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Department Of Correctional Services
Division Of Parole

THE FIFTH ANNUAL
SHOCK LEGISLATIVE REPORT
1993

Mario M. Cuomo
Governor

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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 24,509 legally eligible inmates between July 1987 and September 1992, 11,862 inmate volunteers were sent to one of five Shock Facilities. Of these 11,862 volunteers who were sent to Shock, 6,400

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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. A sample of the variety of community service projects engaged in by inmates in Shock facilities is also presented.

Pertinent findings indicate that 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 6,400 releases, these savings amounted to an estimated \$125 million in operating costs plus \$102 million of avoided capital construction costs. This is a total estimated savings of \$227 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.

Shock Incarceration and Shock Parole supervision continue to be one of New York State's most effective programs for non-violent offenders. The community supervision portion of the program, known as Aftershock, is the most comprehensive program of its kind in the country. Teams of parole officers in New York City supervise newly released graduates intensively and provide services through a community support network which has been established to assist them with employment and vocational training, peer-group counseling and relapse prevention.

The fifth 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 perspective on the program's female graduates.

The report provides detailed information regarding Parole Board activity for Shock Incarceration interviews for the first six months of fiscal year 1992-93. An examination of contacts achieved by parole officers statewide and within the New York City Shock Supervision Unit has been

included to demonstrate the Division's success in maintaining the Shock Supervision objectives. Also included is 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 1991. Parolees from each group were followed for up to three years from release; outcome measures are reported within a section entitled Community Success.

In January of 1990, the Division examined the community experiences of the initial releases of Shock females. At that time, a number of differences were noted between female and male graduates of the program. Since then, a considerable number of Shock females have been released to parole supervision and they now comprise approximately six percent of all Shock graduates.

In an effort to gather more information on the female graduates, representatives from the Division of Parole's Office of Policy Analysis and Information interviewed five female graduates in New York City during the fall of 1992. Interviews were also conducted with 23 parole officers in the Manhattan V Shock supervision unit and with representatives from the four community-based agencies in New York City which provide services to Shock parolees. The interviews were designed to gather descriptive information on the female graduates, to assess their needs and problems and to formulate a perspective on intervention strategies that have been helpful to them. The results of these interviews are included in a section of this report entitled Female Shock Parolees.

CONCLUSION

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

**SHOCK INCARCERATION AND SHOCK PAROLE SUPERVISION
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SHOCK EVALUATION HIGHLIGHTS

LEGISLATIVE BACKGROUND

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 34.

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

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

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

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

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 3,700 individuals - involving two six-month cycles of 1,850 inmates, plus 225 beds at Lakeview dedicated to orientation and screening.

NEW YORK SHOCK INCARCERATION PROGRAM:ITS HISTORY AND STRUCTURE

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

At the start of 1992 there were at least 39 'boot camp' facilities established in 24 states as well as in the Federal Bureau of Prisons. As of January 1, 1992 New York State alone accounted for 23.9% of all inmates incarcerated in Shock programs, and 46.7% of all women housed in Shock programs.

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 the Department of Correctional Services 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.

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.

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 DOCS 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 1,247 staff have been trained. New York State DOCS is nationally recognized for the staff training component.

SCREENING OF LEGALLY ELIGIBLE INMATES

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 all Shock eligible commitments was begun at Lakeview in 1989 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.

Since the start of the screening of Shock eligible inmates in 1987, the approval rates for all eligible inmates has improved. The overall proportion of eligible inmates refusing the program has declined from the start of the program.

In the last four Reports to the Legislature the approval rate for males has increased while the approval rate for females has been erratic but appears to be on the increase since the female component of the program was moved to Lakeview in May 1992.

The overall approval rate for these eligible inmates since the beginning of the Program was 50.0%. The approval rate for women considered for the Program (35.1%) was lower than that for men due to higher rates of refusals and medical disqualifications.

There were 24,509 Shock eligible inmates reviewed for Shock participation between July 13, 1987 and September 30, 1992. Of this group, a total of 11,862 inmates were sent to the Program.

Since Lakeview began screening and orienting all Shock eligible inmates on September 11, 1989, they have processed 14,989 inmates including 225 women. The age distribution of inmates processed at Lakeview shows that 68.3% were between 16 and 25; 26.8% were between 26 and 29 years old; and 4.9% were between 30 and 34 years old.

The approval rate for 16-25 year olds sent to Lakeview was 66.1%, while the approval rate for the 26-29 year olds was lower at 45.6%. This lower approval rate for this group of inmates was due to higher proportions of refusals, as well as disapprovals for reasons such as medical, psychiatric and extensive criminal histories, and judge denials. Since the elimination of the additional eligibility criteria the approval rate for these inmates has improved. The approval rate for the 30-34 year old inmates was 61.5%. The overall approval rate for inmates screened at Lakeview has increased since they began screening eligible inmates in September 1989.

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 "reevaluation". Now the Superintendents have the ability to allow a number of inmates to continue in Shock under a limited set of conditions and circumstances.

Reevaluation 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 be reintegrated.

All reevaluation takes place at Lakeview SICF regardless of the inmates's initial Shock facility assignment. Reevaluation consists of inmates voluntarily being sent back to what can best be described as a refresher training or a modified "zero weeks" status for 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 "reevaluation" 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 these inmates will have a successful return to the community upon their release to parole supervision.

As of September 30, 1992, 656 inmates had been sent to be reevaluated. As of that date, 91 of these inmates were active in the program, 345 were removed from Shock, while 220 had graduated and

were released to parole supervision. Thus, of the 565 inmates who "completed" reevaluation 61.1% failed and were returned to general confinement facilities while 38.9% finished the reevaluation process and went on to graduate from the program.

As of September 30, 1992, there were 11,862 inmates sent to Shock facilities. As of that date, there were 5,764 graduates (including 368 females) who were released to Parole from Shock facilities, while an additional 416 Shock graduates were released to Parole from DOCS work release facilities. There were also 220 reevaluation inmates who graduated from platoons at Lakeview and Summit. This adds to a total of 6,400 Shock graduates, including 398 women, who were released to parole supervision since the program began. Of the 11,862 inmates who entered Shock, a total of 3,825 inmates were removed from the program.

During the period between July 1989 and April 1992, Shock participants between 26-29 years old were required to spend one year incarcerated prior to their release to parole supervision. These "older" graduates, who owed time, were being sent to work release facilities prior to their parole. During that period there were 483 graduates sent to work release facilities. Of these, 67 were removed as a result of their failure to complete work release and 416 were released to parole supervision.

The 1,570 Shock inmates under custody as of September 30, 1992 were distributed by facility as follows: 278 at Monterey, 183 at Summit, 278 at Moriah, 260 at Butler and 571 at Lakeview (including 112 female inmates).

Through September 30, 1992, the overall dropout rate from the program was 37.4%. On average Shock removals spent 56.6 days in the program before leaving. In comparison to last year's data, this year's dropout rate is higher and the inmates leaving the program are staying longer in Shock before being removed.

Through September 30, 1992, the primary reason for inmates leaving Shock was for voluntary reasons (31.1%) while disciplinary reasons were cited for 30.8% of the removals. In contrast to all of the other facilities, the majority of the males removed from Lakeview were for unsatisfactory program adjustment and for reevaluation. For Lakeview females most inmates were removed for disciplinary and medical reasons.

Since Shock began the average monthly number of eligible inmates has grown from 77 in the third quarter of 1987 to 552 in the third quarter of 1992. Additionally, the monthly average number of inmates "released" from Shock has increased from 23 in the first quarter of 1988 to 154 in the third quarter of 1992.

FISCAL ANALYSIS OF SHOCK INCARCERATION

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 325 days or approximately 10.7 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 \$2.02 million, which it otherwise would have had to expend for the care and custody of these inmates. Thus, for the first 6,400 releases from Shock, as of September 30, 1992, there was an estimated savings in program costs of \$125.44 million.

For the first 6,400 Shock releases, the Department saved an estimated 1,540 beds which translates into a cost avoidance of \$101.96 million for capital construction.

For the first 6,400 releases from Shock, as of September 30, 1992, the Department saved an estimated \$227.40 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 or Minimum Security Facilities, because all inmates in Shock are fully programmed and additional staff are needed to provide the level of supervision necessary to run a rigorous program.

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.

DESCRIPTIVE INFORMATION ON SHOCK INMATES

Due to restrictions on the inmate eligibility for Shock based on age, time to parole eligibility, and crime type, the typical Shock inmate differs from the typical inmate under custody at 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, yet reported themselves less often as drug users. Shock inmates were less often convicted as second felony offenders and had fewer prior felony arrests and convictions yet they had shorter minimum sentences (and shorter times to Parole Eligibility) and served a shorter number of jail days prior to their DOCS incarceration. Fewer Shock inmates were sentenced from New York City, while a smaller proportion of them were black and a larger proportion were hispanic. Shock inmates were more often classified as Minimum security and a lower proportion had completed 12th grade or higher.

Among the females Shock women were younger, had higher TABE math and reading scores yet were more often considered to have alcoholic MAST scores, yet were more often convicted of drug crimes, and report more drug usage.

An examination of the snap-shots of the characteristics of male and female Shock inmates presented in the Legislative Reports shows the following. Male and female participants have been getting older, they have been getting longer sentences, they have been better educated, and they are being committed less often from New York City. For men the ethnic distribution has become more hispanic and less black while for women the opposite was true. The males have also been scoring higher on the MAST.

Due to the restrictive eligibility criteria which allows only young, non-violent offenders into the program, the majority of inmates in the program (71.9% of the men and 93.4% of the women) have been convicted of drug offenses. A high proportion (i.e., 67.4% of the men and 60.7% of the women) also reported that they had used drugs prior to their commitment to DOCS custody.

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 over time. The men were younger, were less often black and more often white or Hispanic, were less often committed from New York City, and were committed less frequently for drug crimes yet reported using drugs more frequently. The men were less frequently Second Felony Offenders, with shorter sentences, more prior felony arrests, and less jail time. The men had higher initial math and reading achievement scores. Lastly, the men were more often classified alcoholics on the MAST.

EDUCATIONAL ACHIEVEMENT IN SHOCK INCARCERATION

This section analyzes both the Math and Reading Test of Adult Basic Education (TABE) scores for 1,698 Shock graduates between April 1, 1991 and March 31, 1992 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 almost 1.0 grade level. The overall change in reading scores was an increase of 0.4 of one grade level. Within six months, 52.9% of the Shock graduates had increased their math scores by one grade or more. During this period 29.2% of the inmates increased their math scores by two or more grades while 8.1% increased their math scores by four or more grades.

Within six months 43.2% of the Shock graduates increased their reading scores by one grade or more. During this period 22.1% of the inmates increased their reading scores by two or more grades while 4.0% increased their reading scores by four or more grades.

A summary of the TABE information that has been presented in this and the preceding three 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. Over time both the entry level math and english scores have been increasing while the size of the improvement in the graduating inmates scores has been declining.

As with the last three 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 1991-1992 the number of GED tests given to inmates at the Shock facilities was five times greater than the number provided at the Minimum security facilities and more than double the number given at Medium security facilities.

Even though the size of the average inmate population at the Shock facilities was slightly larger than that of the Minimum security facilities, the Shock facilities screened 8.9 times as many inmates for GED testing, and tested 10.5 times as many inmates. Over 12.7 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, the Shock facilities screened 1.1 times as many inmates. In fact the Shock facilities tested 1.7 times more inmates for the GED, and 1.7 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 1991-1992 (60.9%) was higher than that of the five Minimum security (50.0%) and six Medium security facilities (60.2%).

A summary of GED testing data that has been presented in this and in the four 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 Legislative Report, the passing rate for Shock graduates has also been increasing (from 40.0% to 60.9%).

DISCIPLINARY PROCESS AT SHOCK INCARCERATION

During FY 1991-1992 almost 28% of the inmates in the Shock program were involved in misbehaviors and typically they were only involved in 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 the Tier I and Tier II levels were lower at Shock facilities than at the comparison Medium and Minimum security facilities, while the rate of misbehaviors at the Tier III level was higher at Shock than at the Medium Security facilities but lower than the rate reported by the Minimum security facilities.

The Minimum security facilities used in this analysis reported the highest overall rates of misbehavior at all three Tier levels.

Of the inmates involved in Tier III misbehaviors at the Shock facilities (the most serious type of misbehavior), 91.3% were removed from the program prior to their graduation.

UNUSUAL INCIDENTS (UI's) AT SHOCK FACILITIES

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 lower than the rate of UI's at both the Minimum and Medium 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 1991-1992 only 3.4% of the UI's reported from Shock facilities were listed as contraband incidents. In contrast contraband incidents comprised 9.9% of the Minimum/Camp facilities' UI's and 24.3% of the Medium security facilities' UI's.

Staff Assaults: In FY 1991-1992 32.8% of the UI's reported from Shock facilities were listed as staff assault incidents. In contrast staff assaults constituted only 8.5% of the UI's reported from the

Minimum security facilities and 5.2% of the reported UI's at Medium security facilities. Injuries were reported in 52.6% of the Shock incidents, 33.3% of the Minimum Security incidents, and 36.8% of the Medium security incidents.

Over two-thirds (68.4%) of these staff assault incidents at Shock facilities occurred within the first two weeks of when an inmate starts the program (i.e., zero-weeks - the initial period of Shock indoctrination). An additional 15.8% occurred between the third and fourth weeks of an inmate arriving at Shock. Thus, 84.2% 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 cope with the program rigor may be susceptible to acting out. Most importantly, it should be remembered that all 19 inmates involved as assailants in these incidents were removed from Shock as a result of their actions, thus reinforcing the message that the assaulting of staff (despite the level of severity) will not be tolerated.

Inmate Assaults: In FY 1991-1992 none of the reported UI's at Shock facilities were for assaults on inmates. In the Minimum security facilities 12.7% of the reported UI's were for assaults on inmates and injuries were reported as a result of all of these altercations. In the Medium security facilities 15.2% of the reported UI's were for assaults on inmates and injuries occurred in all of those incidents.

Since the 1991 Legislative Report the overall UI rate for Shock facilities has declined from 74.4 per 1,000 inmates to 48.5 per 1,000 inmates. During that same period of time the UI rate per 1,000 inmates occurring at the Minimum Security facilities grew from 53.1 in the 1991 Report to 62.7 in this Report. Among the Medium security facilities the rate of UI's per 1,000 inmates remained constant during this period at 57.8.

COMMUNITY SERVICE PROJECTS

One of the least publicized components of the Shock Incarceration program involves the community service work that is performed by inmates. Each year, supervised crews of Shock inmates perform thousands of hours of community service as part of the daily routine of the facilities. As a result the Shock program is providing cash-strapped municipalities, churches, and community groups with the manual labor needed to complete a variety of projects which otherwise would not get done. Based on information provided by the facilities, it is estimated that in calendar year 1992 inmates from Shock facilities performed approximately 800,000 hours of community service. If the municipalities which were helped had hired laborers at a wage rate of \$5.00 per hour to accomplish these tasks it would have cost approximately \$4 million to complete these projects.

The opportunity for Shock inmates to perform these much needed community services helps the program to meet a number of its objectives by fulfilling the hard physical labor component of the program and providing inmates with positive and altruistic community experiences. The positive behavior exhibited by inmates providing these community services is supportive of one of the Twelve Steps To Recovery used by Shock inmates, that is, to make direct amends for past destructive behavior wherever possible. Additionally, the programs involvement in community affairs also helps build strong local support for Shock and its accomplishments.

SHOCK PAROLE IN NEW YORK STATE

The focus of Shock supervision is to provide a continuum of services from the institution throughout the first six months of the graduates' supervision experience.

Shock parolees are young offenders with many needs. They lack education, employment and vocational skills. 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 six-month 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.

PAROLE BOARD ACTIVITY

The Parole Board continues to exercise its discretion in granting release to a significant number of Shock participants, premised on their confidence in the high quality of supervision provided to Shock graduates. This continues to benefit the program.

Between April 1 and September 30, 1992, the total number of interviews at which the Board granted release to Shock inmates was 1,008; the release rate was 98%.

SHOCK PAROLE IN THE COMMUNITY

An examination of aggregate parole officer contacts for the first six months of fiscal year 1992-93 indicates that Shock Parole staff have continued to meet or exceed the supervision objectives established for the program in virtually every category. Home visit compliance was 4% over the minimum expectation; the number of positive home visits achieved was 39% greater than expected.

The number of employment and program verifications conducted were 26% and 225% respectively over the minimum expectation and the number of case conferences conducted was 56% more than expected.

The Division has contracted for specialized vocational training and employment placement 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 a Community Network program through the Episcopal Mission Society.

During this reporting period, VERA Institute's Neighborhood Work Project experienced many difficulties securing enough work to keep the increasing number of Shock parolees enrolled. Due to spending cutbacks in the agencies from which NWP work sites were usually obtained, the number of available work slots for Shock parolees has diminished.

Between April and September of 1992, VERA enrolled 497 Shock parolees for vocational training and employment services, and reported a total of 377 placement outcomes in which Shock parolees either secured employment, or were placed in paid on-the-job training or in an education program.

The Fellowship Center provided 929 group meetings and 1,820 individual sessions to assist Shock parolees between April and September 1992.

The Episcopal Mission Society provided Community Network counseling services to an average of 195 Shock Incarceration graduates each month. Their staff conducted a total of 105 group meetings between April and September 1992.

Statewide urinalysis test results for Shock parolees indicated a 91% rate of abstinence from drug usage.

COMMUNITY SUCCESS

A group of Shock parolees and three different 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 in the community include a comparison of employment rates and program enrollment rates. Recidivism measures include return rates at 12, 24 and 36 months; an examination of time to delinquent behavior for those who were returned to prison during the 36-month follow-up is also included.

Graduates under Shock supervision have higher employment and program enrollment rates than comparison group parolees who are within six months of release. Fifty-eight percent of the Shock parolees were employed, compared to 47% of the Pre-Shock group, 32% of the Considered group and

29% of the Removals. Although overall employment rates were down in 1992 when compared to 1991, the rate for the Shock group still exceeded that of the comparison groups. In 1991, 75% of the Shock study group were employed, compared to 48% of the Pre-Shock group 35% of the Considered and 34% of the Removals.

Eighty-one percent of the Shock graduates were enrolled in a program designed to assist them in their reintegration effort, compared to 52% of the Pre-Shock group, 55% of the Considered group and 55% of the Removals. Program enrollment rates moved slightly upward in 1992 compared to 1991. The Shock group rate increased from 79% in 1991 to 81% in 1992, the Pre-Shock rate from 51% to 52%, the Considered group rate from 42% to 55% and the Removal rate from 50% to 55%.

Higher relative employment rates and greater levels of program participation among the Shock population have been evident within each of the last two years and can be attributed to the services they receive from the Division 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 graduates are more likely than comparison group parolees to be successful on parole supervision after release, despite having spent considerably less time in state prison. Shock success rates exceeded those of the comparison groups after 12, 24 and 36 months of follow-up.

At 12 months, 89% percent of the Shock group remained in the community, compared to 85% of the Pre-Shock, 85% of the Considered and 82% of the Removal group one year after their release. These results were statistically significant. In last year's report, 86% of the Shock group followed for one year remained in the community, compared to 81% of the Pre-Shock, 80% of the Considered, and 78% of the Removals. These rates have therefore, been consistent over this two-year period.

After 24 months of follow-up, the Shock success rate (67%) was nine percent greater than that of the Removals, six percent higher than the Considered group and four percent higher than the Pre-Shock offenders after equal periods of time in the community. These results were also statistically significant and consistent with 1991 findings reported in the 1992 Legislative Report which indicated that 60% of the Shock group followed for 24 months were successful compared to 56% of the Pre-Shock group, 53% of the Considered and 49% of the Removals.

Although not statistically significant, the success rate for the Shock offenders after 36 months was higher than that of any of the comparison groups.

Shock parolees were the least likely of the groups to have violated within the first six months of release, indicating that 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 12 months, (because they are less likely than the other groups to have been discharged from supervision due to maximum expiration of their sentence) a factor which would seem to favor the comparison group offenders in the long-term follow-ups. Despite this difference, the Shock group's return rate is lower than that of the comparison group offenders in the 24-month and the 36-month follow-up periods.

FEMALE SHOCK PAROLEES

Evidence suggests that female Shock graduates face a multitude of problems upon release, including child custody, housing, finances, employment, developing parenting and coping skills and obtaining adequate health care.

More than half of the parole officers who were interviewed indicated that female graduates experience problems in regaining custody of their children after release.

Four out of the five female graduates who were interviewed indicated that they had been the victims of physical or sexual abuse during their lifetime.

Parole officers have indicated that HIV infection, tuberculosis, sexually transmitted diseases and the need for contraceptives are the most prominent health care issues facing female graduates. However, most do not have the resources necessary to obtain proper medical care.

A one-year-out study indicates that female graduates are outperforming comparison-group offenders in the community. Approximately 93% of the Shock females remained on parole supervision compared to 88% of Pre-Shock females, 90% of Considered for Shock females and 88% of females removed from Shock.

Compared to the success rate of all Shock graduates at one year, the female graduates' performance is slightly better than that of the combined male and female Shock offenders. The success rate for the Shock females after one year was 93% compared to 89% for all Shock graduates.

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 of Correctional Services (DOCS) 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. In December 1988, a portion of the Summit Shock Incarceration Facility was set aside to house the Department's program component for female inmates. (The facility designation for Shock women was changed to Lakeview in May 1992). 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. To accommodate program growth as a result of the expansion of the eligibility criteria in April 1992, the capacities of Moriah, Butler, and Monterey were each increased by 50 beds in July 1992.

In 1989 the Lakeview Shock Incarceration Correctional Facility (SICF) was opened. Lakeview serves as a 225 bed orientation and screening facility for all Shock eligible inmates while also housing 540 male Shock inmates and 160 female Shock inmates. 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 3,700 individuals - two six-month cycles of 1,850 inmates - plus 225 beds dedicated to orientation and screening.

Eligibility Criteria

The substantial growth of the Shock program in New York has been the result of changes that 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. In July 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 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. In April 1992 the Legislature once again expanded Shock eligibility by eliminating the additional requirements for older inmates and increasing the upper age limit.

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 35 years, who will become eligible for release on parole within three years and who were between the ages of 16 and 35 years at the time of commission of the crime.

Additionally, no person convicted of any of the following crimes shall be deemed eligible to participate in this program:

- a) a Violent Felony Offense as defined in Article 70 of the Penal Law;*
- b) an A-1 felony offense;*
- c) Manslaughter in the second degree or Criminally Negligent Homicide as defined in Article 125 of the Penal Law;*
- d) Rape in the second degree, Rape in the third degree, Sodomy in the third degree, Attempted Sexual Abuse in the first degree, Attempted Rape in the second degree as*

defined in Articles 110 and 130 of the Penal Law;

e) Any Escape or Absconding Offense as defined in Article 205 of the Penal Law.

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.

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 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 being screened for these tests of suitability, these eligible 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).

Since Shock inmates are to be released prior to serving their judicially mandated minimum sentences, efforts have been made by both the Legislature and 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.

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 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.

At the start of 1992 there were at least 39 'boot camp' facilities established in 24 state correctional systems as well as in the Federal Bureau of Prisons. As of January 1, 1992 there were 5,505 inmates housed in these facilities (23.9% in New York State alone). Of the 25 jurisdictions with Boot Camps only seven housed female participants. As of January 1, 1992 New York State accounted for 46.7% of the 197 women incarcerated in Boot Camps nationally. Thus, almost half of the state correctional jurisdictions now have boot camp prisons for adult offenders. (George M. and Camille Camp, *The Corrections Yearbook: 1992*, Criminal Justice Institute, South Salem, New York, p. 60). 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.

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).

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 commonalty 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 being modified to contain treatment for substance abuse offenders. (Flowers 1991).

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:

(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.

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 and have been codified into a set of community standards which are presented in the appendix of this

Report.

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 daily 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).

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 inmate participants 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.

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. In fact since the start of the program at least two-thirds of the males and almost ninety percent of the female

participants were convicted of drug offenses. (see Table 17). According to the National Institute of Justice (NIJ) 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 was 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.)

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)

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 "Aftershock" 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 in September 1987, 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 but it also has introduced some of the most innovative techniques for treatment, management, training and community 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 DOCS 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 themselves and others. Group unity and teamwork are also emphasized.

The course content includes : leadership skills, training in teaching decision-making skills and the alcohol and substance abuse treatment curriculum, drill and ceremony, physical training, military bearing and control theory. The emphasis in training for all staff is on teaching inmates all aspects of the program. An interdisciplinary approach to working with inmates is also emphasized. The training schedule is based on a modified version of the Shock day for inmate participants, beginning with physical training each morning and concluding with community meetings in the evening. Each day includes drill and ceremony and is designed to cover some aspect of the six-month treatment curriculum. As with the full inmate program all of the content of the staff training is taught using accelerated learning strategies.

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 1,247 staff have been trained during eleven sessions for an average of 113 persons per training session.

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.

After the first year of operation, the Shock Program in New York was highlighted in a 1989 report designed to provide an overview of Shock programs nationwide. This report was funded by NIJ and was conducted by Dale Parent of ABT Associates. As a result of our efforts to create a treatment oriented program, NIJ selected 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.

For the past few years the Department has been in contact with a number of jurisdictions who wish to attend our training. Now, each time New York presents 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 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 other 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.

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 jurisdictions where Shock inmates are in the program as an alternative to being given probation.)

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

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

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.

SCREENING OF LEGALLY ELIGIBLE INMATES

Overview Of The Screening Process

From the beginning of the Shock program in New York in 1987, 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 24,509 Shock eligible inmates who were reviewed for Shock participation between July 13, 1987 and September 30, 1992. 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.

Table 1 examines the cumulative approval rate for all Shock eligible inmates since the start of the screening for program participants. This examination presents information separately for male and female eligible inmates. It shows an overall cumulative approval rate between July 1987 and September 1992 of 50.0%. Table 2 examines each of the reporting periods which have been used in the Legislative Report series to reveal that the overall approval rate has been steadily increasing from 44.0% to 54.1% and that the proportion of inmates refusing program participation has been declining from 16.1% to 8.3%.

Table 1 also shows that the cumulative approval rate for female Shock eligibles is 35.1% through September 30, 1992. Table 3 examines each of the reporting periods used in the Legislative Report series and presents one additional column with data for the four months that Lakeview has been processing Shock eligible females. (It should be noted that this column is a sub-set of the October 1, 1991 to September 30, 1992 column presented in this Table.)

An examination of annual reporting periods in Table 3 indicates that the approval rate for women has been erratic during the period in which female screening and orientation was being conducted at Summit SICF. The overall trend shows that in the reporting period which included the transfer of the female screening and orientation process to Lakeview SICF in May 1992 the approval rate has improved and the proportion of the women refusing program participation has declined. Despite this improvement it should be noted that the proportion of women being disqualified for medical/psychiatric reasons has been increasing prior to the transfer of the program to Lakeview. The last column on Table 3, which examines the Lakeview experience of processing female eligible inmates, shows great promise as the approval rate for this four month period has grown with the proportion of inmate refusals and medical and psychiatric disqualifications diminishing.

Approval Rates For Lakeview

Lakeview began screening and orienting all of the male Shock eligible inmates on September 11, 1989 and all of the Shock eligible females on May 18, 1992. Through September 30, 1992, they have processed 14,898 inmates. (see Table 4) A distribution of the age groups of these inmates shows that 68.3% of the inmates were between the ages of 16 and 25, 26.8% were between 26 and 29 years old, while the remaining 4.9% were between 30 and 34 years old.

The approval rate for 16-25 year old inmates sent to Lakeview was 66.1%, while the approval rate for the 26-29 year old inmates was 45.6%, and the approval rate for the 30-34 year olds was 61.5%

Table 5 indicates that between September 1989 and September 1992 the overall approval rate increased (from 59.2% to 62.2%). Despite this growth in the proportion of inmates being approved for Shock, it should be noted that the proportion of inmates being disqualified because of their criminal histories has also been growing (from 8.8% to 17.6%).

When Lakeview began its role as the centralized Shock screening and orientation facility, the Legislative requirements established two distinct groups of eligible inmates. The first group included younger inmates whose conditions for eligibility and suitability had not changed from the start our screening in July 1987. The approval rates for this group of younger inmates is presented in Table 6. The Table documents a significant growth in the proportion of inmates disqualified due to their extensive criminal histories. It is not clear if this increase is the result of a more criminally sophisticated group of inmate admissions or if there has been a change in the way inmates are being screened for program participation.

The second group of older inmates had to meet some additional eligibility requirements before being admitted to Shock and had to complete a year of incarceration prior to being released to parole supervision. As shown in Table 7, these additional restrictions apparently had a chilling effect on the ability of the program to attract these older inmates whose approval rates were at least 25% lower than those of the younger inmates. In the October 1990-September 1991 reporting period the approval rate for the 16-25 year old inmates was 69.1% as compared to only 43.3% for the 26-29 year olds. In addition to higher rates of refusal the older inmates were frequently disqualified due to medical and psychiatric reasons as well as for their extensive criminal histories.

In April 1992, the Legislature removed these additional restrictions on the older eligible inmates and expanded the age requirement for the program to include inmates up through age 34. As seen in Table 7 in the October 1991-September 1992 period, (which includes the five month period when this new legislation went into effect) the impact of this action was an increase in the acceptance rate for the older inmates to the point where there was only a 7.6% difference between the acceptance rates for the 16-25 year old (64.6%) and the 26-39 year old inmates (57.0%) in the October 1991 to September 30, 1992 reporting period. A separate column in Table 7 shows the extent of the improvement in the acceptance rate for these "older" Shock eligible inmates (68.5%) after the Legislative change on the April 14, 1992 took place.

Reevaluation Program

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 "reevaluation". 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.

Reevaluation 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 Committee at the facility can recommend the inmate be reevaluated. With the approval of the Superintendent and the Director of Shock Development that inmate can be sent to be reevaluated. 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 be placed in the reevaluation unit. Inmates charged with certain disciplinary infractions such as assaulting staff or inmates will not be considered for reevaluation. The reevaluation unit for all Shock inmates is located at Lakeview Shock Incarceration Facility regardless of their initial Shock facility assignment.

Reevaluation 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 reevaluation period. If they do not perform satisfactorily, they either continue in the reevaluation status for an additional two weeks or they are removed from Shock altogether. Thus, inmates who have gone through the reevaluation process have spent slightly more time in a Shock facility than the typical inmate who does not go through this reevaluation. By keeping these marginal inmates longer and reviewing program concepts and expectations in more detail we hope to ensure that reevaluated inmates 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 9 which tracks inmates sent to work release and to reevaluation. As of September 30, 1992, there were 11,862 inmates sent to Shock facilities. As of that date, there were 5,764 graduates (including 368 females) who were released to parole supervision from Shock facilities, while an additional 416 Shock graduates were released to parole from DOCS work release facilities. There were also 220 reevaluated inmates who graduated from platoons at Lakeview and Summit. This adds to a total of 6,400 Shock graduates who were released to parole supervision since the program began, 398 of whom were women.

Of the 11,862 inmates who entered Shock, a total of 3,825 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 reevaluation. 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 reevaluation and work release numbers are presented separately in Table 9.

As of September 30, 1992, 656 inmates had been sent to reevaluation. As of that date, 91 inmates were active in the program, 345 were removed from Shock, while

220 had graduated and were released to parole supervision. Thus, of the 565 inmates who "completed" the reevaluation process 61.1% failed while 38.9% finished the reevaluation process and went on to graduate from the program.

During the period of July 1989 through April 1992, Shock participants between 26-29 years old were required to spend one year incarcerated prior to their release to parole supervision. These older graduates, who owed time, were sent to work release facilities prior to their parole. Overall, there were 483 graduates sent to work release facilities. Of those, 67 were removed and 416 were released to parole supervision. Thus of the 483 Shock graduates sent to work release 86.1% were eventually released to parole supervision while 13.9% were removed from work release and returned to general confinement. (see Table 9)

The 1,570 Shock inmates under custody as of September 30, 1992 were distributed by facility as follows: 278 at Monterey, 183 at Summit, 278 at Moriah, 260 at Butler and 571 at Lakeview (including 112 female inmates). (see Table 9)

Shock Program Removals

Through September 30, 1992 the overall dropout rate from the program was 37.4%. This rate is calculated from information presented in Table 9. The rate is calculated by dividing the number of removals from the program (n=3,825) by the sum of removals and program graduates (n=10,225). The number of active inmates in the program is not used in this calculation.

According to Table 10, on average Shock removals spend 56.6 days in the program before leaving. In comparison to last year's data, this year's dropout rate is higher because the totals now include the information on the reevaluated inmates who were removed from the Shock program. This data was not included in last year's Report. The number of days spent in the program by the other removals were approximately the same between this year and last.

Table 11 represents the proportion of inmates who were removed by the reason for removal. Through September 30, 1992, the most inmate removals left for voluntary reasons (31.1%), while disciplinary reasons were cited for 30.8% of the removals. This pattern for having voluntary and disciplinary removals accounting for the majority of inmates leaving Shock was true for all Shock facilities with the exception of Lakeview. For Lakeview Males most inmates were removed for recycling and for unsatisfactory program adjustment reasons. For Lakeview Females most inmates were removed for disciplinary and medical reasons. (see Table 11) A graphic representation of the reasons for program removal are presented in Chart 1.

In comparison to last year, the proportion of inmates removed for disciplinary reasons, voluntary reasons, unsatisfactory program adjustment, and "other" reasons declined while the proportions of reevaluation and medical removals increased. The decline among disciplinary and unsatisfactory adjustment removals is most likely attributable to the effects of the reevaluation process as the facilities have been encouraged to use this program for 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 552 in the third quarter of 1992. Additionally, the monthly average number of inmates "released" from Shock has increased from 23 in the first quarter of 1988 to 154 in the third quarter of 1992. Shock eligible admissions peaked in the first quarter of 1990 and again in second quarter of 1992. These peaks are directly attributable to significant expansion in the Shock eligibility criteria coupled with a major expansion in the Department's total capacity. (see Charts 2 and 3)

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 1991-1992 Fiscal Year. During this period all five Shock facilities were in full operation.

A continuing concern with this data is our inability to disaggregate the Shock program expenditures for three of the focus facilities. Even though Lakeview and Butler were operating non-Shock components at their facilities, the financial data was not disaggregated to reflect these non-Shock operations. For Summit it was not possible to itemize the operating expenses for the female reception portion of the facility that was operating there during this fiscal period.

The data for Lakeview SICF also included the expenditures for Lakeview Reception and Lakeview Annex. To determine the costs of running the Shock portion of the program on a per diem basis per inmate it was necessary to use the total Lakeview expenditure figures and the number of inmates housed in all three sections of the facility. During this fiscal period, when a portion of Summit was designated as the female Shock reception facility, the budget figures for that facility were also grouped together. As with Lakeview, to determine the costs of running Summit on a per diem basis per inmate, it was necessary to use the total Summit expenditure figures and the number of inmates housed in both sections of the facility.

DOCS Budget Analysts were unable to disaggregate the expenditures of the Butler CASAT and Butler Shock units. To remove these non-Shock costs from the Butler total, average costing data from similar CASAT facilities located at Hale Creek and Chateaugay was computed and then subtracted from Butler's combined budget. The resultant expenditure figures for Butler Shock are considered a good approximation of their actual costs. The costs per diem per inmate for Butler are lower than for the other Shock facilities because Butler CASAT and Butler Shock do share some administrative costs. (See Table 12).

As in previous Legislative Reports, the costs of running the five Shock facilities were compared to the costs of running six Medium Security facilities (Altona, Wallkill, 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, while the other four minimum security facilities are camps.

The relevant population figures used in this section 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 provided a national overview of Shock programs examined 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).

The Corrections Yearbook for 1992 reports that the average daily costs reported by 20 jurisdictions operating Shock programs in January 1992 ranged from \$12.37 in Nevada to \$71.97 in Tennessee. The average cost for these jurisdictions was \$41.98. The range of these costs may be due to a number of factors including the comprehensiveness of the program and whether the programs are conducted in stand alone facilities or as part of a larger prison site.

New York is one of the few states that has most of its Shock facilities considered to be "stand alone" facilities. Many other states have Shock programs operating as part of an existing prison. 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.

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.)*

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 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 the Department has worked with staff from the Office of the State Comptroller (OSC) and has consulted with nationally recognized Boot Camp scholars such as Doris Mackenzie and Dale Parent 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 1988 had to serve out their complete sentences in a non-Shock facility?" Prior to last year we 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. Last year we introduced a better measurement tool. We now 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. An averaging of the costs presents a more accurate picture over the entire period of the program's operation. A summary of these cost averages are presented in Table 13.

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 facility with a perimeter fence. 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 12 presents the overall per diem costs for Shock and the comparison facilities. These expenditures are categorized 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 category) and inmate wages (which comes from Program Services category).

On average, the Shock facilities in FY 1991-1992 spent more per diem per inmate than either our comparison medium security (by 14.4%) or minimum security (by 25.1%) facilities. One of the major reasons for these higher costs is that all inmates in Shock are programmed in all areas during a sixteen hour program day. Although this has been a consistent finding in all five of the Legislative Reports it should be noted that since FY 1989-1990 the gap in these expenditure differences has been shrinking.

An examination of some of these expenditures can help to explain the existence of these cost differences. The differences in Supervision expenditures are attributable

to concerns around security. 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.

Due to the fact that all inmates in Shock are fully programmed in Network, ASAT, education, and pre-release during their entire six months in Shock the costs for program services is substantially higher than at the minimum security facilities. It is interesting to note that the per diem costs at Shock for Programming were comparable (only 3.9% higher) to that of the Medium Security facilities.

The per inmate cost of health care at Shock facilities is higher than that of Minimum security facilities and lower than that 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 were present at both Lakeview and Summit. After initial medical screenings at reception centers medical staff 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. Summit was housing female Shock participants for all of FY 1991-1992. This factor also contributed to Summit's high health care expenditures and to the high medical costs reported at Taconic. Since Lakeview now houses the female component of the Shock program (including Reception and Orientation) it is expected that the health care costs for that facility will only increase in the next fiscal year.

In previous years we have examined the food cost component of Support operations expenditures. Consistent with our previous findings it costs more to feed Shock inmates than 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 12 indicates that Lakeview had 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 slightly higher than the wages paid to Medium security inmates.

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 successful completion of Shock Incarceration 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, Shock graduates spend less time incarcerated.

On average, each of the 6,400 Shock releases through September 30, 1992 would have spent 551 days in prison, including time in reception, until their PE dates, if the program did not exist. The Shock releases actually spent 226 days in DOCS custody including time in reception. Thus, for each graduate there was a net savings of 325 days or approximately 10.7 months from their actual date of release from Shock to his/her court determined PE date.

Another factor to be considered is the parole release rate at first hearing for DOCS inmates. The proportion who have been released at their initial parole hearings is 64% since March 1988, while virtually all Shock graduates (97%) have been granted parole releases at their initial hearings. Thus, if Shock were not available, we could expect that 64% of the graduates would be released at their Parole Eligibility dates, while 36% would be given additional time (which is estimated to be nine months by those analyzing parole outcomes for Earned Eligibility Program certified inmates).

As noted previously, by averaging the per diem costs of the program for the five 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 14. 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 \$1.29 million because we have housed them for less time. These savings are due to the early release of inmates prior to their PE dates.

Additionally, if Shock were not available, it is estimated that 64 of these 100 inmates would get released at their initial parole hearing through the operation of the Earned Eligibility Program. The other 36 inmates would stay incarcerated for an average of nine months. The Department estimates the annual operational and administrative costs per inmate at \$26,800. Therefore, 9 months, or three-quarters of a year of incarceration costs \$20,100. For our purposes, that is an additional savings of \$723,600 for the 36 inmates in post- PE date savings.

So, for every 100 Shock releases, it is estimated that the Department saves \$2.02 million, which it otherwise would have had to expend for the care and custody of these inmates. Thus, for the first 6,400 releases from Shock, as of September 30, 1992, there was an estimated savings in program costs of \$129.2 million. This savings must be offset by the cost of housing inmates who started Shock but did not complete the program. According to Table 9, through September 30, 1992, 3,825 inmates had been removed from Shock after spending an average of 56.6 days in the program. Instead of 56.6 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 \$3.7 million. Thus, the revised savings estimate for the care and custody of Shock inmates is \$125.4 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 15 for graduates as of September 30, 1992, there were 1,846 inmates who would have to be housed somewhere in the Department if Shock were not available.

The cost of constructing these 1,846 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 an estimated breakout for the initial security classification of Shock inmates, 40% of the 1,846 inmates (or 738) would be housed in Medium Security facilities while the remaining 1,108 inmates would be housed in Minimum security facilities.

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 1,846 inmates would amount to \$121.54 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 305.7 for Shock facilities. These 306 beds would be filled if the Shock program did not exist. Thus, they must be subtracted from the 1,846 bed savings for a total bed savings of 1,540. This adjustment reduces the dollar savings to \$102.0 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, 1992 for the 6,400 released graduates is equal to \$227.40 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 14 has been refined over the years to make it the most accurate estimate available and the cost avoidance figures outlined above represent "front end" dollars that are accrued as a result of the Department's running of the incarceration phase of the Shock program. This is a "net" cost avoidance figure which has not previously been adjusted to account for any additional costs that accrue as a result of the actions or policies of other agencies.

The Costs Of Returning Shock Graduates To DOCS Custody

In our last report, we indicated that a significant refinement of the cost avoidance model would involve an assessment of the time served by Shock inmates who are returned to DOCS custody as compared to the time served by non-Shock inmates. In past years insufficient follow-up data was available to assess if the time spent by Shock returnees who are reincarcerated was different from the time spent by similar non-Shock inmates who returned to custody. As a result it was not possible to adjust the cost avoidance model.

This year sufficient data is available to initiate this analysis and in the next few months the results of this analysis will be presented in a separate report.

It must be noted that the Department is still able to unequivocally state 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.

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 fiscal analysis section. The data is based upon a computer file describing inmates who were under custody on September 26, 1992.

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 16 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 and Lyon Mountain in 15 of the categories. The differences between Shock inmates and the Medium Security inmates existed in 22 categories.

In comparison to these other inmates, the male Shock inmates were younger and were more often committed for drug crimes, yet reported themselves as drug users less frequently. Shock inmates were less often convicted as Second Felony Offenders and had fewer prior felony arrests and convictions and they had shorter minimum sentences (and shorter times to parole eligibility), and served a shorter number of jail days prior to their DOCS incarceration. Fewer Shock inmates were sentenced from New York City, while a smaller proportion were black and a larger proportion were hispanic. Shock inmates were more often classified as minimum security and a lower proportion had completed 12th grade or higher.

Table 16 also shows differences among the women, as female Shock inmates differed from women in Minimum security facilities on only eight of the 24 variables and differed from the Medium security women on 13 of those variables. In comparison to their counterparts Shock women were younger, had higher TABE math and reading scores yet were less often considered to have alcoholic MAST scores, yet were more often convicted of drug crimes, and reported more drug usage. The Shock women had shorter minimum sentences than the Medium security women but longer minimum sentences than Minimum security women.

Who Gets Sent To Shock: In Comparison Over Time

Table 17 is an examination of the snap-shots of the characteristics of Shock males and female inmates that have been presented in the annual Legislative Reports. It has expected that there have been changes in the composition of the Shock population as a result of changes in the Legislative criteria for eligibility as well as to any changes in the law enforcement strategies in dealing with the war on drugs.

In this examination of the trends we see that the male Shock inmates:

- 1. Have been getting older.*
- 2. Have been getting longer minimum and maximum sentences.*
- 3. Have been entering with higher reading and math scores.*
- 4. Have been committed less often from New York City.*
- 5. Have been more hispanic and less black in ethnic composition.*
- 6. Have scored as more alcoholic on MAST.*
- 7. Have reported higher education levels.*

In the examination of the trends we see that the female Shock participants:

- 1. Have been getting older.*
- 2. Have been getting longer minimum and maximum sentences.*
- 3. Have been entering with higher reading and math scores.*
- 4. Have been committed less often from New York City.*
- 5. Have been less hispanic and more black in ethnic composition.*
- 6. Have reported higher education levels.*

A comparison of the data for Shock men and women shows that the Shock males:

- 1. Were Younger.*
- 2. Were Serving shorter sentences.*
- 3. Had higher reading and math scores at reception.*
- 4. Had served less jail time.*
- 5. Had more prior felony arrests.*
- 6. Were less often committed from New York City.*
- 7. Were more often white and hispanic and less often black in ethnic composition.*
- 8. Were less often Second Felony Offenders.*
- 9. Were less often drug offenders.*
- 10. Were more often scored as alcoholics on the MAST.*
- 11. Were more often self-reported as drug users.*

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 in addition to 22 hours weekly spent in treatment programs which are largely educational in focus. Thus the Shock programs educational focus 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.

Even though 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).

Achievement Testing

Testing for achievement levels is a valuable diagnostic tool which can be used to match educational programs with skill levels. This testing is even more valuable when it is conducted 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 1,698 Shock graduates between April 1, 1991 and March 31, 1992 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 7.6. Only 25.2% (N=428) of the inmates had initial math scores of 9.0 or higher. In contrast, the average final math score was 8.5 while 37.6% (N=637) 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 almost 1.0 grade level.(see Table 18)

It should be noted that not all the graduates had increases in their math levels over the course of their time in Shock. In fact, 16.7% (N=231) had declines in their scores, while 30.3% (N=512) had no changes in their grade level. Yet, in six months or less, 52.9% (N=892) of the Shock graduates had increased their math scores by one grade or more.

During this period 29.2% (N=493) of the inmates increased their math scores by two or more grades while 8.1% (N=137) increased their math scores by four or more grades.

Reading Scores: The average initial reading scores for these Shock graduates was 8.4, and 42.4% (N=720) had initial reading scores of 9.0 or higher. In contrast, the average final reading score were 8.8 while 47.8% (N=812) had final reading scores of 9.0 or higher.(see Table 18)

Thus, the overall change in reading scores was an increase of 0.4 of one grade level. As with the math scores, not all graduates had reading score increases while in Shock. In fact, 19.6% (N=332) had declines in their scores, while 37.2% (N=631) had no change in their grade level. Still, in six months or less 43.2% (N=733) of the

Shock graduates increased their reading scores by one grade or more.

During this period 22.1% (N=375) of the inmates increased their reading scores by two or more grades while 4.0% (N=68) increased their reading scores by four or more grades during their six months in Shock.

Table 18 is a summary of the TABE information for both reading and math scores that have been presented in this and the preceding three 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.

The Table indicates that the proportion of inmates coming into the Department with 9th grade or higher reading and math scores has been increasing over the years, but the reading scores for these inmates has been higher than their math scores.

Thus, it is not surprising that the inmates in Shock seem to improve their math scores more dramatically than their reading scores because the inmates start out with lower math scores. The Table also shows that there has been some increases in both the final reading and math scores between this year and last and that the proportion of inmates who have improved their math and reading scores while in Shock seems to be declining.

Overall, the TABE test results show some very positive accomplishments for Shock inmates during their participation in the program.

GED And TABE Scores

In the past we have also examined the relationship between TABE scores and GED success and we continue to find that there is a strong association between GED success and higher entry and exit TABE scores for both math and reading.

Table 19 suggests that although a large proportion 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 or less.

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 1991-1992.

It should be noted that the average inmate population figures for Lakeview SICF which were used in Table 20 do not reflect the inmates housed in Lakeview Reception dorms. This is because those inmates are not tested for the GED during their stay at Lakeview. The GED data presented in Table 20 compares the GED activity of the Shock facilities in relation to the same comparison group of Medium and Minimum security facilities that were introduced in the fiscal analysis section of this report.

According to the Table, during FY 1991-1992 the number of GED tests given to inmates at the Shock facilities was 5 times greater than the number provided at the Minimum security facilities and 2.3 times greater than the number given at Medium security facilities.

Even though the average size of the inmate population at the Shock facilities was slightly larger than that of the Minimum security facilities, the Shock facilities screened 8.9 times as many inmates for GED testing, tested 10.5 times as many inmates, and over 12.7 times as many Shock inmates earned GED's as the four comparison Camps and Lyon Mountain combined. (see Table 20)

Despite the fact that the average inmate population of the six Medium security facilities was over 3 times greater than that of the Shock facilities, the Shock facilities screened 1.1 times as many inmates. In fact the Shock facilities tested 1.7 times more inmates for the GED, and 1.7 times as many Shock inmates earned GED's as did the six Medium security facilities combined. (see Table 20)

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 1991-1992 (60.9%) was notably higher than that of the five Minimum security (50.0%) and roughly equivalent to the six Medium security facilities (60.2%). (see Table 20)

Table 21 is a summary of GED testing data that has been presented in this and in the four 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. Most importantly, since the 1990 report, the passing rate for Shock graduates has also been increasing (from 40.0% to 60.9%).

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 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 that 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 that 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 11 shows that of the 3,825 inmates who were transferred from the program through September 30, 1992, 31.1% (N=1,190) left voluntarily. Table 10 indicates that, on average, these inmates decided to do so within 20 days of their arrival.

Table 11 also shows that a large proportion of inmates who left the program prematurely did so because of disciplinary problems. These inmates constituted 30.8% (N=1,178) 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 became involved in a particularly blatant display of disregard for staff, peers, or the rules of the program.

The strict discipline and high level of supervision provided at Shock are all part of the general treatment plan of the program. According to Dilulio, prisons that have "strong custodial regime can offer more and better programs, and these programs may in turn help to rehabilitate those inmates who participate in them on a regular basis." (John Dilulio, Governing Prisons: A Comparative Study of Correctional Management, 1987, p. 257.)

High levels of discipline and supervision 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 typically have been transferred out. (This is not true for Lakeview which has 32 secure cells.)

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.

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 22 through 25 represents data from that effort.

During FY 1991-1992, the facilities filed 723 Tier II reports and 493 Tier III reports. As in the past our use of a manual data collection and coding process with these reports is designed to provide more detail than is currently available with any automated system.

The data on disciplinary activity in Tables 22 through 25 can be summarized as follows:

(a) 27.8% of the 2,739 inmates in the Shock program during FY 1991-1992 were involved in disciplinary activity involving Tier II or Tier III hearings.

(b) Of the 762 inmates with Tier II or III reports, 64.0% were involved in one incident while the remaining 36.0% were involved in more than one incident.

(c) These 762 inmates were involved in 1,216 Tier II or Tier III misbehaviors.

(d) Of the 1,216 misbehaviors, the majority (59.5%) were of the Tier II level.

(e) Of the 1,713 "graduates" from Shock during FY 1991-1992, 249 (or 14.5%) were involved in Tier II misbehaviors while 34 (or 2.0%) were involved in Tier III misbehaviors. These 283 inmates were responsible for 354 misbehaviors, the majority of which (87.9%) were of the Tier II level.

(f) Of the 1,026 inmates removed from the Shock program during FY 1991-1992, 240 (or 23.4%) were involved in Tier II misbehaviors while 239 (or 23.3%) were involved in incidents at the Tier III level. These 479 inmates were responsible for 862 misbehaviors the majority of which (52.2%) were of the Tier III level.

(g) A comparison of the types of misbehaviors among graduates and program transfers shows that graduates were most often involved in refusing direct orders, disobeying rules, and inmate fights, while program transfers were most often involved in staff refusing direct orders, verbal abuse of staff and acting out after being fed up with the program.

(h) Since the 1990 Legislative Report the proportion of transferred inmates with misbehavior reports has grown from 26.6% to 46.7% while the proportion of graduates with misbehavior reports shrank from 21.3% to 16.5%.

In summary, these data show that in FY 1991-1992, 27.8% of the inmates in the Shock program were involved in misbehaviors. Typically they were involved in only one incident, and most of the 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.

Disciplinary Activity - An Inter-Facility Comparison

Table 26 was constructed from information on facility disciplinary activity for all the comparison facilities introduced in the fiscal analysis section with data provided by the automated inmates disciplinary system. The Table presents the average number and rate of disciplinary reports per 1,000 inmates that occurred during FY 1991-1992 at Shock and the comparison facilities.

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 some prior Legislative Reports. As we did last year, only disciplinary report data was used in this analysis.

By examining Table 26 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 2.1 times greater than at the Shock facilities while the rate at the Medium Security facilities was 1.8 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 7.2 times greater than at the Shock facilities while the rate at the Medium Security facilities was 5.8 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 1.4 times greater than at the Shock facilities while the rate at the Medium Security facilities was 1.3 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 1.2 times greater than at the Shock facilities but at the same time the rate of Tier III reports per 1,000 inmates occurring at Shock were 1.5 times greater than those occurring at the Medium Security 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 the comparison Minimum security facilities. The rate of misbehaviors at Shock were also lower than those reported by the Medium security facilities with the notable exception of Tier III incidents where the rate occurring at Shock was higher. This was not surprising in light of the finding from Table 25 which shows that since 1990 the proportion of inmates transferred from Shock with disciplinary reports has been increasing.

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

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 23 is that of the 493 incidents involving Tier III activity, 91.3% (N=450) 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 is 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).

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.

Staff who work in Shock facilities are accustomed to higher standards of inmate behavior. Because of this incidents involving breeches of the rules, which might not have been considered a reportable event at another facility, often become reportable in Shock.

Lakeview Reception

As previously mentioned, 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 that was 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 disaggregate the 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 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 currently serves as the screening and diagnostic facility for all Shock eligible inmates. They receive all inmates who have eligible crimes, sentences, and ages. The reception dorms at Lakeview house inmates awaiting screening and orientation, inmates who have been denied access to Shock, inmates who refuse to go to Shock, and inmates who have been removed from Shock. Additionally, Lakeview Reception beds contain 32 secure cells where inmates with disciplinary problems are sent prior to their being shipped to another non-Shock facility.

Rate of UI's Per 1,000 Inmates:

An examination of the overall rate of UI's per 1,000 inmates in Table 27 indicates that the average rate of reported incidents at the Shock facilities was lower than the rate of UI's at both the Minimum and the Medium security comparison 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 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 past Reports, 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 1991-1992 only 3.4% (N=2) of the UI's reported from Shock facilities were listed as contraband incidents. In contrast, contraband incidents comprised 9.9% (N=7) of the Minimum/Camp facilities UI's, and 24.3% (N=51) of the Medium security facilities UI's. (see Table 27)

Staff Assaults: Incidents of inmates assaulting staff accounted for 32.8% of the UI's reported at Shock (N=19). A review of Table 28 shows that injury occurred to staff in 52.6% of these incidents. In the Minimum/Camp facilities, staff assaults constituted only 8.5% of their UI's, and injury to staff occurred 33.3% of the time. In the Medium security facilities, staff assaults comprised 5.2% of the reported UI's and injury to staff occurred in 36.8% of those incidents. (see Table 27 and Table 28)

As in years past, the proportion of staff assault incidents at Shock was substantially higher than those which occurred at the comparison facilities and this year the proportion of incidents where staff incurred injuries was also higher.

It should also be noted that 68.4% (N=13) 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 15.8% (N=3) occurred between the third and fourth weeks of an inmate arriving at Shock. Thus, 84.2% 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 cope with the program rigor may be susceptible to acting out. Most importantly, it should be remembered that all 19 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 1991-1992 none of the reported UI's at Shock facilities were for assaults on inmates. In the Minimum security facilities 12.7% (N=9) of the reported UI's were for assaults on inmates and all nine (100.0%) had injuries to inmates reported as a result of these altercations.(see Table 27 and Table 28)

In the Medium security facilities, 15.2% (N=32) of the reported UI's were for assaults on inmates and injuries occurred in all 32 incidents 100.0%.(see Table 27 and Table 28)

Since the 1991 Legislative Report the overall UI rate for Shock facilities has declined from 74.4 per 1,000 inmates to 48.5 per 1,000 inmates. During that same period the UI rate per 1,000 inmates occurring at the Minimum security facilities grew from 53.1 in the 1991 Report to 62.7 in this Report. Among the Medium security facilities the rate of UI's per 1,000 inmates remained constant during this period at 57.8.

It should be noted that at Butler SICF, one inmate walked away from a work site in one incident. The escaped inmate was captured within hours and was returned to DOCS custody to serve the remainder of his time and any additional sentence at a non-Shock facility. This is the fourth inmate to walk away from a Shock facility and all of these incidents have occurred at Butler SICF.

The most significant incident to occur at a Shock facility during this reporting period was the accidental death of an inmate at Lakeview during a restraint situation. This was the first death to occur at a Shock facility. The incident has been investigated by various state agencies (i.e. the State Commission of Corrections and the New York State Police) the Chautauqua county District Attorney's Office, the Chautauqua

County Medical examiner's office and the Investigator Generals Office of DOCS. After extensive hearings a Grand Jury did not indict any Shock staff yet they did recommend that additional medical emergency procedures be put into place at Lakeview.

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.

COMMUNITY SERVICE PROJECTS

One of the least publicized components of the Shock Incarceration program involves the community service work that is performed by inmates. Community service work has often been used as an effective penal sanction and an alternative to incarceration and has a successful track record.

One of the Legislative mandates for the program was that it had to involve inmate participants in an intensive regimen of physical labor. One of the most innovative ways to fulfill this mandate has been to involve inmates in performing community service projects for the towns, villages, and state parks that neighbor the five Shock facilities.

Each year, supervised crews of Shock inmates perform thousands of hours of community service as part of the daily routine of the facilities. As a result the Shock program is providing cash-strapped municipalities, churches, and community groups with the manual labor needed to complete a variety of projects which otherwise would not get done. Based on information provided by the facilities, it is estimated that in calendar year 1992 inmates from Shock facilities performed approximately 800,000 hours of community service. If the municipalities which were helped had hired laborers at a wage rate of \$5.00 per hour to accomplish these tasks it would have cost approximately \$4 million to complete these projects.

As an example in 1992 these tasks included:

Clearing debris from stream beds for flood control purposes in the Towns of Big Flats, Middleburgh, and Delanson;

Constructing community playgrounds and recreational facilities in several Towns in New York State including most recently the Town of Jefferson and a baseball diamond in the Town of Westfield;

Painting and renovating churches and historical structures in the cities, towns, and villages located nearby the Shock facilities;

Clearing brush from abandoned cemetery sites in the Towns of Bath, Eden, Himrod, and Painted Post;

Built and maintained a memorial park honoring Vietnam Veterans in Dunkirk.

Since the opening of every Shock facility, Shock inmates have also been working closely with staff from the Department of Environmental Conservation on projects designed to clean and beautify State Parks, clear access roads, and provide timberland improvements used in soil erosion abatement, and wildlife and fishery management. For example Moriah Shock inmate labor was used to haul 350 tons of rock in five gallon pails to help construct a fish weir on the Schroon river.

The staff and inmates from Shock facilities have also been instrumental in cleanups stemming from emergencies. Moriah inmates have helped in containing and cleaning up after forest fires, Summit and Lakeview inmates have assisted in cleaning up after tornados struck nearby communities, and Lakeview inmates helped to clean up beaches after a massive fish kill occurred in Lake Erie.

In addition to the community services listed above inmates at Lakeview also provide services in organizing an extensive Trooper Toys for Tots program working out of Fredonia. In 1990 these inmates began refurbishing and reconstructing a "Santa's Workshop" that is used as a combined warehouse and distribution center for the program. It is also used as a visiting center for area children around Christmas time. The program has various phases. Inmates in orientation platoons repair damaged donated toys while outside crews assigned to the warehouse haul, sort, and prepare toy shipments which are sent all over the United States, Canada, and other nations. In 1992, thousands of dollars worth of toys were sent to the victims of hurricane Andrew in Florida and Louisiana. Since Lakeview's involvement in this program in 1989 staff estimate that the value of the toys repaired and distributed to needy children has exceeded \$960,000.

The opportunity for Shock inmates to perform these much needed community services helps the program to meet a number of its objectives by fulfilling the hard physical labor component of the program and providing inmates with positive and altruistic community experiences. The positive behavior exhibited by inmates providing these community services is supportive of one of the Twelve Steps To Recovery used by Shock inmates, that is, to make direct amends for past destructive behavior wherever possible. Additionally, the programs involvement in community affairs also helps build strong local support for Shock and its accomplishments.

OVERVIEW OF SHOCK PAROLE IN NEW YORK STATE

Shock Parole Supervision is the most comprehensive community supervision program of its kind in the country. Few states have matched New York's commitment to Shock Incarceration by providing as comprehensive and coordinated an aftercare component for their Shock program graduates. The New York State Shock Incarceration and Shock Parole Supervision program remains the largest in the country. It is one of only a few programs nationwide to employ intensive post-release supervision of releasees in the community. This section of the fifth 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 remain at the forefront in examining the utility and efficacy of Shock Incarceration and Shock Parole Supervision. Comprehensive evaluations of Shock Incarceration and Shock Parole Supervision have been conducted annually since the program's implementation, and each agency has intensively monitored operations to ensure that program objectives are met.

The Need for Intensive Shock Supervision

Over the past five years, Shock graduates have been found to be a population in need of assistance. Despite changes in the eligibility criteria which has expanded the availability of the program to older offenders, their needs have remained constant from year to year. 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-four percent are male. Nearly one-half (48%) are black, 34% are Hispanic, 17% are white and one percent are other ethnic/racial groups. The majority (64%) return to New York City. Most (88%) have had problems with substance abuse involving primarily crack and cocaine; many have problems associated with alcohol abuse (59%). Only 14% have graduated from high school; only 5% have attended college. The average grade level of Shock graduates is tenth grade.

Compared to other young offenders released to parole supervision in New York State, Shock parolees are more likely to have been sentenced for a drug crime or to have been sentenced as an A-II felon. Fifty-three percent of the Shock parolees have prior felony convictions; 51% are Second Felony Offenders. In addition, the average Shock graduate had been arrested at least twice for a felony offense prior to their most recent incarceration. These findings are consistent with that which has been reported in the past. Clearly, they are a population in need of services.

Their criminal histories reveal that they are primarily drug offenders. Crime of conviction data indicate that 71% have been sentenced for drug crimes, 17% as property offenders, 6% as Youthful Offenders and 6% for other crimes.

THE PAROLE PROGRAM

The Division's community supervision plan for Shock offenders has been designed to address these needs. Pre-release planning begins early; 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 and 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 Program. This program ensures that parolees in need of a stable residential placement have one available. It is designed to provide temporary housing and support services for up to 90 days for individuals in need of a structured environment.

Recent changes in Legislation have lead to reduced Parole staff presence at each Shock facility. As a result, Parole staff are no longer able to lend technical assistance to DOCS' personnel or to participate in many of the program activities associated with Shock such as superintendent proceedings, program meetings and special training sessions.

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 securing a job within one week of release and enrolling in an academic or vocational program within two weeks 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 increasing the 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 learned in the institutional Network component and providing a link between the institutional experience and parole supervision.

Relapse-prevention services are provided through a contract with New York City's Fellowship Center. A detailed description of each of these components follows.

During this study period, April 1, 1992 through September 30, 1992, the Division of Parole was able to maintain the supervision ratio for Shock graduates at 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

Team supervision has had a dramatic impact on Parole work. Teamwork provides the officers with valuable time that can be devoted to casework and intervention efforts that contribute to the graduates' success in the community.

The Division's community supervision plan was established for Shock graduates nearly five 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 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 includes a Bureau Chief, six senior parole officers and thirty-four parole officers who comprise seventeen 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 specific neighborhoods in order to enhance supervision efficiency. Unlike traditional supervision 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. They are also able to provide continuity of supervision for graduates and their families in the event that one parole officer is sick or on vacation.

Shock parole officers begin their field day in the early morning hours, oftentimes starting before 5:00 A.M. This provides the officers with the opportunity to contact each Shock graduate on their caseload before he/she leaves for work in the morning. The remainder of the day may be spent conducting employment verifications, or it could include a community preparation investigation of a soon-to-be-released parolee's residence.

In addition to these early-morning rounds, the Shock parole officers also attend the evening Network sessions, the nightly relapse-prevention services provided to Shock graduates at the Fellowship Center and the VERA Institute's program for employment training. Their presence at these meetings provides them an opportunity to monitor the parolees' attendance and also reinforces to parolees the Division's commitment to their successful reintegration. It also provides them with the opportunity to create a team with the staff of the service agencies.

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. Within the same day, 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 Neighborhood Work Project (NWP) and the Vocational Development Program (VDP). At NWP they are given temporary training placements until a more permanent employment opportunity can be arranged by one of VDP's trained job developers.

The Neighborhood Work Project (NWP) - Transitional Training

For those who do not have jobs immediately after release, the Division has contracted with the Neighborhood Work Project to provide immediate temporary transitional training (up to a total of 75 days), thereby providing the Shock population immediate earnings and guaranteed work, as well as an opportunity to build self-respect and to benefit from 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 work in the construction field. In past years, NWP projects usually involved building demolition and reconstruction. However, NWP has had to adapt to a changing economic environment in which these projects are not as readily available. The projects currently provided to NWP generally involve light building work and painting.

Although the nature of the projects have changed, the program's focus has not. Shock graduates still work four days a week, are paid daily and receive an average stipend of \$34 per day. On the fifth day of the week, they are involved in securing permanent, full-time employment with assistance from the Vocational Development Program. Although NWP has had difficulties, the program is still beneficial to the graduates and helps to promote their positive reintegration. NWP is making every effort to continue to provide services to Shock parolees.

In response to a sluggish economy, NWP has slashed administrative costs in an effort to reduce overhead. The Division of Parole has also made a considerable effort to expand NWP's project base by promoting NWP to other agencies. The Division has contacted a number of state and city agencies, some of whom have been willing to provide NWP with new work sites. The Division was successful in securing new work sites with the City University of New York, the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities, the Office of Parks, Recreation and Historic Preservation, the Department of Motor Vehicles and the Division for Youth.

It is also hoped that a pilot project, which will be established between NWP and Brooklyn College, will provide new work sites for Shock parolees. Brooklyn College has agreed to provide several sites on a trial basis for Shock crews during the night-time hours. NWP will supervise the crews as they paint college facilities. If successful, the program has the potential for expansion into a year-round opportunity for Shock graduates.

As noted in last year's report, the importance of NWP cannot be understated. Without it, the Division cannot maintain the Shock supervision objective of transitioning graduates to training and employment within one week of release. NWP has had a considerable impact on the Shock graduate's potential for community success; therefore, it is imperative that every effort be made so that this program will continue.

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 augmented by a vocational training component which assists parolees who lack the skills to be immediately placed in private-sector employment.

At VDP, the Shock graduates learn skills that will help them to secure jobs. Using a three-step process, they are taught the prerequisites to becoming employed. The initial step includes an Orientation class where each individual registers and learns about the program. The second step is a four-day Life Skills training class which addresses topics such as: resume writing, searching for, and keeping, a job and how to act during a job interview. 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 him/her secure a permanent job. VDP has also hired some successful Shock graduates to work with incoming platoons.

Staff at VDP work closely with Parole staff to help ensure a smooth transition for Shock releases from the institution into the labor force. VDP reports that 497 Shock parolees enrolled in the program between April and September of 1992. This figure includes new arrivals and parolees released in previous months. During this time period, VERA reported 326 Shock parolee job placements, 48 on-the-job training placements and three academic placements.

The work of the VERA Institute has been essential to the success of the Shock Parole 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. Over this six-month time period, VDP reported a number of success stories. The following is a typical example:

Ms. D. is a twenty-one year old Black woman who participated in the Shock Incarceration program at Summit SICF. She was released to parole supervision in New York City. Her parole officer indicated that she was a former high school drop-out who began smoking marijuana at the age of eight; before she was fourteen, she was regularly snorting cocaine. By the time she had reached her twentieth birthday, her addiction for cocaine had developed into a \$1500-a-week habit. She was regularly selling the drug and had even turned to prostitution as a means to raise the capital necessary to support her growing habit.

Ms. D.'s participation in Shock helped her to rediscover her self-esteem and overcome her addiction to cocaine. She credits the program with helping her to develop the self-discipline necessary to stay drug-free in the community.

Upon her graduation and arrival at the Manhattan V Shock supervision bureau, like all Shock graduates, she was referred by her parole officer to the Vocational Development Program for job training and placement services. Her prior work history indicated that she had very little professional work experience, often having worked in dead-end minimum-wage jobs prior to her incarceration. She had never held a previous job for more than three months, but she did indicate a desire to work in an environment that would be both sociable and helpful to her.

The Life Skills classes at VDP helped her to focus these ambitions more clearly, and she eventually decided that her long-term goal was to become an executive secretary. She had rudimentary typing skills and some experience in working with computers, but she needed to learn many more skills if she was to advance professionally.

She was placed in a secretarial training position to help her advance these skills. However, her demeanor did not match her ambition; she needed to understand that her "street appearance" wouldn't be acceptable in the competitive job market.

With help from her job counselor and her parole officer, she overcame these problems and was eventually placed in a trainee position as an office clerk at a local college. After only one month on the job, she received an outstanding performance evaluation. However, at the end of her training period, she was laid off as a result of budget cuts. Nonetheless, the college did give her a strong recommendation citing her newly developed skills and professionalism.

Within a month, she was placed in a position at another college where she is responsible for a variety of office and clerical duties. With the help of her parole officer and VDP, she has successfully adapted to this new professional environment and is doing very well.

The Fellowship Center - Relapse-Prevention Counseling

Fellowship 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. In this crucial component of the Shock Parole effort, parolees are referred to the Center within two 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 factors.

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 with the Fellowship Center to provide services to Shock graduates in December 1988. Prior to that time (between March 1988 - December 1988), the Fellowship Center had assisted the Division in providing services for New York City-based Shock graduates without charge. From April through September 1992, Fellowship provided relapse prevention services to an average of 277 graduates each month, including those newly released each month and those previously under supervision. These services consisted of 929 group and 1,820 individual sessions.

The Division developed a system that assists Fellowship in anticipating staffing needs for counseling sessions and ensuring that parole officers are promptly notified when their clients fail to attend scheduled sessions.

Community Network Program - Positive Directions

The Community Network Program has been designed to provide a positive learning environment which fosters involvement, self-direction and individual responsibility for program participants. The Episcopal Mission Society originally operated the program from November 1989 through October 1991 with their own limited resources. In October of 1991, the Division and the Episcopal Mission Society entered into a contract for services. The Network in the Community program has grown out of the Society's historic commitment to work 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 correctional facilities 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. Members participate in Network as they demonstrate their capacity to make informed, responsible decisions.

Each week, for a period of three months after release, all 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 also attend these meetings. The officers sit in the group and give feedback, which is accepted by the participants.

While incarcerated, the Shock graduates learned how to begin to make changes in their lives; these changes occurred, however, in the tightly ordered and highly supportive environment of the Shock facilities. The Community Network Program helps the Division to take advantage of the relationships Shock graduates forged with their peer group by extending to the community the Network program they began in the institutions.

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, and decision-making methods; these skills promote socially acceptable behavior. The support, encouragement and skill development offered by the program has a substantial impact on their success.

From April through September 1992, the Episcopal Mission Society provided services to an average of 195 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 study period. In addition, Network has also hired successful Shock graduates to teach the Network principles to other parolees.

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 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 support and concern about the effects of various types of negative behavior.

The meetings always follow the same format, which includes:

General Spirit: Group leaders provide 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 confrontation 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. Called "self-affirmation," 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. The second part involves sharing conflicts, concerns and issues with the group. Group members generally listen in silence or ask 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 session. They are designed to provide a way for participants to vent ideas and feelings. 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, a natural conclusion to the night's activities.

PROGRAM DEVELOPMENTS

Shock Incarceration in New York State has expanded considerably 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. Parole officers involved with the Shock program have participated in joint training with Department of Correctional Services staff at Shock Incarceration Correctional Facilities, and Division staff have worked in collaboration with DOCS' program evaluation staff to ensure that each agency's monitoring efforts have remained consistent. Included below are highlights of the Division's activities within the current fiscal year.

Activities of the New York City Shock Supervision Unit

March of 1992 marked the fourth anniversary of the graduation of the first platoon from Monterey Shock Incarceration Correctional Facility - the first Shock facility in New York State. Representatives from the Division's New York City Shock Supervision Unit were present at Monterey to acknowledge the occasion with Department of Correctional Services staff. The Division's Shock parole officers frequently traveled to the Shock facilities to witness the institutional program and to discuss various aspects of the supervision component with DOCS program staff during this fiscal year.

Also during this time period, Manhattan V Parole staff participated in an extensive in-service training program. Parole officers reviewed agency procedures relating to the

supervision of Shock graduates and also met with representatives of the Fellowship Center, Episcopal Mission Society and the VERA Institute of Justice to discuss each agency's services. On-going communication between the Division and the not-for-profit agencies with which the Division contracts for services continues to enhance the program's operations.

As part of an agency-wide initiative, Shock parole officers participated in relapse-prevention training which has been designed to increase their awareness of parolees' problems with substance abuse and to help the officers develop successful intervention strategies.

Manhattan V staff also participated in the graduation ceremonies at Project Green Hope during this time period. Project Green Hope is a Community-Based Residential Program in New York City which has assisted a number of female Shock graduates' transition to community living.

Activities of Shock Graduates

During September, four Shock graduates traveled to Lakeview SICF. The graduates, three men and one woman, each met with DOCS' program staff and Shock program participants to discuss their experiences since graduation. They brought encouraging messages to the current participants as they related their own personal stories of community success.

Also during this time period, a Shock graduate from Summit SICF was presented with an achievement award by Columbia University College. This woman, who had previously completed Shock Parole, has now become a certified trainer in the Adkins Life Skills program which is utilized at the VERA Institute's Vocational Development Program. She is currently employed by VDP.

Inquiries from Other Agencies

Representatives from the federal government's General Accounting Office (GAO) visited the Manhattan V Shock Unit in New York City during April of 1992. GAO representatives spent three days in New York reviewing the procedures and program aspects of the Division's Aftershock supervision initiative. Federal officials hope to develop a set of national recommendations regarding uniform supervision requirements for Shock graduates in various jurisdictions; they felt that New York's supervision program was the most comprehensive.

Representatives from the Correctional Services Group, a private organization which is inspecting Shock programs nationwide for the National Institute of Corrections, will

be visiting in New York City after the first of the year. They are interested in examining New York's Aftershock program as part of a case study for the development of a model Shock supervision program.

Future Directions

Plans for the coming months include a pilot project between the Neighborhood Work Project and Brooklyn College. Shock graduates will be assigned to work night shifts at the college providing services such as painting and general maintenance. If the program is successful, it will be expanded in January. It could provide a much-needed source of transitional vocational training for future Shock graduates.

PAROLE BOARD ACTIVITY AND STATISTICAL HIGHLIGHTS

In April of 1992, the New York State Legislature passed a law which removed the requirement that Shock Incarceration inmates make a personal appearance before the Board of Parole. The Legislature also removed the restrictions which required older Shock inmates to complete one year of incarceration before release (formerly Shock-B cases). These changes reflect the Legislature's confidence in the Shock Incarceration/Shock Parole Supervision Program and reaffirms their confidence in the discretionary release authority of the Board of Parole.

As a result of these changes, the Division reduced the number of Parole staff assigned to Shock facilities; these staff were reassigned to other essential areas. This has resulted in \$1.2 million in savings. However, these reductions deviate from the Division's original plan for staffing at the Shock facilities and have diminished Parole's presence there. Moreover, recent indications that the Department of Correctional Services is enlarging the population at Shock facilities may have staffing consequences for the Division of Parole not previously anticipated.

Parole Board interviews for Shock Incarceration inmates are completed according to procedures set forth in the rules and regulations of the Board. A review of each case is made by the Parole Board prior to the inmate's completion of the Shock program. Inmates are granted release contingent upon their successful completion of the institutional component of Shock. If inmates are subsequently removed from the program before graduation, the Board's release decision is voided. Inmates who do not complete the program are not eligible for Initial release consideration until they complete their minimum sentence. As in the past, the ultimate release decision remains with the Board of Parole.

During the five years of this program's operation, the Board's strong support of the institutional component and confidence in the comprehensive aftercare program has resulted in a consistent release rate for Shock Incarceration cases. Release figures for the current reporting period are included in Table 29.

From April 1, 1992 through September 30, 1992 the Parole Board conducted a total of 1,032 initial interviews of Shock Incarceration inmates, a 15% increase over last year. A total of 970 were Shock interviews and 62 were reevaluation interviews for inmates who were near completion of the Department of Correctional Services' Shock reevaluation program. Reevaluation is a DOCS program initiative designed to provide a second chance to Shock inmates who have experienced initial difficulty in adapting to the rules of the program.

The Board granted release to 1,008 applicants, resulting in a release rate at initial appearance of 98%. The Board denied release to only six individuals, less than 1% of all Shock interviews this year. A total of 18 of the initial interviews (approximately 2%) were postponed to allow the inmate a sufficient amount of time to complete the six-month program.

The release rates for the Shock and Reevaluation cases was 98%. All of the denials were Shock cases; none of the Reevaluation cases were denied during this reporting period.

In four of the six Shock denials, the Parole Board's decision to deny release was based on the individual's pattern of criminal behavior which involved drinking and driving. The Parole Board has taken a strong stand against the early release of DWI offenders and against those who have been convicted of a vehicular assault in which alcohol was an aggravating circumstance.

In two cases, the Board's decision to deny Parole was based on an escalating pattern of criminal behavior by the inmates; one individual was convicted of a property offense and one was convicted of a drug crime. Nonetheless, the Parole Board continues to exercise its discretion in granting release to a significant number of Shock participants.

PAROLE OFFICER CONTACTS WITH SHOCK PAROLEES

The major objective of Shock supervision is to promote increased contacts between parole officers and parolees and to provide graduates with special community-based programs. This unique combination of supervision, support and direct services is expected to improve the graduates' chances of making a successful transition to community living despite their shortened periods of incarceration.

To help accomplish this, the Division developed the Shock supervision initiative. In New York City, and in specific upstate areas, the supervision expectations for Shock cases are more stringent than those expected under Differential Supervision.

Evaluation efforts to date indicate that the program has been effective. Since the first releases to parole supervision in March of 1988, the benefits of the Shock program remain consistent: significant monetary savings can be achieved, with no compromise to community protection, when selected state prisoners successfully complete the institutional phase of Shock and participate in Parole's Aftershock supervision program.

The Shock Parole Program is structured to optimize the number of contacts with

clients and to promote more involvement between the officer and the parolee in several critical areas: home visits, employment and program verifications, curfew checks, case conferences and urinalysis tests. In order to measure Parole staff's response to the supervision expectations for Shock Parole, two methods are used - aggregate and disaggregate contact analyses. The aggregate analysis examines all contacts achieved statewide on Shock cases in relation to the number expected during a reporting period. The disaggregate analysis, a more stringent measure of performance, examines the number of contacts made on a random sample of cases selected from the Division's New York City Manhattan V Shock Supervision Bureau, where the majority of Shock parolees are assigned.

The aggregate and disaggregate number of contacts achieved in relation to the number expected for the first six months of fiscal year 1992-93 (April - September 1992) are presented in Table 30. A two-year trend of the number of aggregate contacts achieved by Shock Parole staff is presented in Chart 6. In both years, the aggregate number of home visits, positive home visits, employment/program verifications and case conferences achieved exceeded the number expected. However, a comparison of the aggregate and disaggregate analyses indicates that although there are some outstanding parole officers who are exceeding expectations, and therefore contributing to the Division achieving overall aggregate compliance, individual case-by-case coverage needs improvement.

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 in the parolee's absence.

In Shock Supervision, the objectives 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). Statewide, parole officers conducted 4% more home visits than were expected during the reporting period; the number of positive home visits conducted was 39% more than expected. However, the case-by-case analysis indicates that Shock parole officer compliance in New York City was 91% for home visits and 94% for positive home visits.

Employment and program verifications allow the officer to assess the parolees' efforts in seeking and maintaining a job, and their participation in programming designed to promote reintegration such as Network, mandatory relapse-prevention counseling and vocational training. Within the current fiscal year, Parole staff statewide conducted

26% more employment verifications than were expected. The statewide ratio of achieved to expected program verifications was over three to one. The case-by-case analysis indicates that parole officers conducted the expected number of program verifications in 96% of the cases examined. The case-by-case analysis also demonstrated that parole officers conducted the expected number of employment verifications in 75% of the cases examined.

Case conferences between parole officers and their supervisors provide an opportunity for both the officer and senior parole officer to review each parolee's progress, and to discuss problem areas and possible intervention strategies. Within the first six months of the current fiscal year, parole officers supervising Shock parolees statewide conducted 56% more case conferences than were expected; case-by-case results from Manhattan V indicate that conferences between the senior parole officer and the parole officer were conducted in every case examined.

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 also serves as an early indicator to parole officers that parolees may be having difficulty adjusting and require intervention. In New York City, Shock Parole staff conducted nearly two tests per month on parolees between April first and September 30th of this year. Test results indicate that for 91% (5,157 out of 5,662) of the tests with available outcome information, parolees had abstained from the use of illegal narcotics.

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 bureau, 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. Curfew results available for this time period indicate that in 88% of the cases where outcomes were reported (5,405 out of 6,120), the parolee was found at home.

These results indicate that the Division has been able to sustain an intensive supervision program for Shock parolees. However, individual parole officer compliance with Shock supervision objectives needs to be strengthened.

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 conserve 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 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.

In January of 1990, 1991 and 1992, the Division and the Department released the second, third and fourth 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.

This fifth joint 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 - between March of 1988 and March of 1992 - 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 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=5,461) and three groups of non-Shock parolees: Pre-Shock offenders (N=3,233), offenders who were considered for Shock (N=6,089) and a group of Shock removals (N=1,912) who were released to parole supervision between March of 1988 and March of 1992.

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 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 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 Table 31. Chi-Square tests (for nominal level data) and T-Tests (for interval level data) were employed to determine if the groups were as comparable as expected. The threshold of significance applied was .05, meaning that there is only a 5% probability that any differences discovered could have occurred by chance.

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 New York City commitments among them.

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, the Considered and Removal groups' time to parole eligibility was significantly lower than that of the Shock group, and 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, 1992 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 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 1991 were followed for equivalent periods of time. Return rates are presented at twelve, twenty-four and thirty-six months. Discharge rates from parole supervision are also examined to illustrate their association with return rates of Shock graduates in relation to those of the non-Shock comparison groups.

Results

Employment and Program Success

The figures in Table 32 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, 1992.

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.

Eighty-one percent of the Shock graduates were enrolled in a program compared to 52% of the Pre-Shock offenders and 55% of the Considered or Removal offenders. In addition, the employment rate for Shock graduates (58%) was higher than that of the Pre-Shock group (47%), the Considered group (32%) or the Removal Group (29%). With the exception of the comparison of employment rates between the Shock and Pre-Shock offenders, all of the results were found to be statistically significant.

The employment and program enrollment rates for the Shock and comparison group parolees for 1991 and 1992 are depicted in Chart 7 and Chart 8 respectively. As these two-year trend figures indicate, Shock parolees have maintained consistently higher rates of employment and program enrollment than any of the comparison groups over time.

However, a decrease in the employment rate was evident for each group in 1992 when compared to the rates for 1991. Economic hardships experienced by parolees during 1992 were felt most severely by the Shock graduates, whose employment rate dropped from 75% in 1991 to 58% in 1992. This downturn, which can be attributed in large part to the economic problems encountered by NWP, underscores the importance of transitional training for Shock graduates and the Division's efforts to sustain the program. The rates for the Pre-Shock group also dropped in 1992 from 48% to 47%, the Considered group rate dropped from 35% to 32% and the rate for the Removals dropped from 34% to 29%.

Program enrollments were higher for all groups in 1992 than those reported for 1991, with the Shock group clearly leading the way. Eighty-one percent of the Shock group were enrolled in a program in 1992 compared to 79% in 1991. The Pre-Shock group was virtually unchanged at 52% in 1992 compared to 51% in 1991. The Considered group rate increased by 8% to 55% in 1992 and the Removals increased 5% to 55%.

Higher relative 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 offenders who may be more inclined than the non-Shock offenders 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 and that they will become more productive citizens after release.

Supervision Outcome

Prior to the 1991 Legislative Report, the Department of Correctional Services and the Division of Parole employed different follow-up methods and comparison groups in evaluating Shock inmates and parolees. These differing strategies were the product of the Division's attempt to generate preliminary recidivism information in a short time frame. Even though similar conclusions had been reached, the use of differing methods resulted in significant variances in the comparison groups used by the two agencies. To address this issue, the Department's Program Evaluation staff and the Division's Policy Analysis staff were developing a unified and comprehensive strategy for the 1991 Report when Audit and Control also recommended that Parole and DOCS use the same methodology. Beginning with the 1991 Legislative Report, both agencies began using the same comparison groups and follow-up procedures.

Offenders released between March, 1988 - March, 1991 were tracked until March of 1992. This procedure ensures that all participants had been released a minimum of twelve months before return data were collected. Success rates presented are based on the number of offenders who had not been physically returned to the custody of the Department of Correctional Services within 12 months, 24 months and 36 months of release. Follow-up for new convictions can exceed the period of parole supervision, a methodology which differs from the Division's annual report follow-up where the study period does not go beyond the length of parole supervision.

Table 33 illustrates the differences in success rates between Shock and non-Shock parolees. Three release cohorts have been established from offenders within the March 1988 - March 1991 release group so that all offenders meeting the follow-up time requirement could be followed for one year, two years and three years out from their release dates. Shock parolees had the highest success rate at every interval.

When offenders who were released between March of 1988 and March of 1991 were followed for one year after release, findings indicated that nearly nine out of every ten Shock graduates remained in the community, compared to 85% of the Pre-Shock and Considered groups and 82% of the Removal group. These results were found to be statistically significant at the .05 level.

Chart 9 depicts the two-year trend of one-year-out results comparing Shock graduates with the comparison group parolees. Shock graduates have consistently outperformed parolees from the Pre-Shock, Considered and Removal groups based on current and 1991 results. The percentage of Shock non-returns increased from 86% in 1991 to 89% in 1992, the Pre-Shock from 81% to 85%, the Considered group from 80% to 85%, and the Removals from 78% to 82%.

Offenders who were released between March of 1988 and March of 1990 were followed for twenty-four months. Again, the data from the two-year cohort indicate a significant difference in the success rates between the Shock and comparison group parolees. Chart 10 compares the two-year-out results of the Shock and comparison group parolees for 1991 and 1992. Again, Shock graduates have had more community success than the comparison group parolees over time and all groups showed improvement in 1992. After twenty-four months of follow-up, the non-return rate for the Shock group increased to 67% in 1992 from 60% in 1991, the Pre-Shock group increased from 56% to 63%, the Considered group from 53% to 61% and the Removals from 49% to 58%.

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 16% of the Shock releases had been returned for new crimes compared to 19% of the Pre-Shock, Considered and Removal offenders.

A similar pattern is evident when individuals are followed for greater periods of time. Although not statistically significant, as of March 31, 1992, the success rate for the Shock offenders in the three-year cohort (for whom 36 months had elapsed since release) was 51%, compared to 49% for the Pre-Shock offenders and 46% each for the Considered and Removal offenders. This is the first year that individuals were followed for 36 months, therefore two-year trend results are not available.

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.

To illustrate this point, the difference in removal rates between the Shock and non-Shock parolees featured in the 36-month follow-up study are presented in Table 34. As expected, the comparison group offenders were more likely than the Shock graduates to have been discharged from parole supervision within the 36-month follow-up period. The difference in discharge rates was found to be statistically significant and results in a greater proportion of Shock offenders remaining "at-risk" for failure after 12 months of supervision, a factor which would seem to favor the comparison group parolees in the long-term follow-up studies. However, the data reflect otherwise.

Within both the 24-month and the 36-month follow-up periods, the Shock success rate (67% and 51% respectively) was higher than that of any of the comparison groups, despite the fact that a greater proportion of Shock graduates remained "at-risk" during these time periods.

Return rates of Shock and non-Shock parolees provide benchmarks upon which the program can be evaluated. However, perhaps more important to the understanding of community success 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 35 represent the amount of time from release date to delinquency date for Shock and comparison group parolees who were physically returned within the 36-month follow-up period. Details on rule violators and those physically returned with new felony convictions are presented separately.

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. The higher level of violation activity among the Shock parolees after the twelfth month was expected given the fact that a smaller proportion of Shock parolees are discharged from supervision after twelve months.

An analysis of the community success rates of Shock parolees indicates 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. 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.

FEMALE SHOCK PAROLEES

In January of 1990, the Division examined the community experiences of the initial releases of Shock females in The Second Annual Report To The Legislature On Shock Incarceration. At that time, a number of differences were noted between female and male graduates of the program. Most notably, the report indicated that female graduates were more likely than male graduates to require services related to housing, family health care and public assistance.

Since the time of that report, a considerable number of Shock females have been

released to parole supervision. As of September 30, 1992, 398 female graduates had been released to parole supervision and they now comprise approximately six percent of all Shock graduates.

In an effort to gather more information on the female graduates, representatives from the Division of Parole's Office of Policy Analysis and Information interviewed five female graduates in New York City. Interviews were also conducted with 23 parole officers in the Manhattan V Shock supervision unit and with representatives from the four community-based agencies in New York City which provide services to Shock parolees. The interviews were designed to gather descriptive information on the female graduates, to assess their needs and problems, and to formulate a perspective on intervention strategies that have been helpful to them.

In addition to this descriptive information, a separate analysis of the community success rates of Shock females is presented as part of a one-year-out study on female parolees.

Success rates of Shock females are compared to those of female offenders in each of three comparison groups - Pre-Shock offenders, offenders considered for Shock and Shock Removals. The results of the follow-up study are presented in Table 36.

Community Challenges

Results from the interviews indicate that female graduates, like other female parolees, have a number of critical needs which require attention after release. However, the problems of the Shock graduates are exacerbated by the fact that they are primarily younger women with little prior work experience, poor educational achievement and few community resources upon which to rely.

According to Stacia Murphy from the Fellowship Center and Tyrone Walker of the Episcopal Mission Society, Shock female graduates generally face a multitude of problems upon their return to the community. Child custody, housing, finances, finding employment, developing parenting and coping skills and obtaining adequate health care are all issues many of these women face soon after release.

"This is not a population that knows options," explains Stacia Murphy, "they know survival, but little else."

Tyrone Walker agrees. "The women from Shock have few resources upon which to rely," he said. "Many of them need adequate housing for themselves and their children and they are not willing to settle for less. Whereas a male graduate might be willing to live in a marginal neighborhood....to a single female graduate with children,

this is not an option."

"Most of them are entering a world that is new to them and it's frustrating," explains Reverend Steven Chinlund of the Episcopal Mission Society. "Before Shock, many of their immediate needs were either taken care of by their parents or a male (companion); in a lot of cases these options are no longer available to them."

Female Shock Parolees and Their Children

"Their children are their biggest concern," explains Stacia Murphy. "Shock females who have children are fixated on getting their kids back as soon as they get home." However, this is not an easy process.

"Most don't know how to get their kids back," says Tyrone Walker. "At the (Community Network) meetings, female Shock graduates often speak about the problems they encounter when trying to put their families back together again; they come to the meetings and ask, 'What do I do?' "

Information gathered from parole officers supports this view. Fifty-seven percent of the parole officers who were interviewed indicated that the female graduates whom they supervise expressed a need for assistance in caring for their dependent children. Most often this involves assistance in regaining custody.

Two of the women who were interviewed for this report have children. One indicated that she encountered a number of problems in trying to re-unite with her daughter after release. Because of her incarceration, the woman's child had been placed in foster care. Upon her return to the community, she had trouble convincing the family court judge that she was fit to care for her child. "They didn't understand that I was a different person," she said.

According to another woman, regaining custody is only part of the problem. For example, she indicated that the emotional bond she had formed with her child was broken because of her incarceration. She stated that during her absence, her son had come to view his foster parent as his real mother. She indicated this was still a problem, even after two years of being re-united with her child.

Other women have also experienced difficulty in relating to their children after having been incarcerated. One woman indicated that she experienced a great deal of conflict in trying to convince her daughter that she should be "good," when they both knew that she (the mother) had been "bad."

"This is not uncommon," says Stacia Murphy. "Although all these women want their

kids back right away, many of them are not ready to accept that responsibility until they are better adjusted in the community; many of them don't have the resources to make it yet."

Responses received from Manhattan V parole officers indicate that they agree. Sixty-five percent of the parole officers who were interviewed indicated that the biggest challenge faced by female graduates with children was a lack of financial resources. They also felt that the Division and the Department could do more to assist the graduates in this regard.

One parole officer suggested developing a joint DOCS and Parole curriculum that addressed child care, family planning and parenting skills for both the male and female graduates. Another officer indicated that it would be helpful if the Division developed an information package for female graduates which explains child custody issues and procedures. It may also be beneficial for the Division to begin to explore ways of accessing special services for female graduates, perhaps in conjunction with women offender advocacy groups.

Physical Violence and Sexual Abuse

Current research indicates that childhood abuse is a likely indicator of adult criminal behavior. It may also lead to poor educational performance, health problems and generally low levels of personal achievement on the part of its victims (Widom:1992). Evidence suggests that physical and sexual abuse could have tragic implications for its victims that may last a lifetime.

Four out of the five female graduates interviewed indicated that they had been the victims of physical abuse during their lifetime: two had been abused by a family member, and two were assaulted by strangers. One woman also admitted to having been abused sexually by a step-parent when she was a child.

Over half (57%) of the parole officers who were interviewed indicated that they supervised female graduates who had been the victims of physical or sexual abuse. "Without the proper help," remarked one parole officer, "these women could always be victims; they could even develop symptoms associated with a battered women's syndrome." This information indicates that it might be beneficial for Shock parole officers to be trained in working with adult survivors of abuse.

In addition, in the case of adults who were abused as children, the potential for the cycle of abuse to continue can be great. One female graduate indicated that, after release, she found herself treating her child in the same abusive manner that she had been treated by her mother. She felt that her problem was severe enough for her to

seek treatment. She did, and reports that she is now able to interact with her child in a more appropriate manner.

Information collected from parole officers also suggests that some female graduates have been the victims of domestic violence. Approximately one-fifth of the parole officers who were surveyed indicated that the female graduates whom they had supervised had been victimized sometime during their lifetime.

Although some women are willing to discuss the problem of domestic violence, many are afraid to seek help. "Sometimes, women are reluctant to report occurrences of domestic violence to the police because they are afraid of how the law enforcement contact will affect their parole status," said one parole officer. "Others don't report it because they are in a state of denial; they are the ones who don't want to admit to having been abused."

When parole officers suspect that a female graduate is living in an abusive environment, they seek treatment for her. This generally involves placing the woman in a domestic violence program and almost always involves removing the woman from the home.

Health Care

Adequate health care is a prominent problem for many parolees, but particularly for women, many of whom might be at risk for HIV infection, require gynecological or obstetric care, or need to arrange family health care for their children upon release.

Parole officers have indicated that HIV infection, tuberculosis, sexually transmitted diseases and the need for contraceptives are the most prominent health care issues facing female Shock graduates. However, 52% of the officers indicated that female graduates usually rely on the services of the local emergency room for the treatment of their medical problems; 33% indicated that their clients receive medical care from a clinic. It would appear that few of the female graduates have the resources to pay for the services of a private doctor.

Not surprisingly, three-fourths of the parole officers have observed that these facilities are not adequate to meet the graduates' health care needs. "Most of them don't receive extensive medical care," observed one parole officer. "Although many of the women have Medicaid, medical care is still a major problem for them. Most don't have an adequate medical plan; few of them have the time to wait to be seen by a public physician and they don't have the money for extensive follow-up care."

Two of the women who were interviewed had medical problems which required the

services of a physician. Both of them indicated that their health problems were a result of their addiction to narcotics.

Substance Abuse

Four out of the five women who participated in the interviews admitted to prior substance abuse; two of them were heroin users and two reported using crack cocaine on a daily basis. The power of addiction is very strong for these individuals, but each woman can point to something important in her life which has helped her stay drug-free while on parole. However, this is not the case with all female graduates.

"There are a number of stresses which female graduates face that can lead them to relapse," explains Stacia Murphy of the Fellowship Center. "One major problem is the confusion they experience when they realize they can no longer associate with some of the people they knew before their incarceration who might still be using drugs." Sometimes this involves a relationship with a spouse or a companion with whom they used to live, thereby increasing the stress of the situation.

"Outside of the Fellowship Center and Narcotics Anonymous, these women generally do not have a social outlet for their stress," she explains. "We have noted that they are more likely to relapse when they experience problems associated with their family. Because they are socialized into thinking that they must take care of everyone, they feel that there is pressure for them to be 'super-women,' however, they lack the resources to do it." This finding underscores the importance of the Fellowship Center and the Community Network Program as a socialization and peer-support outlet for the Shock graduates.

Fortunately, female Shock graduates are perceived by Fellowship's staff as being very receptive to the principles of relapse-prevention counseling. "They seem to understand that addiction is powerful and insidious, and they seem capable of accepting responsibility for this right away," explained Murphy. "They respond well to the direction of their parole officers and most come to this program with an open mind."

However, she does see room for improvement in the program and suggests that both the Division and the Department make modifications to the Shock program that would benefit the female graduates. She advocates the development of a special training program for Shock parole officers so that they can better understand the needs of the female graduates. "We have used this approach (specially trained counselors) at the Fellowship Center and found it to be quite useful," she adds. Murphy also suggests that the institutional component of Shock be modified to include programming

components designed specifically for female parolees, such as a counseling component on sexuality awareness and a program designed to help women deal with aggressive behavior.

Employment

To gather information on the female graduates' employment experiences, a representative from the Division interviewed Kevin Curran of the Neighborhood Work Project (NWP) and Kathy Moss and Terri Hickerson of the Vocational Development Program (VDP). These programs provide jobs and vocational training to newly released Shock graduates in New York City.

A number of female graduates have successfully participated in NWP's transitional vocational training program, and according to Kevin Curran they have done quite well. "We provide them with basic work skills, such as the importance of showing up on time and how to work with supervisors and co-workers..... Most of the female graduates we have had have done very well. And although many of them would rather work in a clerical position than do the kind of work that we do here, we have found that they work very well alongside their male counterparts."

Curran indicates that NWP has even promoted some of the female graduates to supervisory positions. "The quality of their supervision was very good, although sometimes the male graduates experience problems working for a woman," he added.

Despite the nature of the work at the NWP job sites, which used to involve extensive physical labor, Curran indicates that NWP has not had to adapt any aspects of the program for the female graduates. He adds, however, that if NWP secures a contract with Brooklyn College for night-time work, they will have to make arrangements for the safe travel of female graduates to and from the work sites.

"The female graduates," remarked Kathy Moss, "either have good skills or no skills at all... Those who have skills are usually experienced in clerical work or sales jobs."

VDP has found that, regardless of their skills, female graduates are easier to place in jobs than their male counterparts. According to Terri Hickerson, this is because prospective employers don't find them as threatening. The majority of the female graduates are placed in jobs ranging from office work to sales work and food service jobs. Their average salaries range from \$4.50 to \$5.50 per hour. Moss indicated that this is slightly lower than the average salary obtained by the male graduates.

"Many times the female graduates will only work at these jobs for a short period of time because they need more money," said Moss. "(Ironically) sometimes it is more beneficial for them to stay home with their children than pay for child care. Consequently in some instances, public assistance is better for them financially. It becomes difficult to convince them that they are better off working in the long run."

VDP has also worked to help a number of the Shock graduates return to school, to initiate college studies or to complete their basic education requirements. However, they have found that female graduates are less likely than males to pursue education initiatives because of their child-care responsibilities.

Supervision of Female Graduates

The majority of parole officers (65%) felt that female graduates' reactions to parole supervision were different than those of the male graduates. "Female graduates express more of their concerns than the males do," said one parole officer. One parole officer also felt that the needs of female parolees were more demanding and another indicated that because of their needs, female graduates took parole supervision more seriously.

Ninety-one percent of the parole officers who were interviewed indicated that female graduates were willing to communicate with their parole officer; three parole officers specifically felt that female graduates were more open and communicative than the male graduates. However, nearly two-thirds (65%) of the parole officers also felt that the gender of the parole officer made a difference in the degree to which the female graduates would communicate.

Strategies For Success

Each of the five women who were interviewed considers herself to be successful thus far on parole. Four of them specifically credited the Network philosophy as having contributed to their overall success. "Network is a lifestyle," remarked one of the graduates. "I use the five steps to decision-making on a daily basis."

Another of the graduates cites the Aftershock program as being the key to successful community living. "VDP, Network, Fellowship and Parole are excellent; without the Aftershock program, the whole concept wouldn't work," she said. However, she did indicate that she had experienced some difficulty in transferring from Shock Parole supervision to Differential Supervision where the interaction between parole officers and graduates is not as frequent.

Each of these women has a plan for success. When asked about their long-range goals, each was able to speak about a plan they had for the future. Getting married, career advancement, and college studies were all examples of the plans these women had for themselves. One of the women plans to continue with college and then get a job working with abused children. Another indicated that her ten-year goal was to become a Network facilitator at a Shock camp. Yet another sees her employment with VDP as a career stepping-stone and an opportunity to work with people in need of assistance. "If it was up to me," remarked one of the female graduates, "I'd be President."

One Year Follow-Up Study

This type of positive attitude that is exhibited by many of the female graduates has helped them to overcome some of the problems they face upon release to parole supervision. Although not every female graduate is successful upon release, when compared to other similarly situated female offenders, the Shock group's community performance is noticeably better.

The figures in Table 36 reflect the community success rates of the female graduates and three separate groups of non-Shock female offenders who were released to parole supervision between June of 1989 and March of 1991. The comparison groups are the same that were used in the Community Success section and the selection criteria and follow-up methods are similar. One year out data is presented because there was not a sufficient number of offenders in each of the groups for whom 24 or 36 months has elapsed since release.

As the figures indicate, the Shock females' success rate after one year (93%) exceeds that of the Pre-Shock group (88%), the Considered group (90%) and the Removal group (88%). Although these results were not found to be statistically significant, the proportion of Shock females who were returned for new crimes (approximately 5%) was lower than that of either the Pre-Shock females (6%), or females who were removed from Shock (7%). It was comparable to that of the considered females (5%).

Compared to the success rate of all Shock graduates at one year, the female graduates' performance is slightly better than that of the combined male and female Shock offenders. This finding was also true for each of the comparison group offenders. The success rate for the Shock females after one year was 93% compared to 89% for all Shock graduates; 88% for the female Pre-Shock group compared to 85% for the entire Pre-Shock group; 90% for the female Considered group compared to 85% for the entire Considered group; and 88% of the female Removals compared to 82% for all Removals.

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Appendix A:	Twenty Six Week Schedule For The Shock Program.
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TABLE 1

**DISTRIBUTION OF THE STATUS OF SHOCK ELIGIBLE
INMATES BY GENDER
JULY 13, 1987 TO SEPTEMBER 30, 1992**

	ALL		FEMALES		MALES	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	24,509	100.0%	2,540	100.0%	21,969	100.0%
SENT TO SHOCK	11,862	48.4%	815	32.1%	11,047	50.3%
APPROVED FOR SHOCK	105	0.4%	33	1.3%	72	0.3%
REFUSED	2,924	11.9%	463	18.2%	2,461	11.2%
DISQUALIFIED	9,030	36.8%	1,102	43.4%	7,928	36.1%
MEDICAL/PSYCHIATRIC	3,452	14.1%	674	26.5%	2,778	12.6%
PENDING CHARGES	787	3.2%	12	0.5%	775	3.5%
CRIMINAL HISTORY	2,286	9.3%	91	3.6%	2,195	10.0%
FOREIGN BORN	418	1.7%	32	1.3%	386	1.8%
JUDGE REFUSE	234	1.0%	26	1.0%	208	0.9%
EARLY PE DATE	445	1.8%	90	3.5%	355	1.6%
MAX SECURITY	313	1.3%	9	0.4%	304	1.4%
DISCIPLINARY	168	0.7%	45	1.8%	123	0.6%
PUBLIC RISK	346	1.4%	9	0.4%	337	1.5%
MOVED W/O PAPER	503	2.1%	113	4.4%	390	1.8%
ZERO WEEK DROP-OUT	32	0.1%	0	0.0%	32	0.1%
OTHER	46	0.2%	1	0.0%	45	0.2%
PENDING	588	2.4%	127	5.0%	461	2.1%
APPROVAL RATE	50.0%		35.1%		51.7%	

TABLE 2
DISTRIBUTION OF THE STATUS OF SHOCK ELIGIBLE INMATES OVERALL
BY REPORTING PERIOD USED IN THE LEGISLATIVE REPORT SERIES

	July 13, 1987 November 11, 1988		November 12, 1988 November 17, 1989		November 18, 1989 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992	
	OVERALL		OVERALL		OVERALL		OVERALL		OVERALL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	2,411	100.0%	4,931	100.0%	5,298	100.0%	5,227	100.0%	6,054	100.0%
SENT TO SHOCK	1,062	44.0%	2,296	46.6%	2,580	48.7%	2,753	52.7%	3,276	54.1%
REFUSED	388	16.1%	749	15.2%	600	11.3%	687	13.1%	500	8.3%
DISQUALIFIED	961	39.9%	1,886	38.2%	2,118	40.0%	1,787	34.2%	2,278	37.6%
MEDICAL/PSYCHIATRIC	316	13.1%	507	10.3%	865	16.3%	894	17.1%	870	14.4%
PENDING CHARGES	136	5.6%	223	4.5%	261	4.9%	105	2.0%	62	1.0%
CRIMINAL HISTORY	51	2.1%	568	11.5%	410	7.7%	400	7.7%	857	14.2%
FORIEGN BORN	140	5.8%	240	4.9%	7	0.1%	22	0.4%	9	0.1%
JUDGE REFUSE	0	0.0%	30	0.6%	82	1.5%	95	1.8%	27	0.4%
EARLY PE DATE	125	5.2%	188	3.8%	96	1.8%	28	0.5%	8	0.1%
MAX SECURITY	31	1.3%	78	1.6%	88	1.7%	36	0.7%	80	1.3%
DISCIPLINARY	30	1.2%	0	0.0%	67	1.3%	51	1.0%	20	0.3%
PUBLIC RISK	42	1.7%	0	0.0%	171	3.2%	53	1.0%	80	1.3%
MOVED W/O PAPER	56	2.3%	0	0.0%	75	1.4%	107	2.0%	265	4.4%
ZERO WEEK DROP-OUT	0	0.0%	0	0.0%	34	0.6%	(2)	-0.0%	0	0.0%
OTHER	34	1.4%	52	1.1%	(38)	-0.7%	(2)	-0.0%	0	0.0%
APPROVAL RATE	44.0%		46.6%		48.7%		52.7%		54.1%	

TABLE 3
DISTRIBUTION OF THE STATUS OF SHOCK ELIGIBLE FEMALE INMATES
BY REPORTING PERIOD USED IN THE LEGISLATIVE REPORT SERIES
(Includes a Breakout of the Time Period That Lakeview was Screening Females)

	November 12, 1988 November 17, 1989		November 18, 1989 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992		(Lakeview Screening) May 18, 1992 September 30, 1992	
	FEMALES		FEMALES		FEMALES		FEMALES		FEMALES	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	477	100.0%	529	100.0%	680	100.0%	727	100.0%	225	100.0%
SENT TO SHOCK	171	35.8%	204	38.6%	206	30.3%	267	36.7%	160	71.1%
REFUSED	127	26.6%	95	18.0%	146	21.5%	95	13.1%	19	8.4%
DISQUALIFIED	179	37.5%	230	43.5%	328	48.2%	365	50.2%	46	20.4%
MEDICAL/PSYCHIATRIC	85	17.8%	149	28.2%	208	30.6%	232	31.9%	21	9.3%
PENDING CHARGES	6	1.3%	6	1.1%	0	0.0%	0	0.0%	0	0.0%
CRIMINAL HISTORY	25	5.2%	17	3.2%	31	4.6%	18	2.5%	15	6.7%
FORIEGN BORN	5	1.0%	5	0.9%	21	3.1%	1	0.1%	0	0.0%
JUDGE REFUSE	6	1.3%	6	1.1%	11	1.6%	3	0.4%	0	0.0%
EARLY PE DATE	48	10.1%	17	3.2%	17	2.5%	8	1.1%	0	0.0%
MAX SECURITY	1	0.2%	4	0.8%	1	0.1%	3	0.4%	0	0.0%
DISCIPLINARY	0	0.0%	12	2.3%	26	3.8%	7	1.0%	0	0.0%
PUBLIC RISK	0	0.0%	6	1.1%	2	0.3%	1	0.1%	1	0.4%
MOVED W/O PAPER	0	0.0%	10	1.9%	11	1.6%	92	12.7%	9	4.0%
ZERO WEEK DROP-OUT	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
OTHER	3	0.6%	(2)	-0.4%	0	0.0%	0	0.0%	0	0.0%
APPROVAL RATE	35.8%		38.6%		30.3%		36.7%		71.1%	

TABLE 4

**DISTRIBUTION OF THE STATUS OF ALL INMATES
SENT TO LAKEVIEW BY AGE GROUP
SEPTEMBER 11, 1989 TO SEPTEMBER 30, 1992**

	TOTAL LAKEVIEW		16-25 YR OLDS		26-29 YR OLDS		30-34 YR OLDS	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	14,898	100.0%	10,170	100.0%	3,999	100.0%	729	100.0%
SENT TO SHOCK	8,821	59.2%	6,621	65.1%	1,787	44.7%	413	56.7%
APPROVED FOR SHOCK	77	0.5%	42	0.4%	21	0.5%	14	1.9%
REFUSED	1,531	10.3%	755	7.4%	694	17.4%	82	11.2%
DISQUALIFIED	4,311	28.9%	2,659	26.1%	1,467	36.7%	185	25.4%
MEDICAL/PSYCHIATRIC	1,367	9.2%	805	7.9%	495	12.4%	67	9.2%
PENDING CHARGES	433	2.9%	317	3.1%	112	2.8%	4	0.5%
CRIMINAL HISTORY	1,703	11.4%	1,096	10.8%	519	13.0%	88	12.1%
FOREIGN BORN	14	0.1%	4	0.0%	5	0.1%	5	0.7%
JUDGE REFUSE	188	1.3%	0	0.0%	188	4.7%	0	0.0%
EARLY PE DATE	106	0.7%	66	0.6%	40	1.0%	0	0.0%
MAXIMUM SECURITY	15	0.1%	13	0.1%	2	0.1%	0	0.0%
DISCIPLINARY	63	0.4%	42	0.4%	19	0.5%	2	0.3%
PUBLIC RISK	227	1.5%	185	1.8%	37	0.9%	5	0.7%
MOVED W/O PAPER	163	1.1%	102	1.0%	47	1.2%	14	1.9%
ZERO WEEK DROP-OUT	32	0.2%	29	0.3%	3	0.1%	0	0.0%
OTHER	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PENDING	158	1.1%	93	0.9%	30	0.8%	35	4.8%
APPROVAL RATE	60.4%		66.1%		45.6%		61.5%	

TABLE 5
DISTRIBUTION OF THE STATUS OF ALL SHOCK ELIGIBLE INMATES SENT TO
LAKEVIEW FOR REVIEW BY REPORTING PERIOD USED IN THE LEGISLATIVE REPORT SERIES

	September 11, 1989 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992	
	LAKEVIEW ALL		LAKEVIEW ALL		LAKEVIEW ALL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	5,874	100.0%	3,888	100.0%	4,978	100.0%
SENT TO SHOCK	3,476	59.2%	2,328	59.9%	3,094	62.2%
REFUSED	630	10.7%	462	11.9%	439	8.8%
DISQUALIFIED	1,768	30.1%	1,098	28.2%	1,445	29.0%
MEDICAL/PSYCHIATRIC	588	10.0%	475	12.2%	304	6.1%
PENDING CHARGES	270	4.6%	98	2.5%	65	1.3%
CRIMINAL HISTORY	519	8.8%	309	7.9%	875	17.6%
FORIEGN BORN	6	0.1%	1	0.0%	7	0.1%
JUDGE REFUSE	86	1.5%	77	2.0%	25	0.5%
EARLY PE DATE	93	1.6%	12	0.3%	1	0.0%
MAX SECURITY	8	0.1%	4	0.1%	3	0.1%
DISCIPLINARY	34	0.6%	19	0.5%	10	0.2%
PUBLIC RISK	103	1.8%	50	1.3%	74	1.5%
MOVED W/O PAPER	27	0.5%	55	1.4%	81	1.6%
ZERO WEEK DROP-OUT	34	0.6%	(2)	-0.1%	0	0.0%
OTHER	0	0.0%	0	0.0%	0	0.0%
APPROVAL RATE	59.2%		59.9%		62.2%	

TABLE 6
DISTRIBUTION OF THE STATUS OF 16-25 YEAR OLD SHOCK ELIGIBLE INMATES SENT TO LAKEVIEW FOR REVIEW BY REPORTING PERIOD USED IN THE LEGISLATIVE REPORT SERIES

	September 11, 1989 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992	
	LAKEVIEW 16-25		LAKEVIEW 16-25		LAKEVIEW 16-25	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	4,008	100.0%	3,096	100.0%	2,973	100.0%
SENT TO SHOCK	2,604	65.0%	2,139	69.1%	1,920	64.6%
REFUSED	271	6.8%	287	9.3%	197	6.6%
DISQUALIFIED	1,133	28.3%	670	21.6%	856	28.8%
MEDICAL/PSYCHIATRIC	367	9.2%	305	9.9%	133	4.5%
PENDING CHARGES	193	4.8%	75	2.4%	49	1.6%
CRIMINAL HISTORY	333	8.3%	202	6.5%	561	18.9%
FORIEGN BORN	3	0.1%	0	0.0%	1	0.0%
JUDGE REFUSE	0	0.0%	0	0.0%	0	0.0%
EARLY PE DATE	60	1.5%	7	0.2%	(1)	-0.0%
MAX SECURITY	7	0.2%	4	0.1%	2	0.1%
DISCIPLINARY	25	0.6%	11	0.4%	6	0.2%
PUBLIC RISK	93	2.3%	35	1.1%	57	1.9%
MOVED W/O PAPER	21	0.5%	33	1.1%	48	1.6%
ZERO WEEK DROP-OUT	31	0.8%	(2)	-0.1%	0	0.0%
OTIHER	0	0.0%	0	0.0%	0	0.0%
APPROVAL RATE	65.0%		69.1%		64.6%	

TABLE 7
DISTRIBUTION OF THE STATUS OF 26-29 YEAR OLD SHOCK ELIGIBLE INMATES SENT TO
LAKEVIEW FOR REVIEW BY REPORTING PERIOD USED IN THE LEGISLATIVE REPORT SERIES
(Including a Breakout of Inmates Screened After Eligibility Criteria Was Amended)

	September 11, 1989 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992		(New Eligibility Criteria) April 14, 1992 September 30, 1992	
	LAKEVIEW 26-29		LAKEVIEW 26-29		LAKEVIEW 26-29		LAKEVIEW 26-29	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	1,500	100.0%	1,158	100.0%	1,311	100.0%	501	100.0%
SENT TO SHOCK	560	37.3%	501	43.3%	747	57.0%	343	68.5%
REFUSED	305	20.3%	229	19.8%	160	12.2%	32	6.4%
DISQUALIFIED	635	42.3%	428	37.0%	404	30.8%	126	25.1%
MEDICAL/PSYCHIATRIC	221	14.7%	170	14.7%	104	7.9%	49	9.8%
PENDING CHARGES	77	5.1%	23	2.0%	12	0.9%	4	0.8%
CRIMINAL HISTORY	186	12.4%	107	9.2%	226	17.2%	63	12.6%
FORIEGN BORN	3	0.2%	1	0.1%	1	0.1%	0	0.0%
JUDGE REFUSE	86	5.7%	77	6.6%	25	1.9%	0	0.0%
EARLY PE DATE	33	2.2%	5	0.4%	2	0.2%	2	0.4%
MAX SECURITY	1	0.1%	0	0.0%	1	0.1%	1	0.2%
DISCIPLINARY	9	0.6%	8	0.7%	2	0.2%	0	0.0%
PUBLIC RISK	10	0.7%	15	1.3%	12	0.9%	4	0.8%
MOVED W/O PAPER	6	0.4%	22	1.9%	19	1.4%	3	0.6%
ZERO WEEK DROP-OUT	3	0.2%	0	0.0%	0	0.0%	0	0.0%
OTHER	0	0.0%	0	0.0%	0	0.0%	0	0.0%
APPROVAL RATE	37.3%		43.3%		57.0%		68.5%	

TABLE 8

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

<i>GROUP</i>	<i>REPORT YEARS</i>		
	<i>1991</i>	<i>1992</i>	<i>1993</i>
OVERALL MALES	47.8%	50.1%	51.7%
OVERALL FEMALES	37.3%	34.5%	35.1%
LAKEVIEW OVERALL	57.4%	59.5%	60.4%
16-25 YRS	65.0%	66.8%	66.1%
26-29 YRS	37.3%	39.9%	45.6%
30-34 YRS	NA	NA	61.5%

TABLE 9

STATUS OF INMATES SENT TO SHOCK
SEPTEMBER 11, 1987 TO SEPTEMBER 30, 1992

<i>STATUS</i>	MONTEREY	SUMMIT MALE	SUMMIT FEMALE	MORIAH	BUTLER	LAKEVIEW MALES	LAKEVIEW FEMALES	TOTAL
FROM RECEPTION	2,902	1,461	733	1,951	1,931	2,802	82	11,862
TRANSFERS TO OTHER SICFS	162	69	105	108	84	20	0	548
TRANSFERS FROM OTHER SICFS	14	137	0	57	47	188	105	548
NET INMATES FROM RECEPTION	2,754	1,529	628	1,900	1,894	2,970	187	11,862
GRADUATE PAROLE RELEASES	1,408	774	340	881	933	1,400	28	5,764
INMATES SENT FOR REEVALUATION	103	34	36	82	66	326	9	656
ACTIVE	11	3	0	9	4	55	9	91
REMOVED	61	17	17	42	38	170	0	345
GRADUATED AND PAROLED	31	14	19	31	24	101	0	220
GRADUATES SENT TO WORK RELEASE	64	47	30	87	77	178	0	483
ACTIVE	0	0	0	0	0	0	0	0
REMOVED	12	3	19	12	12	9	0	67
GRADUATED AND PAROLED	52	44	11	75	65	169	0	416
TOTAL PAROLE RELEASES	1,491	832	370	987	1,022	1,670	28	6,400
SUB-TOTAL PROGRAM REMOVALS	962	508	239	614	596	859	47	3,825
DISCIPLINARY	353	217	85	190	177	130	26	1,178
VOLUNTARY	319	170	74	247	215	164	1	1,190
MEDICAL	40	18	9	26	33	109	13	248
UNSAT PROGRAM ADJUSTMENT	145	60	27	80	106	230	5	653
BECAME INELIGIBLE	24	13	9	15	16	24	1	102
FOREIGN BORN	8	1	0	2	3	0	0	14
SECURITY RISKS	8	12	18	12	8	7	1	66
REEVALUATION REMOVALS	61	17	17	42	38	170	0	345
OTHER REASONS	4	0	0	0	0	25	0	29
IN PROGRAM ON SEPT. 30, 1992	278	183	0	278	260	459	112	1,570

TABLE 10

**AVERAGE NUMBER OF DAYS AT SHOCK FACILITIES
FOR INMATES WHO GRADUATED OR WERE
REMOVED FROM SHOCK AS OF SEPTEMBER 30, 1992**

REASON FOR LEAVING	AVG NUMBER OF DAYS IN SHOCK	NUMBER OF INMATES
GRADUATE PAROLE RELEASES	180	5,764
GRADUATES SENT TO WORK RELEASE	180	483
TOTAL PROGRAM GRADUATES	180	6,247
DISCIPLINARY	36.9	1,178
VOLUNTARY	20.5	1,190
MEDICAL	39.6	248
UNSAT. PROG. ADJUST.	96.4	653
BECAME INELIGIBLE	51.5	102
FOREIGN BORN	96.8	14
SECURITY RISK	98.9	66
REEVALUATION REMOVALS	120.7	345
OTHER REASONS	62.1	29
TOTAL PROGRAM REMOVALS	56.6	3,825

TABLE 11

**PROPORTION OF INMATES DISQUALIFIED BY FACILITY
SEPTEMBER 1987 TO SEPTEMBER 30, 1992**

[illegible]

TABLE 12

**COMPARISON COSTS FOR SELECTED FACILITIES BASED ON DATA
PROVIDED BY DOCS BUDGET FOR FY 1991-1992**

<u>FACILITY</u>	<u>AVERAGE POPULATION</u>	<u>TOTAL</u>	<u>SUPPORT</u>	<u>SUPERVISION</u>	<u>HEALTH SERVICES</u>	<u>PROGRAMS</u>	<u>FOOD COSTS</u>	<u>WAGES</u>
		<u>SPENT</u>	<u>SPENT</u>	<u>SPENT</u>	<u>SPENT</u>	<u>SPENT</u>		
		<u>PER INMATE</u>	<u>PER INMATE</u>	<u>PER INMATE</u>	<u>PER INMATE</u>	<u>PER INMATE</u>		
		<u>PER DAY</u>	<u>PER DAY</u>	<u>PER DAY</u>	<u>PER DAY</u>	<u>PER DAY</u>	<u>PER DAY</u>	<u>PER DAY</u>
MONTEREY SICF	209	\$66.78	\$15.45	\$40.60	\$0.83	\$9.90	\$3.18	\$0.97
SUMMIT SICF	174	\$78.44	\$18.28	\$47.53	\$2.08	\$10.55	\$2.87	\$0.85
MORIAH SICF	181	\$73.96	\$17.29	\$47.18	\$1.27	\$8.23	\$3.07	\$0.96
BUTLER SICF	202	\$58.51	\$13.77	\$37.75	\$1.02	\$5.97	\$3.31	\$0.91
LAKEVIEW	822	\$61.14	\$12.90	\$37.88	\$2.39	\$7.97	\$2.81	\$0.57
SHOCK AVG	318	\$64.91	\$14.43	\$40.34	\$1.85	\$8.28	\$2.96	\$0.74
PHARSALIA	210	\$54.25	\$13.89	\$32.96	\$1.36	\$6.04	\$2.21	\$0.85
BEACON	218	\$52.51	\$12.23	\$32.52	\$1.74	\$6.03	\$1.75	\$0.90
GABRIELS	282	\$50.97	\$12.94	\$31.14	\$1.23	\$5.66	\$1.88	\$0.90
GEORGETOWN	261	\$41.73	\$9.14	\$26.71	\$0.90	\$4.97	\$1.17	\$0.78
LYON MT	161	\$65.97	\$13.98	\$43.56	\$1.55	\$6.88	\$1.62	\$0.84
MINIMUM AVG	226	\$51.88	\$12.25	\$32.49	\$1.32	\$5.82	\$1.71	\$0.85
TACONIC	409	\$57.85	\$11.43	\$33.21	\$5.81	\$7.40	\$1.42	\$0.66
WALKILL	556	\$53.36	\$14.01	\$28.68	\$2.99	\$7.69	\$1.10	\$0.79
ALTONA	587	\$54.45	\$11.02	\$33.63	\$2.75	\$7.05	\$1.56	\$0.66
OGDENSBURG	681	\$55.49	\$11.47	\$33.72	\$2.43	\$7.87	\$1.75	\$0.70
WATERTOWN	745	\$52.51	\$11.80	\$30.54	\$2.31	\$7.86	\$2.00	\$0.64
MID-ORANGE	655	\$67.12	\$13.73	\$40.62	\$3.12	\$9.64	\$1.84	\$0.87
MEDIUM AVG	606	\$56.75	\$12.26	\$33.47	\$3.05	\$7.97	\$1.65	\$0.72

TABLE 13

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>FY90-91</u>	<u>FY 91-92</u>	<u>OVERALL AVERAGE</u>
SHOCK	\$62.12	\$69.25	\$80.52	\$69.33	\$64.91	\$69.23
MINIMUMS	\$48.48	\$44.20	\$46.85	\$50.94	\$51.88	\$48.47
MEDIUMS	\$55.09	\$57.42	\$56.07	\$59.75	\$56.75	\$57.02

TABLE 14

**CALCULATIONS USED IN DETERMINING COST AVOIDANCE SAVINGS
FOR THE FIRST 6,400 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
SHOCK	\$69.23	226	\$15,645.98
CAMP	\$48.47	551	\$26,706.97
MEDIUM	\$57.02	551	\$31,418.02
WEIGHTED AVERAGE COST FOR NON-SHOCK FACILITIES	\$52.06	551	\$28,685.61
FOR EACH 100 INMATES SENT TO SHOCK THE COST WOULD BE			
	\$15,645.98	MULTIPLIED BY 100 OR	\$1,564,598.00
IF SHOCK WERE NOT AVAILABLE 60.0% WOULD GO TO CAMPS AND 40.0% WOULD GO TO MEDIUM SECURITY FACILITIES			
THE COST OF HOUSING THESE INMATES WOULD BE	\$26,706.97	MULTIPLIED BY 60 INMATES OR	\$1,602,418.20
PLUS	\$31,418.02	MULTIPLIED BY 40 INMATES OR	\$1,256,720.80
	FOR A TOTAL OF		\$2,859,139.00
TO CALCULATE THE SAVINGS FOR THESE 100 INMATES TO THEIR PAROLE ELIGIBILITY DATE BY SENDING THEM TO A SHOCK FACILITY WE MUST SUBTRACT			
	\$1,564,598.00	FROM	\$2,859,139.00
	FOR A TOTAL OF		\$1,294,541.00
SAVINGS POST PE DATE			
INMATES EQUAL	36		
MONTHS SAVED	9		
ANNUAL COSTS	\$26,800.00		
SAVE PER INMATE	\$20,100.00		
ADD IN SAVINGS FOR POST PE DATE	\$723,600.00		
FOR A TOTAL SAVINGS IN CARE AND CUSTODY PER 100 RELEASES OF			\$2,018,141.00

CAPITAL CONSTRUCTION SAVINGS			
COSTS FOR CONSTRUCTION OF 750 BED MEDIUM SECURITY PRISON			\$64,950,000.00
COSTS FOR CONSTRUCTION OF 250 BED CAMP			\$13,000,000.00
NUMBER OF BEDS SAVED BY SHOCK W/O VACANCIES			1846
	NUMBER OF MEDIUM SECURITY INMATES		738
	NUMBER OF CAMP INMATES		1108
	COST OF ONE MEDIUM BED		\$86,600.00
	COST OF ONE CAMP BED		\$52,000.00
	COSTS FOR HOUSING MEDIUM INMATES	738 BEDS	\$63,945,440.00
	COSTS FOR HOUSING MINIMUM INMATES	1108 BEDS	\$57,505,200.00
	SUBTOTAL: GROSS SAVINGS FOR EARLY RELEASES		\$121,540,640.00
	LOSS FOR	305.7 VACANCIES	\$19,581,300.00
		106.5 MEDIUM VACANCIES	\$9,222,900.00
		199.2 CAMP VACANCIES	\$10,358,400.00
CAPITAL CONSTRUCTION AVOIDANCE SAVINGS FOR			1,540 BEDS
OPERATIONAL SAVINGS FOR			\$101,959,340.00
	6,400 GRADUATES		\$129,161,024.00
<p>THIS SAVINGS SHOULD BE OFFSET BY COSTS OF HOUSING 3,825 INMATES WHO STARTED SHOCK BUT DID NOT COMPLETE THE PROGRAM. THEY STAYED AN AVERAGE OF 56.6 DAYS AT \$69.23 PER DAY INSTEAD OF 56.6 DAYS AT \$52.06 PER DAY. THE DIFFERENCE IN HOUSING COSTS FOR HOUSING SHOCK REMOVALS WAS \$971.82. THIS FIGURE MULTIPLIED BY 3,825 REMOVALS EQUALS AN OFFSET OF</p>			
			\$3,717,002.66
REVISED OPERATIONAL SAVINGS ACCOUNTING FOR PROGRAM REMOVALS			\$125,444,021.35
CAPITAL SAVINGS FOR			6,400 GRADUATES
TOTAL SAVINGS FOR			\$227,403,361.35

TABLE 15
SHOCK BED SAVINGS AS OF SEPT. 30, 1992

MONTH	SHOCK RELEASES	REACHED PE FACTOR *	REACHED PE DATE	EEP RELEASE RATE	WOULD HAVE BEEN RELEASED UNDER EEP
3/88-4/90	1,815	1.0000	1815	0.9984	1812
MAY 90	168	0.9941	167	0.9873	165
JUNE 90	157	0.9799	154	0.9864	152
JUL 90	163	0.9652	157	0.9850	155
AUG 90	176	0.9489	167	0.9841	164
SEP 90	143	0.9347	134	0.9782	131
OCT 90	195	0.9086	177	0.9737	173
NOV 90	199	0.8918	177	0.9688	172
DEC 90	140	0.8741	122	0.9688	119
JAN 91	170	0.8600	146	0.9671	141
FEB 91	98	0.8456	83	0.9651	80
MAR 91	165	0.8287	137	0.9626	132
APR 91	137	0.8068	111	0.9545	106
MAY 91	142	0.7926	113	0.9479	107
JUN 91	149	0.7671	114	0.9363	107
JUL 91	153	0.7316	112	0.9306	104
AUG 91	119	0.6927	82	0.9223	76
SEP 91	160	0.6589	105	0.9123	96
OCT 91	181	0.6110	111	0.8777	97
NOV 91	192	0.5772	111	0.8578	95
DEC 91	206	0.5336	110	0.8234	91
JAN 92	137	0.4841	66	0.8039	53
FEB 92	162	0.4377	71	0.7605	54
MAR 92	152	0.4022	61	0.7411	45
APR 92	198	0.3501	69	0.6856	48
MAY 92	121	0.3040	37	0.6691	25
JUN 92	142	0.2355	33	0.6501	22
JUL 92	172	0.1689	29	0.6392	19
AUG 92	153	0.1063	16	0.6392	10
SEP 92	135	0.0679	9	0.6392	6
TOTAL	6,400		4,798		4,554
PE NOT REACHED		1,602			
NOT RELEASED THROUGH PAROLE OR CR					243
BED SAVINGS AS OF SEPTEMBER 30, 1992					1,846

TABLE 16

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 26, 1992

CHARACTERISTICS	SHOCK MALES N=1,460	CAMP MALES N=770	LYON MOUNT N=160	MEDIUM MALES N=3,571	SHOCK FEMALES N=122	CAMP FEMALES N=132	MEDIUM FEMALES N=1,671
Percent 21 Years or Older	69.9%	89.6%*	90.6%*	90.8%*	90.2%	90.9%	91.7%
Percent Time to PE 13 mo. Plus	68.3%	68.7%	84.4%*	88.8%*	79.5%	72.0%	83.5%
Percent Alcoholic MAST Scores	29.5%	33.1%	21.9%*	30.6%	14.5%	24.6%**	23.6%**
Percent Drug Offenders	71.9%	49.7%*	69.4%	41.6%*	93.4%	83.3%**	69.3%**
Percent Drug Use	67.4%	63.6%	79.7%*	71.6%*	60.7%	45.5%**	49.5%**
Percent 2ND Felony Offenders	46.4%	67.9%*	74.4%*	68.6%*	54.9%	55.3%	57.8%
Percent White Inmates	16.9%	20.1%	16.9%	14.9%	9.0%	9.8%	9.9%
Percent Black Inmates	44.0%	48.6%*	42.5%*	50.9%*	57.4%	59.8%	50.5%
Percent Hispanic Inmates	38.2%	30.9%*	40.6%	33.5%*	33.6%	29.5%	39.1%
Percent N.Y. City Commitments	60.2%	65.8%*	64.4%	72.7%*	69.7%	66.7%	73.8%
Percent Medium Security	2.9%	10.4%*	19.0%*	72.4%*	1.6%	3.8%	52.2%
Percent Minimum Security	97.1%	89.6%*	81.0%*	27.6%*	98.4%	96.2%	47.8%
Percent Education Thru 9th Grade	31.7%	29.7%	39.4%*	28.6%*	24.6%	28.5%	33.3%**
Percent With 12th Grade Plus	32.2%	37.3%*	28.8%	42.2%*	37.7%	33.1%	35.5%
Average Aggregate Min. Sent.	22.2 MO	22.3 MO	30.9 MO*	45.1 MO*	24.3 MO	22.1 MO**	31.3 MO**
Average Aggregate Max. Sent.	66.7 MO	52.4 MO*	75.9 MO	107.5 MO*	72.6 MO	59.4 MO	87.6 MO**
Average Prior Felony Arrests	1.93	3.08*	3.25*	3.14*	1.62	1.95	2.05**
Average Prior Felony Convictions	.62	1.3*	1.35*	1.33*	.67	.81	.89**
Average Age at Recep.	25.2 YRS	30.1 YRS*	30.7 YRS*	30.7 YRS*	27.8 YRS	30.3 YRS**	31.1 YRS**
Average Time PE At Recep.	18.4 MO	17.3 MO*	25.9 MO*	38.8 MO*	20.4 MO	16.2 MO**	26.0 MO**
Average Educational Level	10.3 GR	10.4 GR	10.2 GR	10.6 GR*	10.6 GR	10.3 GR	10.2 GR
Average Jail Time At Recep.	113 days	153 days*	151 days*	191 days*	119 days	123 days	162 days**
Average TABE Reading Scores	8.26	8.25	7.92	7.97*	8.16	6.77**	7.06**
Average TABE Math Scores	7.22	6.98	7.01	6.72*	7.08	6.06**	6.01**

* 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 17

PROPORTIONAL DISTRIBUTIONS AND AVERAGES OF SHOCK INMATES AS PRESENTED IN
LEGISLATIVE REPORTS ON DEMOGRAPHIC AND LEGAL VARIABLES

CHARACTERISTICS	SHOCK MALES					SHOCK FEMALES			
	1989 N=412	1990 N=899	1991 N=1,040	1992 N=1,245	1993 N=1,460	1990 N= 50	1991 N=113	1992 N=95	1993 N=122
Percent 21 Years or Older	55.8%	62.1%	61.8%	59.9%	69.9%	88.0%	84.1%	88.4%	90.2%
Percent Time to PE 13 mo. Plus	68.7%	50.0%	66.6%	66.5%	68.3%	64.0%	78.8%	85.3%	79.5%
Percent Alcoholic MAST Scores	24.7%	20.1%	20.8%	26.9%	29.5%	16.3%	20.2%	22.6%	14.5%
Percent Drug Offenders	64.6%	72.3%	71.7%	71.8%	71.9%	94.0%	90.3%	88.4%	93.4%
Percent Drug Use	NA	75.0%	74.2%	65.5%	67.4%	84.0%	69.6%	54.7%	60.7%
Percent 2ND Felony Offenders	41.3%	40.7%	44.7%	44.4%	46.4%	48.0%	63.1%	63.2%	54.9%
Percent White Inmates	19.6%	14.3%	14.2%	13.5%	16.9%	4.0%	9.7%	10.5%	9.0%
Percent Black Inmates	48.7%	50.2%	49.5%	48.8%	44.0%	34.0%	39.8%	55.8%	57.4%
Percent Hispanic Inmates	31.1%	34.0%	34.5%	36.8%	38.2%	62.0%	49.6%	32.6%	33.6%
Percent N.Y. City Commitments	70.9%	66.4%	65.2%	64.0%	60.2%	84.0%	72.6%	69.5%	69.7%
Percent Medium Security	NA	42.2%	41.7%	43.2%	2.9%	16.0%	32.8%	26.3%	1.6%
Percent Minimum Security	NA	57.8%	58.3%	56.8%	97.1%	84.0%	67.2%	73.7%	98.4%
Percent Education Thru 9th Grade	40.2%	36.7%	33.6%	32.5%	31.7%	39.6%	40.2%	35.1%	24.6%
Percent With 12th Grade Plus	24.3%	23.4%	27.2%	24.0%	32.2%	22.9%	26.2%	36.2%	37.7%
Average Aggregate Min. Sent.	21.3 MO	20.7 MO	21.6 MO	21.7 MO	22.2 MO	22.2 MO	22.4 MO	25.8 MO	24.3 MO
Average Aggregate Max. Sent.	65.9 MO	58.9 MO	62.3 MO	65.1 MO	66.7 MO	64.3 MO	68.9 MO	68.5 MO	72.6 MO
Average Prior Felony Arrests	2.2	2.0	2.0	2.0	1.93	1.7	1.8	1.68	1.62
Average Prior Felony Convictions	0.5	0.6	0.6	0.6	.62	0.6	0.7	0.75	.67
Average Age at Recep.	21.5 YRS	22.4 YRS	23.7 YRS	23.2 YRS	25.2 YRS	24.0 YRS	25.1 YRS	25.2 YRS	27.8 YRS
Average Time PE At Recep.	17.3 MO	16.8 MO	18.1 MO	17.7 MO	18.4 MO	17.2 MO	18.6 MO	20.9 MO	20.4 MO
Average Educational Level	10TH GR	10.1 GR	10.2 GR	10.1 GR	10.3 GR	10.1 GR	10.3 GR	10.4 GR	10.6 GR
Average Jail Time At Recep.	103 DAYS	101DAYS	106 DAYS	122 DAYS	113 days	134 DAYS	119 DAYS	147 DAYS	119 days
Average TABE Reading Scores	NA	7.7	7.7	8.1	8.3	6.7	7.1	7.8	8.2
Average TABE Math Scores	NA	6.6	6.4	7.0	7.2	5.9	6.3	6.5	7.1

TABLE 18

SUMMARY OF REPORTED TABE SCORES

LEGISLATIVE REPORT YEARS

	1990	1991	1992	1993
MATH TABE SCORES				
AT RECEPTION	7.3	7.3	7.3	7.6
AT GRADUATION	8.8	8.5	8.3	8.5
CHANGE IN SCORES	1.5	1.2	1.0	0.9
RECEPTION OF 9TH GRADE PLUS	20.3%	20.2%	22.1%	25.2%
GRADUATION OF 9TH GRADE PLUS	41.0%	34.5%	33.2%	37.6%
CHANGE IN PERCENTAGE	20.7%	14.3%	11.1%	12.4%
READING TABE SCORES				
AT RECEPTION	7.9	8.0	8.1	8.4
AT GRADUATION	8.8	8.6	8.7	8.8
CHANGE IN SCORES	0.9	0.6	0.6	0.4
RECEPTION OF 9TH GRADE PLUS	37.5%	41.5%	37.8%	42.4%
GRADUATION OF 9TH GRADE PLUS	45.7%	43.7%	44.8%	47.8%
CHANGE IN PERCENTAGE	8.2%	2.2%	7.0%	5.4%
PERCENT WHO INCREASED IN MATH	68.9%	63.8%	56.3%	52.9%
BY 2 OR MORE GRADES	48.4%	40.2%	33.3%	29.2%
BY 4 OR MORE GRADES	16.2%	12.2%	9.0%	8.1%
PERCENT WHO INCREASED IN READING	54.3%	49.3%	49.3%	43.2%
BY 2 OR MORE GRADES	35.5%	30.2%	38.5%	22.1%
BY 4 OR MORE GRADES	6.0%	4.0%	4.7%	4.0%

TABLE 19

**ASSOCIATION BETWEEN AVERAGE TABE ENTRY AND EXIT SCORES
AND GED STATUS FY 1991-1992**

	<i>HAD GED</i>	<i>TOOK GED PASSED</i>	<i>TOOK GED FAILED</i>	<i>DID NOT TAKE GED</i>
TABE TEST SCORE				
<i>MATH AT RECEPTION</i>	9.1	9.0	7.8	6.1
<i>MATH AT GRADUATION</i>	10.1	9.8	8.6	6.7
<i>READING AT RECEPTION</i>	10.4	10.3	8.4	6.3
<i>READING AT GRADUATION</i>	10.7	10.6	8.8	6.7
	(N=496)	(N=296)	(N=261)	(N=685)

TABLE 20

RESULTS OF GED TESTING
FY 1991-1992

FACILITY	AVERAGE NUMBER OF INMATES	NUMBER OF TESTING MONTHS	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	209	9	206	116	12.9	83	56.3%	71.6%
SUMMIT SICF	174	6	83	37	6.2	26	44.6%	70.3%
MORIAH SICF	181	10	270	148	14.8	88	54.8%	59.5%
BUTLER SICF	202	9	130	97	10.8	57	74.6%	58.8%
LAKEVIEW SICF *	430	6	446	292	48.7	166	65.5%	56.8%
SHOCK DATA	1,196	40	1,135	690	17.3	420	60.8%	60.9%
PHARSALIA	210	1	12	9	9.0	3	75.0%	33.3%
BEACON	218	0	0	0	0.0	0	0.0%	0.0%
GABRIELS	282	0	0	0	0.0	0	0.0%	0.0%
GEORGETOWN	261	3	71	36	12.0	14	50.7%	38.9%
LYON MT	161	4	45	21	5.3	16	46.7%	76.2%
MINIMUM DATA	1,132	8	128	66	8.3	33	51.6%	50.0%
TACONIC	409	2	110	52	26.0	25	47.3%	48.1%
WALLKILL	556	3	115	38	12.7	29	33.0%	76.3%
ALTONA	587	3	245	113	37.7	55	46.1%	48.7%
OGDENSBURG	681	2	73	36	18.0	21	49.3%	58.3%
WATERTOWN	745	4	300	118	29.5	82	39.3%	69.5%
MID-ORANGE	655	3	193	48	16.0	32	24.9%	66.7%
MEDIUM DATA	3,633	17	1,036	405	23.8	244	39.1%	60.2%
* LAKEVIEW POPULATION DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS								

TABLE 21

SUMMARY OF GED ACTIVITY

LEGISLATIVE REPORT YEARS

	<i>1989</i>	<i>1990</i>	<i>1991</i>	<i>1992</i>	<i>1993</i>
SHOCK					
TESTS GIVEN	9	10	21	38	40
INMATES SCREENED	324	379	1,139	1,237	1,135
INMATES TESTED	243	266	628	594	690
PERCENT PASSING	55.9%	40.0%	46.7%	60.9%	60.9%
MINIMUMS					
TESTS GIVEN	10	4	14	11	8
INMATES SCREENED	289	106	279	202	128
INMATES TESTED	179	60	195	135	66
PERCENT PASSING	63.1%	55.0%	57.4%	55.6%	50.0%
MEDIUMS					
TESTS GIVEN	10	5	18	20	17
INMATES SCREENED	586	226	1,460	1,400	1,036
INMATES TESTED	233	138	629	515	405
PERCENT PASSING	60.9%	41.3%	48.3%	48.0%	60.2%

TABLE 22

*DISTRIBUTION OF DISCIPLINARY ACTIVITY
PROVIDED BY SHOCK FACILITIES FY 91-92*

NUMBER OF REPORTS	NUMBER OF INMATES	TOTAL REPORTS FOR INMATES
0	1,977	0
1	488	488
2	174	348
3	61	183
4	19	76
5	12	60
6	3	18
7	1	7
8	1	8
9	2	18
10	1	10
TOTAL	2,739	1,216

TABLE 23

DISTRIBUTION OF DISCIPLINARY ACTIVITY
PROVIDED BY SHOCK FACILITIES BY TIER TYPE FOR
GRADUATES AND INMATE TRANSFERS FROM THE PROGRAM
FY 1991-1992

DISCIPLINE TYPE	GRADUATES				TRANSFERS				TOTAL			
	INMATES		REPORTS		INMATES		REPORTS		INMATES		REPORTS	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
NONE	1,430	83.5%	0	0.0%	547	53.3%	0	0.0%	1,977	72.2%	0	0.0%
TIER II	249	14.5%	311	87.9%	240	23.4%	412	47.8%	489	17.9%	723	59.5%
TIER III	34	2.0%	43	12.1%	239	23.3%	450	52.2%	273	10.0%	493	40.5%
TOTAL	1,713	100.0%	354	100.0%	1,026	100.0%	862	100.0%	2,739	100.0%	1,216	100.0%

TABLE 24

MOST SERIOUS MISBEHAVIOR TYPE BY INMATE EXIT STATUS
FY 1991-1992

DISCIPLINARY CHARGE	GRADUATES		TRANSFERS		TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
INMATE FIGHTS	49	17.3%	63	13.2%	112	14.7%
STAFF ASSAULTS	4	1.4%	27	5.6%	31	4.1%
VERBAL ABUSE OF STAFF	22	7.8%	66	13.8%	88	11.5%
FED UP W/ PROGRAM	23	8.1%	84	17.5%	107	14.0%
REFUSE ORDERS	87	30.7%	136	28.4%	223	29.3%
DISRUPT BEHAVIOR	8	2.8%	6	1.3%	14	1.8%
CONTRABAND	1	0.4%	3	0.6%	4	0.5%
THEFT	11	3.9%	10	2.1%	21	2.8%
LYING	21	7.4%	23	4.8%	44	5.8%
ESCAPE	0	0.0%	2	0.4%	2	0.3%
ESCAPE THREAT	0	0.0%	3	0.6%	3	0.4%
DESTROY PROPERTY	9	3.2%	6	1.3%	15	2.0%
DISOBEY RULES	45	15.9%	35	7.3%	80	10.5%
MISUSE OF MAIL	3	1.1%	15	3.1%	18	2.4%
TOTAL	283	100.0%	479	100.0%	762	100.0%

TABLE 25

COMPARISON OF PROPORTION OF INMATES INVOLVED IN DISCIPLINARY REPORT
BY TIER TYPE FOR GRADUATES AND INMATE TRANSFERS
AS PRESENTED IN LEGISLATIVE REPORTS

	GRADUATE INMATES				TANSFER INMATES			
	<i>1990</i>	<i>1991</i>	<i>1992</i>	<i>1993</i>	<i>1990</i>	<i>1991</i>	<i>1992</i>	<i>1993</i>
NONE	78.7%	75.8%	83.1%	83.5%	73.4%	63.9%	60.6%	53.3%
TIER II	17.5%	20.1%	14.5%	14.5%	10.7%	17.1%	22.6%	23.4%
TIER III	3.8%	4.1%	2.5%	2.0%	15.7%	19.0%	16.8%	23.3%

TABLE 26

DISCIPLINARY DATA FOR SHOCK AND COMPARISON FACILITIES FY 1991-1992

FACILITY	TOTAL					MISBEHAVIOR	TIER 1	TIER 2	TIER 3
	AVG	MISBEHAVIOR	TIER 1	TIER 2	TIER 3	REPORTS PER	RATE PER	RATE PER	RATE PER
	POP	REPORTS	REPORTS	REPORTS	REPORTS	1,000 INMATES	1,000 INMATES	1,000 INMATES	1,000 INMATES
MONTEREY SICF	209	213	33	101	79	1,019	158	483	378
SUMMIT SICF	174	487	140	267	80	2,799	805	1,534	460
MORIAH SICF	181	424	14	368	42	2,343	77	2,033	232
BUTLER SICF	202	297	0	226	71	1,470	0	1,119	351
LAKEVIEW SICF	430	236	12	115	109	549	28	267	253
SHOCK AVG	239	331	40	215	76	1,636	214	1,087	335
PHARSALIA	210	539	205	221	113	2,567	976	1,052	538
BEACON	218	691	377	270	44	3,170	1,729	1,239	202
GABRIELS	282	833	270	462	101	2,954	957	1,638	358
GEORGETOWN	261	1,622	721	648	253	6,215	2,762	2,483	969
LYON MT	161	362	204	155	3	2,248	1,267	963	19
MINIMUM AVG	226	809	355	351	103	3,431	1,539	1,475	417
TACONIC	409	1,193	366	756	71	2,917	895	1,848	174
WALKILL	556	1,267	330	805	132	2,279	594	1,448	237
ALTONA	587	2,327	1,263	825	239	3,964	2,152	1,405	407
OGDENSBURG	681	2,161	991	1,084	86	3,173	1,455	1,592	126
WATERTOWN	745	2,244	1,048	1,041	155	3,012	1,407	1,397	208
MID-ORANGE	655	1,319	651	519	149	2,014	994	792	227
MEDIUM AVG	606	1,752	775	838	139	2,893	1,249	1,414	230

** LAKEVIEW POPULATION DOES NOT INCLUDE RECEPTION OR ANNEX DORMS

TABLE 27

UNUSUAL INCIDENTS OCCURRING IN FY 1991-92

FACILITY	AVG		RATE OF UI'S												
	NUMBER OF	NUMBER	PER 1,000	STAFF	INMATE	INMATE	SUICIDE			CONTRA-	TEMP	DISRUPT			
	INMATES	OF UI'S	INMATES	ASSLTS	ASSLTS	DEATHS	ESCAPES	FIRES	ATTEMPT	BAND	ACCIDENT	REL	BEHAV	OTHER	TOTAL
MONTEREY SICF	209	2	9.6	0	0	0	0	0	0	0	1	0	0	1	2
SUMMIT SICF	174	9	51.7	1	0	0	0	1	1	0	3	0	0	3	9
MORIAH SICF	181	7	38.7	3	0	0	0	0	0	0	1	0	0	3	7
BUTLER SICF	202	11	54.5	8	0	0	1	1	0	0	1	0	0	0	11
LAKEVIEW SICF**	430	29	67.4	7	0	1	0	0	1	2	11	0	2	5	29
SHOCK AVG	239	12	48.5	19	0	1	1	2	2	2	17	0	2	12	58
PHARSALIA	210	10	47.6	3	0	0	0	0	0	0	5	0	0	2	10
BEACON	218	14	64.2	0	0	0	0	0	0	1	5	5	0	3	14
GABRIELS	282	14	49.6	0	0	0	1	1	0	1	4	2	1	4	14
GEORGETOWN	261	31	118.8	3	9	0	0	0	0	5	9	0	1	4	31
LYON MOUNTAIN	161	2	12.4	0	0	0	0	0	0	0	0	0	1	1	2
MINIMUM AVG	226	14	62.7	6	9	0	1	1	0	7	23	7	3	14	71
TACONIC	409	20	48.9	0	2	2	0	1	0	3	2	1	0	9	20
WALKILL	558	32	57.6	0	5	2	0	4	0	9	7	0	1	4	32
ALTONA	587	52	88.6	5	12	2	0	0	0	18	9	0	1	5	52
OGDENSBURG	681	30	44.1	2	5	7	0	1	0	7	5	0	1	2	30
WATERTOWN	745	26	34.9	3	5	4	0	1	0	0	4	0	2	7	26
MID-ORANGE	655	50	76.3	1	3	6	0	7	0	14	7	1	1	10	50
MEDIUM AVG	606	35	57.8	11	32	23	0	14	0	51	34	2	6	37	210

**LAKEVIEW POPULATION DATA DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS

TABLE 28

**UI STAFF AND INMATES ASSAULTS
FISCAL YEAR 1991-1992**

FACILITY	NUMBER OF U'S	STAFF ASSLTS	WITH INJURY	PERCENT	INMATE ASSLTS	WITH INJURY	PERCENT
MONTEREY SICF	2	0	0	0.0%	0	0	0.0%
SUMMIT SICF	9	1	1	100.0%	0	0	0.0%
MORIAH SICF	7	3	2	66.7%	0	0	0.0%
BUTLER SICF	11	8	3	37.5%	0	0	0.0%
LAKEVIEW SICF*	29	7	4	57.1%	0	0	0.0%
SHOCK DATA	58	19	10	52.6%	0	0	0.0%
PHARSALIA	10	3	1	33.3%	0	0	0.0%
BEACON	14	0	0	0.0%	0	0	0.0%
GABRIELS	14	0	0	0.0%	0	0	0.0%
GEORGETOWN	31	3	1	33.3%	9	9	100.0%
LYON MOUNTAIN	2	0	0	0.0%	0	0	0.0%
MINIMUM DATA	71	6	2	33.3%	9	9	100.0%
TACONIC	20	1	0	0.0%	2	2	100.0%
WALKILL	32	4	0	0.0%	5	5	100.0%
ALTONA	52	4	2	50.0%	12	12	100.0%
OGDENSBURG	30	1	1	100.0%	5	5	100.0%
WATERTOWN	26	6	3	50.0%	5	5	100.0%
MID-ORANGE	50	3	1	33.3%	3	3	100.0%
MEDIUM DATA	210	19	7	36.8%	32	32	100.0%
ALL DOCS FACILITIES		1,215	692	57.0%	1,145	80	7.0%

*LAKEVIEW POPULATION DATA DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS

Table 29

Summary Of Total Parole Board Interviews
Of Shock Incarceration Candidates
April 1 Through September 30, 1992

Type	Granted Release		Postponed for Completion		Denied Release		Total Interviews	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Shock	947	98%	17	2%	6	< 1%	970	100%
Reevaluation	61	98%	1	2%	0	0%	62	100%
Total	1,008	98%	18	2%	6	< 1%	1,032	100%

Table 30

Parole Officer Productivity
Ratio Of Achieved To Expected Supervision Objectives
April - September 1992

Objective	Aggregate Results		Statewide Aggregate Ratio of Achieved To Expected	Case By Case Ratio of Ach. To Expected
	Number Achieved	Number Expected		
Home Visits	10,050	9,673	1.04 to 1	.91 to 1*
Home Visits Pos.	6,758	4,875	1.39 to 1	.94 to 1*
Emp Verifications	2,551	2,024	1.26 to 1	.75 to 1*
Prog Verifications	15,060	4,637	3.25 to 1	.96 to 1*
Case Conferences	19,548	12,555	1.56 to 1	1.00 to 1

* An analysis of case-by-case compliance reveals that individual parole officers supervising Shock parolees did not fully reach Shock supervision objectives and demonstrates that improvement is necessary in these areas.

Table 31

Demographic And Legal Comparisons
Shock And The Comparison Group Releases Between
March 1988 And March 1992

CHARACTERISTICS	PRESHOCK N=3,233	CONSIDERED N=6,089	REMOVAL N=1,912	SHOCK GRADUATES N=5,461
Percent 21 Years or Older	81.6% *	73.0% *	61.5% *	66.7%
Percent Female	7.5%	11.9% *	6.8%	6.4%
Percent A-II Felons	5.2% *	1.9% *	0.6% *	6.3%
Percent Drug Offenders	55.6% *	61.6% *	63.5% *	71.8%
Percent With Prior Felony Conviction	57.2% *	45.1% *	48.3% *	53.3%
Percent 2ND Felony Offenders	52.3%	43.8% *	48.6%	50.8%
Percent White Inmates	15.1%	14.9% *	11.8% *	16.5%
Percent Black Inmates	42.4% *	51.6% *	51.9% *	47.7%
Percent Hispanic Inmates	42.5% *	33.5% *	36.2%	35.8%
Percent N.Y. City Commitments	72.3% *	70.2% *	75.2% *	64.4%
Percent Medium Security	58.4% *	50.0% *	38.8%	41.1%
Percent Minimum Security	41.5% *	48.4% *	60.6%	58.8%
Percent Education Thru 9th Grade	32.7%	36.0%	43.5% *	33.9%
Percent With 12th Grade Plus	5.9%	4.5%	2.1% *	4.9%
Average Aggregate Min. Sent.	22.0 MO	17.5 MO*	17.7 MO*	21.7 MO
Average Aggregate Max. Sent.	50.3 MO	43.4 MO*	43.8 MO*	50.8 MO
Average Prior Felony Arrests	2.77 *	2.33 *	2.44 *	2.05
Average Prior Felony Convictions	1.08 *	.71	.74	.71
Average Age at Reception	24.1YRS*	22.8YRS*	21.6YRS*	22.2YRS
Average Time PE At Recep.	18.2MO	13.4MO *	14.0MO *	17.9MO
Average Educational Level	10.29GR	10.11GR*	9.79GR*	10.22GR
Average Jail Time At Recep.	120 DAYS*	125 DAYS*	109 DAYS	111 DAYS
Average Time In DOCS Custody	19.9 MO*	14.5 MO*	15.0 MO*	7.3 MO

* Indicates a significant difference between Shock and comparison group

Table 32

Employment / Program Enrollment Rates
Shock And Comparison Group Parolees
Released Between 10/1/91 - 3/31/92

GROUP	NUMBER	EMPLOYED	ENROLLED IN PROGRAM
SHOCK	1,034	58%	81%
PRE-SHOCK	127	47%	52% *
CONSIDERED	1,227	32% *	55% *
REMOVAL	453	29% *	55% *

* Indicates statistically significant difference with Shock group

TABLE 33

**RETURN RATES FOR SHOCK GRADUATES AND THE COMPARISON GROUPS
CONTROLLING FOR TIME OF EXPOSURE TO PAROLE SUPERVISION**

	MARCH 1988 - MARCH 1989				APRIL 1988 - MARCH 1990				APRIL 1990 - MARCH 1991				TOTALS			
	SHOCK GRADS	PRE SHOCK	CONSIDERED	REMOVED	SHOCK GRADS	PRE SHOCK	CONSIDERED	REMOVED	SHOCK GRADS	PRE SHOCK	CONSIDERED	REMOVED	SHOCK GRADS	PRE SHOCK	CONSIDERED	REMOVED
	12 MONTH EXPOSURE				12 MONTH EXPOSURE				12 MONTH EXPOSURE				12 MONTH EXPOSURE			
NUMBER OF CASES	585	904	360	66	1,060	1,067	1,254	291	1,839	936	2,028	696	3,584	2,907	3,842	1,055
ALL RETURNS	84	126	68	9	133	189	223	71	182	112	275	109	409	437	568	189
% OF CASES	16.1%	13.9%	18.9%	13.6%	12.5%	18.7%	17.8%	24.4%	9.4%	12.0%	13.6%	15.6%	11.4%	15.0%	15.5%	17.8%
NEW CRIMES	39	69	26	4	69	88	100	29	101	72	179	61	209	239	305	94
% OF CASES	6.7%	7.6%	7.2%	6.1%	6.5%	9.2%	8.0%	10.0%	5.2%	7.7%	8.8%	8.7%	5.8%	8.2%	8.4%	8.9%
RPV'S	55	57	42	5	64	101	123	42	81	40	96	48	200	198	281	95
% OF CASES	9.4%	6.3%	11.7%	7.6%	6.0%	9.5%	8.8%	14.4%	4.2%	4.3%	4.7%	6.9%	5.6%	6.8%	7.2%	9.0%
	24 MONTH EXPOSURE				24 MONTH EXPOSURE				24 MONTH EXPOSURE				24 MONTH EXPOSURE			
NUMBER OF CASES	585	904	360	66	1,060	1,067	1,254	291	This group of releases has not yet had 24 months exposure to Parole Supervision as of March 31, 1992.				1,845	1,971	1,814	357
ALL RETURNS	230	347	156	32	313	393	478	118					543	740	835	150
% OF CASES	39.3%	38.4%	43.3%	48.5%	29.5%	36.8%	38.2%	40.5%					33.0%	37.5%	39.3%	42.0%
NEW CRIMES	99	173	62	12	158	207	250	57					257	380	312	69
% OF CASES	16.9%	19.1%	17.2%	18.2%	14.9%	19.4%	19.9%	19.6%					15.6%	19.3%	19.3%	19.3%
RPV'S	131	174	94	20	155	186	229	61					288	360	323	81
% OF CASES	22.4%	19.2%	26.1%	30.3%	14.6%	17.4%	18.3%	21.0%					17.4%	18.3%	20.0%	22.7%
	36 MONTH EXPOSURE				36 MONTH EXPOSURE				36 MONTH EXPOSURE				36 MONTH EXPOSURE			
NUMBER OF CASES	585	904	360	66	This group of releases has not yet had 36 months exposure to Parole Supervision as of March 31, 1992.				This group of releases has not yet had 36 months exposure to Parole Supervision as of March 31, 1992.				585	904	360	66
ALL RETURNS	288	480	193	36									288	480	193	36
% OF CASES	49.2%	50.9%	53.6%	54.5%									49.2%	50.9%	53.6%	54.5%
NEW CRIMES	122	230	88	15									122	230	88	15
% OF CASES	20.9%	25.4%	24.4%	22.7%									20.9%	25.4%	24.4%	22.7%
RPV'S	188	230	105	21									188	230	105	21
% OF CASES	28.4%	25.4%	29.2%	31.8%									28.4%	25.4%	29.2%	31.8%

Table 34

Removal Rates Of Shock And Non-Shock Parolees
Featured In The 36-Month Follow-up

Time Since Release	Number Active at Start of Period	Returned to Custody		Discharged Within Period		At Risk at End of Period	
		Number	Percent	Number	Percent	Number	Percent
<u>Shock</u>							
Pre 12 Months	585	94	16%	9	2%	482	82%
12 - 24 Months	482	136	23%	9	2%	337	58%
Post 24 Months	337	58	10%	112	19%	167	29%
Total For 36 Months	585	288	49%	130	22%	167	29%
<u>Pre-Shock</u>							
Pre 12 Months	904	126	14%	19	2%	759	84%
12 - 24 Months	759	221	24%	103	11%	435	48%
Post 24 Months	435	113	13%	156	17%	166	18%
Total For 36 Months	904	460	51%	278	31%	166	18%
<u>Considered</u>							
Pre 12 Months	360	68	19%	5	1%	287	80%
12 - 24 Months	287	88	24%	36	10%	163	45%
Post 24 Months	163	37	10%	96	27%	30	8%
Total For 36 Months	360	193	54%	137	38%	30	8%
<u>Removals</u>							
Pre 12 Months	66	9	14%	0	0%	57	86%
12 - 24 Months	57	23	35%	14	21%	20	30%
Post 24 Months	20	4	6%	9	14%	7	11%
Total For 36 Months	66	36	55%	23	35%	7	11%

Table 35

**Time From Release To Delinquency For Shock And Non-Shock
Parolees Featured In The 36-Month Follow-up**

<u>GROUP</u>	<u>0-6 MONTHS PERCENT</u>	<u>7-12 MONTHS PERCENT</u>	<u>12 MONTHS PLUS PERCENT</u>	<u>TOTAL PERCENT</u>
SHOCK				
Rule Violator	47%	29%	24%	100%
New Crime	45%	27%	28%	100%
Shock Total	46%	28%	26%	100%
PRE-SHOCK				
Rule Violator	55%	28%	17%	100%
New Crime	46%	25%	29%	100%
Pre. Total	51%	27%	22%	100%
CONSIDERED				
Rule Violator	54%	32%	14%	100%
New Crime	47%	22%	31%	100%
Cons. Total	51%	28%	21%	100%
REMOVALS				
Rule Violator	52%	38%	10%	100%
New Crime	64%	36%	0%	100%
Rem. Total	56%	38%	6%	100%

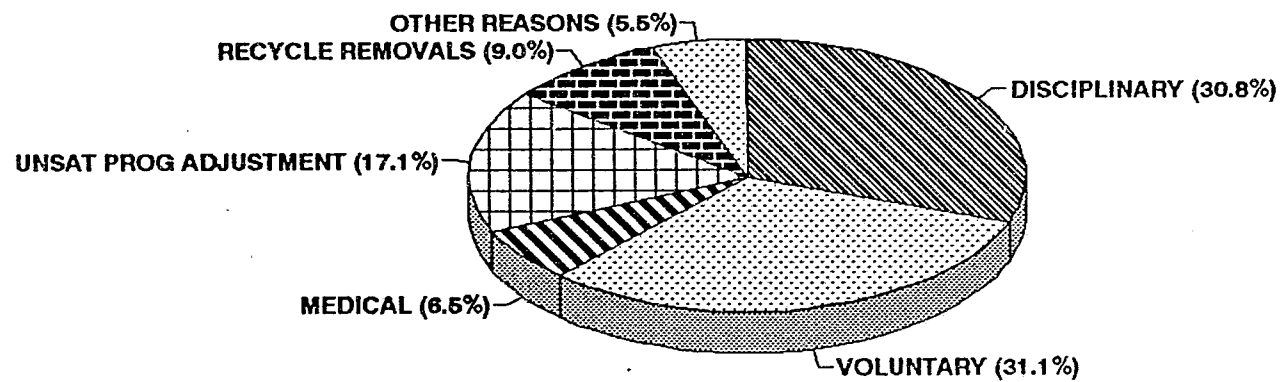
Table 36

One Year Out Results
 Shock / Comparison Group Females
 Releases From 6/89 through 3/91
 Returns As of 3/31/92

Group	Number Released	# Non>Returns % Non>Returns	# Returned % Returned	# New Crimes % New Crimes	# Rule Violators % Rule Violators
Shock	215	199 92.6%	16 7.4%	10 4.7%	6 2.8%
Pre-Shock	201	177 88.1%	24 11.9%	11 5.5%	13 6.5%
Considered	357	320 89.6%	37 10.4%	18 5.0%	19 5.3%
Removal	58	51 87.9%	7 12.1%	4 6.9%	3 5.2%

REASONS FOR BEING REMOVED FROM SHOCK SEPTEMBER 1987 - SEPTEMBER 1992

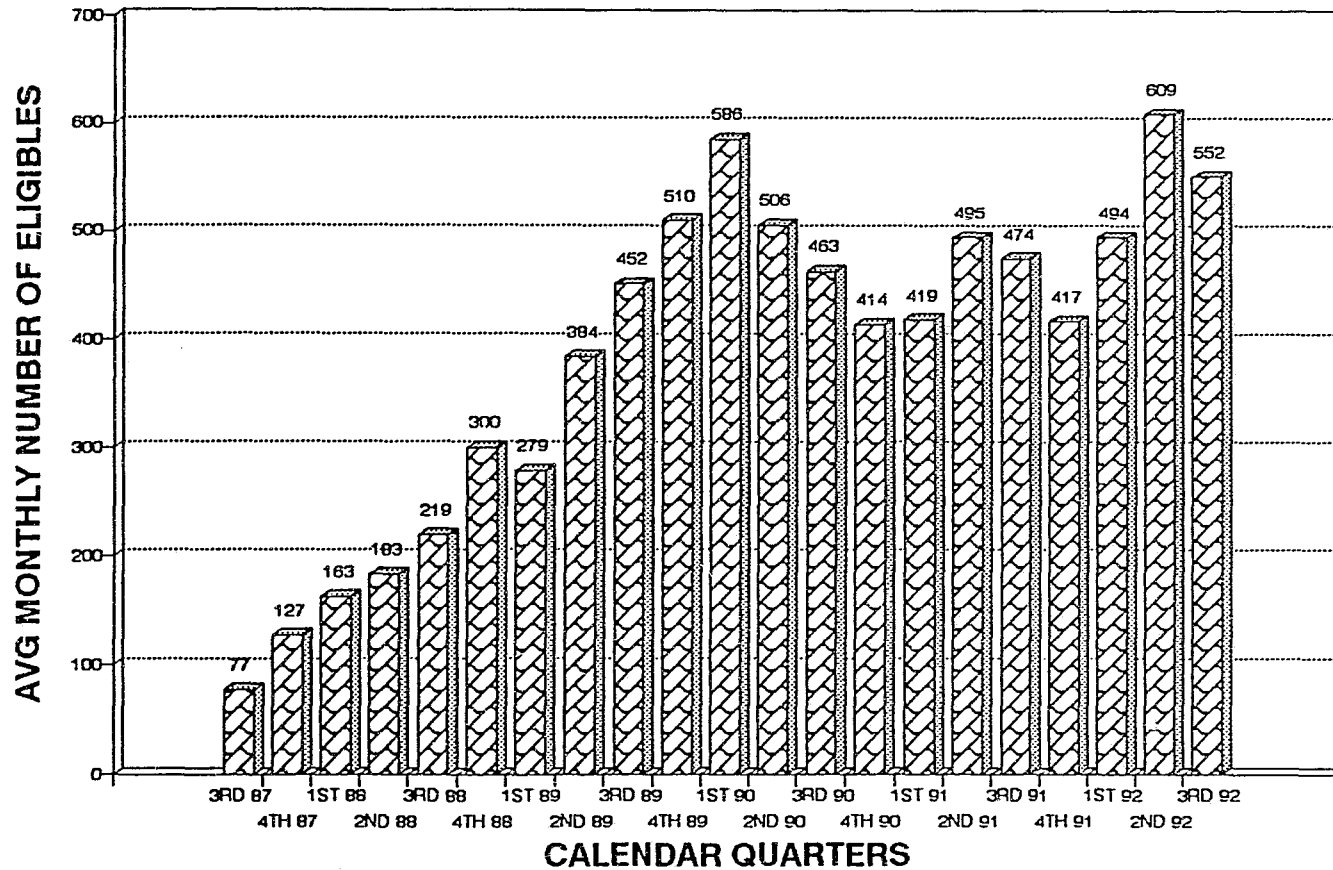
CHART 1



DOCS SHOCK ELIGIBLE INMATES

MONTHLY AVERAGE BY CALENDAR QUARTER

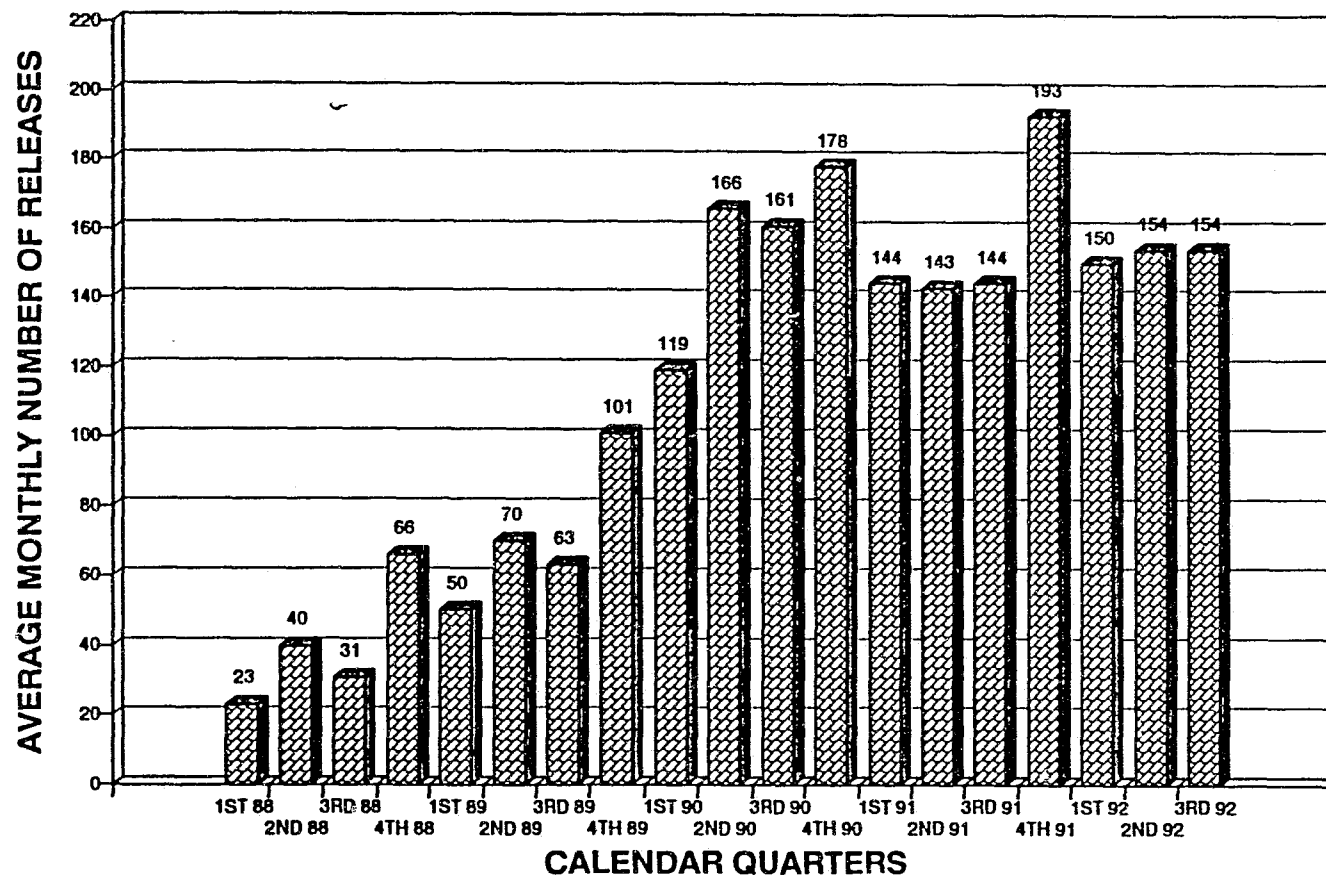
CHART 2



DOCS SHOCK RELEASES

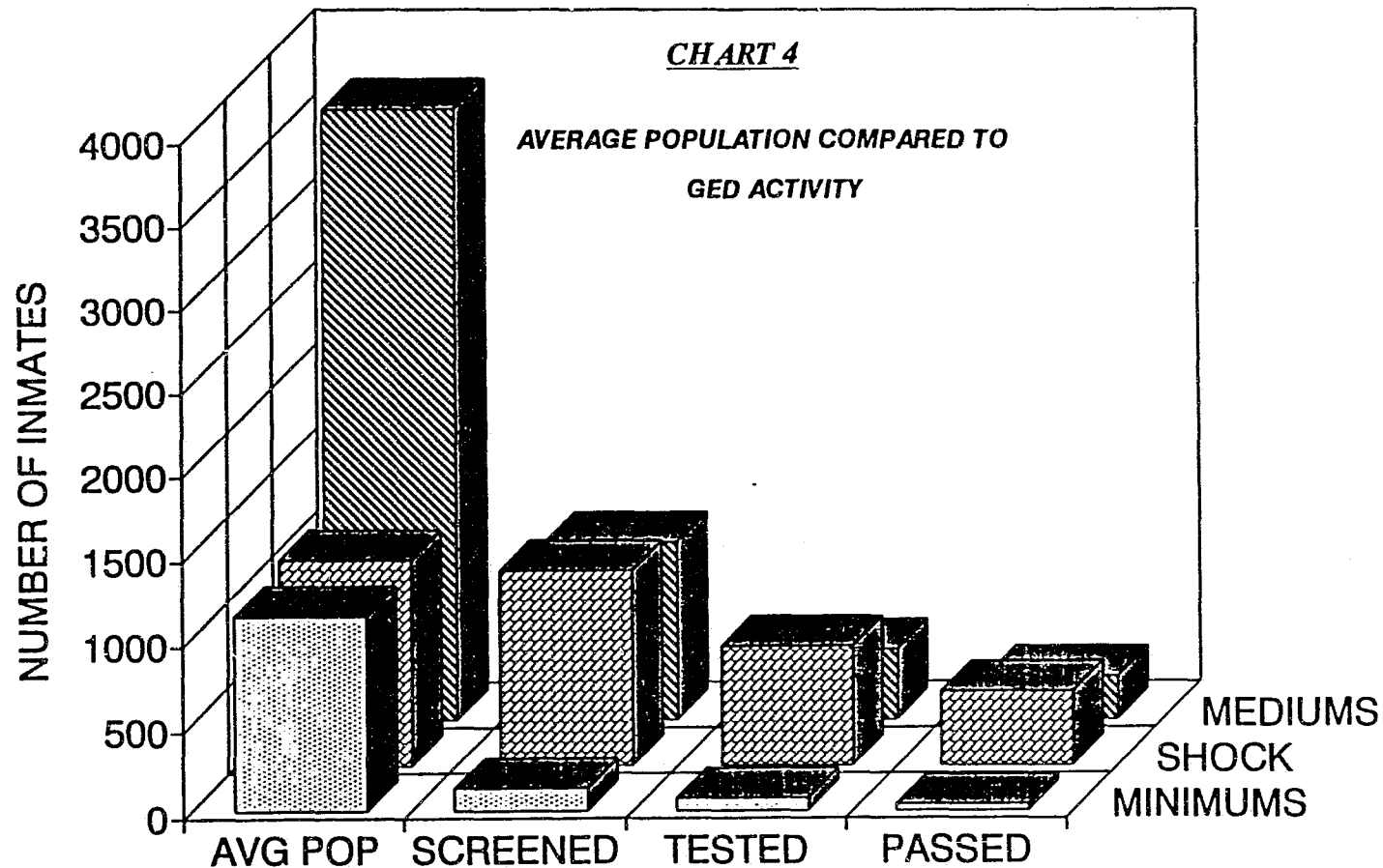
MONTHLY AVERAGE BY CALENDAR QUARTER

CHART 3

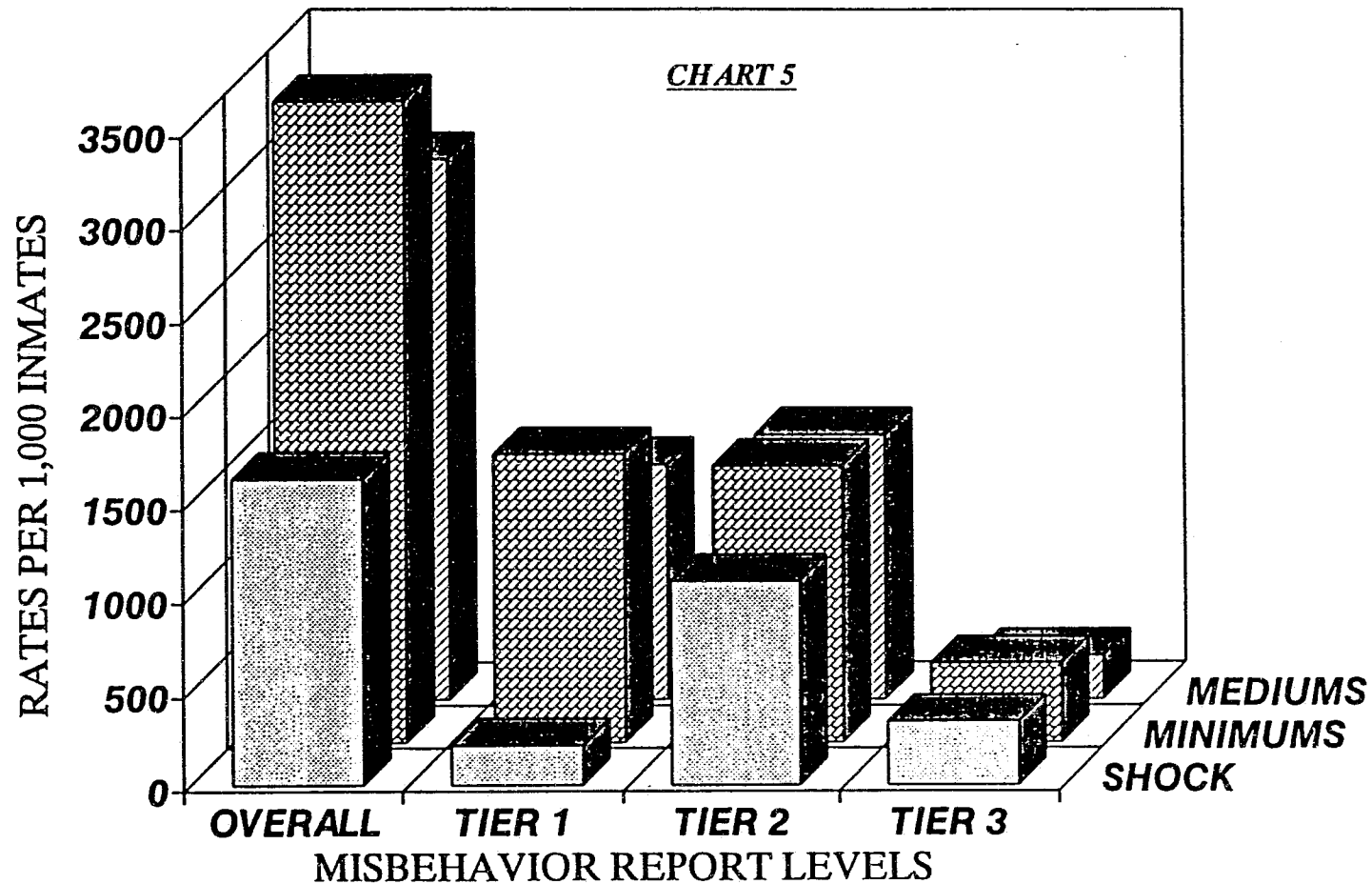


VOLUME OF GED ACTIVITY FY 1991-1992

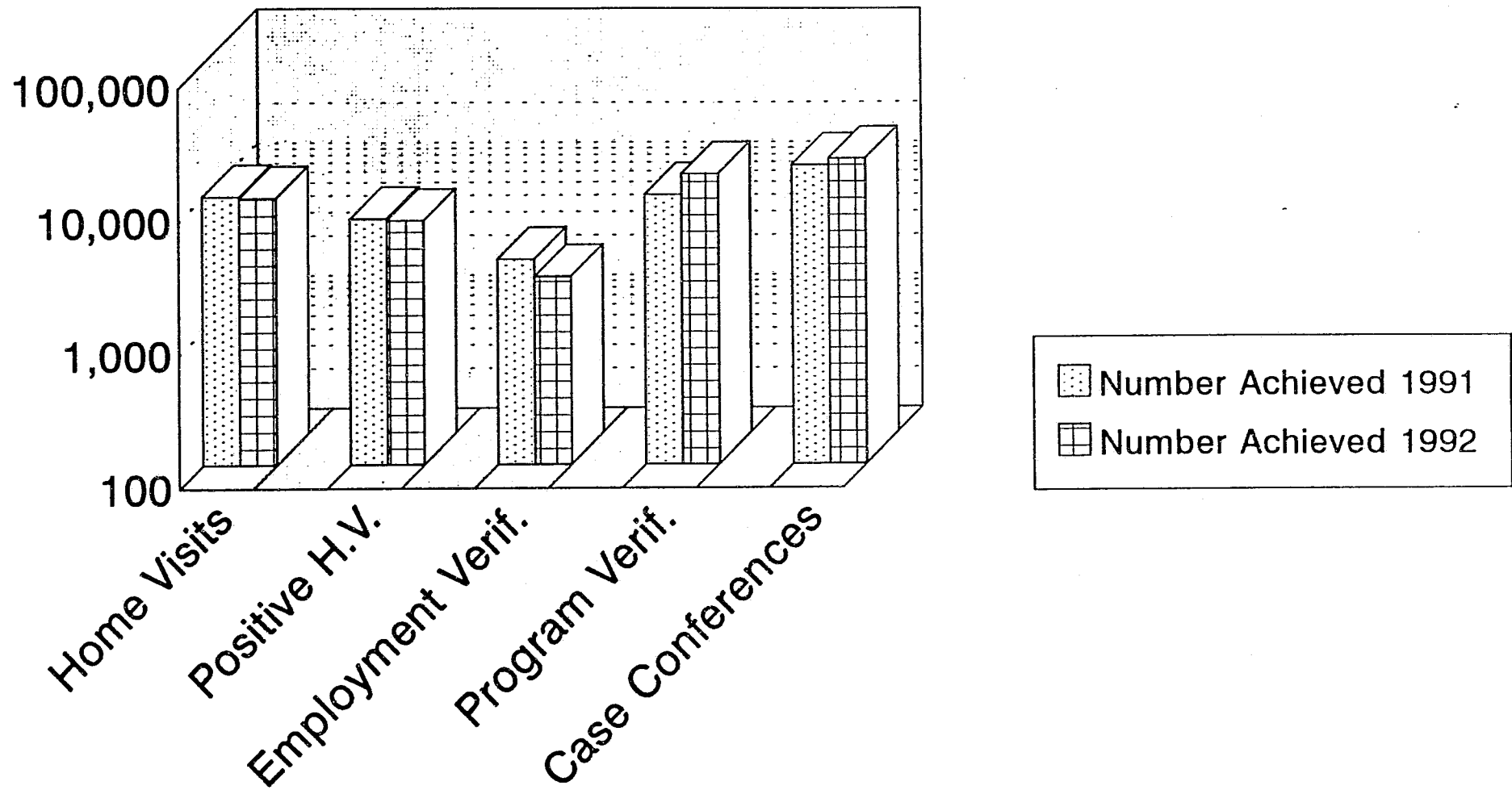
SHOCK VS COMPARISON FACILITIES



**RATES OF MISBEHAVIORS PER 1,000 INMATES
SHOCK VS COMPARISON FACILITIES FY 91-92**



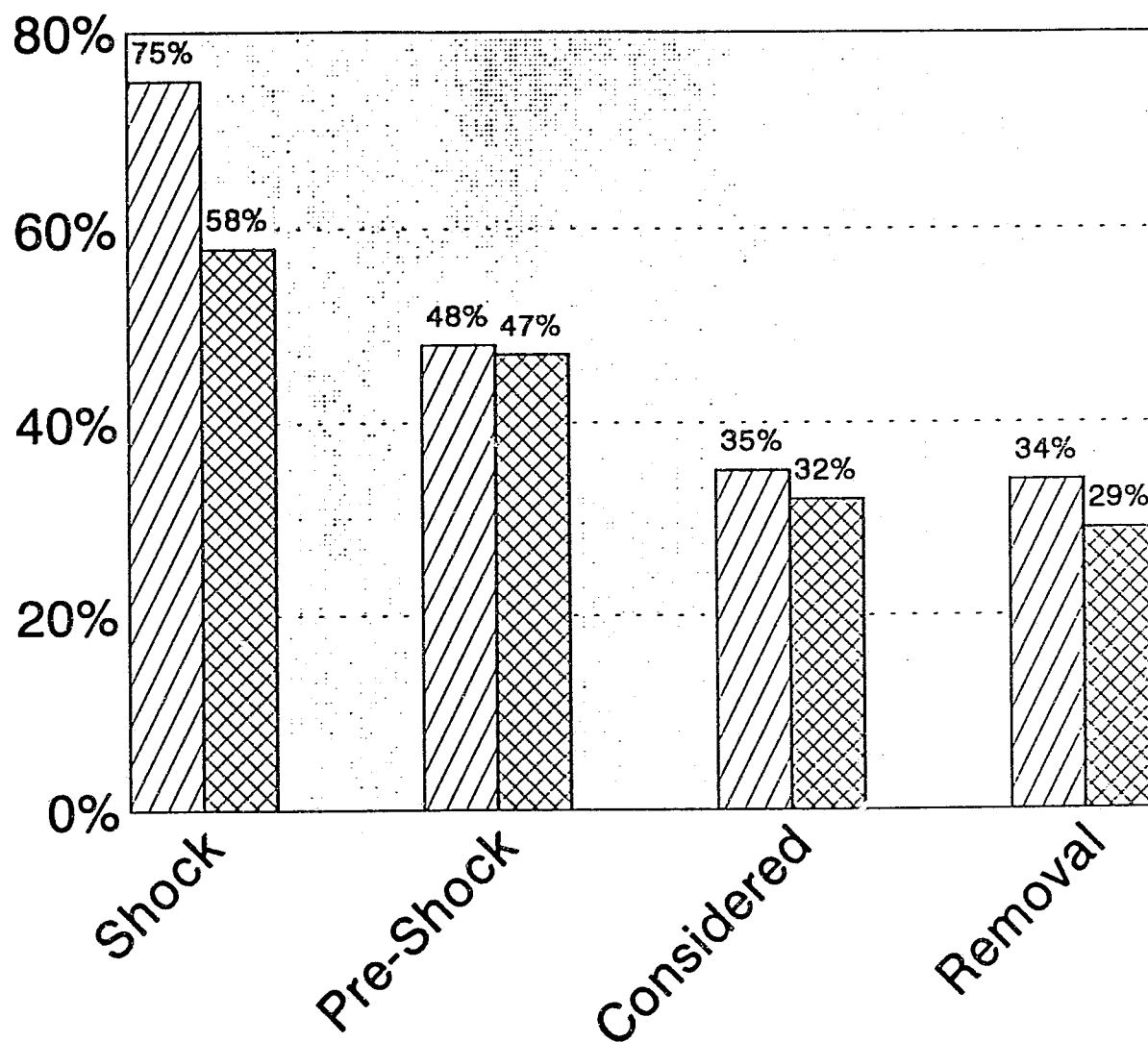
Aggregate Contacts





Number Achieved 1991	10,349		7,000		3,448		10,535		17,488
Number Achieved 1992	10,050		6,758		2,551		15,060		19,548

Two Year Trend Statewide Shock Parole Supervision

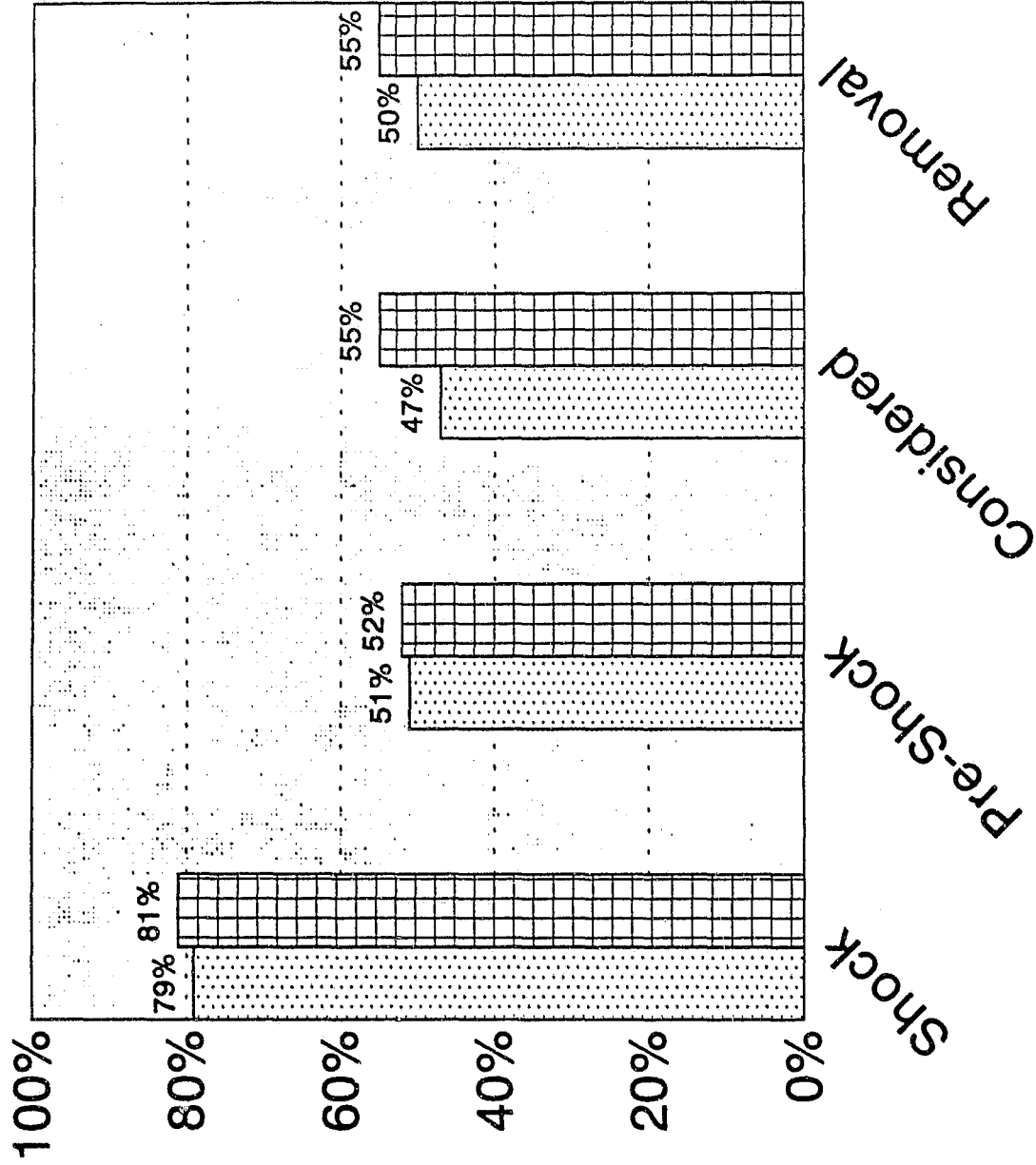
Employment Rates



 % Employed 1991
 % Employed 1992

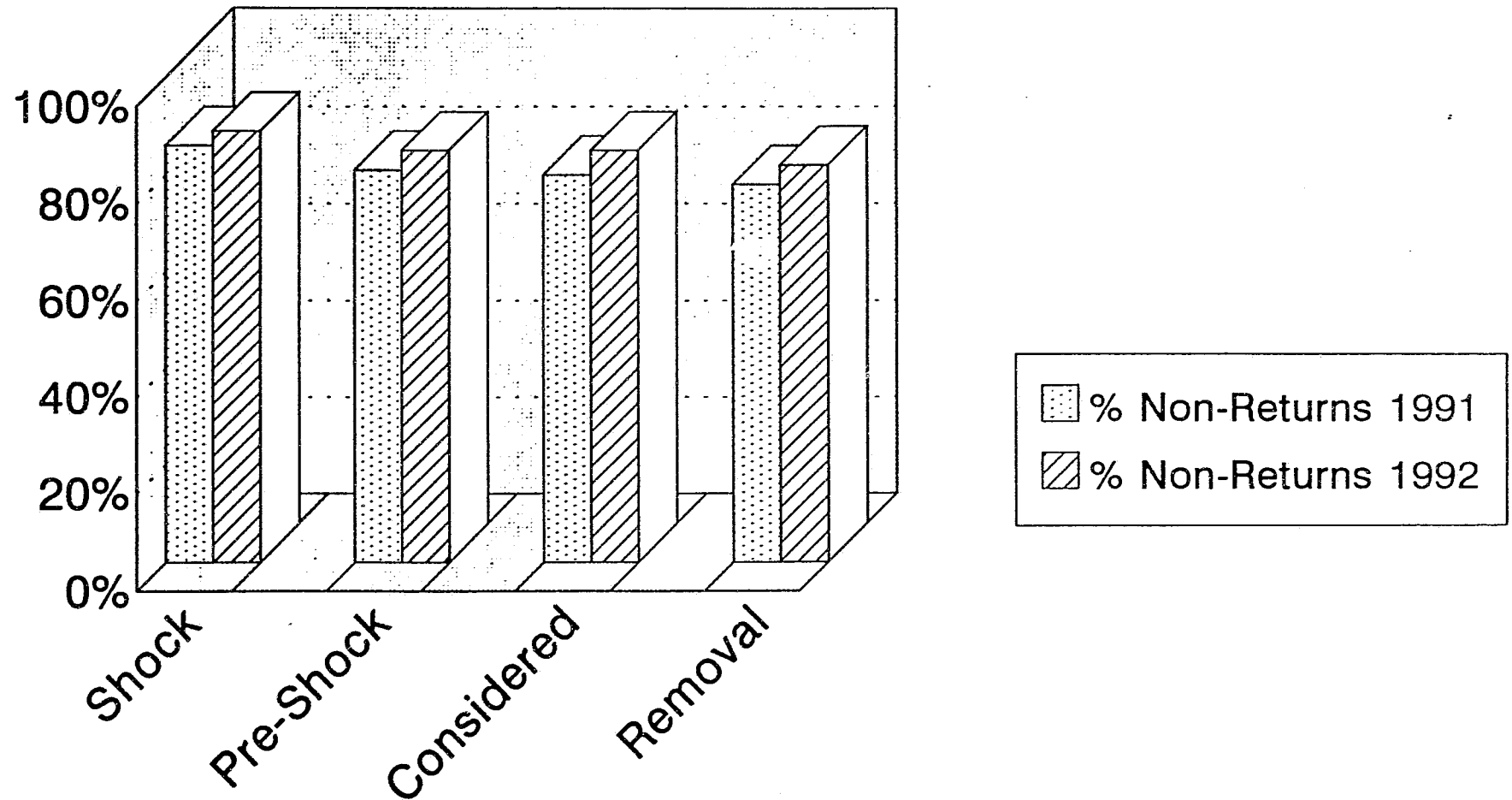
Two Year Trend - Shock and Comparison Groups

Program Enrollment Rates



Two Year Trend - Shock and Comparison Groups

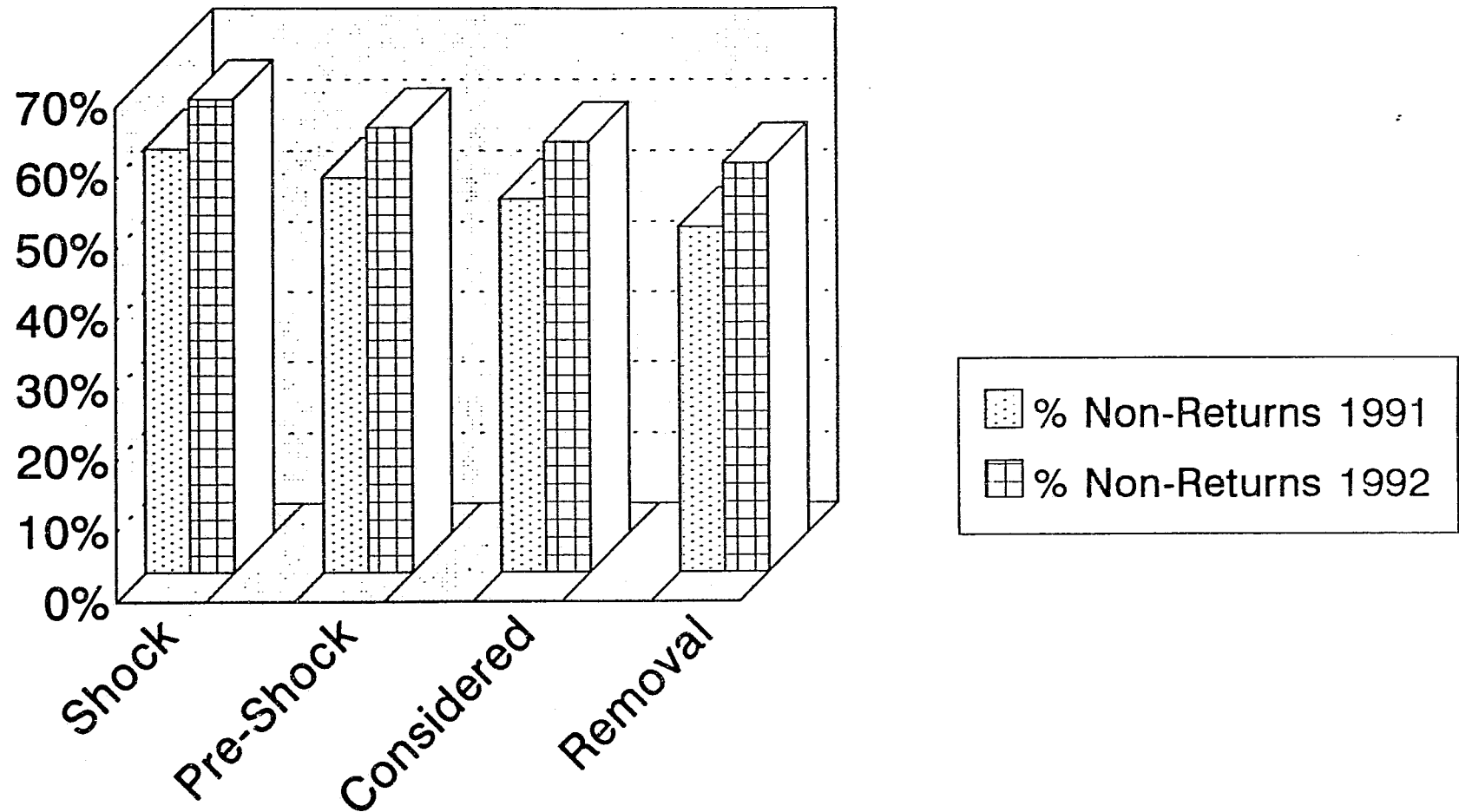
One Year Out Results



% Non>Returns 1991	86%		81%		80%		78%
% Non>Returns 1992	89%		85%		85%		82%

Two Year Trend - Shock and Comparison Groups

Two Year Out Results



% Non>Returns 1991	60%		56%		53%		49%
% Non>Returns 1992	67%		63%		61%		58%

Two Year Trend - Shock and Comparison Groups

APPENDICIES

APPENDIX A

Week	ALCOHOL AND SUBSTANCE ABUSE TREATMENT PROGRAM	NETWORK DECISION MAKING COURSE
1	Z E R O W E E K S - O V E R V I E W	
2	12 STEPS TO RECOVERY	INTRODUCTION TO NETWORK
3	D E N I A L	CONTROL THEORY
4		
5	S E L F	OPERATING IMAGE
6	H I S T O R Y	
7	1. We admitted that we were powerless over our	1. See the Situation Clearly
8	addiction, that our lives had become unmanage- able.	
9	2. Came to believe that a Power greater than	2. I Am Accepted
10	ourselves could restore us to sanity.	
11	3. Made a decision to turn our will and lives over	3. Know What You Want
12	to the care of God as we understood Him.	
13	4. Made a searching and fearless moral inventory	4. Expanding Possibilities
	of ourselves.	
14	5. Admitted to God, to ourselves and to another	5. Evaluating and Deciding
	human being the exact nature of our wrongs.	
15	6. Were entirely ready to have God remove all	6. Acting On Decisions
	these defects of character.	
16	7. Humbly ask Him to remove our shortcomings.	7. Freedom To Choose Your Attitude
17	8. Made a list of all persons we had harmed and	8. Choosing Responsibility
	became willing to make amends to them all.	
18	9. Made direct amends to such people wherever	9. Economic Style
	possible, except when to do so would injure them or others.	
19	10. Continued to take personal inventory and when	10. Social Style
	we were wrong, promptly admitted it.	
20	11. Sought through prayer and meditation to	11. Personal Style
	improve our conscious contact with God as we understand Him, praying only for knowledge of His will for us and the power to carry that out.	
21	REVIEW; The First 4 Steps	- REVIEW CHOICES -
22	and Relapse	INMATES
23	PREVENTION	LEAD
24	STRATEGIES	SEMINARS
25	12. Having had a spiritual awakening as a result	12. Affirmation
	of these steps, we tried to carry this message to others and to practice these principles in all our affairs.	
26		Gift Workshop

COMMUNITY STANDARDS

SHOCK WORKS WHEN MEMBERS:

- A. SUPPORT OUR PURPOSE, RULES, GOALS AND ACTIVITIES
 - 1. Members abide by both rules of the program and facility rules.
- B. SPEAK AND ACT SUPPORTIVELY.
- C. ACKNOWLEDGE OTHERS, DEMONSTRATE RESPECT, CARE AND CONCERN.
 - 1. Acknowledge whatever is being communicated as true for the speaker at the moment.
- D. FULFILL OUR CONTRACTS AND KEEP OUR AGREEMENTS.
 - 1. Make only agreements that we are willing and intend to keep.
 - 2. Communicate any potential broken agreement at the first appropriate time.
 - 3. Clear up any broken agreement at the first appropriate opportunity.
- E. COMMUNICATE ANY PROBLEMS AT THE FIRST APPROPRIATE OPPORTUNITY TO THE PERSON WHO CAN DO SOMETHING ABOUT IT.
- F. ARE EFFECTIVE AND EFFICIENT.
 - 1. Optimize every event, do more with less.
- G. HAVE THE WILLINGNESS TO WIN AND TO ALLOW OTHERS TO WIN. (WIN/WIN).
 - 1. Members confront images constructively and feedback is specific and behavioral.
- H. FOCUS ON WHAT WORKS (BEHAVIORAL CHANGE).
 - 1. Change what needs to be changed.
 - 2. Accept what can't be changed.
- I. AGREE TO AGREE, WORK FOR RESOLUTION.
 - 1. When in doubt, check feeling tone.