

State of New York  
Department of Correctional Services  
Division of Parole

**The Sixth Annual  
Shock Legislative Report  
1994**

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**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 30,715 legally eligible inmates between July 1987 and September 1993, 15,500 inmate volunteers were sent to one of five Shock Facilities. Of these 15,500 volunteers who were sent to Shock, 8,842 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 for sentenced felony offenders 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 8,842 releases, these savings amounted to an estimated \$176 million in operating costs plus \$129 million of avoided capital construction costs. This is a total estimated savings of \$305 million. Evidence for an additional savings of \$8 million is presented through a significant refinement of the cost avoidance model presented in this report.

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 some Minimum and Medium security facilities.

Shock Incarceration and Shock Parole supervision continue to be among 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 sixth 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.

The report provides detailed information regarding Parole Board activity for Shock Incarceration interviews for the first six months of fiscal year 1993-94. An examination of supervision contacts 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. A comparative 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 1992 is also included. Parolees from each group were followed for up to four years from release; outcome measures are reported within a section entitled Community Success.

For the first time, this report includes an analysis of one-year out results of Reevaluation graduates. Reevaluation is a program begun by the Department of Correctional Services in

1991 designed to provide inmates who had experienced difficulties in adapting to the rules of Shock a second chance to complete the program. Prior to Reevaluation, these inmates would have been removed from Shock and returned to general confinement prisons where they would have to serve out the remainder of their minimum sentences before they could be eligible for release consideration.

This is the first opportunity that the Division has had to analyze the community supervision outcome for Reevaluation graduates. Prior to this year, there had not been a large enough number of them on parole supervision for whom at least one year had elapsed from which to conduct an analysis. However, as of March 31, 1993, there had been a total of 140 Reevaluation parolees for whom at least 12 months had elapsed since their release.

### **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 THE SIXTH ANNUAL REPORT TO THE LEGISLATURE**

## **TABLE OF CONTENTS**

	<b><u>PAGE</u></b>
SHOCK EVALUATION HIGHLIGHTS .....	i
 <b><u>SECTION ONE: INCARCERATION PHASE</u></b>	
<b>LEGISLATIVE BACKGROUND</b>	
Legislative History .....	1
Eligibility Criteria .....	2
 <b>NEW YORK STATE SHOCK INCARCERATION: ITS HISTORY, STRUCTURE AND GOALS</b>	
Origins of Shock Incarceration .....	5
Shock Incarceration:	
A National Perspective .....	6
Criticisms Of Shock Programs As A "Quick Fix" Crime-Reduction Strategy .....	7
Differences In Shock Programs Nationally .....	8
The Foundation of the New York State Program: Therapeutic Community Model .....	9
Network: Helping To Restore The Bonds .....	10
Emphasis on Substance Abuse Services .....	13
Emphasis on Staff Training In New York .....	15
Providing Technical Assistance and Training To Other Jurisdictions .....	16
Goals of Shock Incarceration .....	17
 <b>SCREENING OF LEGALLY ELIGIBLE INMATES</b>	
Overview of the Screening Process .....	20
Inmate Flow Through The Program:	
Approval Rates For Eligible Inmates .....	20
Approval Rates For Lakeview .....	21

# **SHOCK INCARCERATION AND SHOCK PAROLE SUPERVISION THE SIXTH ANNUAL REPORT TO THE LEGISLATURE**

## **TABLE OF CONTENTS (continued)**

	<u>PAGE</u>
Inmates Sent To Shock .....	22
Reevaluation Program .....	22
Shock Program Removals .....	24
Longitudinal Review Of Eligibles And Releases .....	25

## **FISCAL ANALYSIS OF SHOCK INCARCERATION**

Overview Of The Costs Of Shock .....	26
The Costs of Shock:	
A National Perspective .....	27
Recognition of New York's Program	
As An Effective Cost Savings Strategy .....	27
The New York State Cost Avoidance Model .....	29
Fiscal Year Expenditures of Shock Vs Non-Shock Facilities .....	30
Per Diem Expenditures For New York .....	31
Program Cost Savings Due to Shock	
Incarceration .....	33
Capital Savings: Bed Savings And	
Associated Costs .....	34
The Costs of Returning Shock Graduates	
To DOCS Custody .....	36
Determining the Cost of Housing Returned Inmates .....	38
Costs of Care and Custody .....	38
Capital Construction Costs .....	39
Community Service Projects .....	41

## **DESCRIPTIVE INFORMATION ON SHOCK INMATES**

Who Goes To Shock:	
A Comparison to Other Prisoners .....	43
Who Gets Sent To Shock:	
A Comparison Over Time .....	44

**SHOCK INCARCERATION AND SHOCK PAROLE SUPERVISION  
THE SIXTH ANNUAL REPORT TO THE LEGISLATURE****TABLE OF CONTENTS (continued)**

	<b><u>PAGE</u></b>
<b>EDUCATIONAL ACHIEVEMENT IN SHOCK INCARCERATION</b>	
Overview of Educational Components .....	45
Achievement Testing .....	46
GED and TABE Scores .....	47
GED Testing .....	47
<b>DISCIPLINARY PROCESS AT SHOCK INCARCERATION</b>	
Overview of the Disciplinary Process .....	49
Learning Experiences and Superintendents Review Committee .....	50
Disciplinary Activity At The Shock Facilities .....	51
Disciplinary Activity: An Inter-facility Comparison .....	52
<b>UNUSUAL INCIDENTS AT SHOCK FACILITIES</b>	
Overview of Unusual Incident Activity .....	55
Lakeview Reception .....	55
Rates of UI's Per 1,000 Inmates .....	56
Unusual Incident Types .....	56
<b>SUMMARY OF THE INCARCERATION PORTION OF THE LEGISLATIVE REPORT .....</b>	<b>59</b>

**SECTION TWO: COMMUNITY SUPERVISION PHASE**

	<b><u>PAGE</u></b>
<b>OVERVIEW OF SHOCK PAROLE IN NEW YORK STATE</b>	
Shock Parolee Characteristics .....	60

**SHOCK INCARCERATION AND SHOCK PAROLE SUPERVISION  
THE SIXTH ANNUAL REPORT TO THE LEGISLATURE****TABLE OF CONTENTS (continued)**

	<b><u>PAGE</u></b>
<b>THE PAROLE PROGRAM</b>	
Parole Officer Teams - Enhance Service Delivery . . . . .	62
The VERA Institute of Justice . . . . .	63
The Neighborhood Work Project (NWP) -	
Transitional Training . . . . .	63
The Vocational Development Program (VDP) -	
The World of Work . . . . .	64
The Fellowship Center - Relapse Prevention	
Counseling . . . . .	65
Community Network Program - Positive Directions . . . . .	66
 PAROLE BOARD ACTIVITY AND STATISTICAL HIGHLIGHTS . . . . .	70
 PAROLE OFFICER CONTACTS WITH SHOCK PAROLEES . . . . .	72
 COMMUNITY SUCCESS	
The Study Groups . . . . .	75
Characteristics . . . . .	76
Employment and Program Success . . . . .	77
Supervision Outcome . . . . .	78
Follow-Up Method . . . . .	78
One-Year-Out . . . . .	79
Two-Years-Out . . . . .	79
Three-Years-Out . . . . .	80
Four Years Out . . . . .	80
Time At Risk . . . . .	81
Clean Street Time . . . . .	81
Reevaluation Parolees . . . . .	82
Shock Success . . . . .	83
 BIBLIOGRAPHY . . . . .	84
 TABLES AND CHARTS	

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**LEGISLATIVE BACKGROUND**

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

Legislative restrictions were placed on the age, offense type, time to Parole Eligibility, and prior prison sentences of Shock candidates. The Legislature has expanded the age of eligibility to include inmates who are between the ages of 16 and 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. The female component of the program began here in December 1988.

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

Butler SICF received its first platoon on June 27, 1989. Butler was closed as a Shock facility in July 1993 due to an unexpected high number of vacant beds in the program.

Lakeview received its first inmates on September 11, 1989. The female component of the program was transferred from Summit to Lakeview in May 1992.

New York State has the largest Shock Incarceration Program for sentenced state prisoners in the nation with a capacity of 1,390 males, 180 females and 222 beds at Lakeview dedicated to orientation and screening.

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**NEW YORK SHOCK INCARCERATION PROGRAM:  
ITS HISTORY AND STRUCTURE**

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

At the start of 1993 there were at least 43 'boot camp' facilities established in 27 states as well as in the Federal Bureau of Prisons. As of January 1, 1993 New York State alone accounted for 29.1% of all inmates incarcerated in Shock programs, and 38.9% of all women housed in Shock programs.

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

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 eligible inmates since the beginning of the Program was 51.3%. The approval rate for women considered for the Program (37.0%) was lower than that for men due to higher rates of refusals and medical disqualifications.

There were 30,715 Shock eligible inmates reviewed for Shock participation between July 13, 1987 and September 30, 1993. Of this group, a total of 15,500 inmates were sent to the Program.

Since Lakeview began screening and orienting all Shock eligible inmates on September 11, 1989, they have processed 20,798 inmates including 1,012 women. The age distribution of inmates processed at Lakeview shows that 64.2% were between 16 and 25; 26.1% were between 26 and 29 years old; and 9.6% were between 30 and 34 years old.

The approval rate for 16-25 year olds sent to Lakeview was 65.8%, while the approval rate for the 26-29 year olds was lower at 48.7%. 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 60.0%. Overall the approval rate for inmates screened at Lakeview has increased since they began screening eligible inmates in September 1989.

In January 1991, marginal inmates in the program were provided with an alternative to being removed from Shock. This opportunity is known as "reevaluation". As a result Superintendents have the ability to allow a number of inmates to continue in Shock under a limited set of conditions and circumstances.

Reevaluation is 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. 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, 1993, 1,086 inmates had been sent to be reevaluated. As of that date, 46 of these inmates were active in the program, 661 were removed from Shock, while 379 had graduated and were released to parole supervision. Thus, of the 1,040 inmates who "completed" reevaluation 63.6% failed and were returned to general confinement facilities while 36.4% finished the reevaluation process and went on to graduate from the program.

As of September 30, 1993, there were 15,500 inmates sent to Shock facilities. As of that date, there were 8,842 graduates (including 585 females) who were released to Parole from Shock facilities. Of the 15,500 inmates who entered Shock, a total of 5,277 inmates were removed from the program. An additional 54 inmates who graduated but were not released to parole supervision were removed from work release.

The 1,327 Shock inmates under custody as of September 30, 1993 were distributed by facility as follows: 267 at Monterey, 225 at Summit, 250 at Moriah, and 585 at Lakeview (including 128 female inmates).

Through September 30, 1993, the overall dropout rate from the program was 37.4%. On average Shock removals spent 56.1 days in the program before leaving.

Through September 30, 1993, the primary reason for inmates leaving Shock was for disciplinary reasons (30.7%) while voluntary reasons were cited for 26.9% 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 failure to complete the reevaluation process. 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 513 in the third quarter of 1993. Additionally, the monthly average number of inmates "released" from Shock has increased from 23 in the first quarter of 1988 to 183 in the third quarter of 1993.

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### ***FISCAL ANALYSIS OF SHOCK INCARCERATION***

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One of the stated goals of New York's program is the reduction of demand for bedspace as a way of addressing prison crowding issues in the State. It is acknowledged by outside observers that New York may have a large enough number of graduates to have an impact on crowded prisons and that this is not the case in most states.

It has also been acknowledged that 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.

A recent national review of Boot Camp programs conducted by the United States General Accounting Office (GAO) noted that of the jurisdictions studied "New York is the best example of reported cost savings." (GAO Prison Boot Camps April 1993, p.25)

In fact the GAO review of Boot Camp programs indicated, "...the most extensive evaluation process was done in New York, which publishes an annual report on its boot camp program." (GAO Prison Boot Camps, April 1993, p.22)

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 328 days or approximately 10.8 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 \$2.05 million, which it otherwise would have had to expend for the care and custody of these inmates. Thus, for the first 8,842 releases from Shock, as of September 30, 1993, there was an estimated savings in the care and custody costs of \$176.2 million.

For the first 8,842 Shock releases, the Department saved an estimated 1,954 beds which translates into a cost avoidance of \$129.1 million for capital construction.

For the first 8,842 releases from Shock, as of September 30, 1993, the Department saved an estimated \$305.3 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.

A significant refinement of the cost avoidance model involves 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.

The new analysis began by examining the rates of return to DOCS custody (as of March 1992) for inmates in the Shock group and the consolidated comparison group who were released between March 1988 and December 1990.

We determined that the Shock graduates currently are returning less frequently to DOCS custody than non-Shock releases. However, these Shock returns spend more time incarcerated before their re-release to parole supervision than non-Shock inmates.

The fact that Shock graduates returned to custody at a lower rate than the comparison group, for this particular set of data, has more than offset the additional expense of having to house these inmates for an additional two months on average.

The difference in "inmate months" between the actual and the expected values was 1,367. The annualized version of this "inmate month" difference is 113.9 "inmate years." When the number of man years is multiplied by the annual cost for care and custody for inmates (\$25,000) the savings gain in this case is initially set at \$2,847,500.

It is necessary to apply our findings to the first 8,842 Shock releases used in the calculation of the cost avoidance figures attributed to Shock we estimate that the Shock returns provided DOCS \$8,018,342 in additional savings because fewer Shock graduates than expected returned.

Just as we factored in the cost avoidance effect of not housing Shock graduates until their PE dates this adjustment of the cost avoidance figures must also take into account the fact that 469 (or 14.9%) of the returned Shock releases and 982 (or 14.8%) of the non-Shock releases had not been re-released from DOCS custody as of September 30, 1992.

To calculate the costs related to this difference we again need to establish the data relating to the non-Shock returns as the expected values for our Shock graduates. Thus, according to Table 18, when we apply these values to the Shock releases we expect only 465 graduates returning to DOCS to still be reincarcerated (instead of the actual 468). By multiplying the difference in the number of actual versus expected Shock returns still reincarcerated (3) by the cost per medium security bed (which is used in our cost avoidance model \$86,600), the capital cost attributed to having to house these Shock failures for a longer period of time is \$259,800.

The combination of the costs for care and custody as well as for capital expenditures for returning Shock graduates totals an estimated \$8,278,142 in additional savings. This increases

our overall savings from the early release of 8,842 Shock graduates to \$313.6 million that will only continue to grow as the program continues to succeed in its mission.

Thus, 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.

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### **COMMUNITY SERVICE PROJECTS**

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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 1993 inmates from Shock facilities performed approximately 1.2 million 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 \$6 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 program's involvement in community affairs also helps build strong local support for Shock and its accomplishments.

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

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

In comparison to these other inmates, the male Shock inmates were younger and were more often committed for drug crimes. 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 Afro-American. Shock inmates were less likely to have completed 12th grade or higher.

Among the females Shock women were younger, were more often convicted of drug crimes, and were less often convicted as second felony offenders. Shock women were less likely to have prior felony arrests and convictions, were given shorter minimum sentences and served fewer number of jail days prior to their DOCS incarceration.

As expected, there have been changes in the composition of the Shock population as a result of changes in the Legislative criteria for eligibility. (inmate participants are getting older). We may also be observing changes caused by changes in the law enforcement strategies in dealing with the war on drugs and changes in the attitudes of eligible inmates towards the program (changing emphasis on the attention paid to drug offenders.)

In this examination of the trends we see that the male and female Shock inmates have been getting older, have been getting longer sentences, have been entering with higher reading and math scores, have been committed less often from New York City, and have reported higher education levels. Males are reporting less drug use at their reception to DOCS while women have been committed less often for drug offenses.

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, had higher reading and math scores at reception, had served less jail time, had more prior felony arrests, were less often committed from New York City, were more often white and Hispanic and less often Afro-American in ethnic composition, were less often second felony offenders, were less often drug offenders, and were less often self-reported as drug users.

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

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This section analyzes both the Math and Reading Test of Adult Basic Education (TABE) scores for 2,080 Shock graduates between April 1, 1992 and March 31, 1993 who had at least two achievement tests administered while under the Department's custody.

Within six months, 61.5% of the Shock graduates had increased their math scores by one grade or more. During this period 38.6% of the inmates increased their math scores by two or more grades while 14.1% increased their math scores by four or more grades.

Within six months 45.1% of the Shock graduates increased their reading scores by one grade or more. During this period 25.9% of the inmates increased their reading scores by two or more grades while 6.1% increased their reading scores by four or more grades.

It should be noted that the changes reported each year in the TABE scores of Shock graduates should be viewed as a consistent trend of positive achievements and less emphasis should be placed on the specific percent or numerical grade improvement. Overall, the TABE test results

show some very positive accomplishments for Shock inmates during their participation in the program.

As with past 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 1992-1993 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 11.3 times as many inmates for GED testing, and tested 13.8 times as many inmates. Over 14.9 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 just as many inmates. In fact the Shock facilities tested twice as many inmates for the GED, and 2.4 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's 1991-1993 (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 previous 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 70.5%).

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

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During FY 1992-1993 almost 26% 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 either the Minimum or Medium Security facilities.

Of the inmates involved in Tier III misbehaviors at the Shock facilities (the most serious type of misbehavior), 91.8% were removed from the program prior to their graduation.

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

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An examination of the overall rate of UI's per 1,000 inmates indicates the average rate of reported incidents at the Shock facilities was 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 1992-1993 only 1.6% of the UI's reported from Shock facilities were listed as contraband incidents. In contrast contraband incidents comprised 5.9% of the Minimum/Camp facilities' UI's and 32.4% of the Medium security facilities' UI's.

**Staff Assaults:** In FY 1992-1993 37.1% of the UI's reported from Shock facilities were listed as staff assault incidents. In contrast staff assaults constituted only 2.4% of the UI's reported from the Minimum security facilities and 6.9% of the reported UI's at Medium security facilities. Injuries were reported in 56.5% of the Shock incidents, none of the Minimum Security incidents, and 66.7% of the Medium security incidents.

Almost half (47.9%) 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 13.0% occurred between the third and fourth weeks of an inmate arriving at Shock. Thus, 60.9% 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. All 23 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 1992-1993, 11.3% of the reported UI's at Shock facilities were for assaults on inmates. Injuries were sustained in 85.7% of these incidents. In the Minimum security facilities 11.8% 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 16.6% of the reported UI's were for assaults on inmates and injuries occurred in 93.0% 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 43.4 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 77.1 in this Report. Among the Medium security facilities the rate of UI's per 1,000 inmates grew from 57.8 to 64.4.

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

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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 each parolee's potential for community reintegration by providing more interaction with 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. Other offenders newly released to parole supervision in New York State are supervised at a ratio of one parole officer for every 38 parolees.

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**PAROLE BOARD ACTIVITY**

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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, 1993, the total number of release considerations at which the Board granted release to Shock inmates was 927; the release rate was 99%.

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**SHOCK PAROLE IN THE COMMUNITY**

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As part of the Shock Supervision plan, field parole officers work with the parolees in the community. Officers visit the parolee's residence, sometimes to talk to the parolee (home visit positive) and other times to speak to family members (home visit). Parole officers also verify that the Shock graduates are working and attending programs designed to help them adjust to life after release (employment and program verifications). They contact the parolee's place of employment and confer with program counselors to discuss the progress of each Shock case under supervision.

An examination of aggregate parole officer contacts for the first six months of fiscal year 1993-94 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 95%; the number of positive home visits achieved was 21% greater than expected. The number of employment and program verifications conducted were 7% and 160% respectively over the minimum expectation.

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. A Community Network program is operated by the Episcopal Mission Society.

During this reporting period, VERA Institute's Neighborhood Work Project rebounded from some of the problems they experienced during the last year, but the program still faces the challenge of providing immediate temporary transitional training opportunities for Shock graduates amid a struggling economy.

Between April and September of 1993, VERA enrolled 576 Shock parolees for vocational training and employment services, and reported a total of 381 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 619 group meetings and 1,389 individual sessions to assist Shock parolees between April and September 1993.

The Episcopal Mission Society provided Community Network counseling services to an average of 235 Shock Incarceration graduates each month. Their staff conducted a total of 105 group meetings between April and September 1993.

Statewide urinalysis test results for Shock parolees indicated an 87% rate of abstinence from drug usage.

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### **COMMUNITY SUCCESS**

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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.

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, as defined as physically returned to DOCS custody, at 12, 24, 36 or 48 months depending upon the parolee's release date; an examination of time to delinquent behavior for those who were returned to prison during the 36 or 48-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-nine percent of the Shock parolees were employed, compared to 40% of the Pre-Shock group, 32% of the Considered group and 28% 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 69% of the Pre-Shock group, 68% of the Considered group and 67% of the Removals. Program enrollment rates moved dramatically upward for the comparison groups in 1993 compared to 1992. This is probably the result of the Division's Relapse Prevention and Discharge Planning initiatives designed to increase accessibility to community-based programs for all parolees.

The employment and program participation rates have been higher among the Shock population within each of the last three annual reports 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, 36 and 48 months of follow-up.

At 12 months, 90% percent of the Shock group remained in the community, compared to 84% of the Pre-Shock, 85% of the Considered and 83% of the Removal group one year after their release. These results were statistically significant. An examination of three years of Legislative Report data indicates that the one-year-out success rate continues to climb and that the Shock graduates are consistently outperforming the comparison groups after 12 months in the community.

After 24 months of follow-up, the Shock success rate (70%) was eleven percent greater than that of the Removals and six percent higher than the Considered group or the Pre-Shock group after equal periods of time in the community. These results were also statistically significant and consistent with the three-year Legislative Report trend which indicates that Shock graduates also outperform the comparison groups at 24 months from release.

The success rate for the Shock offenders after 36 months was higher than that of any of the comparison groups; two-year Legislative Report trend data indicate that the three-year-out success rate is also rising and that Shock graduates have consistently higher success rates than the comparison groups do at 36 months.

The success rate for the Shock offenders after 48 months was also higher than that of any of the comparison groups. Because the four-year-out study is comprised only of offenders released in the early days of the program, it is our expectation that the Shock graduates' 48-month success rate will improve over time.

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 comparison group offenders in the 24-month, 36-month, and 48-month follow-up periods.

Return-to-custody data for the Reevaluation graduates who have been out for at least one year indicates that their success rate is comparable to that of all Shock graduates (89% compared to 92%) but higher than that of any of the comparison groups: Pre-Shock (87%), Considered (87%) and Removals (84%).

**LEGISLATIVE BACKGROUND****Legislative History**

New York State's Shock Incarceration Program was established by enabling legislation on July 13, 1987 (Chapter 261 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."

Concerning 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 of the New York Codes Rules and Regulations (NYCRR) by adding Part 1800 which provided the rules that govern the Shock Incarceration Program. Article 26-A of the Correction Law describes the eligibility requirements and the framework for establishing Shock facilities and selecting participants.

The Department established five Shock Facilities under this legislation and these administrative regulations. Monterey was converted from a forestry camp and expanded to 250 beds. Monterey was designated as the first Shock Incarceration Correctional facility (SICF) and received its first platoon of inmates on September 10, 1987. Summit was the second forestry camp to be converted to Shock. It too was expanded to 250 beds and 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 August 1989 the Lakeview Shock Incarceration Correctional Facility (SICF) was opened. Lakeview serves as a 222 bed orientation and screening facility for all Shock eligible inmates while also housing 540 male Shock inmates and 160 female Shock inmates. with 20 beds for female reception. Lakeview received its first inmates on September 11, 1989.

Due to the high number of vacant beds in the program, approximately 300 at any given point, the Department reduced the number of available beds for Shock in July 1993. Butler SICF was converted to a minimum security facility thus removing 300 beds from the Shock program and making those beds available for general confinement inmates. The Shock inmates from Butler were transferred to the remaining four Shock facilities.

New York State still operates the largest Shock Incarceration Program for sentenced state prisoners in the nation with a capacity for 1,390 male inmates, 180 female inmates, and 222 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" 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, vehicular manslaughter in the second degree, vehicular manslaughter in the first degree, and 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 second degree, sodomy in the third degree, attempted sexual abuse in the first degree, attempted rape in the second degree and attempted sodomy 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, before their present sentence, they were ever convicted of a felony upon which an indeterminate sentence was imposed. Only inmates sentenced on or after July 13, 1987, the date on which the enabling legislation for the program was signed into law, are eligible for Shock.

Besides the legislatively mandated criteria for exclusion, the law provides for the Department to establish various suitability criteria that 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 have 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 eligible 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 1993 there were at least 43 'boot camp' facilities established in 27 state correctional systems as well as in the Federal Bureau of Prisons. As of January 1, 1993 there were 5,341 inmates housed in these facilities (29.1% in New York State alone). Of the 28 jurisdictions with Boot Camps only twelve included female participants. As of January 1, 1993 New York State accounted for 38.9% of the 435 women incarcerated in Boot Camps nationally. Thus, over half of the state correctional jurisdictions now have adopted the intermediate sanction of boot camp prisons for adult offenders. (George M. and Camille Camp, *The Corrections Yearbook: 1993*, 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 phenomenon 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 Commissioner 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 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.

Both Governor Mario Cuomo of New York and New York State's Commissioner of Corrections Thomas A. Coughlin III agree that these programs should provide more than obedience to rules and military discipline. New York's Shock Incarceration Program was designed from the beginning to emphasize substance abuse treatment, decision making skills and academic education.

### **Differences In Shock Programs Nationally**

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

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

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

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

When Shock Incarceration was being developed in New York, the 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.

When Cheryl Clark established Network Units within the New York State Department of Corrections in 1979, it was based in both social control theory and the principles taught in Alcoholics Anonymous and Narcotics Anonymous. These models of change were offered to inmates who could volunteer to live on Network Community living units during their incarceration. These units were structured total learning environments. Inmates lived together as a therapeutic community, holding daily meetings, decision making seminars and self-help groups supervised and lead by specially trained corrections officers. The Network philosophy, recited each day to begin community meetings says:

*Network is a positive environment for human development in a caring community where individuals can help themselves and each other. Staff and participants work together to establish and maintain positive growth-filled environments within prisons. Community members focus on behavioral change and confront attitudes which are destructive to individuals and the life of the program.. (Network Program Procedural Manual, Cheryl L. Clark, 1979)*

Network was committed to inmates with substance abuse problems being actively involved in ASAT while they lived in the Network Community. The success of this program influenced Commissioner Coughlin to direct that Network become the foundation piece of the Shock Incarceration program.

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. 265)*

William Glasser's approach to control theory has also influenced the development of Shock in New York. (see William Glasser, Reality Therapy, 1963; Control Theory 1986 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 philosophies and practices of this 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.

### **Networks 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 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 inmate participants learn to be productive 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. Each platoon in Shock lives as a community unit within the larger program. Inmates start together and finish together, participating in groups and classes designed to teach them life skills and to encourage positive bonds within the group. In addition, the platoon earns status within the community as they move through the program and gain more skills. Thus, senior members become role models for junior platoons.

### **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 over eighty percent of the female participants were originally convicted of drug offenses. (see Table 19). 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 in 1990 from the United States Department of Justice 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 with Shock graduates have used community service providers to help enhance job placement and relapse prevention. 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 the New York State Division of Parole describes in greater detail the aftercare components which are essential to a successful Shock program.

Many Shock graduates have done so well in post release that several have been hired by service provider agencies as employees. Graduates work with new releases to help them reintegrate into the community. They facilitate Network in the community groups, provide life skills training, vocational training, services in the Alcoholism Council and Fellowship Center in New York City and a range of other services. A team of Shock graduates is working with

the Probation Department of New York City teaching Network concepts to probationers. Periodically, successful graduates also return to Shock facilities to meet with inmates in the program to tell their stories and help prepare the inmates for the community supervision phase of Shock.

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

One of the most important ways we have in New York to ensure program integrity is staff training. All staff who work in a Shock Incarceration facility in New York State are required to attend a comprehensive, highly structured, rigorous four week training program. The program has a regimen that is similar to the Shock program for offenders. The goal of the training is to familiarize all correctional employees, regardless of discipline, 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 based on the design first introduced in 1979 when interdisciplinary teams were being trained to staff Network units. That training was a two week intensive session in therapeutic community concepts as applied in a corrections facility. Shock staff training has been expanded to four weeks to include physical training, drill and ceremony, an introduction to ASAT, in addition to the principles of the therapeutic community while familiarizing staff with decision making skills as taught in Network.

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. Staff are placed in platoons and work together throughout the training in an experiential approach to learning how to teach inmates.

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. A schedule of the staff training is included in the Appendix of this report.



In New York State the laws of civil service and agreements with the employee 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 over 1,500 New York State DOCS employees have been trained during twelve sessions. In addition to conducting staff training in New York, staff have also provided training for other states and localities.

### **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 National Institute of Justice (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 and New York City Departments of Corrections 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 and to the Oregon Department of Corrections to provide both technical assistance and staff training allowing them to begin their Shock programs.

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 departments in the country, Commissioner Coughlin has emphasized our responsibility as a public agency to assist other jurisdictions by providing training opportunities and technical assistance where ever and when ever possible. Shock staff in New York have taken this mandate seriously and have welcomed other jurisdictions to learn from us. As a result, jurisdictions who have sought to create a program or to modify one have looked to New York for advice.

In 1993, the Director of Shock Incarceration, the Supervising Superintendent for all Shock facilities and the Director of the AfterShock program in New York City served on an advisory board for the National Institute of Corrections (NIC). Their task was to assist with the training design and to develop lesson plans for a training to be conducted at the NIC training Academy in Colorado for states and localities interested in beginning a Shock program. The first one week course was presented in August 1993.

### **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).

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 to enhance its effectiveness. 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. Throughout the program was able to adapt without compromising its integrity because the program administrators were able to learn from their mistakes and their detractors. What continues to make the Shock program run is the constant on-site monitoring of the program. It ensures that Shock's unique attributes are being preserved.

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.

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, create 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 30,715 Shock eligible inmates reviewed for Shock participation between July 13, 1987 and September 30, 1993. 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 1993 of 51.3%. Table 2 breaks down the overall numbers into five separate reporting periods which have been used in the Legislative Report series. Table 2 shows that the overall approval rate has been steadily increasing from a low of 45.7% of the eligible inmates (July 13, 1987 through November 17, 1989) to 56.6% of the eligible inmates in the current reporting period (October 1, 1992 through September 30, 1993). The table also shows that the proportion of inmates refusing program participation has declined from 15.2% to 10.3%, and at the same time the proportion of inmates being disqualified from participation has also declined from 39.2% to 30.3%.

Table 1 also shows that the cumulative approval rate for female Shock eligibles through September 30, 1993 is 37.0%. Table 3 breaks down the numbers for

female eligible inmates into four separate reporting periods which have been used in the Legislative Report series.

Table 3 indicates that the approval rate for women has increased from 35.0% (between November 12, 1988 and October 19, 1990) to 46.7% during the current period (October 1, 1992 through September 30, 1993). The proportion of female inmates refusing program participation has declined from 20.7% to 13.1%. At the same time the proportion of female inmates being disqualified from participation also declined from 44.3% to 35.8%. Despite this improvement it should be noted that the proportion of women being disqualified for medical/psychiatric reasons has remained high and has even increased .

The growth in the proportion of eligible inmates being approved for Shock participation for the program overall and the women in particular has been directly attributable to changing the location of the screening and orientation of inmates who could participate in the program to a centralized location at the Lakeview Shock Incarceration facility.

#### **Approval Dates 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, 1993, the facility has processed 20,795 inmates. (see Table 4) A distribution of the age groups of the inmates reviewed at Lakeview shows that 64.3% of the inmates were between the ages of 16 and 25, 26.1% were between 26 and 29 years old, while the remaining 9.6% were between 30 and 34 years old.

The overall approval rate for inmates processed and screened at Lakeview was 60.7%. A review of the approval rate distribution by age group shows that the approval rate for 16-25 year old inmates was 65.8%, for the 26-29 year old inmates it was 48.7%, and for the 30-34 year olds the approval rate was 60.1%

Table 5 indicates that between September 1989 and September 1993 the overall approval rate has increased from 58.8% to 64.9%.

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 (16 to 25 years old) 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 have consistently been the highest.

When the 26-29 year old inmates were initially allowed access to Shock they had to meet some additional eligibility requirements before being admitted to Shock. Additionally, they 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 during this period of additional restrictions were at least 25% lower than those of the younger inmates.

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. With the removal of the additional restrictions on these inmates their rates of approval for Shock participation improved dramatically. In the latest reporting period, October 1992 - September 1993, (as shown in both Table 6 and Table 7) the approval rate for the 26-29 year old inmates was only 5.4% lower than that of the younger inmates. In comparison to the younger inmates these 26-29 year olds had a higher refusal rate and were more frequently disqualified due to medical and psychiatric reasons.

Table 8 summarizes the approval rates reported for the groups in the Legislative Reports to date. According to Table 8 the acceptance rate for 30-34 year old inmates is comparable to those of the two other age groups.

### **Inmates Sent To Shock**

As the Shock program has evolved it has become more complex. 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, 1993, there were 15,500 inmates sent to Shock facilities. As of that date, there were 8,044 graduates (including 527 females) who were released to parole supervision from Shock facilities after 180 days in the program. An additional 419 Shock graduates were released to parole from DOCS work release facilities. There were also 379 reevaluated inmates who graduated from platoons at Lakeview and Summit after 200 days or more in the program. This adds to a total of 8,842 Shock graduates who were released to parole supervision since the program began, 585 of whom were women.

### **Reevaluation Program**

In January 1991, the Department began allowing marginal inmates in the program an alternative to being removed from Shock. This opportunity is known as "reevaluation". Prior to that time, marginal inmates were removed from Shock and sent to a general confinement facility. Many of these inmates exhibited a great deal of remorse over losing this chance to change their lives. However, the Department did not have a mechanism to bring them back into

the program. Reevaluation allows a number of them to continue in Shock under a limited set of conditions and circumstances.

Reevaluation is 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. An inmate 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 inmates are voluntarily sent back for a refresher training or a modified "zero weeks" status to re-learn 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.

Of the 15,500 inmates who entered Shock, a total of 5,277 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, 1993, 1,086 inmates had been sent to reevaluation. As of that date, 46 inmates were active in the program, 661 were removed from Shock, while 379 had graduated and were released to parole supervision. Thus, of the 1,040 inmates who "completed" the reevaluation process 63.6% failed



while 36.4% 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 473 graduates sent to work release facilities. Of those, 54 were removed and 419 were released to parole supervision. Thus of the 473 Shock graduates sent to work release 88.6% were eventually released to parole supervision while 11.4% were removed from work release and returned to general confinement. (see Table 9)

The 1,327 Shock inmates under custody as of September 30, 1993 were distributed by facility as follows: 267 at Monterey, 225 at Summit, 250 at Moriah, and 585 at Lakeview, including 142 female inmates. (see Table 9)

### **Shock Program Removals**

Through September 30, 1993 the overall dropout rate from the program was 37.4%. This rate is calculated from information presented in Table 9 by dividing the number of removals from the program (n=5,277) by the sum of removals and program graduates (n=14,119). The number of active inmates in the program is not used in this calculation. In comparison to last year's data, this year's dropout remains the same as last year.

According to Table 10, on average Shock removals spend 56.1 days in the program before leaving, a slight decline from the figure presented in last year's report.

Table 11 represents the proportion of inmates who were removed by the reason for removal. Through September 30, 1993, most inmate removals left for disciplinary reasons (30.7%), while voluntary reasons were cited for 26.9% 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 reevaluation 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 overall reasons for program removal are presented in Chart 2.

In comparison to last year, the proportion of inmates removed for voluntary reasons, and unsatisfactory program adjustment reasons declined while the proportions of reevaluation and medical removals increased. The decline among the voluntary 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.

**Longitudinal Review Of Eligibles and Releases**

According to Chart 3, since Shock began, the average monthly number of eligible inmates has grown from 77 in the third quarter of 1987 to 513 in the third quarter of 1993. According to Chart 4, the monthly average number of inmates "released" from Shock has increased from 23 in the first quarter of 1988 to 183 in the third quarter of 1993. 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. The largest average monthly number of Shock eligible inmates were admitted to DOCS in the second quarter of 1992. As a direct result of these admissions the highest average number of Shock releases occurred in the fourth quarter of 1992. (see Charts 2 and 3)

Chart 6.1 presents an overall view of the number of inmates in the program between September 1987 and September 1993. The Chart graphically represents the effects that the changes in the eligibility criteria have had on the growth of the program. The most dramatic increases occurred after the Legislature increased the age of eligibility to include 26 to 29 year olds in 1989.

**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 1992-1993 Fiscal Year. During this period five Shock facilities were in full operation.

As in past Legislative Reports there is a concern with our inability to disaggregate the FY 1992-1993 Shock program expenditures for two 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.

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 average daily number of inmates housed in all three sections of the facility.

DOCS Budget Analysts were unable to disaggregate the expenditures of the Butler Comprehensive Alcohol and Substance Abuse Treatment (CASAT) Annex from the 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. Beacon meets the same selection criteria and it is a female facility. The other three minimum security facilities are camps.

The relevant population figures used in this section were calculated from the average daily population figures provided by the Records and Statistics unit of DOCS.

**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 1993 reports that the average daily costs reported by 25 jurisdictions operating Shock programs in January 1993 ranged from \$12.37 in Nevada to 137.00 in Michigan. The average cost for these jurisdictions was \$48.07. The range of these costs may be due to a number of factors including program size, the comprehensiveness of the program, and whether the program is 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 in states where judges control which inmates are sent to the program or where Shock Incarceration is used as an alternative to probation 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. Even in New York where judges do not directly sentence offenders to Shock a survey of the judiciary in 1990 indicated that 14% of the judges gave shorter sentences to offenders to assure that they would be eligible for the program.

**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.

A recent national review of Boot Camp programs conducted by the United States General Accounting Office (GAO) concluded that these programs reduce overall corrections costs and systemwide crowding. The report by the GAO also noted that of the jurisdictions studied "New York is the best example of reported cost savings." (GAO Prison Boot Camps April 1993, p.25)

New York State's Shock incarceration program has been widely cited in the limited literature on the topic of Boot Camps because of three factors. They include, the treatment oriented program content; the size of the program, with an annual capacity of over 3,100 inmates; and the existence of a consistently thorough evaluation effort that has been associated with the program. In fact the GAO review of Boot Camp programs indicated, "...the most extensive

evaluation process was done in New York, which publishes an annual report on its boot camp program." (GAO Prison Boot Camps, April 1993, p.22)

When modeling the costs of the Shock Incarceration program in New York State, we have posed the question "What would it cost the Department if the Shock program did not exist and all Shock graduates since the start of the program had to serve out their complete sentences in a non-Shock facility?" The resultant model was constructed to meet the needs of DOCS as a way to measure the program's effectiveness. It therefore consists of two distinct component parts:

1. Savings due to reduction in the need for care and custody of Shock inmates, and
2. Savings due to the avoidance of capital construction costs.

The only other cost savings model for Boot Camps was introduced by Dale Parent and Doris MacKenzie in a 1991 article which analyzed the program in Louisiana. This model grew out of the work they were involved in on the multi-site study of Shock incarceration being funded by the National Institute of Justice. (MacKenzie, D.L. and Dale Parent. (1991). "Shock Incarceration and Prison Crowding in Louisiana", *Journal of Criminal Justice*, Vol. 19, pp. 225-237.)

This model was examined and rejected by DOCS because it was too generic for our needs. Specifically, their model only calculated bed savings without the ability to attach dollar estimates to those beds. Additionally, their model had two other flaws which limited its usefulness for New York. First it assumed that all Shock beds are filled to capacity at all times, when in fact this is not the case due to removals and limited backfilling of empty beds. Additionally, their model does not allow for a bed savings that is cumulative over time.

Although not suited for the purposes of New York, the Parent/MacKenzie model is useful for a variety of jurisdictions who run Shock programs as a catalyst to think about their programs and the factors involved in obtaining bed savings. For this reason alone it should at least be considered by all Shock programs as a starting point in understanding the benefits and liabilities of running Boot Camps.

### **The New York State Cost Avoidance Model:**

Since the New York model attempts to examine the fiscal impact of the program since its inception dollar savings are considered to be cumulative. To construct the model there were at least eleven factors to be considered. These include:

1. The Fiscal Year Expenditures For Shock Facilities.
2. The Fiscal Year Expenditures For General Confinement Facilities Where Shock Inmates Would Be Housed If The Program Did Not Exist.
3. The Original Time To Parole Eligibility Of Actual Shock Graduates Released To Parole Supervision.
4. The Security Level Of Shock Program Graduates.
5. The Amount Of Time Shock Graduates Spent In Docs Custody Before Their Release To Parole Supervision.
6. The Proportion Of Shock Inmates Who Would Not Be Released To Parole Supervision At Their First Appearance. And The Average Duration Of Their Stay In Docs If Shock Did Not Exist.
7. The Costs For Constructing Medium And Minimum Security Prison Beds In New York State.
8. The Number Of Vacant Beds In The Shock Program.
9. The Number Of Inmates Removed From Shock Before Their Completion Of The Program.
10. Number Of Aggregate Returns And Re-Releases For Shock And Non-Shock Comparison Groups In The Study .
11. The Duration Of Stay In Docs Custody Until Re-Release For Shock And Non-Shock Comparison Groups In The Study .

These factors are all used in the construction of the cost savings model for the DOCS Shock Incarceration program.

**Fiscal Year Expenditures of Shock vs. Non-Shock Facilities:**

The starting point for placing a dollar value to the bed savings component of the cost model is the actual expenditure data for a number of DOCS facilities. These include spending data on personal services and other than personal services expenditures for all five Shock facilities, five comparison minimum security facilities, and six comparison medium security facilities. To be useful this data has to be translated into per diem costs per inmate for each of these Shock and Non-Shock facilities. This was accomplished by using the actual fiscal year expenditures for each facility divided by the average daily inmate population for those facilities for the fiscal year. The per diem data is needed because the model examines the differences in the costs of the Shock and non-Shock facilities while also considering the difference between the number of days of incarceration for Shock and non-Shock inmates.

This model averages the costs of the Shock and the comparison facilities since Shock started in New York State. The model then applies the averages to all the inmates released from the Shock program since March 1988. 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.

**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 avoidance's 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.

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. During the period of this analysis 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 the Support Services category) and inmate wages (which comes from the Program Services category).

On average, the Shock facilities in FY 1992-1993 spent more per diem per inmate than either our comparison medium security (by 9.9%) or minimum security (by 11.1%) 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 between 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 security concerns. 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 comparison minimum security facilities.

The per inmate cost of health care at Shock facilities is only slightly higher than that of comparison Minimum security facilities and significantly lower than that of the comparison Medium security facilities. The highest cost of health care at Shock 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 a portion of FY 1992-1993. 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) the health care costs for that facility will remain high.

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 comparison 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. Still, the overall wages for inmates at Shock are slightly higher than that paid to either the Minimum or Medium security inmates where inmates are not usually working three shifts.

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. (It should be noted that a small number of critically ill inmates are eligible each year for medical parole and can be released before the completion of their minimum sentences.)

On average, each of the 8,842 Shock releases through September 30, 1993 would have spent 552 days in prison, including time in reception, until their PE dates, if the program did not exist. The Shock releases actually spent 224 days in DOCS custody including time in reception. Thus, on average, for each graduate released to parole supervision there was a net savings of 328 days. Thus, for the average Shock graduate there is a savings of approximately 10.8 months between their actual date of release from Shock to what would have been their earliest release at their court determined PE date.

Another factor to be considered is the parole release rate at first hearing for DOCS inmates. The proportion of inmates who have been released at their initial parole hearings since March 1988 is 64%, while virtually all Shock graduates (98%) have been granted parole releases at their initial hearings. Thus, if Shock were not available, we could expect that 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 six 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 \$1.37 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 be granted release by the Board of Parole at their initial release consideration. 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 \$25,000. Therefore, 9 months, or three-quarters of a year of incarceration costs \$20,100. For our purposes, that is an additional savings of \$675,000 for the 36 inmates in post- PE date savings.

So, for every 100 Shock releases, it is estimated that the Department saves \$2.05 million, which it otherwise would have had to expend for the care and custody of these inmates. Thus, for the first 8,842 releases from Shock, as of September 30, 1993, there was an estimated savings in program costs of \$180.9 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, 5,277 inmates had been removed from Shock after spending an average of 56.1 days in the program. Instead of 56.1 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. Additionally, this year we have decided that it is necessary to include the 54 Shock graduates who were removed from work release programs to the number of inmates removed from the program. These 54 inmates spent 180 days in the program. Thus, overall there were 5,331 inmates removed from Shock who spent on average 57.3 days in the program. As a result the amount of the offset is approximately \$4.7 million. Thus, the revised savings estimate for the care and custody of Shock inmates is \$176.2 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, 1993, there were 2,237 inmates who would have to be housed somewhere in the Department if Shock were not available.

The cost of constructing these 2,237 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 2,237 inmates (or 895) would be housed in Medium Security facilities while the remaining 1,342 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 2,237 inmates would amount to \$147.3 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 routinely 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 282.9 for Shock facilities. The model assumes that these 283 beds would be filled if the Shock program did not exist. Thus, they must be subtracted from the 2,237 bed savings for a total bed savings of 1,954. This adjustment reduces the dollar savings to \$129.1 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, 1993 for the 8,842 released graduates is equal to \$305.3 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**

A significant refinement of the cost avoidance model in this year's report involves 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.

Each year the Legislative Report examines the return to custody data for Shock graduates in relation to three comparison groups. They include pre-Shock inmates (inmates who entered DOCS prior to the program existing or prior to the eligibility criteria changing to meet their age at time of admission); inmates considered for Shock, but who did not enter the program; and inmates removed from the program.

The new analysis began by examining the number of aggregate returns to DOCS custody (as of March 1992) for inmates in the Shock group and the consolidated comparison group who were released between March 1988 and December 1990. The sample of releases used in this analysis differs from the total population of releases analyzed in our standard follow-up studies presented in the Community Supervision section of this report. This sample was used in order to allow us sufficient time for an inmate to be released from DOCS, returned to DOCS, and then re-released to parole supervision. The analysis examined

- ♦ How many of the returns to DOCS custody were still incarcerated as of September 1992.
- ♦ How many of the returns were re-released to parole supervision.
- ♦ How much time did the re-released inmates spend in DOCS.
- ♦ How much estimated time returnees still in custody will spend before their eventual release.

The findings are summarized in Tables 16 through 18. In general what we found was:

1. The aggregate return rate for Shock graduates in this sample group (32.1% ) was lower than that of the inmates released from the non-Shock groups (37.9% ).
2. Only 53.5% of the returned Shock graduates (N=540) had been re-released as of September 30, 1992 while 60.9% of the returned non-Shock inmates (N=1,528) had been re-released.

3. The average time spent in DOCS custody for re-released Shock graduates (N=540) was 10.5 months. For non-Shock re-releases (n = 1,528) it was 8.3 months.
4. The calculated average time to be spent in DOCS custody for Shock non-releases (N=469) was 32.3 months. For non-Shock non-releases (n=982) it was 34.7 months.
5. The average number of months a Shock graduate who returns to DOCS custody can expect to be reincarcerated is 20.6 months.
6. The average number of months a non-Shock graduate who returns to DOCS custody can expect to be reincarcerated is 18.6 months.

What accounts for the difference in the time spent in DOCS between the inmates who were actually re-released and inmates who were not yet re-released? One possible response is that because this analysis examines the re-release status of inmates who were originally released from DOCS custody between March 1988 and December 1990, inmates with shorter sentences were over-represented among those inmates actually re-released.

The second question is; Why do Shock parole violators appear to be spending more time in DOCS custody until their re-release than do inmates from the comparison groups? The answer to this is more complex.

In April 1988 the Division of Parole declared in Part 8010 of their Executive Rules and Regulations that special rules shall apply to Shock graduates designed to be consistent with the Legislative intent of the Omnibus Bill of 1987 which created the Shock Incarceration program. These regulations recognized that Shock inmates received the "unprecedented" benefit of being eligible for release prior to service of the minimum term. They also recognized that rigorous selection criteria and the structured, intensive nature of the program meant that successful graduates would be "excellent candidates" for release to parole supervision. Thus, the regulations specifically "create a presumption in favor of release" for successful graduates.

For those individuals who received the benefit of early release, the regulations also addressed the revocation process. Since Shock provides an unprecedented opportunity for early release after serving only six months (regardless of the minimum period of incarceration that was set by the judiciary), "the board believes that the commensurate penalty for violation of one or more conditions of parole should be severe." The regulations go on to state that the "period of reincarceration shall be for at least a period of time equal to the minimum period of imprisonment imposed by the court." Additionally, "the six month period of Shock incarceration shall not be deemed to be part of the minimum period of imprisonment and the violator shall therefore not receive credit for that time in calculating the minimum period of reincarceration."

The Division of Parole thus is ensuring that the community protection standards of the program are not being compromised. Based on this regulatory declaration, it is not surprising to find that Shock RPV's are spending (or should expect to spend) more time reincarcerated than non-Shock parole violators.

Shock graduates who are reincarcerated therefore spend an average of two months more in DOCS custody than do their non-Shock counterparts. With this data it is now possible to conclude that Shock graduates do spend longer amounts of time reincarcerated than non-Shock inmates. This conclusion affects the central question being addressed in this section "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?" The need to house returned Shock inmates for longer periods of time may need to be considered as a savings offset.

### **Determining the Costs of Housing Returned Inmates:**

In the preceding analysis we determined that the Shock graduates currently are returning less frequently to DOCS custody than non-Shock releases. However, these Shock returns spend more time incarcerated before their re-release to parole supervision than non-Shock inmates.

### **Costs of Care and Custody**

Table 16 indicates that of the 3,140 Shock graduates released in the first 40 months of the program, 1,009 returned to DOCS custody by March 31, 1992. This is a 32.1% return rate. Of the 6,626 comparison group inmates who were released during the same period, 2,510 returned to DOCS custody by March 31, 1992. This is a return rate of 37.9%. Table 17 indicates that Shock returns will spend 20.6 months reincarcerated while non-Shock returns will spend 18.6 months reincarcerated.

To calculate the costs related to these differences, we establish the data relating to the non-Shock returns (i.e., a 37.9% return rate with inmates spending 18.6 months reincarcerated) as the expected values for Shock graduates. In Table 17, applying the comparison group's return rate to Shock, Shock would expect 1,190 returns to DOCS custody (instead of the actual 1,009). They would be expected to stay 18.6 months (instead of their 20.6 months). Then, multiplying the number of returns by the time they spend reincarcerated derives an actual number of "inmate months" spent reincarcerated in DOCS for Shock returns (20,816) and a separate expected number of "inmate months" spent reincarcerated in DOCS for these Shock returns (22,183).

The fact that Shock graduates returned to custody at a lower rate than the comparison group, for this particular set of data, has more than offset the additional expense of having to house these inmates for an additional two months on average.

The difference between the actual and expected number of "inmate months" spent reincarcerated is then annualized by dividing it by 12 months. The resultant number of "inmate years" is then multiplied by the annual cost for housing non-Shock inmates to determine the estimated savings offset or accrual. The numbers used in this calculation are presented in *Table 17*.

The difference in "inmate months" between the actual and the expected values was 1,367. The annualized version of this "inmate month" difference is 113.9 "inmate years." When the number of man years is multiplied by the annual cost for care and custody for inmates (\$25,000) the savings gain in this case is initially set at \$2,847,500. It must be remembered that this gain applies only to the first 3,140 Shock graduates. We assume that the rates of return and the expected lengths of stay for our annualized sample closely resemble the universe of all Shock and non-Shock releases.

As a result it is necessary to apply our findings to the first 8,842 Shock releases used in the calculation of the cost avoidance figures attributed to Shock earlier in this section. Using the ratio of 8842/3140 we estimate that the Shock returns provided DOCS \$8,018,342 in additional savings because fewer Shock graduates than expected returned.

### **Capital Construction Costs**

Just as we factored in the cost avoidance effect of not housing Shock graduates until their PE dates this adjustment of the cost avoidance figures must also take into account the fact that 469 (or 14.9%) of the returned Shock releases and 982 (or 14.8%) of the non-Shock releases had not been re-released from DOCS custody as of September 30, 1992.

To calculate the costs related to this difference we again need to establish the data relating to the non-Shock returns as the expected values for our Shock graduates. Thus, according to Table 18, when we apply these values to the Shock releases we expect only 465 graduates returning to DOCS to still be reincarcerated (instead of the actual 468). By multiplying the difference in the number of actual versus expected Shock returns still reincarcerated (3) by the cost per medium security bed (which is used in our cost avoidance model (\$86,600), the capital cost attributed to having to house these Shock failures for a longer period of time is \$259,800.



Since this is our first attempt at examining the effect of returned inmates on our model, we only have information as of a single point in time. As we track this information in the future, we will be able to better understand the flow of inmates back in and out of DOCS custody and determine if this estimate of the additional costs attributed to returning inmates is too high or too low.

The combination of the costs for care and custody as well as for capital expenditures for returning Shock graduates totals an estimated \$8,278,142 in additional savings. This increases our overall savings from the early release of 8,842 Shock graduates to \$313.6 million that will only continue to grow as the program continues to succeed in its mission.

Thus, 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.

**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 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, religious organizations, 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 1993 inmates from Shock facilities performed approximately 1.2 million 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 \$6 million to complete these projects.

In 1993 these tasks primarily included:

- Clearing debris from stream beds for flood control purposes;**
- Environmental Conservation Projects;**
- Maintenance and Cleaning of State Parks;**
- Clearing roadsides and repairing fences along roadways;**
- Constructing community playgrounds and recreational facilities;**
- Painting and renovating churches and historical structures in the cities, towns, and villages located nearby the Shock facilities;**
- Clearing brush from abandoned cemetery sites;**
- Emergency response for major storm damage;**
- Clearing snow off structures to minimize winter storm damage.**

Since the start of the Program, Shock inmates have also been working with staff from the Department of Environmental Conservation on projects designed to clean and beautify State Parks, clear access roads, and improve timberland used in soil erosion abatement, and wildlife and fishery management.

The staff and inmates from Shock facilities have also been instrumental in cleanups after emergencies. Moriah inmates have helped in containing and

cleaning up after at least five forest fires. Due to the remote location of some of these blazes inmates were responsible for carrying water to the hot spots over distances of one mile and hiking in tools for one fire for over an hour.

As a result of heavy snowfalls in the winter of 1993 Summit inmates performed emergency snow removal tasks in the City of Schenectady and the Village of Middleburgh. Lakeview inmates were also involved in snow removal projects in the Cities of Dunkirk and Fredonia. Shock crews were also used in response to tornadoes, hurricanes, floods, and storm damage control.

In addition to the community services listed above inmates at Lakeview continue to provide services by organizing an extensive Trooper Toys for Tots program working out of Fredonia. 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.

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.

**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, 1993.

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 19 shows the 22 demographic and legal characteristics used in this comparison for both the males and the females in Shock and their counterparts in the Minimum and Medium security facilities. Among the males the Shock inmates differed significantly from inmates in the Minimums in 16 of the categories. The differences between Shock inmates and the Medium Security inmates existed in 19 categories.

In comparison to these other male inmates, the male Shock inmates were:

- younger at reception*
- more often committed for drug crimes*
- less often convicted as Second Felony Offenders*
- less likely to have had prior felony arrests and convictions*
- given shorter minimum sentences*
- given shorter times to parole eligibility*
- serving fewer number of jail days prior to their DOCS incarceration*
- less often sentenced from New York City*
- less often Afro-American*
- less likely to have completed 12th grade or higher*

Table 19 also shows differences among the women, as female Shock inmates differed from women in Minimum security facilities on only nine of the 22 variables and differed from the Medium security women on 12 of those variables.

In comparison to their counterparts Shock women were:

- younger at reception*
- more often committed for drug crimes*
- less often convicted as Second Felony Offenders*

*less likely to have prior felony arrests and convictions  
given shorter minimum sentences  
serving fewer number of jail days prior to their DOCS incarceration*

### **Who Gets Sent To Shock: A Comparison Over Time**

Table 20 is an examination of the annual snap-shots of the characteristics of Shock males and female inmates that have been presented in the Legislative Reports. As expected, there have been changes in the composition of the Shock population as a result of changes in the Legislative criteria for eligibility. (inmate participants are getting older). We may also be observing changes caused by changes in the law enforcement strategies in dealing with the war on drugs and changes in the attitudes of eligibles inmates towards the program (changing emphasis on the attention paid to drug offenders.)

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

- 1. Have been getting older.*
- 2. Have been getting longer maximum sentences.*
- 3. Have been entering with higher reading and math scores.*
- 4. Have been committed less often from New York City.*
- 5. Have become more white and Hispanic and less Afro-American in ethnic composition.*
- 6. Have reported higher education levels.*
- 7. Have reported less drug use at their reception to DOCS.*

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 Afro-American in ethnic composition.*
- 6. Have reported higher education levels.*
- 7. Have been committed less often for drug offenses.*

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

- 1. Were Younger.*
- 2. Had higher reading and math scores at reception.*
- 3. Had served less jail time.*
- 4. Had more prior felony arrests.*
- 5. Were less often committed from New York City.*
- 6. Were more often white and Hispanic and less often Afro-American in ethnic composition.*
- 7. Were less often second felony offenders.*
- 8. Were less often drug offenders.*
- 9. Were less 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 predominantly educational in focus. The Shock program's 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 lacking their 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 2,080 Shock graduates between April 1, 1992 and March 31, 1993 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 7.7. Only 24.1% (N=501) of the inmates had initial math scores of 9.0 or higher. In contrast, the average final math score was 8.8 while 37.5% (N=780) of the inmates had final math scores of 9.0 or higher. Thus, the overall average change in math scores for inmates during this time period was an increase of 1.1 grade levels. (see Table 21). In six months or less, 61.5% (N=1,280) of the Shock graduates had increased their math scores by one grade or more. During this period 38.6% (N=802) of the inmates increased their math scores by two or more grades while 14.1% (N=293) increased their math scores by four or more grades.

**Reading Scores:** The average initial reading scores for these Shock graduates was 8.6, and 41.9% (N=871) had initial reading scores of 9.0 or higher. In contrast, the average final reading score was 8.9 while 44.3% (N=921) had final reading scores of 9.0 or higher. (see Table 21) Thus, the overall change in reading scores was an increase of 0.3 of one grade level. In six months or less 45.1% (N=938) of the Shock graduates increased their reading scores by one grade or more. During this period 25.9% (N=539) of the inmates increased their reading scores by two or more grades while 6.1% (N=127) increased their reading scores by four or more grades during their six months in Shock.

Table 21 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 erratic with no trend over the years, but that the reading scores for these inmates has been consistently 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 during the same period the proportion of inmates who have improved their math and reading scores while in Shock has increased.

It should be noted that the changes reported each year in the TABE scores of Shock graduates show a consistent trend of positive achievements and less emphasis should be placed on the specific percent or numerical grade improvement. 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 22 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 examine the GED information for FY 1992-1993.

The average inmate population figures for Lakeview SICF which were used in Table 23 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 23 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.



During FY 1992-1993 the number of GED tests given to inmates at the Shock facilities was 4.9 times greater than the number provided at the Minimum security facilities and 2 times greater than the number given at Medium security facilities.

It should be noted that the number of tests given at the Shock facilities during the FY 1992-1993 period was lower than that reported in the last fiscal year. This decline was acknowledged in the 1992 Annual Report of the DOCS Academic Education Program which indicated that many facilities reported problems obtaining GED examination materials from the New York State Education Department due to increased demand for these tests statewide.

The size of the cumulative average inmate population at the Shock facilities was 1.3 times larger than that of the Minimum security facilities. The Shock facilities screened 11.3 times as many inmates for GED testing, but tested 13.8 times as many inmates, and over 14.9 times as many Shock inmates earned GED's as the five Minimum security comparison facilities. (see Table 23)

The size of the cumulative average inmate population of the six Medium security facilities was 2.8 times greater than that of the Shock facilities, however, the Shock facilities screened as many inmates. Additionally, the Shock facilities tested 2 times more inmates for the GED, and 2.4 times as many Shock inmates earned GED's as did the six Medium security facilities combined. (see Table 23)

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 1992-1993 (70.5%) was notably higher than that of the five Minimum security facilities (65.1%) and that of the six Medium security facilities (59.3%). (see Table 23)

Table 24 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 successfully than the comparison facilities. Most importantly, since the 1990 report, the passing rate for Shock graduates has also been increasing (from 40.0% to 70.5%).

**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 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 5,277 inmates who were transferred from the program through September 30, 1993, 26.9% (N=1,419) left voluntarily. Table 10 indicates that, on average, these inmates decided to do so within 20 days of their arrival. In many cases they believed that an "easier" alternative might be available to them such as work release, or a less demanding program. The Department took steps late in 1993 to restrict other options for Shock eligible inmates in an effort to encourage more inmates to remain with this very valuable, though demanding program. Information as to the effect of these efforts in reducing the number of voluntary exits from the program will be available in the next Legislative report. We will also examine if this new policy will affect the number of disciplinary removals from the program.

Table 11 also shows that a large proportion of inmates who left the program prematurely did so because of disciplinary problems. These inmates constituted 30.7% (N=1,621) of the inmates who were transferred out. On average, it took 40 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 and that these actions do have consequences. 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 for a brief period. When any learning experience or corrective action is handed out, the common sense of the staff must 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 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 recommend that the inmate be placed in the reevaluation program.

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**

There is a three Tier disciplinary process used in all DOCS facilities including the Shock facilities. As with past reports, we have made an effort to analyze disciplinary data for all inmates who have gone to Shock facilities. For this process, we reviewed copies of Tier II and Tier III disciplinary reports (which are the most serious misbehaviors) from all the Shock facilities. The information presented in Tables 25 through 28 represents data from that effort.

It should be noted that this information represents disciplinary report activity and not the final dispositions for each participant. This is important to emphasize because not all disciplinary reports are upheld by subsequent hearings and may be dismissed by an impartial hearing committee. It is also important to note that not all inmate disciplinary reports rise to the level of being classified as an unusual incident.

During FY 1992-1993, the facilities filed 756 Tier II reports and 576 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 25 through 28 can be summarized as follows:

*(a) 25.8% of the 3,471 inmates in the Shock program during FY 1992-1993 were involved in disciplinary activity involving Tier II or Tier III hearings.*

*(b) Of the 895 inmates with Tier II or III reports, 68.3% were involved in one incident while the remaining 31.7% were involved in more than one incident.*

*(c) These 895 inmates were involved in 1,332 Tier II or Tier III misbehaviors.*

*(d) Of the 1,332 misbehaviors, the majority (56.8%) were of the Tier II level.*

*(e) Of the 2,081 "graduates" from Shock during FY 1992-1993, 252 (or 12.1%) were involved in Tier II misbehaviors while 40 (or 1.9%) were involved in Tier III misbehaviors. These 292 inmates were responsible for 368 misbehaviors, the majority of which (87.2%) were of the Tier II level.*

*(f) Of the 1,390 inmates removed from the Shock program during FY 1992-1993, 265 (or 19.1%) were involved in Tier II misbehaviors while 338 (or 24.3%) were involved in incidents at the Tier III level. These 603 inmates were responsible for 964 misbehaviors the majority of which (54.9%) 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 refusing direct orders, acting out and inmate fights.*

*(h) Since the 1990 Legislative Report the proportion of transferred inmates with misbehavior reports has grown from 26.4% to 43.4% while the proportion of graduates with misbehavior reports shrank from 21.3% to 14.0%.*

In summary, these data show that in FY 1992-1993, 25.8% 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 29 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 inmate disciplinary system. The Table presents the average number and rate of disciplinary reports per 1,000 inmates that occurred during FY 1992-1993 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 29 the following observations can be made from this year's data:

1. 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.
2. 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 4.0 times greater than at the Shock facilities while the rate at the Medium Security facilities was 3.4 times greater than at the Shock facilities.
3. When variation in population sizes were taken into account, the rate of Tier II reports per 1,000 inmates at the Minimum security facilities was 1.8 times greater than at the Shock facilities while the rate at the Medium Security facilities was 1.8 times greater than at the Shock facilities.
4. When variation in population sizes were taken into account, the rate of Tier III reports per 1,000 inmates at the Shock facilities was equivalent to the rate of the Minimum security facilities. At the same time, the rate of Tier III reports per 1,000 inmates occurring at Shock were 1.7 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 or equivalent to 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 28 which shows that since 1990 the proportion of inmates transferred from Shock with disciplinary reports has been increasing.

Thus, Comparison Minimum security facilities had the highest overall rate of misbehavior as well as the highest Tier I reports per 1,000 inmates. The medium security facilities had the highest rate of Tier II reports per 1,000 inmates while the Shock facilities had the highest rate of 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 through learning experiences. (Although it should be pointed out that the rate of Tier I reports per 1,000 inmates at Shock increased by 60% in FY 1992-1993 when compared to the rate reported in FY 1991-1992. Additionally, the rate of Tier II reports decreased by 43%, and the rate of Tier III hearings increased by 25%.) 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 26 is that of the 576 incidents involving Tier III activity, 91.8% (N=529) occurred among inmates who were removed from the program.

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 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 conformed and learned from their mistakes, but there are those who did not, and Shock could not help them. 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 should be stressed 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 may be accustomed to higher standards of inmate behavior. As a result 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 30 indicates that the average rate of reported incidents at the Shock facilities was lower than the rate of UI's at both the comparison Minimum and the Medium security facilities. Since not all incident types represent negative behavior by inmates (such as staff misbehaviors and accidents), this report examines some specific incident types in order to understand more about the nature of the 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 Legislative 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 1992-1993 only 1.6% (N=1) of the UI's reported from Shock facilities were listed as contraband incidents. In contrast, contraband incidents comprised 5.9% (N=5) of the Minimum security facilities UI's, and 32.4% (N=84) of the Medium security facilities UI's. (see Table 30)

**Staff Assaults:** Incidents of inmates assaulting staff accounted for 37.1% of the UI's reported at Shock (N=23). A review of Table 28 shows that injury occurred to staff in 56.5% of these incidents. In the Minimum security facilities, staff assaults constituted only 2.4% of their UI's without any resulting injury to staff. In the Medium security facilities, staff assaults comprised 6.9% of the reported UI's and injury to staff occurred in 66.7% of those incidents. (see Table 30 and Table 31)

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 relatively high.

Some additional research found that 47.9% (N=11) 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 13.0% (N=3) occurred between the third and fourth weeks of an inmate arriving at Shock. Thus, 60.9% of these staff assault incidents occurred within the first month of the assailant's stay in the program, a period of time when those who are not able to cope with the program rigor are most susceptible to acting out. Most importantly, all 23 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 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 1992-1993 11.3% (N=7) of the Shock UI's were for assaults on inmates and inmate injuries were sustained in 85.7% of these incidents. In the Minimum security facilities 11.8% (N=10) of the reported UI's were for assaults on inmates and inmate injuries were sustained in all ten incidents. (see Table 30 and Table 31)

In the Medium security facilities, 16.6% (N=43) of the reported UI's were for assaults on inmates and injuries occurred in 93.0% of those incidents. (see Table 30 and Table 31)

Since the 1991 Legislative Report the overall UI rate for Shock facilities has declined from 74.4 per 1,000 inmates to 43.4 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 77.1 in this Report. Among the Medium security facilities the rate of UI's per 1,000 inmates has grown from 57.8. per 1,000 inmates to 64.4 per 1,000 inmates.

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 fifth inmate to walk away from a Shock facility. 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 physical training exercises. This was the second death to occur at a Shock facility. The

incident was investigated by the State Commission of Corrections and the Chautauqua County Medical examiner's office ruled that the inmate had a preexisting coronary condition (due to excessive nicotine and cocaine abuse) that was undetected during routine medical screening, as the direct cause of this tragic accident.

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.

**Summary of the Incarceration Portion of the Legislative Report**

In this section of the Legislative Report we have demonstrated that Shock is a viable component of the State of New York's correctional strategy for treating and releasing non-violent younger offenders. We have explained the treatment philosophy of the program contrasting it with other programs nationally. We have demonstrated that the program has saved bed-space and money for the Department of Corrections, while documenting the extraordinary education gains made by Shock graduates. We have described the complex screening process for determining Shock eligibility and the extensive training provided to staff working in the program.

The next section describes the community supervision phase of the Shock Incarceration program that is run by the New York State Division of Parole.

## **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 in the community. This section examines the New York State Shock Parole Supervision Program.

The Division of Parole and the Department of Correctional Services remain at the forefront in examining the effectiveness 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.

### **Shock Parolee Characteristics**

The profile of the typical Shock graduate, leaving prison from April through September 1993, is that of a single young minority male residing in New York City with a history of substance abuse and a conviction for a drug offense. These characteristics have remained relatively constant during the past six years, even though program eligibility has been expanded to include older offenders.

Upon the completion of six months of Shock incarceration, nearly two-thirds (64%) of the graduates return to New York City. As a group, Shock parolees are primarily male (94%) and approximately twenty-three years old when released from prison. Nearly half (47%) of the population is Black, thirty-six percent Hispanic, and seventeen percent White. Approximately nine out of ten (88%) have a substance abuse problem, while nearly three out of five (59%) abuse alcohol. On average, the typical Shock graduate leaves high school during the tenth grade.

The typical Shock graduate, as reported by the Department of Correctional Services, had been arrested at least twice for a felony offense prior to the instant offense. Nearly half (47%) have a prior felony conviction. When 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 as an A-II felon. Drug offenses constitute nearly three fourths (71%) of the total crimes of conviction for Shock parolees, property crimes seventeen percent, Youthful Offender six percent, and other crimes six percent.

**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 have a stable residential placement. It is designed to provide temporary housing and support services for up to 90 days for individuals in need of a structured environment.

Last year, changes in legislation led to a reduced Parole staff presence at each Shock facility. As a result, Parole staff are no longer able to lend assistance to DOCS' personnel or to participate in many of the program activities associated with Shock such as superintendents proceedings (Tier hearings), 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.

## **Shock Legislative Report 1994    Community Supervision Phase**

During this study period, April 1, 1993 through September 30, 1993, the Division of Parole was able to maintain the supervision ratio for Shock graduates at two parole officers for every 38 Shock Incarceration graduates for the first six months in the community. In New York City, where the concentration of Shock graduates is highest, the Division employs supervision teams. Other offenders newly released to parole supervision elsewhere in New York State are supervised at a ratio of one parole officer for every 38 parolees.

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

In New York City, 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 six years ago when 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. In March of 1988, a specialized unit within the Division's New York City Manhattan I bureau was created.

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-three 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.

## **Shock Legislative Report 1994 Community Supervision Phase**

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.

### **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, 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 serves newly released parolees who have been under supervision for less than 60 days.

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 and painting.

At NWP, Shock graduates attend 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.

The Division of Parole has made a considerable effort to expand NWP's project base by promoting NWP to other agencies. The Division has been successful in securing new project sites with a number of City and State agencies including the City University of New York (CUNY), the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities, the Office of Parks, Recreation



## **Shock Legislative Report 1994 Community Supervision Phase**

and Historic Preservation, the Department of Motor Vehicles and the Division for Youth.

NWP currently provides daily slots for Shock parolees at various sites in New York City. CUNY sites include Brooklyn, Hunter and Lehman colleges where administrators have acknowledged the fine efforts of the Shock graduates in making improvements to the campuses. A number of teams are also attending sites in all five boroughs sponsored by the Office of Mental Health, the Office of Mental Retardation and Developmental Disabilities, the Office of Parks, Recreation and Historic Preservation and the Division for Youth.

As noted in previous reports, 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 gaining employment. 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 as Life Skills Educators 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 576 Shock parolees enrolled in the program between April and September of 1993. This figure includes new arrivals and parolees released in previous months. During this time period, VERA reported 304 Shock parolee job placements, 76 on-the-job training placements and one academic placement.

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

## **Shock Legislative Report 1994 Community Supervision Phase**

graduates immediately after release. Support services are also available once the individual is placed in a job.

Previous reports have documented a number of individual success stories. However, for the first time, a couple has emerged with a noteworthy story. These two individuals have incorporated all the skills developed at the Shock facilities and applied this insight to coping with life in the community.

*Thirty-two year old Jim returned to New York City, after graduating from Summit, determined to stay clean and sober and support his family. Approximately two weeks later, his wife, Jane, arrived from Lakeview and registered with VDP. The couple shared a drug addiction for many years but were determined to make this common problem a drug history.*

*Since the couple was living with eleven other people and were determined to regain custody of one of their children in foster care, housing was crucial to their success. Parole officers provided them information on how to obtain food stamps and Medicaid, while the VDP Support Services Unit was able to provide them with clothing for job interviews. Parole and VDP staff also helped the couple inquire about regaining custody of their child as soon as they both started working.*

*Jim was the first to start succeeding by demonstrating skills as a handyman. After two months of participating in a VDP training program, he was made superintendent of an apartment building which was under renovation. As part of this position, Jim was given a rent-free one-bedroom apartment and promised a two-bedroom apartment when building renovations were completed.*

*Approximately three weeks after Jim started working, Jane reported to a beauty supply company to begin a two month VDP training program as a stock clerk. After completing the program, she was hired by the employer. Jim and Jane celebrated their successes by renewing their marriage vows in a religious ceremony and they remain hopeful about regaining custody of their child.*

### **The Fellowship Center - Relapse-Prevention Counseling**

The Fellowship Center provides relapse-prevention after-care services for all New York City Shock graduates to ensure the continuity of programming initiated during their participation in the institutional component of Shock. The focus of the program is to help the parolee maintain the sobriety he/she achieved in the Shock facility. 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 Legislative Report 1994 Community Supervision Phase**

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. Staff of the Fellowship Center are in close communication with parole officers to coordinate and support each other's efforts.

The Center identifies some participants as appropriate to participate only in periodic individual counseling. For others, the extent of program participation is reduced, either as a result of their successes in the community or because they have no history of alcohol or substance abuse. If 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 1993, Fellowship provided relapse prevention services to an average of 248 graduates each month, including those newly released each month and those previously under supervision. These services consisted of 619 group and 1,389 individual 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.

## **Shock Legislative Report 1994 Community Supervision Phase**

Each week, for a period of three months after release, all Shock graduates participate in Network sessions. 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 and are free to give feedback.

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.

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 1993, the Episcopal Mission Society provided services to an average of 235 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. The Division has been working with the Episcopal Mission Society to develop a system so that parole officers are promptly notified when their clients fail to attend scheduled sessions.

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 members 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:

## **Shock Legislative Report 1994 Community Supervision Phase**

**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 acknowledgment 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.

**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 reflected the Legislature's confidence in the Shock Incarceration/Shock Parole Supervision Program and reaffirmed their confidence in the discretionary release authority of the Board of Parole.

Parole Board release considerations 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 six 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 32.

From April 1, 1993 through September 30, 1993 the Parole Board conducted a total of 937 initial release considerations of Shock Incarceration inmates. The Board granted release to 927 applicants, resulting in a release rate at initial consideration of 99%. A total of 3 of the initial release considerations were postponed to allow the inmate a sufficient amount of time to complete the six-month program and the Board denied release to only seven individuals, less than 1% of all Shock release considerations this year.

In four of the seven 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 the other three denials, the Board based their decisions on the individuals' pattern of criminal behavior which led the Board to conclude that, despite Shock program participation and the subsequent granting of Earned Eligibility Certificates, these individuals would not remain at liberty without violating the law. Therefore, the Board determined their early release would be incompatible with the welfare of society.

## **Shock Legislative Report 1994 Community Supervision Phase**

Nonetheless, the Parole Board continues to exercise its discretion in granting release to a significant number of Shock participants.

Chart 8 depicts the Shock release rate as reported in each of the last three Legislative Reports, illustrating the consistency with which the Parole Board has responded to the Shock program during these reporting periods.



**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 contact 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 and urinalysis tests. In order to measure Parole staff's response to the supervision expectations for Shock Parole, two methods are used - aggregate and case-by-case contact analyses. The aggregate analysis examines all contacts achieved statewide on Shock cases in relation to the number expected during a reporting period. The case-by-case analysis examines 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 case-by-case contacts achieved in relation to the contacts expected for the first six months of fiscal year 1993-94 (April - September 1993) are presented in Table 33. The contact ratios presented in the table represent the extent to which the Division is able to meet or exceed the objectives for Shock supervision. As the aggregate analysis indicates, there are some outstanding parole officers who are exceeding expectations. However, it is important to note that the ratios for the case-by-case analysis will sometimes be less than one-to-one. There are instances in which parole officers do not make every contact on each case during a month. For example, a parole officer, in consultation with his/her senior parole officer, may decide that it would be more beneficial to an individual parolee if the officer made a second program verification during the month in lieu of an employment verification. As a result, the employment verification will not be made and the case-by-case ratio for employment verifications will fall below one-to-one.

## **Shock Legislative Report 1994    Community Supervision Phase**

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 21% more positive home visits than were expected during the reporting period. The case-by-case analysis indicates that Shock parole officer compliance in New York City was 96% 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 7% more employment verifications than were expected and 33% more positive employment verifications than expected. The statewide ratio of achieved to expected program verifications was over two and one-half to one.

The case-by-case analysis indicates that parole officers conducted the expected number of program verifications in 96% of the cases examined. Program verifications are among the most important contacts made on Shock parolees because of their prior histories of alcohol and substance abuse. The case-by-case analysis also demonstrated that parole officers conducted the expected number of employment verifications in 66% of the cases 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, parolees were tested an average of twice per month between April 1 and September 30, 1993. Test results indicate that for 87% (4,423 out of 5,057) 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

## **Shock Legislative Report 1994 Community Supervision Phase**

for this time period indicate that in 89% of the cases where outcomes were reported, the parolee was found at home.

Chart 9 provides an illustration of the number of contacts reported in this and in the last two Legislative Reports. In each year, the aggregate number of home visits, positive home visits and employment/program verifications nearly achieved or exceeded the number expected.

**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 bed 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.

Each January, from 1990 through 1993, the Division and the Department released combined annual reports on Shock. 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 sixth joint report expands upon previous findings and examines the community adjustment of Shock parolees and three separate groups of non-Shock comparison group parolees.

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=7,654) and three groups of non-Shock parolees: Pre-Shock offenders (N=4,309), offenders who were considered for Shock (N=8,429) and a group of Shock removals (N=2,779) who were released to parole supervision between March of 1988 and March of 1993.

## **Shock Legislative Report 1994 Community Supervision Phase**

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 legal and demographic variables that were used to compare the groups are presented in Table 34. 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.

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

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.

## **Shock Legislative Report 1994    Community Supervision Phase**

The Shock group also 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. Despite what appear to be some differences between the groups, we are confident that these are the best study groups available.

### **Employment and Program Success**

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, 1993 were compared to those of the comparison group parolees who had been in the community for the same amount of time.

The figures in Table 35 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, 1993. 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 69% of the Pre-Shock offenders, 68% of the Considered and 67% of the Removal offenders. In addition, the employment rate for Shock graduates (59%) was higher than that of the Pre-Shock group (40%), the Considered group (32%) or the Removal Group (28%). All of the results were found to be statistically significant.

The employment and program enrollment rates for the Shock and comparison group parolees reported in 1991 through 1993 are illustrated in Charts 10 and 11 respectively. As these charts indicate, Shock parolees have maintained consistently higher rates of employment and program enrollment than any of the comparison groups in each of the last three reporting periods.

Although the employment rates remained virtually unchanged from a year ago, except for the Pre-Shock rate which dropped seven percent, they have yet to rebound to the point of prosperity which was evident in the 1991 study. The Shock employment rate climbed one percent in 1993 to fifty-nine percent, but is still well below the mark posted in 1991 (75%). After a slight drop in 1992, rates for the Pre-Shock group dipped in 1993 (from 47% to 40%) while the Considered and Removal group rates remained around the same (32% and 28% respectively).

As in 1991 and 1992, program enrollments in 1993 were highest among the Shock group. However, the largest increases over that time period are evident among the comparison groups (Chart 11). Shock enrollments increased from 79% in 1991 to 81% in 1993, but the Pre-Shock rate increased from 51% to 69%, the Considered

## **Shock Legislative Report 1994    Community Supervision Phase**

rate from 47% to 68% and the Removal rate from 50% to 67%. The increase in program enrollments for the comparison groups is likely a result of the Division's Relapse Prevention and Discharge Planning initiatives which have made community-based services more accessible to all parolees statewide.

Greater levels of program participation and higher employment rates 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 continues to 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**

In measuring recidivism, the methodology is similar to that which has been used in previous reports. Specifically, for this report, groups of Shock and non-Shock parolees released to parole supervision between March of 1988 and March of 1992 were followed for equivalent periods of time. Return rates are presented at 12, 24, 36 or 48 months, depending upon the parolee's release date. 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.

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 observable differences 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.

### **Follow-up Method**

Offenders for whom at least one year has elapsed since their release are eligible for the follow-up study. This means that every Shock and comparison group parolee who was released between March, 1988 - March, 1992 is included in the follow-up. Return information was collected as of March, 1993.

## **Shock Legislative Report 1994 Community Supervision Phase**

Success rates are based on the number of offenders who had not been physically returned to the custody of the Department of Correctional Services within 12, 24, 36 or 48 months of release, depending upon the parolee's release date. However, it should be noted that this follow-up method 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 36 illustrates the differences in success rates between Shock and non-Shock parolees for one, two, three and four years out from their release dates. Shock parolees had the highest success rate at every interval.

### **One-Year-Out**

The one-year-out study examines the status of every offender released between March of 1988 and March of 1992 one year after their release date. Findings indicate that nine out of every ten Shock graduates remained in the community compared to 84% of the Pre-Shock group, 85% of the Considered group and 83% of the Removal group. These results were found to be statistically significant at the .05 level.

Chart 12 presents an illustration of the one-year-out results reported for each of the last three Legislative Reports. Shock graduates have consistently outperformed parolees from the Pre-Shock, Considered and Removal groups dating back to 1991. In fact, the Shock graduates' one-year out success rate has improved each year over the past three Legislative Reports. The percentage of Shock successes increased from 86% in 1991 to 90% in 1993 - a rate of increase matched only by that of the Removal group. The Pre-Shock rate actually fell one percent within the last year and the rate for the Considered group remained unchanged.

### **Two-Years-Out**

The two-year-out study examines the status of every offender released between March of 1988 and March of 1991 two years after their release date. This data also indicates a significant difference in the success rates between the Shock and comparison group parolees. Seventy percent of the Shock graduates remained in the community compared to 64% of the Pre-Shock and the Considered groups and 59% of the Removal group.

Chart 13 presents an illustration of the two-year-out results as they were presented in the 1991-1993 Legislative Reports. Again, Shock graduates have had more community success than the comparison group parolees over time and all groups showed improvement in 1993. After twenty-four months of follow-up, the success rate for the Shock group increased to 70% in 1993 from 67% in 1992, the Pre-Shock group increased from 63% to 64%, the Considered group from 61% to 64% and the Removals from 58% to 59%.



## **Shock Legislative Report 1994    Community Supervision Phase**

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 15% of the Shock releases had been returned for new crimes compared to 19% of the Pre-Shock, 20% of the Considered and 22% of the Removal offenders.

### **Three-Years-Out**

A similar pattern is evident when individuals are followed for greater periods of time. The three-year-out study examines the status of every offender released between March of 1988 and March of 1990 three years after their release date. The success rate for the Shock offenders for whom 36 months had elapsed since release was 54%, compared to 52% for the Pre-Shock offenders, 50% for the Considered and 49% for the Removal group. The only statistically significant difference noted at 36 months was found to exist between the Shock and the Considered group.

This is the second year that individuals were followed for 36 months and a comparison of this and last year's results is illustrated in Chart 14. The Shock success rate at 36 months increased three percent to 54% in 1993 and has surpassed that of the comparison groups in both years of study.

### **Four-Years-Out**

The four-year-out study examines the status of every offender released between March of 1988 and March of 1989 four years after their release date. The success rate for the Shock offenders for whom 48 months had elapsed since release was 45%, compared to 44% for the Pre-Shock offenders, 41% for the Considered and 36% for the Removal group. None of the differences at 48 months were found to be statistically significant. However, it should be noted that this group of Shock offenders is comprised of the first 583 graduates from the program, and may not be representative of what long-term follow-ups will ultimately reflect.

A close examination of the figures presented in Table 36 clearly points to a trend which indicates that the success rate of recent program graduates is higher than that of early program graduates at the 12, 24 or 36 month intervals. For example, the one-year-out success rate of Shock graduates released between April 1991 and March 1992 is 6% higher than that of graduates released between March 1988 and March 1989. Therefore, it is our expectation that the overall 48-month results will improve as more offenders reach this threshold.

There are a number of factors which may explain this. One possible explanation is that the early graduates were comprised of somewhat younger offenders who may be less stable and mature upon release than the more recent groups of releases who, because of changes in the eligibility criteria, are slightly older. The most likely explanation is that the program has become better over time. Evidence presented

in our Annual Reports indicates that early implementation issues associated with the program at both the facility and community level are factors which we feel affected the success rates of early graduates. These factors have since abated.

Since this is the first year that individuals were followed for 48 months, comparison information to previous years is not yet available.

### **Time At Risk**

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. The figures in Table 36 indicate that the proportion of offenders returned for rule violations in the 24, 36 and 48 month follow-ups is occasionally slightly higher among the Shock group.

To offer an additional perspective on this point, the differences in removal rates between the Shock and non-Shock parolees featured in the 36 and 48-month follow-up study are presented in Table 37. As expected, the Shock offenders were more likely to enter and complete the longer follow-up periods than were the comparison group offenders. 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 the 24-month, 36-month and 48-month follow-up periods, the overall Shock success rate (70%, 54% and 45% 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. More importantly, the proportion of offenders returned with new felony convictions was always lowest among the Shock group and indicates that parole officers are intervening to address community adjustment problems and to avert potential renewed criminal activity.

### **Clean Street Time**

Return rates of Shock and non-Shock parolees are important indicators by 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 amount of clean street time was examined for each of the offenders who was physically returned within the 36 and 48-month studies. Parole rule violators and those physically returned with new felony convictions within each group were examined separately to see if there were any observable differences (see Table 38).

There doesn't appear to be any difference within the groups between rule violators and those returned with new felony convictions as far as clean street time is concerned. However there does appear to be a difference between the groups regarding when parolees experience problems adjusting to the community. The Shock parolees were the least likely of any of the groups to experience problems within the first six months and the most likely to experience problems after the twelfth month.

Violation activity among the Shock parolees, compared to the other groups within the first six months, points to the degree to which the Shock supervision program helps them adjust immediately after release. The violation activity reported 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 and remain at risk for longer periods of time.

### **Reevaluation Parolees**

In 1991, the Department of Correctional Services began the Reevaluation program for Shock inmates. Reevaluation is a program designed to provide inmates who had experienced difficulties in adapting to the rules of Shock, a second chance to complete the program. Prior to Reevaluation, these inmates would have been removed from Shock and returned to general confinement prisons where they would have to serve out the remainder of their minimum sentences before they could be eligible for release consideration.

This is the first opportunity that the Division has had to analyze the community supervision outcome for Reevaluation graduates. Prior to this year, there had not been a large enough number of them on parole supervision for whom at least one year had elapsed from which to conduct an analysis. However, as of March 31, 1993, there had been a total of 140 Reevaluation parolees for whom at least 12 months had elapsed since their release. These parolees are among the Shock graduates who were released between April of 1991 and March of 1992. The results of their first year since release and comparison figures for all Shock graduates who were not reevaluation graduates and the comparison groups are included in Table 39.

The one-year out success rate for the Reevaluation graduates is slightly lower than that of the total Shock sample ( 89% compared to 92%) but higher than that of any of the comparison groups. Only 11% of the Reevaluation graduates had been returned after one year compared to 13% of the Pre-Shock and Considered samples and 16% of the Removals. None of these results were found to be statistically significant. However, it should be noted, that had there been no reevaluation program, these graduates would have become program removals. The Removal group has consistently exhibited the highest return rate of all the groups studied.

### **Shock Success**

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, 24, 36 or 48 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.

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**TABLE OF TABLES AND CHARTS**

<b>TABLE 1</b>	<b>Distribution of the Status of Shock Eligible Inmates by Gender: July 13, 1987 to September 30, 1993.</b>
<b>TABLE 2</b>	<b>Distribution of the Status of Shock Eligible Inmates Overall By Reporting Period Used In The Legislative Report Series: July 13, 1987 to September 30, 1993.</b>
<b>TABLE 3</b>	<b>Distribution of the Status of Shock Eligible Female Inmates By Reporting Period Used In The Legislative Report Series: November 12, 1988 to September 30, 1993.</b>
<b>TABLE 4</b>	<b>Distribution of the Status of All Inmates Sent To Lakeview By Age Group: September 11, 1989 to September 30, 1993.</b>
<b>TABLE 5</b>	<b>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 to September 30, 1993.</b>
<b>TABLE 6</b>	<b>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 to September 30, 1993.</b>
<b>TABLE 7</b>	<b>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: September 11, 1989 to September 30, 1993.</b>
<b>TABLE 8</b>	<b>Approval Rates For Shock Eligible Inmates As Presented In Legislative Reports: 1991 to 1994.</b>
<b>TABLE 9</b>	<b>Status of Inmates Sent to Shock: September 11, 1987 to September 30, 1993.</b>
<b>TABLE 10</b>	<b>Average Number of Days at Shock Facilities for Inmates Who Graduated or Were Removed From Shock as of September 30, 1993.</b>

**TABLE OF TABLES AND CHARTS(con't.)**

<b>TABLE 11</b>	<b>Proportion of Inmates Removed By Reason By Facility September 11, 1987 to September 30, 1993.</b>
<b>TABLE 12</b>	<b>Comparison Costs For Selected Facilities Based on Data Provided by DOCS Budget for FY 1992-1993.</b>
<b>TABLE 13</b>	<b>Average Per Diem Costs As Stated In Legislative Reports.</b>
<b>TABLE 14</b>	<b>Calculations Used in Determining Cost Avoidance Savings For the First 8,842 Shock Releases.</b>
<b>TABLE 15</b>	<b>Shock Bed Savings As Of September 30, 1993.</b>
<b>TABLE 16</b>	<b>Summary of the Data Used for Comparative Cost Factors Related to Shock and Comparison Group Returns to and Releases From DOCS Custody.</b>
<b>TABLE 17</b>	<b>Summary of Analysis for Comparative Cost Factors Related to Inmate Returns Who Were Re-Released From DOCS Custody: Costs Related to Care and Custody.</b>
<b>TABLE 18</b>	<b>Summary of Analysis for Comparative Cost Factors Related to Inmate Returns Who Were Re-Released From DOCS Custody: Capital Construction Costs.</b>
<b>TABLE 19</b>	<b>Proportional Distributions and Averages of Shock Inmates and Comparison Groups of Inmates on Demographic and Legal Variables Using the Under Custody Population as of September 26, 1993.</b>
<b>TABLE 20</b>	<b>Proportional Distributions and Averages of Shock Inmates As Presented In Legislative Reports on Demographic And Legal Variables.</b>
<b>TABLE 21</b>	<b>Summary of Reported TABE Scores.</b>
<b>TABLE 22</b>	<b>Association Between TABE Entry and Exit Scores and GED Status FY 1992-1993</b>
<b>TABLE 23</b>	<b>Results of GED Testing in FY 1992-1993</b>

**TABLE OF TABLES AND CHARTS(con't.)**

<b>TABLE 24</b>	<b>Summary of GED Activity.</b>
<b>TABLE 25</b>	<b>Distribution of Disciplinary Activity Provided By Shock Facilities FY 92-93</b>
<b>TABLE 26</b>	<b>Distribution of Disciplinary Activity Provided by Shock Facilities by Tier Type For Graduates and Inmate Transfers From The Program FY 1992-1993.</b>
<b>TABLE 27</b>	<b>Most Serious Misbehavior Type by Inmate Exit Status FY 1992-1993.</b>
<b>TABLE 28</b>	<b>Comparison Of Proportion of Inmates Involved In Disciplinary Reports By Tier Type For Graduates and Inmate Transfers As Presented In Legislative Reports.</b>
<b>TABLE 29</b>	<b>Disciplinary Data For Shock and Comparison Facilities FY 1992-1993.</b>
<b>TABLE 30</b>	<b>Unusual Incidents Occurring In FY 1992-1993.</b>
<b>TABLE 31</b>	<b>UI Staff and Inmate Assaults Fiscal Year 1992-1993.</b>
<b>TABLE 32</b>	<b>Summary of Total Parole Board Release Considerations of Shock Incarceration Candidates April 1 through September 30, 1993.</b>
<b>TABLE 33</b>	<b>Ratio of Achieved To Expected Supervision Objectives April - September 1993.</b>
<b>TABLE 34</b>	<b>Demographic And Legal Comparisons: Shock and the Comparison Groups: March 1988 through March 1993.</b>
<b>TABLE 35</b>	<b>Employment and Program Enrollment Rates As of March 31, 1993: Shock and Comparison Group Parolees Released Between 10/1/92 - 3/31/93.</b>
<b>TABLE 36</b>	<b>Return Rates for Shock Graduates and the Comparison Groups.</b>

**TABLE OF TABLES AND CHARTS(con't.)**

<b>TABLE 37</b>	<b>Removal Rates of Shock and Comparison Group Parolees: Offenders Followed For 36 Months or More.</b>
<b>TABLE 38</b>	<b>Time From Release To Delinquency for Shock and Comparison Group Parolees: Offenders Followed For 36 Months or More.</b>
<b>TABLE 39</b>	<b>One Year Out Study: Reevaluation Graduates Shock Graduates and Comparison Groups.</b>

**TABLE OF TABLES AND CHARTS (con't.)**

Chart 1	Proportion of Time Dedicated to Shock Program Components.
Chart 2	Reasons For Being Removed From Shock September 1987 - September 1993.
Chart 3	DOCS Shock Eligible Inmates: Monthly Average By Calendar Quarter.
Chart 4	Monthly Average Number of Shock Releases By Calendar Quarter.
Chart 5	Volume Of GED Activity FY 1992-1993: Shock vs. Comparison Facilities.
Chart 6	Rates of Misbehavior Per 1,000 Inmates: Shock vs. Comparison Facilities FY 92-93.
Chart 7	Number of Inmates in Shock Beds at the End of Each Month.
Chart 8	Parole Board Release Considerations.
Chart 9	Aggregate Contacts.
Chart 10	Employment Rates.
Chart 11	Program Enrollment Rates.
Chart 12	One Year Out Results.
Chart 13	Two Year Out Results.
Chart 14	Three Year Out Results.

**APPENDICES**

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

**Appendix B: Community Standards.**

TABLE 1

**DISTRIBUTION OF THE STATUS OF SHOCK ELIGIBLE  
INMATES BY GENDER**

**JULY 13, 1987 TO SEPTEMBER 30, 1993**

	ALL		FEMALES		MALES	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	30,715	100.0%	3,328	100.0%	27,387	100.0%
SENT TO SHOCK	15,500	50.5%	1,185	35.6%	14,315	52.3%
APPROVED FOR SHOCK	71	0.2%	21	0.6%	50	0.2%
REFUSED	3,608	11.7%	571	17.2%	3,037	11.1%
DISQUALIFIED	11,190	36.4%	1,486	44.7%	9,704	35.4%
MEDICAL/PSYCHIATRIC	4,560	14.8%	900	27.0%	3,660	13.4%
PENDING CHARGES	834	2.7%	13	0.4%	821	3.0%
CRIMINAL HISTORY	2,847	9.3%	110	3.3%	2,737	10.0%
FOREIGN BORN	423	1.4%	32	1.0%	391	1.4%
JUDGE REFUSE	234	0.8%	26	0.8%	208	0.8%
EARLY PE DATE	451	1.5%	96	2.9%	355	1.3%
MAX SECURITY	364	1.2%	12	0.4%	352	1.3%
DISCIPLINARY	199	0.6%	50	1.5%	149	0.5%
PUBLIC RISK	387	1.3%	11	0.3%	376	1.4%
MOVED W/O PAPER	784	2.6%	206	6.2%	578	2.1%
ZERO WEEK DROP-OUT	32	0.1%	0	0.0%	32	0.1%
OTHER	75	0.2%	30	0.9%	45	0.2%
PENDING	346	1.1%	65	2.0%	281	1.0%
APPROVAL RATE	51.3%		37.0%		53.0%	



**TABLE 2**  
**DISTRIBUTION OF THE STATUS OF SHOCK ELIGIBLE INMATES OVERALL**  
**BY REPORTING PERIOD USED IN THE LEGISLATIVE REPORT SERIES**  
**July 13, 1987 to September 30, 1993**

	July 13, 1987 November 17, 1989		November 18, 1989 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992		October 1, 1992 September 30, 1993	
	OVERALL		OVERALL		OVERALL		OVERALL		OVERALL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
<b>TOTAL</b>	<b>7,550</b>	<b>100.0%</b>	<b>5,329</b>	<b>100.0%</b>	<b>5,226</b>	<b>100.0%</b>	<b>6,260</b>	<b>100.0%</b>	<b>6,350</b>	<b>100.0%</b>
<b>SENT TO SHOCK</b>	<b>3,449</b>	<b>45.7%</b>	<b>2,575</b>	<b>48.3%</b>	<b>2,748</b>	<b>52.6%</b>	<b>3,368</b>	<b>53.8%</b>	<b>3,360</b>	<b>52.9%</b>
Approved for Shock	0		0		0		0	0.0%	71	1.1%
REFUSED	1,144	15.2%	600	11.3%	687	13.1%	525	8.4%	652	10.3%
<b>DISQUALIFIED</b>	<b>2,957</b>	<b>39.2%</b>	<b>2,154</b>	<b>40.4%</b>	<b>1,791</b>	<b>34.3%</b>	<b>2,367</b>	<b>37.8%</b>	<b>1,921</b>	<b>30.3%</b>
MEDICAL/PSYCHIATRIC	836	11.1%	865	16.2%	894	17.1%	924	14.8%	1,041	16.4%
PENDING CHARGES	353	4.7%	261	4.9%	105	2.0%	65	1.0%	50	0.8%
CRIMINAL HISTORY	624	8.3%	410	7.7%	400	7.7%	891	14.2%	522	8.2%
FORIEGN BORN	378	5.0%	7	0.1%	22	0.4%	11	0.2%	5	0.1%
JUDGE REFUSE	32	0.4%	82	1.5%	95	1.8%	25	0.4%	0	0.0%
EARLY PE DATE	306	4.1%	96	1.8%	28	0.5%	12	0.2%	9	0.1%
MAX SECURITY	112	1.5%	88	1.7%	36	0.7%	77	1.2%	51	0.8%
DISCIPLINARY	29	0.4%	67	1.3%	51	1.0%	23	0.4%	29	0.5%
PUBLIC RISK	38	0.5%	171	3.2%	53	1.0%	84	1.3%	41	0.6%
MOVED W/O PAPER	199	2.6%	75	1.4%	107	2.0%	240	3.8%	163	2.6%
ZERO WEEK DROP-OUT	0	0.0%	32	0.6%	0	0.0%	0	0.0%	0	0.0%
OTHER	50	0.7%	0	0.0%	0	0.0%	15	0.2%	10	0.2%
Pending	0	0.0%	0	0.0%	0	0.0%	0	0.0%	346	5.4%
<b>APPROVAL RATE</b>	<b>45.7%</b>		<b>48.3%</b>		<b>52.6%</b>		<b>53.8%</b>		<b>56.6%</b>	

**TABLE 3**  
**DISTRIBUTION OF THE STATUS OF SHOCK ELIGIBLE FEMALE INMATES**  
**BY REPORTING PERIOD USED IN THE LEGISLATIVE REPORT SERIES**  
**November 12, 1988 to September 30, 1993**

	November 12, 1988 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992		October 1, 1992 September 30, 1993	
	FEMALES		FEMALES		FEMALES		FEMALES	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
<b>TOTAL</b>	<b>1,100</b>	<b>100.0%</b>	<b>680</b>	<b>100.0%</b>	<b>761</b>	<b>100.0%</b>	<b>787</b>	<b>100.0%</b>
<b>SENT TO SHOCK</b>	<b>385</b>	<b>35.0%</b>	<b>206</b>	<b>30.3%</b>	<b>278</b>	<b>36.5%</b>	<b>316</b>	<b>40.2%</b>
Approved for Shock	0	0.0%	0	0.0%	0	0.0%	21	2.7%
REFUSED	228	20.7%	146	21.5%	94	12.4%	103	13.1%
<b>DISQUALIFIED</b>	<b>487</b>	<b>44.3%</b>	<b>328</b>	<b>48.2%</b>	<b>389</b>	<b>51.1%</b>	<b>282</b>	<b>35.8%</b>
MEDICAL/PSYCHIATRIC	252	22.9%	208	30.6%	229	30.1%	211	26.8%
PENDING CHARGES	12	1.1%	0	0.0%	0	0.0%	1	0.1%
CRIMINAL HISTORY	39	3.5%	31	4.6%	21	2.8%	19	2.4%
FORIEGN BORN	10	0.9%	21	3.1%	1	0.1%	0	0.0%
JUDGE REFUSE	13	1.2%	11	1.6%	2	0.3%	0	0.0%
EARLY PE DATE	64	5.8%	17	2.5%	9	1.2%	6	0.8%
MAX SECURITY	6	0.5%	1	0.1%	2	0.3%	3	0.4%
DISCIPLINARY	12	1.1%	26	3.8%	7	0.9%	5	0.6%
PUBLIC RISK	6	0.5%	2	0.3%	1	0.1%	2	0.3%
MOVED W/O PAPER	57	5.2%	11	1.6%	103	13.5%	35	4.4%
ZERO WEEK DROP-OUT	0	0.0%	0	0.0%	0	0.0%	0	0.0%
OTHER	16	1.5%	0	0.0%	14	1.8%	0	0.0%
Pending	0	0.0%	0	0.0%	0	0.0%	65	8.3%
<b>APPROVAL RATE</b>	<b>35.0%</b>		<b>30.3%</b>		<b>36.5%</b>		<b>46.7%</b>	

TABLE 4

**DISTRIBUTION OF THE STATUS OF ALL INMATES  
SENT TO LAKEVIEW BY AGE GROUP  
SEPTEMBER 11, 1989 TO SEPTEMBER 30, 1993**

	TOTAL LAKEVIEW		16-25 YR OLDS		26-29 YR OLDS		30-34 YR OLDS	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
<b>TOTAL</b>	<b>20,795</b>	<b>100.0%</b>	<b>13,362</b>	<b>100.0%</b>	<b>5,432</b>	<b>100.0%</b>	<b>2,001</b>	<b>100.0%</b>
<b>SENT TO SHOCK</b>	<b>12,561</b>	<b>60.4%</b>	<b>8,749</b>	<b>65.5%</b>	<b>2,625</b>	<b>48.3%</b>	<b>1,187</b>	<b>59.3%</b>
APPROVED FOR SHOCK	71	0.3%	35	0.3%	18	0.3%	18	0.9%
REFUSED	2,271	10.9%	1,123	8.4%	907	16.7%	241	12.0%
<b>DISQUALIFIED</b>	<b>5,892</b>	<b>28.3%</b>	<b>3,452</b>	<b>25.8%</b>	<b>1,880</b>	<b>34.6%</b>	<b>560</b>	<b>28.0%</b>
MEDICAL/PSYCHIATRIC	2,089	10.0%	1,114	8.3%	700	12.9%	275	13.7%
PENDING CHARGES	493	2.4%	355	2.7%	127	2.3%	11	0.5%
CRIMINAL HISTORY	2,287	11.0%	1,417	10.6%	651	12.0%	219	10.9%
FOREIGN BORN	16	0.1%	5	0.0%	5	0.1%	6	0.3%
JUDGE REFUSE	200	1.0%	0	0.0%	200	3.7%	0	0.0%
EARLY PE DATE	115	0.6%	73	0.5%	40	0.7%	2	0.1%
MAXIMUM SECURITY	24	0.1%	19	0.1%	4	0.1%	1	0.0%
DISCIPLINARY	84	0.4%	62	0.5%	19	0.3%	3	0.1%
PUBLIC RISK	287	1.4%	225	1.7%	54	1.0%	8	0.4%
MOVED W/O PAPER	265	1.3%	153	1.1%	77	1.4%	35	1.7%
ZERO WEEK DROP-OUT	32	0.2%	29	0.2%	3	0.1%	0	0.0%
OTHER	0	0.0%	0	0.0%	0	0.0%	0	0.0%
PENDING	6	0.0%	3	0.0%	2	0.0%	1	0.0%
<b>APPROVAL RATE</b>	<b>60.7%</b>		<b>65.8%</b>		<b>48.7%</b>		<b>60.1%</b>	

**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 to September 30, 1993**

	September 11, 1989 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992		October 1, 1992 September 30, 1993	
	LAKEVIEW ALL		LAKEVIEW ALL		LAKEVIEW ALL		LAKEVIEW ALL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
<b>TOTAL</b>	<b>6,038</b>	<b>100.0%</b>	<b>4,156</b>	<b>100.0%</b>	<b>5,315</b>	<b>100.0%</b>	<b>5,286</b>	<b>100.0%</b>
<b>SENT TO SHOCK</b>	<b>3,551</b>	<b>58.8%</b>	<b>2,362</b>	<b>56.8%</b>	<b>3,288</b>	<b>61.9%</b>	<b>3,360</b>	<b>63.6%</b>
Approved for Shock	0	0.0%	0	0.0%	0	0.0%	71	1.3%
REFUSED	659	10.9%	506	12.2%	454	8.5%	652	12.3%
<b>DISQUALIFIED</b>	<b>1,828</b>	<b>30.3%</b>	<b>1,288</b>	<b>31.0%</b>	<b>1,573</b>	<b>29.6%</b>	<b>1,203</b>	<b>22.8%</b>
MEDICAL/PSYCHIATRIC	584	9.7%	562	13.5%	401	7.5%	542	10.3%
PENDING CHARGES	270	4.5%	116	2.8%	64	1.2%	43	0.8%
CRIMINAL HISTORY	572	9.5%	351	8.4%	882	16.6%	482	9.1%
FORIEGN BORN	6	0.1%	1	0.0%	7	0.1%	2	0.0%
JUDGE REFUSE	86	1.4%	92	2.2%	22	0.4%	0	0.0%
EARLY PE DATE	91	1.5%	18	0.4%	2	0.0%	4	0.1%
MAX SECURITY	9	0.1%	6	0.1%	5	0.1%	4	0.1%
DISCIPLINARY	34	0.6%	22	0.5%	12	0.2%	16	0.3%
PUBLIC RISK	100	1.7%	64	1.5%	84	1.6%	39	0.7%
MOVED W/O PAPER	44	0.7%	56	1.3%	94	1.8%	71	1.3%
ZERO WEEK DROP-OUT	32	0.5%	0	0.0%	0	0.0%	0	0.0%
OTHER	0	0.0%	0	0.0%	0	0.0%	0	0.0%
Pending	0	0	0	0	0	0.0%	3	0.1%
<b>APPROVAL RATE</b>	<b>58.8%</b>		<b>56.8%</b>		<b>61.9%</b>		<b>64.9%</b>	

**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 to September 30, 1993**

	September 11, 1989 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992		October 1, 1992 September 30, 1993	
	LAKEVIEW 16-25		LAKEVIEW 16-25		LAKEVIEW 16-25		LAKEVIEW 16-25	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
<b>TOTAL</b>	<b>4,109</b>	<b>100.0%</b>	<b>3,257</b>	<b>100.0%</b>	<b>3,138</b>	<b>100.0%</b>	<b>2,858</b>	<b>100.0%</b>
<b>SENT TO SHOCK</b>	<b>2,651</b>	<b>64.5%</b>	<b>2,162</b>	<b>66.4%</b>	<b>2,023</b>	<b>64.5%</b>	<b>1,913</b>	<b>66.9%</b>
<b>Approved for Shock</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>35</b>	<b>1.2%</b>
<b>REFUSED</b>	<b>284</b>	<b>6.8%</b>	<b>312</b>	<b>9.6%</b>	<b>212</b>	<b>6.8%</b>	<b>315</b>	<b>11.0%</b>
<b>DISQUALIFIED</b>	<b>1,174</b>	<b>28.3%</b>	<b>783</b>	<b>24.0%</b>	<b>903</b>	<b>28.8%</b>	<b>592</b>	<b>20.7%</b>
MEDICAL/PSYCHIATRIC	363	9.2%	360	11.1%	176	5.6%	215	7.5%
PENDING CHARGES	193	4.8%	86	2.6%	47	1.5%	29	1.0%
CRIMINAL HISTORY	368	8.3%	226	6.9%	557	17.8%	266	9.3%
FORIEGN BORN	3	0.1%	0	0.0%	1	0.0%	1	0.0%
JUDGE REFUSE	0	0.0%	0	0.0%	0	0.0%	0	0.0%
EARLY PE DATE	58	1.5%	13	0.4%	0	0.0%	2	0.1%
MAX SECURITY	8	0.2%	6	0.2%	3	0.1%	2	0.1%
DISCIPLINARY	25	0.6%	14	0.4%	7	0.2%	16	0.6%
PUBLIC RISK	90	2.3%	45	1.4%	63	2.0%	27	0.9%
MOVED W/O PAPER	37	0.5%	33	1.0%	49	1.6%	34	1.2%
ZERO WEEK DROP-OUT	29	0.8%	0	0.0%	0	0.0%	0	0.0%
OTHER	0	0.0%	0	0.0%	0	0.0%	0	0.0%
<b>Pending</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>3</b>	<b>0.1%</b>
<b>APPROVAL RATE</b>	<b>65.0%</b>		<b>66.4%</b>		<b>64.5%</b>		<b>68.2%</b>	

**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**  
**September 11, 1989 to September 30, 1993**

	September 11, 1989 October 19, 1990		October 20, 1990 September 30, 1991		October 1, 1991 September 30, 1992		October 1, 1992 September 30, 1993	
	LAKEVIEW 26-29		LAKEVIEW 26-29		LAKEVIEW 26-29		LAKEVIEW 26-29	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
<b>TOTAL</b>	<b>1,563</b>	<b>100.0%</b>	<b>1,261</b>	<b>100.0%</b>	<b>1,361</b>	<b>100.0%</b>	<b>1,247</b>	<b>100.0%</b>
<b>SENT TO SHOCK</b>	<b>587</b>	<b>37.6%</b>	<b>511</b>	<b>40.5%</b>	<b>763</b>	<b>56.1%</b>	<b>764</b>	<b>61.3%</b>
<b>Approved for Shock</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>18</b>	<b>1.4%</b>
<b>REFUSED</b>	<b>321</b>	<b>20.3%</b>	<b>248</b>	<b>19.7%</b>	<b>157</b>	<b>11.5%</b>	<b>181</b>	<b>14.5%</b>
<b>DISQUALIFIED</b>	<b>655</b>	<b>42.3%</b>	<b>502</b>	<b>39.8%</b>	<b>441</b>	<b>32.4%</b>	<b>282</b>	<b>22.6%</b>
MEDICAL/PSYCHIATRIC	221	14.7%	202	16.0%	129	9.5%	148	11.9%
PENDING CHARGES	77	5.1%	30	2.4%	12	0.9%	8	0.6%
CRIMINAL HISTORY	204	12.4%	125	9.9%	225	16.5%	97	7.8%
FORIEGN BORN	3	0.2%	1	0.1%	1	0.1%	0	0.0%
JUDGE REFUSE	87	5.7%	89	7.1%	24	1.8%	0	0.0%
EARLY PE DATE	33	2.2%	5	0.4%	2	0.1%	0	0.0%
MAX SECURITY	1	0.1%	0	0.0%	2	0.1%	1	0.1%
DISCIPLINARY	9	0.6%	8	0.6%	2	0.1%	0	0.0%
PUBLIC RISK	10	0.7%	19	1.5%	15	1.1%	10	0.8%
MOVED W/O PAPER	7	0.4%	23	1.8%	29	2.1%	18	1.4%
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%
<b>Pending</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>0</b>	<b>0.0%</b>	<b>2</b>	<b>0.2%</b>
<b>APPROVAL RATE</b>	<b>37.3%</b>		<b>40.5%</b>		<b>56.1%</b>		<b>62.8%</b>	

TABLE 8

**APPROVAL RATES FOR SHOCK ELIGIBLE INMATES  
AS PRESENTED IN LEGISLATIVE REPORTS  
1991 TO 1994**

<u>GROUP</u>	<u>1991</u>	<u>1992</u>	<u>1993</u>	<u>1994</u>
OVERALL MALES	47.8%	50.1%	51.7%	53.0%
OVERALL FEMALES	37.3%	34.5%	35.1%	37.0%
LAKEVIEW OVERALL	57.4%	59.5%	60.4%	60.7%
16-25 YRS	65.0%	66.8%	66.1%	65.8%
26-29 YRS	37.3%	39.9%	45.6%	48.7%
30-34 YRS	NA	NA	61.5%	60.1%

TABLE 9

STATUS OF INMATES SENT TO SHOCK  
SEPTEMBER 11, 1987 TO SEPTEMBER 30, 1993

<b><i>STATUS</i></b>	<b>MONTEREY</b>	<b>SUMMIT MALE</b>	<b>SUMMIT FEMALE</b>	<b>MORIAH</b>	<b>BUTLER</b>	<b>LAKEVIEW MALES</b>	<b>LAKEVIEW FEMALES</b>	<b>TOTAL</b>
FROM RECEPTION	3,533	2,058	667	2,618	2,400	3,708	518	15,500
TRANSFERS TO OTHER SICFS	184	70	79	131	271	63	0	798
TRANSFERS FROM OTHER SICFS	54	183	0	66	56	360	79	798
NET INMATES FROM RECEPTION	3,403	2,171	588	2,551	2,185	4,005	597	15,500
GRADUATE PAROLE RELEASES	1,856	1,154	319	1,336	1,242	1,928	208	8,044
INMATES SENT FOR REEVALUATION	135	86	36	121	103	527	78	1,086
ACTIVE	1	4	0	6	0	29	6	46
REMOVED	89	48	17	79	65	319	44	661
GRADUATED AND PAROLED	45	34	19	36	38	179	28	379
GRADUATES SENT TO WORK RELEASE	64	49	11	87	77	185	0	473
ACTIVE	0	0	0	0	0	0	0	0
REMOVED	12	4	0	12	12	14	0	54
GRADUATED AND PAROLED	52	45	11	75	65	171	0	419
TOTAL PAROLE RELEASES	1,953	1,233	349	1,447	1,345	2,279	236	8,842
SUB-TOTAL PROGRAM REMOVALS	1,170	705	239	836	828	1,280	219	5,277
DISCIPLINARY	425	301	85	283	228	212	87	1,621
VOLUNTARY	375	200	74	282	290	196	2	1,419
MEDICAL	45	37	9	34	53	151	52	381
UNSAT PROGRAM ADJUSTMENT	175	83	27	115	135	306	30	871
BECAME INELIGIBLE	26	17	9	20	23	40	1	136
FOREIGN BORN	10	1	0	2	3	0	0	16
SECURITY RISKS	15	9	0	9	18	18	1	70
REEVALUATION REMOVALS	89	48	17	79	65	319	44	661
OTHER REASONS	10	9	18	12	13	38	2	102
IN PROGRAM ON SEPT. 30, 1993	267	225	0	250	0	443	142	1,327



TABLE 10

**AVERAGE NUMBER OF DAYS AT SHOCK FACILITIES  
FOR INMATES WHO GRADUATED OR WERE  
REMOVED FROM SHOCK AS OF SEPTEMBER 30, 1993**

<b>REASON FOR LEAVING</b>	<b>AVG NUMBER OF DAYS IN SHOCK</b>	<b>NUMBER OF INMATES</b>
GRADUATE PAROLE RELEASES	180	8,044
GRADUATES SENT TO WORK RELEASE	180	419
GRADUATES WHO WERE REEVALUATED	180	379
GRADUATES SENT TO WORK RELEASE WHO FAILED	180	54
<b>TOTAL PROGRAM GRADUATES</b>	<b>180</b>	<b>8,896</b>
DISCIPLINARY	40.4	1,621
VOLUNTARY	20.5	1,419
MEDICAL	37.7	381
UNSAT. PROG. ADJUST.	98.1	871
BECAME INELGIBLE	57.0	136
FOREIGN BORN	96.8	16
SECURITY RISK	108.3	70
REEVALUATION REMOVALS	117.8	661
OTHER REASONS	68.0	102
<b>TOTAL PROGRAM REMOVALS</b>	<b>56.1</b>	<b>5,277</b>

**TABLE 11**

**PROPORTION OF INMATES REMOVED BY REASON BY FACILITY  
SEPTEMBER 11, 1987 TO SEPTEMBER 30, 1992**

[illegible]

TABLE 12

**COMPARISON COSTS FOR SELECTED FACILITIES BASED ON DATA  
PROVIDED BY DOCS BUDGET FOR FY 1992-1993**

<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>		
MONTEREY SICF	248	\$60.63	\$14.03	\$37.21	\$0.75	\$6.64	\$2.61	\$0.90
SUMMIT SICF	179	\$77.03	\$17.67	\$46.94	\$1.51	\$10.91	\$3.55	\$0.93
MORIAH SICF	248	\$57.81	\$13.66	\$36.02	\$0.96	\$7.18	\$3.09	\$0.66
BUTLER SICF	230	\$52.42	\$10.79	\$34.50	\$0.66	\$6.46	\$1.70	\$0.96
LAKEVIEW	903	\$59.06	\$12.51	\$37.83	\$2.26	\$6.45	\$2.52	\$0.57
<b>SHOCK AVG</b>	<b>361</b>	<b>\$60.04</b>	<b>\$13.17</b>	<b>\$37.97</b>	<b>\$1.61</b>	<b>\$7.29</b>	<b>\$2.64</b>	<b>\$0.74</b>
PHARSALIA	211	\$54.10	\$13.03	\$33.41	\$1.95	\$5.70	\$1.36	\$0.62
BEACON	166	\$66.13	\$15.56	\$42.83	\$2.97	\$7.76	\$1.67	\$0.83
GABRIELS	309	\$48.72	\$12.04	\$30.52	\$1.30	\$4.87	\$1.80	\$0.72
GEORGETOWN	257	\$42.60	\$9.24	\$27.84	\$0.90	\$4.63	\$1.12	\$0.63
LYON MT	160	\$67.12	\$14.42	\$45.07	\$1.23	\$6.39	\$1.59	\$0.77
<b>MINIMUM AVG</b>	<b>221</b>	<b>\$54.06</b>	<b>\$12.45</b>	<b>\$34.41</b>	<b>\$1.57</b>	<b>\$5.63</b>	<b>\$1.51</b>	<b>\$0.70</b>
TACONIC	409	\$60.66	\$12.15	\$33.59	\$7.60	\$7.14	\$1.61	\$0.62
WALKILL	550	\$54.60	\$14.67	\$29.84	\$3.27	\$6.81	\$1.05	\$0.70
ALTONA	744	\$51.31	\$9.21	\$32.03	\$3.06	\$7.00	\$1.29	\$0.65
OGDENSBURG	609	\$51.26	\$9.07	\$32.36	\$2.37	\$7.43	\$1.13	\$0.66
WATERTOWN	832	\$50.72	\$10.21	\$27.11	\$2.83	\$7.56	\$1.13	\$0.59
MID-ORANGE	675	\$63.60	\$13.45	\$36.89	\$3.72	\$7.54	\$1.75	\$0.82
<b>MEDIUM AVG</b>	<b>670</b>	<b>\$54.65</b>	<b>\$11.18</b>	<b>\$32.69</b>	<b>\$3.50</b>	<b>\$7.28</b>	<b>\$1.30</b>	<b>\$0.67</b>

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>FY 92-93</u>	<u>OVERALL AVERAGE</u>
<b>SHOCK</b>	\$62.12	\$69.25	\$80.52	\$69.33	\$64.91	\$60.04	\$67.70
<b>MINIMUMS</b>	\$48.48	\$44.20	\$46.85	\$50.94	\$51.88	\$54.06	\$49.40
<b>MEDIUMS</b>	\$55.09	\$57.42	\$56.07	\$59.75	\$56.75	\$54.65	\$56.62

TABLE 14

**CALCULATIONS USED IN DETERMINING COST AVOIDANCE SAVINGS  
FOR THE FIRST 8,842 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	\$67.70	224	\$15,137.54
MINIMUM	\$49.40	552	\$27,248.37
MEDIUM	\$56.62	552	\$31,254.24
WEIGHTED AVERAGE COST FOR NON-SHOCK FACILITIES	\$52.29	552	\$28,862.98
FOR EACH 100 INMATES SENT TO SHOCK THE COST WOULD BE	\$15,137.54 MULTIPLIED BY 100 OR	\$1,513,754.36	
IF SHOCK WERE NOT AVAILABLE 60.4% WOULD GO TO MINIMUMS AND 40.4% WOULD GO TO MEDIUM SECURITY FACILITIES			
THE COST OF HOUSING THESE INMATES WOULD BE	\$27,248.37 MULTIPLIED BY 40 INMATES OR	\$1,090,934.68	
PLUS	\$31,254.24 MULTIPLIED BY 40 INMATES OR	\$1,250,169.60	
	FOR A TOTAL OF	\$2,885,072.06	
TO CALCULATE THE SAVINGS FOR THESE 100 INMATES TO THEIR PAROLE ELIGIBILITY DATE BY SENDING THEM TO A SHOCK FACILITY WE MUST SUBTRACT	\$1,513,754.36 FROM	\$2,885,072.06	
	FOR A TOTAL OF	\$1,371,317.70	
<b>SAVINGS POST PE DATE</b>			
INMATES EQUAL	36		
MONTHS SAVED	9		
ANNUAL COSTS	\$25,000.00		
SAVE PER INMATE	\$13,750.00		
ADD IN SAVINGS FOR POST PE DATE	\$675,000.00		
FOR A TOTAL SAVINGS IN CARE AND CUSTODY PER 100 RELEASES OF		\$2,046,317.70	

<b>CAPITAL CONSTRUCTION SAVINGS</b>			
COSTS FOR CONSTRUCTION OF 750 BED MEDIUM SECURITY PRISON			\$64,950,000.00
COSTS FOR CONSTRUCTION OF 250 BED MINIMUM SECURITY PRISON			\$13,000,000.00
NUMBER OF BEDS SAVED BY SHOCK W/O VACANCIES			2,237
NUMBER OF MEDIUM SECURITY INMATES			895
NUMBER OF MINIMUM INMATES			1,342
COST OF ONE MEDIUM BED			\$56,600.00
COST OF ONE MINIMUM BED			\$52,000.00
COSTS FOR HOUSING MEDIUM INMATES		895 BEDS	\$77,489,000.00
COSTS FOR HOUSING MINIMUM INMATES		1,342 BEDS	\$49,794,400.00
SUBTOTAL: GROSS SAVINGS FOR EARLY RELEASES			\$147,284,000.00
LOSS FOR	281.9	VACANCIES	\$18,219,240.00
	101.4	MEDIUM VACANCIES	\$8,781,240.00
	181.3	MINIMUM VACANCIES	\$9,438,000.00
CAPITAL CONSTRUCTION AVOIDANCE SAVINGS FOR			1,954 BEDS
OPERATIONAL SAVINGS FOR			8,842 GRADUATES
			\$180,935,410.68
<p>THIS SAVINGS SHOULD BE OFFSET BY COSTS OF HOUSING 5,331 INMATES WHO STARTED SHOCK BUT DID NOT COMPLETE THE PROGRAM. THEY STAYED AN AVERAGE OF 57.3 DAYS AT \$67.70 PER DAY INSTEAD OF 57.3 DAYS AT \$52.39 PER DAY. THE DIFFERENCE IN HOUSING COSTS FOR HOUSING SHOCK REMOVALS WAS \$882.99. THIS FIGURE MULTIPLIED BY 5,331 REMOVALS EQUALS AN OFFSET OF</p>			
			\$4,767,846.62
REVISED OPERATIONAL SAVINGS ACCOUNTING FOR PROGRAM REMOVALS			\$176,227,564.06
CAPITAL SAVINGS FOR			8,842 GRADUATES
			\$129,064,840.00
TOTAL SAVINGS FOR			8,842 GRADUATES
			\$305,292,404.06

**TABLE 15**  
**SHOCK BED SAVINGS AS OF SEPT. 30, 1993**

MONTH	SHOCK RELEASES	REACHED PE FACTOR *	REACHED PE DATE	EEP RELEASE RATE	WOULD HAVE BEEN RELEASED UNDER EEP
3/88-4/91	3,726	1.0000	3726	0.9982	3719
MAY 91	142	0.9949	141	0.9872	139
JUNE 91	149	0.9808	146	0.9863	144
JUL 91	153	0.9642	148	0.9850	145
AUG 91	119	0.9454	113	0.9841	111
SEP 91	160	0.9291	149	0.9781	145
OCT 91	181	0.9061	164	0.9736	160
NOV 91	192	0.8902	171	0.9686	166
DEC 91	206	0.8742	180	0.9686	174
JAN 92	137	0.8590	118	0.9670	114
FEB 92	162	0.8456	137	0.9650	132
MAR 92	152	0.8275	126	0.9624	121
APR 92	198	0.8074	160	0.9544	153
MAY 92	121	0.7940	96	0.9477	91
JUN 92	142	0.7648	109	0.9360	102
JUL 92	173	0.7288	126	0.9303	117
AUG 92	153	0.6891	105	0.9220	97
SEP 92	144	0.6553	94	0.9120	86
OCT 92	250	0.6110	153	0.8772	134
NOV 92	183	0.5804	106	0.8573	91
DEC 92	235	0.5363	126	0.8227	104
JAN 93	183	0.4831	88	0.8031	71
FEB 93	244	0.4312	105	0.7595	80
MAR 93	203	0.3911	79	0.7400	59
APR 93	230	0.3412	78	0.6844	54
MAY 93	149	0.3001	45	0.6678	30
JUN 93	206	0.2273	47	0.6488	30
JUL 93	167	0.1598	27	0.6378	17
AUG 93	134	0.0994	13	0.6378	8
SEP 93	248	0.0623	15	0.6378	10

<b>TOTAL</b>	<b>8,842</b>	<b>6,891</b>	<b>6,605</b>
<b>PE NOT REACHED</b>	<b>1,951</b>		
<b>NOT RELEASED THROUGH PAROLE OR CR</b>			<b>287</b>
<b>BED SAVINGS AS OF SEPTEMBER 30, 1993</b>			<b>2,237</b>

**TABLE 16**

**Summary of the Data Used for Comparative Cost Factors Related to  
Shock and Comparison Group Returns to and Releases From DOCS Custody**

<b>Category</b>	<b>Comparison Groups</b>	<b>Shock</b>
Releases March 1988 - December 1990	6,626	3,140
Returns March 1988 - March 1992	2,510	1,009
Overall Return Rate	37.9%	32.1%
ReReleases March 1, 1988-September 30, 1992	1528	540
Remaining As of October 1, 1992	982	469
ReRelease Rate	60.9%	53.5%
Avg Time in DOCS For ReReleases (in Months)	8.3	10.5
Avg Estimated Time in DOCS for Remaining (in Months)	34.7	32.3



**Table 17**

**Summary of Analysis for Comparative Cost Factors Related to  
Inmate Returns Who Were Re-Released From DOCS Custody  
Costs Related to Care and Custody**

<b>Category</b>	<b>Combined Comparison Groups</b>	<b>Actual Shock Releases</b>	<b>Expected Shock Releases</b>
Releases	6,626	3,140	3,140
Returns to DOCS	2,510	1,009	1,190
Return Rate	37.9%	32.1%	37.9%
Avg. Number of Months Spent Reincarcerated	18.64 Months	20.63 Months	18.64 Months
Number of Person Months	Not Applicable	20,816	22,183

**Table 18**

**Summary of Analysis for Comparative Cost Factors Related to  
Inmate Returns Who Were Re-Released From DOCS Custody  
Capital Construction Costs**

<b>Category</b>	<b>Combined Comparison Groups</b>	<b>Expected Shock Releases</b>	<b>Actual Shock Releases</b>
<b>Releases</b>	<b>6,626</b>	<b>3,140</b>	<b>3,140</b>
<b>Release Rate</b>	<b>14.8%</b>	<b>14.8%</b>	<b>14.9%</b>
<b>Returns Still In DOCS Custody On September 30, 1992</b>	<b>982</b>	<b>465</b>	<b>468</b>

TABLE 19

PROPORTIONAL DISTRIBUTIONS AND AVERAGES OF SHOCK INMATES AND COMPARISON GROUPS OF INMATES  
ON DEMOGRAPHIC AND LEGAL VARIABLES USING THE UNDERCUSTODY POPULATION AS OF SEPTEMBER 26, 1993

CHARACTERISTICS	SHOCK MALES N=1,188	MEDIUM MALES N=3,452	MINIMUM MALES N=1,037	SHOCK FEMALES N=129	MEDIUM FEMALES N=143	MINIMUM FEMALES N=222
Percent 21 Years or Older	69.8%	91.1%*	88.3%*	86.8%	91.6%	94.1%**
Percent Time to PE 13 mo. Plus	66.7%	88.9%*	77.8%*	72.1%	84.6%**	68.9%
Percent Alcoholic MAST Scores	28.3%	29.3%	34.0%	25.6%	30.9%	35.8%
Percent Drug Offenders	66.3%	41.0%*	53.7%*	82.2%	67.8%**	69.4%**
Percent Drug Use	61.8%	68.5%*	61.3%	67.4%	65.0%	64.4%
Percent 2ND Felony Offenders	43.3%	70.0%*	69.6%*	51.2%	64.3%**	68.1%**
Percent White Inmates	20.4%	13.5%*	17.7%	8.5%	14.0%	7.7%
Percent Black Inmates	44.4%	52.4%*	50.1%*	63.6%	49.7%**	56.3%
Percent Hispanic Inmates	33.8%	32.9%	31.3%	26.4%	36.4%	35.6%
Percent N.Y. City Commitments	53.2%	73.2%*	64.0%*	68.2%	74.8%	77.9%**
Percent Education Thru 9th Grade	29.8%	26.8%*	26.0%*	25.8%	30.7%	32.7%
Percent With 12th Grade Plus	35.0%	45.5%*	43.2%*	38.3%	36.5%	32.7%
Average Aggregate Min. Sent.	21.9 MO	43.6 MO*	26.2 MO*	22.6 MO	35.5 MO**	26.6 MO**
Average Aggregate Max. Sent.	67.3 MO	102.5 MO*	60.8 MO*	68.5 MO	85.5 MO**	62.9 MO
Average Prior Felony Arrests	1.4	3.1*	2.7*	1.2	2.0**	2.4**
Average Prior Felony Convictions	0.62	1.4*	1.4*	0.63	1.1**	1.2**
Average Age at Recep.	25.2 YRS	31.2 YRS*	30.4 YRS*	26.9 YRS	31.5 YRS**	31.5 YRS**
Average Time PE At Recep.	18.5 MO	37.6 MO*	21.6 MO*	19.4 MO	29.4 MO**	21.6 MO
Average Educational Level	10.4 GR	10.6 GR*	10.6 GR	10.7 GR	10.5 GR	10.4 GR
Average Jail Time At Recep.	105 DAYS	183 DAYS*	139 DAYS*	96 DAYS	186 DAYS**	150 DAYS**
Average TABE Reading Scores	8.4	7.9*	8.5	7.7	7	7.3
Average TABE Math Scores	7.2	6.6	7.0	6.9	5.9**	6.3

\* 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 20

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

<b>CHARACTERISTICS</b>	<b>SHOCK MALES</b>						<b>SHOCK FEMALES</b>				
	1989 N=412	1990 N=899	1991 N=1,040	1992 N=1,245	1993 N=1,460	1994 N=1,188	1990 N= 50	1991 N=113	1992 N=95	1993 N=122	1994 N=129
Percent 21 Years or Older	55.8%	62.1%	61.8%	59.9%	69.9%	69.8%	88.0%	84.1%	88.4%	90.2%	86.8%
Percent Time to PE 13 mo. Plus	68.7%	50.0%	66.6%	66.5%	68.3%	66.7%	64.0%	78.8%	85.3%	79.5%	72.1%
Percent Alcoholic MAST Scores	24.7%	20.1%	20.8%	26.9%	29.5%	28.3%	16.3%	20.2%	22.6%	14.5%	25.6%
Percent Drug Offenders	64.6%	72.3%	71.7%	71.8%	71.9%	66.3%	94.0%	90.3%	88.4%	93.4%	82.2%
Percent Drug Use	NA	75.0%	74.2%	65.5%	67.4%	61.8%	84.0%	69.6%	54.7%	60.7%	67.4%
Percent 2ND Felony Offenders	41.3%	40.7%	44.7%	44.4%	46.4%	43.3%	48.0%	63.1%	63.2%	54.9%	51.2%
Percent White Inmates	19.6%	14.3%	14.2%	13.5%	16.9%	20.4%	4.0%	9.7%	10.5%	9.0%	8.5%
Percent Black Inmates	48.7%	50.2%	49.5%	48.8%	44.0%	44.4%	34.0%	39.8%	55.8%	57.4%	63.6%
Percent Hispanic Inmates	31.1%	34.0%	34.5%	36.8%	38.2%	33.8%	62.0%	49.6%	32.6%	33.6%	26.4%
Percent N.Y. City Commitments	70.9%	66.4%	65.2%	64.0%	60.2%	53.2%	84.0%	72.6%	69.5%	69.7%	68.2%
Percent Medium Security	NA	42.2%	41.7%	43.2%	2.9%	3.0%	16.0%	32.8%	26.3%	1.6%	2.0%
Percent Minimum Security	NA	57.8%	58.3%	56.8%	97.1%	97.0%	84.0%	67.2%	73.7%	98.4%	98.0%
Percent Education Thru 9th Grade	40.2%	36.7%	33.6%	32.5%	31.7%	29.8%	39.6%	40.2%	35.1%	24.6%	25.8%
Percent With 12th Grade Plus	24.3%	23.4%	27.2%	24.0%	32.2%	35.0%	22.9%	26.2%	36.2%	37.7%	38.3%
Average Aggregate Min. Sent.	21.3 MO	20.7 MO	21.6 MO	21.7 MO	22.2 MO	21.9 MO	22.2 MO	22.4 MO	25.8 MO	24.3 MO	22.6 MO
Average Aggregate Max. Sent.	65.9 MO	58.9 MO	62.3 MO	65.1 MO	66.7 MO	67.3 MO	64.3 MO	68.9 MO	68.5 MO	72.6 MO	68.5 MO
Average Prior Felony Arrests	2.2	2.0	2.0	2.0	1.93	1.4	1.7	1.8	1.68	1.62	1.2
Average Prior Felony Convictions	0.50	0.60	0.60	0.62	0.62	0.62	0.6	0.7	0.75	.67	0.63
Average Age at Recep.	21.5 YRS	22.4 YRS	23.7 YRS	23.2 YRS	25.2 YRS	25.2 YRS	24.0 YRS	25.1 YRS	25.2 YRS	27.8 YRS	26.9 YRS
Average Time PE At Recep.	17.3 MO	16.8 MO	18.1 MO	17.7 MO	18.4 MO	18.5 MO	17.2 MO	18.6 MO	20.9 MO	20.4 MO	19.4 MO
Average Educational Level	10.3 GR	10.1 GR	10.2 GR	10.1 GR	10.3 GR	10.4 GR	10.1 GR	10.3 GR	10.4 GR	10.6 GR	10.7 GR
Average Jail Time At Recep.	103 DAYS	101 DAYS	106 DAYS	122 DAYS	113 DAYS	105 DAYS	134 DAYS	119 DAYS	147 DAYS	119 days	96 DAYS
Average TABE Reading Scores	NA	7.7	7.7	8.1	8.3	8.4	6.7	7.1	7.8	8.2	7.7
Average TABE Math Scores	NA	6.6	6.4	7.0	7.2	7.2	5.9	6.3	6.5	7.1	6.9

TABLE 21

## SUMMARY OF REPORTED TABE SCORES

	LEGISLATIVE REPORT YEARS				
	1990	1991	1992	1993	1994
<b>MATH TABE SCORES</b>					
AT RECEPTION	7.3	7.3	7.3	7.6	7.7
AT GRADUATION	8.8	8.5	8.3	8.5	8.8
CHANGE IN SCORES	1.5	1.2	1.0	0.9	1.1
RECEPTION OF 9TH GRADE PLUS	20.3%	20.2%	22.1%	25.2%	24.1%
GRADUATION OF 9TH GRADE PLUS	41.0%	34.5%	33.2%	37.6%	37.5%
CHANGE IN PERCENTAGE	20.7%	14.3%	11.1%	12.4%	13.4%
<b>READING TABE SCORES</b>					
AT RECEPTION	7.9	8.0	8.1	8.4	8.6
AT GRADUATION	8.8	8.6	8.7	8.8	8.9
CHANGE IN SCORES	0.9	0.6	0.6	0.4	0.3
RECEPTION OF 9TH GRADE PLUS	37.5%	41.5%	37.8%	42.4%	41.9%
GRADUATION OF 9TH GRADE PLUS	45.7%	43.7%	44.8%	47.8%	44.3%
CHANGE IN PERCENTAGE	8.2%	2.2%	7.0%	5.6%	2.4%
<b>PERCENT WHO INCREASED IN MATH</b>					
BY 2 OR MORE GRADES	68.9%	63.8%	56.3%	52.9%	61.5%
BY 4 OR MORE GRADES	48.4%	40.2%	33.3%	29.2%	38.6%
BY 4 OR MORE GRADES	16.2%	12.2%	9.0%	8.1%	14.1%
<b>PERCENT WHO INCREASED IN READING</b>					
BY 2 OR MORE GRADES	54.3%	49.3%	49.3%	43.2%	45.1%
BY 4 OR MORE GRADES	35.5%	30.2%	38.5%	22.1%	25.9%
BY 4 OR MORE GRADES	6.0%	4.0%	4.7%	4.0%	6.1%

TABLE 22

**ASSOCIATION BETWEEN AVERAGE TABE ENTRY AND EXIT SCORES  
AND GED STATUS FY 1992-1993**

	<i>HAD GED</i>	<i>TOOK GED PASSED</i>	<i>TOOK GED FAILED</i>	<i>DID NOT TAKE GED</i>
<b>TABE TEST SCORE</b>				
<i>MATH AT RECEPTION</i>	<b>8.8</b>	<b>9.0</b>	<b>7.6</b>	<b>6.4</b>
<i>MATH AT GRADUATION</i>	<b>10.0</b>	<b>10.7</b>	<b>8.9</b>	<b>7.2</b>
<i>READING AT RECEPTION</i>	<b>10.2</b>	<b>10.5</b>	<b>8.7</b>	<b>6.8</b>
<i>READING AT GRADUATION</i>	<b>10.3</b>	<b>10.9</b>	<b>9.0</b>	<b>7.2</b>
	<b>(N=604)</b>	<b>(N=311)</b>	<b>(N=238)</b>	<b>(N=785)</b>

TABLE 23

RESULTS OF GED TESTING  
FY 1992-1993

FACILITY	AVERAGE NUMBER OF INMATES	NUMBER OF TESTS	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	246	8	217	87	10.9	66	40.1%	75.9%
SUMMIT SICF	179	6	130	77	12.8	58	59.2%	75.3%
MORIAH SICF	248	9	181	99	11.0	75	54.7%	75.8%
BUTLER SICF	230	7	129	93	13.3	70	72.1%	75.3%
LAKEVIEW SICF *	525	4	307	237	59.3	149	77.2%	62.9%
<b>SHOCK DATA</b>	<b>1,428</b>	<b>34</b>	<b>964</b>	<b>593</b>	<b>17.4</b>	<b>418</b>	<b>61.5%</b>	<b>70.5%</b>
PHARSALIA	211	1	11	3	3.0	1	27.3%	33.3%
BEACON	166	0	0	0	0.0	0	0.0%	0.0%
GABRIELS	309	0	0	0	0.0	0	0.0%	0.0%
GEORGETOWN	257	3	56	34	11.3	22	60.7%	64.7%
LYON MT	160	3	18	6	2.0	5	33.3%	83.3%
<b>MINIMUM DATA</b>	<b>1,103</b>	<b>7</b>	<b>85</b>	<b>43</b>	<b>6.1</b>	<b>28</b>	<b>50.6%</b>	<b>65.1%</b>
TACONIC	409	2	68	25	12.5	15	36.8%	60.0%
WALLKILL	550	3	118	22	7.3	14	18.6%	63.6%
ALTONA	744	2	190	69	34.5	33	36.3%	47.8%
OGDENSBURG	809	3	133	40	13.3	24	30.1%	60.0%
WATERTOWN	832	4	318	107	26.8	72	33.6%	67.3%
MID-ORANGE	675	3	104	32	10.7	17	30.8%	53.1%
<b>MEDIUM DATA</b>	<b>4,019</b>	<b>17</b>	<b>931</b>	<b>295</b>	<b>17.4</b>	<b>175</b>	<b>31.7%</b>	<b>59.3%</b>

\* LAKEVIEW POPULATION DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS OR THE ANNEX

TABLE 24

## SUMMARY OF GED ACTIVITY

## LEGISLATIVE REPORT YEARS

	1989	1990	1991	1992	1993	1994
<b>SHOCK</b>						
TESTS GIVEN	9	10	21	38	40	34
INMATES SCREENED	324	379	1,139	1,237	1,135	964
INMATES TESTED	243	266	628	594	690	593
PERCENT PASSING	55.9%	40.0%	46.7%	60.9%	60.9%	70.5%
<b>MINIMUMS</b>						
TESTS GIVEN	10	4	14	11	8	7
INMATES SCREENED	289	106	279	202	128	85
INMATES TESTED	179	60	195	135	66	43
PERCENT PASSING	63.1%	55.0%	57.4%	55.6%	50.0%	65.1%
<b>MEDIUMS</b>						
TESTS GIVEN	10	5	18	20	17	17
INMATES SCREENED	586	226	1,460	1,400	1,036	931
INMATES TESTED	233	138	629	515	405	295
PERCENT PASSING	60.9%	41.3%	48.3%	48.0%	60.2%	59.3%



**TABLE 25**

**DISTRIBUTION OF DISCIPLINARY ACTIVITY  
PROVIDED BY SHOCK FACILITIES FY 92-93**

NUMBER OF REPORTS	NUMBER OF INMATES	TOTAL REPORTS FOR INMATES
0	2,576	0
1	611	611
2	187	374
3	60	180
4	24	96
5	11	55
6	0	0
7	1	7
8	0	0
9	1	9
10	0	0
<b>TOTAL</b>	<b>3,471</b>	<b>1,332</b>

**TABLE 26**

**DISTRIBUTION OF DISCIPLINARY ACTIVITY  
PROVIDED BY SHOCK FACILITIES BY TIER TYPE FOR  
GRADUATES AND INMATE TRANSFERS FROM THE PROGRAM  
FY 1992-1993**

DISCIPLINE TYPE	GRADUATES				TRANSFERS				TOTAL			
	INMATES		REPORTS		INMATES		REPORTS		INMATES		REPORTS	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
NONE	1,789	86.0%	0	0.0%	787	56.6%	0	0.0%	2,576	74.2%	0	0.0%
TIER II	252	12.1%	321	87.2%	265	19.1%	435	45.1%	517	14.9%	756	56.8%
TIER III	40	1.9%	47	12.8%	338	24.3%	529	54.9%	378	10.9%	576	43.2%
TOTAL	2,081	100.0%	368	100.0%	1,390	100.0%	964	100.0%	3,471	100.0%	1,332	100.0%

TABLE 27

**MOST SERIOUS MISBEHAVIOR TYPE BY INMATE EXIT STATUS  
FY 1992-1993**

DISCIPLINARY CHARGE	GRADUATES		TRANSFERS		TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
INMATE FIGHTS	47	16.1%	102	16.9%	149	16.6%
FIGHTS WITH STAFF	5	1.7%	35	5.8%	40	4.5%
VERBAL ABUSE OF STAFF	29	9.9%	83	13.8%	112	12.5%
FED UP W/ PROGRAM	29	9.9%	112	18.6%	141	15.8%
REFUSE ORDERS	99	33.9%	153	25.4%	252	28.2%
DISRUPT BEHAVIOR	4	1.4%	7	1.2%	11	1.2%
CONTRABAND	1	0.3%	6	1.0%	7	0.8%
THEFT	3	1.0%	5	0.8%	8	0.9%
LYING	13	4.5%	19	3.2%	32	3.6%
ESCAPE	0	0.0%	1	0.2%	1	0.1%
ESCAPE THREAT	0	0.0%	1	0.2%	1	0.1%
DESTROY PROPERTY	8	2.7%	5	0.8%	13	1.5%
DISOBEY RULES	50	17.1%	63	10.4%	113	12.6%
MISUSE OF MAIL	4	1.4%	11	1.8%	15	1.7%
SEXUAL MISCONDUCT	2	0.7%	1	0.2%	3	0.3%
<b>TOTAL</b>	<b>292</b>	<b>100.0%</b>	<b>603</b>	<b>100.0%</b>	<b>895</b>	<b>100.0%</b>

TABLE 28

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

	GRADUATE INMATES					TANSFER INMATES				
	1990	1991	1992	1993	1994	1990	1991	1992	1993	1994
NONE	78.7%	75.8%	83.1%	83.5%	86.0%	73.4%	63.9%	60.6%	53.3%	56.6%
TIER II	17.5%	20.1%	14.5%	14.5%	12.1%	10.7%	17.1%	22.6%	23.4%	19.1%
TIER III	3.8%	4.1%	2.5%	2.0%	1.9%	15.7%	19.0%	16.8%	23.3%	24.3%

TABLE 29

## DISCIPLINARY DATA FOR SHOCK AND COMPARISON FACILITIES FY 1992-1993

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	246	136	15	71	50	553	61	289	203
SUMMIT SICF	179	367	109	184	74	2,050	609	1,028	413
MORIAH SICF	248	878	316	457	105	3,540	1,274	1,843	423
BUTLER SICF	230	240	1	160	79	1,043	4	696	343
LAKEVIEW SICF	525	551	47	210	294	1,050	90	400	560
<b>SHOCK AVG</b>	<b>286</b>	<b>434</b>	<b>98</b>	<b>216</b>	<b>120</b>	<b>1,521</b>	<b>342</b>	<b>758</b>	<b>422</b>
PHARSALIA	211	677	207	279	191	3,209	981	1,322	905
BEACON	166	462	178	259	25	3,783	1,072	1,560	151
GABRIELS	309	822	243	432	147	2,660	786	1,398	476
GEORGETOWN	257	1,069	587	398	84	4,160	2,284	1,549	327
LYON MT	160	441	306	130	5	2,756	1,913	813	31
<b>MINIMUM AVG</b>	<b>221</b>	<b>694</b>	<b>304</b>	<b>300</b>	<b>90</b>	<b>3,147</b>	<b>1,379</b>	<b>1,358</b>	<b>410</b>
TACONIC	409	1,346	370	848	128	3,291	905	2,073	313
WALKILL	550	938	231	618	89	1,705	420	1,124	162
ALTONA	744	3,103	1,475	1,305	323	4,171	1,983	1,754	434
OGDENSBURG	809	2,573	1,169	1,268	136	3,180	1,445	1,567	168
WATERTOWN	832	2,054	864	983	207	2,469	1,038	1,181	249
MID-ORANGE	675	1,255	523	596	136	1,859	775	883	201
<b>MEDIUM AVG</b>	<b>670</b>	<b>1,878</b>	<b>772</b>	<b>936</b>	<b>170</b>	<b>2,804</b>	<b>1,153</b>	<b>1,398</b>	<b>254</b>

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

TABLE 30

## UNUSUAL INCIDENTS OCCURRING IN FY 1992-93

FACILITY	AVG	NUMBER OF UI'S	RATE OF UI'S	STAFF ASSLT'S	INMATE ASSLT'S	INMATE DEATHS	ESCAPES	FIRES	SUICIDE ATTEMPT	CONTRA- BAND	ACCIDENT	TEMP REL	DISRUPT BEHAV	OTHER	TOTAL
	NUMBER OF INMATES		PER 1,000 INMATES												
MONTEREY SICF	246	8	32.5	3	0	0	0	0	0	0	4	0	0	1	8
SUMMIT SICF	179	8	44.7	0	1	0	0	0	0	0	5	0	0	2	8
MORIAH SICF	248	8	32.3	6	1	0	0	0	0	0	1	0	0	0	8
BUTLER SICF	230	13	56.5	5	1	0	1	1	0	1	2	0	0	2	13
LAKEVIEW SICF*	525	25	47.6	9	4	1	0	0	0	0	10	0	0	1	25
<b>SHOCK AVG</b>	<b>286</b>	<b>12</b>	<b>43.4</b>	<b>23</b>	<b>7</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>22</b>	<b>0</b>	<b>0</b>	<b>6</b>	<b>62</b>
PHARSALIA	211	13	61.6	2	1	0	1	1	0	1	3	1	2	1	13
BEACON	166	11	66.3	0	0	1	0	0	0	0	3	0	0	7	11
GABRIELS	309	11	35.6	0	1	0	0	0	0	0	6	1	1	2	11
GEORGETOWN	257	43	167.3	0	5	0	1	0	0	1	27	2	3	4	43
LYON MOUNTAIN	180	7	43.8	0	3	0	0	0	0	3	0	1	0	0	7
<b>MINIMUM AVG</b>	<b>221</b>	<b>17</b>	<b>77.1</b>	<b>2</b>	<b>10</b>	<b>1</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>5</b>	<b>39</b>	<b>5</b>	<b>6</b>	<b>14</b>	<b>85</b>
TACONIC	409	23	56.2	1	0	2	0	0	3	1	7	1	2	6	23
WALKILL	550	37	67.3	1	5	0	0	7	1	15	5	0	0	3	37
ALTONA	744	56	75.3	5	9	1	0	2	1	25	6	0	2	5	56
OGDENSBURG	609	50	61.8	2	12	4	0	0	0	20	6	0	2	4	50
WATERTOWN	832	35	42.1	7	9	2	0	1	0	3	8	0	0	5	35
MID-ORANGE	675	58	85.9	2	8	6	1	4	0	20	8	0	2	7	58
<b>MEDIUM AVG</b>	<b>670</b>	<b>43</b>	<b>64.4</b>	<b>16</b>	<b>43</b>	<b>15</b>	<b>1</b>	<b>14</b>	<b>5</b>	<b>84</b>	<b>40</b>	<b>1</b>	<b>8</b>	<b>30</b>	<b>259</b>

\*LAKEVIEW POPULATION DATA DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS OR THE ANNEX

TABLE 31

**UI STAFF AND INMATES ASSAULTS  
FISCAL YEAR 1992-1993**

<b>FACILITY</b>	<b>NUMBER OF U'S</b>	<b>STAFF ASSLTS</b>	<b>WITH INJURY</b>	<b>PERCENT</b>	<b>INMATE ASSLTS</b>	<b>WITH INJURY</b>	<b>PERCENT</b>
MONTEREY SICF	8	3	1	33.3%	0	0	0.0%
SUMMIT SICF	8	0	0	0.0%	1	1	0.0%
MORIAH SICF	8	6	4	66.7%	1	1	100.0%
BUTLER SICF	13	5	2	40.0%	1	1	100.0%
LAKEVIEW SICF*	25	9	6	66.7%	4	3	75.0%
<b>SHOCK DATA</b>	<b>62</b>	<b>23</b>	<b>13</b>	<b>56.5%</b>	<b>7</b>	<b>6</b>	<b>85.7%</b>
PHARSALIA	13	2	0	0.0%	1	1	0.0%
BEACON	11	0	0	0.0%	0	0	0.0%
GABRIELS	11	0	0	0.0%	1	1	0.0%
GEORGETOWN	43	0	0	0.0%	5	5	100.0%
LYON MOUNTAIN	7	0	0	0.0%	3	3	0.0%
<b>MINIMUM DATA</b>	<b>85</b>	<b>2</b>	<b>0</b>	<b>0.0%</b>	<b>10</b>	<b>10</b>	<b>100.0%</b>
TACONIC	23	1	1	100.0%	0	0	0.0%
WALKILL	37	1	0	0.0%	5	5	100.0%
ALTONA	56	5	2	40.0%	9	7	77.8%
OGDENSBURG	50	2	2	100.0%	12	12	100.0%
WATERTOWN	35	7	5	71.4%	9	8	88.9%
MID-ORANGE	58	2	2	100.0%	8	8	100.0%
<b>MEDIUM DATA</b>	<b>259</b>	<b>18</b>	<b>12</b>	<b>66.7%</b>	<b>43</b>	<b>40</b>	<b>93.0%</b>
<b>ALL DOCS FACILITIES</b>		<b>1,013</b>	<b>609</b>	<b>60.1%</b>	<b>1,250</b>	<b>1199</b>	<b>95.9%</b>

\*LAKEVIEW POPULATION DATA DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS

TABLE 32

SUMMARY OF TOTAL PAROLE BOARD RELEASE CONSIDERATIONS  
OF SHOCK INCARCERATION CANDIDATES  
APRIL 1 THROUGH SEPTEMBER 30, 1993

GRANTED RELEASE		POSTPONED FOR COMPLETION		DENIED RELEASE		TOTAL RELEASE CONSIDERATIONS	
NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
927	99%	3	< 1%	7	< 1%	937	100%



TABLE 33

RATIO OF ACHIEVED TO EXPECTED SUPERVISION OBJECTIVES  
APRIL - SEPTEMBER 1993

OBJECTIVE	AGGREGATE RESULTS		STATEWIDE AGGREGATE RATIO OF ACHIEVED TO EXPECTED	CASE BY CASE RATIO OF ACHIEVED TO EXPECTED
	NUMBER ACHIEVED	NUMBER EXPECTED		
HOME VISITS	10,837	11,425	.95 to 1	.96 to 1
HOME VISITS POSITIVE	6,979	5,750	1.21 to 1	.94 to 1
PROGRAM VERIFICATIONS	14,418	5,481	2.60 to 1	.96 to 1
EMPLOYMENT VERIFICATIONS	2,436	2,277	1.07 to 1	.66 to 1
POSITIVE EMPLOYMENT VERIF.	1,082	814	1.33 to 1	.59 to 1

TABLE 34

DEMOGRAPHIC AND LEGAL COMPARISONS  
SHOCK AND THE COMPARISON GROUPS  
MARCH 1988 THROUGH MARCH 1993

CHARACTERISTICS	COMPARISON GROUPS			
	SHOCK N=7,664	PRESHOCK N=4,309	CONSIDERED N=6,429	REMOVALS N=2,779
<b>PERCENTS</b>				
21 YEARS AND OLDER	69.6%	82.0% *	74.3% *	64.2% *
FEMALE	6.4%	7.4%	13.7% *	7.9% *
A-II FELONS	6.4%	2.1% *	2.2% *	0.8% *
DRUG OFFENDERS	71.2%	51.3% *	59.9% *	61.2% *
PRIOR FELONY CONVICTIONS	47.4%	61.3% *	45.5% *	47.3%
SECOND FELONY OFFENDERS	56.3%	58.8% *	47.2% *	51.9% *
WHITE	17.1%	16.6%	15.4% *	12.4% *
BLACK	47.0%	49.1% *	51.5% *	52.5% *
HISPANIC	35.9%	34.2%	33.1% *	35.1%
SENTENCED FROM NEW YORK CITY	62.6%	72.6% *	69.0% *	73.5% *
EDUCATION THROUGH 9TH GRADE	21.0%	22.2% *	21.5%	25.4% *
EDUCATED THROUGH GRADE 12 AND ABOVE	20.3%	17.1% *	17.0% *	12.3% *
<b>AVERAGES</b>				
AGGREGATE MINIMUM SENTENCE	21.9 MO	21.8 MO *	18.3 MO *	18.1 MO *
AGGREGATE MAXIMUM SENTENCE	51.1 MO	49.4 MO	44.6 MO *	44.7 MO *
PRIOR FELONY ARRESTS	2.0	3.1 *	2.5 *	2.5 *
PRIOR FELONY CONVICTIONS	.56	.80 *	.56	.55
AGE AT RECEPTION	22.8 YRS	24.7 YRS *	23.1 YRS *	22.0 YRS *
TIME TO PAROLE ELIGIBILITY	17.4 MO	15.6 MO *	13.3 MO *	13.7 MO *
EDUCATION LEVEL	10.1	9.9	9.9 *	9.6 *
JAIL TIME	112.8 DA	125.8 DA *	135.6 DA *	119.5 DA
TIME IN DOCS CUSTODY	7.4 MO	19.7 MO *	15.7 MO *	16.1 MO *

\* Indicates A Significant Difference Between Shock And The Comparison Group

TABLE 35

EMPLOYMENT AND PROGRAM ENROLLMENT RATES  
AS OF MARCH 31, 1993  
SHOCK AND COMPARISON GROUP PAROLEES  
RELEASED BETWEEN 10/1/92 AND 3/31/93

GROUP	NUMBER	PERCENT EMPLOYED	PERCENT IN A PROGRAM
SHOCK	1,287	59%	81%
PRE SHOCK	635	40%	69%
CONSIDERED	1,157	32%	68%
REMOVAL	408	28%	67%

**TABLE 30**  
**RETURN RATES FOR SHOCK GRADUATES AND THE COMPARISON GROUPS**

	MARCH 1958 - MARCH 1959				APRIL 1959 - MARCH 1960				APRIL 1960 - MARCH 1961				APRIL 1961 - MARCH 1962				TOTALS			
12 MONTHS	SHOCK	PRE			SHOCK	PRE			SHOCK	PRE			SHOCK	PRE			SHOCK	PRE		
	GRADS	SHOCK	CONSIDER	REMOVED	GRADS	SHOCK	CONSIDER	REMOVED	GRADS	SHOCK	CONSIDER	REMOVED	GRADS	SHOCK	CONSIDER	REMOVED	GRADS	SHOCK	CONSIDER	REMOVED
NUMBER OF CASES	583	843	381	88	1,081	1,121	1,281	287	1,834	1,004	2,048	708	1,858	854	2,423	843	5,436	2,822	8,154	1,917
ALL RETURNS	87	187	78	11	131	208	247	70	183	128	282	108	181	70	319	134	542	589	904	321
% OF CASES	15%	18%	18%	18%	12%	18%	19%	24%	8%	13%	13%	15%	9%	13%	13%	18%	10%	13%	15%	17%
RULE VIOLATORS	53	101	42	5	84	108	145	38	71	47	102	50	80	34	150	55	248	280	439	149
% OF CASES	9%	11%	11%	7%	8%	10%	11%	13%	4%	5%	5%	7%	3%	8%	6%	7%	5%	8%	7%	8%
NEW CRIMES	34	88	34	8	87	98	102	31	92	79	180	58	101	38	189	70	284	279	485	172
% OF CASES	6%	7%	8%	9%	8%	8%	8%	10%	5%	8%	8%	8%	5%	6%	7%	8%	5%	8%	8%	9%

24 MONTHS	SHOCK	PRE			SHOCK	PRE			SHOCK	PRE							SHOCK	PRE		
	GRADS	SHOCK	CONSIDER	REMOVED	GRADS	SHOCK	CONSIDER	REMOVED	GRADS	SHOCK	CONSIDER	REMOVED					GRADS	SHOCK	CONSIDER	REMOVED
NUMBER OF CASES	583	843	381	88	1,081	1,121	1,281	287	1,834	1,004	2,048	708	A total of 24 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				3,578	3,088	3,731	1,074
ALL RETURNS	230	401	174	35	318	418	508	124	535	294	680	278	A total of 24 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				1,081	1,113	1,340	435
% OF CASES	38%	43%	45%	31%	30%	37%	38%	42%	28%	29%	32%	38%	A total of 24 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				30%	36%	36%	41%
RULE VIOLATORS	131	224	99	21	158	207	248	62	282	112	258	118	A total of 24 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				551	543	603	201
% OF CASES	22%	24%	25%	30%	15%	18%	18%	21%	14%	11%	12%	17%	A total of 24 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				15%	18%	16%	19%
NEW CRIMES	98	177	73	14	158	211	258	62	273	182	404	158	A total of 24 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				530	570	737	234
% OF CASES	17%	19%	19%	20%	15%	19%	20%	21%	14%	18%	20%	22%	A total of 24 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				15%	18%	20%	22%

36 MONTHS	SHOCK	PRE			SHOCK	PRE											SHOCK	PRE		
	GRADS	SHOCK	CONSIDER	REMOVED	GRADS	SHOCK	CONSIDER	REMOVED									GRADS	SHOCK	CONSIDER	REMOVED
NUMBER OF CASES	583	843	381	88	1,081	1,121	1,281	287	A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				1,844	2,064	1,882	388
ALL RETURNS	288	490	213	38	489	508	620	148	A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				757	998	833	187
% OF CASES	49%	52%	54%	57%	44%	45%	48%	50%	A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				48%	48%	50%	51%
RULE VIOLATORS	188	258	109	22	224	228	270	72	A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				380	485	379	94
% OF CASES	28%	27%	28%	32%	21%	20%	21%	24%	A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				24%	23%	23%	26%
NEW CRIMES	122	234	104	17	245	279	350	78	A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				387	513	454	93
% OF CASES	21%	25%	27%	25%	23%	25%	27%	28%	A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 36 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				22%	25%	27%	25%

48 MONTHS	SHOCK	PRE															SHOCK	PRE		
	GRADS	SHOCK	CONSIDER	REMOVED													GRADS	SHOCK	CONSIDER	REMOVED
NUMBER OF CASES	583	843	381	88	A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				583	843	381	88
ALL RETURNS	322	525	232	44	A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				322	525	232	44
% OF CASES	55%	56%	56%	64%	A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				55%	56%	56%	64%
RULE VIOLATORS	174	283	112	22	A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				174	283	112	22
% OF CASES	30%	28%	29%	32%	A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				30%	28%	28%	32%
NEW CRIMES	148	282	120	22	A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				148	282	120	22
% OF CASES	25%	28%	31%	32%	A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				A total of 48 months has not yet elapsed for this group since their release from prison as of March 31, 1963.				25%	28%	31%	32%

TABLE 37

**REMOVAL RATES OF SHOCK AND COMPARISON GROUP PAROLEES  
OFFENDERS FOLLOWED FOR 36 MONTHS OR MORE**

TIME SINCE RELEASE	NUMBER ACTIVE AT START	RETURNED TO CUSTODY NUMBER PERCENT	DISCHARGED WITHIN PERIOD NUMBER PERCENT	AT RISK AT END OF PERIOD NUMBER PERCENT
<b>SHOCK</b>				
12 Months or Less	1,644	218 13%	13 1%	1,413 86%
13 - 24 Months	1,413	328 20%	19 1%	1,066 65%
25 - 36 Months	1,066	211 13%	265 16%	590 36%
37 - 48 Months	590	34 2%	224 14%	332 20%
Total	1,644	791 48%	521 32%	332 20%
<b>PRESHOCK</b>				
12 Months or Less	2,064	373 18%	42 2%	1,649 80%
13 - 24 Months	1,649	446 22%	264 13%	939 45%
25 - 36 Months	939	179 9%	329 16%	431 21%
37 - 48 Months	431	35 2%	162 10%	234 14%
Total	2,064	1,033 50%	797 39%	234 14%
<b>CONSIDERED</b>				
12 Months or Less	1,682	323 19%	18 1%	1,341 80%
13 - 24 Months	1,341	357 21%	194 12%	790 47%
25 - 36 Months	790	153 9%	401 24%	236 14%
37 - 48 Months	236	19 1%	41 2%	176 11%
Total	1,682	852 51%	654 39%	176 11%
<b>REMOVALS</b>				
12 Months or Less	366	81 22%	5 1%	280 77%
13 - 24 Months	280	78 21%	48 13%	154 42%
25 - 36 Months	154	28 8%	70 19%	56 15%
37 - 48 Months	56	5 <1%	15 1%	36 2%
Total	366	192 52%	138 38%	36 2%

TABLE 38

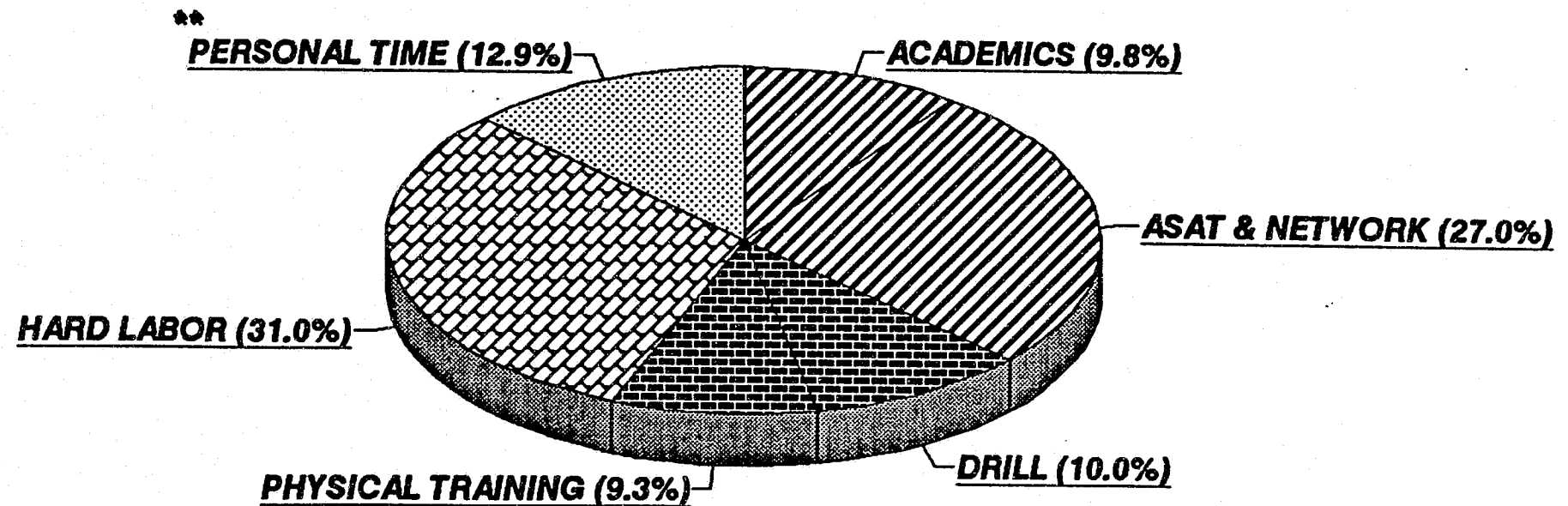
**TIME FROM RELEASE TO DELINQUENCY FOR SHOCK AND COMPARISON GROUP PAROLEES  
OFFENDERS FOLLOWED FOR 36 MONTHS OR MORE**

<b>GROUP</b>	<b>0-6 MONTHS PERCENT</b>	<b>7-12 MONTHS PERCENT</b>	<b>12 MONTHS PLUS PERCENT</b>	<b>TOTAL PERCENT</b>
<b>SHOCK</b>				
Rule Violator	46%	24%	30%	100%
New Crime	45%	25%	30%	100%
Shock Total	46%	24%	30%	100%
<b>PRE SHOCK</b>				
Rule Violator	61%	22%	17%	100%
New Crime	50%	29%	21%	100%
Pre Shock Total	56%	26%	18%	100%
<b>CONSIDERED</b>				
Rule Violator	65%	22%	13%	100%
New Crime	54%	27%	19%	100%
Considered Total	60%	24%	16%	100%
<b>REMOVALS</b>				
Rule Violator	64%	24%	12%	100%
New Crime	58%	32%	10%	100%
Removal Total	62%	27%	11%	100%

*New York State Department of Correctional Services Shock Incarceration Program*

*Proportion of Time Dedicated to Shock Program Components*

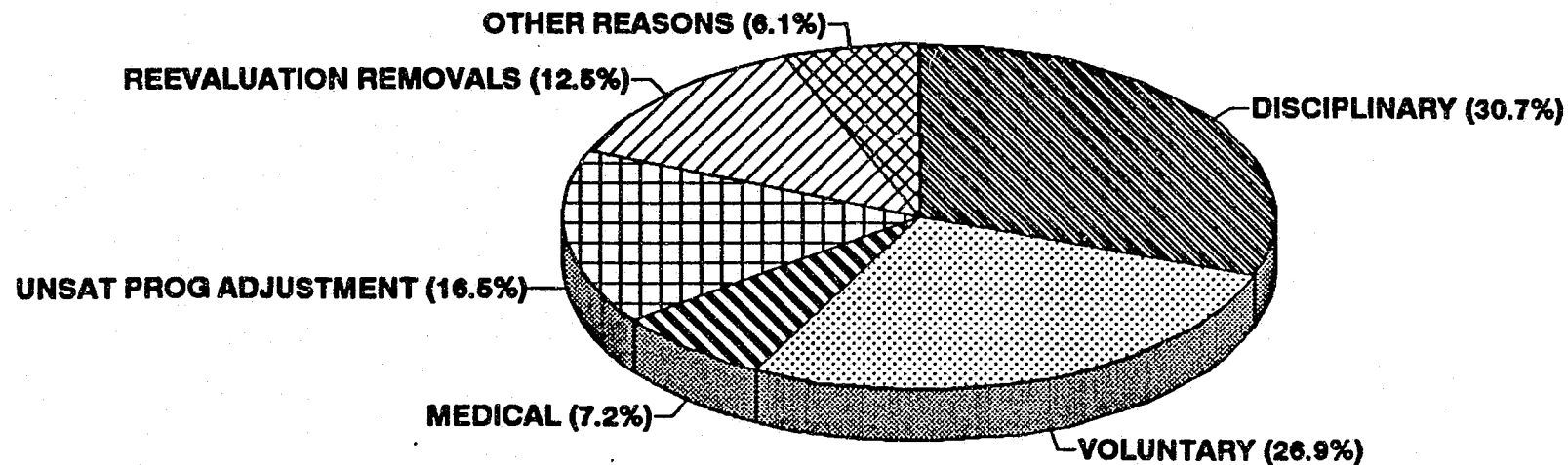
**CHART 1**



**\*\* PERSONAL TIME INCLUDES : MEALS , RELIGIOUS SERVICES , VISITS , HOMEWORK , ETC.**

# REASONS FOR BEING REMOVED FROM SHOCK SEPTEMBER 1987 - SEPTEMBER 1993

**CHART 2**

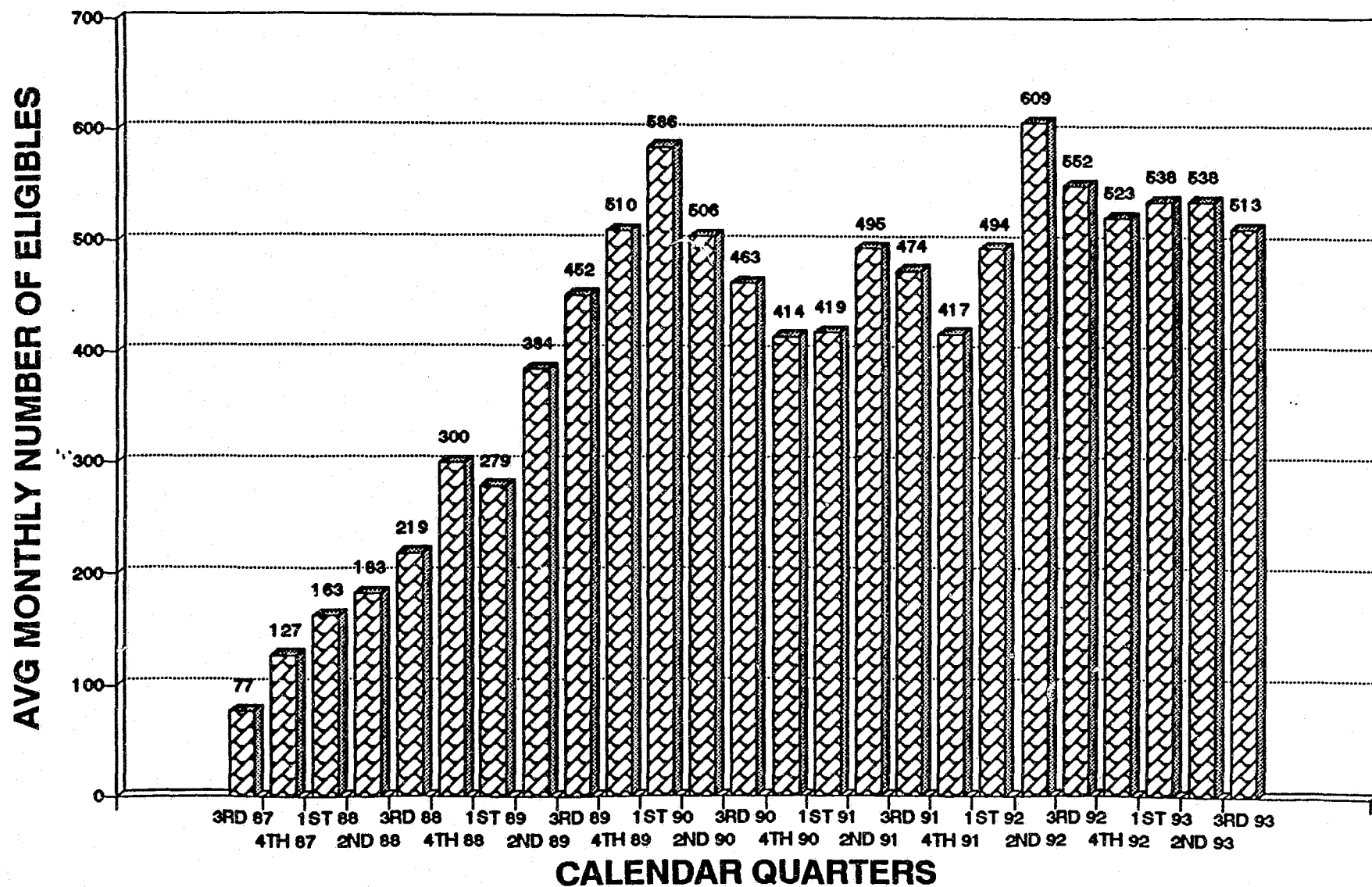




# DOCS SHOCK ELIGIBLE INMATES

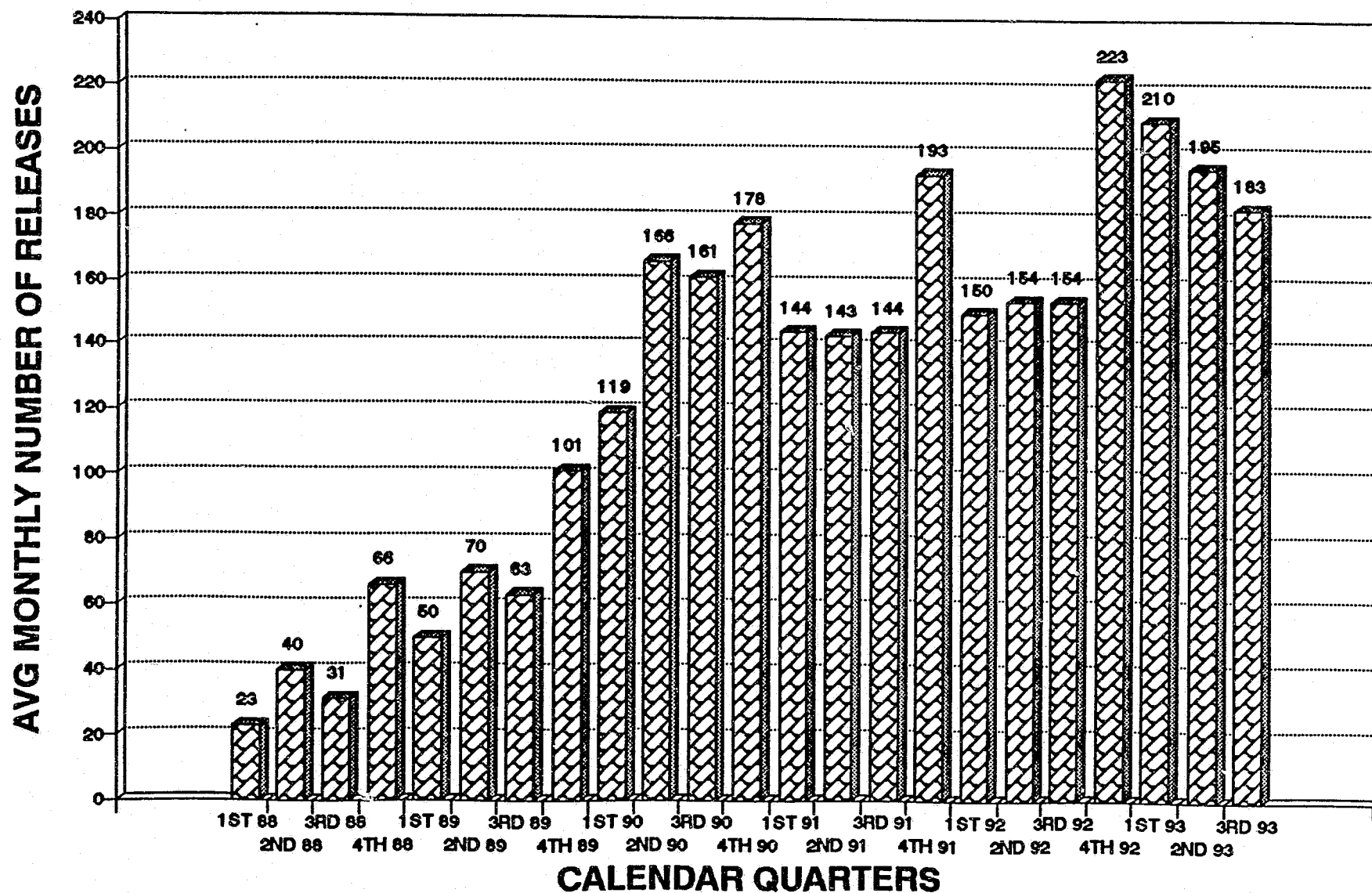
## MONTHLY AVERAGE BY CALENDAR QUARTER

**CHART 3**



# MONTHLY AVERAGE NUMBER OF SHOCK RELEASES BY CALENDAR QUARTER

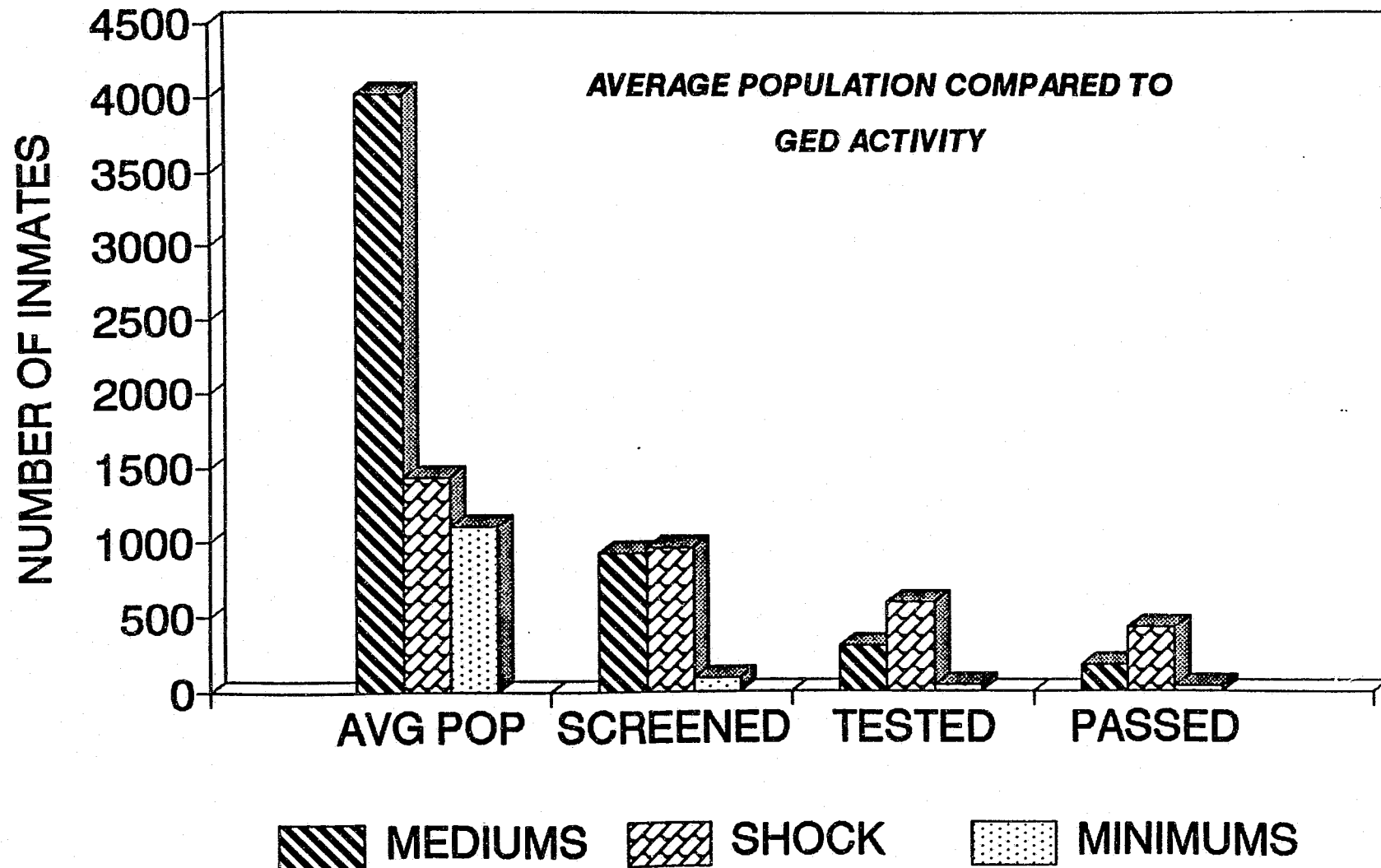
**CHART 4**



# VOLUME OF GED ACTIVITY FY 1992-1993

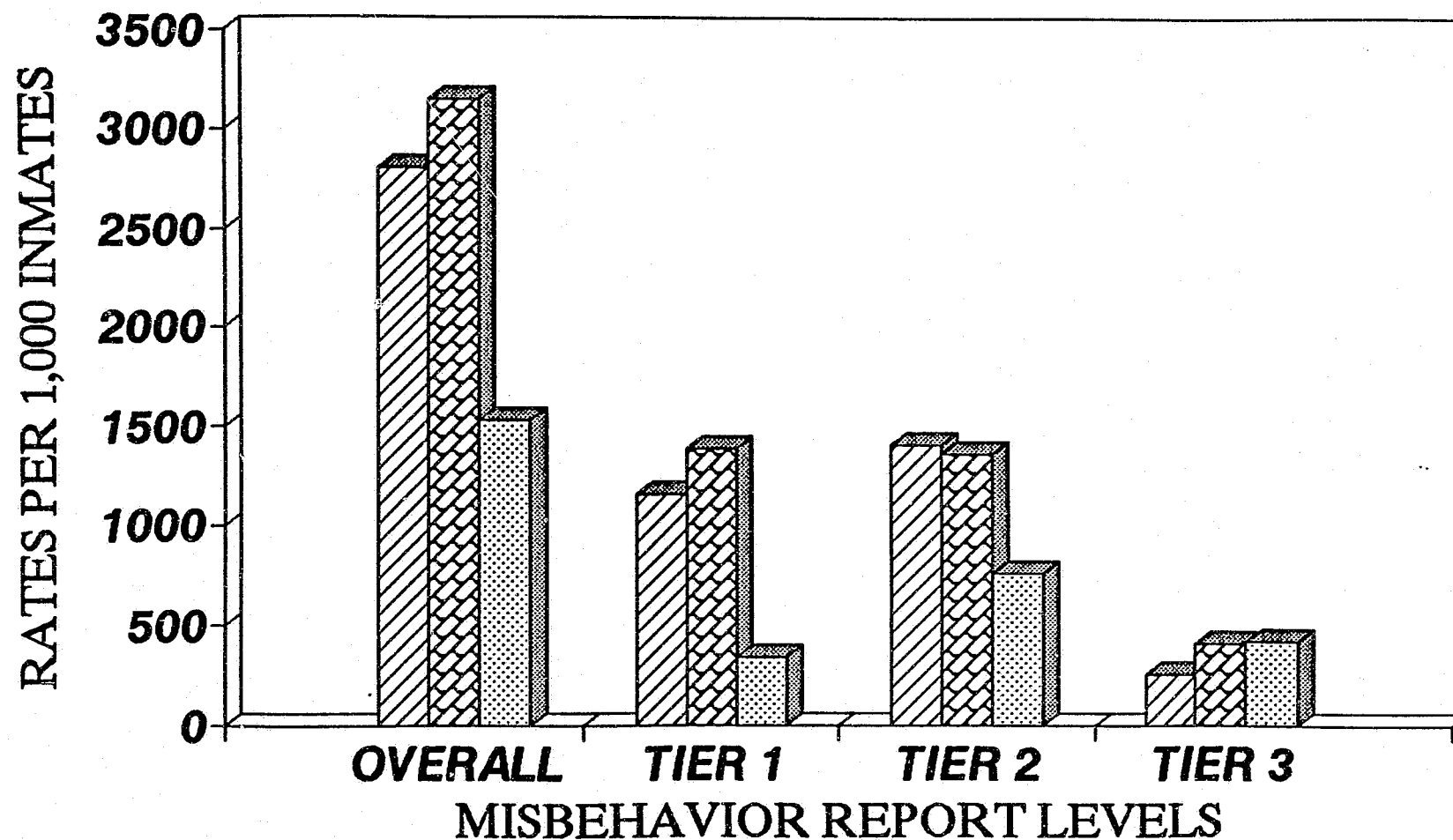
## SHOCK VS COMPARISON FACILITIES

CHART 5



# RATES OF MISBEHAVIORS PER 1,000 INMATES SHOCK VS COMPARISON FACILITIES FY 92-93

CHART 6



**MEDIUMS**



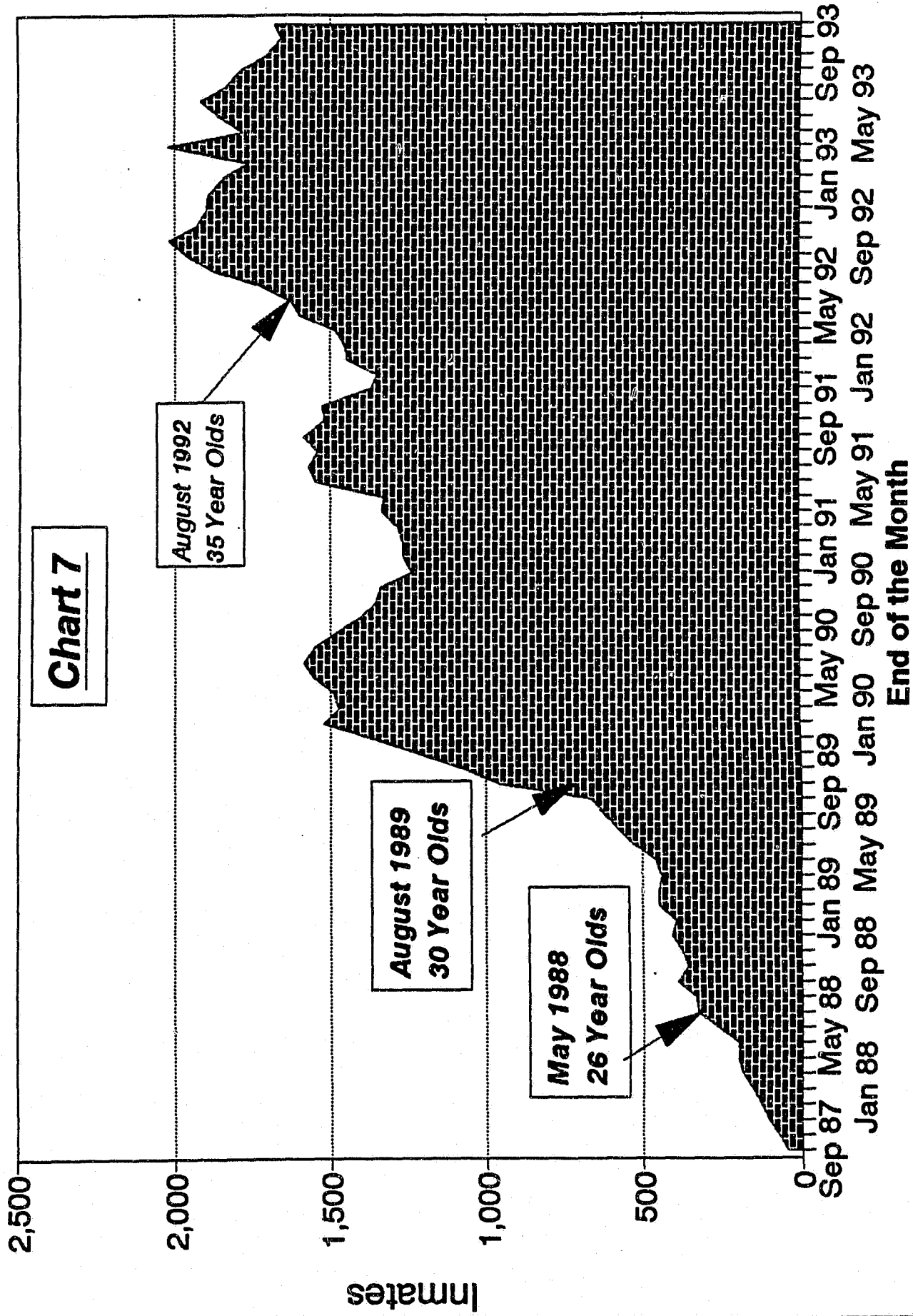
**MINIMUMS**



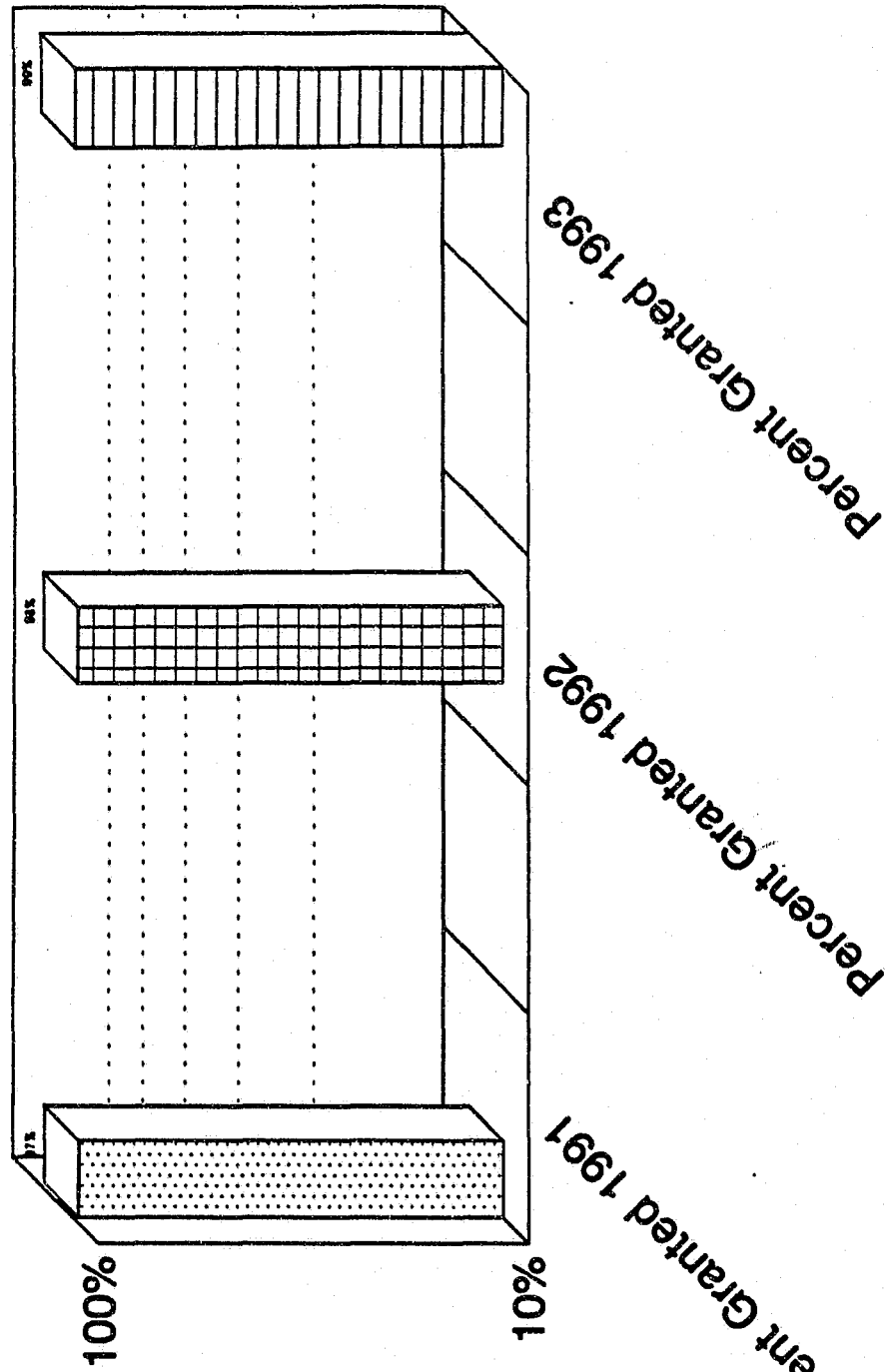
**SHOCK**

# Number of Inmates in Shock Beds

**Chart 7**

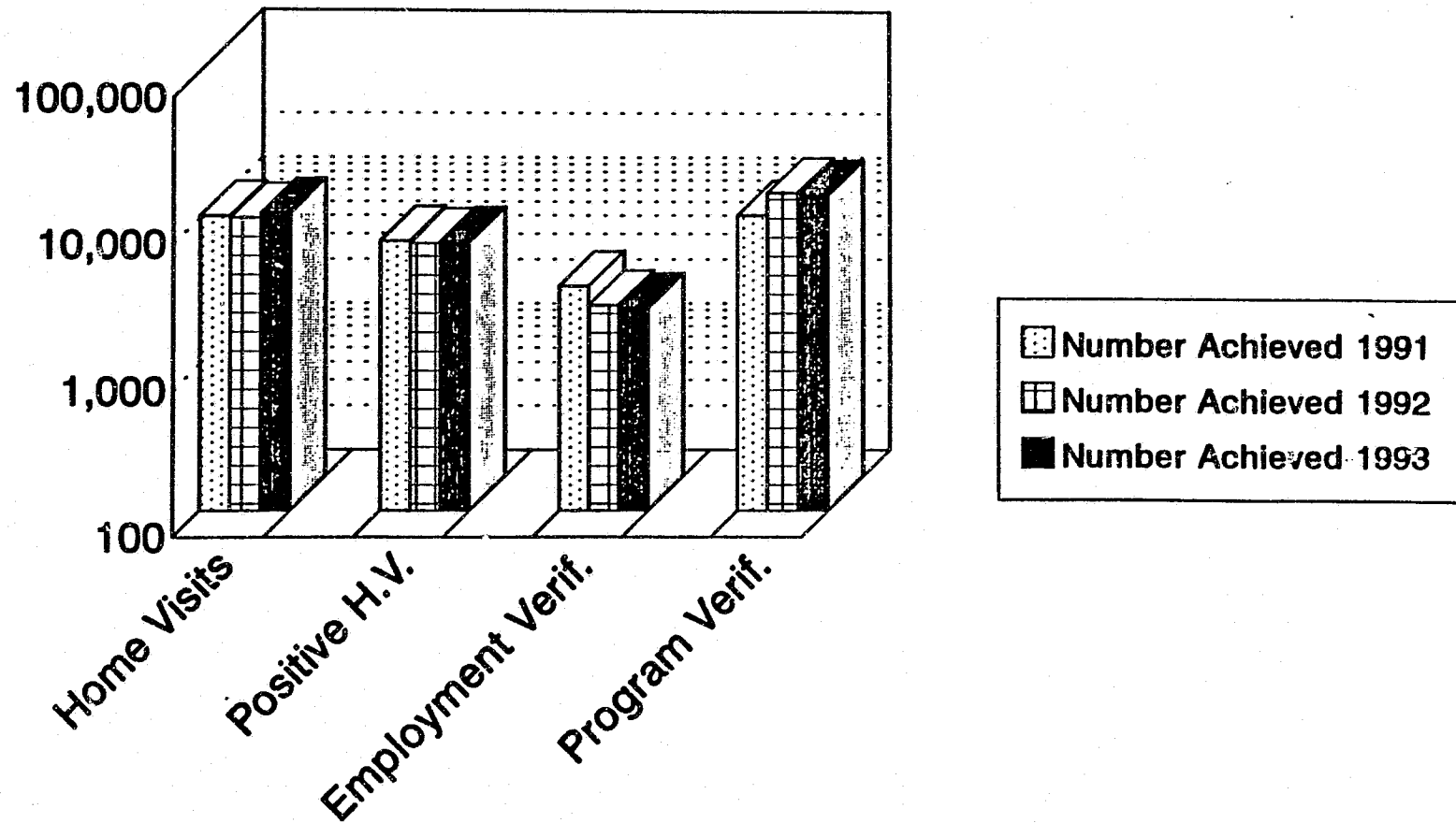


# Chart 8 Parole Board Release Considerations



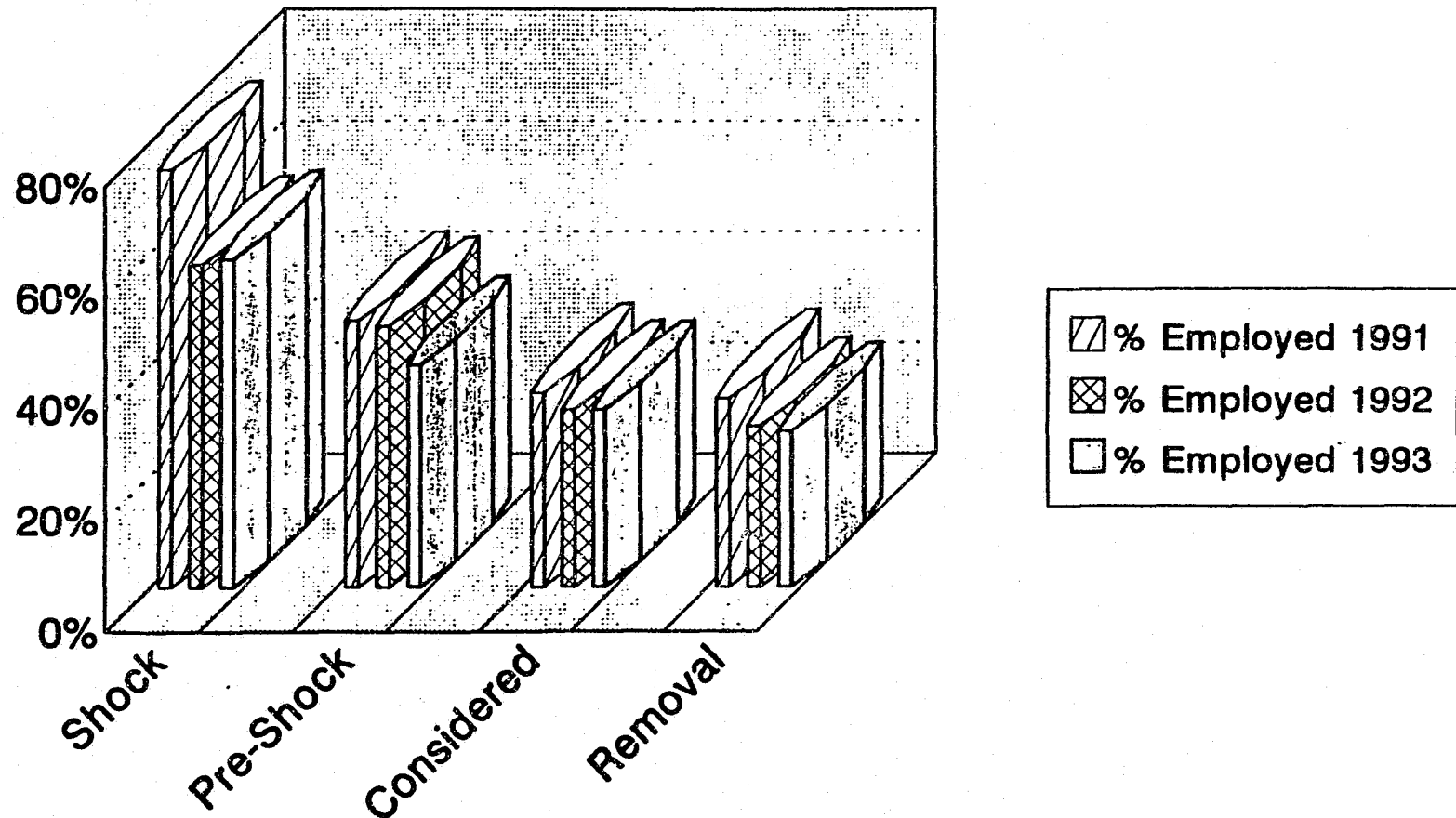
Last Three Legislative Reports

**Chart 9**  
**Aggregate Contacts**



**Last Three Legislative Reports**

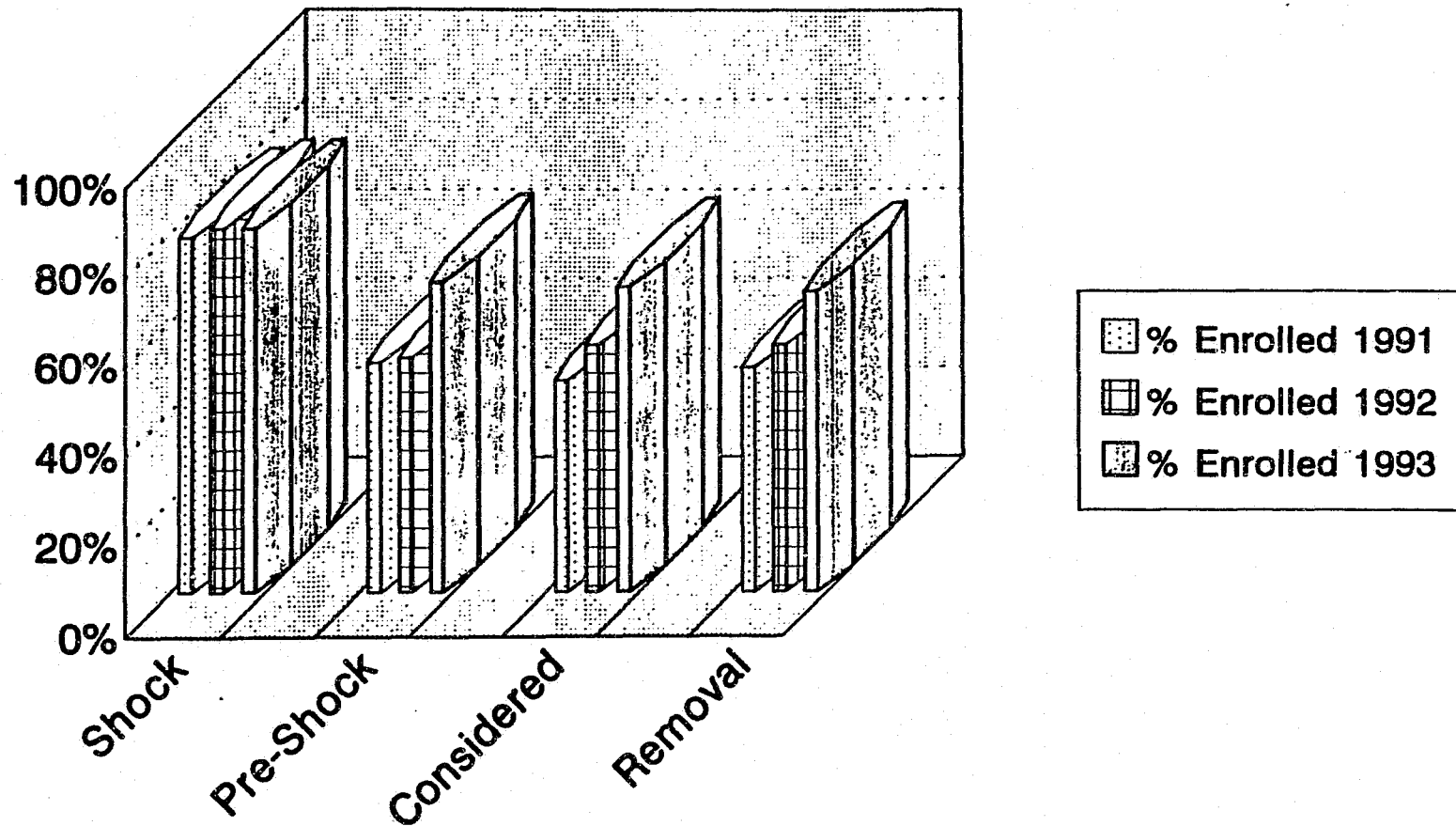
**Chart 10**  
**Employment Rates**



**Last Three Legislative Reports**

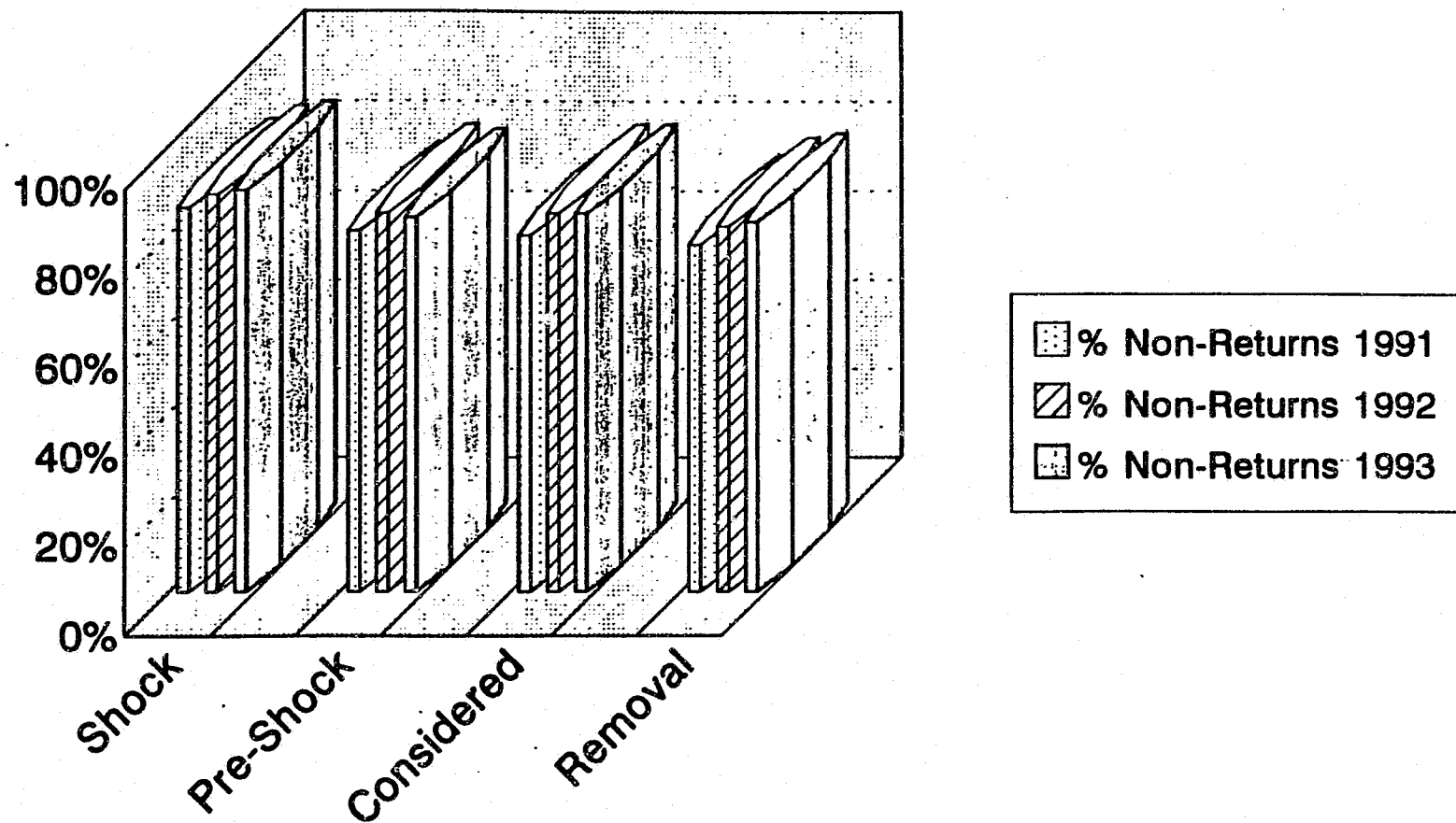


**Chart 11**  
**Program Enrollment Rates**



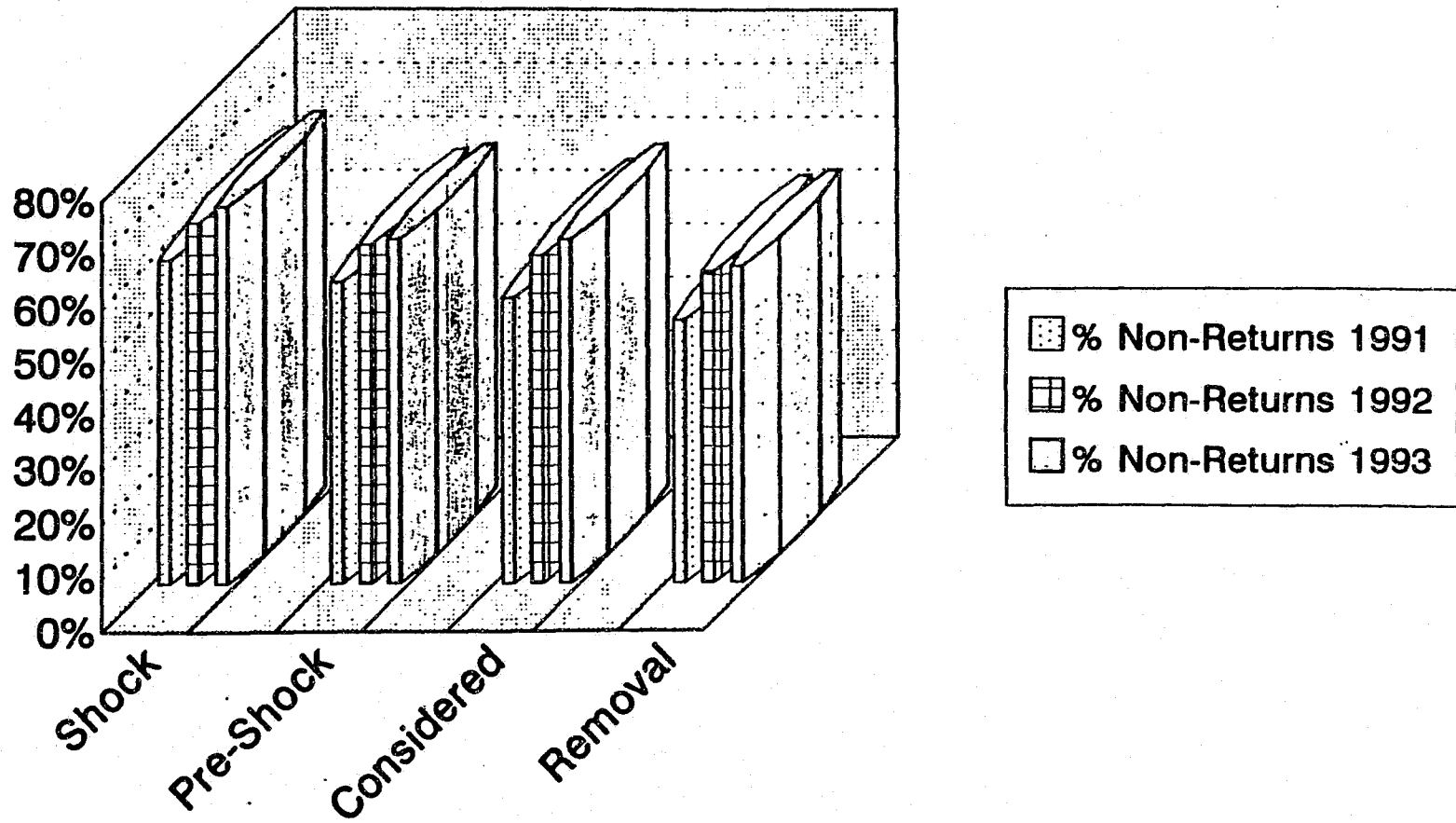
**Last Three Legislative Reports**

**Chart 12**  
**One Year Out Results**



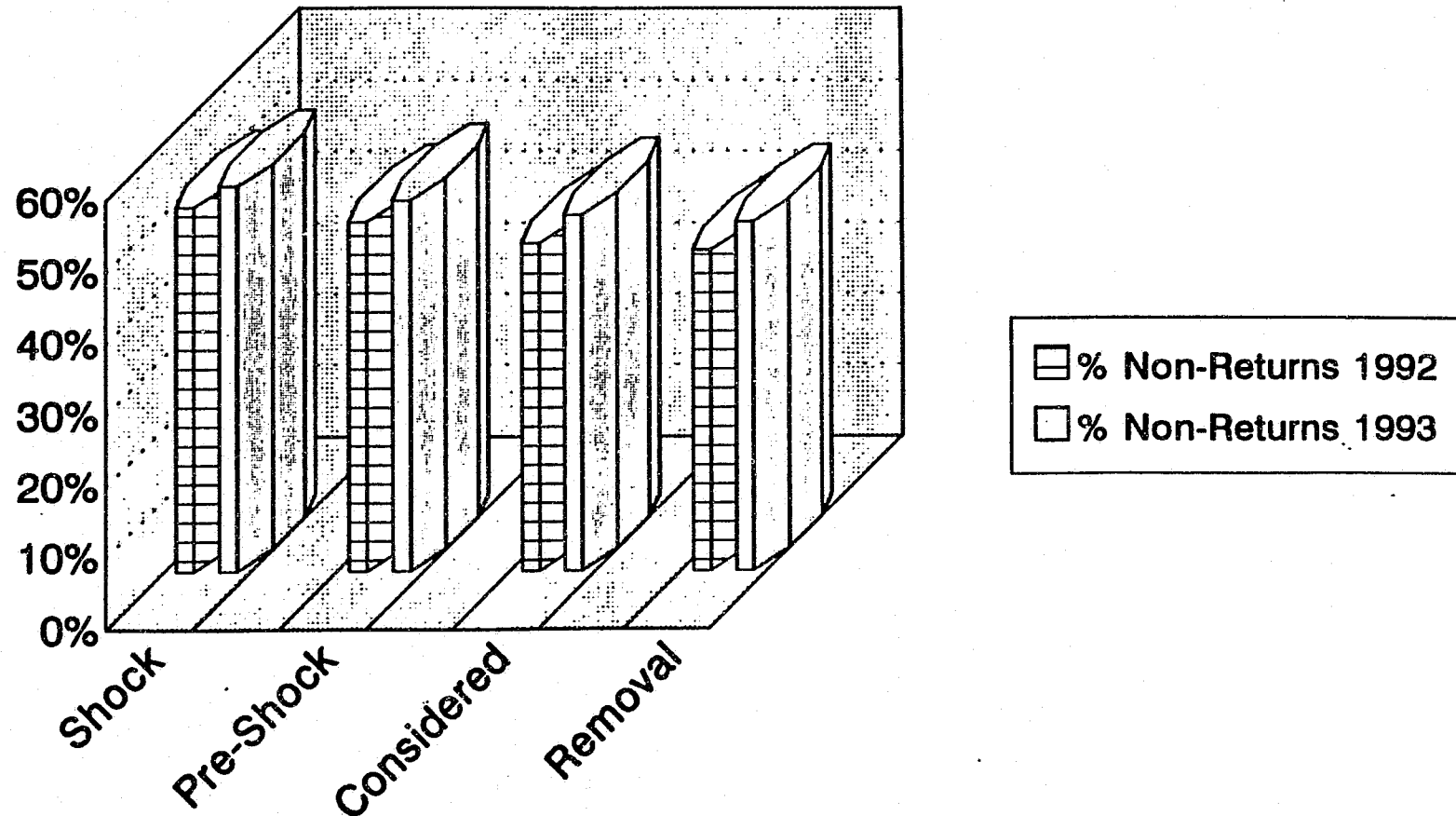
**Last Three Legislative Reports**

**Chart 13**  
**Two Year Out Results**



**Last Three Legislative Reports**

**Chart 14**  
**Three Year Out Results**



**Last Two Legislative Reports**

# NEW YORK STATE SHOCK INCARCERATION PROGRAM

WEEK	ALCOHOL AND SUBSTANCE ABUSE TREATMENT PROGRAM	NETWORK DECISION MAKING COURSE	PRE-RELEASE
1 2	<b>ZERO WEEKS</b> 12 STEPS TO RECOVERY	<b>OVERVIEW</b> INTRODUCTION TO NETWORK	
3 4	<b>DENIAL</b>	<b>CONTROL THEORY</b>	Unit 1 Introduction to Pre-Release Personal Shock Budget Short Term Goal Setting
5 6	<b>SELF HISTORY</b>	<b>OPERATING IMAGE</b>	Unit 2 Social Security Cards Birth Certificates
7 8	1. We admitted that we were powerless over our addiction, that our lives had become unmanageable.	1. See the Situation Clearly.	Unit 3 Self Awareness and Self Esteem Motivation Communication Skills
9 10	2. Came to believe that a Power greater than ourselves could restore us to sanity.	2. I Am Accepted.	Unit 4 Stress Management Anger Management
11 12	3. Made a decision to turn our will and lives over to the care of God as we understood Him.	3. Know What You Want.	Unit 5 Domestic Violence
13	4. Made a searching and fearless moral inventory of ourselves.	4. Expanding Possibilities.	Unit 6 Family Planning Sexually Transmitted Diseases Parenting.
14	5. Admitted to God, to ourselves and to another human being the exact nature of our wrongs.	5. Evaluating and Deciding.	
15	6. Were entirely ready to have God remove all these defects of character.	6. Acting on Decisions	Unit 7 Family Counseling Relationships
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 became willing to make amends to them all.	8. Choosing Responsibility.	Unit 8 Career Planning Employment Search Job Applications Job Interviews Resumes
18	9. Made direct amends to such people wherever possible, except when to do so would injure them or others.	9. Economic Style	
19	10. Continued to take personal inventory and when we were wrong, promptly admitted it.	10. Social Style.	Unit 9 Targeted Job Tax Credits Vocational Development Programs Economic Opportunity Centers Education and Training Opportunities
20	11. Sought through prayer and meditation to 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.	11. Personal Style.	
21 22	<b>REVIEW: The First 4 Steps and RELAPSE</b>	<b>- REVIEW CHOICES - INMATES</b>	Unit 10 Conditions of Parole After Shock Budget
23 24	<b>PREVENTION STRATEGIES</b>	<b>LEAD SEMINARS</b>	Unit 11 Nutrition and Health Recovery After Shock Fellowship Center Intake
25 26	12. Having had a spiritual awakening as a result of these steps, we tried to carry this message to others and to practice these principles in all our affairs.	12. Affirmation  Gift Workshop	Unit 12 Community Preparation Long Term Goals Graduation Preparation

## 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 issues 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.