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## EXECUTIVE SUMMARY

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

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

The Division of Parole created a comprehensive supervision program utilizing a team approach with reduced caseloads and emphasizing service delivery. This allowed for more casework, counseling, developing employment skills, emphasizing relapse prevention and promoting self esteem, as well as increased home visits, enforcing curfew checks and conducting random drug testing. Additionally, Parole responded by making Shock parolee placements in community programming related to employment, education, relapse-prevention counseling and peer-group counseling a priority.

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

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

This evaluation documents the creation of a rigorous multi-treatment program that emphasizes discipline, academic education, substance abuse treatment and education, with group and individual counseling, all within a military structure. It points out that after screening 18,160 legally eligible inmates between July 1987 and September 1991, 8,515 inmate volunteers were sent to one of five Shock Facilities. Of these 8,515 volunteers who were sent to Shock, 4,411 graduated and were granted an early release to parole supervision.

The evaluation also notes that the Shock Incarceration program in New York State differs substantially from similar programs in other states. Although some states provide portions of the program components available in New York, no state that we have surveyed developed a Shock Incarceration program with the extensive levels of treatment provided by New York. Additionally, it should be noted that New York is currently running the largest Shock Incarceration program in the United States.

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

Pertinent findings indicate that Shock Incarceration is the only program where inmates can be granted a release to parole prior to their parole eligibility date. Thus, savings were realized by releasing Shock graduates an average of 9 months prior to completion of their court determined minimum period of incarceration. For the first 4,411 releases, these savings amounted to an estimated \$84 million in operating costs plus \$93 million of avoided capital construction costs. This is a total estimated savings of \$177 million.

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

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

The evaluation documents the consistent release practices of the Parole Board. The initial release rate of Shock Incarceration inmates has been 97% for inmates interviewed between April and September of 1991.

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

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

Evidence suggests that the intensive supervision program has resulted in higher employment rates and program enrollment rates for Shock parolees in relation to several comparison groups of non-Shock parolees. The report documents the finding that Shock parolees are also more likely to be successful under parole supervision despite their shorter periods of incarceration.

### CONCLUSION

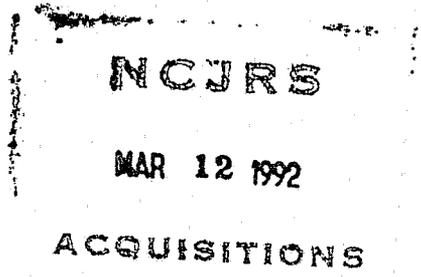
The findings of this report indicate that the Shock Incarceration program has been able to achieve its legislative mandate of treating and releasing specially selected state prisoners earlier than their court determined minimum period of incarceration, without compromising the community protection rights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

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SHOCK INCARCERATION AND SHOCK PAROLE SUPERVISION  
THE FOURTH ANNUAL REPORT TO THE LEGISLATURE

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# SHOCK LEGISLATIVE REPORT 1992

## SHOCK EVALUATION HIGHLIGHTS

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### LEGISLATIVE BACKGROUND

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

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

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

Summit SICF received its first inmates on April 12, 1988. A portion of the Summit Shock Incarceration Facility houses the Department's program component for female inmates, which was initiated in December 12, 1988 and has capacity for 150 women. Since March 1990 Summit has been designated as the central screening and orientation facility for female Shock eligible inmates.

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

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

Lakeview serves as a 250 bed orientation and screening facility for all male shock eligible inmates while also housing two, 250 bed Shock programs. Lakeview received its first inmates on September 11, 1989.

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

# Shock Evaluation Highlights

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**NEW YORK SHOCK INCARCERATION PROGRAM:ITS HISTORY AND STRUCTURE**  
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New York's Shock Incarceration Program has historical roots in the militarization of the Elmira Reformatory in 1888.

New York is one of 23 states with a Shock Incarceration Program. As state budgets shrink and the size of the incarcerated offender population increase, many jurisdictions are seeking cost effective ways of treating and releasing non-violent offenders.

Within the next few years over half of the state correctional jurisdictions may have Boot Camp prisons for adult offenders. Additionally, a variety of local jurisdictions and juvenile correctional agencies have created their own versions of Boot Camps.

The two main reasons cited for the proliferation of these programs is the desire to reduce crowding in jails and prisons and to design a way to change criminal behavior into more prosocial activity.

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

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

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

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

Over the years since Georgia and Oklahoma reintroduced the military model into corrections many jurisdictions have introduced treatment elements into their regimen and some even provide for intensive parole supervision aftercare for program graduates. In fact the Georgia program is currently being modified to contain treatment for substance abuse offenders.

## **SHOCK LEGISLATIVE REPORT 1992**

An underlying basis for the Network philosophy is the theoretical model of the causes of delinquency known as "control theory" which proposes that non-conformity is a product of the failure of the social bond. The assumption made by this theory is that inmates entering DOCS are individuals whose bonds to society are weakened or broken, and exposure to a program like Shock will help restore these bonds.

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

As a result of Shock programs such as ours, the National Drug Control Strategy recommended that boot camps be used as an alternative sanction for drug offenders.

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

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

All staff who work in a Shock Incarceration facility in New York State are required to attend a comprehensive, highly structured, rigorous training program. The training is designed to help employees obtain a better understanding of the inmates they will work with in Shock. To date 1,170 staff have been trained.

The National Institute of Corrections (NIC) solicited grant proposals to create a hands-on implementation guide and training curricula for jurisdictions seeking to begin a Boot Camp or for those jurisdictions who wish to make modifications to an existing program. The Department has applied for this grant to formalize what it has been doing in assisting other jurisdictions (on an ad-hoc basis.)

New York State DOCS is nationally recognized for the staff training component. The Connecticut, Maryland, Texas State Department of Corrections and the New York City Department of Corrections have attended our training sessions. County corrections staff from Barnstable and Plymouth Massachusetts, Nassau County, and Tarrant County, Texas Sheriff's Departments have also sent representatives to participate in our training. In addition a select number of our Shock training team went to Los Angeles County to provide technical assistance and staff training so they can begin their Regimented Inmate Discipline program.

# **Shock Evaluation Highlights**

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**SCREENING OF LEGALLY ELIGIBLE INMATES**  
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From the inception of the Program in July 1987 through September 11, 1989, the selection, review, and orientation of Shock eligible inmates was the responsibility of the DOCS reception centers.

A single staging facility for male Shock eligible commitments was begun at Lakeview with the goal of increasing the percentage of eligible commitments approved for the program and lowering the number of early dropouts among the inmates sent to the Program due to improved orientation and screening.

A similar plan was developed for Shock eligible women to be screened and oriented at Summit SICF in March 1990.

Since the last Report to the Legislature, the approval rates for male eligible inmates has improved while the approval rate for females has declined. The overall proportion of male inmates refusing the program has declined.

In the last three Reports to the Legislature the approval rate for males has increased while the approval rate for females increased last year and now has declined.

There were 18,160 Shock eligible inmates reviewed for Shock participation between July 13, 1987 and September 30, 1991. Of this group, a total of 8,515 inmates were sent to the Program.

The overall approval rate for these eligible inmates since the beginning of the Program was 48.7%. The approval rate for women considered for the Program was lower than that for men due to higher rates of refusals and medical disqualifications.

Since Lakeview began screening and orienting all male Shock eligible inmates on September 11, 1989, they have processed 9,775 inmates. Over a quarter of this group were 26-29 years old. These older inmates (both male and female) have become known as "Shock B" inmates because of their unique status.

The approval rate for 16-25 year olds sent to Lakeview was 66.8%, while the approval rate for the "Shock B" inmates was lower at 39.9%. This lower approval rate for older inmates was primarily due to higher proportions of refusals, as well as disapprovals for reasons such as medical, psychiatric and extensive

## **SHOCK LEGISLATIVE REPORT 1992**

criminal histories, and judge denials. The approval rate for inmates screened at Lakeview declined between 1990 and 1991, but increased this year from the approval rate published in the 1991 Annual Report to the Legislature.

In January 1991, a decision was made to provide marginal inmates in the program an alternative to being removed from Shock. This opportunity is known as "recycling". In the past, these marginal inmates would be removed and not be allowed to graduate. Now the Superintendent's have the ability to allow a number of them to continue in Shock under a limited set of conditions and circumstances.

Recycling is currently offered to inmates removed for certain disciplinary reasons and to inmates who are in danger of being removed for unsatisfactory program adjustment. With the approval of the Superintendent and the Director of Shock Development that inmate can go to recycling.

For males, recycling takes place at Lakeview SICF regardless of their initial Shock facility assignment. For females recycling occurs at Summit SICF.

Recycling consists of inmates voluntarily being sent back to what can best be described as a refresher training or a modified "zero weeks" status for a relearning the fundamentals of the program. During this three week period the inmates' progress is closely monitored. If they perform satisfactorily, they are integrated into an existing platoon which will graduate at a date closest to the time owed by the inmates in order for them to successfully complete their six months in the program. If they do not perform satisfactorily they will either be continued in the "recycle" status for an additional two weeks or they will be removed from Shock altogether. By keeping these marginal inmates longer and reviewing program concepts and expectations in more detail we hope to ensure that recycles will have a successful return to the community upon their release to parole supervision.

As of September 30, 1991, there were 8,515 inmates sent to Shock facilities. As of that date, there were 4,032 graduates (including 253 females) who were released to Parole from Shock facilities, while an additional 308 Shock graduates were released to Parole from DOCS work release facilities. There were also 71 recycled inmates who graduated from platoons at Lakeview and Summit. This adds to a total of 4,411 Shock graduates who were released to parole supervision since the program began. Of the 8,515 inmates who entered Shock, a total of 2,784 inmates were removed from the program.

As of September 30, 1991, 233 inmates had been sent to recycling. As of that date, 61 recycles were active in the program, 91 were removed from Shock, while 71 had graduated and were released to parole supervision.

## **Shock Evaluation Highlights**

Since July 1989, older Shock participants were required to spend one year incarcerated prior to their release to parole supervision. These older graduates, who owe time, were being sent to work release facilities prior to their parole. To date, there have been 378 graduates sent to work release facilities. Of those, 40 were active in the program, 30 were removed and 308 were released to parole supervision.

The 1,250 Shock inmates under custody as of September 30, 1991 were distributed by facility as follows: 221 at Monterey, 179 at Summit (including 57 females), 202 at Moriah, 226 at Butler and 422 at Lakeview.

Through September 30, 1991, the overall dropout rate from the program was 38.3%. On average Shock removals spent 46.5 days in the program before leaving. In comparison to last year's data, this year's dropout rate is lower but the inmates leaving the program are staying approximately the same period of time in Shock before being removed.

Through September 30, 1991, the primary reason for inmate removals was voluntary reasons (33.7%) while disciplinary reasons were cited for 31.9% of the removals. This pattern for removals was only true for Moriah and Butler. For Summit and Monterey most inmates were removed for disciplinary reasons. In contrast to all of the other facilities, the majority of removals at Lakeview were for unsatisfactory program adjustment.

In comparison to last year, the proportion of inmates removed for disciplinary reasons and unsatisfactory program adjustment declined slightly while the proportions of voluntary, medical and "other" removals increased slightly.

Since Shock began the average monthly number of eligible inmates has grown from 76 in the third quarter of 1987 to 470 in the third quarter of 1991. Additionally, the monthly average number of inmates "released" from Shock has increased from 23 in the first quarter of 1988 to 132 in the third quarter of 1991. The three quarters with the most Shock eligible admissions peaked between October 1989 and June 1990. The quarters with the most releases peaked between March 1990 and December 1990, a lag of six months, which is the length of the Shock program.

## SHOCK LEGISLATIVE REPORT 1992

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### FISCAL ANALYSIS OF SHOCK INCARCERATION

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One of the stated goals of New York's program is the reduction of demand for bedspace as a way of addressing prison crowding issues in the State. It is acknowledged by outside observers that "New York ... may have a large enough number of graduates to have an impact on crowded prisons...this is not the case in most states." (Doris MacKenzie, "Boot Camps: Components, Evaluations, and Empirical Issues," Federal Probation, September 1990, p. 49.)

In an article published in Federal Probation, Mark Osler writes: "New York has a program that seems to have achieved the goal of cutting the costs of incarceration while holding out hope that rehabilitation may occur." (Osler, 1991, p.39.)

In remarks made to a National Institute of Corrections Intensive Skills Workshop presented at the American Correctional Association Congress in the summer of 1991, Dale Parent cited the New York State Department Of Correctional Services "boot camp" operation as a model which contains all the features necessary if boot camps are to have the capacity to reduce prison bedspace needs and, hence, to cut both operational and capital costs.

For each graduate there was an average net savings of 322 days or approximately ten and a half months from their actual date of release from Shock to his/her court determined Parole Eligibility date.

Since the first Report To the Legislature, we have presented the question "What would it cost the Department if the Shock program did not exist and all Shock graduates since 1987 had to serve out their complete sentences in a non-Shock facility?"

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

For every 100 Shock inmates released, it is estimated that the Department saves \$1.94 million, which it otherwise would have had to expend for the care and custody of these inmates. Thus, for the first 4,411 releases from Shock, as of September 30, 1991, there was an estimated savings in program costs of \$83.62 million.

## **Shock Evaluation Highlights**

For the first 4,411 Shock releases, the Department saved an estimated 1,392 beds which translates into a cost avoidance of \$93.65 million for capital construction.

For the first 4,411 releases from Shock, as of September 30, 1991, the Department saved an estimated \$177.27 million in both operating and capital costs.

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

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

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### **DESCRIPTIVE INFORMATION ON SHOCK INMATES**

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

In comparison to these other inmates, the male Shock inmates were younger and were more often committed for drug crimes. They had shorter maximum sentences, and served a shorter number of jail days. Additionally Shock inmates were less often convicted as second felony offenders and had fewer prior felony arrests and convictions.

Among the females Shock women were younger, had fewer prior felony arrests and spent less time in jail prior to coming to DOCS.

Beyond this, the pattern of differences among both males and females varies depending upon whether the contrast was between Shock inmates and Minimum security inmates or between Shock inmates and Medium security inmates.

## **SHOCK LEGISLATIVE REPORT 1992**

In comparison to the snapshot of characteristics taken last year, the current population of Shock inmates differs for both the men and women in the program in some significant ways. For males this year's Shock inmates were younger at Reception, reported less drug use and were more likely to have alcoholic trait MAST scores. They were classified as Medium security more often, spent more time in jail and had higher entry math and reading achievement scores.

Some changes of importance were noted for the women in Shock between this year and last. Overall, there was a smaller proportion of Hispanic women and a larger proportion of black women in the program. The women were older, served longer jail time prior to Shock, had longer minimum sentences, and had longer times to their PE dates. Additionally, they had higher entry TABE math and reading scores despite having less formal education. This coincided with a decrease in the proportion of women admitting to the use of drugs. The last notable difference was a decrease in the proportion of women who were classified as Medium security level inmates.

A review of the attributes of Shock inmates by gender shows that there were some real differences between the characteristics of men and women in the program. The women were older, were more often black, were more frequently from New York City, and were committed more frequently for drug crimes yet reported using drugs less frequently. The women were more frequently second felony offenders, with longer minimum sentences, fewer prior felony arrests, and more jail time. The women had lower initial math and reading achievement scores despite having more formal education. Lastly, women were more often classified as Minimum security when they arrived at DOCS.

Due to the restrictive eligibility criteria which allows only young, non-violent offenders into the program, the majority of inmates in the program (71.8% of the men and 88.4% of the women) have been convicted of drug offenses. A high proportion (i.e., 65.5% of the men and 54.7% of the women) also reported that they had used drugs prior to their commitment to DOCS custody.

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### **EDUCATIONAL ACHIEVEMENT IN SHOCK INCARCERATION**

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This section analyzes both the Math and Reading Test of Adult Basic Education (TABE) scores for 1,851 Shock graduates between April 1, 1990 and March 31, 1991 who had at least two achievement tests administered while under the Department's custody.

The average change in math scores for inmates during this time period was an increase of 1.0 grade levels. The overall change in reading scores was an increase of 0.6 of one grade level.

## **Shock Evaluation Highlights**

In six months, 56.3% of the Shock graduates had increased their math scores by one grade or more. During this period 33.3% of the inmates increased their math scores by two or more grades while 9.0% increased their math scores by four or more grades.

In six months 49.3% of the Shock graduates increased their reading scores by one grade or more. During this period 38.5% of the inmates increased their reading scores by two or more grades while 4.7% increased their reading scores by four or more grades.

A summary of the TABE information that has been presented in this and the preceding two Legislative Reports indicates that the inmates in Shock seem to improve their math scores more dramatically than they do with their reading scores. This may be because the inmates start out with lower math scores. There has been some improvement in the reading scores since last year.

As with the last two Legislative Reports the relationship between TABE scores and GED success was examined. There was a strong association between GED success with both higher entry and higher exit TABE scores for both math and reading.

During FY 90-91 the number of GED tests given to inmates at the Shock facilities was three times greater than the number provided at the Minimum security facilities and almost double the number given at Medium security facilities.

Even though the size of the average inmate population at the Shock facilities was slightly smaller than that of the Minimum security facilities, the Shock facilities screened 6.1 times as many inmates for GED testing, and tested 4.4 times as many inmates. Over 4.8 times as many Shock inmates earned GED's than the four comparison Camps and Lyon Mountain combined.

Despite the fact that the average inmate population of the six Medium security facilities was over three times greater than that of the Shock facilities, they screened only 1.1 times as many inmates. In fact the Shock facilities tested 1.1 times more inmates for the GED, and 1.5 times as many Shock inmates earned GED's than did the six Medium security facilities.

Despite the short six-month period of time that inmates have to spend on education at the five Shock facilities, the proportion of Shock graduates passing the GED in FY 1990-1991 (60.9%) was higher than that of the five Minimum security (55.6%) and six Medium security facilities (48.0%) and was comparable to the passing rate of the Department overall (63.0%).

## SHOCK LEGISLATIVE REPORT 1992

A summary of GED testing data that has been presented in this and in the three preceding Legislative Reports shows that Shock has placed a major emphasis on obtaining quality educational results despite the short period of incarceration for its inmates. The Shock facilities have consistently tested more often and have tested more inmates than the comparison facilities. Additionally, since the 1990 report, the passing rate for Shock graduates has also been increasing (from 40.0% to 60.9%).

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### **DISCIPLINARY PROCESS AT SHOCK INCARCERATION**

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During FY 1990-1991 only one-in-four inmates in the Shock program were involved in misbehaviors and those who did, typically were involved in only one incident. Most misbehaviors were at the less serious Tier II level. Additionally, program graduates who misbehaved were more likely to be involved in less serious disciplinary activity than the inmates who committed offenses and were transferred from the program.

A review of disciplinary activity shows that the rate of misbehavior reports occurring at all three Tier levels was lower at Shock facilities than at the comparison Medium and Minimum security facilities.

Of the inmates involved in Tier III misbehaviors (the most serious type of misbehavior), 82.3% were removed from the program prior to graduation.

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### **UNUSUAL INCIDENTS (UI's) AT SHOCK FACILITIES**

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An examination of the overall rate of UI's per 1,000 inmates indicates the average rate of reported incidents at the Shock facilities was higher than the rate of UI's at the Medium security facilities but lower than the rate reported by the Minimum security facilities.

Given the nature of Shock we expect to see differences in the frequency of certain Unusual Incident types. Three incident types are examined in order to understand the relationship between incidents and program issues. They include Contraband, Assaults on Staff, and Assaults on Inmates.

**Contraband:** In FY 1990-1991 only 1.3% of the UI's reported from Shock facilities were listed as contraband. In contrast contraband incidents comprised 13.7% of the Minimum/Camp facilities' UI's and 11.6% of the Medium security facilities' UI's.

## **Shock Evaluation Highlights**

**Staff Assaults:** While the proportion of staff assault incidents at Shock was substantially higher than those which occurred at the comparison facilities the proportion of incidents where staff incurred injuries was somewhat lower than at the Medium security facilities. This may be an indication that the threshold of what is reported as a staff assault at Shock may be lower than other DOCS facilities.

Over forty eight percent of these incidents occurred within the first two weeks an inmate starts the program (i.e., zero-weeks - the initial period of Shock indoctrination). An additional 20.8% (N=6) occurred between the third and fourth weeks of an inmate arriving at Shock. Thus, 70.0% of these staff assault incidents occurred within the first month of the assailants stay in the program, a period of time when those who are not able to deal with the program rigor may be susceptible to acting out. Most importantly, it should be remembered that all 29 inmates involved as assailants in these incidents were removed from Shock as a result of their actions. This reinforces the message that the assaulting of staff (despite the level of severity) will not be tolerated.

**Inmate Assaults:** In FY 1990-91 11.8% of the reported UI's at Shock facilities were for assaults on inmates and injuries were reported in none of these incidents. In the Minimum security facilities 11.6% of the reported UI's were for assaults on inmates and no injuries were reported as a result of these altercations. In the Medium security facilities 19.1% of the reported UI's were for assaults on inmates and injuries occurred in 16.3% of those incidents.

Since last year's Report the average rate of UI's per 1,000 inmates overall decreased at the Shock facilities, while it increased at the comparison Medium and Minimum security facilities.

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### **CONSOLIDATED CURRICULUM**

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One of the more significant achievements accomplished this year was the preparation of the consolidated ASAT and Network curriculum for use in the Shock facilities. This project was funded by the \$250,000 grant which was received by the Department from BJA to enhance the drug treatment component of Shock.

The new curriculum combines the "12 steps" of AA and NA with the "five choices" decision making model used in Network. The curriculum integrates the material from these two important programs while simplifying it into pictures and words making the concepts more accessible to inmates who may be monolingual or who cannot easily interpret what these programs are trying to say. Spanish language translations have also been made available.

## **SHOCK LEGISLATIVE REPORT 1992**

This new approach produces similar language and a similar format to be taught to all staff and inmates in the program. The new curriculum emphasizes the fact that all staff must support and reinforce these teachings to inmates in the program.

The combined curriculum produces handouts for the inmates going through the program and each inmate purchases a three ring binder to keep these handouts. By the time graduation occurs, the inmates have a useful product to take with them to their communities.

The new curriculum is also integral to the training of Shock staff and it has a great deal of potential as a tool to enhance the program. The Department has already received a request from Tarrant County, Texas to integrate the curriculum into their Shock program.

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### **DÉVELOPMENT OF A TYPOLOGY OF SHOCK FAILURES AND SUCCESSES**

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Although there is a great deal of anecdotal information about why Shock inmates have done well or have marginal adjustments to parole supervision, a more systematic approach to developing a typology of successes and failures was needed.

The purpose of constructing a typology was to determine the differences which might explain the reasons why some inmates succeed or fail after having been exposed to Shock incarceration and the intensive parole supervision follow-up. This search for an explanation was conducted through the analysis of official information and through the creation of a survey instrument administered to a sample group of Shock graduates.

Failures are different from the successes on two key dimensions, the ability to change and the willingness to change. Simply put the failures do not have as much going for them as do the successes. Either due to structural or personality differences, failures exhibit more characteristics that inhibit the creation or restoration of social controls. As such they have more constraints on their ability to change. Yet, even after exposure to a program designed to restore those social controls, failures show an amazing lack of willingness to take advantage of the resources that can help them stay out of prison and are not as willing to change. Failures exhibit some high-risk attributes which increase the likelihood of their relapse and return to custody.

## **Shock Evaluation Highlights**

As a result of this information, it will be useful to construct an intake form to be given to each failure and each success (that is shorter than this survey instrument) which will provide us with more complete information about the "at risk" attributes discussed in this section.

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### **CHARACTERISTICS PERTAINING TO ABILITY TO CHANGE**

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Some of the characteristics which make inmates at more risk of failure include being younger at time of admission to DOCS; having failed GED in Shock; have more extensive criminal history including a previously incarceration in a Juvenile facility and being younger at age of first arrest.

Failures were less likely to have children and were more likely to have high MAST (alcohol abuse) scores. and they were younger at the age when they received their first drug treatment.

Failures were more likely to have family members with serious criminal convictions and family members with substance abuse problems. They had more siblings in the family.

While in the Shock facilities, the failures had more problems understanding the value of learning experiences and had problems understanding the value of evaluations. They also believed that the program was too short and felt unprepared for parole supervision. While in Shock facilities, they received fewer visits from family and friends and were less likely to have guests at their graduation.

Failures did not generally seek help from family members upon their return to the community. They were more inclined to hang out with old friends upon return to community and feel that they lived in a relatively run down neighborhood but had a strong desire to move from that neighborhood.

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### **CHARACTERISTICS PERTAINING TO WILLINGNESS TO CHANGE**

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While under parole supervision failures were less willing to get jobs through counselors and relied on family and friends to get them work. Failures were more likely to get part time instead of full-time work and were more likely to get work that interfered with their parole obligations.

## **SHOCK LEGISLATIVE REPORT 1992**

While under parole supervision, failures were more likely not to attend Fellowship Center meetings regularly (for NYC parolees); not attend Network meetings regularly (for NYC parolees); not attend substance abuse treatment regularly. Failures were also more likely to quit their assigned substance abuse treatment programs and to demonstrate problems with their Parole Officers.

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### **SHOCK PAROLE IN NEW YORK STATE**

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Through September 30, 1991 there had been a total of 4,411 Shock Incarceration graduates released to parole supervision. The focus of Shock supervision is to provide a continuum of services from the institution and continuing throughout the parolees' supervision experience.

Shock parolees are young offenders with many needs. They lack education, employment and vocational skills. Interviews with Shock Incarceration graduates have indicated that eight out of ten of them feel that they will need assistance upon being released to the community. Therefore, the Division of Parole has created a program designed to meet their specific needs.

The Shock supervision program is a statewide effort; however, the Division has concentrated its resources for this initiative in New York City where approximately two-thirds of the Shock parolees reside.

#### **In New York City:**

Special teams of two parole officers supervise 38 Shock parolees in a program designed to enhance the parolee's potential for community reintegration by providing more interaction between parole officers and clients.

Priority has been placed on enrollment of Shock parolees in community-relevant programs which provide educational and vocational training, increased employment opportunities, relapse-prevention counseling and peer-group counseling designed to promote positive reintegration.

#### **Outside New York City:**

Shock graduates have been supervised at a ratio of two parole officers for every 38 Shock parolees. In comparison, other offenders released to Parole supervision in New York State are supervised at a ratio of one parole officer for every 38 parolees.

## **Shock Evaluation Highlights**

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

Between April 1 and September 30, 1991, the total number of interviews in which the Board granted release to Shock inmates is 877. The release rate for Shock inmates is 97%.

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**SHOCK PAROLE IN THE COMMUNITY**  
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Ratios for the first six months of fiscal year 1991-92, indicate that New York City Shock Parole staff have continued to meet or exceed the supervision objectives established for the program in virtually every category. Home visit compliance was 17% over the minimum expectation; the number of positive home visits achieved was 75% greater than expected. The number of employment and program verifications conducted was 94% over the minimum expectation and case conference compliance was 130% over the objective.

The Division has contracted for specialized vocational and employment services from the VERA Institute of Justice's Vocational Development Program (VDP) and Neighborhood Work Project (NWP) as well as relapse-prevention services from the Fellowship Center in New York City and Network from the Episcopal Mission Society.

Between April and September of 1991, VERA enrolled approximately 460 Shock parolees for vocational training and employment services. A total of 456 registered for employment training with the Vocational Development Program; some of these same parolees accounted for 433 registrations with the Neighborhood Work Project. VERA reported a total of 369 placement outcomes during this time period in which Shock parolees either secured employment or were placed in paid on-the-job training or in an education program. The average wage for Shock parolees placed by VDP remained above \$5.00 per hour for this period.

Shock parolees employed by NWP worked on 724 different job sites throughout New York City, including six sites for the New York City Department of General Services and two sites for the New York State Office of Mental Retardation and Developmental Disabilities.

## **SHOCK LEGISLATIVE REPORT 1992**

The Fellowship Center provided 695 group meetings and 1,286 individual sessions to assist Shock parolees between April and September 1991.

The Episcopal Mission Society provided services to a combined total of 1,066 Shock Incarceration graduates (an average of 178 graduates each month) and conducted a total of 105 group meetings between April and September 1991.

Urinalysis test results from New York City Shock parolees indicate a 94% rate of abstinence from drug usage; in upstate areas the rate is 95%.

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### **COMMUNITY SUCCESS**

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A group of Shock parolees and three separate comparison groups of non-Shock parolees - Pre-Shock offenders, offenders considered for Shock and offenders who were removed from Shock - were followed after release to determine if there were any differences regarding their adjustment to community living. All of the participants were released to parole supervision over the same time period and followed for equal periods of time after release.

Various measures of community success and recidivism are presented. Factors relating to positive adjustment include a comparison of employment rates and program enrollment rates. Recidivism measures include cumulative return rates and an examination of time to delinquent behavior for those who were returned to prison during the follow-up.

Graduates under Shock supervision have significantly higher employment and program enrollment rates than comparison group parolees who are within six months of release. Seventy-five percent of the Shock parolees were employed, compared to 48% of the Pre-Shock group, 35% of the Considered group and 34% of the Removals. Seventy-nine percent of the Shock graduates were enrolled in a program designed to assist them in their reintegration effort, compared to 51% of the Pre-Shock group, 47% of the Considered group and 50% of the Removals (see page 121).

Higher employment rates and greater levels of program participation among the Shock population can be attributed in part to the services provided to Shock graduates within the first six months of release on parole. These services contribute to the probability that the Shock graduates will make a successful transition to community living.

## **Shock Evaluation Highlights**

**Shock graduates are more likely than comparison group parolees to be successful after release, despite having spent considerably less time in state prison. Shock success rates exceeded those of the comparison groups after twelve, eighteen or twenty-four months of follow-up.**

**At twelve months, 86% percent of the Shock group remained in the community, compared to 81% of the Pre-Shock, 80% of the Considered and 78% of the Removal group one year after their release. These results were statistically significant (see Page 122).**

**After eighteen months of follow-up, the Shock success rate (71%) was eleven percent greater than that of the Removals, seven percent higher than the Considered group and five percent higher than the Pre-Shock offenders after equal periods of time in the community. These results were statistically significant.**

**The success rate at 24 months for the Shock offenders was four percent higher than that of the Pre-Shock offenders, seven percent higher than the Considered group and eleven percent higher than that of the Removals (see page 124).**

**Shock parolees were the least likely of the groups to have violated within the first six months of release, indicating the degree to which the Shock supervision program has helped them adjust immediately after release.**

**A greater proportion of Shock offenders remain at-risk to be returned as parole rule violators after twelve months, a factor which would seem to favor the comparison group offenders in the 18-month and 24-month follow-ups. Despite this difference, the Shock group's return rate for parole rule violators is lower than that of the comparison group offenders in the 18-month or 24-month follow-up periods.**

# **SHOCK LEGISLATIVE REPORT 1992**

## **LEGISLATIVE BACKGROUND**

### **Legislative History**

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

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

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

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

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

The Department has established five Shock Facilities under this legislation and these administrative regulations. The 250 bed facility at Monterey received its first platoon of inmates on September 10, 1987. The 250 bed Shock facility at Summit received its first platoon of inmates on April 12, 1988. A portion of the Summit Shock Incarceration Facility houses the Department's program component for female inmates, which was initiated in December 1988 and has capacity for 150 women. Since 1990, Summit has been designated as the central screening and orientation facility for female Shock eligible inmates. The 250 bed Shock Facility at Moriah received its first platoon on March 28, 1989, while the 250 bed Shock Facility at Butler received its first platoon on June 27, 1989.

## **Incarceration Phase**

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

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

### **Eligibility Criteria**

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

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

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

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

- a) a Violent Felony Offense as defined in Article 70 of the Penal Law;
- b) an A-1 felony offense;
- c) Manslaughter in the second degree or Criminally Negligent Homicide as defined in Article 125 of the Penal Law;

## **SHOCK LEGISLATIVE REPORT 1992**

- d) Rape in the second degree, Rape in the third degree, Sodomy in the third degree, Attempted Sexual Abuse in the first degree, Attempted Rape in the second degree as defined in Articles 110 and 130 of the Penal Law;
- e) any Escape or Absconding Offense as defined in Article 205 of the Penal Law.

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

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

In addition to the legislatively mandated criteria for exclusion, the law provides for the Department to establish various suitability criteria which further restrict program participation. These suitability criteria impose restrictions based on the medical, psychiatric, security classification, or criminal histories of otherwise legally eligible inmates. Additionally, those inmates whose outstanding warrants, disciplinary records, or whose alien status has made them a security risk would also be screened from participation. The category of security risks among foreign-born inmates applies almost exclusively to Mariel Cubans many of whom are considered to be deportable and thus pose a security risk. Most other foreign-born inmates are eligible to participate in Shock. After screening for suitability, inmates then have to volunteer for the program.

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

The four major criteria restrict age (with a desire to have a program for younger inmates), offense type (with a desire to eliminate violent offenders, sex offenders and escape risks from the program), time to Parole Eligibility (with the intent of setting a limit on the time reduction benefits available to a successful participant and to further assure that these inmates have not been the perpetrators of serious crimes), and prohibit prior service of an indeterminate sentence (to assure that these inmates are first-time commitments).

## **Incarceration Phase**

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

# SHOCK LEGISLATIVE REPORT 1992

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

### Origins of Shock Incarceration

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

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

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

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

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

Military discipline is found to be exceedingly beneficial in inculcating promptness in obedience, attention, and harmony of action with others. It develops the prisoner physically, quickens him mentally and, by making him a part of the disciplinary force, gives him a clearer insight into the meaning and benefits of thorough discipline. The standard of discipline should be so fixed that each prisoner may know exactly what to expect, and know that his release can only be accomplished by reaching this

## **Incarceration Phase**

standard through his own efforts. Having attained this standard he should be released upon parole, to suitable employment, under efficient supervision, for a period of time long enough for him to demonstrate his fitness for an honest life, in society... (Fred Allen, Extracts from Penological Reports and Lectures Written by Members of the Management and Staff of the New York State Reformatory, Elmira, The Summary Press, 1928, p. 120).

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

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

Thus, Shock inmates are required to participate in structured activities that are designed to prepare them for successful return to society.

### **Shock Incarceration: A National Perspective**

Shock incarceration programs for young adults, commonly called boot camp prisons, have been developed in numerous city, county and state jurisdictions (Parent, 1989; MacKenzie, 1990). As state budgets shrink and the size of the incarcerated offender population increase, many jurisdictions are seeking cost-effective ways of treating and releasing non-violent offenders.

By March 1991 there were at least 35 'boot camp' programs established in 23 state correctional systems as well as in the Federal Bureau of Prisons. (Doris Mackenzie and Claire Souryal, "Boot Camp Survey: Rehabilitation, Recidivism Reduction Outrank Punishment as Main Goals," Corrections Today, October 1991, p. 90). Another six states including California (the state with the largest under custody population), are in the process of developing such a program. Thus, within the next few years, over half of the state correctional jurisdictions may have boot camp prisons for adult offenders. Additionally, a variety of local jurisdictions and juvenile correctional agencies have created their own versions of Boot Camps and this also appears to be a growing phenomena in corrections.

## **SHOCK LEGISLATIVE REPORT 1992**

The two main reasons cited by MacKenzie and Parent (1991) for the proliferation of these programs is the desire to reduce crowding in jails and prisons and to design a way to change criminal behavior into more prosocial activity. Moreover, Shock programs are commonly viewed as a punishment technique that appears to be "getting tough on criminals."

### **Criticisms Of Shock Programs As a "Quick Fix" Crime-Reduction Strategy**

Along with the rush to create these programs has come some healthy skepticism that Boot Camps only represent "quick fix" solutions to complex social problems. Critics such as Larry Meachum of the Connecticut Department of Corrections, as well as Merry Morash and Lisa Rucker, have raised concerns that these programs have the potential for abuse and, thus, may be harmful to their participants. According to Morash and Rucker, "a number of potential negative outcomes of a boot camp environment have been identified. One of these is increased offender aggression " (Morash and Rucker 1990, p.218). Despite the viscerally attractive prospect of housing inmates in a disciplined environment, the critics believe that these programs will have no real lasting effects. In one article about Florida's Boot Camp program, the author (who spent 24 days in the program) reported "... only one change is certain when these convicted felons return to your town, your neighborhood, your street. They will be stronger and faster." (Neely 1988, p. 10).

Much of the basis of these concerns stems from early attempts by jurisdictions to create Boot Camps whose main emphasis was to "just get tough" on criminals. The Georgia program was described in 1986 as follows.

"...the fundamental program concept is that a brief period of incarceration under harsh physical conditions, strenuous manual labor and exercise within a secured environment will 'shock' the younger and less seriously criminally oriented offender out of a future life of crime." (Flowers, 1986, p. 3).

The use of coercion to gain compliance was seen by many correctional experts as having limited value. As a result, numerous observers began to criticize these programs. In 1988, Ira Schwartz, the Director of Michigan's Center for the Study of Youth Policy claimed, "Boot camps are a fad that don't work." (Tucker 1988, p. 15). Also in 1988, Edward Leghorn, the Commissioner of the Department of Youth Services for Massachusetts indicated, "To think that 90 days of training is going to undo 17 years of family troubles is a terribly naive approach.... They're kidding themselves. These kids have no education. No job skills. The counseling is no more than a classroom lecture.... What are these guys going to do for a living when they get out? Push-ups?" (Tucker 1988, p. 15).

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The basis of these criticisms has been the result of limited anecdotal data and do not represent opinions based on any long-term empirical analyses. But according to Doris MacKenzie who has written extensively on the phenomena of Boot Camps, "there is little evidence that the getting tough element of shock incarceration will, by itself, lead to behavioral change." (MacKenzie 1988, p. 5).

These generic criticisms of "boot camps" overall may not have as much relevance when individual programs are examined since there is a great deal of variation among Shock programs nationally.

### Differences in Shock Programs Nationally

With all the attention received by Shock programs in general and by New York State's program in particular, the question of whether these programs are all the same is often raised. We in New York have maintained that these programs differ in their size, length of incarceration, placement authority, program voluntariness (both entering and exiting), facility locations, level of release supervision, and level of commitment to evaluation.

Overall, the picture that arises in regard to these programs is a common core based on the military atmosphere, discipline, youthful offenders, and an alternative to long-term incarceration, but here the commonality ends. The differences that do exist in programs might be expected to contribute to differences in self-selection effects, net widening, costs, deterrence, or rehabilitation of the offenders. (Doris MacKenzie, "Boot Camps: Components, Evaluations, and Empirical Issues," Federal Probation, September 1990, p. 45).

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

Over the years, since Georgia (December 1983) and Oklahoma (November 1983) reintroduced the military model into corrections, many jurisdictions have introduced treatment elements into their regimen and some even provide for intensive parole supervision aftercare for program graduates. In fact the Georgia program is currently being modified to contain treatment for substance abuse offenders. (Flowers 1991).

## **SHOCK LEGISLATIVE REPORT 1992**

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

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

### **The Foundation Of the New York State Program: Therapeutic Community Model**

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

An underlying basis for the Network philosophy is the theoretical model of the causes of delinquency known as "control theory." As part of a group of social and cultural support theories of criminality "control theory" proposes that "non-conformity is a product of the failure of the social bond. Through the attachment of individuals to others, conformity is assured. When such attachments fail to develop or when they are disrupted, the internalization of legitimate norms becomes problematic." (Ron Farrell and Lynn Swigert, Social Deviance, 1975, p. 211). Thus, control theory is designed to explain conformity in individuals and implies that deviation from conformity (or criminal behavior) can be explained by variations in an individual's ties to the conventional social order.

The main proponent of this control theory of delinquency, Travis Hirschi, asserted that "delinquent acts result when an individual's bond to society is weak or broken." (Travis Hirschi, Causes of Delinquency, 1969, p.16). This bond consists of attachment to others, commitment, involvement in conventional activities, and belief in a positive value system. The assumption made by control theorists is that people who are incarcerated are individuals whose bond to society has been weakened or broken and exposure to a program such as Shock can help restore this bond.

F. Ivan Nye, another proponent of control theory, also identifies four types of social controls on human behavior. They include:

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(1) direct control, based on the application (or threat) of punishments and rewards to gain compliance with conventional norms; (2) indirect control, primarily based on affectional attachment to, or identification with conventional persons (especially parents); (3) internalized control, based on the development of autonomous patterns of conformity located in the individual personality, self-concept or conscience; and (4) control over opportunities for conventional and deviant activities whereby compliance results from restricted choices or alternatives. (L. Edward Wells and Joseph H. Rankin, "Direct Parental Controls and Delinquency," Criminology, Volume 26, Number 2, 1988, pp.263 - 285)

William Glasser's approach to control theory has also influenced the development of Shock in New York. (see William Glasser, Reality Therapy, 1963 and Control Theory In the Classroom, 1987. ) Glasser emphasizes the impact of internal controls and how they stem from basic needs. If these needs are not met in positive and constructive ways they will be met in negative and destructive ways.

As such, control theory is a key component of the Shock philosophy. It is assumed all inmates entering DOCS are individuals whose bonds to society are either weakened or broken, and exposure to the program should help restore this bond. The Shock program emphasizes the need for individuals to strengthen their indirect controls, their internalized controls, and their controls over opportunities for conventional activities by emphasizing their responsibility for choices and the consequences of their behavior.

### **Network: Helping to Restore The Bonds:**

Network has been designed to promote the positive involvement of inmate participants in an environment which has as its focus their successful reintegration into society. Members participate in program management to the degree that they demonstrate their capacity to make informed, responsible decisions. The program is designed to be a total learning environment, an approach which fosters involvement, self-direction and individual responsibility. Positive behaviors which support individual and community growth are expected while negative behaviors are confronted and targeted to be changed.

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

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Network also teaches that criminal behavior and substance abuse are negative, dysfunctional attempts to get one's needs met. Network operates from a perspective that recognizing the difference between "wants" and "needs" is important and learning appropriate responses to getting needs met results in responsible behavior.

A sense of self-worth and personal pride are the foundation of living a responsible lifestyle. Network environments are structured to foster respect for self and others and to focus on supportive community living methods. These methods have been developed, tested and refined by staff and participants over time.

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

All staff at the Shock Facilities are trained in the principles of Network methods so that the skills are reinforced in every aspect of the Shock program. This allows the Shock facilities to function in a way which is very similar to the therapeutic community model.

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

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

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

## **Incarceration Phase**

Under the Network design, there are peer confrontation groups that are used to deal with the negative attitudes of participants. The strength of peer groups is in the lack of authority-based coercive feedback to inmates. These peer groups provide clear perspectives on the consequences of dysfunctional behavior, while suggesting positive alternatives to that behavior. Yet, this only works in the context of a caring community.

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

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

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

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

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

### **Emphasis on Substance Abuse Services**

Within the therapeutic community model of the Department's SICFs, an emphasis has been placed on substance abuse treatment due to the documented drug or alcohol abuse histories of the majority of program participants. (see Table 11). According to the N.I.J. Report on Shock programs nationally, this strong emphasis on alcohol and substance abuse treatment provided within the context of a therapeutic community in a Shock program is unique to New York State:

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

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

In contrast to other states, the Shock Incarceration Program run by DOCS is designed to be a treatment-oriented program. For every 500 hours of physical training plus drill and ceremony that has led to the media calling it a "boot camp", Shock in New York also includes 546 hours of the therapeutic approach to treating addiction, based on the Network and the ASAT programs. It also includes at least 260 mandatory hours of academic education, and 650 hours of hard labor, where inmates work on facility projects, provide community service work, and work on projects in conjunction with the Department of Environmental Conservation. (Statement of Commissioner Thomas A. Coughlin III, New York State Department of Correctional Services, Senate Committee on the Judiciary, July 25, 1989, p. 1.)

## **Incarceration Phase**

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

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

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

### **Emphasis on Staff Training In New York:**

When the Legislative and the Executive branches of New York state government mandated that a Shock Incarceration program be created by the Department of Corrections, the Department did not respond in the typical "let's see what's out there" fashion. The Department understood the mandate and examined itself to see what successful program components being run for inmates would be useful as part of the Shock regimen. As a result of some strong direction from the Commissioner and the foresight of appointing very motivated and talented staff a program was initiated two months after the legislative mandate was signed into law. The program has been modified over the years in order to enhance its effectiveness and today not only is the New York Shock program the largest in the nation

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but it also has introduced some of the most innovative techniques for treatment, management, training and follow-up. It is a rigorous multi-treatment program emphasizing discipline, hard labor, education, substance abuse treatment, counseling and physical training.

The evolution of the Shock program in New York was not easy. Mistakes were made, there was resistance by some line staff, and there was a certain amount of opposition from some judges, district attorneys, and legislators. The key to overcoming these obstacles was the ability of the program to adapt without compromising its integrity and the ability of program administrators to learn from their mistakes. What continues to make Shock run is the constant on-site monitoring of the program in order to insure that its unique attributes are being preserved. One of the most important ways we have in New York to ensure program integrity is staff training.

All staff who work in a Shock Incarceration facility in New York State are required to attend a comprehensive, highly structured, rigorous four week training program. The program has a regimen that is similar to the Shock program for offenders. The goal of the training is to familiarize all correctional employees with the concepts, goals and structure of the Shock program.

Prior to the opening of a Shock facility all staff assigned there are required to attend this training before they have any contact with "Shock inmates."

The training is designed to help employees obtain a better understanding of the inmates they will work with in Shock. It leads to an improved understanding of the interrelationships among security, programs and administration. It also provides a chance for employees to increase their understanding of their selves and others. Group unity and teamwork are also emphasized.

In New York State the laws of civil service and agreements with the Unions allow staff to bid for jobs throughout the state on the basis of seniority. This policy is also true for jobs at Shock facilities. In order for staff to work at a Shock facility, they must agree to undergo this rigorous training and commit to the principles of the Shock program. As a result of this training, the staff at Shock tend to be very committed to the program goals and highly motivated.

To date 1,170 staff have been trained during ten sessions for an average of 117 persons per training session.

## **Incarceration Phase**

### **Providing Technical Assistance and Training To Other Jurisdictions**

When a state or county wants to begin a Shock program or wants advice on how to enhance an existing program, they will often contact other jurisdictions that have active programs to collect procedural manuals, evaluation reports or to arrange an on-site visit. If the jurisdiction being contacted for advice happens to conduct training for its staff, agencies in need of advice may seek permission to send some of their staff to participate. Thus, through a series of informal ad-hoc arrangements between correctional agencies, information and advice is passed along and new programs emerge. With no standards or guidelines for such a process, there can be no assurance that a jurisdiction will get the best information or advice that is available. Recently the National Institute of Corrections (NIC) solicited grant proposals to create a hands-on implementation guide and training curricula for jurisdictions to begin a Boot Camp or to make modifications to an existing program. The Department has applied for this grant to formalize what we have been doing on an ad-hoc basis in assisting other jurisdictions.

After the first year of operation, the Shock Program in New York was highlighted in a 1989 overview of Shock programs nationwide which was funded by the National Institute of Justice (NIJ) and was conducted by Dale Parent. As a result of our efforts to create a treatment oriented program, the National Institute of Justice chose New York State as one of seven jurisdictions to participate in a multi-site study of Shock programs. Soon after, numerous requests for information and site visits to New York facilities began to occur. Those jurisdictions who liked what they saw were encouraged to send staff to our training sessions. Staff from Connecticut, Maryland, Texas State and New York City Departments of Correction have attended our training sessions. Corrections staff from Barnstable and Plymouth Massachusetts; Nassau County; and Tarrant County, Texas Sheriffs' Departments have also sent representatives to participate in our training. In addition a select number of our Shock training team went to Los Angeles County to provide both technical assistance and staff training in order for them to begin their Regimented Inmate Discipline program. Currently, the Tarrant County Sheriff's Department and the California Department of Corrections have requested technical assistance. Plans are being made to assist those jurisdictions.

For the past two years the Department has been in contact with a number of jurisdictions who wish to attend our training. Now, each time New York presents a Shock training the various jurisdictions who have expressed an interest in coming to learn are notified and arrangements are made to allow them to attend at the cost of their travel, meals, hotel accommodations and materials. Some of these invitations go to jurisdictions with new programs but many go to states with ongoing programs who might wish to send more of their staff to our training. As one of the largest correctional department's in the country Commissioner Coughlin has emphasized our responsibility as a public agency to assist other

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jurisdictions as best we can by providing training opportunities and technical assistance where ever and when ever we can. Shock staff in New York have taken this mandate seriously and have welcomed others jurisdictions to learn from us. As a result, numerous jurisdictions who wish to create a program or to modify one, have looked to New York for advice. With the aid of this the NIC grant, the Department will be able to enhance and formalize what it has been doing in an ad-hoc manner for a number of years.

### **Goals of Shock Incarceration**

In discussions with other correctional staff from other states which have Shock programs, it is clear that the goals that have been set vary quite a bit. It is generally believed that the "careful definition of program goals is essential to effective program design. It must precede initial planning, and must inform all stages of decision making as the program progresses." (Shock Incarceration: An Overview of Existing Programs, Dale Parent, p. 11).

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

The goals of New York's Shock program are twofold. The first goal is to reduce the demand for bedspace. The second goal is to treat and release specially selected state prisoners earlier than their court mandated minimum periods of incarceration without compromising the community protection rights of the citizenry.

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

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

## **Incarceration Phase**

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

New York has responded to these issues by:

- a) limiting judicial involvement in the decision making process of who goes to Shock, thus assuring that participants would have gone to prison anyway;
- b) creating the program as a back end based operation which is not an alternative to probation but rather a program for incarcerated felons;
- c) creating a treatment oriented program which emphasizes the development of skills designed to lead inmates to successful parole outcomes;
- d) creating a strong intensive parole Supervision program for Shock graduates that enlists the aid of community-based service providers.

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

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

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## **SCREENING OF LEGALLY ELIGIBLE INMATES**

### **Overview Of The Screening Process**

From the beginning of the Shock program in New York, one of the major responsibilities of the Research staff of the Department has been to monitor the screening process used for the selection of Shock inmates. Through this monitoring process, we have been able to identify every Shock eligible inmate upon reception; determine why some entered the program and why others do not; identify those who enter, those who dropped out, and why; as well as identify those who graduated and those who returned to DOCS custody.

This information has provided the Department with a basic understanding of the flow of inmates into Shock and has been used to change the medical screening criteria, conduct population projections, justify program expansion, conduct follow-up studies, and perform cost savings calculations.

### **Inmate Flow Through The Program: Approval Rates For Eligible Inmates**

According to Table 1, there were 18,160 Shock eligible inmates who were reviewed for Shock participation between July 13, 1987 and September 30, 1991. At any given point, these inmates would have been in one of three general statuses. They could have been denied or have refused Shock, they could have been approved for Shock or been sent to the program, or they could still be under review.

Of the inmates whose eligibility was reviewed, a total of 8,515 inmates were sent to the program as of September 30, 1991. The overall approval rate for eligible inmates since the beginning of the program was 48.6%. The approval rate for women considered for the program (34.5%) was lower than that for men (50.1%) due to higher rates of refusals and medical disqualifications. (see Table 1)

According to Table 2, in the last three Reports to the Legislature the approval rate for males has increased while the approval rate for females increased last year and now has declined. (see Table 2)

## **Incarceration Phase**

### **Approval Rates For Lakeview**

Lakeview began screening and orienting all male Shock eligible inmates on September 11, 1989. Through September 30, 1991 they have processed 9,775 inmates. (see Table 3) Over 27% of this group of inmates were 26-29 years old. These older inmates (both male and female) have become known as "Shock B" inmates because of their unique status.

As explained earlier, when the Legislature raised the age of eligibility for Shock in July 1989, they added restrictions to this group of inmates' ability to enter and exit from the program. This included the requirement that the "Shock B" inmates spend at least one year incarcerated prior to receiving a certificate of earned eligibility and release to parole supervision. "Shock B" inmates who still owe time on their one year sentence after graduation at an SICF have typically been sent to various work release facilities around the state.

The approval rate for 16-25 year olds sent to Lakeview was 66.8%, while the approval rate for the "Shock B" inmates was 39.9%. The lower approval rate for older inmates was primarily due to higher proportions of refusals, medical and psychiatric denials, denials based on extensive criminal histories, and judicial denials. (see Table 3)

Since the 1990 Legislative Report, the approval rate for inmates screened at Lakeview declined between 1990 and 1991 but increased this year from the approval rate published in the 1991 Annual Report to the Legislature.(see Table 2)

### **Recycling Inmates**

In January 1991, a decision was made to provide marginal inmates in the program an alternative to being removed from Shock. This opportunity is known as "recycling". In the past, these marginal inmates would be removed and not be allowed to graduate. Often when those who were removed were sent to a general custody facility, these inmates exhibited a great deal of remorse over losing this chance to change their lives. Moreover, there was nothing that could be done to bring them back into the program. Now we have that ability to allow a number of them to continue in Shock under a limited set of conditions and circumstances.

Recycling is currently offered to inmates removed for certain disciplinary reasons and to inmates who are in danger of being removed for unsatisfactory program adjustment. When a Shock inmate is being considered for removal from the program for unsatisfactory adjustment, the Superintendent's

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Committee at the facility can recommend recycling. With the approval of the Superintendent and the Director of Shock Development that inmate can go to recycling. When an inmate is removed from Shock for disciplinary reasons they can petition the Superintendent of that Shock facility to allow them to return to the program. Again, with the approval of the Superintendent and the Director of Shock Development that inmate can go to recycling. Inmates charged with certain disciplinary infractions such as assaulting staff or inmates will not be considered for recycling. For males, recycling takes place at Lakeview SICF regardless of their initial Shock facility assignment. For females recycling occurs at Summit SICF.

Recycling consists of inmates voluntarily being sent back to what can best be described as a refresher training or a modified "zero weeks" status for a re-learning of the fundamentals of the program. During this three-week period, the inmates' progress is closely monitored. If they perform satisfactorily, they are integrated into an existing platoon which will graduate at a date closest to the time owed in order for them to successfully complete their six months in the program exclusive of the recycling period. If they do not perform satisfactorily, they either continue in the recycle status for an additional two weeks or they are removed from Shock altogether. Thus, recycled inmates have spent slightly more time in a Shock facility than the typical non-recycled inmate. By keeping these marginal inmates longer and reviewing program concepts and expectations in more detail we hope to ensure that recycles will have a successful return to the community upon their release to parole supervision.

### **Inmates Sent To Shock**

The increasing complexity of the program is reflected in Table 4 which now tracks inmates sent to work release and to recycling. As of September 30, 1991, there were 8,515 inmates sent to Shock facilities. As of that date, there were 4,032 graduates (including 253 females) who were released to parole supervision from Shock facilities, while an additional 308 Shock graduates were released to parole from DOCS work release facilities. There were also 71 recycled inmates who graduated from platoons at Lakeview and Summit. This adds to a total of 4,411 Shock graduates who were released to parole supervision since the program began.

Of the 8,515 inmates who entered Shock, a total of 2,784 inmates were removed from the program. This number includes all the typical reasons why inmates leave the program. It also includes the inmates who were removed from Shock after they were placed in recycling. It does not include inmates who were sent to work release and who were subsequently removed, since they had already graduated from the program. A summary of the recycle and work release numbers are presented separately in Table 4.

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To date, 223 inmates have been sent to recycling 61 recycles were active in the program, 91 were removed from Shock, while 71 had graduated and were released to parole supervision.

Since July 1989, older Shock participants were required to spend one year incarcerated prior to their release to parole supervision. These older graduates, who owe time, are being sent to work release facilities prior to their parole. To date, there have been 378 graduates sent to work release facilities. Of those, 40 were active in the program, 30 were removed and 308 were released to parole supervision.(see Table 4)

The 1,250 Shock inmates under custody as of September 30, 1991 were distributed by facility as follows; 221 at Monterey, 179 at Summit (including 57 females), 202 at Moriah, 226 at Butler and 422 at Lakeview.(see Table 4)

### **Shock Program Removals**

Through September 30, 1991 the overall dropout rate from the program was 38.3%. This rate is calculated from information presented in Table 4. The rate is calculated by dividing the number of removals from the program by the sum of removals and program graduates. The number of active inmates in the program is not used in this calculation.

According to Table 5, on average Shock removals spend 46.5 days in the program before leaving. In comparison to last year's data, this year's dropout rate is lower yet the inmates leaving the program are staying approximately the same period of time in Shock before being removed.

Table 6 represents the proportion of inmates who were removed by the reason for removal. In addition to the five reasons presented last year (disciplinary, medical, voluntary, unsatisfactory adjustment, and "other") this year we also examined the proportion of inmates removed from recycling. Through September 30, 1991, the majority of inmate removals left for voluntary reasons (33.7%), while disciplinary reasons were cited for 31.9% of the removals. This pattern for removals was only true for Moriah and Butler. For Summit and Monterey most inmates were removed for disciplinary reasons. In contrast to all of the other facilities, the majority of removals at Lakeview were for unsatisfactory program adjustment. (see Table 6)

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In comparison to last year, the proportion of inmates removed for disciplinary reasons and unsatisfactory program adjustment declined slightly while the proportions of voluntary, medical and "other" removals increased slightly. The decline among disciplinary and unsatisfactory adjustment removals is most likely attributable to the effects of recycling as the facilities have been encouraged to recycle marginal inmates in these categories who otherwise may have been removed from Shock.

The increase in medical removals occurred primarily at Lakeview, the only Shock facility with a fully staffed infirmary unit. Inmates who may be marginal program participants due to health reasons are kept at Lakeview so they can be evaluated and removed from Shock if their participation aggravates their medical condition.

### **Longitudinal Review Of Eligibles and Releases**

Since Shock began, the average monthly number of eligible inmates has grown from 77 in the third quarter of 1987 to 470 in the third quarter of 1991. Additionally, the monthly average number of inmates "released" from Shock has increased from 23 in the first quarter of 1988 to 132 in the third quarter of 1991. Shock eligible admissions peaked between October 1989 and June 1990, while releases peaked between March 1990 and December 1990, a lag of six months, which is the length of the Shock program. (see Charts 1 and 2)

# **Incarceration Phase**

## **FISCAL ANALYSIS OF SHOCK INCARCERATION**

### **Overview Of The Costs Of Shock**

This section of the report is based on information provided by DOCS Budget Analysts for facility expenditures occurring in the 1990-1991 Fiscal Year. In the last Legislative Report fiscal expenditure data was presented for all five Shock facilities even though two of them (Butler and Lakeview) were in operation for only a portion of the fiscal year. This year all five Shock facilities were in full operation during the whole period of analysis.

A continuing concern with the Lakeview data is our inability to disaggregate the expenditures of Lakeview Shock from Lakeview Reception. As such, the financial data from Lakeview represents all parts of that facilities' operations. With the assistance of DOCS Budget Analysts we were able to disaggregate the expenditures of both the Lakeview Annex and Butler CASAT units from their associated Shock facilities and those funds are not represented in this analysis.

Once again the costs of running five Shock facilities were compared to the costs of running six Medium Security facilities (including Altona, Walkill, Taconic, Watertown, Mid-Orange, and Ogdensburg) and five Minimum Security facilities (Pharsalia, Georgetown, Beacon, Gabriels and Lyon Mountain). Lyon Mountain was selected because it is a Minimum Security facility without any substantial work release component.

As previously mentioned, the fiscal information used in this section was provided by the DOCS Office of the Budget, while the relevant population figures were calculated from the average daily population figures provided by Records and Statistics.

### **The Costs Of Shock - A National Perspective**

A report by Dale Parent (1989) that provides an overview of Shock programs nationally examines fiscal information from four states which run these programs:

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

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New York is one of the few states that has "stand alone" Shock facilities. Many states have Shock programs operating as part of an existing prison. For example, the planned Shock facility for the California Department of Corrections will be located on the grounds of San Quentin. These states have been able to use the resources of the larger facilities as a way of cutting costs.

Although some states provide portions of the program components available in New York, few jurisdictions have developed a Shock Incarceration program with the extensive levels of treatment provided by New York. New York's program also may be more expensive because most states do not keep Shock inmates incarcerated for as long as 180 days.

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

### **Recognition Of New York's Shock Program As An Effective Cost Savings Strategy**

One of the stated goals of New York's program is the reduction of demand for bedspace as a way of addressing prison crowding issues in the State. According to MacKenzie and Parent (1991) in order for Shock programs to be successful in this effort it requires:

1. a sufficient number of eligible inmates who are recommended for the program;
2. a large enough number of offenders completing the program;
3. a true reduction in the length of time offenders spend in prison, and,
4. offender participants who are drawn from those who would normally be incarcerated rather than those who would normally be sentenced to probation (or no net widening). (Doris MacKenzie and Dale Parent, Shock Incarceration and Prison Crowding In Louisiana, p 8.)

## **Incarceration Phase**

New York has fulfilled all of these requirements and as a result it is acknowledged that "New York ... may have a large enough number of graduates to have an impact on crowded prisons...this is not the case in most states." (Doris MacKenzie, "Boot Camps: Components, Evaluations, and Empirical Issues," Federal Probation, September 1990, p. 49.)

In an article published recently in Federal Probation, Mark Osler writes: "New York has a program that seems to have achieved the goal of cutting the costs of incarceration while holding out hope that rehabilitation may occur." (Osler, 1991, p.39.)

In remarks made to a National Institute of Corrections Intensive Skills Workshop presented at the American Correctional Association Congress in the summer of 1991, Dale Parent cited the New York State Department Of Correctional Services "boot camp" operation as a model which contains all the features necessary if boot camps are to have the capacity to reduce prison bedspace needs and, hence, to cut both operational and capital costs.

### **Per Diem Program Expenditures For New York**

In the past year the Department has been working with staff from the Office of the State Comptroller (OSC) to assure that our presentation of the cost avoidances attributed to Shock were as accurate as possible. Since the initial Report in this series the Department has continually sought to refine its cost analysis methodology through contact with various reviewers.

Since the first Report To the Legislature, we have presented the question "What would it cost the Department if the Shock program did not exist and all Shock graduates since 1987 had to serve out their complete sentences in a non-Shock facility?" Each year we have presented one year of per diem costs for Shock and for the comparison facilities and applied that information to all Shock graduates released in multiple years. This model assumed that the latest year's fiscal information was an accurate representation of the costs attributed to these facilities in previous years. However, changes in the per diem costs from year to year have undermined the validity of this assumption. With the assistance of OSC staff, it was determined that a better measurement tool would average the costs of the Shock and the comparison facilities over time and apply the averages to the inmates released from the Shock program.

This averaging of per diem costs smoothes out the variation in fiscal expenditures from year to year. For example, when examining Table 7, the FY 89-90 data indicates the average per diem costs for Shock were 71.9% higher than that of the average per diem costs for Minimum security facilities and 43.6%

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higher than the average per diem costs of the Medium security facilities. In comparison, the FY 90-91 shows the average per diem costs for Shock were only 36.1% higher than the average per diem costs for Minimum security facilities and only 16.0% higher than the average per diem costs of the Medium security facilities. An averaging of the costs presents a more accurate picture over the entire period of the program's operation.

In trying to help the reader understand what goes into the running of a Shock facility, these Reports have annually pointed out that all of the Shock facilities have intensive rigorous programs run under strict discipline. Four of the facilities are run in a "camp" setting with no external security perimeter. The fifth facility, Lakeview, is a Medium security facility with a perimeter fence because they are housing inmates other than those who are just the volunteers who signed up for the program. Additionally, since program rigor has made it necessary to have inmates transferred out of Shock, either because of their behavior or because it was too tough for them to complete, the Shock facilities are not always running at full capacity.

Table 8 presents the overall per diem costs for Shock and the comparison facilities. These expenditures are broken down into four major areas: Support Services, Supervision Services, Health Services and Program Services. The last two columns present a further breakdown of expenditure items related to food costs (which comes from Support Services) and inmate wages (which comes from Program Services).

As in past Reports the Shock facilities have spent more per diem per inmate for Security than either the Medium or Minimum security facilities. This can be attributed to some of the following reasons. Overall, at the Shock facilities, 41% of the inmates were classified at the Medium Security level at the DOCS receptions centers. Since there is no perimeter security at four of the five Shock facilities, the costs for security (primarily additional personnel) were higher than those of the comparison facilities. Security staffing levels are also different at Shock because the role of the Drill Instructor is unique to these facilities. Additionally, since Shock is required to have a hard labor component most of the Shock platoons are supervised in work crews during the day when they are working at locations outside of the facility.

An examination of the differences in expenditures shows that Shock spends 25.3% more than Minimum security facilities for Support expenditures and 57.0% more on Program expenditures. This is due to the fact that all inmates are fully programmed during their six months in Shock. It is interesting to note that the per diem costs at Shock for Programming were comparable (only 1.3% higher) to that of the Medium Security facilities.

## **Incarceration Phase**

The per inmate cost of health care at Shock facilities is more than twice that of Minimum security facilities but only half of the per inmate cost of the Medium security facilities. The higher cost of health care at Shock (compared to Minimum Security facilities) is due to the screening and orientation functions that are present at both Summit (for females) and Lakeview (for males). After initial medical screenings at reception centers these two Shock facilities may order additional tests for medically marginal inmates before allowing them to participate in the program. Additionally, it is generally acknowledged that health care costs for female inmates are higher than they are for males. This factor also contributes to Summit's expenditures and to the high medical costs at Taconic.

As in previous years it costs more to feed Shock inmates in comparison to the cost of feeding Minimum or Medium Security inmates. This is because the rigorous nature of the program means that inmates are burning more calories. Additionally, all Shock facilities restrict package and commissary privileges. Therefore the food provided by the facility is all the food that Shock inmates had available to them. All their meals are mandatory and the food taken by an inmate must be eaten. This policy eliminates the wasting of food by inmates in the program. This is very different from the food, package, and commissary policies of any other facility administered by DOCS.

Shock stresses hard labor and full programming and the inmates in Shock are paid for working three separate shifts. Table 8 indicates that both Summit and Lakeview have the lowest average per diem wages per inmate for the Shock facilities. This is due to the large number of inmates in reception status who are not being paid a full wage. As a result the overall wages for inmates at Shock are less than that paid to Minimum security inmates and equivalent to the wages paid by Medium security facilities.

It must be remembered that the per diem costs are only part of the fiscal story of the Shock program, as money is being saved due to the early release of Shock graduates and the program's ability to effect bed savings for the Department. Still, as in the past the conclusion remains that it is more costly to run Shock facilities on a per diem basis when compared to selected Minimum and Medium Security prisons.

### **Program Cost Savings Due to Shock Incarceration**

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

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On average, the 4,411 Shock releases would have spent 546 days in prison, including time in reception, until their PE dates, if the program did not exist. Since the initiation of recycling and the requirement that some older Shock "B" inmates must spend a year incarcerated prior to their release to parole supervision the average time that a Shock release spends in DOCS custody is 224 days, including time in reception. This overall average consists of (a) 4,032 graduates sent directly to parole supervision upon graduation and spent 215 days in DOCS custody; (b) 308 Shock "B" inmates sent to Work Release upon graduation who spent 278 days in DOCS custody; and (c) 71 recycled inmates who subsequently graduated and were sent to parole and spent 259 days in DOCS custody.

Thus, for each graduate there was a net savings of 322 days or approximately ten and a half months from their actual date of release from Shock to his/her court determined PE date. This net savings per inmate is approximately the same as last year despite the longer stay in the program for recycles and some Shock "B" graduates.

Another factor to be considered is for all DOCS inmates, the proportion who have been released, at their initial parole hearings is 63% since the third quarter of 1988, while virtually all Shock graduates (98%) have been granted parole releases at their initial hearings. Thus, if Shock were not available, we could expect that 63% of the graduates would be released at their Parole Eligibility dates, while 37% would be given additional time (which is estimated to be nine months; by those analyzing parole outcomes for Earned Eligibility Program certified inmates).

By averaging the per diem costs of the program for the four fiscal years of the Program's existence we have been able to obtain a more accurate estimate of the program cost savings obtained for placing inmates in Shock rather than housing them at either a Minimum or Medium Security facility. This information is presented in Table 9. In that table, we multiplied the average per diem cost per inmate (for each facility type) by the average number of days he/she would be incarcerated.

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

In fact, for every 100 inmates who graduate from Shock, there is a savings of \$1.24 million because we have housed them for less time. These savings are due to the early release of inmates prior to their PE dates.

## **Incarceration Phase**

Additionally, if Shock were not available, it is estimated that 63 of these 100 inmates would get released at their initial parole hearing through the operation of the Earned Eligibility Program. The other 37 inmates would stay incarcerated for an average of nine months. The Department estimates the annual operational and administrative costs per inmate at \$25,000. Therefore, 9 months, or three-quarters of a year of incarceration costs \$18,750. For our purposes, that is an additional savings of \$693,750 for the 37 inmates in post-PE date savings.

So, for every 100 Shock releases, it is estimated that the Department saves \$1.94 million, which it otherwise would have had to expend for the care and custody of these inmates. Thus, for the first 4,441 releases from Shock, as of September 30, 1991, there was an estimated savings in program costs of \$85.97 million. This savings should be offset by the costs of housing inmates who started Shock but did not complete the program. According to Table 5 this amounted to 2,693 inmates removed from Shock who spent an average of 46.5 days in the program. Instead of 46.5 days being spent at either a Medium or Minimum security facility these inmates spent this time at Shock facilities which are more costly on a per diem basis. As a result the amount of the offset is approximately \$2.34 million. Thus, the revised savings estimate for the care and custody of Shock inmates is \$83.62 million.

### **Capital Savings: Bed Savings And Associated Costs**

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

If we examine the distribution of the time owed by inmates who graduated Shock, we can determine at any given point how many of these inmates would still need to be housed if Shock were not in existence. Based on these calculations in Table 10 for graduates as of September 30, 1991, there were 1,672 inmates who would have to be housed if Shock were not available.

The cost of constructing these 1,672 beds would be based on portions of the estimated costs for building both Medium and Minimum Security facilities. A 750 bed Medium Security facility would cost approximately \$65 million while a 250 bed Minimum Security would cost approximately \$13 million. By using our breakdown in the security classification of Shock inmates, 42% of the 1,672 inmates (or 702) would be Medium Security inmates while the remaining 970 inmates would be of Minimum security classification.

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Using the amount of \$86,600 as the cost of one Medium bed and \$52,000 as the cost of one Camp bed, our capital costs involved in housing these 1,672 inmates would amount to \$111.23 million. This amount is what the Department has saved by not having to build space for these Shock releases.

This estimated bed savings does not take into account the fact that a certain portion of Shock beds are vacant because the program structure has not backfilled platoons when inmates were removed from the program. On average, since the start of the program, the number of vacant beds has been calculated at 280.4 for Shock facilities. These 280 beds would be filled if the Shock program did not exist. Thus, they must be subtracted from the 1,672 bed savings for a total bed savings of 1,392. This adjustment reduces the dollar savings to \$93.65 million, which is a more accurate representation of the construction avoided because of the Shock Incarceration Program.

By using these figures, the savings for DOCS through September 30, 1991 for the 4,411 released graduates is equal to \$177 million, which includes savings in the provision of care and custody and savings in the cost of capital construction.

The reader should be aware however, that the costs and benefits of the Shock Program are not limited to DOCS. For example, this cost/benefit analysis does not consider the money that employed Shock graduates contribute as tax-paying citizens nor does it consider the additional expenditures that the Division of Parole incurs to provide intensive supervision and services to the graduates for their first six months in the community.

The cost avoidance model that is summarized in Table 9 has been refined over the years to make it the most accurate estimate available. One future refinement of the model is an assessment of the hypothesis that Shock inmates who are returned to DOCS custody will spend longer amounts of time reincarcerated than non-Shock inmates. Currently we assume that the time spent by Shock returnees who are reincarcerated is no different than the time spent by similar non-Shock inmates who return to custody. A methodology for calculating this information is being created by Research and MIS staff.

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

## **Incarceration Phase**

### **DESCRIPTIVE INFORMATION ON SHOCK INMATES**

#### **Who Goes To Shock: A Comparison To Other Prisoners**

This section briefly reviews the demographic and legal characteristics of inmates who have been sent to Shock facilities in contrast to inmates being housed at the same select Minimum and Medium Security facilities which were used in the previous section. The data is based upon a computer file describing inmates who were under custody on September 28, 1991.

Due to the fact that there are restrictions on the characteristics of Shock eligible inmates based on age, time to parole eligibility, and crime type, the typical Shock inmate differs from much of the under custody population.

Table 11 shows the 24 demographic and legal characteristics used in this comparison for both the males and the females in Shock and their counterparts in the Minimum and Medium security facilities. Among the males the Shock inmates differed significantly from inmates in the Minimums in eleven of the categories. The differences between Shock inmates and those in Lyon Mountain grew to twelve categories, and Medium Security inmates were different from Shock inmates in fifteen categories.

In comparison to these other inmates, the male Shock inmates were younger and were more often committed for drug crimes. They had shorter maximum sentences and served a shorter number of jail days. Additionally Shock inmates were less often convicted as second felony offenders and had fewer prior felony arrests and convictions.

Table 11 also shows among the females, Shock inmates differed from women in Minimums on only eight of the 24 variables and differed from the Medium security women on eleven of those variables. There were fewer generalizations about these differences that could be observed among the women. Specifically, in comparison to their counterparts Shock women were younger, had fewer prior felony arrests and spent less time in jail prior to coming to DOCS.

Beyond this, the pattern of differences varies depending upon whether the contrast was between Shock inmates and Minimum security inmates or between Shock inmates and Medium security inmates.

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### **Who Gets Sent To Shock: In Comparison To 1991 Report Data**

In comparison to the snapshot of characteristics taken last year, the current population of Shock inmates differs for both the men and women in the program in some significant ways. For males this year's Shock inmates were younger at Reception, reported less drug use and were more likely to have alcoholic trait MAST scores. More of them were classified as Medium security, they spent more time in jail and had higher entry TABE math and reading scores.

Some changes of importance were noted for the women in Shock between this year and last. Overall, there was a smaller proportion of Hispanic women and a larger proportion of black women in the program. The women were older, served longer jail time prior to Shock, had longer minimum sentences, and had longer times to their PE dates. Additionally, they had higher entry TABE math and reading scores despite having less formal education. This coincided with a decrease in the proportion of women admitting to the use of drugs. The last notable difference was a decrease in the proportion of women who were classified as Medium security level inmates.

A review of the attributes of Shock inmates by gender shows that there were some real differences between the characteristics of men and women in the program. The women were older, were more often black, were more frequently from New York City, and were committed more frequently for drug crimes; yet women reported using drugs less frequently. The women were more frequently second felony offenders, with longer minimum sentences, fewer prior felony arrests, and more often Minimum security inmates who came to DOCS with more jail time. Additionally, they had lower initial TABE math and reading scores despite having more formal education.

# **Incarceration Phase**

## **EDUCATIONAL ACHIEVEMENT IN SHOCK INCARCERATION**

### **Overview of Educational Components**

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

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

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

The Department uses the Test of Adult Basic Education (TABE) exam as the standardized testing instrument.

While attaining a GED while in Shock is conceptually a desirable goal for all graduates, Shock inmates only have six months to do so and education is one of many required program components. Moreover, the low educational levels of certain inmates upon reception makes the attainment of a GED within six months an unrealistic goal.

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

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

This section analyzes both the Math and Reading TABE scores for 1,851 Shock graduates between April 1, 1990 and March 31, 1991 who had been given at least two achievement tests. It must be pointed out that the typical interval between testing varied from six months (for those who were not tested when they arrived at a Shock facility and whose scores at reception were used) to four months (for those who were tested upon their arrival at a Shock facility).

**Math Scores:** The average initial math scores for these Shock graduates was 7.3, and only 22.1% (N=409) of the inmates had initial math scores of 9.0 or higher. In contrast, the average final math score was 8.3 while 33.2% (N=614) of the inmates had final math scores of 9.0 or higher. Thus, the overall average change in math scores for inmates during this time period was an increase of 1.0 grade levels.(see Table 12)

It should be noted that not all the graduates had increases in their math levels over the course of the six months. In fact, 15.1% (N=279) had declines in their scores, while 28.3% (N=524) had no changes in their grade level. Yet, in six months, 56.3% (N=1,042) of the Shock graduates had increased their math scores by one grade or more.

During this period 33.3% (N=616) of the inmates increased their math scores by two or more grades while 9.0% (N=167) increased their math scores by four or more grades during their six months in Shock.

**Reading Scores:** The average initial reading scores for these Shock graduates was 8.1, and 37.8% (N=700) had initial reading scores of 9.0 or higher. In contrast, the average final reading score were 8.7 while 44.8% (N=829) had final reading scores of 9.0 or higher.(see Table 12)

Thus, the overall change in reading scores was an increase of 0.6 of one grade level. As with the math scores, not all graduates had reading score increases while in Shock. In fact, 18.1% (N=335) had declines in their scores, while 32.6% (N=603) had no change in their grade level. Still, in six months 49.3% (N=913) of the Shock graduates increased their reading scores by one grade or more.

## **Incarceration Phase**

During this period 38.5% (N=713) of the inmates increased their reading scores by two or more grades while 4.7% (N=87) increased their reading scores by four or more grades during their six months in Shock.

Table 12 is a summary of the TABE information that has been presented in this and the preceding two Legislative Reports. This table reports on three issues which have been discussed each year. They include changes in the average scores between reception and graduation, changes in the proportion of inmates with at least 9th grade level scores from reception to graduation, and the proportion of inmates who increased their scores while in the program. In general the data indicate that the inmates in Shock seem to improve their math scores more dramatically than they do with their reading scores. This may be because the inmates start out with lower math scores to begin with. The table also shows that there has been some improvement in the reading scores between this year and last.

Overall, the TABE test results show some very positive accomplishments for Shock inmates during a six month period.

### **GED And TABE Scores**

As with the last two Legislative Reports we also examined the relationship between TABE scores and GED success and found that there was a strong association between GED success and higher entry and exit TABE scores for both math and reading.

Table 15 suggests that although the majority of Shock inmates make improvements in their achievement levels while in Shock, their ability to pass a GED will be somewhat dependent upon the skills which they bring with them. As such, it may be unrealistic to expect that someone with sixth grade skills will be prepared to take a GED test and pass it within six months.

### **GED Testing**

As with previous reports, we have been provided GED test results for all DOCS facilities by the Division of Education. This year we will examine the GED information for FY 1990-1991.

It should be noted that the average population figures for Lakeview SICF which were used in Table 13 do not reflect the inmates housed in Lakeview Reception dorms. This is because these inmates are not tested for the GED during their stay at Lakeview.

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The GED data presented in Table 13 compares the GED activity of the Shock facilities in relation to the same group of Medium and Minimum security facilities that were introduced in the fiscal analysis section of this report.

According to the table, during FY 90-91 the number of GED tests given to inmates at the Shock facilities was three times greater than the number provided at the Minimum security facilities and almost double the number given at Medium security facilities.

Even though the size of the average inmate population at the Shock facilities was slightly smaller than that of the Minimums security facilities, the Shock facilities screened **6.1 times** as many inmates for GED testing, tested **4.4 times** as many inmates, and over **4.8 times** as many Shock inmates earned GED's as the four comparison Camps and Lyon Mountain combined. (see Table 13)

Despite the fact that the average inmate population of the six Medium security facilities was over **three times** greater than that of the Shock facilities, they screened only **1.1 times** as many inmates. In fact the Shock facilities tested **1.1 times** more inmates for the GED, and **1.5 times** as many Shock inmates earned GED's as did the six Medium security facilities.

Despite the short six month period of time that inmates have to spend on education at the five Shock facilities, the proportion of Shock graduates passing the GED in FY 1990-1991 (60.9%) was higher than that of the five Minimum security (55.6%) and six Medium security facilities (48.0%) and was comparable to the passing rate of the Department overall (63.0%).

Table 14 is a summary of GED testing data that has been presented in this and in the three preceding Legislative Reports. This summary shows that Shock has placed a major emphasis on obtaining quality educational results despite the short period of incarceration for its inmates. The Shock facilities have consistently tested more often and have tested more inmates than the comparison facilities. Additionally, since the 1990 report, the passing rate for Shock graduates has also been increasing (from 40.0% to 60.9%). As the number of tests at the comparison facilities has either declined or remained the same their passing rates have also declined or remained the same. One possible conclusion that arises from this data is that having inmates located at one facility for six months of intensive programming may produce higher scores on standardized tests such as the TABE or the GED. With the implementation of the Hub system for all DOCS facilities these advantages of intensive programming and fewer transfers may begin to occur systemwide.

## **Incarceration Phase**

### **DISCIPLINARY PROCESS AT SHOCK INCARCERATION**

#### **Overview Of The Disciplinary Process**

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

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

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

Those inmates who believe that the program is too tough for them leave voluntarily. The earlier referenced Table 6 shows that of the 2,784 inmates who had been transferred from the program through September 30, 1991, 33.7% (N=937) left voluntarily. Table 5 indicates that, on average, these inmates decided to do so within 19 days of their arrival.

Table 6 shows that a large proportion of inmates who left the program prematurely did so because of disciplinary problems. They constituted 31.9% (N=887) of the inmates who were transferred out. On average, it took 37 days for them to leave. This group consisted of: (a) inmates who were chronic problems who continually violated the rules of the program; (b) inmates who wanted to leave the program, but, not willing to admit defeat, decided to take some action and get themselves transferred out; and (c) inmates who may not have been in trouble previously, but who got involved in a particularly blatant display of disregard for staff, peers, or the rules of the program.

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The strict discipline and high level of supervision provided at Shock are all part of the general treatment plan of the program. They also constitute part of the security of these facilities, the majority of which do not have perimeter security or secure areas of confinement for disruptive inmates. As a result, when problem inmates disrupt the security of the facility, they have typically been transferred out. (This is not true for Lakeview which has a 32 bed Special Housing Unit with secure cells.) It should be reemphasized that 42% of all Shock inmates received a Medium Security designation at DOCS reception and they would normally be serving their sentences in facilities with secure perimeters.

### **Learning Experiences and Superintendents Review Committee**

A "learning experience" is used as a way to make disruptive inmates aware that their negative habits are undesirable actions in the Shock community. These experiences have been designed to be continual reminders to all inmates that it is necessary to change bad habits into useful ones because there are consequences for such disruptive behavior both in and out of prison.

The learning experiences are not punishments and they are not intended to degrade or humiliate the inmate. The learning experiences can be a physical task related to the negative behavior (i.e., written or work assignments, carrying or wearing a symbolic reminder) or it might be a process (i.e., socializing with others, changing a habit, or a lowering of status). These learning experiences are typically assigned, approved and documented by a committee appointed by the Superintendent of the facility. From time to time, it may become necessary for staff to hand out "Instant Corrective Actions". In this event, a supervisor must approve these actions. For example, they may include assigning pushups or jogging in place. When any learning experience or corrective action is handed out, the common sense of the staff should be exercised and they should follow the guidelines of S.M.A.R.T. (make it Specific, Measurable, Attainable, Realistic, and Time-Limited.) Additionally, Shock inmates will receive a variety of informal counseling from security and civilian personnel at the facility.

A Superintendent's Review Committee was established to review the progress of inmates in the program who seem to be having difficulty with the requirements and to determine an inmate's suitability for program retention. A review by this committee can be triggered by low or failing evaluations, misbehavior reports, or by referral from a Superintendent or a Security Supervisor. The primary goal of the Superintendent's Committee is to encourage behavioral change and to correct mistakes. If after reviewing an inmate's progress an inmate is retained, tasks are assigned which are appropriate to their areas of failure and a reappearance is usually scheduled. If continued progress is not attained, the Committee can recommend the permanent removal of the inmate from the program or the recycling of that inmate.

## **Incarceration Phase**

Within the Department the existence of learning experiences and Superintendent Review committees are unique to Shock. They reinforce the concept that Shock is aimed at changing negative behaviors while operating in a supportive environment.

### **Disciplinary Activity At The Shock Facilities**

The three Tier disciplinary process that is used in all DOCS facilities is also used at Shock facilities. As with last year's report, we have made an effort to analyze disciplinary data for all inmates who have gone to Shock facilities. In this process, we have relied on data from all five facilities, as we have reviewed copies of all Tier II and Tier III disciplinary reports (which are the most serious misbehaviors) as they occur. The information presented in Tables 16 through 18 represents data from that effort. During FY 90-91, the facilities sent us 727 Tier II reports and 396 Tier III reports. As in the past our use of a manual data collection and coding process with these reports is designed to provide us with more detail than is currently available with any automated system.

The data on disciplinary activity in Tables 16 through 18 can be summarized as follows:

- (a) One quarter (25.0%) of the inmates in the Shock program were involved in disciplinary activity involving Tier II or Tier III hearings.
- (b) Of the 755 inmates with Tier II or III reports, 68.1% were involved in one incident while the remaining 31.9% were involved in more than one incident.
- (c) These 755 inmates were involved in 1,123 Tier II or Tier III misbehaviors.
- (d) Of the 1,123 misbehaviors, the majority (64.7%) were of the Tier II level.
- (e) Of the 1,947 "graduates" from Shock during FY 90-91, 282 (or 14.5%) were involved in Tier II misbehaviors while 48 (2.5%) were involved in Tier III misbehaviors. These 330 inmates were responsible for 426 misbehaviors, the majority of which (83.6%) were of the Tier II level.
- (f) Of the 1,078 inmates removed from the Shock program during FY 90-91, 244 (or 22.6%) were involved in Tier II misbehaviors while 181 (or 16.8%) were involved in incidents at the Tier III level. These 425 inmates were responsible for 697 misbehaviors the majority of which (53.2%) were of the Tier II level.

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(g) A comparison of the types of misbehaviors among graduates and program transfers shows that graduates were more often involved in refusing direct orders, disruptive behavior, concealing contraband, theft, lying, destroying property, and disobeying rules, while program transfers were more often involved in staff assaults, verbal abuse of staff, inmate fights and acting out after being fed up with the program.

In summary, these data show that one-in-four inmates in the Shock program get involved in misbehaviors and those who do, typically get involved in only one incident. These data also indicate that most misbehaviors are at the less serious Tier II level. Additionally, program graduates who misbehave are more likely to be involved in less serious disciplinary activity than the inmates who commit offenses and are transferred from the program.

### **Disciplinary Activity - An Inter-Facility Comparison**

Table 19 was constructed from information on facility disciplinary activity for all the comparison facilities used in this study from data provided by the office of the Director of Special Housing. The table presents the average number and rate of disciplinary reports per 1,000 inmates which occurred during FY 90-91 at Shock and the comparison facilities.

According to DOCS procedure, whenever a disciplinary report is written a hearing must occur to determine the guilt or innocence of the involved inmate. Thus, the number of disciplinary hearings is related to the number of disciplinary reports filed. The exceptions include the fact that hearings are not held for Tier 1 reports and some reports get dismissed prior to a hearing for reasons such as lack of sufficient evidence. In analyzing disciplinary activity at occurring at a specific facility the use of hearing information may not be accurate because hearings do get transferred to other facilities and these new facilities can be credited with the occurrence of the original infraction.

For example, of the 13 disciplinary reports filed at Moriah in April 1990 hearings on two of them did not occur there. If in this example these two hearings were held at Great Meadow a review of hearing activity for April 1990 would credit Moriah with only 11 hearings and Great Meadow would have two additional hearings credited to their statistics.

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Since January 1990 the Department has had the ability to produce disciplinary data in an automated manner for both disciplinary reports and hearings. Prior to that only hearing information was available and this data was used in prior Legislative Reports. This year only disciplinary report data was used. The numbers displayed in Table 19 reflect this change but it must be pointed out that this new information is not comparable with the data on disciplinary hearings that was produced in past Legislative Reports.

By examining Table 19 the following observations can be made from this year's data:

1. There was a great deal of variation in the rates of misbehavior reports even among facilities of the same security level.
2. When variation in population sizes were taken into account, the overall rate of misbehaviors reports per 1,000 inmates at the Minimum security facilities was **2.8 times greater** than at the Shock facilities while the rate at the Medium Security facilities was **3.1 times greater** than at the Shock facilities.
3. When variation in population sizes were taken into account, the rate of Tier I reports per 1,000 inmates at the Minimum security facilities was **7.0 times greater** than at the Shock facilities while the rate at the Medium Security facilities was **7.4 times greater** than at the Shock facilities.
4. When variation in population sizes were taken into account, the rate of Tier II reports per 1,000 inmates at the Minimum security facilities was **1.8 times greater** than at the Shock facilities while the rate at the Medium Security facilities was **2.3 times greater** than at the Shock facilities.
5. When variation in population sizes were taken into account, the rate of Tier III reports per 1,000 inmates at the Minimum security facilities was **2.0 times greater** than at the Shock facilities while the rate at the Medium Security facilities was **1.5 times greater** than at the Shock facilities.

By using disciplinary reports we found that the rate of misbehavior reports occurring at Shock at all levels was lower than what was reported by both the Minimum and Medium security comparison facilities.

Thus, Medium security facilities had the highest overall rate of misbehavior and Tier III reports per 1,000 inmates, while the Minimum security facilities had the highest rate per 1,000 inmates for Tier I and Tier II reports.

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One conclusion that can be drawn from this information is consistent with our understanding of a regimented program like Shock. That is, in this program inmates are more heavily supervised and yet there is little reliance on the Tier I process, as problems at this level are handled by staff either through informal counseling or possibly through learning experiences. Inmates who do not gain from these experiences can have their cases escalated to hearings at higher Tier levels. One way of interpreting some of the data presented earlier in Table 17 is that of the 396 incidents involving Tier III activity, 82.3% (N=326) occurred among inmates who were removed from the program.

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

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

The programs we observed varied in the consistency with which rules were enforced. Where rules were less consistently enforced, it appeared inmates were more prone to test the limits of enforcement. Confrontations with staff seemed more numerous and overall tension levels seemed higher. Where rule enforcement was consistent, inmates seemed less prone to test their limits, confrontations were less evident, and tension levels seemed lower...In terms of molding offender behavior, consistency and accountability in expulsion practices are important factors. The offender learns that his or her actions have clear, well defined consequences: that appropriate self control will be rewarded and inappropriate behavior punished. (Dale Parent, Shock Incarceration: An Overview of Existing Programs pp. 25-26).

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### **UNUSUAL INCIDENTS AT SHOCK FACILITIES**

#### **Overview of Unusual Incident Activity**

Past Legislative Reports have presented information indicating that the type of Unusual Incident's (UI's) occurring at Shock facilities differed somewhat from the UI's reported at our comparison prisons. This was not surprising since the correctional philosophy of the Shock program is different from all other DOCS prisons as are the expectations of the inmates and staff who are there.

It cannot be stressed enough that the Shock incarceration program has strict discipline as its basis. It can safely be said that the threshold of what constitutes an infraction or a breach of rules in Shock is lower than at other facilities. This is designed to insure that inmates participate at all times in all aspects of the program.

Over time though, staff who work in Shock facilities become accustomed to the higher standards of inmate behavior and incidents involving breaches of the rules which might not have been considered a reportable event at another facility often become reportable in Shock.

#### **Lakeview Reception**

As previously stated, the information in some sections of this Report contain data from both the Lakeview Shock units and the Reception portion of Lakeview. Specifically, for information presented on fiscal expenditures it was not possible to separate the activity occurring at these two distinct areas of the facility.

However, the automated UI system does have the ability to breakout the number of incidents occurring at Lakeview Shock from those occurring at Lakeview Reception. As such we have included only the UI information from Lakeview Shock in this section of the report and as a result the average daily population used to calculate rates of incidents per 1,000 inmates only includes the Shock platoon population at Lakeview.

The reason why this distinction may be important is that Lakeview Reception serves as the screening and diagnostic facility for all Shock eligible males. As such they receive all male inmates who have eligible crimes, sentences, and ages. The reception dorms at Lakeview house inmates awaiting screening and orientation, eligible older volunteers waiting for their sentencing Judge to approve their participation, inmates who have been denied access to Shock, inmates who refuse to go to Shock, and

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inmates who have been removed from Shock. Additionally, the Lakeview Reception beds contain 32 Special Housing Unit cells where inmates with disciplinary problems are sent prior to their being shipped to another non-Shock facility.

For those inmates who are waiting to go to Shock there is a new platoon started every week and their wait in Reception is often short. They will not usually get involved in trouble which could jeopardize their status. This is also true for those inmates awaiting a Judge's approval.

### **Rate of UI's Per 1,000 Inmates:**

An examination of the overall rate of UI's per 1,000 inmates in Table 20 indicates that the average rate of reported incidents at the Shock facilities was higher than the rate of UI's at the Medium security facilities but lower than the rate reported by the Minimum security facilities. Since not all incident types represent negative behavior by inmates (such as staff misbehaviors and accidents), this report examines some specific incident types in order to understand more about the nature of the the Shock program.

### **Unusual Incident Types:**

Given the nature of Shock, we expect to see differences in the frequency of the occurrence of certain Unusual Incident types. As with last year's Report, three incident types are examined in order to understand the relationship between incidents and program issues. They include Contraband, Assaults on Staff, and Assaults on Inmates.

**Contraband:** In a tightly regimented program such as Shock where there are limits on visits and no packages from home, the possibility of the introduction of "external" contraband into the facility and into the hands of inmates is greatly reduced. Yet, contraband also consists of inmates possessing items from the facility which they should not possess (multiple bars of soap, razor blades, homemade booze, homemade weapons) and since the level of supervision is designed to be higher at Shock facilities the existence of prison-based contraband should also be minimal.

In FY 1990-1991 only 1.3% (N=1) of the UI's reported from Shock facilities were listed as contraband. In contrast, contraband incidents comprised 13.7% (N=13) of the Minimum/Camp facilities UI's, and 11.6% (N=26) of the Medium security facilities UI's.(see Table 20)

## **Incarceration Phase**

**Staff Assaults:** Incidents of inmates assaulting staff accounted for 38.7% of the UI's reported at Shock (N=29). A review of Table 18 shows that injury occurred to staff in 41.4% of these incidents. In the Minimum/Camp facilities, staff assaults constituted only 4.2% of their UI's, and injury to staff occurred 25.0% of the time. In the Medium security facilities, staff assaults comprised 8.4% of the reported UI's and injury to staff occurred in 73.7% of those incidents. In all DOCS facilities, the proportion of staff assault incidents where an injury was reported was 57.0%. (see Table 20)

Thus, while the proportion of staff assault incidents at Shock was substantially higher than those which occurred at the comparison facilities the proportion of incidents where staff incurred injuries was somewhat lower than at the Medium security facilities. This may be an indication that the threshold of what is reported as a staff assault at Shock may not be as high as it is with other DOCS facilities.

It should also be noted that 48.2% (N=14) of these incidents occurred within the first two weeks of an inmate being in the program (i.e., zero-weeks - the initial period of Shock indoctrination). An additional 20.8% (N=6) occurred between the third and fourth weeks of an inmate arriving at Shock. Thus, 70.0% of these staff assault incidents occurred within the first month of the assailants stay in the program, a period of time when those who are not able to deal with the program rigor may be susceptible to acting out. Most importantly, it should be remembered that all 29 inmates involved as assailants in these incidents were removed from Shock as a result of their actions. This reinforces the message that the assaulting of staff (despite the level of severity) will not be tolerated.

**Inmate Assaults:** One of the primary concerns in the operation of any correctional facility is the ability to provide inmates with a safe environment to live. One measure of the relative safety of that environment is the number of reported incidents of assaults on inmates which occur there.

In FY 1990-91 11.8% (N=4) of the reported UI's at Shock facilities were for assaults on inmates and injuries were reported in none of these incidents. In the Minimum security facilities 11.6% (N=11) of the reported UI's were for assaults on inmates and no injuries were reported as a result of these altercations.(see Table 20)

In the Medium security facilities, 19.1% (N=43) of the reported UI's were for assaults on inmates and injuries occurred in 16.3% (N=7) of those incidents.(see Table 20)

Between this year's Report and last year's Report, the average rate of UI's per 1,000 inmates overall decreased at the Shock facilities while it had increased at both the comparison Medium and Minimum security facilities.

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It should be noted that at Butler SICF, two inmates walked away from a work site in one incident. The escaped inmates were captured out of state within two days and were returned to DOCS custody to serve their remainder of their time and any additional sentence at a non-Shock facility. This incident pointed to the continual vigilance that staff at the Shock facilities must maintain. Since Shock staff have a greater sense of control over the inmates at these facilities, they can sometimes lose sight that not all inmates in the program understand its value and or its ability to save them time off of their sentences so that they can return home early.

It is clear from this section that a quick review of either the number or rate of UI's provides little understanding of what actually occurs at a facility. At best, UI's are a crude barometer of the atmosphere of a facility. However, the numbers may be influenced by many factors (such as reporting differences) unrelated to the stability of a facility. To understand the circumstances under which UI's occur, they must be studied more closely possibly using one incident type at a time.

# Incarceration Phase

## BUREAU OF JUSTICE ASSISTANCE GRANT PRODUCTS

### Consolidated Curriculum

One of the more significant achievements accomplished this year was the preparation of the consolidated ASAT and Network curriculum for use in the Shock facilities. This project was funded by the \$250,000 grant which was received by the Department from BJA to enhance the drug treatment component of Shock.

ASAT is based on the Twelve-Step Recovery Program of Alcoholics Anonymous and Narcotics Anonymous (AA/NA). It believes in the disease concept of addiction and promotes total abstinence as a means of daily recovery from chemical dependency. Typically, the ASAT concepts are taught by counselors. Network is the forum from which Five Steps to Decisionmaking is taught. These steps include: seeing the situation clearly, knowing what you want, expanding the possibilities, evaluating and deciding, and acting. Typically, the Network concepts are taught by uniformed staff in a variety of community meetings and seminars.

The new curriculum combines the "12 steps" of AA and NA with the "five choices" decision making model used in Network. The curriculum not only integrates the material from these two important programs, it simplifies it into pictures and words that make the concepts more accessible to inmates who may be monolingual or who cannot easily interpret what these programs are trying to say. Spanish language translations have also been made available. This new approach to the curricula produces similar language and a similar format to be taught to all staff and inmates in the program. The new curriculum emphasizes the fact that all staff must support and reinforce these teachings to inmates in the program.

This consistency in presentation and content is important. It provides for more uniformity between the five Shock facilities and an inmate who is transferred between facilities (due to recycling or for medical reasons) can expect the same material from each facility. The amount of information provided to inmates is presented incrementally each week and the consistent use of the curriculum allows staff at any facility to gauge what an inmate is supposed to know at any given point in their stay at Shock. The combined curriculum produces handouts for the inmates going through the program and each inmate purchases a three-ring binder to hold on to these handouts. By the time graduation occurs, the inmates have a useful product that they can take with them to their communities. The consolidation not only facilitates comprehension of the material for inmates, it also helps non-treatment staff to understand the usefulness of what may be considered confusing concepts.

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The new curriculum contains material that was solicited from all Shock staff and is a foundation for and a detailed outline of the basics which need to be taught to Shock inmates. The staff are encouraged to embellish the material by including additional information that relies on their particular strengths, abilities and experiences.

This new curriculum is also integral to the training of Shock staff as it is used as the basis of the final group presentation project. During training, the staff are divided up into work groups and each group is responsible for understanding and reporting on an assigned chapter of the curriculum as a way of gauging what they have learned. The new curriculum has a great deal of potential as a tool to enhance the program. We have already received a request from Tarrant County, Texas to integrate the curriculum into their Shock program. Other jurisdictions have been encouraged to participate in Shock training in New York and to use these materials.

## **Incarceration Phase**

### **Development Of A Typology Of Shock Failures And Successes**

#### **Overview of the Typology**

Although there is a great deal of anecdotal information about why Shock inmates have done well or have marginal adjustments to parole supervision, a more systematic approach to developing a typology of successes and failures was needed. The purpose of constructing a typology was to determine the differences which might explain the reasons why some inmates succeed or fail after having been exposed to Shock incarceration and the intensive parole supervision follow-up. This search for an explanation was conducted through the analysis of official information and through the construction of a survey instrument administered to a sample group of Shock graduates.

The first step in the presentation of the typology involved the examination of official DOCS information pertaining to the demographic and legal characteristics of Shock graduates who were either still under parole supervision (i.e. successes) or who had been returned to DOCS custody (i.e. failures) as of March 31, 1991. This same population of Shock graduates is used for the return to custody analysis presented later in this report. In addition to the official data, information provided by the respondents to the survey instrument was examined.

#### **Creating and Administering The Survey**

During the Summer of 1990, with grant money provided by the Bureau of Justice Assistance a survey instrument to be delivered to a sample of Shock graduates who had returned to DOCS custody was developed. The resulting instrument was a detailed questionnaire designed to collect data on demographics, legal variables, Shock Incarceration activities, attitudes about Shock Incarceration, problems in Shock Incarceration, family related questions, questions about their neighborhoods, parole activities, attitudes about parole, problems while on parole, and feelings about being reincarcerated. The survey consisted of over 180 questions.

After pilot testing this questionnaire, inmates were chosen from Shock graduates who had been reincarcerated and were still under DOCS custody at Medium Security facilities during the summer of 1990. The sample did not include Shock failures who had returned to DOCS and who had subsequently been released. Of the 75 inmates chosen for possible participation 61 volunteered and were interviewed using this questionnaire.

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The survey instrument was then modified by the Division of Parole to gather data from 30 graduates considered Shock successes. These interviews took place during the summer of 1991.

While the resulting typology should be considered exploratory in nature, this typology can be used to identify certain attributes or combinations of attributes are important to staying out while enumerating those attributes that may have contributed to a graduates' failure despite being exposed to the program.

### **Theoretical Issues**

In trying to explain the existence of differences in the "success rates" of inmates exposed to Shock and intensive parole supervision we decided that it might be useful examine these differences in light of one of the underlying theories of the Shock incarceration: social control theory.

As has been previously stated the underlying basis of the Network philosophy (which is central to Shock) is the theoretical model of the causes of delinquency known as "control theory". As part of a group of social and cultural support theories of criminality, "control theory" proposes that "non-conformity is a product of the failure of the social bond. Through the attachment of individuals to others, conformity is assured. When such attachments fail to develop or when they are disrupted, the internalization of legitimate norms becomes problematic." (Ron Farrell and Lynn Swigert, Social Deviance, 1975, p. 211).

Thus, control theory is designed to explain conformity in individuals and implies that deviation from conformity (or criminal behavior) can be explained by variations in an individual's ties to the conventional social order. The most often cited proponent of this theory of delinquency, Travis Hirschi, asserts that "delinquent acts result when an individual's bond to society is weak or broken." (Travis Hirschi, Causes of Delinquency, 1969, p.16). This bond consists of attachment to others, commitment, involvement in conventional activities, and belief in conventional activities. F. Ivan Nye, another proponent of control theory, also identifies four types of social controls on human behavior. They include:

- (1) direct control, based on the application (or threat) of punishments and rewards to gain compliance with conventional norms;
- (2) indirect control, primarily based on affectional attachment to, or identification with conventional persons (especially parents);
- (3) internalized control, based on the development of autonomous patterns of conformity located in the

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individual personality, self-concept or conscience; and (4) control over opportunities for conventional and deviant activities whereby compliance results from restricted choices or alternatives. (L. Edward Wells and Joseph H. Rankin, "Direct Parental Controls and Delinquency," Criminology, Volume 26, Number 2, 1988, pp.263 - 285)

Control theory is a key component of the Shock philosophy. If it is assumed that all inmates entering DOCS are individuals whose bonds to society are either weakened or broken then exposure to the Shock program should help restore this bond. The Shock program emphasizes the need for individuals to strengthen their indirect controls, their internalized controls, and their controls over opportunities for conventional activities by emphasizing their responsibility for choices and the consequences of their behavior.

Since not all inmates who go through Shock succeed on Parole it must be assumed that there is some variation in the degree to which these bonds and controls can be restored. This variation may be due to differences in the way in which these bonds and controls are being restored (i.e., problems with the program message being delivered and understood) or to differences in the amount of restoration that is needed (i.e., differences in the degree of problems that exist within each individual).

On one hand, the program is designed to provide training experiences to individuals who then must take control of their lives and follow-up on what has been taught. Not all participants are willing to work that hard when the external controls are removed. As such, the program structure may not be suitable for the restoration of all bonds and controls for all inmates. On the other hand, the degree of restoration necessary for all participants is not uniform. For example, some participants have strong supportive and stable families to return to while others must go back to dysfunctional, hostile environments. Through the use of the official data and the survey instrument we looked for evidence to support the existence of variation in the ability of the program to restore the bonds and controls. As such we expected to find inmates who exhibited variation on two dimensions: 1) the ability to form or restore social controls and, 2) the willingness to make the changes that are necessary to restore those bonds. It is expected that inmates who score low on both dimensions (or who exhibit characteristics and behaviors that would limit their ability and willingness to change) would be more likely to fail while inmates scoring high on both dimensions would be more likely to succeed.

Earlier we noted that as part of the search for differences between the successes and failures we examined official data. These data consisted of legal and demographic variables typically used by sociologists and criminologists to explain variation in criminality. They included gender (males being more involved in crime), ethnicity (higher arrest and incarceration rates for minorities), age (the younger

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the more crime prone), family variables (unstable families contribute to criminality), early anti-social behavior (the earlier the criminal behavior the more persistent it will be), peer group influences (early and persistent exposure to the criminal behavior of criminal peer groups contributes to criminality) and substance abuse history. (Michael Gottfredson and Travis Hirschi, "The Methodological Adequacy of Longitudinal Research on Crime", Criminology, Volume 25, Number 3, pp. 581-614.) In addition to being correlates of criminality, a case can be made to link these variables to the ability of individuals to develop adequate social controls or to the willingness make the changes necessary to have those bonds restored or enhanced. Thus, we can expect failures and successes to look different from each other on these variables.

Since we know who the failures and successes are and because there is a great deal of anecdotal information which allows us to hypothesize about the factors which differentiate these groups from each other, this is not a typical typology study that examines individuals on the two dimensions (ability to change and willingness to change) and then classifies them as to whether or not they are failures or successes without having any prior knowledge about their status. Instead we are using official and survey data to determine if there is an empirical basis to support the hypotheses about the typology dimensions the existence of differences in ability and willingness to change among Shock participants.

### **Measures of Significance**

Prior to any discussion of the differences and similarities between Shock successes and failures a level of significance must be established to determine which variables are capable of discriminating between members of each group. Since the size of the sample groups are relatively small it should be noted that extreme differences are required to reject the belief that there is no difference between the two groups.

A factor that is large enough to produce differences that are statistically significant in a small sample is therefore much more worthy of one's attention than a factor that produces small differences that can only be shown to be statistically significant with a very large sample. (Hubert M. Blalock Jr., Social Statistics, Revised 2nd Edition, 1979, p. 162)

In this analysis two measures of significance are used. They are the chi-Square (for our nominal data) and the T-Test (for our interval level data). Since this is an exploratory analysis an argument can be made that we should be as inclusive as possible with our findings so that future analysis can also examine discriminating variables that may now have marginal statistical significance along with strong substantive significance. As a result, we will report on variables which discriminate between our two groups at the .10 level of significance.

## **Incarceration Phase**

### **Demographic and Legal Variables:**

#### **Shock Graduates Who Return To DOCS Custody and Those Who Do Not**

In examining the 3,574 Shock releases to parole supervision as of March 31, 1991, over 2,800 had not been returned to DOCS custody.

Of the seven general areas mentioned above as being causally related to criminality, 17 variables in five of those areas were examined. There was virtually no difference between the two groups on six of the variables. They included gender, region of commitment, ethnicity, security classification upon entry to DOCS, jail time prior to incarceration, and most serious prior sentence. There were significant differences between the two groups on the remaining eleven variables. In comparison to the failures, successes were:

- A. Older at time of admission to DOCS.**
- B. More often committed as drug offenders.**
- C. Given longer minimum sentences.**
- D. Given longer maximum sentences.**
- E. More often committed as 2nd felony offenders.**
- F. Better educated.**
- G. More likely to have fewer prior felony arrests.**
- H. More likely to have fewer prior felony convictions.**
- I. Charged more often with offenses that had higher crime classifications  
(i.e. more serious offenses.)**
- J. More likely to have children.**
- K. More likely to have lower Michigan Alcoholism Screening Test (alcohol abuse) scores.**

The data indicates that failures were younger and had more extensive criminal histories. These differences may be perceived as disadvantages in the restoration of bonds. Additionally, the successes were better educated and were more likely to have children of their own, characteristics that may contribute to their ability to help restore their bonds. Additionally, the successes were charged with more serious crimes and have been given longer sentences which provided them with an additional incentive to do well on parole because they had the most to lose if they were returned to DOCS custody. On the issue of substance abuse both groups had problems. The failures were more likely to be alcoholic and the successes were more likely to be convicted for drug crimes (both selling and using).

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In the context of control theory, many of the differences between successes and failures may be interpreted as characteristics that can contribute to variation in the amount of restoration of social bonding that is needed. At this point the failures appear to have more deficiencies to overcome and are considered to have less ability to change.

### **Differences Between Successes and Failures** **Among Survey Respondents**

In examining the 91 survey respondents, 33% (N=30) were successes and 67% (N=61) were failures. Using the same seventeen legal and demographic variables significant differences between the failures and the successes existed on only seven among the survey respondents. The reduction in differences was most likely due to the small size of the sample and the resultant higher threshold of variation needed to achieve statistical significance. In addition to the six variables which did not show any variation among the groups in the population (gender, region of commitment, ethnicity, most serious prior sentence, security classification, and jail time) both minimum and maximum sentence length, educational level and second felony offender status also failed to reach significance in distinguishing the two groups from each other. (It should be noted that even the non-significant differences found between the groups on these variables occurred in the same direction as was noted above with the population data.) This left the variables of age, prior felony arrests and convictions, MAST scores, drug crimes, crime classification and number of children as the remaining variables which could distinguish between these two groups. All of the differences between the groups occurred in the same directions as were previously discussed for the larger population analysis. Among the respondents successes were:

- A. Older at time of admission to DOCS.**
- B. More often committed as drug offenders.**
- C. More often committed as 2nd felony offenders.**
- D. More likely to have fewer prior felony arrests.**
- E. More likely to have fewer prior felony convictions.**
- F. More likely to have children.**
- G. More likely to have lower Michigan Alcoholism Screening Test (alcohol abuse) scores.**

As a result of these findings it can reasonably be assumed that the characteristics of the survey respondents did not differ much from those of the population which they were drawn from. This is important if the results of the survey are to be generalized beyond our 91 respondents. Given the similarities in the characteristics of these inmates to the population we can apply the same assumptions about the existence of the two dimensions about an individual's ability and willingness to change. As

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such we can also conclude that among the respondents the failures also appeared to have more deficiencies to overcome and would be considered less likely to change as a result of exposure to the Shock program.

### **SURVEY RESPONSES**

The topics covered by the survey were complex and wide ranging. By asking questions about pre-Shock, institutional Shock, and parole, data was gathered on a number of issues raised by control theory to explain the lack of conformity among Shock failures such as prosocial activities, educational levels, employment histories, criminal histories, substance abuse, family support, and peer influence. By examining these issues we can determine if a case can be made for the existence of differences in the amount of restoration of social controls and bonds that are needed among the participants in these two groups.

#### **Educational Data**

One of the more specific measures used to examine the extent to which social control has been achieved is attachment to school. Hirschi described liking school and being concerned about the opinions of teachers as being associated with resistance to delinquent behavior. Hirschi found academic achievement and school performance as important predictors of lawful behavior and social bonding.

The official data revealed no difference between the average educational achievement level of the inmates in the two groups. Yet 78.5% of the failures and 91.7% of the successes completed at least the 9th grade. One other official data variable examines whether the Shock graduates took a high school equivalency test during the institutional portion of the program. No differences were found in the proportion of inmates who indicated they had either a GED or high school diploma prior to Shock. A higher proportion of failures rather than successes took the GED while they were in the program. An analysis of this variable indicated that Shock failures were much more likely than successes to test for the GED while in the program and the majority of those failures taking the test did not achieve passing scores. This finding supports some of the responses to questions about educational achievement in the survey data. And while not statistically significant, more successes (17.4%) than failures (6.3%) had attended college prior to being incarcerated. While not being conclusive, this data provides evidence that failures may have been less attached to school and this could be considered as an attribute which makes their social bonding harder to achieve.

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### **Employment History**

Control theorists such as Walter Reckless (1967) who wrote about "containment theory" identified goal-directed behavior and the creation of realistic objectives as being characteristics which can help immunize individuals against criminal behavior. One measure of such characteristics relates to how well a person can provide for themselves through work. Prior to Shock, a higher proportion of failures indicated they never had full-time employment and in fact a higher proportion of failures indicated they had been working as part-time employees. Fewer of the failures indicated that they had changed their attitudes about work as a result of going through the institutional phase of the program.

While under parole supervision, successes were more likely to get help in finding their first job and those jobs were more likely to be full-time. They were also more likely than failures to enjoy that job even though on average they were making less money than the failures. This may be considered evidence that successes had more positive connections to society prior to Shock and while under parole supervision.

### **Criminal History**

Walter Reckless also indicated that identification with "lawfulness" was an important factor in the adherence to pro-social behavior. An examination of the official data showed that the failures had more prior felony arrests and convictions than the successes, thus indicating a more extensive pattern of criminal behavior. An analysis of the survey data indicates that the average age at the time of first arrest for failures was lower than that of successes by two years. Failures were more likely than successes to have been convicted of an offense prior to Shock and were more likely to have been incarcerated in a juvenile facility. (In fact none of the successes indicated that they had been institutionalized in a juvenile correctional facility.) This data seems to indicate that the successes were more likely than the failures to identify with "lawfulness" prior to their exposure to the program.

### **Substance Abuse History**

In his testimony before a Congressional Subcommittee on the benefits of Shock Incarceration as an alternative to incarceration one of the Shock successes Mario Laboy made the following statement.

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I wanted to speak about a couple of things, one being that the program really works. It is not about being military, it not about being a soldier...The program, in essence, is really about rehabilitation, therapy, and trying to deal with our problem, which is an addiction. They help us realize that there is a problem that must be addressed and not procrastinate. There is alot of drug counseling, there is school, which in a regular prison, it is up to you to decide whether you want to do that or not...The whole concept is about teamwork, it is about getting ahead and feeling good about what you are doing , feeling confident that you can do something on a sober level, that you don't need drugs to feel like Superman, to carry the world not by yourself but with the help of others, and that is what that is all about. (House Judiciary Hearing on H.R. 2985, pp. 52-53)

An individual's involvement in criminal behavior is generally explained by control theorists as being the result of the failure to develop internal controls which would lead to conforming behavior. Substance abuse when it involves drugs is treated as criminal behavior. Any criminal activity engaged in to obtain funds for these drugs is thought of as nonconforming behavior directly associated with drug abuse. When any chemical dependency impairs a person's ability to act responsibly or promotes criminal behavior, it is evidence that the social controls and bonds have been weakened or impaired.

According to the official data, 69.6% of the failures and 91.7% of the successes were incarcerated for drug offenses. The proportion of failures with MAST scores of 9 or higher (31.9%) was more than three times higher than it was for successes (8.6%). Both differences reached statistical significance yet the majority of people in both groups indicated that they were not under the influence within two hours of committing the crime for which they were incarcerated. For those who did admit using drugs prior to their criminal behavior, failures were more likely to have used marijuana, cocaine or heroin prior to the commission of their crime. Successes were more likely to have used crack. There was no difference in the proportion of the groups who indicated that they attended drug treatment prior to Shock, but the age of the first treatment for failures was lower than that of the successes

Failures were more likely to characterize their neighborhoods as having a prevalence of drugs. Failures were also more likely to admit using drugs while they were under parole supervision. Successes were more likely to change their attitudes about alcohol after Shock. Successes were also more likely to believe that drug counseling would help them to stay clean while failures were more likely to have quit a drug treatment program. Successes were more likely to attend the Fellowship Center meetings, attend them more frequently, and believe that the meetings were helpful. Successes were also more likely to attend Network meetings and drug and alcohol abuse treatment programs while under parole

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supervision. Successes were more likely to believe that parole supervision was helpful in relapse prevention. Successes were more likely to believe that overall the Shock program helped in relapse prevention and helped them to stay alcohol and drug free.

The data indicates that although the two groups had problems with substance abuse prior to Shock, the successes were more willing to use the opportunities presented to ensure they did not relapse into destructive behavior. This is further evidence that the failures were neither able nor willing to restore the controls and social bonding that was necessary to change their chemically dependent behaviors. This led these Shock graduates back to pursuing dysfunctional behavior which eventually resulted in their reincarceration.

### **Family Support**

To social control theorists the attachment to family is a key indicator of an individual's ability to exhibit conforming behavior. To Hirschi, attachment to parents is strongly associated with lawful conduct. He also suggests that it is the psychological presence (or internal controls created by the parents) that is key in controlling behavior in tempting situations.

"The more strongly a child is attached to his parents, the more strongly he is bound to their expectations, and therefore the more strongly he is bound to conformity with the legal norms of the larger system.(Travis Hirschi, Causes of Delinquency, 1969, p. 94.)

This certainly holds true if the family in question is nurturing, supportive and not engaged in any systematic abusive or criminal activity. Research has shown that a dysfunctional family can also contribute to criminal behavior regardless of level of attachment to it. (Patricia Van Voorhise et al., "The Impact of Family Structure and Quality on Delinquency: A Comparative Assessment of Structural and Functional Factors", Criminology, Volume 26, Number 2, 1988, pp.235 - 261.) Parents are traditionally reinforcers as well as role models for socially appropriate behavior. Thus, parental availability, supervision, and affection are important factors in the creation of social bonds. Physical abuse and criminal behavior by parents serves to weaken parental positive reinforcements and provide a pattern for unacceptable rather than appropriate social behavior.

In a series of questions about the family support, both prior to Shock and on the first month of parole after Shock, we found the following:

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A. There was no difference in the average size of the family that they were living with prior to Shock and afterwards.

B. Most of the graduates in both groups lived with their mothers, brothers and sisters before Shock and initially while under parole supervision.

C. Most lived in the same place before Shock and under parole supervision.

In his discussion of the traditional variables related to delinquency Hirschi (1969: pp. 239-241) cites family size as relevant. Authors such as Barbara Wootton (1959) and Sheldon and Eleanor Glueck (1950) and F. Ivan Nye (1958) suggest that number of siblings can have an effect on the ability of parents to provide nurturing environments when parents have limited resources or time to give to each child and this can in turn lead to increases in the incidence of delinquency. In support of this assertion we found that the average number of siblings among the failures (4.2) was significantly higher than that of successes (3.2).

A slightly different picture emerges when asked about family contacts while they were incarcerated. The majority of the two groups indicated that they telephoned home while in the program. Failures called home significantly more often than did the successes. Members of both groups talked most often with their mothers and girlfriends.

A majority of the two groups indicated that they received letters from home with approximately the same frequency (more than eleven times while in Shock). The letters for the failures came almost evenly from girlfriends and mothers. Among the successes more of the mail came from mothers than from girlfriends.

The successes had more visitors while incarcerated. For the both groups mothers and girlfriends were most often the person visiting. Among the failures only 32.8% had any guests attend their graduation 70.0% of the successes indicated that they had guests come to this very important ceremony. For failures mothers and friends were the guests mentioned most often. Among the successes mothers, girlfriends and sisters were most often present.

In a series of questions about the support they received from various family members while on parole there appeared to be no differences in the responses provided by members of each group. In fact when asked who helped the most when on parole both groups responded that their mothers and their girlfriends were most helpful. In examining the type of help provided, for the failures family members were helpful as someone to talk to, someone to keep them out of trouble, and someone to help them find a job. For the successes, family members were also someone to talk to and someone who

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provided both emotional and financial support. When the failures were asked if they went to their family to seek help when they began getting into trouble, 76.4% indicated they had not, believing that they could handle their own problems.

### **Family Criminal and Drug Histories**

There was no difference between the groups in response to the question of whether family members had been convicted of one or more felonies. Yet, when family members (most often a brother for respondents of both groups) were sentenced for a crime, the family members of the failures were more likely to spend time in prison rather than in jail. This possibly indicates that the crime of conviction was more severe or that the criminal history of these family members was more extensive.

Failures were more likely to have family members with a substance abuse problem. For both groups those who indicated that family members were chemically dependent indicated that it was a father or a brother most often using was alcohol.

Although not conclusive, this information on the families provides evidence that among successes there exists more familial support and less family based dysfunctional behavior. They seemed to have fewer problems reconnecting with their families when they finished the institutional program. In fact the success were more likely to indicate that they wanted to enter this early release program so that they could get back to their families more quickly. This sentiment was illustrated by the comments of one Shock success.

Thanks to shock I'm now learning how to deal with my problems and not use any substances, to avoid them. It's hard out here being that I have to start all over from scratch, but you know it's worth every struggle I go through to make it work for me. My son has gotten so big. I cried when I first saw him and the good part about it is he came to me with open arms and he says he still loves me...I know I can't bring back yesterdays but I sure as hell can do my best to make up for not being there for him.

### **Peer Influence**

They were my brothers, we went through hell and back together. We shared a lot of emotions, a lot of good times, and a lot of bad times together. In fact when we all showed up to our first day at the parole office

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in Manhattan, I was so happy to see these guys and introduced them to my brother. Even the guys who used to argue a lot in the dorm were happy to see each other. (Interview with a Shock failure on 7/21/89).

Just as attachment to family is important to explaining why conformity to social norms occur, social control and social learning theorists also view peer attachment as being important. In general peer attachment seems to affect delinquent behavior only when one's peer associates are themselves involved in delinquency and then the effect is to promote delinquency.

When asked about the criminal behavior of their friends, respondents from both groups indicated that over 75% of their friends had been convicted one or more times of felonies. The failures were more likely to still hang out with these friends while on parole supervision. The large majority of respondents from both groups indicated that they had received the support of fellow Shock graduates when they had returned to their neighborhoods. These fellow graduates constitute the basis of a positive peer support group to help keep each other from sliding back into negative behavior.

Again, this information provides us with additional evidence that the failures found it difficult to abandon behaviors which created problems for themselves prior to their incarceration.

## **Neighborhood Influence**

Much has been said about the neighborhoods to which Shock graduates must return upon their release to parole. In fact, a number of the failures indicated in conversations that they would not be back behind bars if they only lived in a better neighborhood. To avoid problems, some of the graduates indicated they remained in their homes to resist the temptations that could get them back in trouble. In this section we examine the issue of neighborhood descriptions to see if an argument can be made that dysfunctional neighborhoods may effect the strength of bonds to social norms. To get a better understanding of this issue a number of questions were asked about the neighborhoods of the respondents.

The primary set of questions were dichotomous descriptions of neighborhood that respondents were asked to choose from in order to describe the areas where they lived. For example the questionnaire asked "Does your neighborhood consist of: Clean Streets or Dirty Streets?" The questions covered eight to describe a neighborhood dealing with the prevalence of garbage, drugs, alcohol, graffiti, homeless people, unemployment, crime, and vacant buildings. Of all these areas, the only difference in the responses was a higher proportion of the failures indicated there was more drug use in their neighborhoods. Although that was the only significant difference, for seven of the eight descriptions a

## **SHOCK LEGISLATIVE REPORT 1992**

higher proportion of the failures more frequently described their neighborhoods negatively. Despite this, 38.3% of the failures said that they would like to continue to live in their neighborhoods while 43.3% of the successes said that they would like to remain.

When asked if it was difficult to stay out of trouble, 50% of the failures and 30% of the successes indicated that their neighborhood was it was a tough place to stay trouble free.

This information may provide support for the notion that the social environment of the graduates may be one of the structural impediments to their ability to form positive social bonds and controls both before and after their exposure to the program, thus limiting both their ability and willingness to restore the bonds of social control.

### **Summary**

In all seven of the areas we examined (education, employment, criminal history, substance abuse, family support, peer influence and neighborhood influence) important differences were found in the characteristics that served to differentiate Shock failures from Shock successes. In general, the failures exhibited more deficiencies in the mechanisms that ensure social conformity (i.e. their ability to change). The failures appear to have more structural impediments to obtaining conformity both prior to their exposure to Shock and while under parole supervision. Thus, in going through the program not everyone got the message or not everyone was able to follow the advice being provided by the messengers. The next section examines the respondents to see if there is evidence that they did get the message.

### **Shock Experience: Did They Get The Message?**

An examination of the respondents' retrospective attitudes about both the institutional and parole portions of the program may provide us with some answers about the perception of the quality of the message that was delivered to individuals in these two groups and their willingness to change.

Shock was a safe place to be. I wasn't worried about fights, or about my property or about any homosexual stuff. I felt safe going to bed at night, and it wasn't just the staff who protected us, it was the other inmates looking out for you. They treated us like people there not just criminals. (Interview #2 Shock Failure conducted on 8/20/89).

## **Incarceration Phase**

When asked why they decided to go into Shock in the first place, the failures were more likely to enter the Shock program because it meant getting a shorter sentence while the successes indicated that they went to Shock to get back to their families faster, to change themselves, and because they thought it would be easy.

Over half of the respondents in both groups believed the program was harder than they thought it would be. Almost a third of the failures and one-sixth of the successes thought that the program was easier than they had expected.

When individual components of the program were assessed in terms of difficulty, the successes were more likely to believe that the education, physical training and Network portions of the program were easier than they had expected. The failures thought that the work crew assignments were easier than they expected. Both groups thought the learning experiences and the evaluations were tougher than expected.

In a series of questions about how helpful portions of the program were upon their release, the majority thought that physical training, ASAT, education and Network were all helpful. The groups were split on the helpfulness of drill and ceremony upon release and the successes were more likely than the failures to view the learning experiences and the evaluations as being helpful upon their release. As one successful inmate stated in a letter to the staff of Summit:

I know you've heard 1000 times that what you are taught in Network and A.S.A.T. helps you in the streets. I'm writing to let you know that's not a story, it's reality... I want to thank you for opening my eyes to recovery. (Letter Dated March 17, 1990).

Another series of questions tried to determine if Shock staff were fair and helpful. The majority of respondents in both groups felt that the (DI's), the Correctional Officers (CO's), the teachers, the counselors, the Captains, the Superintendents, and the work crew officers were generally fair. A small, yet significant, portion of the successes felt that the were not fair. In response to questions about how helpful staff were, 100% of the respondents felt that the Drill Instructors were helpful, and the majority of both groups felt that the other staff at the Shock facilities were also helpful.

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When asked if they felt safe while in Shock, over 90% of the respondents in both groups responded they had. This was true despite the fact that a higher proportion of the successes indicated that they had encountered more than a small number of problems adjusting to the program especially with the DI's and with receiving marginal letters.

A series of questions directed at the graduates' feelings about towards the program tried to assess how valuable the program was to them. In response to the general question, all of the successes and 80% of the failures felt that Shock was valuable. When asked about the value of the program in achieving specific goals the following information was ascertained.

<u>PROGRAM GOAL</u>	<u>% FOUND VALUABLE</u>	<u>% FOUND VALUABLE</u>
<b>OVERALL</b>	<b>80.0%</b>	<b>100.0%</b>
Relapse Prevention	62.3%	90.0%
Self Worth	90.1%	93.3%
Decision Making	83.6%	83.3%
Achieving Goals	83.3%	96.7%
Behavioral Consequences	83.6%	90.0%
Family Ties	78.3%	86.7%
Community Ties	60.6%	73.3%
Alcohol Free	65.5%	86.7%
Drug Free	57.4%	82.3%

None of the differences in the proportions between the two groups were significant. In retrospect, the program appeared to be of value to the successes while the failures agreed that Shock was a valuable experience. Additionally, over 85% of the two groups responded they would recommend Shock to other eligible inmates because it could improve their lives, they could learn discipline, and they could have a chance to change. In response to the question "Would you have been better off if you had not gone to Shock?" 73.8% of the failures and 90.0% of the successes indicated that they would not have been better off.

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All of the successes and 91.8% of the failures indicated that they had become better people as a result of the Shock incarceration program. Specifically, the failures indicated most often that they had learned self respect, self control and responsibility while the successes said most often that they were drug free and could accept responsibility with their new sense of discipline.

Regarding the length of the program 70.0% of the successes and 52.5% of the failures thought it was just the right length, while 47.5% of the failures and 26.7% of the successes thought it was too short. Failures felt the program should be longer and the ASAT portion should be improved. Successes generally indicated that no changes were necessary while a small but vocal minority wanted DI's to be "kept out of their faces". Indications that failures wanted a longer program are consistent with our belief that their ability to conform has been impaired and they too know they need more time in Shock.

### **SUMMARY**

This section indicates that both the failures and the successes look back on their experience in Shock as being worthwhile. Even the failures were proud of having accomplished something in their lives, despite the fact they were now back in prison. Platoon photos and graduation certificates were often noted as being prized possessions. These same failures thought the lessons Shock taught were valuable and they believed going through the program helped them change for the better. As such, the message seemed to be clear in order to stay on the streets and be a success – attitudes need changing, responsibility for behavior needs to be taken. Looking at the proportion of returns for Shock graduates it can be inferred that many, but not all, have heeded the message.

I would like to start off by thanking you for a second chance at life. The reason I say life is because if I had sat in prison I would have either wound up dead, or just rotted and my mind and body would have gone to waste worse than it was when I was abusing alcohol. I have gained a lot of knowledge from the staff here, some of which my parents tried to instill in me and some which was foreign. I now have self control, self discipline, I learned to think before I speak or act. I have also become more responsible for myself, I have learned to look within myself and find my faults. All of the staff here is really great, it was like a family I never had as a child....." (Inmate letter to Shock staff Dated 3/9/89).

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## **Parole Experience: The Willingness To Change**

From the beginning of the inmates' Shock Incarceration experience, Corrections and Parole staff consistently reinforce within them the idea that Shock is really a two-part program - six months in the institution followed by a lifetime in the community. Participants are reminded almost daily of their responsibility to themselves, to their families and to society. "In prison, they teach you how to become a good inmate," the parole officer tells inmates during orientation at the Shock facility, "but here, we teach you how to become good citizens."

However, based upon what is already known about Shock Incarceration, it is clear that not every inmate who enters the program fully embraces this concept. For example, as other portions of this report have indicated, of all the inmates who enter the program, a substantial number either voluntarily drop out or are removed from the institutional program before graduating. In addition, for those who successfully complete the six-month institutional program, some will not be successful upon their return to the community.

Up to this point, this portion of the Fourth Legislative Report on Shock Incarceration and Shock Parole Supervision has described in some detail the differences and similarities evident between a pool of individuals considered Shock successes and a pool who are considered Shock failures. However, much of this information has concentrated on the one aspect of the program to which these individuals have a common link (i.e. they all successfully completed the institutional part of Shock). Questions asked in the ensuing section were designed to illustrate the degree to which members of these two groups responded to the second portion of the Shock program - Shock Parole Supervision. Clearly, this is an area in which some differences between the two groups might be expected.

### **The Parole Program**

The Division's community supervision plan for Shock offenders is intended to be as comprehensive as possible. Shock supervision objectives include enrollment of graduates in an academic or vocational program within two weeks of release, and employment, at least part-time, within one week of release. Supervision objectives are demanding and include mandatory substance-abuse counseling, attendance at a Community Network Program, curfew checks, and frequent, random urinalysis testing. Community protection is enhanced by improving the quality and quantity of contacts between officers and graduates.

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Parole staff work closely with the inmate, the inmate's family and community service agencies to develop a sound residence and employment program prior to release to help ensure a smooth transition from the facility to the community. Shock Parole officers also work closely with Department of Correctional Services' staff, participating in the staff training with DOCS' personnel and at the graduation ceremonies at the Shock Facilities. This comprehensive approach reinforces for the offender the Division's commitment to their successful reintegration. The likelihood of success is enhanced by promoting a greater level of involvement between parole officers, Shock graduates and their families.

The Division has developed a number of community-based services for Shock graduates in New York City to supplement the supervision effort. Specialized employment and vocational services have been established through a contract with VERA Institute's Neighborhood Work Project (NWP) and Vocational Development Program (VDP). The VERA Institute provides services for Shock and non-Shock parolees, however, during the past year, VDP and NWP have been utilized almost exclusively for Shock graduates. Through NWP, the Division can guarantee a job for every Shock releasee in New York City. A contract with the New York City Episcopal Mission Society has provided a Network in the Community Program, reinforcing the principles of positive decision-making learned in the Institutional Network component and providing a link between the institution experience and parole supervision. Relapse-prevention services are being provided through a contract with New York City's Fellowship Center. A detailed description of each of these components exists in another section of this report.

For the first six months upon release to the community, Shock Incarceration graduates are supervised more intensively than non-Shock parolees. Shock supervision is designed to provide a continuum of services throughout the duration of a graduate's Shock supervision experience. The goal of the program is to continue the intensity of programming begun during incarceration and to provide opportunities and programs in the community that will enhance a graduate's potential for successful reintegration.

### **Survey Results**

The majority of respondents from both groups indicated that the incarceration portion of the program had prepared them for parole supervision. However, despite the failures' assertions that the program did not adequately prepare them for life in the community, it would appear upon closer examination that their perceived lack of preparation was not the factor which contributed to their return. Their return was more than likely a result of their failure to take advantage of the opportunities and services provided to them after release.

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### **Employment and Vocation Training**

Over 85% of the successes made use of the opportunities provided by Parole to assist them in obtaining a job after release, such as the VERA Institute's Vocational Development Program and Neighborhood Work Project, compared to only 50% of the failures. Instead, the failures more often relied upon their friends or relatives to help them find employment instead of relying upon the professional job developers at VDP.

It appears that the failures were more inclined to pursue a path of immediate gratification (i.e. they took the first job that came along), whereas the successes were more likely to put in the time necessary to seek out a meaningful employment opportunity. For example, on the average, the failures got their first job about two weeks sooner than the successes. However, the failures were more likely to get only part-time work, whereas the successes were more likely to get a full-time job. Over 92% of the successes secured full-time employment compared to just a little over 4% of the failures. Interestingly, about 20% more of the successes indicated that they enjoyed their work.

One graduate, who took full advantage of the employment opportunities after release, expressed his satisfaction during the interview:

Shock Parole and VDP were very effective in helping me get a job...A career job, not just something to pay the bills. They (VDP) showed me the proper way to interview for a job and taught me techniques that helped during my interview.... They (Parole and VDP) have many contacts, if you take advantage of them, you can get a good job (**Interview with a Shock success in N.Y. City 5/21/91**).

Successful parolees were also more likely to seek out employment opportunities that did not interfere with the other areas of their supervision program. About 25% of the successes indicated that their jobs interfered with other aspects of parole supervision. In comparison, over 33% of the failures said that their job interfered with Parole obligations. Interestingly, successful parolees were more concerned over the affect that their jobs had on their ability to consistently attend the Fellowship Center and the Community Network Program, whereas the failures said that their jobs interfered with their ability to report to their parole officers.

## **Incarceration Phase**

### **Commitment To Succeed**

Substance abuse is perhaps the most serious problem faced by the newly-released Shock graduate. The Fellowship Center provides relapse-prevention after-care services for all New York City Shock graduates after their release from prison, thereby ensuring the continuity of programming initiated during their participation in the institutional component of Shock.

The impact of the program on an individuals' successful transition to the community is apparent in the following quote obtained from a young woman who was nearing completion of the Fellowship Center at the time of our interviews:

The greatest challenge you face out here is staying away from drugs.....It's important to remain drug-free so that you can maintain your self-esteem and feel good about yourself. The Fellowship Center is a place where I feel comfortable talking about my addiction. I share experiences with other women who have been the same place I had been before - rock bottom. The counselors are excellent, easy to get along with and are good listeners **(Interview with a Shock success in N.Y. City 5/22/91).**

Results from the survey point to a greater level of commitment to the principles of relapse-prevention on the part of the successes. For example, more of the successes indicated that the Shock program had changed their attitudes about drug and alcohol use; many felt that the drug counseling they received in the community helped them stay clean after release. However, responses from the failures indicate that many of them did not change their attitudes about substance abuse, and as a result, were more inclined to drop out of the after-care programs provided for them while on parole supervision. Not surprisingly, a higher proportion of the failures admitted to drug use after release.

It would appear that the successful graduates were more committed to their personal program of relapse-prevention than were the failures. All of the successful graduates enrolled in the Fellowship Center after release, and over two-thirds of them indicated that they attended the program 21 times or more while under parole supervision. In comparison, almost a third of the failures indicated that they did not regularly attend the Fellowship Center, a factor which is likely to have contributed to their return to prison.

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Also available in New York City is the Network in the Community Program, which is designed to carry on and reinforce the Network philosophies learned during incarceration. Network has been used in a number of New York State's prisons and it remains a fundamental element of the Shock Incarceration Program. Network in the Community is an extension of the program originated at the institutions and serves Shock graduates' needs after they return home.

Each week, for a period of three months after release, Shock graduates participate in the Network sessions sponsored by the New York City Episcopal Mission Society. Episcopal Mission Society staff, who have been trained in the Network concept and skills, conduct the sessions for each graduating platoon.

Clearly, the program has had an effect on some parolees' reintegration efforts. Eight-out-of-ten successful graduates indicated that they regularly attended Community Network meetings, compared to only 25% of the failures. One graduate who was interviewed about the effect of the Network program on his successful transition offered the following:

Now I am more in control of my life...I can make my own decisions; before I usually didn't and when I did, I didn't think about what would happen. At Network, I can "check out" with my peer group and see how everything is going... we share common experiences and keep going what we started at the Shock facility (**Interview with a Shock success in N.Y. City 5/22/91**).

### **Perceptions of the Parole Program**

Respondents were also asked a series of questions about their perception of the parole supervision program. These questions were similar to the questions previously asked about the value of the institutional phase of Shock. An illustration of responses is included below.

As expected, some of the respondents who were returned to prison as a result of their failure to comply with the rules of parole supervision, perceive parole supervision less favorably than do the successes (A similar dichotomy in responses might have been evident regarding the institutional phase if we had asked program drop-outs about their impressions of the Shock Incarceration program when we talked to the graduates).

## Incarceration Phase

<u>PROGRAM GOAL</u>	<u>FAILURES</u> <u>% FOUND VALUABLE</u>	<u>SUCCESSSES</u> <u>% FOUND VALUABLE</u>
Relapse Prevention	39.0%	79.3%
Self Worth	36.6%	75.9%
Decision Making	42.4%	72.4%
Achieving Goals	35.6%	79.3%
Behavioral Consequences	45.7%	82.7%
Family Ties	32.2%	69.0%
Community Ties	28.8%	62.1%
Alcohol Free	49.1%	79.3%
Drug Free	52.5%	82.7%
Staying Employed	57.6%	93.1%

It should be noted that the successes gave high marks to areas in which the Shock supervision program was designed to assist them. For example, over 91% of the successful graduates felt the parole program assisted them in staying employed and almost 83% felt that Parole had helped them stay drug-free.

### Summary Information

It is clear that the successful Shock graduates have demonstrated a willingness to change their lives after their release to parole supervision. They committed themselves to the principles of Shock, took full advantage of the resources and opportunities provided under parole supervision and exhibited a clear willingness to change. They were more inclined to ask for help when they experienced problems after release and more frequently viewed their parole officers as helpful.

### Discussion and Conclusions

From the beginning of the idea to create a typology of Shock successes and failures, the primary interest was to know more about the people who have gone through the program in an effort to determine what can be done to assure more successes. We sought to find some systemic reason why inmates, who decided to enter and complete a rigorous Shock program, were failing to live up to the

## SHOCK LEGISLATIVE REPORT 1992

goals and expectations they claimed to have believed in. The program was working for a majority of graduates, yet we still needed to know what distinguished the failures from the successes. After examining the data we believe we are closer to making that determination.

Failures are different from the successes on two key dimensions, the ability to change and the willingness to change. Even after exposure to a program designed to restore social controls, failures show an amazing lack of willingness to take advantage of the resources that can help them stay out of prison and are not as willing to change. In brief, it may be said that the failures do not have as much going for them as do the successes. Either due to structural or personality differences failures exhibit more characteristics that work to inhibit the creation or restoration of social controls. As such they have more constraints on their ability to change. Similarly, the failures exhibit many high risk attributes which increase the likelihood of their relapse and return to custody.

The following matrix presents the substance of our overall findings. The lower the inmates ability and willingness to change the greater the chance for failure. Conversely, the higher an individual scores on those two dimensions the greater the chances for success.

**ABILITY TO  
CHANGE**

**WILLINGNESS TO CHANGE**

	<u>LOW</u>	<u>HIGH</u>
<u>LOW</u>	<b>FAILURE</b>	<b>MARGINAL</b>
<u>HIGH</u>	<b>MARGINAL</b>	<b>SUCCESS</b>

Questions about the generalizability of these findings can be addressed both statistically and substantively. Since the group of respondents were not selected in any stratified random fashion from the population of Shock graduates the results should be viewed as illustrative and as the basis for guiding future analysis. On a more substantive level these findings are not surprising given the anecdotal information that has been used to describe Shock failures. This analysis has consolidated and verified the stories about Shock failures using some theoretical guidelines as the basis for

## **Incarceration Phase**

discussion. As a result of this information it will be useful to construct an intake form to be given to each failure and each success (that is shorter than this survey instrument) which will provide us with more complete information about the "at risk" attributes discussed in this section.

It may be instructive to summarize some of those characteristics of high risk persons. In general these high risk inmates were:

### **CHARACTERISTICS OF SHOCK FAILURES PERTAINING TO ABILITY TO CHANGE**

**Younger at time of admission to DOCS.**

**Failed GED In Shock**

**Given shorter minimum and maximum sentences.**

**Less often committed as 2nd felony offenders.**

**Likely to have more prior felony arrests and convictions.**

**Charged less often with offenses that had higher crime classifications  
(i.e. more serious offenses.)**

**Incarcerated in a Juvenile facility**

**Younger at age of first arrest.**

**Less likely to have children.**

**More likely to have high MAST (alcohol abuse) scores.**

**History of Part-time employment**

**Younger at age of first drug treatment.**

**Family members with serious criminal convictions.**

**Family members with substance abuse problems.**

**More siblings in the family.**

**Had problems understanding the value of learning experiences.**

**Has problems understanding the value of evaluations.**

**Believes that the program is too short.**

**Feels unprepared for parole supervision.**

**Receives fewer visits from family while incarcerated.**

**Has no guests at graduation.**

**Does not generally seek help.**

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**Inclined to hang out with old friends upon return to community.  
Lives in a relatively run down neighborhood.  
Has a strong desire to move from that neighborhood.**

### **CHARACTERISTICS OF SHOCK FAILURES PERTAINING TO WILLINGNESS TO CHANGE**

**Less willing to get jobs through counselors. Relies on family and friends  
Getting part time work.  
Getting work that interferes with parole obligations.  
Not attending Fellowship Center meetings regularly (for NYC parolees).  
Not attending Network meetings regularly (for NYC parolees).  
Not attending substance abuse treatment regularly.  
Quitting substance abuse treatment programs.  
Demonstrates problems with their Parole Officers.**

At this point we have a better understanding of what factors can contribute to program failure and this information must now be distributed to program operations people in both the Department and the Division to identify participants who exhibit high risk profiles so that special attention can be given to their needs.

# **Community Supervision Phase**

## **SHOCK PAROLE SUPERVISION**

### **INTRODUCTION**

The essence of Shock Parole Supervision in New York State is "teamwork". Teams of parole officers in New York City carry out the Division's mandate of community supervision of Shock Incarceration graduates. Teamwork is also evident in the relationships that have been forged between the Division of Parole and the Department of Correctional Services in managing this initiative, and between the Division and the selected not-for-profit agencies with which the Division has contracted to provide support services for Shock graduates upon their return to New York City.

This report, the Fourth Legislative Report on Shock Incarceration and Shock Parole Supervision in New York State, provides a detailed description of each of the major components of this important supervision initiative, and provides an in-depth and an individualized perspective of this program from its participants.

During the Summer of 1991, representatives from the the Division of Parole's Office of Policy Analysis and Information interviewed a sample of 30 Shock parolees who were nearing completion of the Division's six-month Shock supervision program. These interviews were conducted as part of a coordinated effort between the Division of Parole and the Department of Correction Services to collect information that was to be used to construct a typology of Shock Incarceration graduates. The Division collected information from graduates whom parole officers had indicated were adjusting satisfactorily in the community (Shock successes). The Department collected information from graduates who had been returned to state prison (Shock failures). Both groups were asked a series of questions relating to their Shock Incarceration and Shock parole experiences. A comparison of their responses appears in a section of this report entitled: Development of a Typology of Shock Failures and Successes. The Division asked additional questions of the successes in order to illustrate the extent to which they felt the Parole supervision program had contributed to their success in the community. These results appear in this section of the report.

The report also provides detailed information regarding Parole Board activity at Shock Incarceration Correctional Facilities for the first six months of fiscal year 1991-92. Information regarding the number of releases to parole supervision from the onset of the program through September 30, 1991 is also provided. An examination of contacts achieved by parole officers for the first six months of fiscal year 1991-92 has also been included.

## **SHOCK LEGISLATIVE REPORT 1992**

The report concludes with a comparison analysis between a group of Shock graduates and three separate groups of non-Shock parolees who were released between March of 1988 and March of 1990. Parolees from each group were followed for up to two years from release; outcome measures are reported within a section entitled Community Success.

## **Community Supervision Phase**

### **OVERVIEW OF SHOCK PAROLE IN NEW YORK STATE**

Shock Incarceration continues to be New York State's most effective alternative to traditional imprisonment for young adult offenders. Shock programming provides the Department of Correctional Services with an incarceration program which incorporates innovative programming and release criteria, thereby allowing the state to meet its statutory obligation to house offenders sentenced by the courts, while conserving cell space. It is the only program in the state whereby inmates can be granted release prior to completing their previously determined minimum sentence.

There is much currently being written about the utility of Shock Incarceration and Shock-style programs throughout the country (Bowen:1991, Frank:1991, Hengish:1991 and Acorn:1991), with many states documenting their programming efforts (MacKenzie and Shaw:1988, MacKenzie and Parent:1990, and Flowers:1991). A number of states are forging ahead with new Shock programs.

A recent survey revealed that twenty-three states currently operate Shock Incarceration programs and others are considering their development (MacKenzie and Souryal:1991). Few states, however, have matched New York's commitment to Shock Incarceration by providing as comprehensive an institutional program or as coordinated an aftercare component for their Shock program graduates (see MacKenzie:1989, MacKenzie and Souryal:1991).

While the New York State Shock Incarceration and Shock Parole Supervision program remains the largest in the country, it is still one of only a few programs nationwide to employ intensive post-release supervision of releasees in the community (MacKenzie and Ballow:1989). This section of the Fourth Legislative Report on Shock Incarceration and Shock Parole Supervision in New York State examines and documents the New York State Shock Parole Supervision Program.

The New York State Division of Parole and the Department of Correctional Services have been at the forefront in examining the utility and efficacy of Shock Incarceration and Shock Parole Supervision (see Osler:1991, also Parole Digest:1991). A series of comprehensive evaluations, as well as an extensive in-state monitoring program, have contributed much to the growing body of literature and research on Shock Incarceration and Shock Parole Supervision in America. This report continues this effort.

## **SHOCK LEGISLATIVE REPORT 1992**

### **The Need for Intensive Shock Supervision**

Over the past four years, Shock graduates have been found to be a population in need of assistance (Shock Incarceration - One Year Out:1989). They are young; the average age at release is 23 years. The majority are single minority males who live in the large urban areas of New York State. Ninety-six percent are male. Nearly one-half (48%) are black, 34% are Hispanic, 16% are white and two percent are other ethnic/racial groups. The majority (65%) return home to New York City.

Most (86%) have had problems with substance abuse involving primarily crack and cocaine; many have problems associated with alcohol abuse (47%). Over three-fourths (82%) have less than a high school diploma. A mere 14% have graduated from high school; only 4% have attended college.

Their criminal histories reveal that they are primarily drug offenders. Crime of conviction data indicate that 70% have been sentenced for drug crimes, 17% as property offenders, 7% as Youthful Offenders and 6% for other crimes. Clearly, they are a population in need of services. Interviews of Shock Incarceration graduates that were conducted over the Summer of 1991 by staff from the Division's Office of Policy Analysis and Information indicates that **eight out of ten Shock graduates feel that they need assistance upon being released to the community.**

More than a third (38%) of the graduates indicated that their most pressing need is help in finding and securing a job or in obtaining the finances necessary to help them make the transition to the community. A little more than a quarter said they would need emotional support (17%), counseling (7%) or a drug program (3%) upon release. An additional ten percent felt they would need assistance in finding suitable housing, while four percent indicated that they had a combination of needs.

## **Community Supervision Phase**

### **THE PAROLE PROGRAM**

The Division's community supervision plan for Shock offenders has been designed to address these needs. Pre-release planning begins early, and officers work closely with the inmate, the inmate's family and community service agencies to develop a sound residence and employment program prior to release. This helps to ensure a smooth transition from the facility to the community. Graduates who may not have a suitable home environment to return to immediately upon release receive assistance from the Division's Community-Based Residential Programs (CBRP). This program ensures that parolees in need of a stable residential placement have one available. The Community-Based Residential Program is designed to provide temporary housing and support services for up to 90 days for individuals in need of a structured environment.

Shock Parole officers also work closely with Department of Correctional Services' staff, participating in the staff training with DOCS' personnel and at the graduation ceremonies at the Shock Facilities. This comprehensive approach reinforces for the offender the Division's commitment to their successful reintegration. The likelihood of success is enhanced by promoting a greater level of involvement between parole officers, Shock graduates and their families.

Although the Shock supervision program is a statewide effort, the Division has concentrated most of its resources for this initiative in New York City where approximately two-thirds of the Shock graduates reside. The development of unique program elements in this urban area has enabled the Division to deliver specialized services to the greatest number of Shock graduates. Shock supervision objectives differ somewhat for parolees supervised outside of New York City, primarily as a result of their greater geographic dispersion.

Shock supervision objectives include enrollment of graduates in an academic or vocational program within two weeks of release, and employment, at least part-time, within one week of release. Supervision objectives are demanding and include mandatory substance-abuse counseling, attendance at a Community Network Program, curfew checks, and frequent random urinalysis testing. Community protection is enhanced by improving the quality and quantity of contacts between officers and graduates.

The Division has developed a number of community-based services for Shock graduates in New York City to supplement the supervision effort. Specialized employment and vocational services have been established through a contract with VERA Institute's Neighborhood Work Project (NWP) and Vocational Development Program (VDP). A contract with the New York City Episcopal Mission Society has provided a Network in the Community Program, reinforcing the principles of positive decision-making

## **SHOCK LEGISLATIVE REPORT 1992**

learned in the Institutional Network component and provides a link between the institution experience and parole supervision. Relapse-prevention services are being provided through a contract with New York City's Fellowship Center. A detailed description of each of these components follows.

During this report period, April 1, 1991 through September 30, 1991, the Division of Parole supervised Shock graduates at a ratio of two parole officers for every 38 Shock Incarceration graduates. In New York City, where the concentration of Shock graduates is highest, the Division employs supervision teams. Other offenders initially released to parole supervision in New York State are supervised at a ratio of one parole officer for every 38 parolees.

Shock Supervision provides a continuum of services throughout the graduates' Shock Supervision experience. The goal of the program is to continue the intensity of programming experienced during incarceration and to provide opportunities and programs in the community that will enhance a graduate's potential for successful reintegration.

### **Parole Officer Teams - Enhance Service Delivery**

**Over ninety-six percent of Shock graduates who were asked during a recent survey about their relationship with their parole officers indicated they felt that they had a good relationship with, and could talk to, their parole officers.**

Teamwork has resulted in a dynamic approach to parole supervision. It provides the officers with valuable time that can be devoted to casework and intervention efforts that will contribute to the graduates' success in the community. The parole officers' ability to effectively communicate with an offender may be the most important element of Parole casework. Nine-out-of-ten Shock parolees with whom we spoke indicated that the officers' ability to listen and communicate with them was the single biggest factor contributing to their successful transition to the community.

In addition, nearly two-thirds of all graduates who responded to the survey gave their parole officers the highest possible rating when asked the extent to which the officers' efforts had contributed to their successful reintegration.

The Division's community supervision plan was established for Shock graduates nearly four years ago. At that time, the Division realized it was necessary to ensure the opportunity for officers to optimize the level of contact between the officer and the client and the client's family, while also allowing more time

## **Community Supervision Phase**

for service intervention and casework. Work toward achieving the objectives of this supervision plan began in March of 1988 with the creation of a specialized unit within the Division's New York City Manhattan I bureau.

By July of 1989, increases in the number of graduates from Shock Incarceration facilities necessitated the creation of an exclusive Shock supervision bureau. Manhattan V assumed the supervision responsibility for all Shock graduates returning to New York City. Since that time, the bureau has been expanded and reorganized in response to the number of releases from the Shock Incarceration program. Current staffing within the bureau includes a Bureau Chief, six senior parole officers and forty-three parole officers and/or parole officer trainees who comprise twenty-two teams.

For the first six months after release, Shock graduates in New York City are supervised by Shock parole officer teams who are usually assigned to cover specific neighborhoods or police precincts in order to enhance supervision efficiency. Unlike other caseload efforts where one officer is responsible for a caseload, these officers do their field work together. They conduct home visits, employment visits and curfew checks as a team, and are able to draw upon each other's experiences and special talents.

### **The VERA Institute of Justice**

Soon after Shock graduates first report to their parole officers at the Division's office in downtown Manhattan, they are given an orientation about what is expected of them in the community. Almost immediately thereafter, they are referred to the VERA Institute of Justice for vocational training and employment services. The VERA Institute operates two programs for Shock parolees in New York City - the Vocational Development Program (VDP) and the Neighborhood Work Project (NWP). Shock parolees first register with VDP, where they participate in a week-long vocational training program. After completion, they are referred to NWP, where they are given temporary jobs until a more permanent employment opportunity can be arranged by one of VDP's trained job developers.

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

Under a contract with the Division, the Vocational Development Program provides services such as job placement, employment counseling, and vocational testing. These services are supplemented by a vocational training component which assists parolees who lack the skills to be immediately placed in private-sector employment.

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At VDP, the Shock graduates learn skills that will help them to secure jobs. Using a three-step process, they are taught the pre-requisites to becoming employed. The initial step includes an Orientation class where each individual registers and learns more about the program. The second step is a four-day Life Skills training class which addresses topics such as: "Who I am and Where I Want to Go," "Application Forms and Resumes," "Effective Interviews," "The Employment Search" and "Keeping a Job; Strategies that Help." The final step is an Intake class where each Shock graduate is officially enrolled and assigned a personal job developer. These job developers work with each person to help them secure a permanent job.

Staff at VDP work closely with Parole staff to help ensure a smooth transition for Shock releases and other parolees from the institution into the labor force. VDP reports that 456 Shock parolees enrolled in the program, including new arrivals and parolees released in previous months. During this time period, there was a total of 522 Shock placement outcomes, of which seventy-one percent (N=369) were considered positive. Positive outcomes are any job, training, or educational placement obtained through VDP or through the individual's own efforts. Shock graduates were placed in occupations such as construction workers, printers, landscapers, electricians, porters, drivers, stock clerks, and general helpers. The average wage for Shock graduates placed by VDP remained above \$5.00 per hour for the entire period.

The work of the VERA Institute has been essential to the success of the program. VDP's staff have worked to provide more than just jobs for Shock graduates immediately after release. Support services are also available once the individual is placed in a job. One example is the evening Shock Alumni Meetings which are designed to allow Shock participants to express their concerns regarding issues both on and off the job.

The staff at VDP have developed unique programming techniques specifically for Shock graduates which capitalize on the spirit and motivation they exhibit upon release. At the completion of each work session, the participants conduct a community meeting. These meetings are modeled after those conducted in the Shock facilities, where the graduates learned how to discuss the problems they were experiencing and the progress they made. The community meeting always ends with a cadence, a song that they learned at the facility. This brings the platoon together and lifts their spirits before they are dismissed from class. Counselors at VDP have also developed a glossary of "Shock jargon" so that job developers become familiar with the vernacular of the Shock facilities. VDP feels that this helps promote communication and bonding between the graduates and their staff.

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Shock graduates who have attended and completed the Vocational Development Program have commented on its effectiveness. **Eighty percent of the Shock graduates who responded to a survey about the effectiveness of VDP indicated that the program helped prepare them for work in the community; sixty percent indicated that the program had been instrumental in helping them find a job.**

Over this six-month time period, VDP has reported a number of success stories. The following is a typical example:

J.L. grew up in his grandmother's house in the East New York section of the City. His father and mother, both heavy drug users, had abandoned him after their relationship fell apart. He is the only one of their eight children still alive; the others died during childbirth or in infancy.

When J.L. was fourteen, he left his grandmother's house and began a life of crime on the streets of East New York, living periodically with his aunt and working odd jobs. He was expelled from school in the ninth grade after breaking a classmate's jaw over a trivial argument. He relied on the loyalty and love of his girlfriend to satisfy his emotional needs during the remainder of his adolescence. He became a heavy crack user and resorted to selling the drug to pay for his \$600-a-week habit and to earn fast money.

At 20 years of age, after one previous arrest and conviction, J.L. was arrested during a TNT sweep for selling drugs and sentenced to up to five years in prison. He elected to go into Shock and was sent to Monterey SICF. At Monterey, J.L. felt he had finally been given the second chance he needed to mature under the guiding hand of a support system that had always been lacking in his life. For the first time, he had the structure and discipline to develop a sense of responsibility to himself and to others.

His progress was threatened just before his graduation from Monterey when he learned that his girlfriend, the person with whom he had lived until his incarceration, had become involved with someone else.

After his release, J.L. was referred to VDP, where he was given priority for quick placement in the hope that a steady job would help refocus his thinking. His job developer helped to set up a series of interviews for jobs that appealed to J.L. Within two weeks and after a few failed job interviews, his job developer found him a position at the Statue of Liberty Park as a counter person.

J.L. began his job at the start of the summer when the park had also just expanded its summer work force to include a number of college students who were home for the Summer. J.L. was fascinated by the students' conversations about the goals they had for themselves. His delight and amazement are best relayed in his own words, "Ever since I was 14, I never heard anyone talk about anything but how many kilos they were turning over or how many people they were going to hurt. These are decent people with good attitudes

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and they treat you with respect. I never knew people like that existed." Working hard seven days a week, J.L. never missed a day of work, winning the praise and respect of his supervisors.

By summer's end, J.L. had been promoted to a supervisory position in the kitchen and is on line for other advancements. His employer told him that he would not have to fear being laid off despite cutbacks at the Park because of his focus and good work. He is completing his GED at night school and has signed up for additional business courses in the hopes of eventually owning and operating a laundromat, a goal of his father's which, due to the ravages of drug addiction, was never fulfilled.

### **The Neighborhood Work Project (NWP) - Guaranteed Jobs**

For those who do not have jobs immediately after release, the Division has contracted with the Neighborhood Work Project to provide immediate temporary employment (up to a total of 75 days), thereby providing the Shock population immediate earnings and a guaranteed job, as well as an opportunity to build self-respect and reinforce the discipline of a routinized employment experience. NWP operates in the Metro I and Metro II Regions of New York City and hires newly released parolees who have been under supervision for less than 60 days.

At NWP, Shock graduates are given jobs in the construction field which generally involve hard work and include building demolition and rehabilitation. They work four days a week, are paid daily and earn an average salary of \$34 per day. On the fifth day of the work week, the Shock parolees are involved in securing permanent, full-time employment with assistance from the Vocational Development Program. This process is but one example of the overall coordination of efforts which help to promote the positive reintegration of Shock graduates.

The skills learned at NWP help Shock graduates to pursue more permanent employment possibilities. For example, two-thirds of the graduates indicated that the skills they learned at NWP had helped prepare them for continued employment. Graduates credited NWP with teaching them construction skills such as sheetrocking, flooring, remodeling and carpentry which helped them secure jobs after they finished with the program. In addition, learning job skills, learning how to get a job, and learning how to work with others were some of the reasons given by graduates for the program's success.

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Although almost three-fourths of the respondents felt that the income earned at NWP was not sufficient to sustain them for long periods of time, all of them indicated that the program's format, which includes four working days and one day off, allowed them to look for more permanent work while providing them with enough money to live on in the interim.

Currently, NWP allows Shock graduates to call in a half-hour earlier than other workers to get their site assignments for that day. This procedure ensures that graduates have every opportunity to secure an available work slot on a daily basis. From April 1, 1991 through September 30, 1991, NWP registered 433 Shock graduates. **These individuals, along with other project participants, worked on 724 job sites throughout New York City, including six sites for the New York City Department of General Services and 2 sites for the New York State Office of Mental Retardation and Developmental Disabilities.**

During this period, NWP reported that its contract with New York City's Department of Housing Preservation and Development had been eliminated for the 1991-92 Fiscal Year. This was a critical blow to NWP and greatly impacted its ability to provide jobs for our clients. In an effort to salvage this critical service, the Chairman and Executive Director of the Division of Parole have made a number of inroads toward expanding NWP's contract base. The Division has sponsored meetings with NWP and representatives of several New York State agencies who may be able to provide future job sites for NWP's employees. Additional contracts may allow NWP to continue providing the necessary services that Shock graduates have come to rely upon.

The importance of NWP cannot be understated. Without it, the Division could no longer maintain the Shock supervision objective of employing parolees within one week of release. In addition, NWP has had a considerable impact on the Shock graduate's potential for community success (see page 120), therefore, it is imperative that every effort be made so that this program will continue.

### The Fellowship Center - Relapse-Prevention Counseling

The Fellowship Center introduced the concept of Alcohol and Substance Abuse Treatment (ASAT) to the Department of Correctional Services in 1975, and in 1977 conducted the first joint training session between Corrections and Parole about relapse-prevention counseling.

The Fellowship Center provides relapse-prevention after-care services for all New York City Shock graduates to ensure the continuity of programming initiated during their participation in the institutional component of Shock. Crucial to the Shock Parole effort, parolees are referred to the Center within two

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weeks of their release, and all program participants are seen individually within four weeks of intake. Critical cases, however, are given priority. Shock graduates participate in the program for the first six months after their release.

The Fellowship Center recognizes the stress created as an inmate progresses from intensive programming in an institutional setting to the community, and teaches the skills needed for constructive self-management and decision-making. Weekly group meetings serve as a forum for individuals to discuss the factors in their lives which may lead to relapse, common problems they are experiencing and solutions they have found helpful in readjusting to life in the community. The platoon structure is retained in the formation of these groups to take full advantage of the group dynamics established during incarceration. Assigned group leaders review intake material to identify those who may be at greater risk of relapse, either because of prior abuse, the presence of family members who currently abuse drugs or alcohol, or other stresses.

The Center has identified some participants as appropriate to participate only in periodic individual counseling. For others, the extent of program participation has been reduced, either as a result of their successes in the community or because they have no history of alcohol or substance abuse. In the event that a person arrives for a group meeting intoxicated or under the influence of drugs, he or she is not allowed to participate in that session and an individual meeting is scheduled to respond to the relapse. The Fellowship Center requires total abstinence of all participants.

The Division initially contracted for services from the Fellowship Center for Shock graduates in December, 1988. However, since the implementation of the Shock supervision program, the Fellowship Center had assisted the Division in providing services for New York City-based Shock graduates without charge. From April through September 1991, Fellowship provided relapse prevention services to a combined total of 1,840 Shock graduates (an average of 307 graduates each month) including those newly released each month and those previously under supervision. These services consisted of 695 group and 1,286 individual sessions. Responses from recent Division interviews with Shock participants who were nearing completion of the Fellowship program reveal that the Center has played an important role in the successful community reintegration of these individuals. **Three-fourths of the respondents indicated that Fellowship had helped them to deal with their substance abuse problem, and nearly six in ten gave Fellowship the highest possible rating when asked to rate the Center on its overall contribution to their successful return to the community.**

## **Community Supervision Phase**

During this report period, the Division refined a system for keeping Fellowship posted regarding the supervision status of Shock parolees participating in the program. This system enables Fellowship to anticipate staffing needs for counseling sessions and to ensure that parole officers are promptly notified when their clients fail to attend scheduled sessions.

Also during this period, the Fellowship Center expanded its staff to include 14 full-time and 9 part-time professionals. The majority of these staff members are MSWs or Certified Alcohol Counselors. The expansion has enabled staff to conduct program intake at two Shock Incarceration facilities prior to the inmates' release. Earlier contact with the inmate allows more rapid scheduling of individual counseling sessions for critical cases. In addition, direct contact with the inmate at this pre-release stage leads to greater involvement in the program following release. Under this system, staff are able to plan their workload up to six months in advance. Expanded staffing also enabled group leaders to take their groups to Narcotics Anonymous or Alcoholics Anonymous meetings at least twice each month.

### **Community Network Program - Positive Directions**

The Community Network Program (CNP) has been designed to provide a positive learning environment which fosters involvement, self-direction and individual responsibility for program participants. The Episcopal Mission Society had been operating the program since November of 1989 from their own limited resources. In October of 1991, the Division and the Episcopal Mission Society entered into a contract for the service. The Network in the Community program has grown out of the Society's historic continuing commitment to working with people in need and the Division's efforts to establish a solid foundation of resources for Shock program graduates.

Network has been used in a number of New York State's prisons and it remains a fundamental element of the Shock Incarceration Program. Network in the Community is an extension of the program originated at the institutions and serves Shock graduates' needs after they return home. It is designed to promote positive involvement in an environment which focuses on successful reintegration into society. Members participate in program management as they demonstrate their capacity to make informed, responsible decisions.

Each week, for a period of three months after release, Shock graduates participate in the Network sessions sponsored by the New York City Episcopal Mission Society. Episcopal Mission Society staff, who have been trained in the Network concept and skills, conduct the sessions for each graduating platoon. The meetings are conducted at three sites: one in Brooklyn and two locations in Manhattan. Parole officers attend these meetings.

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The Community Network Program also helps the Division to take advantage of the relationships of Shock graduates with their peer group. While incarcerated, these individuals had begun to make changes in their lives, their expectations and goals, their self concept and their behavior. These changes occurred, however, in the tightly ordered and highly supportive environment of the Shock facilities. As indicated previously, many of the graduates find themselves in need of additional support upon release; they need assistance in securing adequate housing and employment services and in dealing with the negative influences that may make transition to the community difficult.

Network has been instrumental in sustaining the treatment gains experienced during incarceration and in easing the graduates' transition to independent living in the community. The weekly group meetings assist participants in continuing the development of their self-awareness, their interpersonal communication skills, decision-making methods, and in promoting socially acceptable behavior. The support, encouragement and skill development offered by the program has a substantial impact on their success.

Almost all (92%) Shock graduates who had responded to the survey indicated that it was beneficial to meet with their peer group in the community. About half (48%) of them indicated that Network helped promote the positive aspects of the common bonds they had formed with their peers. **Nine out of ten indicated that they felt more in control of their lives because they practiced the principles taught in Network. Graduates indicate that the weekly meetings help them to "keep focus," "to know what they want" and "to make responsible decisions."**

From April through September, 1991, the Episcopal Mission Society provided services to a combined total of 1,066 Shock Incarceration graduates (an average of 178 graduates each month) including those newly released each month and those previously under supervision. Network staff conducted a total of 105 group meetings during the report period.

Parole officers are readily accepted into the program by the participants. The officers sit in the group and give feedback, which is accepted by the group members. Each weekly meeting includes a Community meeting, a Four-Part meeting and a Clearing meeting. A brief description of each follows.

**Community meetings** are comprised of all participants who attend and they begin each evening's activities. Focus is placed on the individuals' responsibilities to themselves and their responsibilities as a member of the larger group. The community meetings allow participants to confront themselves and to be confronted by others in an environment of mutual concern and support about the effects of various types of negative behavior.

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The meetings always follow the same format, which includes:

**General Spirit:** a general description of how things are, or how they seem, within the group.

**Philosophy/Elaborations:** The network philosophy is read and members are invited to add interpretations about what the philosophy means to them.

**Regressions:** A time for individuals to admit their lapses. This results in confrontational feedback from peer-group members and leads to an admission and acknowledgement of poor behavior on the part of the individual, who learns from the experience.

**Pull-ups:** Pull-ups are a time for individuals to question others who may not be performing up to their potential, and a time for peer-group members to submit their ideas for what works for them in similar situations.

**Progress:** Parolees report their progress and group members applaud individual achievements. Birthdays, anniversaries of staying clean and sober, successes in job searches or school, and other important events can be noted at this time.

**Announcements:** Upcoming events, schedule changes and other items of interest to the community are shared.

**Closing:** Meetings generally end with a teaching theme for the day, often focusing on a single word chosen by a participant that is used to describe relevant situations.

**Feedback:** The Community meeting is usually followed by a feedback session; participants and staff acknowledge things they liked during the meeting as well as suggest areas of change in both content and process of the meeting.

**Four-part meetings** are designed to develop participant self-esteem and to allow members to focus on specific issues or problems of concern. Four-part meetings are the cornerstone of the Network program.

The first part of the meeting gives each member of the group a chance to describe at least one specific accomplishment since the last meeting. This is known as self-affirmation. The second part involves sharing conflicts, concerns and issues with the group. Group members generally listen in silence or ask

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clarifying questions, thus providing a forum for sympathetic hearing of one another's concerns. Part three involves making a plan for the future by setting realistic goals that can be accomplished in time for the next meeting. Part four is silent reflection on the possibility of growth and change.

**Clearing Meetings**, also called clearings, come at the end of the meeting. They are designed to provide a way for participants to vent ideas and feelings. All participants sit in a circle and express their feelings. Then they address any issue or concern they have. This allows each individual to "clear" himself or herself and serves as a natural conclusion to the night's activities.

## **Community Supervision Phase**

### **PROGRAM DEVELOPMENTS**

Shock Incarceration in New York State has expanded since legislatively authorized in 1987. Throughout this period of expansion and transition, the Division of Parole has kept pace with changes in the program, allocating the necessary resources and staff to this intensive supervision program. Parole officers involved with the Shock program have participated in joint training with Department of Correctional Services staff at Shock Incarceration Correctional Facilities. In addition, Division staff have worked collaboratively with DOCS' program evaluation staff to ensure that each agency's monitoring efforts have remained consistent.

On April 1, 1991, modified supervision objectives were implemented in the New York City Shock supervision bureau. These program modifications were part of an agency-wide plan designed to make the best use of available resources and still allow the Division to provide an acceptable measure of enhanced supervision for Shock graduates.

During April of 1991, twenty-one new parole officer trainees were assigned to the Shock supervision bureau in New York City. The Division, feeling it was important to maintain the concept of team supervision, developed supervision teams consisting of one experienced parole officer and one parole officer trainee. Caseloads were modified to reflect the agency standard of 38 parolees per caseload during a Shock parolee's first six months of supervision. Supervision expectations were developed to emphasize the quantity and quality of supervision contacts. These steps allowed the Division to maintain the commitment to Shock supervision begun in 1988, and at the same time meet new obligations in responding to the current fiscal climate.

Soon after appointment, the newly assigned parole officer trainees participated in a comprehensive orientation and training program designed to familiarize them with the Shock program goals and expectations. They attended presentations prepared by the Network Community Program, the Fellowship Center and the VERA Institute. In May, new Shock parole officers traveled to Monterey Shock Incarceration Correctional Facility to visit the Shock Incarceration Program and to attend the first of many graduation ceremonies.

The Division trained staff within the agencies with which the Division contracts for services during the course of the year. In June, the Division organized a comprehensive training program for staff from the VERA Institute, providing VERA's staff an overview of the function of parole, the history of the Shock supervision program and the importance of the relationship between the Division and the community-based agencies involved in Shock supervision.

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As part of a coordinated effort to strengthen the relationship between community-based services and the Shock unit, the Division also arranged for DOCS' Director of Shock Development and a Shock facility superintendent to address the VERA staff on the history of the Shock Incarceration program. Parole officers accompanied VERA's staff on a tour of the Summit Shock Incarceration Correctional facility, providing a first-hand look at the daily activities of the Shock inmates.

Also in June, a special program was developed between the Shock supervision bureau and the New York City Legal Aid Society to provide alternatives to incarceration for Shock graduates who experience difficulties in adjusting to community supervision. Under this program, Shock parole officers work with the parolee, defense attorneys, and social workers to help find structured community-based placements for Shock graduates who would otherwise enter the violation process.

In July, a representative from the C.S. Brown Company of New York City accompanied staff from the Shock supervision unit on a tour of Moriah Shock Incarceration Correctional Facility. C.S. Brown is a New York City-based company to which Shock graduates are frequently referred for employment by the Vocational Development Program. Company representatives have been very impressed with the quality of the work delivered by their Shock employees and wanted to see for themselves the type of activities graduates engaged in prior to their release.

During July, modifications were made to the Shock supervision objectives in some of the areas outside of New York City. In these areas, the supervision expectations for Shock parolees were made equivalent to the intensive level of Differential Supervision.

In August, representatives from the Assembly Ways and Means Committee visited the New York City Shock Unit. Representatives were provided an overview of the program, traveled to various sites where Shock graduates were working for the Neighborhood Work Project, visited VERA's Vocational Development Program and met with participants from the Fellowship Center and Community Network Program.

Also in August, a graduate of Summit SICF's female Shock program returned to that facility to address the current population of Shock participants. This young woman, who continues to be under parole supervision and works for the VERA Institute, accompanied representatives from the Manhattan V Shock supervision unit to a graduation ceremony where she had the opportunity to talk with other inmates about what it takes to make a successful transition to community living.

## **Community Supervision Phase**

The year's activities have also included a number of joint Division of Parole and Department of Correctional Services presentations on Shock Incarceration and Shock Parole Supervision, including a presentation at the American Correctional Association Annual meeting in Minneapolis, Minnesota. In addition, a number of forums on Shock Incarceration and Shock Parole Supervision have also been conducted, including most recently, an overview of the program for staff from California's San Quentin prison.

Projects currently scheduled for the coming months and the remainder of the current fiscal year include working with various private and not-for-profit organizations in New York City to help expand the number of jobs for Shock graduates. A follow-up presentation to representatives from the Canadian Broadcasting Network (CBN), who had visited the program previously, is also scheduled.

Additional plans include a joint presentation by the Division and the National Institute of Corrections for Maryland officials who have expressed an interest in the Division's community supervision program for Shock graduates.

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## PAROLE BOARD ACTIVITY AND STATISTICAL HIGHLIGHTS

By statute, an inmate's successful completion of the six-month Shock Incarceration Program creates a presumption in favor of release. The ultimate release decision, however, remains with the Board of Parole. In four years of operation, the Board's strong support of the institutional program and confidence in the comprehensive aftercare program has resulted in a consistent release rate for Shock Incarceration cases. Release figures for the current report period are included in Table 22 below.

From April 1, 1991 through September 30, 1991 the Parole Board conducted a total of 900 initial interviews of Shock Incarceration inmates; 623 were Shock interviews - interviews for inmates who are between 16 and 25 years old, 213 were Shock-B interviews, for inmates who are between the ages of 26 to 29 years old, and 64 were Recycle interviews, for inmates who were near completion of the Department of Correctional Services' Shock Recycling Program. Recycling is a DOCS program initiative designed to provide a second chance to Shock inmates who have experienced difficulty in adapting to the rules of the program to complete the program.

As the figures indicate, the Board granted release to 877 applicants, resulting in a release rate at initial appearance of 97%. The Board denied release to only eight individuals, less than 1% of all Shock interviews this year. A total of fifteen of the initial interviews (2%) were postponed to allow the inmate a sufficient amount of time to complete the six-month program.

Table 22                      Summary of Total Parole Board Interviews  
   of Shock Incarceration Candidates  
   April 1 through September 30, 1991

Type	Granted Release		Postponed for Completion		Denied Release		Total Interviews	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Shock	612	98%	7	1%	4	1%	623	100%
Shock-B	206	97%	5	2%	2	1%	213	100%
Recycle	59	92%	3	5%	2	3%	64	100%
Total	877	97%	15	2%	8	1%	900	100%



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As the table indicates, Monterey has been in operation the longest of all the Shock facilities and has the largest number of graduates. The second largest number of graduates has come from Lakeview, followed by Summit-Male, Butler, Moriah and Summit-Female. A total of 308 parolees have been released from other, non-Shock facilities. Most are Shock B parolees who must serve one year prior to release.

### AGGREGATE CONTACTS

The objectives for Shock parole supervision were designed to be more demanding than existing Differential Supervision expectations. The program is structured to enhance Shock graduates' potential for community reintegration by optimizing the number of contacts between officers and clients in several critical areas: home visits, employment and program verifications, curfew checks, case conferences and urinalysis tests.

Of critical importance to the continued success of the Shock supervision initiative is the performance of Shock parole officers. Table 24 presents the aggregate number of contacts achieved in relation to the number expected for the first six months of fiscal year 1991-92 (April - September 1991).

TABLE 24

Aggregate Productivity  
Ratio of Achieved to Expected Supervision Objectives  
April - September 1991

<u>Objective</u>	<u>Number Achieved</u>	<u>Number Expected</u>	<u>Ratio of Achieved To Expected</u>
Statewide Total			
Home Visits	10,349	9,468	1.09 to 1
Home Visits Positive	7,000	4,747	1.47 to 1
Emp/Prog. Verif.	13,983	9,468	1.48 to 1
Case Conferences	17,488	12,268	1.43 to 1

The number of contacts achieved is derived from reports received from area offices. The number of expected contacts is generated from computerized monthly caseload data. These data are analyzed to determine the total number of active Shock parolees assigned to a bureau at the end of every month.

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This number of parolees is multiplied by the number of contacts expected for a specified time period. Then, the number of contacts achieved is compared to the number expected. For example, if 50 active Shock parolees were assigned to a unit at the end of each of six individual months - April, May, June, July, August, and September, the total number of parolees for whom contacts are expected for the six months is 300. If the contact expectations include one positive home visit a month for each active Shock parolee, the number of positive home visits expected for the six-month period would be computed as follows:

300 parolees X 1 positive home visit = 300 positive home visits expected.

Therefore, the bureau should conduct at least 300 positive home visits during the time period. An active parolee is defined as any Shock parolee within six months of release whose supervision status was intensive at the end of a given month. Parolees who were discharged, violated or otherwise became inactive during the month are not included. This method of analysis presents an aggregate measure of contacts achieved rather than a case-by-case analysis.

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

Under Shock Supervision, the expectations include a minimum of two home visits per month, one of which is expected to be a "positive" home visit (a visit in which the parolee is at home). **During the six-month study period, parole officers supervising Shock parolees in New York City exceeded the minimum home visits expected by 17% in this critical area. The number of positive home visits conducted was 75% greater than expected.**

Employment and program verifications allow the officer to assess the parolees' efforts in seeking and maintaining a job, as well as their participation in programming designed to promote reintegration such as Network, mandatory relapse-prevention counseling and vocational training.

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In New York City, the Division has established dedicated services for Shock parolees in the areas of employment, vocational training, relapse-prevention counseling and Network. Combined supervision expectations include a minimum of two verifications per month. **In this area, where the majority of the Shock parolees reside, parole officers conducted nearly twice as many verifications as expected (94% greater than the expected minimum).**

Case conferences between parole officers and their supervisors provide an opportunity for both the officer and senior parole officers to review each parolee's progress, to discuss problem areas and possible intervention strategies. Under Shock supervision, case conference expectations in Manhattan V include two meetings per month. **Within the first six months of the current fiscal year, New York City Shock staff conducted over twice as many case conferences as expected (130% over the objective).**

Urinalysis testing is done randomly on Shock parolees with a known history of drug use or on those suspected of current usage. It is a therapeutic tool designed to determine if parolees are following their release plans, and serves as an indicator to parole officers that parolees may be having difficulty adjusting and require intervention. New York City Shock Parole staff conducted approximately one test per month on parolees between April first and September 30th of this year. **Test results indicate that for 94% (2,118 out of 2,245) of the tests with available outcome information, parolees had abstained from the use of illegal narcotics. During this time period, the abstinence rate for the general parolee population in New York City was only 82% - twelve percent less than that of the Shock parolees.**

Curfew checks are a surveillance measure and reinforce successful community-living habits among parolees, such as the importance of being home at night so that they can get to work on time the next morning. In the New York City Shock supervision unit, parole officers conduct two curfew checks per month for Shock parolees for the first three months after release. After three months, curfew requirements are lifted unless the officer directs otherwise. **During this report period, Parole staff in New York City conducted 81% more than the minimum expectation. Curfew results available for this time period indicate that in over eight out of ten cases where outcomes were reported (3,411 out of 4,003), the parolee was found to be at home.**

In upstate areas, where the concentration of Shock parolees is not great enough to justify dedicated services, parole officers are also asked to increase productivity with Shock parolees, and the upstate areas have reported curfew and urinalysis results that are similar to those reported in New York City.

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Between April and September 1991, the abstinence rate of Shock parolees in upstate areas was 95% and curfew checks indicated that parolees were found to be at home 83% of the time, based on the results which were received.

However, in many of the upstate offices, the large geographic areas that parole staff are responsible for sometimes preclude them from attaining the ratio of contacts noted within the New York City Shock Unit. As a result, the combined ratio for upstate areas is often lower than that of Manhattan V.

These results indicate that the Division has been able to sustain an intensive supervision program for Shock parolees and Parole staff have been able to achieve or exceed the contact objectives established for Shock Parole supervision. As the information in the following pages will illustrate, these efforts have translated into a successful transition to the community for many Shock parolees.

### **COMMUNITY SUCCESS**

Evaluation efforts to date have indicated that the Shock Incarceration Program has had a substantial impact on the Department of Correctional Service's ability to free up bed space. Evidence also suggests that the intensive Shock Parole Supervision Program has impacted the community success rate of Shock Incarceration graduates.

In January of 1989, a joint report presented by the Department of Correctional Services and the Division of Parole indicated that the program had resulted in considerable cell savings and that Shock parolees were adjusting to the community at rates comparable to several groups of non-Shock parolees based on their return rates (Shock Incarceration Preliminary Report:1989).

In August of 1989, the Division of Parole and the Department of Correctional Services released separate follow-up studies on Shock graduates. Both agencies arrived at similar conclusions: although Shock parolees had served less time, their return rates were similar to those of non-Shock parolees. (Shock Incarceration One Year Out:1989, Preliminary Follow-up:1989). The Division's report also indicated that successful shock graduates had attained a greater level of positive community adjustment than similar offenders who had traditional prison and parole experiences (Osler:1991).

In January of 1990 and again in January of 1991, the Division and the Department released the second and third in a series of joint reports. Research findings indicated that Shock parolees were performing as well as, and in some instances surpassing, the institutional and community performances of non-Shock parolees.

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This fourth jointly prepared report expands upon previous findings and examines the community adjustment of Shock parolees and three separate groups of non-Shock comparison group parolees. **All of the participants were released to parole supervision over the same time period and followed for equal periods of time after release.**

Various measures of community success and recidivism are presented. Factors relating to positive adjustment include a comparison of employment rates and program enrollment rates. Recidivism measures include cumulative return rates and an examination of time to delinquent behavior for those who were returned to prison during the follow-up.

### **The Study Groups**

The follow-up study involves tracking a group of Shock graduates (N=3,578) and three groups of non-Shock parolees: Pre-Shock offenders (N=2,378), offenders who were considered for Shock (N=3,710), and a group of Shock removals (N=1,094) who were released to parole supervision between March of 1988 and March of 1991.

The Shock group consists of individuals who participated in, and completed, the State's six-month Shock Incarceration Program and were released to parole supervision by order of the Board of Parole.

The Pre-Shock comparison group consists of parolees whose legal and demographic characteristics match the eligibility criteria established for program participation in New York State, but who were committed to the Department's custody prior to the implementation of Shock Incarceration. The four major selection criteria restrict age, offense type, time to parole eligibility and prior service of an indeterminate sentence. The Removals consist of parolees who at one point during their incarceration had participated in the Shock program, but were removed before graduation and returned to a general confinement facility before release on parole. The Considered group is comprised of individuals who met the legal eligibility criteria, were screened for Shock participation, but did not enter the program.

### **Characteristics**

The goal in selecting the groups was to limit the amount of variation among them as much as possible. However, some differences were expected.

Shock offers an offender the opportunity for early release. It is logical to conclude that offenders with longer sentences and a longer time to parole eligibility would be more inclined to volunteer for Shock and complete the program; those with shorter terms might be inclined to reject the program, or upon

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entering it, more inclined to drop out. In addition, the treatment focus of Shock, which involves extensive substance-abuse treatment and rehabilitation, targets drug offenders. Drug offenders more frequently receive longer sentences than other non-violent offenders. Therefore, a greater representation of drug offenders among the Shock graduates was also expected.

The legal and demographic variables that were used to compare the groups are presented in Appendix-A. Chi-Square tests (for nominal level data) and T-Tests (for interval level data) were employed to determine if the groups met expectations; the threshold of significance applied was .05.

As expected, the Shock graduates were more likely than the non-Shock parolees to have been sentenced for drug crimes and to have received longer maximum sentences than any of the comparison groups. The Considered and Removal groups had shorter minimum terms and less time to parole eligibility. These findings were statistically significant.

The Shock group included more A-II felons, a factor which is likely a result of the greater number of drug offenders in Shock. They also had fewer N.Y. City commitments among them, fewer medium security risk inmates and a greater proportion who had graduated high school.

The fewest number of statistically significant differences was found to exist when comparing the Shock group with the Pre-Shock group. However, many of the differences which were evident when comparing Shock graduates to the Considered and Removal groups were expected.

For example, it is not surprising to note that the Considered and Removal groups' time to parole eligibility was significantly lower than that of the Shock group, or that they had significantly shorter minimum and maximum sentences.

### **Follow-up Procedure**

To determine the extent to which Shock Parole supervision has been successful in providing employment and program opportunities for Shock Incarceration graduates, employment and program enrollment rates for Shock parolees who had been in the community for six months or less as of March 31, 1991 were compared to those of the comparison group parolees who had been in the community for the same amount of time.

In measuring recidivism, the methodology employed is similar to that which has been used in previous reports. Specifically, for this report, a group of Shock and non-Shock parolees who were released to Parole supervision between March of 1988 and March of 1990 were followed for equivalent periods of time. Cumulative return rates are presented at twelve, eighteen and twenty-four months. An additional

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measure of recidivism, which takes into account caseload removals that occurred within the follow-up periods, has also been included to further illustrate the return rates of Shock graduates in relation to that of the non-Shock comparison groups.

### Results

#### **Employment and Program Success**

The figures in Table 25 compare employment and program enrollment rates for graduates under Shock Parole supervision to those of the comparison group parolees who were within six months of release as of March 31, 1991.

Findings indicate that the Shock graduates were more likely than any of the comparison group offenders to be employed, or enrolled in a community program designed to assist them in their reintegration efforts. These differences were found to be statistically significant at the .05 level.

Table 25

Employment / Program Enrollment Rates  
Shock And Comparison Group Parolees  
Released Between 10/1/90 - 3/31/91

<u>GROUP</u>	<u>NUMBER</u>	<u>EMPLOYED</u>	<u>ENROLLED IN PROGRAM</u>
SHOCK	955	75%	79%
PRE-SHOCK	420	48%	51%
CONSIDERED	1,110	35%	47%
REMOVAL	411	34%	50%

Significantly higher employment rates and greater levels of program participation among the Shock population can be attributed in part to the dedicated services provided to Shock graduates within the first six months of release on parole. It can also be attributed in part to the greater level of motivation and spirit exhibited by the newly-released Shock offender, who may be more inclined than the

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non-Shock offender to follow up on employment and program referrals made by their parole officers soon after release. The resulting impact, however, is that it will contribute to the probability that the Shock graduates will make a successful transition to community living.

### Supervision Outcome

Community follow-up data is available for returns that occurred through March 31, 1991; offenders who were tracked were released between March of 1988 and March of 1990 to ensure that all participants had been released a minimum of twelve months before return data was collected. Return rates presented are based on the number of parolees physically returned to the custody of the Department of Correctional Services within the follow-up periods.

Table 26 illustrates the differences in return rates between Shock and non-Shock parolees released between March of 1988 and March of 1990 within twelve months of release. As the data indicate, Shock parolees had the highest success rate at the twelve-month interval of all participants.

Table 26

Violation Activity of Shock and Non-Shock Parolees  
Released Between March-1988 and March-1990

Group	Total Releases	# and % Returned Within One Year		New Crimes		Rule Violators	
				Num.	Pct.	Num.	Pct.
SHOCK	1,641	227	14%	108	7%	119	7%
PRE-SHOCK	1,418	263	19%	113	8%	150	11%
CONSIDERED	1,662	334	20%	149	9%	185	11%
REMOVALS	366	82	22%	39	11%	43	11%

At twelve months eighty-six percent of the Shock group remained in the community, compared to 81% of the Pre-Shock, 80% of the Considered and 78% of the Removal group within one year of release. These results were statistically significant.

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Offenders who were released between March of 1988 and September of 1989 had been out a minimum of eighteen months as of March 31, 1991. The community success rate of these individuals is presented in Table 27. Again, the data indicate a significant difference in success rates between the Shock and comparison group parolees. After eighteen months of follow-up, the Shock success rate (71%) was eleven percent greater than that of the Removals, seven percent higher than the Considered group and five percent higher than the Pre-Shock offenders after equal periods of time in the community.

Table 27

Violation Activity of Shock and Non-Shock Parolees  
Released Between March-1988 and September 1989

Group	Total Releases	# and % Returned Within 18 Months		New Crimes		Rule Violators	
				Num.	Pct.	Num.	Pct.
SHOCK	981	282	29%	117	12%	165	17%
PRE-SHOCK	1,125	383	34%	166	15%	217	19%
CONSIDERED	883	319	36%	136	15%	183	21%
REMOVALS	182	73	40%	35	19%	38	21%

In addition, the proportion of individuals who had been returned to the Department's custody as a result of their conviction for new crimes was lowest among the Shock group. Only 12% of the Shock releases had been returned for new crimes compared to 15% of the Pre-Shock and Considered groups and 19% of the Removal group.

Although not statistically significant, a similar pattern is evident when individuals are followed for greater periods of time. As the figures in Table 28 indicate, the cumulative return rate as of March 31, 1991 for participants for whom 24 months had passed since release was lowest among the Shock offenders.

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The cumulative return rate at 24 months for the Shock offenders was four percent lower than that of the Pre-Shock offenders, seven percent lower than the Considered group and eleven percent lower than that of the Removals.

Table 28

Violation Activity of Shock and Non-Shock Parolees  
Released Between March-1988 and March 1989

Group	Total Releases	# and % Returned Within 24 Months		New Crimes		Rule Violators	
				Num.	Pct.	Num.	Pct.
SHOCK	582	231	40%	100	17%	131	23%
PRE-SHOCK	827	360	44%	153	19%	207	25%
CONSIDERED	378	177	47%	76	20%	101	27%
REMOVALS	68	35	51%	15	22%	20	29%

It should be noted that when the Shock and non-Shock groups are followed for time periods in excess of one year, discharges from parole supervision among the comparison group parolees are considerably higher than discharges among the Shock group because Shock parolees are under supervision for a longer period of time. While this time-under-supervision difference is not directly related to Shock parolees' chances of returning to prison with a new felony conviction, it may heighten their chances of returning as parole rule violators in relation to the comparison group parolees if they are followed for time periods that exceed one year. As an example, the difference in discharge rates between the Shock and non-Shock parolees featured in the 24-month follow-up study are illustrated in Table 29.

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Table 29

Discharge Rates of Shock and Non-Shock Parolees  
Featured in the 24-Month Follow-up

Group	Time Since Release	Number Active at Start of Period	Returned to Custody		Discharged Within Period		Active at End of Period	
			Number	Percent	Number	Percent	Number	Percent
<u>Shock</u>								
	Pre 12 Months	582	94	16%	8	1%	480	83%
	Post 12 Months	480	137	29%	11	2%	332	69%
<u>Pre-Shock</u>								
	Pre 12 Months	827	156	19%	22	3%	649	79%
	Post 12 Months	649	204	32%	118	18%	327	50%
<u>Considered</u>								
	Pre 12 Months	378	78	21%	4	1%	296	78%
	Post 12 Months	296	99	34%	42	14%	155	52%
<u>Removals</u>								
	Pre 12 Months	68	11	16%	0	0%	57	84%
	Post 12 Months	57	24	42%	25	44%	8	14%

As expected, the comparison group offenders were more likely than the Shock graduates to have been discharged from parole supervision after twelve months of supervision. As the table illustrates, only 3% of the Shock group who completed 12 months of supervision were discharged within the 24-month follow-up study, compared to 14% of the Considered group, 18% of the Pre-Shock group and 44% of the Removals. This difference was found to be statistically significant at the .05 level and results in a greater proportion of offenders remaining "at-risk" after 12 months among the Shock parolees, a factor which would seem to favor the comparison group offenders in the long-term follow up periods.

However, data indicate that the Shock group's return rate for parole rule violations is lower than that of the comparison group offenders in the 18-month or 24-month follow-up periods. Lower returns among the Shock population may well be a result of the combination of Shock Incarceration and Shock Parole supervision.

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Return rates of Shock and non-Shock parolees provide benchmarks upon which the program can be evaluated. However, of additional import is the amount of clean street time between the parolee's release date and the date on which the parolee begins to show signs of having problems adjusting to the community.

The figures in Table 30 present the amount of time from release date to delinquency date for Shock and comparison group parolees who were returned within the 24-month follow-up period. Details on rule violators and those returned with new felony convictions are presented separately.

TABLE 30 TIME FROM RELEASE TO DELINQUENCY

GROUP	0-6 MONTHS		7-12 MONTHS		12 MONTHS PLUS		TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
<b>SHOCK</b>								
Rule Violator	76	58%	41	31%	14	11%	131	100%
New Crime	54	54%	29	29%	17	17%	100	100%
Shock Total	130	56%	70	30%	31	14%	231	100%
<b>PRE-SHOCK</b>								
Rule Violator	124	60%	58	28%	25	12%	207	100%
New Crime	91	59%	35	23%	27	18%	153	100%
Pre. Total	215	60%	93	26%	52	14%	360	100%
<b>CONSIDERED</b>								
Rule Violator	60	59%	31	31%	10	10%	101	100%
New Crime	47	62%	15	20%	14	18%	76	100%
Cons. Total	107	60%	46	26%	24	14%	177	100%
<b>REMOVALS</b>								
Rule Violator	12	60%	6	30%	2	10%	20	100%
New Crime	11	73%	4	27%	0	0%	15	100%
Rem. Total	23	66%	10	28%	2	6%	35	100%

For all the groups, the greatest level of violation activity occurred within the first six months; the lowest level of delinquent behavior occurred after the twelfth month. A lower level of violation activity among the Shock parolees within the first six months points to the degree to which the Shock supervision program has helped them adjust immediately after release.

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### **SUMMARY AND CONCLUSIONS**

An analysis of the community success rates of Shock parolees seems to indicate that they are more likely to be successful than the comparison group parolees after the completion of 12, 18, or 24 months time despite having spent considerably less time in state prison (see appendix A). Shock Parole Supervision has also had a significant impact on the employment and program enrollment rates of the Shock graduates in relation to that of the non-Shock offenders who had traditional prison and parole experiences and appears to be a factor in helping Shock graduates transition from the institution to the community.

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TABLE 1

**DISTRIBUTION OF THE STATUS OF SHOCK ELIGIBLE  
INMATES BY GENDER  
JULY 13, 1987 TO SEPTEMBER 30, 1991**

	ALL		FEMALES		MALES	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	18,160	100.0%	1,754	100.0%	16,376	100.0%
<b>SENT TO SHOCK</b>	<b>8,515</b>	<b>46.9%</b>	<b>500</b>	<b>28.0%</b>	<b>8,015</b>	<b>48.9%</b>
APPROVED FOR SHOCK	176	1.0%	81	4.5%	95	0.6%
REFUSED	2,424	13.3%	368	20.6%	2,056	12.6%
<b>DISQUALIFIED</b>	<b>6,752</b>	<b>37.2%</b>	<b>737</b>	<b>41.3%</b>	<b>6,015</b>	<b>36.7%</b>
MEDICAL/PSYCHIATRIC	2,582	14.2%	442	24.8%	2,140	13.1%
PENDING CHARGES	725	4.0%	12	0.7%	713	4.4%
CRIMINAL HISTORY	1,429	7.9%	73	4.1%	1,356	8.3%
FORIEGN BORN	409	2.3%	31	1.7%	378	2.3%
JUDGE REFUSE	207	1.1%	23	1.3%	184	1.1%
EARLY PE DATE	437	2.4%	82	4.6%	355	2.2%
MAX SECURITY	233	1.3%	6	0.3%	227	1.4%
DISCIPLINARY	148	0.8%	38	2.1%	110	0.7%
PUBLIC RISK	266	1.5%	8	0.4%	258	1.6%
MOVED W/O PAPER	238	1.3%	21	1.2%	217	1.3%
ZERO WEEK DROP-OUT	32	0.2%	0	0.0%	32	0.2%
OTHER	46	0.3%	1	0.1%	45	0.3%
PENDING	293	1.6%	98	5.5%	195	1.2%
<b>APPROVAL RATE</b>	<b>46.6%</b>		<b>34.5%</b>		<b>50.1%</b>	

TABLE 2

**APPROVAL RATES FOR SHOCK ELIGIBLE INMATES  
AS PRESENTED IN THREE LEGISLATIVE REPORTS**

<i>GROUP</i>	<b>REPORT YEARS</b>		
	<i>1990</i>	<i>1991</i>	<i>1992</i>
OVERALL MALES	<b>45.9%</b>	<b>47.8%</b>	<b>50.1%</b>
OVERALL FEMALES	<b>35.8%</b>	<b>37.3%</b>	<b>34.5%</b>
LAKEVIEW OVERALL	<b>65.9%</b>	<b>57.4%</b>	<b>59.5%</b>
16-25 YRS	<b>72.7%</b>	<b>65.0%</b>	<b>66.8%</b>
26-29 YRS	<b>47.4%</b>	<b>37.3%</b>	<b>39.9%</b>

TABLE 3

**DISTRIBUTION OF THE STATUS OF MALE INMATES  
SENT TO LAKEVIEW BY AGE GROUP  
SEPTEMBER 11, 1989 TO SEPTEMBER 30, 1991**

	TOTAL LAKEVIEW		16-25 YR OLDS		26-29 YR OLDS	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	9,775	100.0%	7,109	100.0%	2,666	100.0%
<b>SENT TO SHOCK</b>	<b>5,777</b>	<b>59.1%</b>	<b>4,721</b>	<b>66.4%</b>	<b>1,056</b>	<b>39.6%</b>
APPROVED FOR SHOCK	27	0.3%	22	0.3%	5	0.2%
REFUSED	1,092	11.2%	558	7.8%	534	20.0%
<b>DISQUALIFIED</b>	<b>2,866</b>	<b>29.3%</b>	<b>1,803</b>	<b>25.4%</b>	<b>1,063</b>	<b>39.9%</b>
MEDICAL/PSYCHIATRIC	1,063	10.9%	672	9.5%	391	14.7%
PENDING CHARGES	368	3.8%	268	3.8%	100	3.8%
CRIMINAL HISTORY	828	8.5%	535	7.5%	293	11.0%
FOREIGN BORN	7	0.1%	3	0.0%	4	0.2%
JUDGE REFUSE	163	1.7%	0	0.0%	163	6.1%
EARLY PE DATE	105	1.1%	67	0.9%	38	1.4%
MAXIMUM SECURITY	12	0.1%	11	0.2%	1	0.0%
DISCIPLINARY	53	0.5%	36	0.5%	17	0.6%
PUBLIC RISK	153	1.6%	128	1.8%	25	0.9%
MOVED W/O PAPER	82	0.8%	54	0.8%	28	1.1%
ZERO WEEK DROP-OUT	32	0.3%	29	0.4%	3	0.1%
OTHER	0	0.0%	0	0.0%	0	0.0%
PENDING	13	0.1%	5	0.1%	8	0.3%
<b>APPROVAL RATE</b>	<b>59.5%</b>		<b>66.8%</b>		<b>39.5%</b>	

TABLE 4

STATUS OF INMATES SENT TO SHOCK  
SEPTEMBER 11, 1987 TO SEPTEMBER 30, 1991

<i>STATUS</i>	SUMMIT		SUMMIT		MORIAH	BUTLER	LAKEVIEW	TOTAL
	MONTEREY	MALE	FEMALE					
FROM RECEPTION	2,283	1,218	548		1,312	1,301	1,853	8,515
TRANSFERS TO OTHER SICFS	91	50	0		35	28	6	210
TRANSFERS FROM OTHER SICFS	9	6	0		46	45	104	210
NET INMATES FROM RECEPTION (+)	2,201	1,174	548		1,323	1,318	1,951	8,515
GRADUATE PAROLE RELEASES (-)	1,129	620	253		581	615	834	4,032
INMATES SENT TO RECYCLING	32	9	18		34	31	99	223
ACTIVE	8	4	9		9	8	23	61
REMOVED	10	5	6		10	15	45	91
GRADUATED AND PAROLED (-)	14	0	3		15	8	31	71
GRADUATES SENT TO WORK RELEASE (-)	52	25	29		65	64	143	378
ACTIVE	10	1	0		6	13	10	40
REMOVED	5	2	0		5	8	10	30
GRADUATED AND PAROLED	37	22	29		54	43	123	308
TOTAL PAROLE RELEASES	1,180	642	285		650	666	988	4,411
SUB-TOTAL PROGRAM REMOVALS (-)	785	407	206		458	403	525	2,784
DISCIPLINARY	286	189	72		128	124	88	887
VOLUNTARY	282	127	67		193	136	132	937
MEDICAL	28	8	8		15	19	56	134
UNSAT PROGRAM ADJUSTMENT	137	59	24		73	87	186	566
BECAME INELIGIBLE	23	9	7		13	9	12	73
FOREIGN BORN	8	1	0		2	2	1	14
SECURITY RISKS	6	5	0		3	2	5	21
RECYCLE REMOVALS	10	5	6		10	15	45	91
OTHER REASONS	5	4	22		21	9	0	61
IN PROGRAM	221	122	57		202	226	422	1,250

ROWS USED TO CALCULATE IN PROGRAM FIGURES ARE SHADED WITH APPROPRIATE SIGN

TABLE 5

**AVERAGE NUMBER OF DAYS AT SHOCK FACILITIES  
FOR INMATES WHO GRADUATED OR WERE  
REMOVED FROM SHOCK AS OF SEPTEMBER 30, 1991**

<b>REASON FOR LEAVING</b>	<b>AVG NUMBER OF DAYS IN SHOCK</b>	<b>NUMBER OF INMATES</b>
GRADUATE PAROLE RELEASES	180	4,032
GRADUATES SENT TO WORK RELEASE	180	378
<b>TOTAL PROGRAM GRADUATES</b>	<b>180</b>	<b>4,410</b>
DISCIPLINARY	37.2	887
VOLUNTARY	19.3	937
MEDICAL	38.3	134
UNSAT. PROG. ADJUST.	97.7	566
BECAME INELGIBLE	41.1	73
FOREIGN BORN	99.3	14
SECURITY RISK	97.0	21
OTHER REASONS	75.0	61
<b>TOTAL PROGRAM REMOVALS</b>	<b>46.5</b>	<b>2,693**</b>

**\*\* Does Not Include The 91 Inmates Removed From Shock During Recycling**



TABLE 7

**AVERAGE PER DIEM COSTS AS STATED  
IN THE LEGISLATIVE REPORTS**

	<u>FY 87-88</u>	<u>FY 88-89</u>	<u>FY89-90</u>	<u>FY91-91</u>	<i>OVERALL AVERAGE</i>
<u>SHOCK</u>	\$62.12	\$69.25	\$80.52	\$69.33	\$70.31
<u>CAMPS</u>	\$48.48	\$44.20	\$46.85	\$50.94	\$47.62
<u>MEDIUM</u>	\$55.09	\$57.42	\$56.07	\$59.75	\$57.08

TABLE 8

COMPARISON COSTS FOR SELECTED FACILITIES BASED ON DATA  
PROVIDED BY DOCS BUDGET FOR FY 1990-1991

FACILITY	AVERAGE POPULATION	TOTAL	SUPPORT	SUPERVISION	HEALTH SERVICES	PROGRAMS	FOOD COSTS PER INMATE PER DAY	WAGES PER INMATE PER DAY
		SPENT	SPENT	SPENT	SPENT	SPENT		
		PER INMATE PER DAY						
MONTEREY SICF	193	\$73.49	\$16.30	\$46.63	\$0.69	\$9.87	\$3.08	\$1.04
SUMMIT SICF	164	\$89.28	\$20.08	\$54.56	\$1.87	\$12.78	\$3.60	\$0.90
MORIAH SICF	192	\$70.68	\$16.59	\$44.41	\$1.23	\$8.45	\$3.03	\$0.98
BUTLER SICF	193	\$68.45	\$16.11	\$42.96	\$0.99	\$8.39	\$3.57	\$1.04
LAKEVIEW	648	\$62.89	\$13.61	\$38.52	\$1.84	\$8.92	\$2.92	\$0.58
<b>SHOCK AVG</b>	<b>278</b>	<b>\$69.33</b>	<b>\$15.51</b>	<b>\$42.97</b>	<b>\$1.48</b>	<b>\$9.37</b>	<b>\$3.13</b>	<b>\$0.80</b>
PHARSALIA	253	\$46.87	\$12.28	\$28.14	\$0.65	\$5.80	\$2.23	\$0.93
BEACON	233	\$52.45	\$12.85	\$33.29	\$0.21	\$6.10	\$2.50	\$1.12
GABRIELS	292	\$48.77	\$12.76	\$29.61	\$0.75	\$5.65	\$1.78	\$0.99
GEORGETOWN	257	\$45.10	\$10.36	\$28.59	\$0.65	\$5.50	\$2.19	\$0.86
LYON MT	157	\$68.89	\$14.47	\$45.77	\$1.28	\$7.38	\$1.60	\$0.98
<b>MINIMUM AVG</b>	<b>238</b>	<b>\$50.94</b>	<b>\$12.38</b>	<b>\$31.93</b>	<b>\$0.67</b>	<b>\$5.97</b>	<b>\$2.08</b>	<b>\$0.97</b>
TACONIC	413	\$63.29	\$12.88	\$35.34	\$5.76	\$9.31	\$1.23	\$0.77
WALKILL	599	\$57.16	\$14.90	\$30.49	\$2.77	\$9.00	\$1.06	\$0.86
ALTONA	573	\$60.13	\$12.16	\$36.65	\$2.82	\$8.57	\$1.35	\$0.80
OGDENSBURG	688	\$59.03	\$11.70	\$35.16	\$2.41	\$9.76	\$1.68	\$0.77
WATERTOWN	759	\$55.67	\$12.54	\$31.78	\$2.27	\$9.08	\$1.91	\$0.69
MID-ORANGE	800	\$64.05	\$13.05	\$38.84	\$2.55	\$9.60	\$1.68	\$0.92
<b>MEDIUM AVG</b>	<b>639</b>	<b>\$59.75</b>	<b>\$12.84</b>	<b>\$34.77</b>	<b>\$2.89</b>	<b>\$9.25</b>	<b>\$1.53</b>	<b>\$0.80</b>

TABLE 9

**CALCULATIONS USED IN DETERMINING COST AVOIDANCE SAVINGS  
FOR THE FIRST 4,411 SHOCK RELEASES**

TYPE OF FACILITY	AVG COST PER DAY PER INMATE	AVG DAYS TO PE INCLUDING TIME IN RECEPTION	COST PER DAY MULTIPLIED BY DAYS TO PE
<b>SHOCK</b>	<b>\$70.31</b>	<b>224</b>	<b>\$15,749.44</b>
<b>CAMP</b>	<b>\$47.62</b>	<b>546</b>	<b>\$26,000.52</b>
<b>MEDIUM</b>	<b>\$57.08</b>	<b>546</b>	<b>\$31,165.68</b>
<b>WEIGHTED AVERAGE COST FOR NON-SHOCK FACILITIES</b>	<b>\$51.59</b>	<b>546</b>	<b>\$28,169.89</b>
<b>FOR EACH 100 INMATES SENT TO SHOCK THE COST WOULD BE</b>			
	<b>\$15,749.44</b>	<b>MULTIPLIED BY 100 OR</b>	<b>\$1,574,944.00</b>
<b>IF SHOCK WERE NOT AVAILABLE 58.0% WOULD GO TO CAMPS AND 42.0% WOULD GO TO MEDIUM SECURITY FACILITIES</b>			
<b>THE COST OF HOUSING THESE INMATES WOULD BE</b>	<b>\$26,000.52</b>	<b>MULTIPLIED BY 58 INMATES OR</b>	<b>\$1,508,030.16</b>
<b>PLUS</b>	<b>\$31,165.68</b>	<b>MULTIPLIED BY 42 INMATES OR</b>	<b>\$1,308,958.56</b>
		<b>FOR A TOTAL OF</b>	<b>\$2,816,988.72</b>
<b>TO CALCULATE THE SAVINGS FOR THESE 100 INMATES TO THEIR PAROLE ELIGIBILITY DATE BY SENDING THEM TO A SHOCK FACILITY WE MUST SUBTRACT</b>			
	<b>\$1,574,944.00</b>	<b>FROM</b>	<b>\$2,816,988.72</b>
		<b>FOR A TOTAL OF</b>	<b>\$1,242,044.72</b>
<b>SAVINGS POST PE DATE</b>			
<b>INMATES EQUAL</b>	<b>37</b>		
<b>MONTHS SAVED</b>	<b>9</b>		
<b>ANNUAL COSTS</b>	<b>\$25,000.00</b>		
<b>SAVE PER INMATE</b>	<b>\$18,750.00</b>		
<b>ADD IN SAVINGS FOR POST PE DATE</b>	<b>\$693,750.00</b>		
<b>FOR A TOTAL SAVINGS IN CARE AND CUSTODY PER 100 RELEASES OF</b>			<b>\$1,935,794.72</b>

<b>CAPITAL CONSTRUCTION SAVINGS</b>			
<b>COSTS FOR CONSTRUCTION OF 750 BED MEDIUM SECURITY PRISON</b>			<b>\$64,950,000.00</b>
<b>COSTS FOR CONSTRUCTION OF 250 BED CAMP</b>			<b>\$13,000,000.00</b>
<b>NUMBER OF BEDS SAVED BY SHOCK W/O VACANCIES</b>			<b>1672</b>
	<b>NUMBER OF MEDIUM SECURITY INMATES</b>		<b>702</b>
	<b>NUMBER OF CAMP INMATES</b>		<b>970</b>
	<b>COST OF ONE MEDIUM BED</b>		<b>\$86,600.00</b>
	<b>COST OF ONE CAMP BED</b>		<b>\$52,000.00</b>
	<b>COSTS FOR HOUSING MEDIUM INMATES</b>	<b>702 BEDS</b>	<b>\$60,813,984.00</b>
	<b>COSTS FOR HOUSING MINIMUM INMATES</b>	<b>970 BEDS</b>	<b>\$50,427,520.00</b>
	<b>SUBTOTAL: GROSS SAVINGS FOR EARLY RELEASES</b>		<b>\$111,241,504.00</b>
	<b>LOSS FOR</b>	<b>280.4 VACANCIES</b>	<b>\$17,594,460.00</b>
		<b>37.1 MEDIUM VACANCIES</b>	<b>\$7,542,860.00</b>
		<b>193.3 CAMP VACANCIES</b>	<b>\$10,051,600.00</b>
	<b>CAPITAL CONSTRUCTION AVOIDANCE SAVINGS FOR</b>	<b>1,392 BEDS</b>	<b>\$93,647,044.00</b>
<b>OPERATIONAL SAVINGS FOR</b>	<b>4,441 GRADUATES</b>		<b>\$85,968,643.52</b>
	<p>THIS SAVINGS SHOULD BE OFFSET BY COSTS OF HOUSING 2,693 INMATES WHO STARTED SHOCK BUT DID NOT COMPLETE THE PROGRAM. THEY STAYED AN AVERAGE OF 46.5 DAYS AT \$70.31 PER DAY INSTEAD OF 46.5 DAYS AT \$51.59 PER DAY. THE DIFFERENCE IN HOUSING COSTS FOR HOUSING SHOCK REMOVALS WAS \$870.37. THIS FIGURE MULTIPLIED BY 2,693 REMOVALS EQUALS AN OFFSET OF</p> <p style="text-align: right;"><b>\$2,343,801.92</b></p>		
<b>REVISED OPERATIONAL SAVINGS ACCOUNTING FOR PROGRAM REMOVALS</b>			<b>\$83,624,841.59</b>
<b>CAPITAL SAVINGS FOR</b>	<b>4,411 GRADUATES</b>		<b>\$93,647,044.00</b>
<b>TOTAL SAVINGS FOR</b>	<b>4,411 GRADUATES</b>		<b>\$177,271,885.59</b>

**TABLE 10**  
**SHOCK BED SAVINGS AS OF SEPT. 30, 1991**

MONTH	SHOCK RELEASES	REACHED PE FACTOR *	REACHED PE DATE	EEP RELEASE RATE	WOULD HAVE BEEN RELEASED UNDER EEP
3/88-6/89	652	1.0000	652	0.9951	649
MAY 89	33	0.9936	33	0.9871	32
JUNE 89	107	0.9788	105	0.9862	103
JUL 89	64	0.9651	62	0.9848	61
AUG 89	48	0.9486	46	0.9839	45
SEP 89	78	0.9358	73	0.9779	71
OCT 89	111	0.9140	101	0.9733	99
NOV 89	85	0.8972	76	0.9683	74
DEC 89	108	0.8796	95	0.9683	92
JAN 90	110	0.8657	95	0.9667	92
FEB 90	90	0.8514	77	0.9646	74
MAR 90	156	0.8344	130	0.9621	125
APR 90	173	0.8143	141	0.9539	134
MAY 90	168	0.8003	134	0.9472	127
JUN 90	157	0.7744	122	0.9354	114
JUL 90	163	0.7383	120	0.9297	112
AUG 90	176	0.7004	123	0.9213	114
SEP 90	143	0.6649	95	0.9112	87
OCT 90	195	0.6247	122	0.8761	107
NOV 90	199	0.5903	117	0.8559	101
DEC 90	140	0.5448	76	0.8211	63
JAN 91	170	0.4979	85	0.8013	68
FEB 91	98	0.4527	44	0.7572	34
MAR 91	165	0.4102	68	0.7376	50
APR 91	137	0.3572	49	0.6814	33
MAY 91	142	0.3049	43	0.6647	29
JUN 91	147	0.2368	35	0.6454	22
JUL 91	152	0.1698	26	0.6343	16
AUG 91	117	0.0991	12	0.6343	7
SEP 91	127	0.0578	7	0.6343	5
<b>TOTAL</b>	<b>4,411</b>		<b>2,964</b>		<b>2,739</b>
<b>PE NOT REACHED</b>		<b>1,447</b>			
<b>NOT RELEASED THROUGH PAROLE OR CR</b>					<b>225</b>
<b>BED SAVINGS AS OF SEPTEMBER 30, 1991</b>					<b>1,672</b>

TABLE 11

PROPORTIONAL DISTRIBUTIONS AND AVERAGES OF SHOCK INMATES AND FOUR COMPARISON GROUPS OF INMATES ON DEMOGRAPHIC AND LEGAL VARIABLES USING THE UNDERCUSTODY POPULATION AS OF SEPTEMBER 28, 1991

CHARACTERISTICS	SHOCK	CAMP	LYON	MEDIUM	SHOCK	CAMP	MEDIUM
	MALES N=1,245	MALES N=769	MOUNT N=161	MALES N=3,096	FEMALES N=95	FEMALES N=155	FEMALES N=1,630
Percent 21 Years or Older	59.9%	72.7%*	88.2%*	89.4%*	88.4%	88.4%	91.3%
Percent Time to PE 13 mo. Plus	66.5%	60.3%	80.1%*	89.3%	85.3%	60.6%**	77.2%**
Percent Alcoholic MAST Scores	26.9%	28.9%	31.4%	27.7%	22.6%	27.6%	27.8%
Percent Drug Offenders	71.8%	47.5%*	63.4%	42.1%*	88.4%	72.9%**	66.7%**
Percent Drug Use	65.5%	64.2%	75.8%*	69.3%	54.7%	63.3%	50.8%
Percent 2ND Felony Offenders	44.4%	53.0%*	73.9%*	66.9%*	63.2%	54.8%	54.9%
Percent White Inmates	13.5%	18.3%	11.8%	14.4%	10.5%	15.5%	11.0%
Percent Black Inmates	48.8%	50.8%	55.9%	49.3%	55.8%	49.7%	51.6%
Percent Hispanic Inmates	36.8%	30.4%	32.3%	35.4%	32.6%	34.2%	36.5%
Percent N.Y. City Commitments	64.0%	69.8%	63.8%	75.5%*	69.5%	65.2%	70.9%
Percent Medium Security	43.2%	0.1%*	0.0%*	96.2%*	26.3%	0.0%**	64.6%**
Percent Minimum Security	56.8%	99.0%*	100.0%*	3.8%*	73.7%	100.0%**	0.0%**
Percent Education Thru 9th Grade	32.5%	35.7%	26.4%	32.5%	35.1%	34.4%	35.1%
Percent With 12th Grade Plus	24.0%	30.4%	25.8%	36.2%*	36.2%	28.6%	34.4%
Average Aggregate Min. Sent.	21.7 MO	19.7 MO*	27.2 MO*	43.4 MO*	25.8 MO	21.9 MO**	31.6 MO**
Average Aggregate Max. Sent.	65.1 MO	47.9 MO*	64.2 MO	105.9 MO*	68.5 MO	59.6 MO	88.8 MO**
Average Prior Felony Arrests	2.04	2.56*	3.31*	3.05*	1.68	1.92	2.09**
Average Prior Felony Convictions	.62	.96*	1.18*	1.23*	.75	.79	.83
Average Age at Recep.	23.2 YRS	27.7 YRS*	29.9 YRS*	30.4 YRS*	25.2 YRS	29.3 YRS**	30.9 YRS**
Average Time PE At Recep.	17.7 MO	15.1 MO*	22.4 MO*	37.4 MO*	20.9 MO	16.2 MO**	25.6 MO**
Average Educational Level	10.1 GR	10.2 GR	10.4 GR	10.3 GR*	10.4 GR	10.1 GR	10.2 GR
Average Jail Time At Recep.	122 days	138 days*	147 days*	183 days*	147 days	173 days**	182 days**
Average TABE Reading Scores	8.06	8.33	8.21	7.90	7.83	7.09	7.06**
Average TABE Math Scores	7.02	7.08	6.95	6.69*	6.50	6.14	5.98**

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

\*\* INDICATES A SIGNIFICANT DIFFERENCE BETWEEN SHOCK FEMALES AND OTHER FEMALE COMPARISON GROUPS AT .05 LEVEL

TABLE 12

## SUMMARY OF REPORTED TABE SCORES

	LEGISLATIVE REPORT YEARS		
	1990	1991	1992
<b>MATH TABE SCORES</b>			
AT RECEPTION	7.3	7.3	7.3
AT GRADUATION	8.8	8.5	8.3
<i>CHANGE IN SCORES</i>	1.5	1.2	1.0
RECEPTION OF 9TH GRADE PLUS	20.3%	20.2%	22.1%
GRADUATION OF 9TH GRADE PLUS	41.0%	34.5%	33.2%
<i>CHANGE IN PERCENTAGE</i>	20.7%	14.3%	11.1%
<b>READING TABE SCORES</b>			
AT RECEPTION	7.9	8	8.1
AT GRADUATION	8.8	8.6	8.7
<i>CHANGE IN SCORES</i>	0.9	0.6	0.6
RECEPTION OF 9TH GRADE PLUS	37.5%	41.5%	37.8%
GRADUATION OF 9TH GRADE PLUS	45.7%	43.7%	44.8%
<i>CHANGE IN PERCENTAGE</i>	8.2%	2.2%	7.0%
<b>PERCENT WHO INCREASED IN MATH</b>	<b>68.9%</b>	<b>63.8%</b>	<b>56.3%</b>
BY 2 OR MORE GRADES	48.4%	40.2%	33.3%
BY 4 OR MORE GRADES	16.2%	12.2%	9.0%
<b>PERCENT WHO INCREASED IN READING</b>	<b>54.3%</b>	<b>49.3%</b>	<b>49.3%</b>
BY 2 OR MORE GRADES	35.5%	30.2%	38.5%
BY 4 OR MORE GRADES	6.0%	4.0%	4.7%

TABLE 13

RESULTS OF GED TESTING FY 1990-1991								
FACILITY	AVERAGE NUMBER OF INMATES	TESTS GIVEN	INMATES SCREENED	INMATES TESTED	INMATES PER TEST	INMATES PASSING	PERCENT OF INMATES SCREENED WHO TESTED FOR GED	PERCENT OF INMATES PASSING THE GED TEST
MONTEREY SICF	193	10	246	120	12.0	70	48.8%	58.3%
SUMMIT SICF	164	5	109	49	9.8	30	45.0%	61.2%
MORIAH SICF	192	10	345	148	14.8	97	42.9%	65.5%
BUTLER SICF	193	8	185	92	11.5	39	49.7%	42.4%
LAKEVIEW SICF *	404	5	352	185	37.0	126	52.6%	68.1%
<b>SHOCK DATA</b>	<b>1,146</b>	<b>38</b>	<b>1,237</b>	<b>594</b>	<b>15.6</b>	<b>362</b>	<b>48.0%</b>	<b>60.9%</b>
PHARSALIA	253	1	20	19	19.0	8	95.0%	42.1%
BEACON	233	1	24	15	15.0	5	62.5%	33.3%
GABRIELS	292	2	34	33	16.5	21	97.1%	63.6%
GEORGETOWN	257	3	87	45	15.0	27	51.7%	60.0%
LYON MT	157	4	37	23	5.8	14	62.2%	60.9%
<b>MINIMUM DATA</b>	<b>1,192</b>	<b>11</b>	<b>202</b>	<b>135</b>	<b>12.3</b>	<b>75</b>	<b>66.8%</b>	<b>55.6%</b>
TACONIC	413	3	173	73	24.3	23	42.2%	31.5%
WALLKILL	599	3	148	53	17.7	26	35.8%	49.1%
ALTONA	573	3	196	70	23.3	46	35.7%	65.7%
OGDENSBURG	688	3	317	114	38.0	54	36.0%	47.4%
WATERTOWN	759	4	322	127	31.8	57	39.4%	44.9%
MID-ORANGE	800	4	244	78	19.5	41	32.0%	52.6%
<b>MEDIUM DATA</b>	<b>3,832</b>	<b>20</b>	<b>1,400</b>	<b>515</b>	<b>25.8</b>	<b>247</b>	<b>36.8%</b>	<b>48.0%</b>
DOCS TOTAL		192	11,557	5,293	27.6	3,336	45.8%	63.0%
* LAKEVIEW POPULATION DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS								

**TABLE 14**

**SUMMARY OF GED ACTIVITY  
AS PRESENTED IN FOUR LEGISLATIVE REPORTS**

*LEGISLATIVE REPORT YEARS*

	1989	1990	1991	1992
<b>SHOCK</b>				
TESTS GIVEN	9	10	21	38
INMATES SCREENED	324	379	1139	1237
INMATES TESTED	243	266	628	594
PERCENT PASSING	55.9%	40.0%	46.7%	60.9%
<b>MINIMUMS</b>				
TESTS GIVEN	10	4	14	11
INMATES SCREENED	289	106	279	202
INMATES TESTED	179	60	195	135
PERCENT PASSING	63.1%	55.0%	57.4%	55.6%
<b>MEDIUMS</b>				
TESTS GIVEN	10	5	18	20
INMATES SCREENED	586	226	1460	1400
INMATES TESTED	233	138	629	515
PERCENT PASSING	60.9%	41.3%	48.3%	48.0%

TABLE 15

**ASSOCIATION BETWEEN AVERAGE TABE ENTRY AND EXIT SCORES  
AND GED STATUS FY 1990- 1991**

<b>TABE TEST SCORE</b>	<b>HAD GED</b>	<b>TOOK GED PASSED</b>	<b>TOOK GED FAILED</b>	<b>DID NOT TAKE GED</b>
<i>MATH AT RECEPTION</i>	<b>8.9</b>	<b>8.7</b>	<b>7.2</b>	<b>6</b>
<i>MATH AT GRADUATION</i>	<b>9.9</b>	<b>9.9</b>	<b>8.2</b>	<b>6.8</b>
<i>READING AT RECEPTION</i>	<b>10.2</b>	<b>10.2</b>	<b>8.2</b>	<b>6.3</b>
<i>READING AT GRADUATION</i>	<b>10.8</b>	<b>10.9</b>	<b>9</b>	<b>6.8</b>
	<b>(N=485)</b>	<b>(N=268)</b>	<b>(N=252)</b>	<b>(N=816)</b>

**TABLE 16**

***DISTRIBUTION OF DISCIPLINARY ACTIVITY  
PROVIDED BY SHOCK FACILITIES FY 90-91***

<b>NUMBER OF REPORTS</b>	<b>NUMBER OF INMATES</b>	<b>TOTAL REPORTS FOR INMATES</b>
0	2,270	0
1	514	514
2	161	322
3	47	141
4	25	100
5	3	15
6	4	24
7	1	7
<b>TOTAL</b>	<b>3,025</b>	<b>1,123</b>

TABLE 17

DISTRIBUTION OF DISCIPLINARY ACTIVITY  
PROVIDED BY SHOCK FACILITIES BY TIER TYPE FOR  
GRADUATES AND INMATE TRANSFERS FROM THE PROGRAM  
FY 90-91

DISCIPLINE TYPE	GRADUATES				TRANSFERS				TOTAL			
	INMATES		REPORTS		INMATES		REPORTS		INMATES		REPORTS	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
NONE	1,617	83.1%	0	0.0%	653	60.6%	0	0.0%	2,270	75.0%	0	0.0%
TIER II	282	14.5%	356	83.6%	244	22.6%	371	53.2%	526	17.4%	727	64.7%
TIER III	48	2.5%	70	16.4%	181	16.8%	326	46.8%	229	7.6%	396	35.3%
TOTAL	1,947	100.0%	426	100.0%	1,078	100.0%	697	100.0%	3,025	100.0%	1,123	100.0%

TABLE 18

**MOST SERIOUS MISBEHAVIOR TYPE BY INMATE EXIT STATUS  
FY 1990-1991**

DISCIPLINARY CHARGE	GRADUATES		TRANSFERS		TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
INMATE FIGHTS	36	10.9%	56	13.2%	92	12.2%
STAFF ASSAULTS	8	2.4%	19	4.5%	27	3.6%
VERBAL ABUSE OF STAFF	20	6.1%	49	11.5%	69	9.1%
FED UP W/ PROGRAM	32	9.7%	77	18.1%	109	14.4%
REFUSE ORDERS	121	36.7%	144	33.9%	265	35.1%
DISRUPT BEHAVIOR	13	3.9%	11	2.6%	24	3.2%
CONTRABAND	5	1.5%	0	0.0%	5	0.7%
THEFT	10	3.0%	8	1.9%	18	2.4%
LYING	21	6.4%	15	3.5%	36	4.8%
ESCAPE	0	0.0%	2	0.5%	2	0.3%
ESCAPE THREAT	0	0.0%	3	0.7%	3	0.4%
DESTROY PROPERTY	15	4.5%	5	1.2%	20	2.6%
DISOBEY RULES	49	14.8%	36	8.5%	85	11.3%
OTHER	0	0.0%	0	0.0%	0	0.0%
<b>TOTAL</b>	<b>330</b>	<b>100.0%</b>	<b>425</b>	<b>100.0%</b>	<b>755</b>	<b>100.0%</b>

TABLE 19

## DISCIPLINARY DATA FY 90-91

FACILITY	TOTAL					MISBEHAVIOR	TIER 1	TIER 2	TIER 3
	AVG POP	MISBEHAVIOR REPORTS	TIER 1 REPORTS	TIER 2 REPORTS	TIER 3 REPORTS	REPORTS PER 1000 INMATES	RATE PER 1000 INMATES	RATE PER 1000 INMATES	RATE PER 1000 INMATES
MONTEREY SICF	193	140	31	84	25	725	161	435	130
SUMMIT SICF	164	470	181	252	37	2,866	1,104	1,537	226
MORIAH SICF	192	270	31	226	13	1,406	161	1,177	68
BUTLER SICF	193	300	0	207	93	1,554	0	1,073	482
LAKEVIEW SICF**	404	185	10	133	42	458	25	329	104
<b>SHOCK AVG</b>	<b>229</b>	<b>273</b>	<b>51</b>	<b>180</b>	<b>42</b>	<b>1,191</b>	<b>221</b>	<b>787</b>	<b>183</b>
PHARSALIA	253	790	236	434	120	3,123	933	1,715	474
BEACON	233	681	434	188	59	2,923	1,863	807	253
GABRIELS	292	814	270	410	134	2,788	925	1,404	459
GEORGETOWN	257	1,170	563	480	127	4,553	2,191	1,868	494
LYON MT	157	498	329	163	6	3,172	2,096	1,038	38
<b>MINIMUM AVG</b>	<b>238</b>	<b>791</b>	<b>366</b>	<b>335</b>	<b>89</b>	<b>3,316</b>	<b>1,537</b>	<b>1,405</b>	<b>374</b>
TACONIC	413	1,178	245	857	76	2,852	593	2,075	184
WALKILL	599	2,054	809	1,035	210	3,429	1,351	1,728	351
ALTONA	573	2,206	962	1,097	147	3,850	1,679	1,914	257
OGDENSBURG	688	2,769	1,321	1,327	121	4,025	1,920	1,929	176
WATERTOWN	759	2,938	1,519	1,267	152	3,871	2,001	1,669	200
MID-ORANGE	800	1,800	616	950	234	2,250	770	1,188	293
<b>MEDIUM AVG</b>	<b>639</b>	<b>2,353</b>	<b>1,045</b>	<b>1,135</b>	<b>173</b>	<b>3,685</b>	<b>1,637</b>	<b>1,777</b>	<b>271</b>

\*\*LAKEVIEW POPULATION DOES NOT INCLUDE LAKEVIEW RECEPTION DORMS

TABLE 20

## UNUSUAL INCIDENTS OCCURRING IN FY 1990-91

FACILITY	AVG	AVG	RATE OF UI'S	STAFF ASSLTS	INMATE ASSLTS	INMATE DEATHS	ESCAPES	FIRES	SUICIDE ATTEMPT	CONTRA- BAND	ACCIDNT	TEMP REL	DISRUPT BEHAV	OTHER	TOTAL
	NUMBER OF INMATES	NUMBER OF UI'S	PER 1,000 INMATES												
MONTEREY SICF	193	3	15.5	2	0	0	0	0	0	0	1	0	0	0	3
SUMMIT SICF	164	8	48.8	3	0	0	0	0	0	0	2	0	1	2	8
MORIAH SICF	192	10	52.1	7	0	0	0	0	0	0	2	0	0	1	10
BUTLER SICF	193	14	72.5	5	1	0	1	0	1	0	4	0	0	2	14
LAKEVIEW SICF**	404	40	99.0	12	3	0	0	0	1	1	15	0	1	7	40
<b>SHOCK AVG</b>	<b>229</b>	<b>15</b>	<b>65.4</b>	29	4	0	1	0	2	1	24	0	2	12	75
PHARSALIA	253	41	162.1	2	6	0	0	0	1	5	16	4	1	6	41
BEACON	233	12	51.5	0	2	0	1	1	0	2	2	2	0	2	12
GABRIELS	292	16	54.8	2	2	0	0	0	0	0	6	1	1	4	16
GEORGETOWN	257	23	89.5	0	1	0	2	0	0	4	6	1	2	7	23
LYON MOUNTAIN	157	3	19.1	0	1	0	0	0	0	2	0	0	0	0	3
<b>MINIMUM AVG</b>	<b>238</b>	<b>19</b>	<b>79.7</b>	4	12	0	3	1	1	13	30	8	4	19	95
TACONIC	413	38	92.0	1	2	1	0	1	4	2	19	0	2	6	38
WALKILL	599	31	51.8	4	6	1	0	7	1	1	5	0	1	5	31
ALTONA	573	29	50.6	4	9	0	0	0	0	6	6	0	2	2	29
OGDENSBURG	688	19	27.6	1	3	3	0	0	2	4	3	0	1	2	19
WATERTOWN	759	48	63.2	6	12	2	0	0	1	1	12	0	4	10	48
MID-ORANGE	800	60	75.0	3	11	4	0	8	0	12	5	3	0	14	60
<b>MEDIUM AVG</b>	<b>639</b>	<b>37</b>	<b>58.6</b>	19	43	11	0	16	8	26	50	3	10	39	225

SHADED AREAS INDICATE THAT DATA IN COLUMN WAS AVERAGED NOT SUMMED

\*\*LAKEVIEW POPULATION DATA DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS

TABLE 21

**UI STAFF AND INMATES ASSAULTS  
FISCAL YEAR 1990-1991**

FACILITY	NUMBER OF UPS	STAFF ASSLTS	WITH INJURY	PERCENT	INMATE ASSLTS	WITH INJURY	PERCENT
MONTEREY SICF	3	2	0	0.0%	0	0	0.0%
SUMMIT SICF	8	3	3	100.0%	0	0	0.0%
MORIAH SICF	10	7	1	14.3%	0	0	0.0%
BUTLER SICF	14	5	2	40.0%	1	0	0.0%
LAKEVIEW SICF*	40	12	6	50.0%	3	0	0.0%
<b>SHOCK DATA</b>	<b>75</b>	<b>29</b>	<b>12</b>	<b>41.4%</b>	<b>4</b>	<b>0</b>	<b>0.0%</b>
PHARSALIA	41	2	0	0.0%	5	1	20.0%
BEACON	12	0	0	0.0%	2	0	0.0%
GABRIELS	16	2	1	50.0%	2	0	0.0%
GEORGETOWN	23	0	0	0.0%	1	0	0.0%
LYON MOUNTAIN	3	0	0	0.0%	1	0	0.0%
<b>MINIMUM DATA</b>	<b>95</b>	<b>4</b>	<b>1</b>	<b>25.0%</b>	<b>11</b>	<b>0</b>	<b>0.0%</b>
TACONIC	38	1	1	100.0%	2	0	0.0%
WALKILL	31	4	2	50.0%	6	1	16.7%
ALTONA	29	4	4	100.0%	9	2	22.2%
OGDENSBURG	19	1	1	100.0%	3	0	0.0%
WATERTOWN	48	6	3	50.0%	12	2	16.7%
MID-ORANGE	60	3	3	100.0%	11	2	18.2%
<b>MEDIUM DATA</b>	<b>225</b>	<b>19</b>	<b>14</b>	<b>73.7%</b>	<b>43</b>	<b>7</b>	<b>16.3%</b>
<b>ALL DOCS FACILITIES</b>		<b>1,215</b>	<b>692</b>	<b>57.0%</b>	<b>1,145</b>	<b>80</b>	<b>7.0%</b>

\*LAKEVIEW POPULATION DATA DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS

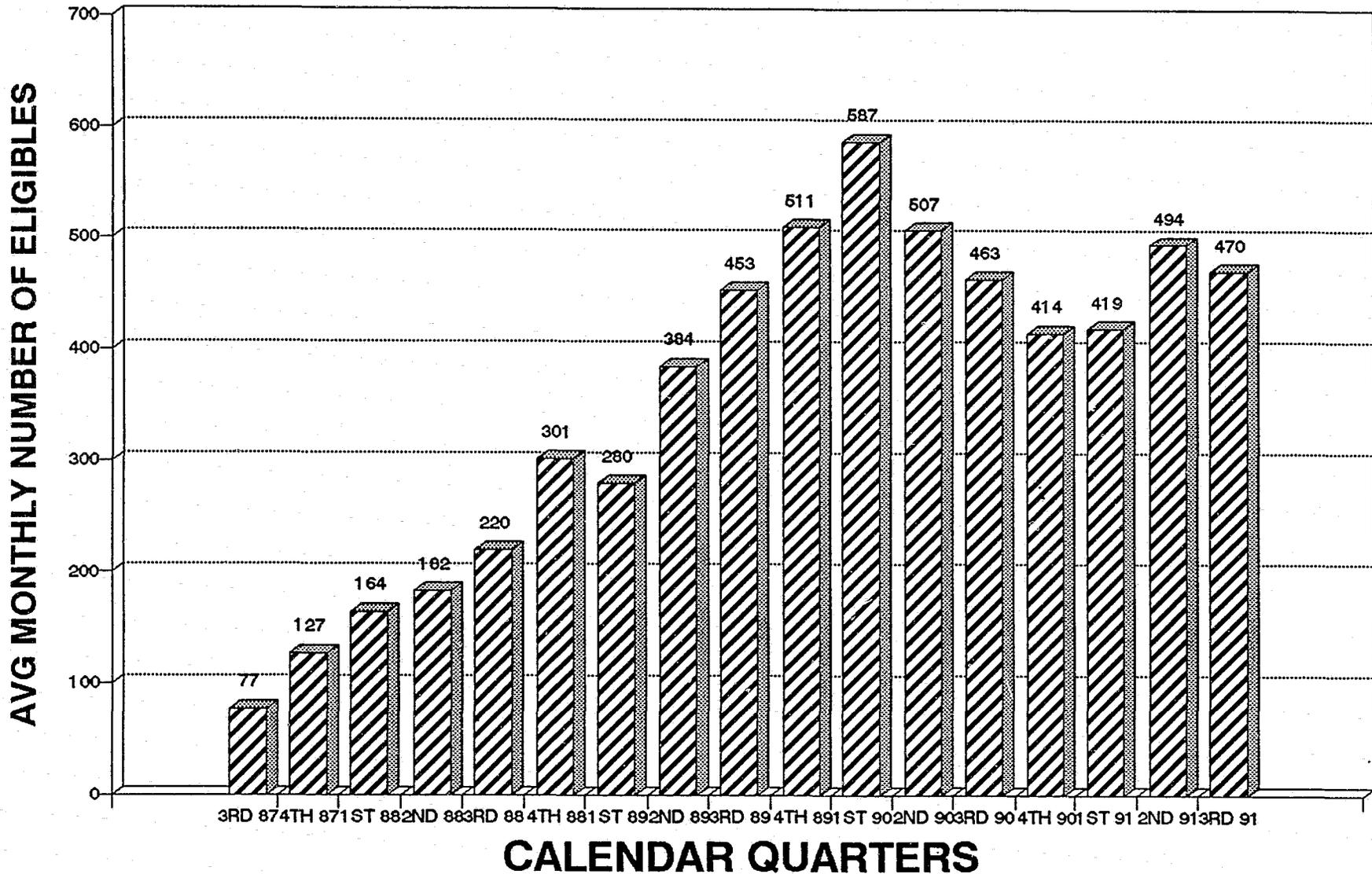
## TABLE OF CHARTS

- Chart 1 DOCS Shock Eligible Inmates: Monthly Average By Calendar Quarter.
- Chart 2 Monthly Average Number of Shock Releases By Calendar Quarter.
- Chart 3 Volume of GED Activity FY 1990-1991: Shock VS Comparison Facilities.
- Chart 4 Rates of Misbehaviors Per 1,000 Inmates: Shock VS. Comparison Facilities FY 90-91.
- Chart 5 Time Dedicated To Shock Program Components.
- Appendix A Demographic and Legal Comparisons.

# DOCS SHOCK ELIGIBLE INMATES

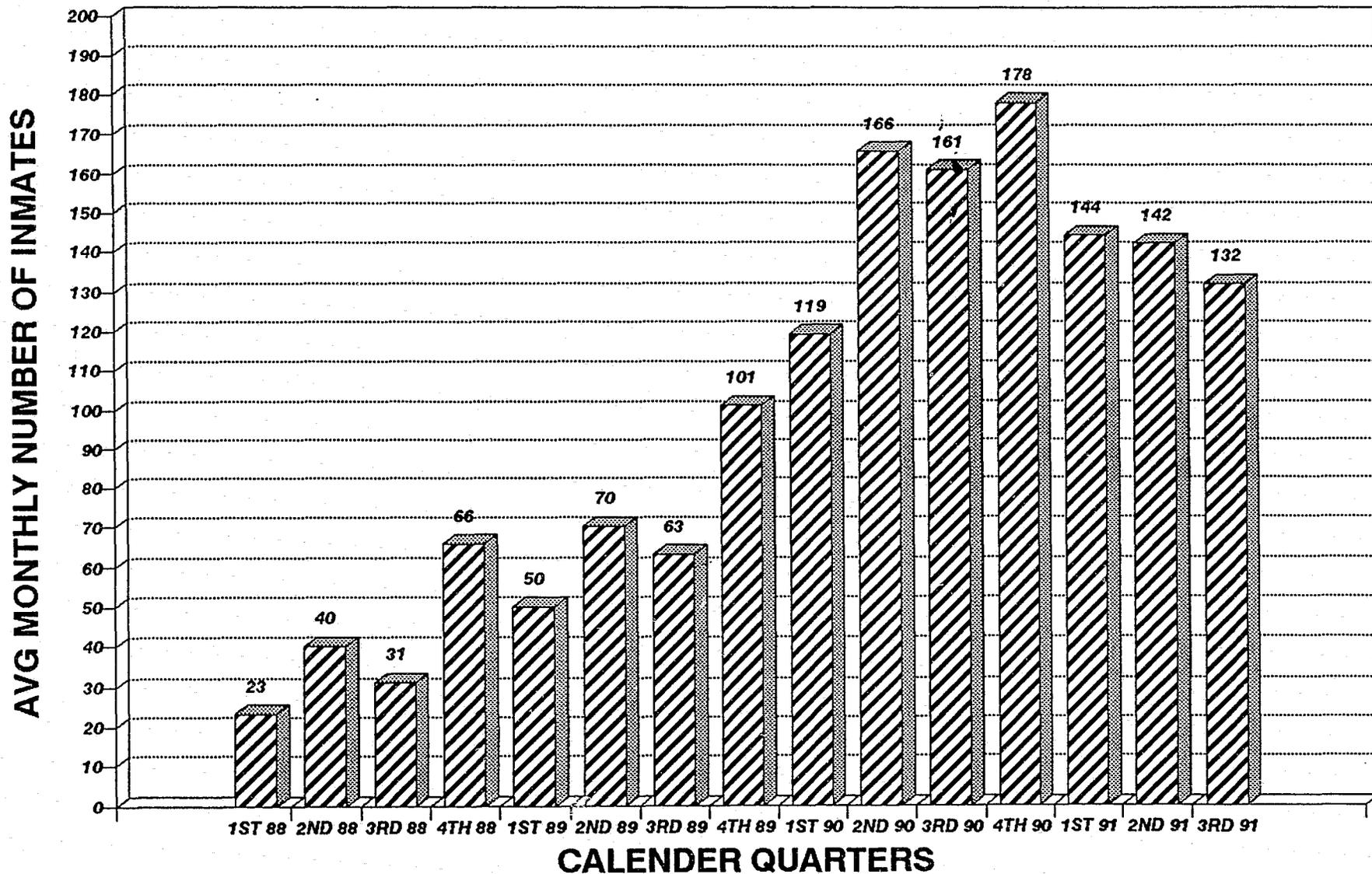
## MONTHLY AVERAGE BY CALENDAR QUARTER

**CHART 1**



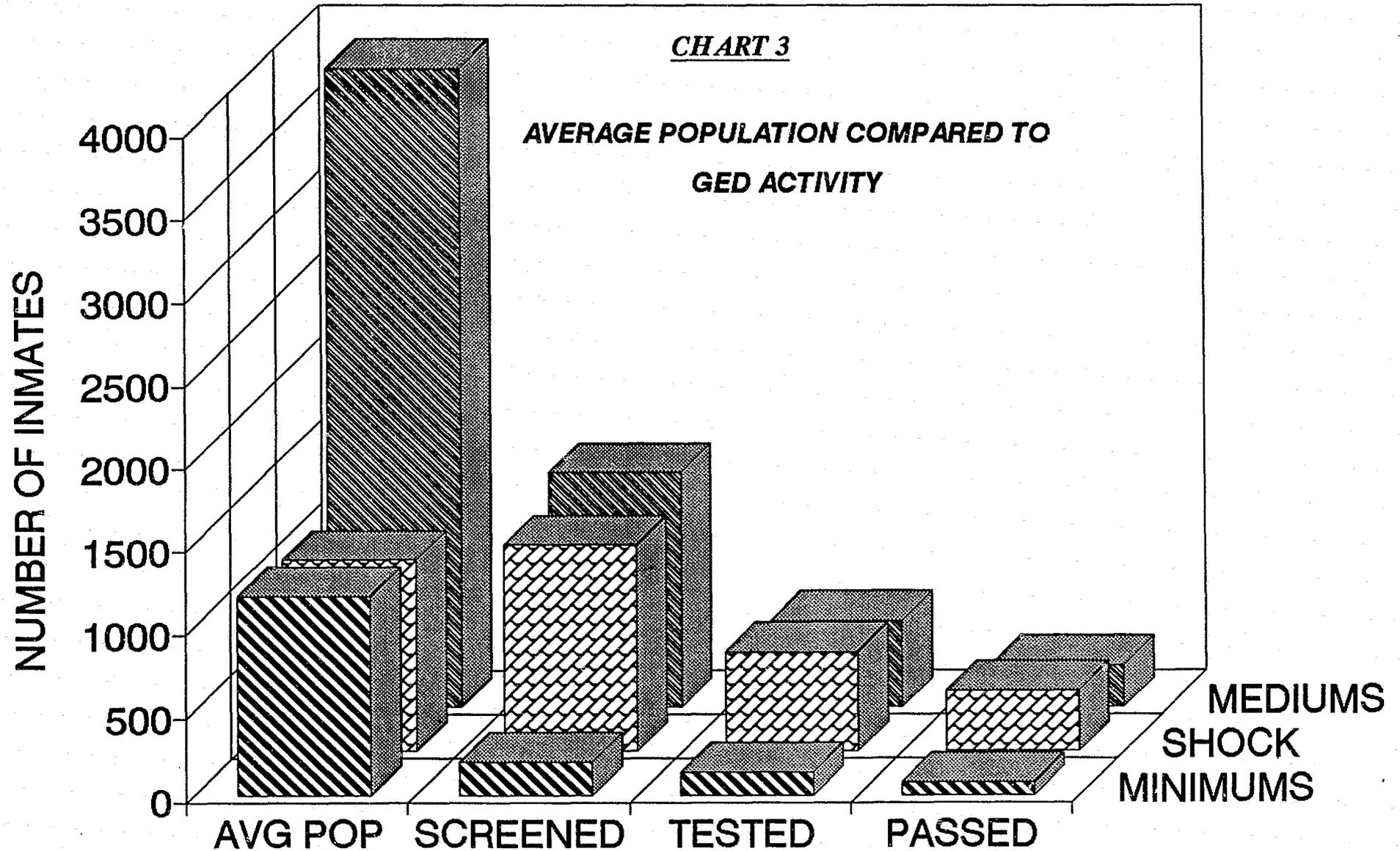
# MONTHLY AVERAGE NUMBER SHOCK RELEASES BY QUARTER

CHART 2

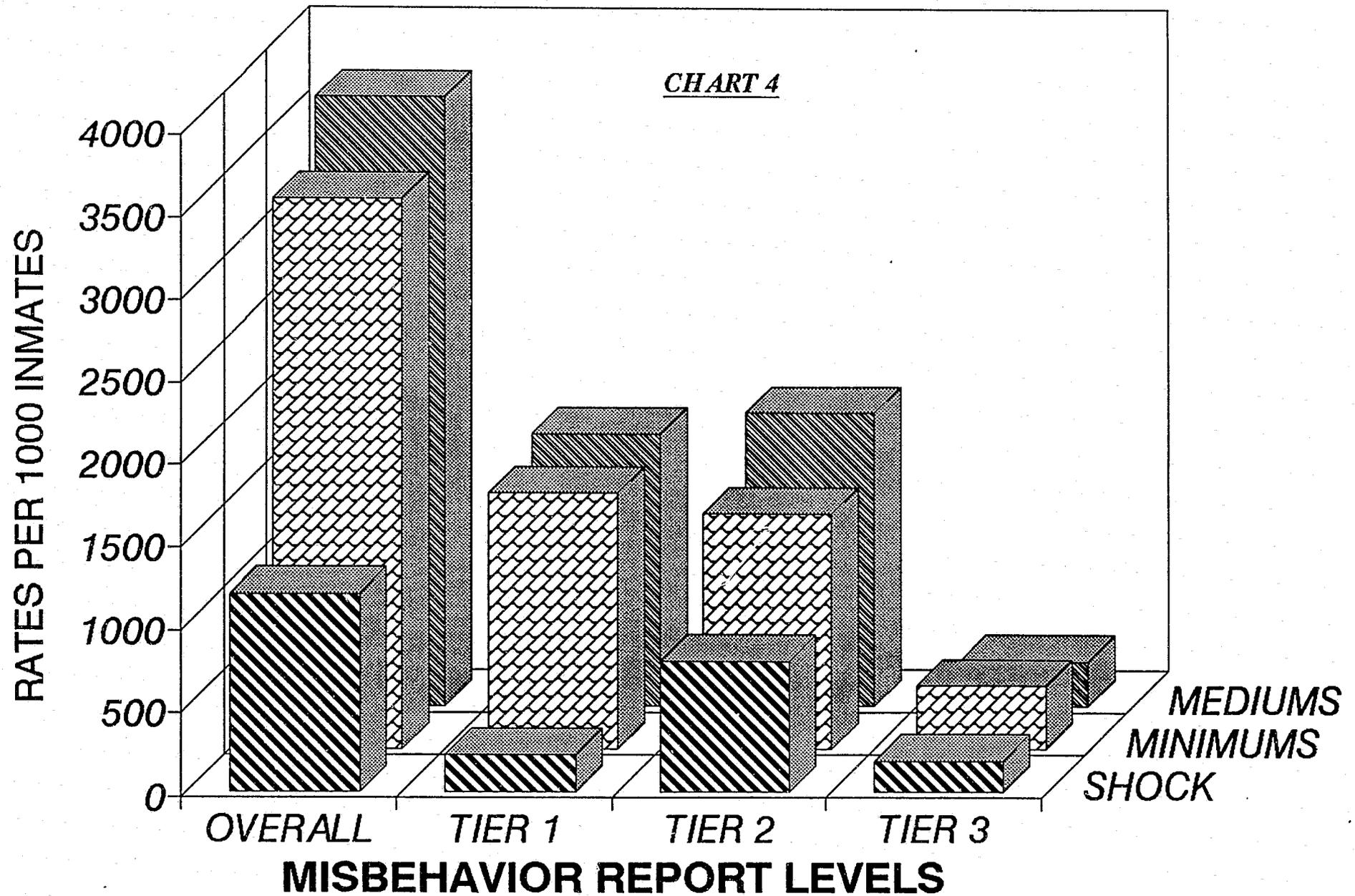


# VOLUME OF GED ACTIVITY FY 1990-1991

## SHOCK VS COMPARISON FACILITIES

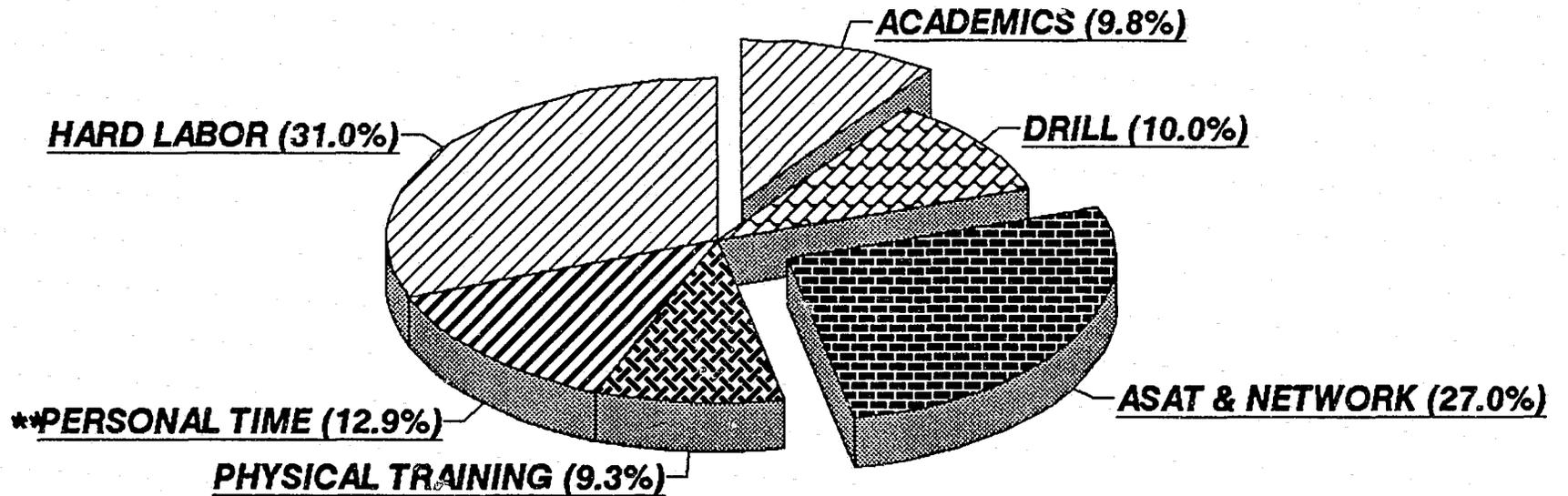


# RATES OF MISBEHAVIORS PER 1,000 INMATES SHOCK VS COMPARISON FACILITIES FY90-91



# ***TIME DEDICATED TO SHOCK PROGRAM COMPONENTS***

***CHART 5***



***\*\* PERSONAL TIME INCLUDES : MEALS ,CHURCH ,VISITS ,HOMEWORK , ETC.***

## Appendix A

## Demographic and Legal Comparisons

CHARACTERISTICS	PRESHOCK N=2,378	CONSIDERED N=3,710	REMOVAL N=1,094	SHOCK GRADUATES N=3,578
Percent 21 Years or Older	80.3%*	68.1%*	55.7%*	64.1%
Percent Female	8.7%	10.5%*	6.1%	6.2%
Percent A-II Felons	5.4%	1.1%*	0.5%*	6.2%
Percent Drug Offenders	58.0%*	58.8%*	56.2%*	70.3%
Percent With Prior Felony Conviction	69.1%*	42.8%*	46.0%	49.0%
Percent 2ND Felony Offenders	53.8%*	30.7%*	35.8%*	42.7%
Percent White Inmates	16.5%	14.8%	12.8%*	16.6%
Percent Black Inmates	39.6%*	52.3%*	53.5%*	47.0%
Percent Hispanic Inmates	43.9%*	32.9%*	33.7%	36.5%
Percent N.Y. City Commitments	70.7%*	70.3%*	75.2%*	65.8%
Percent Medium Security	43.2%*	0.1%*	0.0%*	41.1%
Percent Minimum Security	40.0%*	48.7%*	58.8%	59.9%
Percent Education Thru 9th Grade	38.4%	40.9%	48.2%*	39.3%
Percent With 12th Grade Plus	16.4%	15.9%*	10.2%*	17.9%
Average Aggregate Min. Sent.	22.1MO*	16.3MO*	16.6MO*	21.4MO
Average Aggregate Max. Sent.	63.2MO	44.6MO*	43.6MO*	65.4MO
Average Prior Felony Arrests	3.45*	2.45*	2.49*	2.17
Average Prior Felony Convictions	1.06*	.59*	.60*	.67
Average Age at Reception	23.8YRS*	22.1YRS*	21.3YRS*	21.8YRS
Average Time PE At Recep.	18.2MO	12.1MO*	12.9MO*	17.9MO
Average Educational Level	9.92GR	9.84GR*	9.56GR*	9.95GR
Average Jail Time At Recep.	119 DAYS*	127 DAYS*	111 DAYS	107 DAYS
Average Time In DOCS Custody	20.2MO*	13.3MO*	13.9MO*	7.4MO

\* Indicates a significant difference between Shock and comparison group