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**CALIFORNIA -  
DEPARTMENT OF  
CORRECTIONS**

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## PART I

### RESEARCH

#### DEPARTMENT OF CORRECTIONS

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Assistant Deputy Director  
Policy and Planning Division

Robert Dickover  
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Marie Vida Ryan  
Chief, Management Information Section

The reorganization of the research and management information function in the Department of Corrections which began in 1975 has now been completed. The Research and Management Information Units are coordinate sections of the Policy and Planning Division.

The Research Unit handles project research assignments, producing regular research reports, administrative studies, informational reports, journal articles, and special reports. A great deal of research staff time goes into activities that are not reflected in project reports. Such activities include consultation with various levels of management regarding administrative studies, assisting in the development of projects to be funded by Federal or private organizations, working with students in planning research projects, and cooperating with outside organizations and firms interested in conducting research with the Department of Corrections. A great deal of time and effort also goes into providing specialized data to the Adult Authority to assist them in policy matters as changes in procedures are introduced. This year the research staff previously reporting to the administration of the California Rehabilitation Center was combined with the Southern California Research Group at the California Institution for Men. Therefore, the research projects pertaining to the Civil Commitment Program for Narcotic Addicts are presented in this section of the Annual Research Review rather than a separate one which has been the case heretofore.

The Management Information Unit maintains the basic data system for the entire Department. This unit provides a wide variety of information for budgeting, program description, and program planning. A portion of this information is published in the reports entitled California Prisoners and Summary Statistics, Civil Commitment Program for Narcotic Addicts. The Management Information Unit continues to work on a special project to develop an automated management information system to make data now collected available on a more timely basis. Long-range plans include the expansion of the kinds of information collected to permit operational and research evaluation of ongoing programs.

ONGOING PROJECTS

## SUMMARY PAROLE PROJECT

### STAFF:

Deborah Star, Research Analyst II, Bay Area Research Field Office  
Raymond Fowler, Research Analyst II, Sacramento Research Unit  
Parole and Community Services Division Project Staff

### PURPOSE:

The major purpose of this study is to determine whether a form of parole without supervision (summary parole) is as effective as traditional parole supervision in controlling recidivism among people released from prison. The legal status and therefore the threat of parole revocation is maintained for people placed on summary parole, but the traditional parole agent-initiated services and surveillant activities are suspended. Two secondary purposes are to test the effectiveness of summary parole when it is implemented on a limited basis under three different selection procedures and to determine which of these selection forms is most effective. The decisions in the three different selection procedures are based on (1) clinical determinations by parole agents, (2) actuarial predictions of low risk on parole, and (3) actuarial predictions of high and medium risk on parole.

### PROCEDURE:

Adult male felons scheduled to be released to parole starting March 1, 1976, will be randomly allocated from three selected pools to receive either summary or regular parole supervision. One pool will consist of those actuarially predicted to be low risk. A second pool will consist of those actuarially predicted to be medium or high risk. The third pool will consist of a random group of releasees for whom clinical determinations to receive either summary or regular parole supervision will be made by parole agents after the first 90 days of direct regular parole supervision. In total, six groups of approximately 200 parolees each will be formed from the three types of selection processes and the two types of supervision.

Those releasees assigned to receive summary supervision will not be supervised by the parole agent. Services will only be delivered if requested by the parolee, and investigations and violation reporting to the parole board will only be conducted when adverse information regarding the parolee is received. The summary parolee will only be required to contact the agent on two occasions, once upon release when he is informed of his summary parole status and just prior to review for discharge. The supervisory specifications will not change from current practices for those assigned to receive regular parole supervision.

Recidivism rates will be computed for each of the six cohorts at six month, one year, and two year follow-up periods. The primary measure of recidivism will be criminal justice processing rates as detected by the police and as reported in California Department of Justice Criminal Identification and Investigation Reports (rap sheets). Secondary measures include calculating the severity of the offense(s) alleged or committed (as measured by Wolfgang and Sellin's offense severity scale) and tabulating the non-incarcerated time spent in the community for each study cohort.

#### TIMETABLE:

The study began with random assignment to groups in March 1976. With an allowance of approximately six months for cohort assignment to terminate and for a minimum follow-up period to pass, the first six-month outcome data should be available in the summer of 1977.

#### PUBLICATIONS:

Program Plan - Summary Parole. Department of Corrections, Parole and Community Services Division, December 1975.

Implementation Plan for Summary Parole Program. Department of Corrections, Parole and Community Services Division, February 1976.

#### COMMUNITY-BASED CORRECTIONS EVALUATION PROJECT

#### STAFF:

Robert Dickover, Research Manager II, Sacramento Research Unit  
Anna Cox, Associate Statistician, Oakland CBCEP Unit  
David Brewer, Research Analyst II, Oakland CBCEP Unit  
George Sing, Research Analyst II, Oakland CBCEP Unit  
Richard Bass, Research Analyst I-C, Oakland CBCEP Unit  
Frances Garth, Research Assistant III, Oakland CBCEP Unit  
Michael Agopian, Research Assistant III, Los Angeles CBCEP Unit

#### PURPOSE:

The purpose of this project was to develop a methodology for evaluating community-based corrections projects and to apply this methodology to the evaluation of approximately 15 of these projects. All of the projects received LEAA funds through the Office of Criminal Justice Planning of the State of California (OCJP) as was the case with the evaluation project itself. Roughly half of the projects being evaluated were pre-trial diversion in nature; the remainder fell in the categories of residential and detoxification projects. None of the projects subjected to evaluation were within the administrative control of the Department of Corrections; the Department merely contracted with OCJP to do the evaluation.

#### PROCEDURE:

A conventional methodology was employed based on the development of an information system. This system had modules designed for the collection of the following kinds of data:

1. Intake data, primarily reflecting the "characteristics" and previous involvement of the client in the criminal justice system;
2. Process data, reflecting the decisions that were made about the client as he moved through the system;
3. Follow-up data, reflecting the additional contact of the client with the criminal justice system in the form of new arrests, convictions, or readmissions to the project within three and six-month intervals subsequent to his initial entry.

#### FINDINGS:

To this point most of the analysis that has been completed has focused on the pre-trial diversion projects. Among the observations that have been made about these projects are the following:

1. Very minor offenders comprise the overwhelming majority of the clients admitted to these projects. While in the projects, case supervision services are extended to these offenders of an intensiveness that would ordinarily be received by clients convicted of much more serious offenses. This has serious implications for the cost effectiveness of these projects.
2. The projects differ in the extent to which evidence of the involvement of their clients in the project and with other criminal justice agencies in the process of admission into the project is maintained in records that are subject to transmission. This matter has serious implications regarding another objective which is often stipulated for these projects - minimizing the stigmatizing of the client by removing him from regular criminal justice processing.

#### TIMETABLE:

The project began in April 1974, and the funding terminated in September 1976. One report on the project has already been published. A second and final report, emphasizing follow-up data, will be published in December 1976.

#### PUBLICATIONS:

Dickover, Robert M. et al. Evaluation of Adult Diversion Projects, CBCEP Report - Part I. Community-Based Corrections Evaluation Project, February 1976. California Department of Corrections.

#### THE SELF-ESTEEM PROJECT

#### STAFF:

Lawrence A. Bennett, Ph.D., Southern Illinois University  
 Donald Sorensen, Senior Psychologist  
 Horace A. Forshay, Vocational Testing and Counseling Supervisor  
 Raymond E. Fowler, Research Analyst II

#### PURPOSE:

The purpose of this project is to define the relationship of self-esteem to other measures, to institutional time and adjustment, and to parole behavior.

#### PROCEDURE:

Phase I involved testing male felons on a self-esteem measure who were newly admitted to the Department of Corrections, and comparing the self-esteem scores with a variety of other measures. Reliability of the self-esteem scores was evaluated by retesting at different intervals.

Phase II involved repeated testing, over longer time intervals, throughout an inmate's institution stay. The aim here was to obtain some picture of the effect of incarceration upon the perception of self-worth.

Phase III involved giving the Self-Esteem Scale to a sample of those being released to parole just prior to their leaving the institution. Self-esteem scores were related to subsequent parole outcome to determine relationships and to evaluate the value of the instrument in predicting parole outcome.

Phase IV will involve a more detailed study of the Bennett/Coopersmith Scale in terms of reliability and construct validity. The scale will be administered to 200 inmates in the reception center along with other scales of self-esteem, scales measuring social conformity, tendency to manipulate, and general personality inventories. Interscale correlations will be computed to determine the extent to which the self-esteem measure is being effected by response set as well as how this measure interacts with other personality variables in accordance with theoretical formulations.

#### FINDINGS:

Phase I - All measures of reliability (.77, .80, .78, and .80) reflect sufficient stability for the modified Coopersmith Self-Esteem Scale to be a useful instrument for measurement. Low non-significant correlations were found between the scale and intelligence, academic achievement scores, and MMPI scales suggestive of emotional disturbance.



Phase II - Contrary to hypotheses derived from similar measures, self-esteem did not rise during the mid-period of incarceration and then drop to original level just prior to release. Rather, there appears to be an increase after an initial period of adjustment with self-esteem scores remaining at that level throughout the remainder of institutional stay.

Phase III - The findings in this area were initially reported to be a negative relationship between self-esteem and subsequent parole outcome. However, a more detailed analysis now shows a statistically significant, though low, positive correlation between self-esteem near the time of release and adjustment at the six month level and after one year. The relationship is not significant at the end of the two-year follow-up period.

#### TIMETABLE:

The first three phases of this study have now been completed. While findings refute some earlier beliefs, they do support the adoption of the self-esteem scale as an instrument valuable in assessing either institutional progress or readiness for parole. A suggested area for further exploration would be to see what kinds of changes in self-esteem occur during or immediately after release from the institution and to whom. Further, the self-esteem scale could be applied to a variety of correctional procedures to determine the extent to which they are destructive or enhancing to feelings of self-worth. Those programs or procedures seen as destructive could then be examined with an aim toward amelioration of the negative aspects to the extent possible. It may be that factors identified in this process would allow for sufficient refinement of the self-esteem measure to make it more useful in parole prediction.

Phase IV has been designed, and data collection took place during the spring and summer of 1976. Data analysis is scheduled for completion in September. A final report can be expected by mid-1977.

#### PUBLICATIONS:

Bennett, L. A., Sorensen, D., and Forshay, H. A. The Application of a Self-Esteem Measure in a Correctional Setting: I. Reliability of the Scale and Relationship to Other measures, Journal of Research in Crime and Delinquency, 1971.

Bennett, L. A. The Application of Self-Esteem Measures in a Correctional Setting: II. Changes in Self-Esteem During Incarceration, Journal of Research in Crime and Delinquency, 1974, 9-15.

Bennett, L. A. Self-Esteem and Parole Adjustment, Criminology, 12, 1974, 346-360.

## A STUDY OF THE PROCESSING OF CASES UNDER SECTION 1168 OF THE PENAL CODE

#### STAFF:

Norman Holt, Research Analyst II, Southern California Research Group

#### PURPOSE:

Section 1168 of the Penal Code authorizes the sentencing superior court within 120 days of the date of commitment to recall on its own motion the case of an individual committed to the Director of Corrections for a consideration of resentencing. Other cases may be recalled subsequent to the 120-day period on the recommendation of the Director of Corrections. For each of the cases, the staff of the Department of Corrections is to prepare a diagnostic report and to recommend a sentence for the review of the court.

The purpose of this project is to collect information on the recommendations made by the Reception Center staffs, who handle the largest part of the 1168 PC caseload, and the actions of the courts on those recommendations. Comparisons will be made among the operating units in terms of the percentages of recommendations for the various sentencing dispositions (probation, CDC, etc.). The units will also be compared in terms of the acceptance of their recommendations by the courts. Cases granted discharges will be followed up in terms of return to prison. The data collected will be useful in clarifying standards and assisting in promoting uniformity of decision-making criteria among the operating units.

#### PROCEDURE:

All cases processed in the Reception Centers under 1168 PC will be monitored on a current basis with regard to patterns of recommendations and court actions. A historical survey of 1168 PC cases processed in the CMF Reception Center since January 1, 1970, will also be conducted for the purpose of elucidating trends.

#### PRELIMINARY FINDINGS:

1. The Department of Corrections is currently receiving 80 to 90 cases per month with a court request for an 1168 PC evaluation. This represents about 18 percent of the new felons received.
2. A sample of 1168 PC cases was compared on a parole prediction scale and an offense severity scale with 1203.03 diagnostic cases. No significant differences were found.
3. CDC staff recommended recall of sentence for about 10 percent of the cases where courts requested evaluations in 1974. Recall was recommended for about one-quarter of the 1975 cases.

4. Major differences in recommendation rates between Reception Centers were noted during 1975.
5. On the basis of these findings revisions of the relevant manual sections have been recommended.

#### TTMETABLE:

The study began in early 1975 and continues.

#### PUBLICATIONS:

Norman Holt. Evaluations for the Courts Under 1168 PC. Issue Paper, Southern California Research Group, California Institution for Men, January 1976.

## A STUDY OF THE PROCESSING OF CASES UNDER SECTION 1203.03 OF THE PENAL CODE

#### STAFF:

Kathleen M. McKay, Southern California Research Group

#### PURPOSE:

Section 1203.03 of the Penal Code provides that the superior court, in any case in which a defendant is convicted of an offense punishable by imprisonment in a state prison, may obtain diagnostic/treatment services and a recommendation for a disposition from a Reception Center (RC) of the Department of Corrections. The court may place a defendant temporarily in such a facility for a period not to exceed 90 days. The Director of Corrections reports to the court his diagnosis and recommendation, i.e., probation, jail, imprisonment, etc., within the 90-day period.

The purpose of this project is to collect information on the recommendations that have been made by the Reception Center staff at the California Institution for Men, Chino, and the actions of the courts on those recommendations. Comparisons are made among the diagnostic staff members in terms of the percentage of recommendations for the various sentencing dispositions and the percentage of acceptance of their recommendations by the courts.

#### PROCEDURE:

All 1203.03 PC cases processed in the Reception Centers at the California Institution for Men are monitored, on an ongoing basis, with regard to patterns of recommendations and court actions.

#### FINDINGS:

1. From October 1974 to September 1975 the percentage of cases that staff recommended for imprisonment in state prison dropped from 34 percent of all 1203.03 PC cases to 29 percent.
2. Of the cases recommended for imprisonment by staff, during this time period, the courts' acceptance rate increased from 57 percent to 74 percent.
3. The courts' acceptance of the staff's recommendations for Probation/Other dispositions remained almost constant at approximately 94 percent, except for a slight drop to 91 percent during July-September 1975.

4. The percentage of cases involving differences of opinion as to the disposition to be recommended among counselors, psychiatrists, psychologists and other staff has remained constant throughout the year, at about 24 percent of all 1203.03 PC cases processed.
5. The courts' overall acceptance of RC staff recommendations, whether for imprisonment or probation/other dispositions, has increased from a low of 80 percent in October-November 1974 to 86 percent in July-September 1975.

#### TIMETABLE:

The study began in early 1974 and is on-going, with reports issued quarterly.

#### A STUDY OF THE OBSERVATION PROGRAM UNDER SECTION 1203.03 OF THE PENAL CODE

#### STAFF:

Robert Dickover, Research Manager II, Sacramento Research Unit  
Howard Bidna, School of Law, University of California, Los Angeles

#### PURPOSE:

Section 1203.03 was added to the California Penal Code in 1957. This section provides that courts, in a case where a defendant has been convicted of an offense punishable by imprisonment in a state facility, may obtain observation (i.e., diagnostic) services and a recommendation for a disposition from a Reception Center (RC) of the Department of Corrections. Such recommendations may be for a jail term, probation with jail, probation only, imprisonment, etc. Cases referred to the Department under Section 1203.03 are designated as "Z-cases." The purpose of this project is to study the Z-case program as it operates within the Department of Corrections and between the Department and local jurisdictions.

#### PROCEDURE:

This study is concerned with finding answers to questions such as the following:

1. To what extent are the recommendations made in the RC followed, and how do the cases for whom the recommendations are followed differ from those for whom the recommendations are not followed?
2. Do the Reception Centers differ in terms of the percentage of Z-cases that they recommend for commitment to the Department of Corrections as opposed to treatment at the community level?
3. How do the post-release outcomes of the groups sent for observation who were variously recommended for probation, jail, or prison compare?
4. Do those for whom the RC recommendation was followed differ in outcome from those for whom the recommendation was not followed?

The data system of the Administrative Statistics Section of the CDC Research Division was utilized to provide basic information on Z-case admissions over the last several years, the dispositions recommended by the RC staffs, and the actions of the courts on these recommendations.

The current direction the project is taking is the construction by means of multiple regression techniques of a weighted check-list of

items on which the recommendations for the various dispositions can be based.

The objective which this check-list is intended to assist in attaining is the reduction of non-uniformity in case decisions, a problem that plagues all systems where the decision-makers are relatively "unfettered" by specific guidelines and standards.

#### TIMETABLE:

The study began in January 1971 and will be completed in 1977.

#### PUBLICATIONS:

The Diagnostic Observation Program (Section 1203.03 PC) for Male Felons. Department of Corrections: Sacramento Research Unit, Report to the California State Legislature, December 1971.

The Diagnostic Observation Program in 1971 and 1972. Department of Corrections: Sacramento Research Unit, Report to the California State Legislature, December 1972.

Dickover, Robert M. and Durkee, Kay A. Guidance in Sentencing: The Diagnostic Observation Program. Research Report No. 53, Department of Corrections, Research Division, September 1974.

## DEVELOPING A REPORTING SYSTEM FOR THE SECURITY HOUSING UNITS WITHIN THE PRISONS

#### STAFF:

David Petrocchi, Research Manager I, Bay Area Research Field Office  
Margret M. White, Bay Area Research Field Office  
Gerald E. Beckett, Research Analyst II, Southern California Research Group

#### PURPOSE:

The purpose of this project is to design, implement, and maintain a reporting system, using as the major component already existing sources of information, for the purpose of observing, describing and analyzing all movements of prisoners into, out of, or among Security Housing Units (SHU's) in the system.

Additional information to be developed, analyzed and released will pertain to the characteristics of age and race, as well as to the type and time of the most recent case review.

#### PROCEDURE:

The system was instituted by a census of SHU populations as of December 31, 1975. Subsequent to that all movement of cases in and out of the SHU's and the setting of terms governing the length of time that inmates remain in the SHU's have been incorporated into the system. Two types of routine reports are being produced.

1. Descriptions of the SHU populations as of the end of the quarter.
2. Descriptions of the transactions occurring during the quarter including new admissions, discharges, transfers, reviews and other actions.

#### PUBLICATIONS:

Beckett, Gerald E., and Petrocchi, David. California Department of Corrections Security Housing Units: Description of Population on December 31, 1975. Bay Area Research Field Office, Administrative Report, February 1976.

## RATIONALIZING THE CONDITIONS OF PAROLE

### STAFF:

Deborah Star, Research Analyst II, Bay Area Research Field Office  
John Berecochea, Criminological Research Associates, Berkeley, California

### PURPOSE:

Violation of the Conditions of Parole established by the California Adult Authority (parole board) can result in the return of a parolee to prison. Given the possible consequences of violations of the conditions and the interest expressed at both the state and federal levels in reducing the conditions to an absolute minimum, the rules embodied in the conditions should be rationalized to reflect directly the kind of behavior necessary to avoid a return to prison. The purpose of this study was to approach the question of rationalizing the conditions of parole through the application of the criterion of whether or not dropping the condition would lead to a substantial decrease in the overall rate of parole revocations. A derivative secondary criterion, the degree of correspondence between the conditions and the rules governing the kinds of violations the parole board requires to be reported to it for consideration of parole revocations was also utilized as a means of rationalizing the conditions.

### PROCEDURE:

Fifteen different conditions in effect during the study period of 1971-72 were examined. The frequency and pattern of their use as charges in 7563 male felon parole violation reports were analyzed through the use of the statistical technique of associative analysis. The return-to-prison rate was computed for each pattern of charged violations of parole identified in the association analysis. A final procedure employed was to determine the degree of correspondence between the conditions and rules for reporting parole violations by relating the charge patterns in the reports submitted to the major rules.

### FINDINGS:

1. Nine of the 15 conditions of parole were rarely ever charged and when charged were rarely the primary (only) charge in the parole agent's reports recommending a return to prison. They appeared to be charged at the parole agent's discretion and usually to build a case for a return-to-prison disposition from the board.

These nine included the conditions covering the release, work, association, special, and certain alcohol rules.

2. Violations of the six remaining conditions were frequently charged. Of these, the law condition was the major condition predominant in most violation reports, followed with equal frequency by the drug and the residence conditions. All of the six conditions at which violations were frequently charged were enforced by parole board orders to return to prison.
3. The parole rules most likely to be enforced with a parole board order to return-to-prison but not often charged were the conditions dealing with aggressive behavior (i.e., weapons and personal conduct). All the other conditions had an approximately equal chance of resulting in a revocation disposition.
4. The conditions of parole were not consistent with the rules governing the kinds of violations which must be reported to the parole board.

### TIMETABLE:

The data on which this report is based was part of another study, Return to Prison Ordered: Policy in Change in Practice. These data were collected in 1972-73 and analyzed in 1974. When in February 1975 the California Department of Corrections initiated efforts to revise the conditions of parole, a separate report on rationalizing the conditions of parole was prepared and issued in March 1975 in a draft. This draft has subsequently been revised and is in the process of being reviewed prior to publication.

### PUBLICATION:

Star, D. and Berecochea, J.E. Rationalizing the Conditions of Parole. Berkeley: California Department of Corrections, Bay Area Research Field Office, January 1976, draft report.

## STAFF SELECTION AND CAREER PREDICTION PROJECT

### STAFF:

Norman Holt, Research Analyst II, Southern California Research Group  
Terrill R. Holland, Ph.D., Staff Psychologist, California Institution  
for Men  
Richard Heim, Ph.D., Senior Psychologist, California Institution for Men

### PURPOSE:

This project attempts to develop objective ways of identifying entry level staff, who have special talents for careers in Corrections.

### PROCEDURE:

During two periods entry level staff were asked to complete one or more tests. The first group of about 250 was given the MMPI. The second group was given the MMPI, Strong Vocational Interest Blank, Firo B and Firo F, Social Insight Test, Shipley Institute of Living Test (I.Q.), and the Comrey Personality Scales. This second battery was administered to about 150 subjects. Terminations and promotions are used as the criteria, which are to be predicted by the test scores.

### PRELIMINARY FINDINGS:

The employment status and rank of the first group tested was evaluated after approximately three years of service. On the MMPI the average correctional officer had primary and secondary clinical scale elevations, all between T-scores of 55 and 60, on scales 9 and 4, followed by 3 and 5, with a 0 as the low point. This profile is suggestive of a mildly psychopathic adjustment, especially with respect to the elevations on scales 4 and 9. As a group, these applicants would thus be expected to be outgoing and talkative, though somewhat superficial and manipulative in their social relationships. They tend to be energetic and ambitious with respect to accomplishing their own goals and gratifying their own needs, but they have difficulty generating great concern about the needs or feelings of others. They are primarily action rather than thought-oriented individuals, and this trend occasionally gives rise to ill-considered and impulsive behavior. However, the secondary elevations on scales 3 and 5 represent an inhibitory effect, which suggests that most of these men would not be likely to engage in seriously antisocial behavior on a repetitive basis.

Using cluster analysis, five profile groups were created and compared in terms of careers. The MMPI scores failed to distinguish between those employed and no longer employed or those promoted and not promoted. These five profile types were found to parallel cluster types in two inmate samples.

When the second group was considered from the standpoint of years of service and promotions, those who received promotions in the least time generally had higher Social Insight and I.Q. scores. Neither of these was related to years of education.

### TIMETABLE:

The second group will be followed through 1976 before analysis is attempted.

### PUBLICATION:

Holland, Terrill R., Heim Richard, and Holt, Norman. Personality Patterns Among Correctional Officer Applicants. Journal of Clinical Psychology, 1976, 32, 786-91.

## RETURN TO PRISON ORDERED: POLICY IN CHANGE AND PRACTICE

### STAFF:

Deborah Star, Research Analyst II, Bay Area Research Field Office  
John E. Berecochea, Criminological Research Associates, Berkeley,  
California  
David Petrocchi, Research Manager I, Bay Area Research Field Office

### PURPOSE:

Through an empirical examination of the decisions to return or not to return a parolee to prison, this study proposed to make explicit the policies governing parole revocations under the indeterminate sentence law. The major elements influencing those decisions which are here examined are: (1) the nature of the reported violation; (2) the parole agent's recommendation; (3) the organization of the parole division, and (4) the parolee's background. Also studied was the impact produced by changes in policies on decisions to revoke.

### PROCEDURE:

Approximately 10,000 decisions made by the California Adult Authority (parole board) on adult male felon parole violations reported by the Parole Division in calendar years 1971 and 1972 were examined. Content and decisional items were coded from the violation reports and supplemented by data on background characteristics routinely recorded in other research decks. This information was related to the parole agents' recommendations, the parole board's final actions, and to changes in policy.

### FINDINGS:

1. There was no explicit policy governing parole revocation decision-making in the period studied. Due to the fact that virtually all parole agent return-to-prison recommendations were accepted by the board and the vast majority of the "continue on parole" recommendations were also accepted, an implicit policy to simply accept the parole agent's recommended disposition appears to have existed.
2. The nature of the reported violation only weakly affected the final parole board disposition. Those violations which did weakly influence the parole board independently of whatever the agent recommended included those involving violence (increasing the likelihood of a return) and those involving either absconding from supervision or no arrests (decreasing the likelihood of a return disposition).
3. The organization of the parole division accounts for almost none of the variation in revocation decisions.

4. The background characteristics of the parolee are not related to the final revocation disposition.
5. A large increase in the return-to-prison rate occurred in the Spring of 1972 which could not be accounted for by corresponding changes in the nature of the violations reported or the character of the violator population. Rather it appears to be a consequence of outside pressures placed on the Department and the parole board which caused a shift in almost all of the board's decision-making. Thus, abrupt policy changes account for some of the variation in parole revocation decision-making.

### TIMETABLE:

Data collection began in June 1972 and was completed in July 1973. Editing procedures were undertaken between August and December 1973. Data were merged with other CDC data sources in January and February 1974. Due to difficulties in obtaining computer time and services for data analysis, full analysis was delayed until late 1974. A first draft of the full report was completed in December 1975.

### PUBLICATIONS:

Star, D. Parole Violation Trends in California: 1950-1972. Source Document #1. Department of Corrections, Bay Area Research Unit, Administrative Report, 1973.

Star, D. A Comparison of the 1971 and 1972 Conditions of Parole. Source Document #2. Department of Corrections, Bay Area Research Unit, Administrative Report, 1973.

Star, D. Conditions of California Parole: 1949-1973. Source Document #3. Department of Corrections, Bay Area Research Unit, Administrative Report, 1973.

Star, D. Final Reliability Estimate for the Parole Violation Reporting System. Department of Corrections, Bay Area Research Unit, Administrative Report, 1973.

Star, D., and Berecochea, J. E. Rationalizing the Conditions of Parole. Department of Corrections, Bay Area Research Field Office, Draft Report, 1976.

Star, D., Berecochea, J. E. and Petrocchi, D. Return to Prison Ordered: Policy in Change and Practice. Department of Corrections, Bay Area Research Field Office, Draft Report, 1975.



## FOLLOW-UP OF PARTICIPANTS IN NEW CAREERS PROGRAM

### STAFF:

Lawrence A. Bennett, Ph.D., Southern Illinois University  
Dorothy Jaman, Research Analyst II, Sacramento Research Unit

### PURPOSE:

The purpose of this descriptive study is to check on the status as of mid-1976 and experiences of the participants in the New Careers program in the Department of Corrections. The first New Careers program in the Department involved 18 inmates trained in the California Medical Facility. Subsequent New Careerists worked as parole and research aids.

### PROCEDURE:

Routine parole follow-data were collected on the New Careerists who had been inmates in the Department. These were supplemented by biographical data which were obtained from the New Careerists themselves or people who were acquainted with them.

### FINDINGS:

Of the 18 men trained at Vacaville, only four had returned to prison by the middle of 1974, three with new commitments and one for a parole violation. Two of the men returned with new commitments had been released from these and again resumed the work they were involved in as New Careerists. The same was true of the returned parole violators. All three of these re-releases had received their bachelor's degrees and were at work on their master's. Two of the Vacaville trainees had received Ph.D.'s, and still others had received bachelor's and master's degrees.

Only a few of the original parole aids remained in the Department; one research aid was still on the payroll but not in a research capacity. Most of the aids terminated their New Careers training in the second year of their employment. Reasons for termination vary from being fired to finding other jobs. All of the aids attended college as part of their training. Two received their master's degree and some their bachelor's. Those who were still working for the Department as of mid-1976 had not been arrested so far as was known.

### TIMETABLE:

A more elaborate parole follow-up is underway involving a comparison group. The project is scheduled for completion in the early part of 1977.

## STUDY OF MARGINAL RETENTION CASES

### STAFF:

Gerald E. Beckett, Research Analyst II, Southern California Research Group

### PURPOSE:

The California Rehabilitation Center (CRC) routinely screens its admissions for persons felt to be unfit for treatment or control within the Civil Addict Program (CAP). The unfit category includes those who are excessively criminal, aggressive, unmanageable, or nonamenable. However, not all addicts who fit these categories are excluded. When it is felt to be in the interests of justice, clearly excludable cases may be retained within the CAP. The purpose of this study is to evaluate the appropriateness of making these exceptions by examining the subsequent behavior of a group of these marginal retention cases.

### PROCEDURE:

Of the residents received during the last quarter of 1974, three comparison groups were selected based on their degree of acceptability: 97 retained at the unit level (most acceptable), 156 retained by the Exclusionary Review Committee (ERC), and 97 retained after appeal, the marginal retention group. By searching central files, information is being accumulated on pre-commitment, institutional, and outpatient behavior. Emphasis is placed on the extent of criminal activity, narcotic usage, violence, program achievement, and employment.

### FINDINGS:

1. By February 1976, all but four cases had left CRC, so it was possible to draw some conclusions about the general behavior of each retention sample by looking at the conditions under which they left. Two, three, and seven, respectively, of the unit, ERC, and marginal retention groups were excluded for behavior which occurred after they were selected for the study. Most of the remainder were released to outpatient status and those still at CRC were in "good standing."

This finding indicated that the overall level of delinquency was low, although the marginally retained cases were possibly slightly more delinquent.

2. Further analysis of the 73 percent of the study cases which had been reviewed provided more detail on the low level of delinquent activity and the extent of programming activity. The three groups were each above average in educational, vocational, and work achievement.



TIMETABLE:

The final report on institutional behavior is due in late 1976 and that for outpatient behavior in June 1977.

PUBLICATIONS:

Beckett, Gerald E. Study of Marginal Retention Cases: Progress Report and Preliminary Findings. Southern California Research Group, February 9, 1976.

Beckett, Gerald E. Study of Marginal Retention Cases: Preliminary Outline. January 22, 1975.

FOLLOW-UP STUDIES OF RELEASES TO THE  
NARCOTIC ADDICT OUTPATIENT PROGRAM (NAOP)

STAFF:

Mario Levi, Research Analyst II, Southern California Research Group

PURPOSE:

These studies report the behavior in the community of civil addicts who have been released from Civil Addict Program (CAP) institutions. The purpose is to provide legislators and administrators evaluative information about the program which could be used to improve the level of effectiveness and efficiency of the program.

PROCEDURE:

Two follow-up reports are being prepared at the present time: (1) a one-year follow-up of the 1973 release cohort and (2) a one-year follow-up of the 1974 release cohort.

As in prior studies, all persons released to outpatient status during 1973 and 1974 were followed for a period of 12 months from the month of release. Information relating to each release was taken from official reports submitted by institutional and NAOP staff. The releases were then divided according to their receiving parole districts and unit and evaluated according to their outpatient status at the end of one year after their release. The categories of outpatient status are as follows:

1. Active. This includes outpatients with (a) no reported violations of the conditions of release who remain in active status during the entire year following release, and (b) outpatients who violated conditions of release but who were reinstated and in active status at the end of one year following release.
2. Returned. This includes those returned to inpatient status following violations of conditions of release during one year following release.
3. Suspended. Included here are those violating the conditions of release and in inactive status at the end of one year following release.
4. Discharged. This includes the recipients of the following actions within one year subsequent to release: (a) expiration of term, (b) refix to discharge, (c) pardon or commutation, (d) court ordered discharge, (e) discharged as unfit, (f) discharged following writ, and (g) other types of discharge.
5. Dead. This includes those who died during one year following release.

The reports compare the relative success and failure of the releases according to their parole regions and units.

**TIMETABLE:**

Both the 1973 and 1974 reports will be available in the early part of 1977.

**PUBLICATION:**

There have been 15 reports published in the routine follow-up series dealing with releases from 1961 to 1972. These reports are available upon request from the Southern California Research Group, California Institution for Men, Chino. The last report (Beckett, Gerald E. California Civil Addict Program Release Outcome Trends: 1966 through 1972 Release Cohorts, CAP Research Unit Report No. 116, November 1974) summarizes the outcome trends between 1962 and 1972 and describes the decrease in length of stay and the increase in the proportion of addicts on active outpatient status.

**EARLY DISCHARGE FROM OUTPATIENT STATUS**

**STAFF:**

Gerald E. Beckett, Research Analyst II, Southern California Research Group

**PURPOSE:**

Civil addicts must complete two consecutive drug and crime-free years under outpatient supervision before they can receive an early discharge per Section 3200 W&I Code. During 1974 and 1975, respectively, 554 and 524 early discharges were made. This study examined the feasibility of identifying and discharging these cases earlier, which could lead to considerable fiscal savings and/or the availability of parole resources for other target areas. California's successful experience with an early discharge policy for felon parolees provided hope that such an objective could be met. A follow-up confirmed that felon parolees, including narcotic addicts, could be discharged after 12 arrest-free months of parole supervision for a sizable fiscal savings without decreasing public safety.

**PROCEDURE:**

A 26-month follow-up of the 3671 civil addicts released to outpatient status during 1972 was conducted, using existing data files. Each release was followed up until the occurrence of an act which led to the first suspension or until favorable discharge. The Narcotic Addict Evaluation Authority requires that all delinquent activity more serious than arrest for drunkenness or minor traffic violations be reported, and this report usually terminates an outpatient's progress toward a 3200 W&I Code discharge. Two probabilities were computed for each month after release: (a) the probability of completing another arrest-free month and (b) the probability of completing 24 months without an arrest.

**FINDINGS:**

1. The probability of completing 24 arrest-free or clean months reached 75.7 percent after 12 months, and 80.1 percent after 13. These results are very similar to those used to justify the 12-month discharge policy for felon parolees. They are particularly significant when it is considered that the felon study used less restrictive 24-month outcome criterion ("favorable" as opposed to arrest-free). There was no difference between first releases and re-releases.
2. The probability of remaining arrest-free from month-to-month leveled off at 97 percent or 98 percent after the 13th month, indicating that the most critical months for community adjustment were over.

3. These results suggested that the early discharge procedure could begin after 12 months with the goal being discharge near the end of 13 months. This would allow for the obtaining of a final clean anti-narcotic test and the processing of paper work which are now done in the 25th month under the policy of discharge after two consecutive drug and crime-free years.
4. Making the 3200 W&I Code discharge 12 months earlier would have resulted in saving the cost of supervising 528 outpatients during a second year of release. The current average cost per outpatient is \$1056.00 per year (1975-1976). The total cost per year would be \$557,568.00 which could be saved or shifted to other target areas.

#### TIMETABLE:

A preliminary report was completed in March 1976.

#### PUBLICATION:

Beckett, Gerald E. Feasibility of Reducing the Time Required for a Discharge Per Section 3200 W&I Code, preliminary report, March 1976.

## CIVIL ADDICT LEGAL PROCESSING UNIT INFORMATION SYSTEM

#### STAFF:

Gerald E. Beckett, Research Analyst II, Southern California Research Group

#### PURPOSE:

Recent Supreme Court decisions require that outpatients be given certain "due process" rights if they are to be returned to the California Rehabilitation Center. These rights include a prompt return, notification of the reason for return, and a revocation hearing. Accordingly, the administrators responsible for providing these rights requested that an information and monitoring system be developed to help them in their task.

#### PROCEDURE:

Information is collected at major decision points in the process: initiation of return, notification of rights and reason for return, date of return, and revocation hearing. Data is then processed either manually or by computer.

#### FINDINGS:

1. A time limit was set for accomplishing each step in the return of outpatients. By December 1975, in the case of outpatients whose return was initiated by agent arrest (OHO), these limits were met from 71 percent to 88 percent of the time. From date of arrest (OHO) in December, return to CRC was accomplished within the 15-day time limit for 85 percent.
2. There were considerable differences between parole units and regions in their compliance with the procedures during July through December 1975. Efforts are being made by administrators to ensure that the procedures are both reasonable and being carried out uniformly.
3. During January through June of 1975, 116 revocation hearings were completed at CRC. Cause for return was not found in six cases, and the Narcotic Addict Evaluation Authority agreed to reinstate these to outpatient supervision. Representation by an attorney occurred in 12 hearings. The parole agent was present in 34 percent of the hearings, and supporting witnesses were present in 12 percent.

#### TIMETABLE:

Reports utilizing information collected in the system are issued bi-monthly, semi-annually, and upon request.

## PUBLICATIONS:

Beckett, Gerald E. Time in Process for Outpatients Returned Subsequent to Arrest by Parole Agent (OHO). A semi-monthly administrative report issued 1975-1976.

Beckett, Gerald E. Outpatient Status Revocation Hearings Held by Civil Addict Legal Processing Unit, January through June 1975. Southern California Research Group, September 1975.

Beckett, Gerald E. Processing Time for Outpatients Returned Subsequent to Parole Arrest (OHO) from July through December 1975 by Parole Unit and Region. Southern California Research Group, February 1976.

## PREDICTION OF SUCCESS ON OUTPATIENT STATUS OF INCARCERATED MALE DRUG ADDICTS FROM BACKGROUND DATA AND PERSONALITY TEST SCORES

### STAFF:

Mario Levi, Research Analyst II, Southern California Research Group  
Gary A. Cretser, Ph.D., Associate Professor, California State  
Polytechnic University, Pomona

### PURPOSE:

The purpose of this research is to determine whether it is possible to predict success on outpatient status (OPS) of CRC residents from personality test scores and background data.

### PROCEDURE:

The subjects of this research were all residents released in 1970 and 1971 from the California Rehabilitation Center, about 7500 in total. They were subdivided into two equivalent subgroups of about 3750 each. One subgroup, the construction sample, was used in the construction of a prediction scale; the other subgroup was used to cross-validate the scale (the validation sample).

As outcome criteria three measures were used: (1) parole status at the end of the first year, (2) parole status at the end of the second year, and (3) an additional measure that took into consideration the amount of good time, exposure time, and number of suspensions and reinstatements within 18 months after release from CRC.

Background variables such as present age, age at first arrest, criminal record, and marital status were used to construct a Base Expectancy scale for heroin addicts (to be called B.E.H.). The construction sample was used in this effort. The B.E.H. will then be cross-validated with the validation sample.

In addition, the predictive value of the obtained B.E.H. was compared with the predictive value of a B.E.H. constructed in previous research from psychological tests only. In that research, the sample consisted of 238 subjects selected from the 1970 release cohort, and one of the criteria of successful outcome included the additional factors mentioned above under (3).

### TIMETABLE:

Data have been collected, a bibliography has been prepared, and the data are being processed at the present time. A preliminary report was completed in 1975, and a paper on the project was presented at the Western Psychological Association Convention in Sacramento in April 1975. The final report will be ready in early 1977.

PUBLICATION:

Levi, Mario and Cretser, Gary A. Prediction of Success on Outpatient Status of Incarcerated Men Drug Addicts from Scores on Different Personality Tests. California Rehabilitation Center, Report No. 118, 1975.

EXCLUSION REVIEW PROCEDURE OF THE  
CALIFORNIA REHABILITATION CENTER:  
MONITORING AND EVALUATION

STAFF:

Gerald E. Beckett, Research Analyst II, Southern California Research Group

PURPOSE:

Residents admitted to the California Rehabilitation Center who might be unsuitable for the program are reviewed by the Exclusionary Review Committee (ERC). The actions of this committee have been monitored since 1972 for the purpose of ensuring that due process is present and that the committee meets other objectives effectively and efficiently. Several improvements have been made as a result of this continuing evaluation.

PROCEDURE:

Basic information is collected at each decision point of the exclusion procedure which centers around the ERC. Reports are made quarterly, both in written and verbal form to the principal staff members involved. Changes in the exclusion process are incorporated into the evaluation procedure.

FINDINGS:

During 1975, the proportion of admissions reviewed by the ERC was 41 percent, similar to the prior year. However, the proportion of admissions excluded dropped to 11 percent, much lower than the 16 percent excluded during 1973 and 1974. The following observations were made about the process for October through December 1975:

1. Recommendations made by the ERC were 39.8 percent retain, 48.9 percent exclude, and 11.2 difference of opinion (DOP). As usual, most or 95 percent of DOP cases were retained after review by the deputy superintendent. The proportion retained after preliminary screening by a single member was 27 percent, slightly higher than during previous quarters. The rates of three members varied by only 3 percent (20 percent, 22 percent, and 23 percent) while the rate of the fourth was 47 percent.
2. About half or 46.6 percent of the cases recommended for exclusion by the ERC were retained after appeal to the deputy superintendent and/or superintendent. Of the 96 appeals, 75 or 78 percent were successful.

3. Housing unit, ethnic status, and county of commitment were not related in a statistically significant sense ( $p > .05$ ) to decisions made by the ERC or after final review. Unit II referred 44 percent of the cases of the ERC, while Unit I and III each referred only 28 percent.

#### TIMETABLE:

Reports have been issued quarterly through 1975. Future reports will be issued semiannually or as required to evaluate a modification in the procedure.

#### PUBLICATIONS:

Beckett, Gerald E. California Rehabilitation Center Exclusion Actions. A series of quarterly reports issued during 1975.

#### COMPLETED PROJECTS

## ATTITUDES OF MALE INMATES TOWARD FEMALE CORRECTIONAL STAFF

### STAFF:

Mario Levi, Research Analyst II  
Norman Holt, Research Manager II  
Southern California Research Group

### PURPOSE:

This study was intended to assess the attitudes of male inmates to female correctional staff as occupants of various positions in the correctional hierarchy and as performers of various job-related tasks. The study was prompted by the fact that the Department of Corrections has had an active affirmative action program for several years which has had the objective of integrating women employees into all staff levels and all institutions. It seemed important at this point to assess the feelings of the Department's male "clienteles" to women staff working in the institutions.

### PROCEDURE:

The subjects used in the study consisted of 50 inmates from each of seven male institutions, California Correctional Center (Susanville), California Correctional Institution (Tehachapi), California Institution for Men (Chino), California Men's Colony (San Luis Obispo), California Medical Facility (Vacaville), California Rehabilitation Center (Norco), and Correctional Training Facility (Soledad) for a total of 350 subjects.

Two questionnaires were used. One asked the respondents to indicate for each of 43 positions (e.g., superintendent, correctional officer) and 19 tasks (e.g., censoring mail, pat-down searches, etc.) whether they "preferred" a man or a woman carrying out the task or filling the position. The second questionnaire required the subjects to indicate whether they "liked or disliked" having the woman in the position or performing the task. Both questionnaires had categories for neutral responses, i.e., no "preference" for either a male or female. The two questionnaires were administered by both male and female staff in all institutions, and each of them were given to a different group of subjects.

### FINDINGS:

The principal findings of the study were:

1. The majority of the respondents expressed indifference as to whether there was a male or female filling most of the positions and performing most of the tasks.

2. When the question was phrased in terms of "preference" sizable minorities (30 to 49.9 percent) favored men in 16 of the 43 positions. For tasks relating to intimate contact or requiring the viewing of unclad male inmates, a sizable minority "preferring" male employees emerged. In general, however, the responses of the subjects to the "preference"-based questionnaire indicate a substantial acceptance of women in institutional jobs.
3. The responses to the "like-dislike" questionnaire also indicated a significant degree of acceptance of female correctional employees. In fact, a smaller percentage of respondents asserted that they "disliked" women (on the "like-dislike" questionnaire) in correctional roles and tasks than that they "preferred" men (on the other questionnaire). This suggests that "disliking women" is a stronger negative expression than "preferring men." It also suggests that many of the respondents who "preferred" male employees in certain contexts had only a slight preference for them.

#### TIMETABLE:

The project was begun and completed in 1976.

#### PUBLICATION:

Levi, Mario and Holt, Norman. Attitudes of Male Inmates Toward Female Correctional Staff. Department of Corrections: Southern California Research Group, Administrative Report, July 1976.

## INFORMATION UTILIZATION BY "LENIENT" VERSUS "PUNITIVE" CORRECTIONAL DECISION MAKERS

#### STAFF:

Terrill R. Holland, Staff Psychologist, California Institution for Men  
Norman Holt, Research Analyst II, Southern California Research Group

#### PURPOSE:

This research sought to analyze the ways in which various types of decision-makers (psychologists and counselors) process information in arriving at dispositional recommendations to the court under the 1203.03 diagnostic program.

#### PROCEDURE:

The files of 950 inmates received for diagnostic evaluation consecutively were reviewed, and a stratified sample of 360 was selected. These were equally divided into cases where the evaluations of the decision-makers (1) agreed on county level programming, (2) agreed on state level incarceration, and (3) disagreed on the disposition.

The decision-makers were rated as relatively lenient or punitive based on their history of tending to recommend state prison as opposed to probation.

The recommendations were then analyzed using a multiple regression technique designed to specify the relative contributions of inmate-related factors (severity of offense and probability of recidivism) and decision-maker response biases.

#### FINDINGS:

Although both groups of decision-makers showed a response bias effect for cases that were difficult to discriminate, the effect was generally larger for psychologists than for counselors. Type of response bias (lenient versus punitive) was not associated with type of clinical judgment model (linear versus configural) or predictability of recommendation, although it was associated with the degree of relative weighting of the two independent variables and, in the case of extremely punitive decision-makers, with the tendency to utilize only one evaluative dimension (offense severity) to the exclusion of the other. The need for a system of accountability designed to minimize the effects of decision-maker response biases is indicated.

#### PUBLICATION:

Holland, Terrill R. and Norman Holt. Styles of information utilization among "lenient" versus "punitive" correctional decision-makers. Southern California Research Group. California Institution for Men, August 1975, submitted for publication.



## PREDICTION OF ONE YEAR CLEAN ON PAROLE

### STAFF:

Lawrence A. Bennett, Ph.D., Southern Illinois University  
Raymond E. Fowler, Research Analyst II, Sacramento Research Unit

### PURPOSE:

When it was learned that those male felons who completed one year of parole without arrest went on to complete the second year of parole in 90 percent of the cases without serious parole violation, the question was raised as to whether or not such individuals could be selected at time of release, permitting direct discharge with considerable savings.

### PROCEDURE:

The 1972 two-year parole follow-up information was re-examined. First, earlier findings regarding the second year parole outcome, given that the first year was clean, were re-evaluated.

Following this a number of independent variables were examined as to their contribution toward the prediction of being arrest free at the end of the first year of parole.

### FINDINGS:

The following variables were found to be highly related to the dependent variable--Base Expectancy (score of 42 or over), narcotic history (none), age first arrested (over 20), arrest free five years or more, race (White, Black, vs. Other), grade placement (9.5 and over), and type of admission (parole violator vs. first commitment). These were reassessed by canonical analysis which yielded a multiple R of .59, accounting for 35 percent of the variance. Configural analysis using B.E., Age, Narcotics, and Grade Level yielded a hit rate of 27 percent.

A re-examination of the variables making a major contribution to any prediction (B.E. and grade level) led to a different approach with major emphasis on the size of the false positive problem--the percentage of the group who would be predicted to complete the second year without difficulty who somehow failed to satisfactorily adjust during that period. It was found that grade level contributed very little of value to the adequacy of the prediction. The false positive percentage could be moved from 20 percent to about 10 percent (12.1 percent) simply by shifting the cutting score on the B.E. The effect, of course, is to reduce the number of individuals selected--

thus if 20 percent false positives can be tolerated (cut-off point B.E. 53 and higher), large numbers could be considered for straight discharge, a group encompassing some 25 percent of those successful through their second year of parole. However, if tighter limits are set (B.E. 68 or higher), the number considered for straight discharge would be quite small (about three percent of a given group being considered for parole) and would only include about five percent of the potential success group. To be sure, only 12 percent of the selected group would get into difficulties during the second year--a figure very near the outcome after one year clean.

### TIMETABLE:

The project was initiated in February 1975 and was completed in November 1975.

### PUBLICATION:

No publication is anticipated. The information has been conveyed to the Adult Authority and to the Parole and Community Services Division for their use should special projects be planned.

## AN EVALUATION OF THE WORK FURLOUGH PROGRAM

### STAFF:

Richard A. Bass, Research Analyst I-C, Bay Area Research Field Office

### PURPOSE:

This study evaluated the extent to which the work furlough program met some of its stated goals. Goal attainment was measured through the use of attitudinal materials derived from interviews of ex-work furloughees and work furlough staff, through various kinds of data routinely collected on work furlough, and through program and parole outcome data. An attempt was also made to assess the impact of the work furlough program upon the Department of Corrections and upon the men who enter the program.

### PROCEDURE:

Information was obtained on the characteristics and six-month parole outcome of all the men who entered work furlough in fiscal year 1969-70. Information was also obtained on a large pool of men who were technically eligible for work furlough in order to elucidate the selection process. Data were obtained on all men who were released to parole in fiscal year 1969-70 so that the outcome on parole of those released from work furlough could be compared to the parole outcome of those released directly to parole. An attempt was made to obtain the perceptions of the program staff and participants through interviewing a ten percent random sample of the work furloughees and a small non-random sample of staff.

### FINDINGS:

1. Work furlough increased time served in prison for the program's participants.
2. Work furlough did not have a positive effect upon recidivism; in fact, viewed as a total program, it increased parole failure.
3. Work furlough procedures placed more stringent restrictions on work furloughee behavior than parole placed on parolee behavior.
4. Work furloughees worked disproportionately in lower status occupations and at lower rates of pay than other men in California.
5. Work furlough did not reduce state expenditures.
6. Chicanos tended to be restricted from entering work furlough. Preliminary evidence suggested that factors other than their racial-ethnic group status accounted for the Chicanos' adverse experience, namely their greater involvement with narcotics.

7. The various types of work furlough facilities differed in terms of the outcome of their clientele. Although the county jail-based programs were the most selective, taking relatively better parole risks, they did not have the highest work furlough success rates. The departmentally administered programs, based at prisons and at the Crittenden Halfway House, tended to select relatively poorer parole risks; but the prisons had lower and the halfway house higher success rates than the county jail-based programs. The location of a facility and the manner in which it was operated were more important in determining variations in program violation rates than the characteristics of the participants.
8. The selection process led to disproportionate numbers of Whites and persons with higher base expectancy scores entering the work furlough program.

### PUBLICATION:

Bass, Richard A. Work Furlough: A Research Strategy and Plan. Department of Corrections, Bay Area Research Unit, Working Paper, December 1969.

Bass, Richard A. An Analysis of the California Department of Corrections Work Furlough Program in Fiscal Year 1969-70. Research Report No. 57, Department of Corrections, Research Division, November 1975.

## STUDY DECK DATA LIBRARY

### STAFF:

Richard Irving, Student Professional Intern  
Norman Holt, Research Analyst II, Southern California Research Group

### PURPOSE:

The Research Unit of the Department of Corrections has conducted dozens of studies over the years. Much more data have typically been collected and stored on punch cards than were analyzed and reported. These data, however, are contained in individual study decks and not readily available for further analysis. The purpose of this project is to create a computerized library of previous studies to allow for easy retrieval, cross referencing, and further analysis.

### PROCEDURE:

As many existing study decks as possible will be stored on data tapes or a disc system. Each variable on these studies, as well as basic information about the study group, will be categorized and entered into a special "master study file." A computer program will be written which will be capable of describing the location of variable combinations. An additional program will provide for simple retrieval and analysis of data.

This will make it possible to ask questions such as "From all known studies, what is the relationship between vocational training and success on parole?" The program would then print out the study names, sample descriptions, and the location of variables on all known studies which include these two variables. The investigator would then select the most relevant studies, enter the identification numbers and variable location into a standard retrieval program which would produce a set of statistical tables for each study.

For purposes of secondary analysis, the investigator could ask for a specific subject matter. The program would list studies including that subject matter. A study could be selected and the investigator could receive a listing of all other variables in that study and their location.

### TIMETABLE:

The system became operational in June 1976.

## RELEASEE AT LARGE (RAL) STUDY

### STAFF:

Gerald E. Beckett, Research Analyst II  
Richard Irving, Student Intern, Southern California Research Group

### PURPOSE:

Civil addicts who abscond from outpatient status (go RAL) are of concern because they are not under outpatient supervision. This project had two objectives. The first was to determine if there are any differences in characteristics and Civil Addict Program (CAP) history between absconders and non-absconders. The second was to determine if the then existing policy of returning RAL cases to court 12 months after the date of absconding for exclusion from the CAP and sentencing on their criminal convictions could be modified. The question was whether cases could be returned after six months in RAL status without the CAP's losing an excessive number of potentially treatable cases, i.e., those who would be eligible for reinstatement. The purpose of returning the RAL case to court is to get the latter to issue a warrant for the absconder's arrest, which cannot be done while he is in civil commitment status. The warrant officially alerts law enforcement agencies, thereby increasing the probability of the absconder's apprehension.

### PROCEDURE:

Two random samples were drawn. The first was a 27 percent sample of the 677 men who were at large on October 30, 1974. The second was a 20 percent sample of the 1201 men who absconded from supervision during 1974. Existing data files and records were used for the analysis.

### FINDINGS:

1. The RAL sample was similar to the total male outpatient population in age, number of exposures to outpatient status, prior commitment history, and commitment offense. Blacks and outpatients supervised in region V were overrepresented in the RAL sample. Forty-eight percent had absconded within six months after release from the institution, and 48 percent had been RAL for less than four months. Recidivists had absconded more rapidly than had first releases, but there was no difference between recidivists released from the short-term program and other re-releases.
2. The follow-up revealed that by the end of the sixth month after absconding most of the returns to the institution or reinstatements to supervision that were ever going to be made had been made. From the seventh through the twelfth month, only 11 percent more were returned or reinstated. The discharge date and return to court

could therefore be advanced six months with the loss of few potentially treatable cases, a suggestion which has been implemented. The case is now discharged after the sixth month, which places the absconder under the control of the criminal court much sooner.

#### PUBLICATIONS:

Beckett, Gerald E. Discharge of Releasees-at-Large. Unpublished memorandum, October 14, 1975.

Irving, Richard and Beckett, Gerald. Description of Releasee-at-Large population. CRC Research Report #121. 1975.

#### TEACHING FOR RESPONSIBLE BEHAVIOR

##### STAFF:

Gerald E. Beckett, Research Analyst II, Southern California Research Group

##### PURPOSE:

Teaching for responsible behavior is an attitudinal change program. It has been used with some degree of success in educational and correctional programs, but prior to this project, had not been tried with institutionalized addicts.

The program is conceptualized around Lasswell's eight basic human needs: affection, respect, power, wealth, rectitude, skill, enlightenment, and well-being. The objective, using discussion and counseling, is to help the client (a) recognize when he employs high risk, low gain behavior (such as narcotics use) to meet his basic needs and (b) learn and practice alternative behavior which yields a higher gain in meeting basic needs.

##### PROCEDURE:

Experimental and control groups of 60 residents each were randomly selected from the new commitments received at the California Rehabilitation Center during the fall of 1973. The experimental group was assigned to the same dormitory (Dorm 9), while the control group was assigned throughout the rest of the institution. Each group took the Risk Taking Attitude and Value Index (RTAVI) before assignment and after approval by the Narcotic Addict Evaluation Authority for release to Outpatient Status (OPS).

Bias was further controlled by releasing each group to OPS after approximately 120 days and by minimizing Field Agent awareness of the involvement of residents in either group. The experimental and control groups were compared in terms of pre- and post-test gain scores on the RTAVI and will be followed up one and two years after release to Outpatient Status.

##### TIMETABLE:

Selection of subjects and administration of the RTAVI pre-test was completed during November 1973. Post-testing was completed during early 1974. A complex multivariate analysis of the gain from the pre-test to the post-test was completed in the first half of 1976.

##### PUBLICATION:

Beckett, Gerald E. Teaching for Responsible Behavior. Southern California Research Group, March 1976, Administrative Report.

PART II

THE CALIFORNIA MEDICAL FACILITY

T. L. Clanon, M.D.  
Superintendent

Luke I. C. Kim, M.D., Ph.D.  
Coordinator of Research and Staff Development

Research conducted in the California Medical Facility may be separated into two kinds, program research and medical research.

Program research at the institution is largely centered in the CMF Research Unit. This unit has the responsibility for providing basic information about population flow through the facility and its programs and for executing research directed at evaluating these programs.

The medical research carried on at CMF usually is carried out in cooperation with faculty members of medical schools and people associated with medical research organizations under the sponsorship of the Solano Institute of Medical and Pharmacological Research (SIMPR). Proposals for medical projects are screened by the Research Review Committee of SIMPR and medical personnel of the Department of Corrections. The projects involve no additional cost to the State of California and offer financial benefits to the inmate volunteers.

PROGRAM RESEARCH PROJECTS

THE CALIFORNIA MEDICAL FACILITY  
PROGRAM ACCOUNTING AND EVALUATION SYSTEM

STAFF:

Charles C. Jew, Research Analyst II, CMF Research Unit

PURPOSE:

The CMF Program Accounting and Evaluation System records the demographic characteristics of inmates, arrival and departure data, and changes in program to provide an index of the experience of all inmates confined at the California Medical Facility. From the data collected on a routine basis, operational statistics for use in decision making are supplied administrators, and the accumulated information facilitates drawing samples of inmates in terms of their characteristics for program evaluation studies. In addition, parole follow-up data are also collected and integrated into the system.

PROCEDURE:

On a daily basis, data on inmate program activity and movement in the institution are translated into codes from various source documents. A data bank is accumulated by entering the coded information in punched cards for periodic retrieval.

TIMETABLE:

The CMF Program Accounting and Evaluation System continues to operate as an on-going part of the California Medical Facility's research program.

PUBLICATIONS:

A statistical report documenting the operation of and characteristics of the populations in the various treatment programs at CMF is prepared from the accumulated data on a semi-annual basis.

## STRESS ASSESSMENT UNIT STUDY

### STAFF:

Charles C. Jew, Research Analyst II  
William Heise, Correctional Counselor III, Stress Assessment Unit  
Thomas Gross, Correctional Counselor II, Stress Assessment Unit

### PURPOSE:

The Stress Assessment Unit at the California Medical Facility observes and evaluates inmates selected by the Adult Authority who have a history of aggressive behavior and who have served considerable time but need further clinical evaluation. In this program inmates are observed under conditions of increasing responsibility and decreasing external controls. By observing the behavior of the inmates in this program, the program staff makes a determination of which individuals in the program are suitable parole risks as well as which individuals have a propensity for future violence.

The purpose of this study is to evaluate the accuracy of the unit staff's judgment and assessment. The focus will be on whether those judged as favorable parole risks will perform better in terms of (1) the level of violent behavior on parole, and (2) the level of parole violations in comparison to those who were judged unfavorably by the program staff.

### PROCEDURE:

The study will utilize data collected from the inception of the program in 1962 until 1972. The Stress Assessment Unit staff will provide information on whether a particular inmate was judged as a favorable or unfavorable parole risk. This information will then be correlated with data on their performance and violent behavior while on parole.

### FINDINGS:

Some tentative findings of this study are the following:

1. Most of the SAU cases were sentenced to prison for crimes against persons. They served a median of 110 months prior to release compared to the median of 36 months for all releases from CDC in 1970, and were likely to be older at release, and slightly higher in B.E. than the average CDC inmate.
2. The Adult Authority went along with the majority of the recommendations made by the Unit, suggesting a great degree of confidence in these recommendations.
3. Inmates given an unfavorable recommendation by the Unit will usually serve one to two years longer in prison than those given a favorable recommendation.

4. Overall, two-thirds of all inmates complete the SAU program and receive a favorable recommendation.
5. The return to prison rate of SAU releases on parole at 24 months is 23 percent and compares favorably with the overall CDC percentage for releases in 1965 at 38.8 percent, 1968 at 30.4 percent, 1971 at 26.5 percent.
6. On the whole, the return rate at 24 months showed no significant difference between those who completed the program and were judged favorably against those who did not complete the program and were judged unfavorably by the unit staff.
7. The number of cases returned to prison and/or involved in major problems in the community was significantly less for those who were judged favorably by unit personnel in contrast to those judged unfavorably.
8. The recommendations of unit personnel had some validity in the prediction of subsequent arrests for violent behavior. The proportion of persons subsequently arrested for violent behavior or activity was significantly less for those judged favorably than for those judged unfavorably.

### TIMETABLE:

This study began in 1975. A report is expected in the early part of 1977.



THE EFFECTIVENESS OF GROUP PSYCHOTHERAPY  
WITH CHARACTER DISORDERED PRISONERS  
(1965-1968)

STAFF:

Charles C. Jew, Research Analyst II  
Arthur L. Mattocks, Ph.D., Senior Psychologist  
Luke I. C. Kim, M.D., Ph.D., Coordinator of Research and Staff Development

PURPOSE:

This study is one of the basic studies in which the CMF Research Unit has been engaged during the past several years utilizing data accumulated from the CMF Program Accounting and Evaluation System. The basic task of the project has been to provide some evaluation of the different aspects of the psychotherapy program at CMF as it relates to parole outcome.

PROCEDURE:

This study focused on the psychotherapy program at CMF in the years 1965-68. Subjects selected for this study include all patients who terminated from therapy within the period 1965-68 and who were either released to parole from CMF or were paroled from other institutions after being transferred from CMF. The therapy sample consists of approximately 736 subjects. A non-therapy group was also selected for comparison purposes through rigorous matching on variables reflecting parole risk such as B.E. scores, commitment offense, and prior prison record.

FINDINGS:

Some major findings include:

1. The experimental group did significantly better in the six-month parole follow-up than its non-therapy comparison group. The rate of return was 6.3 for experimentals and 11.3 for the comparison group matched with the experimentals on B.E. scores.
2. The differences between the experimental and comparison groups at six months began to decline at the one and two-year parole follow-up periods providing further support to the earlier finding that the effects of therapy tend to diminish with increasing time on parole (i.e., the effects of therapy are time limited).
3. In the two-year parole follow-up, the homicide and sex offenders within the experimental group tended to do significantly better than their counterparts, matched on a number of variables, in the non-therapy comparison group.
4. In the two-year parole follow-up the older (33 years and over) offenders and those with one prior prison or less did significantly better than

their counterparts in the non-treatment group. On the other hand, the younger offender (32 or under) with two or more prior prison commitments did very poorly on parole in contrast to the non-treated comparison group.

TIMETABLE:

The study was completed in 1975.

PUBLICATION:

Jew, Charles C., Kim, Luke I.C., and Mattocks, A. L. Effectiveness of Group Psychotherapy With Character Disordered Prisoners. Research Report No. 56, Department of Corrections, Research Unit, October 1975.

PREDICTING VIOLENT BEHAVIOR FROM RESPONSES  
TO THE WECHSLER ADULT INTELLIGENCE SCALE

STAFF:

Charles C. Jew, Research Analyst II, CMF Research Unit  
Lois Shawver, Ph.D., Staff Psychologist, CMF  
A. Groupe, M.D., Chief Psychiatrist, CMF

PURPOSE:

Correctional researchers and psychologists have, as yet, failed to come up with an objective psychological test or instrument useful in predicting violent, assaultive, or aggressive behavior. Considerable research utilizing the MMPI, the 16Pf, and other instruments in the prediction of violence or aggression has yielded essentially negative results. Because the level of violence is increasing so greatly in our society, correctional researchers and clinicians are confronted with the continued need to develop instruments which might have validity in the prediction of violence. A recent study by Kuncie, Ryan and Eckelman, provides evidence that the relative levels and ratios of subscores on the Wechsler Adult Intelligence Scale (WAIS) are useful in sorting out violent from non-violent individuals.

The present study will attempt to explore further the validity of the WAIS in differentiating violent from non-violent offenders based on the scoring techniques described in the Kuncie, Ryan and Eckelman study.

PROCEDURE:

The CMF Research Unit will select from available WAIS protocols those of 60 inmates who were administered the test by two psychologists at the institution during the past year. The WAIS scores will then be analyzed according to the techniques described in the Kuncie et al study. Individuals with clear-cut violent or non-violent scoring patterns as determined by the application of those techniques will be so designated. The accuracy of these designations will be assessed against the offense history and other information about the two groups of inmates, which is available from their records.

TIMETABLE:

This study was designed early in 1976. The analysis of data has begun and is proceeding.

MEDICAL RESEARCH PROJECTS

## SKIN SENSITIVITY STUDY

### PRINCIPAL INVESTIGATOR:

Howard I. Maiback, M.D.

### PARTICIPATING INSTITUTIONS:

Solano Institute for Medical and Pharmacological Research  
California Medical Facility

### PURPOSE:

The purpose of this project is to determine the skin sensitivity to various substances used in preparation of cosmetics and surgical dressings.

### PROCEDURE:

This project consists mainly of skin patch tests. Small amounts of various substances are applied to the skin under adhesive patches, and the severity of the reaction (if any) is noted and recorded.

### TIMETABLE:

This is an on-going study which has been active since 1963 and continues through the present.

COMPARATIVE STUDY OF THE EFFECT ON FECAL HEMOGLOBIN LOSS  
OF MK-231, ASPIRIN, AND PLACEBO

PRINCIPAL INVESTIGATOR:

J. Alfred Rider, M.D., Ph.D.

PARTICIPATING INSTITUTIONS:

Solano Institute for Medical and Pharmacological Research  
California Medical Facility

PURPOSE:

The purposes of this study were to evaluate the effect of the administration of MK-231 on fecal hemoglobin loss as compared with aspirin and a placebo, and to evaluate the effect of the concurrent administration of MK-231 and aspirin on fecal hemoglobin loss and to compare this with MK-231 and aspirin administered separately.

MK-231 is a new anti-inflammatory drug which, in animal testing was found to have a spectrum of anti-inflammatory activity similar to Indocin but with a lesser propensity for adverse reactions. In terms of mg./kg. dosage required to produce a therapeutic effect in various anti-inflammatory tests, MK-231 was approximately one-half to three-quarters as potent as Indocin. However, the therapeutic index is approximately four to five times in favor of MK-231 when intestinal perforations and activity in adjuvant arthritis and carageenin-induced foot swelling, respectively, are compared as the endpoints in acutely treated animals.

Since most anti-inflammatory drugs produce some gastrointestinal side effects, it is important to evaluate any changes in normal fecal hemoglobin loss observed with the administration of MK-231 and aspirin, since in clinical practice these two drugs may be used for anti-inflammatory purposes.

PROCEDURE:

Forty-eight male subjects between the ages of 21 and 50 who are free of disease by history, physical examination and laboratory evaluation were entered into the study. This was a double-blind controlled study. Subjects entering the study were assigned to one of four treatment groups on the basis of an allocation schedule of random numbers. The treatment groups were aspirin, MK-231, placebo, and MK-231 and aspirin given concurrently. Drug administration continued for 14 consecutive days.

Subjects in the aspirin group received 900 mg. (3 X 300 mg. tablets) of aspirin four times daily and one tablet of placebo (identical in appearance to MK-231) twice daily with the a.m. and p.m. dose.

Subjects in the MK-231 group received three tablets of placebo (identical in appearance to aspirin) four times daily and 200 mg. (1 X 200 mg.) of MK-231 twice daily with the a.m. and p.m. dose.

Subjects in the placebo group received three tablets of aspirin placebo four times daily and one tablet of MK-231 placebo twice daily with the a.m. and p.m. dose.

Subjects in the group receiving MK-231 and aspirin concurrently received 900 mg. (3 X 300 mg. tablets) of aspirin four times daily and 200 mg. (1 X 200 mg. tablet) of MK-231 twice daily with the a.m. and p.m. dose.

TIMETABLE:

The project began and was completed in 1976.

FURTHER STUDIES OF PATCH TEST REACTIONS  
IN POISON OAK DERMATITIS

PRINCIPAL INVESTIGATOR:

William L. Epstein, M.D.

PARTICIPATING INSTITUTIONS:

Solano Institute for Medical and Pharmacological Research  
California Medical Facility

PURPOSE:

This project is directed at studying the histologic reaction at different times during the development of poison oak dermatitis as part of a continuing investigation of patch test reactions.

PROCEDURE:

Volunteers known to be sensitive to poison oak will be patch tested with dilutions of the poison oak antigen (pentadecyl catechol). In selected cases, skin biopsies will be secured at varying times during the development of the reaction and the sections examined to determine the sequence of events that occur during the development of poison oak dermatitis.

TIMETABLE:

This phase of this on-going study began in March 1966 and continues through the present.

CP 71-32 STUDY

PRINCIPAL INVESTIGATOR:

Ronald Okun, M.D.

PARTICIPATING INSTITUTIONS:

Solano Institute for Medical and Pharmacological Research  
California Medical Facility

PURPOSE:

The purpose of this project is to compare the safety of CP 71-32 to its vehicle and an aqueous placebo when given for 28 days to volunteer subjects.

CP 71-32 is an over-the-counter cough medication. This study is intended to evaluate its use in routinely administered doses in terms of efficacy and safety.

PROCEDURE:

Sixty apparently healthy adult male volunteers between the ages of 21 and 60 years will be selected. The 60 subjects shall be divided into three groups of 20 each and shall be randomly assigned to receive CP 71-32, the vehicle, or an aqueous placebo. Each subject shall receive 30 cc (2 tablespoonfuls) of the assigned formulation every four hours for a total of four doses daily. The doses shall be administered for a period of 28 consecutive days.

TIMETABLE:

A test series with this medication was completed at the California Medical Facility in 1972. The present study began in 1976 and continues.

## STUDY OF GRANULOMATOUS HYPERSENSITIVITY

### PRINCIPAL INVESTIGATOR:

William L. Epstein, M.D.

### PARTICIPATING INSTITUTIONS:

Solano Institute for Medical and Pharmacological Research  
California Medical Facility

### PURPOSE:

The purpose of this study is to investigate the pathomechanisms of granulomatous hypersensitivity in experimentally induced metal granulomas in man; also, to attempt to develop in vitro systems which can discriminate between delayed and granulomatous hypersensitivity in volunteers with known granulomatous hypersensitivity to metal salts.

### PROCEDURE:

This study will be divided into two parts: (1) investigation of subjects previously sensitized to beryllium and granulomatously sensitive to dilute suspensions of the metal; and (2) investigation of the ability to transfer sensitivity from these individuals to non-sensitive volunteers.

The first group (Group I) will consist of five volunteers who will be designated as donors for the transfer phase of the study. Each will be bled for 150 cc of whole venous blood monthly for six months--bleeding will be monitored by hemoglobin and hematocrit determinations. In addition ten poison oak sensitive volunteers will be selected as controls and will be similarly bled. All subjects in Group I will receive skin tests of beryllium salts or poison oak urushiol once a month for six months to assess levels of sensitivity. Since weak solutions of beryllium salts (ten micrograms) will be used, and although reaction will be minimal, these, nevertheless, will be removed.

Group II will be comprised of 24 volunteers who must be non-sensitive to beryllium and/or poison oak urushiol. Twelve volunteers will be designated as recipients of transfer factor. They will be injected with ten micrograms of beryllium or poison oak transfer factor monthly for three months to insure that they are completely negative reactors. The remaining 12 subjects will serve as controls. After transfer factor is given, subjects will be retested monthly for the next three months. If transfer is successful, skin test sites will be examined via punch biopsy. Subjects in this group will be bled for 40 ml of whole venous blood on five occasions (at four-week intervals) and a maximum of six skin punch biopsies for the entire study is planned.

### TIMETABLE:

The study began in 1973 and continues.

## SAFETY AND ACCEPTABILITY EVALUATION OF GSH-1168, TOPICAL OPHTHALMIC SUSPENSION

### PRINCIPAL INVESTIGATOR:

William L. Epstein, M.D.

### CO-INVESTIGATOR:

Frank Hull, M.D.

### PARTICIPATING INSTITUTIONS:

Solano Institute for Medical and Pharmacological Research  
California Medical Facility

### PURPOSE:

The purpose of this study is to evaluate and document the safety and acceptability of GSH-1168 (fluorometholone 0.1 percent + 10 percent sulfacetamide) when administered to the eyes of normal healthy volunteers.

GSH-1168 is a prescription ophthalmic product which combines the anti-inflammatory properties of fluorometholone with the anti-infective properties of sodium sulfacetamide. Fluorometholone is unique among anti-inflammatory ophthalmic suspensions as tests have demonstrated that fluorometholone is less likely to induce intraocular pressure elevations when compared with another anti-inflammatory ophthalmic suspension substance (dexamethasone). Fluorometholone is particularly suitable for use in ophthalmic suspensions due to its extremely low water solubility ( $2-5 \times 10^{-5}M$ ) and slow dissolution rate. Sodium sulfacetamide at 10 percent concentration is a potent anti-bacterial agent which is effective against a broad range of pathogens, including staphylococci.

### PROCEDURE:

Fifty subjects will be involved in the study, each of whom will receive two doses of the test medication two times a day for two weeks. The test medication will be applied to the conjunctiva of both eyes.

### TIMETABLE:

The study began in 1976 and continues.

PRE-CLINICAL STUDY OF EX 11-182B  
IN HEALTHY ADULT VOLUNTEERS

PRINCIPAL INVESTIGATOR:

J. Alfred Rider, M.D., Ph.D.

PARTICIPATING INSTITUTIONS:

Solano Institute for Medical and Pharmacological Research  
California Medical Facility

PURPOSE:

The purpose of this study was to study tolerance of EX 11-182B in single and multiple doses.

EX 11-182B is a chemical compound with a structure resembling dichloroisoproterenol stabilized by a bicyclic ring. Previous investigations indicate it has promise as an agent that will be effective in the treatment of depression.

Currently, about 60 percent of all depression, both primary as well as secondary, responds to pharmacological manipulation. Monoamine oxidase inhibitors, tricyclic anti-depressants, and amphetamines have proven useful but with limiting side effects. These include interactions with other drugs, undesirable sedation, cardio-vascular side effects, and taking two to three weeks for full efficacy. The amphetamines are open to abuse, and produce tolerance to stimulatory effects.

EX 11-182B is neither a monoamine oxidase inhibitor, tricyclic anti-depressant, nor an amphetamine in either chemical structure or behavior in pre-clinical screens. It is expected to overcome some of the drawbacks of the other compounds. It should not have significant cardio-vascular side effects as others do, and it should have a rapid onset of action. It may stimulate the release of neurotransmitter substances in a way that none of the other drugs do. If this is the case, it could possibly treat that 40 percent of depressed patients who are currently not reached by pharmacologic manipulation.

PROCEDURE:

Twenty subjects were involved in the project, all of whom participated in Part A. Nine also participated in Part B. In Part A of the study (single dose tolerance), the 20 subjects were randomly divided into five groups of four subjects each and under blind conditions, received treatments in one week intervals according to the following scheme:

Group I received placebo for three days, followed by 100 mg. of EX 11-182B on day four, followed by a placebo on days five and six.

Group II treated in an identical fashion of placebo for three days, followed by 150 mg. of EX 11-182B and two further days of placebo.

Group III received placebo for three days followed by 200 mg. of the study drug on day four, followed by two further days of placebo.

Group IV received three days of placebo, then 250 mg. of EX 11-182B, then two further days of placebo.

Group V received three days of placebo, followed by 300 mg. of the study drug and two further days of placebo.

In part B of the study (repetitive dose) the nine subjects selected to participate in both phases of the study were randomly divided into three groups of three subjects each and under blinded conditions received one of the following treatments daily for five days: 0 mg. per day (placebo q.i.d.), 20 mg. per day (5 mg. tablet q.i.d.), and 40 mg. per day (10 mg. tablet q.i.d.).

TIMETABLE:

The study was begun and completed in 1976.

# EFFICACY OF SUCRALFATE IN THE TREATMENT OF DUODENAL ULCER

## PRINCIPAL INVESTIGATOR:

J. Alfred Rider, M.D., Ph.D.

## PARTICIPATING INSTITUTIONS:

Solano Institute for Medical and Pharmacological Research  
California Medical Facility

## PURPOSE:

The purpose of this study is to evaluate the safety and effectiveness of Sucralfate in the treatment of duodenal ulcer when compared with a placebo.

The pathogenesis of ulcer disease centers on acid-pepsin digestive action and mucosal integrity. A number of sulfate esters of different saccharides, including polysaccharides, were screened with the purpose of separating their antipeptic activity from their anticoagulant effect. In the course of screening, the agent designated as Sucralfate was isolated. Unlike other polysaccharides evaluated for an antipeptic effect, animal and clinical studies indicate that Sucralfate does not demonstrably prolong various blood coagulation parameters. Acute, subacute, and chronic toxicity studies in several species indicate Sucralfate to be free of toxic effects even in very large and sustained dosages. The administration of isotope-labeled drug demonstrates that it is not systemically absorbed.

Clinical and laboratory studies conducted in Japan, Czechoslovakia, France and Italy have shown that Sucralfate is well tolerated when administered orally, and effective in the management of gastric ulcer disease.

## PROCEDURE:

Twenty subjects, 21 years of age or older with established benign, uncomplicated duodenal ulcer (typical duodenal ulcer history and/or endoscopic evidence of a duodenal ulcer) will be entered into the study. A controlled, randomized, double-blind study using two subject groups for a period of four weeks will be designed: Group I will take Sucralfate and Group II will take placebo. Subjects can take Antacid as needed.

Subjects will take two sublets of Sucralfate or placebo two hours after meals and at bedtime for a total of four doses per day.

## TIMETABLE:

The project began in 1976 and continues.

## APPENDIX



PUBLISHED RESEARCH REPORTS OF THE  
CALIFORNIA DEPARTMENT OF CORRECTIONS  
RESEARCH UNIT

Research Report No. 1

Demonstration Treatment Research Projects by staff (a review of research projects) May 1961. (Out of Print)

Research Report No. 2

Systematic Study of Experience by Don Gottfredson, Ph.D., December 1961.

Research Report No. 3

Special Intensive Parole Unit, Phase III by Joan Havel, Ph.D., and Elaine Sulka, March 1962. (Out of Print)

Research Report No. 4

Institutional Vocational Training by Paul F. C. Mueller, Ph.D., and Don Gottfredson, Ph.D., 1962. (Out of Print)

Research Report No. 5

A Shorthand Formula for Base Expectancies by Don Gottfredson, Ph.D., July 1962.

Research Report No. 7

Parole Panel A, Theory and Method by Alfred N. Himelson and Paul Takagi, June 1963.

Research Report No. 9

A Pilot Investigation of Parole Criteria by Robert Richardson, August 1962. (Out of Print)

Research Report No. 10

Special Intensive Parole Unit, Phase IV by Joan Havel, Ph.D. (a high base expectancy study), June 1963. (Out of Print)

Research Report No. 11

Clue Hunting About Group Counseling and Parole Outcome by Robert Harrison and Paul F. C. Mueller, Ph.D., May 1964. (Out of Print)

Research Report No. 13

Special Intensive Parole Unit, Phase IV by Joan Havel, Ph.D., (a parole outcome study), September 1965. (Out of Print)

Research Report No. 14

Parole Panel Study, Report C by Paul Takagi, 1965. (Out of Print)

Research Report No. 15

Base Expectancy - California Institution for Women by Don Gottfredson, Ph.D., Kelley B. Ballard, Jr., and Jack Bonds, September 1962. (Out of Print)

Research Report No. 16

A Study of Education in the Department of Corrections by Marvin A. Bohnstedt and Philip K. Glossa, 1966. (Out of Print)

Research Report No. 17

A Bibliography on Violent and Aggressive Behavior by Paul S. D. Berg, Ph.D., and Robert R. Tyler, May 1965.

Research Report No. 18

Parole Prediction of Narcotics Users by Paul F. C. Mueller, Ph.D., and Dorothy Coon, June 1964. (Out of Print)

Research Report No. 19

Narcotic Treatment Control Program, Phases I and II by Walter Burkhardt and Arthur Sathmary. (Out of Print)

Research Report No. 20

Advanced Releases to Parole by Paul F. C. Mueller, Ph.D., December 1965. (Out of Print)

Research Report No. 21

Parole Outcome by Districts of Release by Paul F. C. Mueller, Ph.D., and Dorothy Jaman, 1965. (Out of Print)

Research Report No. 22

Characteristics of Violent Prisoners (San Quentin - 1960) by Dorothy R. Jaman, Patricia Coburn, Jackie Goddard, and Paul F. C. Mueller, Ph.D., June 1966.

Research Report No. 23

A Typology of Violent Offenders by Carol Spencer, Ph.D., September 1966. (Out of Print)

Research Report No. 24

Institutional Violence Severity Scale by Paul F. C. Mueller, Ph.D., and Dorothy R. Jaman, December 1966.

Research Report No. 25

Narcotic Treatment Control Project, Phase III by Alfred Himelson and Blanche M. Thoma, June 1968. (Out of Print)

Research Report No. 26

Intensive Treatment Program, Phase II - Group Interaction Study by James O. Robison and Robert Ogle, February 1967. (Out of Print)

Research Report No. 27

Intensive Treatment Program, Phase II - Parole Outcome: Interim Report by James Robison and Marinette Kevorkian, January 1967. (Out of Print)

Research Report No. 28

Long Jail Terms and Parole Outcome by James L. Bull, October 1967.

Research Report No. 29

Class and Caste Identification Among Negro and White Correctional Personnel and Parolees as Measured by the Semantic Differential by Margo N. Fagerstrom, February 1968. (Out of Print)

Research Report No. 30

Pre-Release Program Evaluation: How Effective Are Pre-Release Programs? by Norman Holt and Rudy Renteria, October 1968. (Out of Print)

Research Report No. 31

Case Decisions in a State Parole System by James Robison and Paul Takagi, November 1968.

Research Report No. 32

Behavior During the First Year in Prison, Report I - Description by Dorothy R. Jaman, December 1968.

Research Report No. 33

Narcotic Addict Outpatient Program, One Year Followup by John E. Berecochea, Richard A. Bass, and George E. Sing, April 1969. (Out of Print)

Research Report No. 34

Behavior During the First Year in Prison, Report II - MMPI Scales and Behavior by Dorothy R. Jaman, August 1969.

Research Report No. 35

A Study of Parole Outcome as a Function of Time Served by Dorothy R. Jaman and Robert M. Dickover, September 1969.

Research Report No. 36

Narcotic Addict Outpatient Program, Three Year Followup of Those Released for the First Time to Outpatient Status from the California Rehabilitation Center from June 1962 through June 1964 by Richard A. Bass, September 1969.

Research Report No. 37

California Civil Addict Program, A One-Year Followup of All Residents Released from the California Rehabilitation Center to Outpatient Status in 1967 by George E. Sing, November 1969.

Research Report No. 38

California's Prerelease Furlough Program for State Prisoners, An Evaluation by Norman Holt, December 1969.

Research Report No. 39

By the Standard of His Rehabilitation. Information, Decision, and Outcome in Terminations from Parole: The Implementation of Penal Code Section 2943 by James O. Robison, Margo N. Robison, Rodney Kingsnorth, and Nelson G. Inman, December 1970.

Research Report No. 40

A Study of Vocational Training in the California Department of Corrections by Robert M. Dickover, James A. Painter, and Vern E. Maynard, December 1970.

Research Report No. 41

Vocational Training at the California Institution for Women: An Evaluation by Carl Spencer, Ph.D., December 1970.

Research Report No. 42

The Effectiveness of a Halfway House for Civilly Committed Narcotics Addicts by J. E. Berecochea and G. E. Sing, August 1971.

Research Report No. 43

Behavior During the First Year in Prison, Report III - Background Characteristics by Dorothy R. Jaman, March 1972.

Research Report No. 44

Behavior During the First Year in Prison, Report IV - As Related to Parole Outcome by Dorothy R. Jaman, November 1971.

Research Report No. 45

One Year Followup of All Residents Released From the California Rehabilitation Center to Outpatient Status in 1969 by George E. Sing, December 1971.

Research Report No. 46

Explorations in Inmate-Family Relationships by Norman Holt and Donald Miller, January 1972.

Research Report No. 47

Recidivism Among Women Parolees: A Long Term Survey by Carol Spencer and John E. Berecochea, July 1972.

Research Report No. 48

One Year Follow-up of All Residents Released from the California Rehabilitation Center to Outpatient Status in 1970 by Gerald E. Beckett and George E. Sing, May 1973.

Research Report No. 49

Time Served in Prison and Parole Outcome: An Experimental Study by John E. Berecochea, Dorothy R. Jaman, and Welton A. Jones, October 1973.

Research Report No. 50

California Department of Corrections Methadone Maintenance Program: An Evaluation by Welton A. Jones and John E. Berecochea, December 1973.

Research Report No. 51

Early Discharge From Parole: Policy, Practice, and Outcome by Dorothy R. Jaman, Lawrence A. Bennett, and John E. Berecochea, April 1974.

Research Report No. 52

Escape From Custody by Norman Holt, May 1974.

Research Report No. 53

Guidance in Sentencing: The Pre-Sentence Diagnostic Observation Program by Robert M. Dickover and Kay A. Durkee, September 1974.

Research Report No. 54

Sentences and Offenses--One or More Than One: Time Served and Parole Outcome by Dorothy R. Jaman, November 1974.

Research Report No. 55

Direct Financial Assistance to Parolees: A Promising Alternative in Correctional Programming by Craig Reinerman and Donald Miller, May 1975.

Research Report No. 56

Effectiveness of Group Psychotherapy with Character Disordered Prisoners  
by Charles C. Jew, Luke I. C. Kim, and A. L. Mattocks, October 1975.

Research Report No. 57

An Analysis of the California Department of Corrections Work Furlough  
Program in Fiscal Year 1969-70 by Richard A. Bass, November 1975.

Special Intensive Parole Unit, Phase I, Fifteen-Man Caseload Study by SIPU  
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