutional. Public risk is a combination of the likelihood that an inmate will escape and the likelihood that he will be dangerous, should he escape. Institutional risk represents the likelihood that the inmate will be dangerous to other inmates and/or staff. Public risk is measured by four factors. The first factor addresses the inmate's pattern of criminal violence. It measures the injury caused or attempted, along with the presence or absence of a weapon in the instant offense and the inmate's other most violent offense. The second factor addresses the inmate's pattern of fleeing criminal justice supervision. It measures the history of escape, abscondance, bail jump, and AWOL. Third is the time remaining to earliest possible release, which measures the inmate's incentive to escape. The last factor is street stability. It examines the inmate's employment, schooling, and family status at time of arrest and his military discharge status. This factor is used as a measure of the inmate's inclination to meet society's expectations.

Institutional risk is measured by two factors: institutional misconduct record on prior term and street stability.

The public risk scores are added to produce a total public risk score, and the institutional risk scores are summed to produce a total institutional risk score. These two scores are then combined on a matrix to determine the inmate's security level. The system does not establish custody levels.

INITIAL SECURITY CLASSIFICATION GUIDELINE – ADULT

INMATE NAME /_/_/_/_/_/_/_/_/_/_/_/_/_/_/_/_
(Last Name)

(First Name)

(DIN)

1. PUBLIC RISK SCORE

A. Criminal Behavior

Instant Offense	=	Weapon	+	Forcible Contact	
		C = No		0 = None	3 = Serious Injury
		1 = Yes		1 = Threat	4 = Death
				2 = Force/Injury	

Other Offense = Weapon + Forcible Contact

0 = No 0 = None 3 = Serious Injury

1 = Yes 1 = Threat 4 = Death

2 = Force/Injury

Crime/Year Committed _____

B. Time to Earliest Release

1 = 0-12 Months	3 = 25-36 Months	5 = 49-60 Months
2 = 13-24 Months	4 = 37-48 Months	6 = Over 60 Months

Score for Possible Additional Time

C. Escape, Abscondance, Bail Jump, AWOL

- 1 = Successful Pre-trial Release	2 = Two	12 = Escape
0 = None/No Incarceration	3 = Two-More serious	
1 = One/Never on Supervision	4 = Temp. Rel. Abscond.	

D. Street Stability
0 = High 1 = Average 2 = Low

II. INSTITUTIONAL RISK SCORE

A. Prior DOCS Institutional Adjustment
0 = Good-Average/No Incarcerations 2 = Below Average 6 = SHU
1 = No Prior DOCS Record 4 = Poor

8. Street Stability
0 = High 1 = Average 2 = Low

Guideline Decision

		PUBLIC RISK				
		1 - 5	6	7 - 9	10 - 11	12 - 30
INSTITUTIONAL RISK	0 - 2	Minimum	Medium B	Medium A	Maximum B	Maximum A
	3 - 4	Minimum	Medium B	Medium A	Maximum B	Maximum A
	5 - 8	Maximum B	Maximum B	Maximum B	Maximum B	Maximum A

Guideline Override

☐ (Specify) _____

COUNSELOR'S FINAL SECURITY CLASSIFICATION DECISION

MINIMUM	MEDIUM B	MEDIUM A	MAXIMUM B	MAXIMUM A
---------	----------	----------	-----------	-----------

OTHER CHARACTERISTICS

- | | | | | | |
|----|---|----|--|----|--|
| 1 | ☐ Notoriety of Crime(s) or Criminal | 11 | ☐ Violence Against Authorities | 16 | ☐ Family Court Protection Warrant |
| 2 | ☐ Sophistication of Crime(s) or Criminal | 22 | ☐ Nomad | 17 | ☐ Group Membership |
| 3 | ☐ Involvement in Crime(s) was minimal | 7 | ☐ Inmate Negative Attitude | 18 | ☐ Sentence Structure |
| 4 | ☐ Pattern of Callous Violence | 8 | ☐ Family/Other Street Circumstances | 19 | ☐ Suicidal |
| 5 | ☐ Vicious Violence | 12 | ☐ Riot Leader | 20 | ☐ Psychological Instability |
| 6 | ☐ Pattern of Impulsive Violence | 13 | ☐ Aggressive Homosexual | 21 | ☐ Vulnerability |
| 9 | ☐ Sex Crime(s) | 14 | ☐ Overt Homosexual | 23 | ☐ Enemies |
| 10 | ☐ Arson (not for money) | 15 | ☐ INS Detainer | 24 | ☐ Other |

CLASSIFICATION COUNSELOR _____ (Signature) _____ (Date)

The Initial Youth Guideline is the same as the Initial Adult Guideline, with two exceptions. First, street stability includes school disciplinary problems. Second, reception center disciplinary adjustment replaces disciplinary adjustment on a prior term. Though reception disciplinary adjustment is a weaker predictor of general confinement adjustment than is adjustment on a prior term, only 2% of young male inmates have served prior state terms.

The Security Reclassification Guideline (Figure 2) is designed so that an inmate's security level will tend to steadily decrease during confinement, unless disciplinary adjustment is unacceptable. The same factors are used to measure public risk, and a new factor, percent of time served, is added. This factor is an additional measure of incentive to escape. Institutional risk is measured by the inmate's disciplinary adjustment over the past year, as reflected by the most serious dispositions. The structure of the Reclassification Guideline is both additive and decision tree. First, the institutional risk is measured. If the risk is unacceptable, the inmate will not be reduced in security, and the public risk score need not be calculated. If the institutional risk is acceptable, then the public risk is calculated, and the inmate is classified accordingly.

Overrides are allowed, and they require written justification. There are 24 specified reasons for overrides; many of these are non-judgemental factors that cannot plausibly be measured by points, such as sex crimes. The most frequent reason given for overriding the classification instrument at initial classification is poor adjustment, either in jail or during classification. The current override rate is estimated at 20-25%.

The New York system has no formal inmate needs assessment instrument, but needs are generally identified through standardized educational, intelligence, vocational, and medical testing.

Classification System Administration and Management

Initial classification is conducted at the classification centers at Downstate and Wende (adult males), Elmira (young adult males), and Bedford Hills (females). A classification analyst completes an Initial Security Classification Guideline for each new admission, and the resultant classification is then reviewed at the supervisory level.

Reclassification occurs every six months at institutional guidance units, based on completion of the Security Reclassification Guideline. Decisions go through two levels of review at the facility and then central office review.

Both initial and reclassification decisions are monitored in several ways. Supervisors regularly review selected cases. In addition, monthly reports are checked by central office staff. These reports monitor consistency of decisions, accuracy of scoring, and success of eventual placements.

Classification System Cost

Funding for the first year of the Classification Improvement Project came principally from an NIC grant totalling approximately \$50,000. Most of these monies were used for personnel costs. NIC also provided some consulting services during system development.

Classification System Effectiveness

In terms of the problems it was designed to solve and its stated goals, New York's objective classification system has been successful. Monitoring reports show that consistency and explicitness have been increased at initial classification. Inmates have been placed at lower security levels without increases in escape or disciplinary misconduct, and unsuccessful placements are minimal. At initial classification, the proportion of minimum security decisions has increased from 5 to 12% since the initial guidelines were introduced; maximum security decisions have decreased from 55 to 45%. In addition, management capability has been enhanced substantially. Classification staff can be supervised more effectively and classification criteria can be modified more rationally to improve classification. Disagreement over security classification decisions among staff and among agencies, if not stilled, has become almost non-existent.

Classification System and Special Management Inmates

The Department's initial classification system is designed to classify most inmates relatively quickly while identifying those with special needs. Inmates who are vulnerable, have mental or physical health problems, or are mentally retarded are placed in extended classification where their requirements are carefully assessed. Special placements are then made.

Classification System and Female Inmates

The Department does not currently employ an objective system to classify female inmates. However, its plans for classification improvements in 1985 include studying the feasibility of introducing such a system.

Classification System and Planning

New York currently has no structured mechanism for integrating classification data into departmental planning. However, classification information does enter informally into decision-making in such areas as capacity expansion and programming plans.

OBJECTIVE PRISON CLASSIFICATION CASE STUDY: WISCONSIN

INTRODUCTION

In October 1982, the Wisconsin Division of Corrections began serving as a pilot site for the National Institute of Corrections (NIC) prison classification model. Wisconsin's involvement was prompted by the Deputy Administrator of the agency, who had assisted NIC with the development of the classification model. The system lends objectivity to classification in Wisconsin by utilizing rating instruments that assess inmate risk factors; assess inmate needs for programs and services; assign inmates to the least restrictive custody level based on risk; and assist in the assignment of inmates to available treatment, education and training programs based on needs. Additionally, the classification system provides reassessment of risk and needs at a minimum of every six months.

Overall, the Division is pleased with the system. Although a high percentage of overrides is present, staff feel that inmates are classified more rationally and appropriately and that greater consistency has been achieved throughout the Division. Some line staff frustration has resulted from not being able to fully meet identified inmate program needs due to budget constraints and overcrowding. The administration, however, is using the data generated by the system for planning and budgeting, as well as to assess and revise existing policies and practices.

OBJECTIVE PRISON CLASSIFICATION SYSTEM DESCRIPTION

Origin and Development

The previous classification system was highly subjective and somewhat labor intensive. It was basically a committee process with a primary emphasis on programming. Its strong points included fairly comprehensive testing and review procedures at the reception center, high quality information from the field (a pre-sentence or admission investigation completed on all inmates), and program reviews completed every six months. Weak points were the lack of objective criteria and consistency, the inability to monitor the system, and the lack of a data base containing aggregate custody and program needs information for facility planning.

Although the committee system contained all the elements of due process and the agency had always successfully defended the system in court, two major reasons were identified for adopting the NIC classification system. First, the Division desired more objective decision-making criteria to better structure the classification process, thereby leading to more appropriate and consistent decisions. Second, the Division wanted to create a data base for facility and program planning.

The agency initially felt that the NIC instrument disregarded length of stay as a key element in classification. Therefore, it requested that length of stay criteria be added to the custody rating scale and that the scales be piloted in selected institutions. However, since Wisconsin was a pilot site for the NIC model, the scales were not changed and the pilot was conducted statewide. The agency agreed to this approach but indicated overrides would occur whenever it was felt that length of stay affected appropriate classification.

Many classification staff, accustomed to the committee approach, were reluctant to allow an "instrument" to determine a custody rating. Moreover, although Central Administration was willing to use the scales as a tool to assist committee decision-making, it did not want the instrument to be the focal point of classification decisions. Thus, there was a strong desire to keep a human element of subjectivity and consensus in the process. These attitudes appear to have exerted a significant influence on implementation practices in general and overrides in particular.

Classification System Implementation

Implementation was guided by a written action plan. However, implementation of the system proceeded slowly, and Wisconsin, initially established as a pilot for the NIC system, actually fell behind the implementation schedules established in several other states.

Orientations to the system were made to the Division's management team, treatment directors, and security directors. Monthly orientations were provided for new staff at the Corrections Training Academy. The principal staff training involved approximately 80 agency personnel in a two-day session conducted by the Chief of Classification. He was aided by the assistant classification chief from Kentucky since that state was ahead of Wisconsin in implementation and able to provide valuable advice. Participants included all of the classification staff and most institution social services workers. The training was well received, and staff reported a good understanding of the system and process. Administrative support was described as motivating, helpful, and appropriate.

Since an effective classification process was already functioning and program reviews were occurring every six months, the agency found it fairly easy to merge the NIC system into existing processes and procedures. The development of a user's guide greatly assisted the process and enhanced consistency of implementation.

Staff acceptance of the system during implementation was mixed. Many staff did not see a need to change from the previous classification system. Some felt the new system required additional paperwork and were frustrated that identified needs did not translate into program placements due to a lack

of resources caused by budget constraints and overcrowding. However, as implementation progressed, many staff recognized that the new system provides valuable information to the classification committee and that the objective criteria help structure and shorten committee meetings.

Inmate response is described as positive. Inmates receive written notification of committee meetings, participate in the meetings, and receive a written decision. Inmates reportedly are pleased with the objectivity of the instruments and feel they lend an element of fairness to the decision-making process. Inmates especially like that reclassification relies heavily on individual adjustment and recent behavior rather than historical considerations that they are unable to influence.

The departure of the Deputy Administrator to a new job in another state and the transfer of the Classification Chief to a new position created some delays and led to some questioning of agency support for the new system. However, it appears that the agency is committed to maintaining the new system and is continuing to make refinements and improvements to aid its effectiveness.

Goals and Objectives

The Division's goals and objectives for its new system are well articulated. First, the Division wanted to add objective elements to the classification process, while maintaining the integrity of the classification committee structure, to provide more consistent classification decisions. Second, the Division wanted to automate the classification system and develop a data base for use in facility planning, evaluation, budgeting, and system monitoring. Finally, it wanted to strengthen its ability to monitor the classification process.

Classification System Description

The Division operates one central reception center for male inmates and a women's prison that doubles as a reception center for female inmates. All inmates initially enter the system through a reception center, and new inmates are summarily classified maximum custody for the first 30 days. During this time, the initial classification process occurs.

A social worker gathers the pre-sentence or admission report, documents needed information, and prepares a report. The social worker then completes the Initial Inmate Custody Rating (Figure 1). This form requires a forced-choice rating of several items, including history of institutional violence, severity of current offense, escape history, alcohol/drug abuse, detainers, prior felony convictions, and stability factors. The Initial Inmate Custody Rating sheet is scored and totaled, indicating a recommended assignment to maximum/close custody, medium custody, or minimum custody. The social worker also completes the Inmate Needs Assessment Form (Figure 2). This form also

Inmate Name – Last, First, MI (1-19)	Case Number (20-25)	Institution Code (26-27)
Caseworker – Last Name Only (28-42)		Date Rating Completed (43-48) (Mo/Day/Yr)

RATING FACTORS (Select appropriate answer & enter associated value in score column.)		SCORE
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E-119

INMATE NEEDS ASSESSMENT

Inmate Name - Last, First, MI (1-19)	Case Number (20-25)	Institution Code (26-27)	Date of Rating (28-33) Mo/Day/Yr	Type of Rating (34) 1 ☐ A&E 2 ☐ PRC
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INSTRUCTIONS: Check box to indicate appropriate response in Area of Need. Determine priority for each area based on assessment of motivation for treatment, amenability for treatment and urgency of need. Indicate priority by checking the appropriate box.

RATING	AREA OF NEED	PRIORITY
--------	--------------	----------

EMOTIONAL/MENTAL HEALTH:

- 1 ☐ Exhibits appropriate emotional responses.
- 2 ☐ Has some signs of mental health problems but not related to crime and would not lead to institutional adjustment problems.
- 3 ☐ Severe problems affecting institutional adjustment or related to criminal pattern.

- 1 ☐ High
2 ☐ Med
3 ☐ Low

(36)

ALCOHOL ABUSE:

- 1 ☐ Adequately copes with alcohol consumption, related to social situation.
- 2 ☐ Use of alcohol predominant in most social and private situations. Consumption has negatively affected one or more major life areas.
- 3 ☐ Heavy use of alcohol affecting several major life areas, may be psychologically or physically dependent. Consumption may have some relationship to crime.

- 1 ☐ High
2 ☐ Med
3 ☐ Low

(38)

DRUG ABUSE:

- 1 ☐ Does not use illicit drugs, adequately copes with prescription drugs.
- 2 ☐ Heavy user of marijuana, short term experimentation with hard drugs, or combination use of alcohol and drugs. Consumption negatively affects one or more major life areas.
- 3 ☐ Heavy use of hard drugs affecting several major life areas, may be psychologically or physically dependent. Consumption may have some relationship to crime.

- 1 ☐ High
2 ☐ Med
3 ☐ Low

(40)

EDUCATION:

- 1 ☐ Has adequate education level with no negative effect on employment or ability to function in society.
- 2 ☐ Inadequate educational level to pursue vocational training. Needs GED or HED to enhance employment opportunities. May require refresher courses to bring education in line with vocational training. Desires college education to complete academic training.
- 3 ☐ Illiterate or low academic ability, unable to communicate with others, prevents employment, needs academic training before acceptance into vocational programming.

- 1 ☐ High
2 ☐ Med
3 ☐ Low

(42)

VOCATIONAL:

- 1 ☐ Maintained employment with marketable skills, adequate financial status and education level.
- 2 ☐ Marginal work history, may have some work skills, results in marginal financial income.
- 3 ☐ Unstable or no employment with no marketable skills, financially unstable.

- 1 ☐ High
2 ☐ Med
3 ☐ Low

(44)

Form 3 (45)

requires a forced-choice rating of several items; for example, emotional/mental health, alcohol/drug abuse, and educational and vocational needs. Several other reports are prepared at initial classification, including an education and career report, a psychological report, medical report, and dental report. Finally, information from both forms is transferred to the Assessments Evaluation Inmate Classification Summary (Figure 3).

All reports, including the Initial Inmate Custody Rating and the Inmate Needs Assessment, are reviewed by the classification committee. This committee consists of a social worker, security officer, and classification specialist, who reach consensus on a custody rating, program recommendations, and a facility placement recommendation. The committee may override the scored custody designation if it feels the action is appropriate.

The committee's recommendations are forwarded to Central Classification Office, where they are either approved or denied. The inmate is then assigned a custody rating and transferred to the designated facility, along with programming recommendations.

A program review and classification reassessment are conducted regularly for every inmate. This process is managed by a program review coordinator at each facility who reports directly to the classification office. A Program Review Inmate Custody Rating form (Figure 4) is completed every six months or at the point of program reassignment or program completion, or in response to special needs or disciplinary problems. This form requires a forced-choice rating of some of the same items on the initial custody form, but includes factors of actual institutional conduct on which to score and base reclassification decisions. These scores are totaled and indicate reclassification to maximum/close custody, medium custody, and minimum custody, unless overridden.

The Program Review Committee consists of the program review coordinator, a social services supervisor, security supervisor, and educational specialist. The committee's decisions and recommendations are reviewed at Central Office and either approved or denied.

All initial classification and program review actions are entered and tracked by the Division's management information system.

Classification Administration and Management

The Division's classification system is administered by the Chief of Classification and managed with the assistance of classification specialists at Central Office.

At the reception centers, classification supervisors manage the process and report to the Chief of Classification. As mentioned, each facility has a program review coordinator who also reports to the Chief of Classification.

PROGRAM REVIEW
INMATE CUSTODY RATING

Inmate Name - Last, First, MI (1-19)	Case Number (20-25)	Institution Code (26-27)
Caseworker - Last Name Only (28-42)		Date Rating Completed (43-48) (Mo/Day/Yr)

RATING FACTORS (Select appropriate answer & enter associated value in score column.) SCORE

Date and/or Remarks		SCORE
	1. HISTORY OF INSTITUTIONAL VIOLENCE (Review individual's entire background of incarceration for five years prior to this classification.)	
	None	0
	Assault and battery not involving use of a weapon or resulting in serious injury	3
	Participation in institution disturbance or riot	5
	Assault and battery involving use of a weapon and/or resulting in serious injury or death	7
		(49)
	2. Did above assault occur within last eighteen months?	
	Yes 3 No 0	(50)
	3. SEVERITY OF CURRENT OFFENSE (Refer to the Severity of Offense Scale. Score the most serious offense of the most current conviction.)	
	Low or Low Moderate 1 High 3 Highest (over 7 years served) 7	
	Moderate 2 Higher 5 (under 7 years served) 10	
		(51-52)
	4. SEVERITY OF OTHER OFFENSES (Score the most severe in inmate's history. Refer to the Severity of Offense Scale and apply to all offenses, except the current offense of number 3 above.)	
	None 0	
	Low 1 High 3 Highest (over 7 years served) 7	
	Moderate 2 Higher 5 (under 7 years served) 10	
		(53-54)
SCORE (Add items 1 through 4)		
(If score is 10 or over, rate as maximum custody. If score is under 10, complete items 5 through 9 and use Custody Scale below.)		
	5. ESCAPE HISTORY (Rate last 5 years of incarceration including disciplinary findings if no court intervention.)	
	No escapes or attempts	0
	An escape or attempt from minimum or below custody, no actual or threatened violence:	
	Over 2 years ago	1
	Within the last 2 years	3
	An escape or attempt from medium or above confinement, or an escape from minimum or below custody with actual or threatened violence:	
	Over 2 years ago	5
Within the last 2 years or 2 or more escapes from any level within last 5 years incarceration	7	
		(57)
	6. INSTITUTION CONDUCT (Major)	
	Major Conduct Penalties (add)	
	Last 6 months x 3	
	Last 6-12 months x 2	
	Last 12-18 months x 1	
	SubTotal	
	Good Conduct Credit (select)	
	No major penalties in 6 mos. = -1	
	No major penalties in 12 mos. = -2	
	No major penalties in 18 mos. = -3	
	SubTotal	
	Total	(58-59)
	7. INSTITUTION CONDUCT (Minor)	
	Minor Conduct Penalties Within Last 6 Months	
	None = -1; 1 or 2 = 0; 3 or 4 = +1; 5 or more = +2.	(60)
	8. CURRENT DETAINER	
	None, or prosecution/extradition not indicated	0
	Misdemeanor-extradition/prosecution indicated	3
	Felony-extradition/prosecution indicated	5
	For higher offense	7
		(61)
	9. PRIOR FELONY CONVICTIONS (Not counting current offenses for this incarceration.)	
	None 0 One 2 Two or more 4	
		(62)
SCORE (Add items 1 through 9)		
TOTAL SCORE		(63-64)
CUSTODY SCALE		
Maximum/close 17 or more		
Medium 8-16		
Minimum 7 or less		
		Form Code 2 (65)

PROGRAM REVIEW
INMATE CLASSIFICATION SUMMARY

Inmate Name: - Last, First		MI	Case Number:	Latest Parole Action (Defer & Date)		Agent Area Number
Total # of Conduct Reports Received	Date of Last Conduct Report	Vulnerable 1 ☐ Yes 2 ☐ No	Type of Review		MR Date (Mo./Day/Yr.)	
		Special Placement Need 1 ☐ Yes 2 ☐ No	1 ☐ Early (ADM) 3 ☐ Early (Offender)	Date of Last PRC Review (Mo./Day/Yr.)		
Sentence Information (Offense, Term, Date of Sentence)					Outstanding Detainers	

Custody Rating Based on Custody Score	Health Classification Codes	Activity Level	Dental Classification/Treatment
1 ☐ Close 2 ☐ Maximum	3 ☐ Medium 4 ☐ Minimum	Primary Secondary Other	
Medical Condition			

Program	Program Code	Progress/Adjust Code*	Participation Code**

*Progress/Adjustment Codes
1 = Excellent
2 = Above Average
3 = Satisfactory
4 = Needs Improvement
5 = Poor

**Participation Codes
1 = Inmate Currently Enrolled
2 = Program Completed Successfully
3 = Inmate Dropped Out, Lack of Interest
4 = Inmate Terminated, Behavior Problems
5 = Inmate Terminated, Administrative Reasons

Program/Program Change Recommendations Program (In Priority Order)	Program Code	Enrollment Code ***	**** Enrollment Codes
			1 = Program Available 2 = Program Currently at Capacity/Unavailable 3 = Program Needed But Does Not Exist at Required Custody Level 4 = Inmate Refuses Program

Social Worker's Summary and Appraisal of Program Review Request

Overrides Affecting Custody Assignment (Check the most important override that applies)

- | | | | |
|---|--|--|--|
| 01 ☐ Emotional Instability | 04 ☐ Criminal Detainer | 06 ☐ Life Sentence | 09 ☐ Institutional Experience |
| 02 ☐ Pending Revocation | 05 ☐ Needs Monitoring of Behavior/
Attitude at Current Level | 07 ☐ Disciplinary Actions | 10 ☐ Other - specify |
| 03 ☐ Juvenile History (Criminal) | 08 ☐ Multiple Offense Involved | | |
- Time to MR Appropriate for 11 ☐ Minimum 12 ☐ Medium 13 ☐ Maximum

Final Custody Rating After Override	Inst. Assignment Code	Recall Date (Month/Year)
1 ☐ Close 4 ☐ Medium-Out	2 ☐ Maximum 5 ☐ Minimum	
3 ☐ Medium	Temporary Assigned Inst.	

If Assigned Institutions Differs From Custody Rating (Check the override that applies)

- | | | | | |
|---|---|--|--|--|
| 1 ☐ Medical | 3 ☐ Dental | 4 ☐ Clinical Testing Evaluation | 6 ☐ Good Time Hearing | 8 ☐ Other (specify) |
| 2 ☐ Education Program Need | 5 ☐ Treatment Program Need | 7 ☐ Institution Needs | | |

Program Review Committee's Comment, Recommendation and Decision

Name of Staffing Committee (Last Names Only)	Decision Date	Form Code 5
Central Office Use Only TRANSFER RECOMMENDATION ☐ Approved ☐ Disapproved ☐ Altered, Approved		Priority Code

Classification System Cost

The new system was developed through funding by the National Institute of Corrections and direct expenditure of Division funds. Although minimal grant and Division funds were used, considerable staff time was devoted to development, training and implementation.

Classification System Effectiveness

An extensive formal evaluation of the new system has not been conducted. However, agency staff have expressed considerable concern over systemwide overcrowding and a high percentage of instrument overrides. Overcrowding stretches scarce Division resources to the maximum, reducing program availability and bed space. An extremely high percentage of overrides plagues the classification process; the administration estimates total overrides to be in the 45% range. A small study of 155 inmates revealed the following shifts after overrides:

	<u>Custody Level</u>		
	<u>Maximum</u>	<u>Medium</u>	<u>Minimum</u>
Indicated Level by Score	10%	31%	59%
Indicated Level After Override	34%	44%	22%

It is difficult to evaluate the override problem without an extensive, more formal evaluation. On the surface, it appears that lowering cutoff scores may be necessary in order to maintain objectivity and reduce the proportion of overrides.

However, some agency staff feel that the real value of the new system is in the creation of a data base for facility planning, identifying program needs, evaluation, and budgeting and, consequently, they are not overly concerned with the overrides. As mentioned earlier, retaining subjectivity and not being locked into an "add up the numbers--assign a level" approach was identified as desirable by staff and administration alike. If this is the general philosophical approach taken by many staff, then it could easily contribute to excessive overrides. The general satisfaction with the previous, more subjective system may have prompted the development of this philosophical approach.

The Division has modified some items and weightings on the custody scale and has extensively modified the needs assessment form.

On the initial custody rating scale, the Division made the following changes:

- Added participation in a disturbance or riot to the history of institution violence question;
- Increased the number of categories of severity of current offense and added length of time served criteria to the highest category;
- Added a category of severity of other offenses and deleted the history of assaultive offense question;
- Increased length of time considerations for escape history; and
- Increased point weightings on questions of severity of current offense and pending detainers.

The following changes were made on the custody reclassification rating scale:

- Incorporated those changes made on items in the initial custody scale;
- Did not change escape history weightings at reclassification; and
- Developed a different method of measuring institution conduct using a "multiplier" approach and separating major and minor misconduct. Multiplying each major misconduct incident times a set weighting increases the effect of major misconduct on reclassification.

The Division also extensively modified the needs assessment rating scale. The Division now uses different descriptions for rating items of emotional/mental health, alcohol/drug abuse, and educational and vocational needs. Additionally, it utilizes a priority rating system (high, medium, or low priority) to rank the described need. NIC reviewed these modifications in 1984. According to agency personnel, these modifications have improved the classification system.

The Division is very pleased with the data base created from the new system. It has utilized the information in planning and designing three new prisons. The data base also allows better monitoring and evaluation than was previously possible. However, the full value of the data base will not be realized until each institution is able to directly access the information system.

Classification System and Female Inmates

Female inmates are classified in the same manner as male inmates. In addition, Client Management Classification (CMC), a semi-structured information gathering and case planning interview, is utilized to prepare the

initial social worker report. The CMC interview is fairly extensive and requires about 45 minutes to administer. It includes detailed questions about the commitment offense, pattern of past offenses, school and vocational adjustment, family relationships and attitudes, interpersonal relationships, and inmate feelings, plans, and problems. Inmate responses to questions are rated and the interview is formally scored. The scores determine specific typologies of inmates. These typologies suggest treatment and programming goals, approaches, and techniques that are beneficial to inmate rehabilitation and reintegration.

Female inmates are classified to maximum/close, medium, and minimum custody levels within the main women's facility. Two halfway houses for minimum custody females are also available. As in the male facilities, overcrowding is limiting female programming options.

Classification System and Special Management Inmates

The Division believes that the completion of the needs assessment, along with the initial interviews and information gathered by classification staff, creates a system in which special need inmates are accurately identified for appropriate programming. Staff complaints in this area focus on the lack of available resources for this population rather than on any inability to identify special management cases.

Classification System Use in Planning

Data generated by the classification system have been used extensively in the planning process. As mentioned previously, this information has played a significant role in planning and designing three new facilities, two of which are currently under construction. Classification data have been instrumental in determining the physical structure, staffing, and programming for these institutions. In fact, the configuration of the entire adult prison system is being restructured in order to respond more completely to inmate needs and the degrees of risk represented in the inmate population.