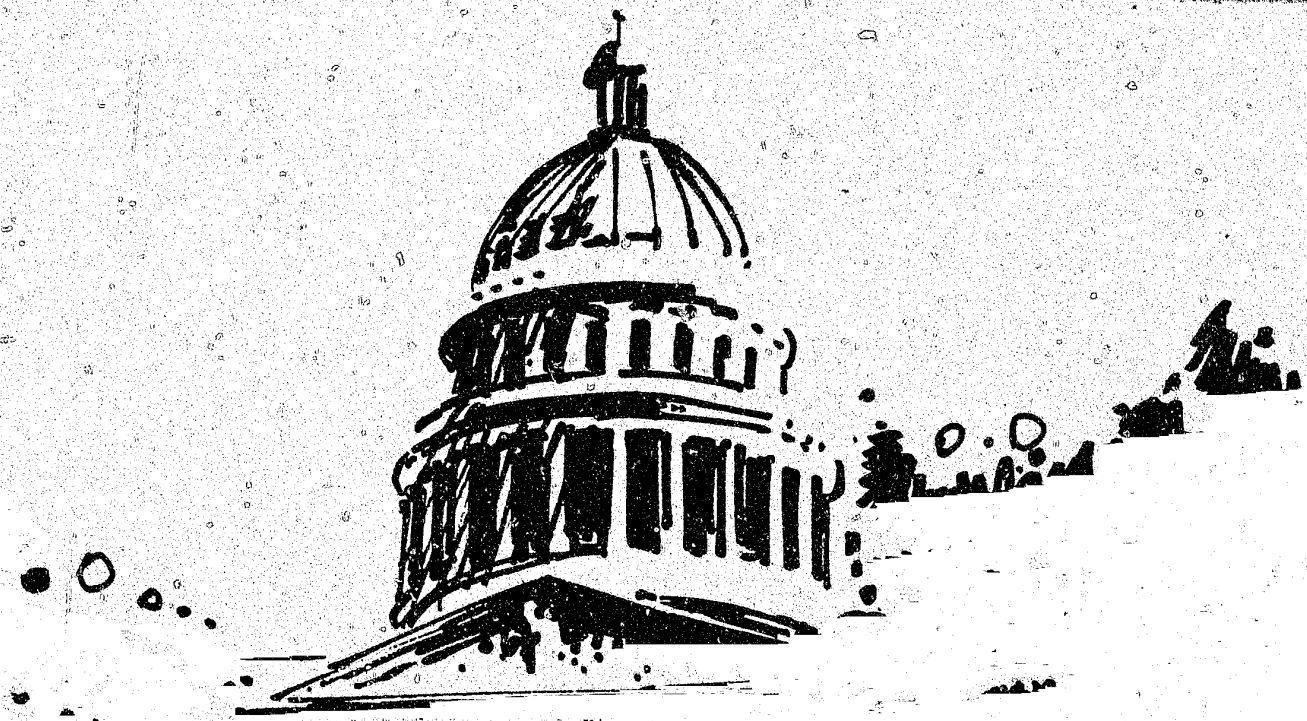
DEPARTMENT OF FINANCE

CALIFORNIA YOUTH AUTHORITY PAROLE PROGRAM EFFECTIVENESS



633 D

October 1976

CALIFORNIA YOUTH AUTHORITY
PAROLE PROGRAM EFFECTIVENESS

PREPARED BY

STATE OF CALIFORNIA
DEPARTMENT OF FINANCE
PROGRAM EVALUATION UNIT

ROY M. BELL
DIRECTOR OF FINANCE

ROBERT L. HARRIS
PROGRAM BUDGET MANAGER

BERNARD P. DONNELLY
CHIEF, PROGRAM EVALUATION

OCTOBER 1976

PREFACE

This report presents a review of those factors which influence the effectiveness of the parole program of the California Youth Authority (CYA).

The study was requested by Department of Finance Budget staff after discussions with the Governor during the 1976-77 budget process. Up-to-date research was wanted on the factors which impact the success of the CYA parole program at a time when the characteristics of CYA parolees are changing.

Among the issues addressed are the following:

1. How can the effectiveness of the CYA parole program best be measured?
2. What major factors impact the effectiveness of the program?
3. What is the optimum range for parole caseload size, considering the efficiency and effectiveness of the parole program?
4. What is the optimum range for length of parole, considering the efficiency and effectiveness of the parole program?
5. What is the impact of the parole agent's role on parole success? How have recent court decisions affected the parole agent's role?
6. How do the effectiveness and efficiency of the special parole projects compare with those of the regular parole program?
7. What are the uses and benefits of ward services funds? How should funds available for the parole program best be divided between casework positions and monies for special services?

This report is based in part on parole research previously conducted by the CYA and other correctional agencies. In addition, a stratified random sample of 20 percent of the case-carrying parole agents were interviewed. The sample was stratified along regular parole/special program lines, and the regular parole portion was further stratified by parole zone. The agents and their supervisors were administered a questionnaire (see Appendix A) to determine their experiences and perceptions, as well as responses to hypothetical situations. In addition, a 20 percent random sample was selected from each agent's caseload, and parolee contact data were developed from field files and other parole agent records (see Appendix B for a summary of all field contacts).

After the field work was completed, two significant pieces of legislation impacting the CYA were signed into law by the Governor of California. The bills--AB 3121 and SB 42--may portend major changes for the parole program; however, the full extent of their impact is not yet known. Because this study was primarily a research effort analyzing individual and group behavior, we believe that our findings and conclusions will remain valid despite program changes of the kind created by this legislation.

A number of CYA staff provided assistance to the study team. We would particularly like to thank Mr. Joseph Kleine of the staff Services

Division and Mr. George Davis and Ms. Peggy Pike of the Information Systems Section, who were particularly helpful in providing information and guidance.

LYNN E. WHETSTONE
PROJECT MANAGER

DANA CURRY
LINDA LAUE
MOTI MALKANI

PREPARED UNDER THE
GENERAL SUPERVISION OF:

JACK D. SMITH
PRINCIPAL PROGRAM ANALYST

TABLE OF CONTENTS

LIST OF TABLES

LIST OF ILLUSTRATIONS

SUMMARY

The objective of this study was to assess the factors which impact the effectiveness of the California Youth Authority's (CYA) parole program.

In Chapter I, a general background and description of the Youth Authority and its parole program are given. Changes in the CYA ward population and the legislative and court mandates which have affected this population are also reviewed.

Chapter II presents a review of parole research which has been carried out by the CYA and other correctional agencies. Most studies have focused on the role played by caseload size. In general, they have failed to show any relationship between caseload size and parole effectiveness.

The performance of a CYA parolee depends on two types of factors--those controllable by the parole program and those over which the CYA has minimal or no control. Chapter III looks at those factors extrinsic to the parole program which impact parole success. *To evaluate justly the effectiveness of parole, it is necessary that these factors be identified and their impact on parole performance recognized. Any project design to evaluate parole effectiveness, therefore, should provide adequate controls for these extrinsic factors* (page 21).

Chapter IV begins with a general discussion of parole effectiveness indicators. The pros and cons of the most commonly used indicators are discussed, and *it is recommended that the CYA continue to use a measure of arrests or convictions whenever possible to evaluate the impact of changes in parole program, with a measure of convictions being preferred, if feasible* (page 24). The Chapter concludes with a historical review of CYA parole effectiveness as indicated by parole failure rates.

In Chapter V, the role and functions of a case-carrying parole agent are discussed. First, parole agents' functions are analyzed by examining the distribution of their work time. The contact patterns of a statewide sample of case-carrying parole agents are also looked at. Finally, the functions of parole agents are examined in relation to direct expenditures on parolees for the past fiscal year. The analysis shows that, while special programs with smaller caseloads do result in increased services to parolees, particularly in the early months of parole, this is not accompanied by a difference in the violator rate. Further, the increase in the amount of direct services received by parolees in small caseloads is not as great as might be expected. In addition, there is no substantial need at this time for additional funds for direct expenditures on parolees.

Chapter VI examines the length of parole. To analyze the impact of varying lengths of parole on parole effectiveness, the post-release and post-discharge levels of criminal activity of selected parole subpopulations are analyzed and related to the corresponding lengths of parole exposure. For the selected groups, differences in parole lengths were not reflected in differences in criminal activity after

the first 18 months of parole. The findings further suggest that it may be possible for the CYA to identify certain low risks groups which can be discharged without extended stays on parole. In order to validate these findings, *it is recommended that similar analyses be conducted by the CYA, with larger sample sizes and longer post-parole periods. These analyses should consider subpopulations which this study has excluded: recommitments, revocations, violational discharges, and good discharges at expiration and after expiration, as well as additional parole lengths* (page 47). It was also found that *until it can be ascertained whether and to what extent parole does prevent criminal behavior, a rigorous evaluation of the parole program is not feasible. For this purpose, carefully designed experimental programs should be implemented and studied* (page 51).

The caseload ratio which is used to budget for the regular parole program is discussed in Chapter VII. The current caseload ratio formula is analyzed and found to be an overstatement of actual workload for several reasons. *Based on the considerations in this chapter, we recommend the adoption of a revised caseload formula for parole budgeting to more realistically represent actual workload demands. Further, the caseload ratio should continue to be set at the currently budgeted ratio of 50:1* (page 62).

Specifically, we recommend adjusting the ADP (average daily population) to exclude the "missing parolees" and "parolees detained or incarcerated" in order to obtain the "active" caseload. The use of the "exempt" concept in CYA parole program budgeting should be limited, with "exempt" designations subject to periodic review. The first such review

should occur when the implications of SB 42 (1976) are fully understood, or no later than for consideration during the 1979-80 budget process. In addition, the number of "exempt" positions should be adjusted annually in proportion to changes in the parole population. A one-half count for parole aides seems reasonable at this time. As the CYA continues to develop and utilize parole aides as trainee positions in the parole agent career ladder, however, a detailed workload analysis should be done (pages 54-58).

If the CYA cannot demonstrate that the Community Parole Centers (CPC's) outperform regular parole in urban target areas, the CPC's should be included as regular parole units for the 1978-79 budget year in determining parole caseload ratios. As for other special programs which are budgeted on a per program basis, *it is recommended that program termination dates be set and adhered to unless documentation of program effectiveness is produced by the CYA* (pages 58-59).

Based on differences in recidivism rates, there is some indication that changes in the parole population should have reduced the work of the parole agent. Changes in the average parole length would impact the work of the parole agent as well. *Because of the counterbalancing effect of these changes, we do not believe that consideration should be given to parolee characteristics in setting the budgetary caseload ratio at this time. However, once the relationship between characteristics of the parole population and parole agent workload, and the relationship of parole contacts to parole success, are determined, a reevaluation of the components of the budgetary caseload ratio would be in order* (pages 61-62).

Chapter VII concludes with a discussion of the need for a decision-making framework to facilitate the concentration of parole resources where the greatest potential for effective utilization exists. Possible mechanisms are presented.

The Epilogue restates the need for carefully designed and controlled research before the best application of public funds in the correction and rehabilitation of youthful offenders can be determined.

GLOSSARY

ADP -- Average Daily Population of CYA wards.

CPC -- The Community Parole Center concept emphasizes locating small, intensive treatment units in delinquent-prone geographical areas of a given community. The objective is to enhance the ability of the Youth Authority to extend intensive service to its wards and their families.

There are five community parole centers--one in Stockton and four in the greater Los Angeles area: Esperanza CPC, Watts CPC, Ujima CPC, and Jefferson CPC.

CTP -- The Community Treatment Project, launched in September 1961, was designed as a combined experimental and demonstration project to determine the impact of substituting an intensive program in the community in lieu of the traditional institution programs conducted by the CYA. The CTP was terminated in 1973.

Discharge -- Removal from parole with termination of the CYA's jurisdiction. Discharges are classified as:

1. Dishonorable--when prior to expiration of commitment, a ward is committed to State or Federal prison, or placed in jail beyond YA authority, or committed to the Civil Addict Program for a period exceeding YA jurisdiction.
2. General--when at expiration of commitment, there is court action pending; or when prior to expiration of commitment, a ward dies, or is committed to a mental hospital, or is returned to his state of legal residence.
3. Honorable.

For research purposes, discharges may be classified as "bad" (if the wards are in violation status at the time of discharge) or "good."

Full Board cases -- These are cases designated by the CYA Board on the basis of the following:

1. The ward has committed a serious offense.
2. The ward is considered to be potentially dangerous based on a psychiatric or psychological evaluation.

Decisions regarding these cases, for instance, discharge from parole, require a quorum of at least three Board members.

I-level -- The Interpersonal Maturity Level is the typology often used by the CYA for the classification of an offender. The individual's I-level is identified according to the level of perceptual differentiation or degree of complexity in his/her view of himself/herself and others.

IPEP -- The Increased Parole Effectiveness Program was a two-year project implemented on April 1, 1971, designed to provide a higher level of service to parolees in order to reduce criminal behavior as well as adjudicated parole failures.

Parole Failure -- This is often used as an indicator of parole effectiveness. One commonly used measure of parole failure is comprised of returns to institutions (recommitments and revocations) and violational discharges.

Recidivism -- The tendency to relapse into criminal behavior.

Recommitment -- The return of a ward to a CYA institution as a result of the action of a court.

Regular Parole -- This encompasses all parolees not supervised under any special programs (the CPC's, residential programs, and the San Francisco Project).

Release -- The removal from a CYA institution in which a ward has been incarcerated. The ward is generally then placed on parole.

Removal for violation (= parole failure) -- Includes removals from parole by recommitments, by revocations of parole and violational discharges which are parole terminations due to the receipt of a lengthy jail, prison, or probation sentence for a new offense, or terminations occurring when court action is pending.

Returns to institutions -- Revocations and recommitments.

Revocation -- The annulment of parole and the return of the ward to a CYA institution by action of the CYA Board. A revocation changes the ward from placement in the community to confinement for more than 30 days.

San Francisco Project -- This is a special project conducted by the CYA which is comprised of three separate units, each specializing in a phase of parole administration:

1. Intake/Administration Unit.
2. Treatment Unit--includes the Individual Counseling, Surveillance, and Daily Group sub-units.
3. Case-Management Unit--includes the Active Supervision and Maintenance sub-units which provide direct services to parolees as well as the Resource Development sub-unit which is engaged in locating and developing community resources to be used by the entire San Francisco caseload.

San Francisco Project (1965-1970) -- A study conducted by the United States Probation Office to investigate the effect of a reduced caseload size.

S.P.A.C.E. -- The Social, Personal and Community Experience Program is a 90-day pre-parole and intensive parole program for CYA wards. The program is located in Los Angeles and became operational in October 1973.

Special Service Cases -- These are cases designated by the CYA Board on the basis of the following criteria:

1. commitment offense
2. clinical evaluation
3. prior history of offenses
4. serious adverse community reaction to ward's return.

In these cases the parole agent is required to provide extra supervision by making a minimum of two contacts per month.

Violation -- The CYA Board establishes that a parole violation has occurred after one or more of the following has taken place:

1. A court has established that a ward has committed a law violation.
2. A criminal complaint or a petition for juvenile court action has been filed against a ward who has been arrested.
3. A ward has been arrested for an offense involving a deadly weapon or the sales of dangerous drugs or narcotics.
4. There has been any violation of special parole conditions set by the CYA Board.
5. The parole agent believes that further Board action is necessary for the protection of society and/or the ward's rehabilitation.

Welfare and Institutions Code offenses -- These include all age-related offenses such as incorrigibility, truancy, runaway, foster home or county camp failure, and escape from county camp or juvenile hall.

CHAPTER I

INTRODUCTION

The California Youth Authority Parole Program

The California Department of the Youth Authority (CYA) was created by the Legislature in 1941. Its primary objective is "to protect society more effectively by substituting for retributive punishment, methods of training and treatment directed toward the correction and rehabilitation of young persons found guilty of public offenses."[1/] The Department provides residential rehabilitation programs and parole services for youthful offenders committed by juvenile and criminal courts. In 1975, the Department operated ten institutions, five conservation camps, one institution-based camp, and 41 parole field offices.

The parole program provides supervision, surveillance and supportive services to parolees. About 204 case-carrying parole agents supervised an average parole caseload[2/] of 7,653 in fiscal year 1975-76. The parole program is budgetarily integrated with the institutions as the Parole and Institutions Branch which had an estimated branch budget for 1975-76 of $85 million.

The Youth Authority Board is appointed by the Governor. The Board has statutory responsibility for recommending treatment programs, granting

---

1/ Welfare and Institutions Code, Section 1700.
2/ California supervision only.

parole, setting conditions for parole, determining violation and revocation of parole, returning persons to the court of commitment for redisposition by the court and discharging wards from Youth Authority jurisdiction.

The CYA Process

When a youthful offender is committed to the CYA by a juvenile or a criminal court, he becomes a CYA ward. The CYA's jurisdiction over wards expires at the age of 21, 23 or 25 depending on the court of commitment and the severity of the committing offense.

Upon commitment to the CYA, a ward is placed in one of the two reception centers for observation and diagnostic test. Based on the recommendations of the reception center staff and after a hearing by the CYA Board, the ward is then sent to one of the CYA's institutions or conservation camps. The ward usually spends about a year in the institution and is then released from the institution to be placed in the community under the supervision of a CYA parole agent.

While on parole, the parolee must obey the conditions of parole set by the CYA Board. If the parolee violates these conditions or if there is a preponderance of evidence that he has committed a crime, the parole agent must report this to the CYA Board, recommending whether to continue the ward on parole, return him to a CYA institution, or dishonorably discharge him from the CYA. In addition, the parole agent must report annually to the Board the progress made by the parolee. If he feels the parolee should be kept on parole, justification must be given. In all situations involving changes in parole status, the Board must make the final decision. In most

cases this decision may be made by an individual Board member; however, in those instances in which the Board has designated the ward as a "Full Board" case (see Glossary), decisions require a quorum of three. Figure 1 (page 4) shows the number of CYA wards who were moved from institutions to parole, from parole to institutions, from parole to discharge, etc. during 1975.

Changes in the Parole Population

As shown in Table 1 (page 5), since 1966 the total number of first commitments to the CYA has been declining. Only since 1973 has there been a small increase in the number of first commitments. The decline coincided with the 1965 enactment of the probation subsidy program (Chapter 1029, Statutes of 1965), under which participating counties were subsidized for keeping young offenders in local communities instead of sending them to the CYA. This affected the mix of CYA wards, with fewer and fewer juvenile court first commitments, while criminal court first commitments remained relatively stable. Over the past ten years (1965-1975), juvenile court first commitments declined by 2,819 (a 61 percent decline), while criminal court first commitments increased by 33 (a 2 percent increase). The mix of first commitments thus changed from almost three juvenile court commitments for every criminal court commitment in 1965 to about one juvenile court commitment for every criminal court commitment in 1975.

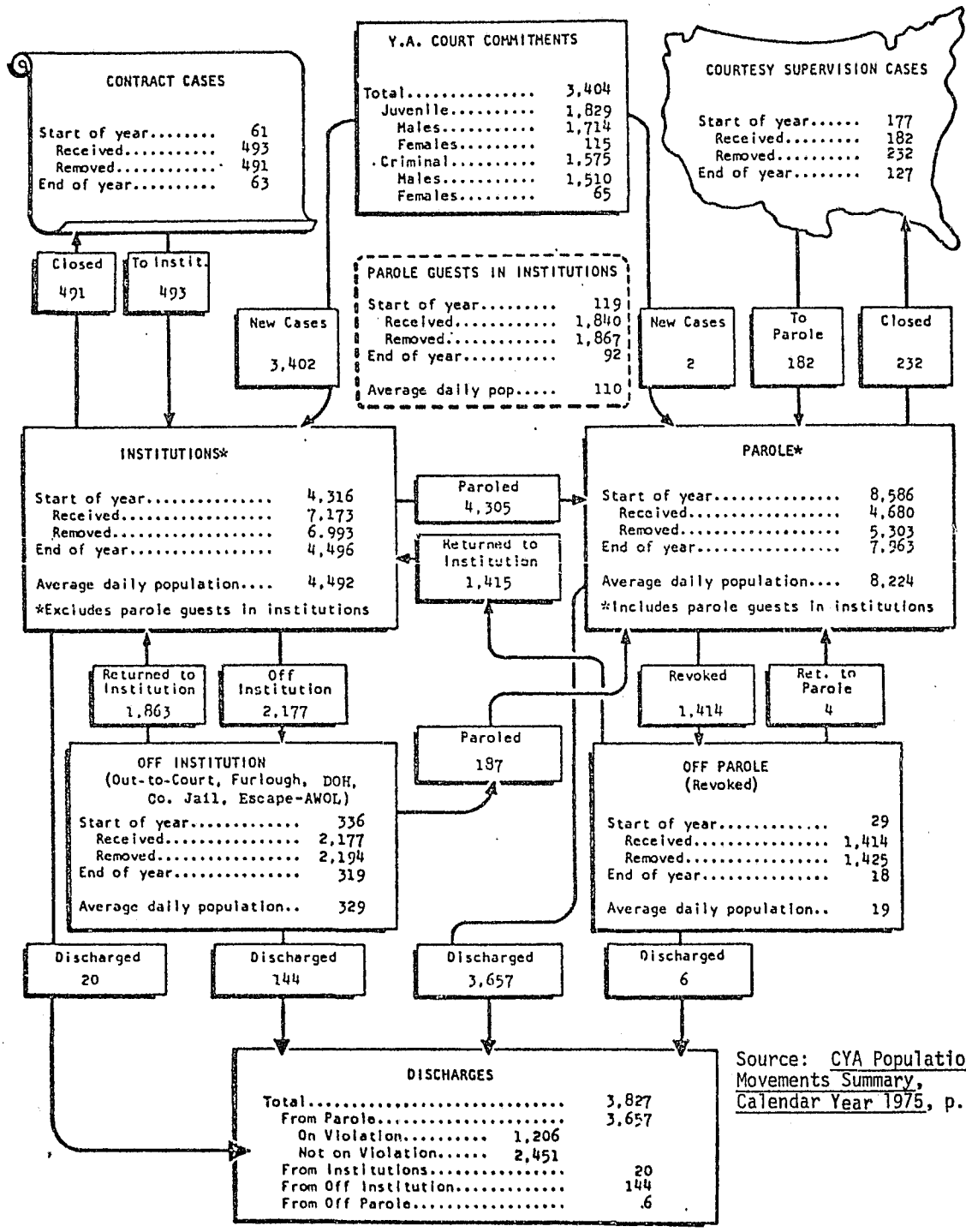
The CYA has also been receiving older juvenile court first commitments, with a change in average age from 15.5 years in 1965 to 16.2 years in 1975, an increase of 0.7 years. For criminal court first commitments, the average age has remained relatively stable at 19.0 years.

First commitments due to violent offenses (homicide, robbery, assault and battery) decreased from 942 (15.2 percent of the total) in 1965

Figure 1

YOUTH AUTHORITY POPULATION MOVEMENT

CALENDAR YEAR 1975



Source: CYA Population Movements Summary, Calendar Year 1975, p. 2.

TABLE 1

SELECTED CHARACTERISTICS OF CYA WARDS:
1965, 1972 AND 1975

Court of First Commitment	Number of Wards Committed		
	1965	1972	1975
. Juvenile Court	4,648 (75.1%)	1,462 (53.6%)	1,829 (53.7%)
. Criminal Court	1,542 (24.9%)	1,266 (46.4%)	1,575 (46.3%)
. . Total	6,190 (100%)	2,728 (100%)	3,404 (100%)

Court of First Commitment	Mean Age at Commitment (years)		
	1965	1972	1975
. Juvenile Court	15.5	16.0	16.2
. Criminal Court	19.0	19.0	19.0
. . Total	16.4	17.4	17.5

Offense of First Commitment	Number of Wards Committed		
	1965	1972	1975
. Violent Offenses (homicide, robbery, assault and battery)	942 (15.2%)	763 (28.0%)	1,439 (42.3%)
. Property Offenses (burglary and theft)	2,476 (40.0%)	993 (36.4%)	1,313 (38.6%)
. W & I Code	1,703 (27.5%)	385 (14.1%)	202 (5.9%)
. Other (drugs, sex, etc.)	1,069 (17.3%)	587 (21.5%)	450 (13.2%)
. . Total	6,190 (100%)	2,728 (100%)	3,404 (100%)

Source: CYA Annual Reports.

to 763 (28.0 percent of the total) in 1972 and then increased to 1,439 (42.3 percent of the total) in 1975. First commitments due to Welfare and Institutions Code offenses[3/] declined from 1,703 (27.5 percent of the total) in 1965 to 202 (5.9 percent of the total) in 1975.

As shown in Table 2, the mean length of stay on parole per parole term has increased substantially during this ten-year period, from 17.1 months in 1965 to 24.9 months in 1975. For those discharged due to parole violation, the increase was from 12.8 months in 1965 to 19.4 months in 1975, while for those not in violation at the time of discharge, the increase was from 24.9 months to 30.7 months. This increase in length of parole occurred over a period during which the total parole population declined from an average of 14,037 in 1965 to 8,224 in 1975. It should be noted here that while the downward trend in parole population has continued unabated, the trend toward a longer and longer parole period was reversed in 1974. The average length of parole had decreased one month by 1975, a change which was due to the earlier removal of violators from parole. A sharper decrease in average length of parole has occurred in 1976, a trend which appears to be due to a change in CYA Board policy (see page 9).

[3/] These include the following: all age-related offenses such as incorrigibility, truancy, runaway, foster home or county camp failure, and escape from county camp or juvenile hall.

TABLE 2

MEAN LENGTH OF STAY ON PAROLE
AND AVERAGE DAILY CYA POPULATION

Parolee Group	Mean Length of Stay on Parole			
	1965	1973	1975	1976[a/]
. Non-violators	24.9	30.5	30.7	25.1
. Violators (total)	12.8	22.2	19.4	18.1
- Returned to CYA Institution	(10.1)	(15.2)	(13.9)	(12.1)
- Discharged from CYA (sent to prison, jail, CDC)	(19.7)	(29.4)	(25.9)	(23.1)
. . Total	17.1	25.9	24.9	21.9

Type of Program	Average Daily Population			
	1965	1973	1975	1976[b/]
. Institution	6,778	4,208	4,602	4,324
. Parole	14,037	10,798	8,224	7,762
. . Total	20,815	15,006	12,826	12,086

SOURCES: CYA Annual Reports, Population Movement Summaries and Information Systems Section.

a/Through October 31, 1976.
b/July 1, 1976 through October 31, 1976.

Program and Policy Changes

As described in the preceding section, during the past ten years, characteristics of the CYA wards have undergone a change. Decision criteria regarding juvenile offenders have also been changing. In some cases, this change has been imposed from outside the CYA, resulting from mandates of the courts or the Legislature. In other instances, the changes have occurred in CYA Board policy.

The major legislative change to impact the CYA, as described earlier, was the enactment of the probation subsidy program in 1965. This greatly reduced the number of juvenile court commitments to the CYA.

In the early 1970's, several court decisions impacted the rights of CYA wards. In Morrissey vs. Brewer (1972) the U.S. Supreme Court held that, before parole can be revoked, a parolee must be allowed an appearance at a hearing, to call volunteer witnesses to testify on his behalf, to cross-examine adverse witnesses, and to receive notice of the allegations and evidence against him prior to the hearing. In Gagnon vs. Scarpelli (1973), the Court ruled that, under certain circumstances, a parolee must be granted the assistance of legal counsel at the revocation hearing. The California Supreme Court decided in In re Valrie and In re LaCroix (1975) that a parolee detained pending a revocation hearing is entitled to an earlier hearing to determine if there is probable cause to believe that the parolee has violated a condition of his parole. Moreover, parole violation proceedings must be completed within a reasonable amount of time.

A number of legislative changes enacted in 1976, together with a recent State Supreme Court ruling, could have a substantial impact on parole decision-making. Assembly Bill 3121 revises juvenile court law,

including provisions relating to the expiration of CYA jurisdiction over juvenile court commitments. Senate Bill 42 substitutes for the indeterminate sentence law a system of setting fixed sentences. While it does not directly affect the length of the CYA's jurisdiction over its wards, in conjunction with a recent California Supreme Court ruling (the Olivas decision) it apparently will result in a reduction of the CYA's jurisdiction over certain wards having a misdemeanor conviction from an adult court. Because of the recency and complexity of these laws and decisions, a detailed analysis of their impact has not yet been completed by the CYA.

Another recent change to impact parolees is a revision in the discharge policy of the CYA Board. Prior to November 1975, a parolee was continued on parole until the expiration of CYA jurisdiction unless the parole agent could justify his discharge. The new Board policy, initiated in November 1975, considers the parolee for discharge after one year on parole, unless continuation can be justified. As described previously, this seems to be resulting in a reduction in the average length of stay on parole.

CHAPTER II

PAROLE RESEARCH

A large body of research has attempted to identify those variables in a parole program which impact parole success. The bulk of this research has dealt with the topic of caseload size (and concomitantly, with parole agent role). Because of the extent of this research and the applicability of much of it to the present study, a brief summary of the most relevant findings is presented in this chapter.

CYA Parole Projects

Increased Parole Effectiveness Program (IPEP)

This two-year project, federally-funded through the California Council on Criminal Justice, is often hailed as a landmark by CYA researchers. Begun in April 1971 the program was designed "to reduce criminal behavior as well as adjudicated parole failures" through a reduction in parole caseload size from 72:1 to 50:1. To this end, project funds were used to hire 91 additional parole agents.[1/]

A primary objective of IPEP was to reduce parole returns to CYA institutions sufficiently to close a 400-bed institution. It was hoped by the CYA that the resulting savings could be used to continue the program without further federal assistance. The objective was met ten

---

[1/] California Youth Authority, Increased Parole Effectiveness Program, Final Report, (Sacramento, February 1974), p. i.

months ahead of schedule when the Paso Robles School for Boys was closed in June 1972. This closure, contended the CYA, was made possible by a decline in institutional returns (revocations and recommitments) which was directly attributable to IPEP. Due to this realization of the project's goals, the State assumed funding for the reduced caseload size in 1973.

Another analysis of IPEP, however, found the program's impact to be questionable. This independent evaluation examined the CYA's institutional returns over a longer time period. According to the analysis, IPEP did not result in a decrease in revocations/recommitments beyond already existing long term trends.[2/] Our own analysis of these trends (see Chapter IV, page 30), confirmed this conclusion.

Oakland Parole Study

The Oakland Parole Study was conducted by the CYA during 1959-62 to ascertain whether a 50 percent reduction in parole caseload size resulted in significant improvement in parole performance. Ten caseloads of 36 parolees were compared to five caseloads of 72 parolees, using random assignment.

According to the research findings, the parolees in the reduced caseloads did not receive as much additional service as had been anticipated. Further no significant differences in parole violations between the two caseload sizes were found.[3/]

[2/] Scientific Analysis Corporation, Final Report of the Evaluation of the Increased Parole Effectiveness Program of the California Youth Authority, (San Francisco, December 1972), p. 73.

[3/] Carolyn Davis, "The Parole Research Project" in A Review of Accumulated Research in the CYA, (Sacramento: CYA, May 1974), p. 51.

Community Treatment Project

The Community Treatment Project (CTP) was conducted by the CYA during 1961-73 to determine the feasibility of releasing selected wards directly to a special treatment program in the community rather than placing them in a CYA institution. Until 1969, the project was limited to selected juvenile court first commitments,[4] but adult court first commitments were included after 1969. The sample was limited to the Sacramento-Stockton area.

Special treatment methods included matching given types of parole agents with given types of youths, differential and treatment-relevant decision-making, and increased services to parolees by parole agents carrying small caseloads of 12 parolees. Caseloads were kept relatively homogeneous by classifying each ward on a scale of "interpersonal maturity" (I-level) and assigning him to a parole agent specially selected to work with certain I-level subtypes. The results indicated that most "neurotics" (as designated by the I-level scale) in the CTP program engaged in significantly less delinquent behavior than their "controls" (i.e., matched youths who participated in the traditional CYA program). The "power-oriented" youths, on the other hand, did better in the traditional CYA program than in the CTP program.[5]

It is difficult to determine whether the improved performance of "neurotics" or the poorer performance of "power-oriented" youths in the CTP program was due to residence in the community rather than in the institution, "matching" of agents and parolees, smaller caseloads, or some

---

[4] Those committed for offenses of armed robbery, assault with a deadly weapon, or forcible rape were excluded. Also excluded were a smaller group against whom community sentiment was strong.

[5] "Neurotics" were 53 percent of the sample of boys and "power-oriented" youths were 21 percent of the sample of boys.

other reason. In their summary of parole research, authors Neithercutt and Gottfredson discuss this as follows:

> In the final analysis, the question of whether there is a difference in experimental and control caseload outcomes in that project (CTP) is not germane to caseload size variation per se. This is so because there is so much more to that project than small caseload. Most obvious of the other pertinent considerations therein, perhaps, is the use of matching of staff and clients on the basis of "I-level." In looking at the CTP, whatever has or has not occurred cannot be attributed to the use of twelve-man caseloads. In fact, there are suggestions therein that it is the matching which accounts for most, or all, of the experimental versus control group performance differences.[6]

Community Parole Center Program

The Community Parole Center (CPC) program started in 1966 with a pilot unit located in South Central Los Angeles. In 1969, six additional parole units were converted to parole centers. At present, there are five parole centers--one in Stockton and four in the greater Los Angeles area. Community Parole Centers are located in urban areas characterized by poverty, high delinquency rates, and a preponderance of minority group residents. Each parole center provides a diversified program of services, including casework, education, recreation, diversion, and group homes. The parole agents carry reduced caseloads of 25:1 compared to 50:1 in regular parole.

A recent CYA study of parole centers showed they result in increased parolee/parole agent contacts. Regarding the effect of the centers on recidivism, however, the study reported that only two parole centers

---

[6] Mark G. Neithercutt and Don M. Gottfredson, "Caseload Size Variation and Difference in Probation and Parole Performance," in Parole, ed. by William E. Amos and Charles L. Newman, (New York: Federal Legal Publications, 1975), p. 288.

(Stockton and Ujima) were able to achieve a lower violation rate than the statewide average during the three-year period 1972-75. In neither case, however, was the reduction in the violation rate significant.[7] The other three parole centers all had higher violation rates than the statewide average.[8] The net result was that, as a whole, CPC program performance was not significantly different from that of regular parole despite reduced caseloads.

Other Research

Outside of the CYA, many additional studies were conducted in the 1950's and 1960's on the effectiveness of a reduced caseload size and a changed role of the parole agent. The most relevant of these are summarized below. While these studies varied in methodology, all showed that reduced caseload size did not reduce recidivism.

Among the earliest of these studies was the Special Intensive Parole Unit (SIPU) project of the California Department of Corrections, conducted during 1954-63. Adult parolees were randomly assigned to caseloads of 15, 30, 35, 72 and 90, with the last two considered control groups. No significant differences between experimental and control groups on major arrests were found.

Another project of the California Department of Corrections, conducted during 1959-62, was the Narcotic Treatment and Control Project (NTCP). During one phase, caseloads of 30 and 75 were compared, with no

7/Stockton achieved an 11 percent reduction from the statewide rate of 2.6 violators per 100 caseload, while Ujima's reduction was about 7.7 percent. Neither CPC achieved a 15 percent reduction from the statewide rate, which was one of the objectives of the CPC program.

8/California Youth Authority, Division of Program Evaluation, Community Parole Center Program, (Sacramento, July 1975), pp. 47, 56.

significant differences in jail sentences and prison returns for the two groups. In another phase, small caseloads of 15 and 45 were compared with large caseloads of 70. In this instance, no differences between the smaller caseloads emerged, but overall, small caseloads had better parole outcomes than large caseloads.

The San Francisco Project of the U.S. Probation Office was conducted during 1965-70. Cases were assigned to 20-man (intensive), 40-man (ideal) and 80-100 man (minimum) caseloads. No essential differences were found among the caseloads in outcome, except that the intensive supervision cases had substantially more technical violations than did those assigned to larger caseloads.

Neithercutt and Gottfredson point out the absence of any conclusive results in studies on caseload size.

> In several of the caseload size studies, one would be hard pressed to say that much of anything else had occurred besides a reduction in number of cases assigned to each officer.9/

The authors note that:

> ...caseload size may be only minimally (and tangentially) related to violation rate. The relationship may be one which is noteworthy only under extreme conditions--as in the instance where a probation/parole officer has so many cases he has no chance to impact any of them from a treatment perspective.10/

They further suggest that research be conducted on variables other than caseload size:

> Future assessments of caseload variation need more perspective. The results thus far indicate that sometimes caseload size reduction yields indications of improved performance, sometimes no outcome changes surface, and

9/Neithercutt and Gottfredson, op. cit., p. 288.
10/Ibid., p. 290.

> sometimes the smaller caseloads do significantly worse than the larger. It seems reasonable to conclude from this that much more is transpiring than is being scrutinized. Variables that do not center on clients, factors that address client environs, seem the next logical place for search.[11]

There are so many other factors in the daily life of a parolee that the effect of the parole agent on the parolee's life may be minimal. The independent evaluation of CYA's IPEP program notes that:

> The fate of wards and their ability to adjust on parole depends upon a number of factors. Not the least of these are their own efforts, their own psychology, their family and peers, the resources available in the community, the way society and the community respond to them. Parole is one of many elements which affects the outcome of a ward.[12]

[11] Ibid.

[12] Scientific Analysis Corporation, op. cit., p. 184.

CHAPTER III

ROLE OF FACTORS EXTRINSIC TO PAROLE

The performance of a parolee during his parole term depends on two types of factors--those controllable by the parole program and those over which the CYA has minimal or no direct control.

In the first group are the counseling, services, financial aid, and surveillance provided the parolee by the CYA parole agent after his return to the community. A specific example might be assistance in job-finding. The expertise of the parole agent in talking with prospective employers will doubtless be important in determining the outcome of the job search. But if the general unemployment rate is high, the problems involved in obtaining a job for a parolee are magnified greatly, and general unemployment rate is a variable which is beyond the control of the CYA. In studying parole effectiveness, it is, therefore, necessary to recognize that group of factors impacting the parolee which are independent of the parole program.

The unemployment rate is only one of a number of general environmental and socio-economic factors which cannot be changed by the parole agent. Others are more specific to the neighborhood in which the parolee lives. These include average income level and crime or delinquency rate.

In addition to these general factors, a number of specific pre-existing characteristics of the ward affect his performance on parole. The CYA has found that one of the most important of these is the age at first admission to the Youth Authority. Wards admitted at an older age generally have a lower rate of parole failure. The second major factor is the court of commitment.

Criminal court commitments have consistently lower failure rates than juvenile court commitments. The type of offense for which the youth was committed is also important. Wards committed for offenses against persons or for narcotics and drug offenses are less likely to be removed from parole for violation than those committed for Welfare and Institutions Code violations. First commitments due to offenses of homicide have the lowest rate of removal for violation of all parolees.[1/]

Among the other ward characteristics which affect parole performance are the following: admission status (first commitments vs. parole violator returns), prior record, attitude toward school, number of foster home placements, number of offense partners, race, number of households of which parolee had been a member, degree of supervision of the ward by his mother, number of evenings per week spent outside the home and the ward's mental rating. Appendix D, which provides generalized ward profiles, presents many of these factors as they apply to the current population of CYA wards. These variables have been used by the CYA in constructing Base Expectancy Tables [2/] which measure estimated parole risk for groups of parolees. These tables have been greatly refined and simplified over the years. Currently, only the three most significant factors are used: court of commitment, age at admission, and admission status.

Length of stay in the institution is not one of the variables above because the CYA has been unable to demonstrate a fixed relationship between parole performance and length of institutional stay.[3/] The most recent

---

[1/] See Appendix C.

[2/] George Davis, "Base Expectancy Studies" in A Review of Accumulated Research in the CYA, op. cit., p. 164.

[3/] Ibid., p. 169.

studies (of 1969 parole releases) indicated that for male wards, those having a shorter stay did as well as those with a longer stay, and for females, the shorter length of stay resulted in a lower parole failure rate than the longer length of stay. However, these studies did not control for those ward characteristics mentioned above which have been found to impact parole performance. Thus, the results must be judged inconclusive.

In summary, there are a large number of factors outside the control of the CYA which affect parole performance. To evaluate the effectiveness of parole, it is necessary that these factors extrinsic to the parole program be identified and their impact on parole performance recognized. Any project design to evaluate effectiveness, therefore, should provide adequate controls for these extrinsic factors.

CHAPTER IV

PAROLE EFFECTIVENESS

Choosing a Measure

In order to measure the effectiveness of the CYA parole program, it is necessary to define the program's goals. As described previously, CYA's statutory mandates are to rehabilitate, rather than punish, youthful offenders, and at the same time, to protect society. While the second of these goals is more easily defined, the first--rehabilitation--is subject to a wide variety of interpretations.

To some, rehabilitation means the adoption of a socially acceptable lifestyle, including marriage and gainful employment as well as law-abiding behavior. To others, rehabilitation is viewed simply as abstinence from (or reduction in) illegal activities. Our interviews with parole agents suggested that these, and a variety of intermediate definitions, are applied to the term "rehabilitation" by CYA staff.

These diverse definitions suggest numerous criteria for measuring parole effectiveness. If successful vocational adjustment is accepted as a goal of parole, effectiveness might be measured by the number of parolees who have held one job for a specified number of months, with allowances made for those who were attendees in a school or vocational training program. Measurement of attitudinal or psychological adjustment is also suggested by some interpretations of the CYA's role, but such measurements are prone to attack because of their subjectivity.

Historically, measures of correctional effectiveness have focused on a narrower definition of rehabilitation. Generally, the offender's abstinence from (or participation in) further misconduct is measured in one of a number of ways. Among the indicators used are (1) parole success, (2) parole failure, and (3) number and/or severity of subsequent arrests or convictions. Of these three, some form of the last is generally felt to be the best indicator. One advantage is that it can be used to measure post-parole as well as parole behavior. Further, it is the "purest" measure in that it is not as readily influenced by the subjective decision-making of the parole agent and parole board, even though differences in the decision-making behavior of local law enforcement and the courts may make geographic comparisons difficult. It should be pointed out, however, that a measure of convictions is preferred to one of arrests because the latter relies heavily on the subjective judgment of individual law enforcement officers. In any case, the major disadvantages of a measure of arrests or convictions are the time and cost involved in obtaining complete and accurate data. For this reason, such a measure is not routinely used by the CYA, although it is often employed in special research projects. *We recommend that the CYA continue to use a measure of arrests or convictions whenever possible to evaluate the impact of changes in the parole program. A measure of convictions is preferred, if feasible.*

Parole success could be measured in a number of ways. One, of course, would be the complement of a measurement of arrests or convictions; those free from arrests or convictions for a specified length of time would be labeled "successes." The primary problem with this measure is the expense of acquiring good data, as described earlier. More frequently, success is defined as "success during parole." In this case, it can be either the

percentage of those released on parole who eventually receive an honorable discharge or it can be all of those who are not removed from parole for violation within a particular time period. The first of these (honorable discharges) is affected by discretionary decision-making of the Board. The second measure is meaningless unless the time period is specified, as otherwise, comparisons are impossible.

Perhaps the most frequently used effectiveness indicator is parole failure. Generally this indicator of recidivism is comprised of several components--returns to the institution (revocations and recommitments) and violational discharges. Revocations represent parolees returned to a CYA institution by action of the CYA Board because of a violation of their parole conditions. Recommitments are CYA wards who are sent back to the institution by the action of a court. Violational discharges represent parole terminations due to the receipt of a lengthy jail, prison, or probation sentence for a new offense, or terminations occurring when court action is pending or while the parolee is missing.

Limitations of the Measuring Tool

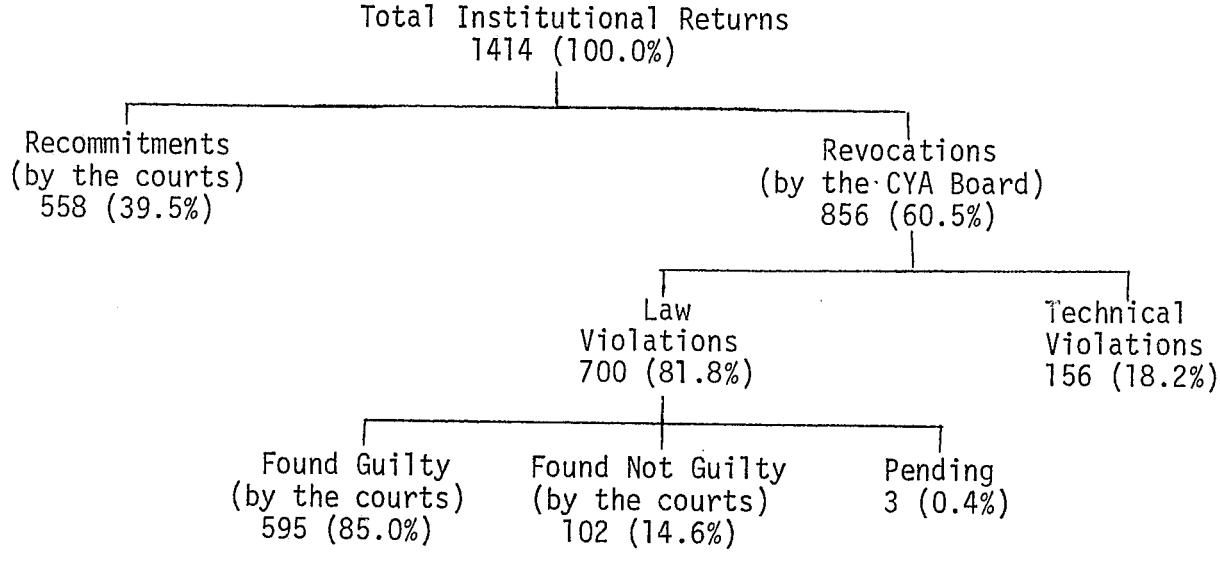
The formula for measuring parole failure described above is the one which will be used throughout much of this report because of its general acceptability and because the data are readily available. However, this indicator is also subject to several caveats which do not restrict the use of our preferred measure, convictions, described earlier.

The discretionary decision-making inherent in this measure of parole failure is readily apparent. Revocations are brought about by recommendations of the parole agent to the CYA Board. As shown in Table 3,

the bulk of these (700 out of 856, or 81.8 percent, in 1975) are triggered by the parolee's arrest by a law enforcement agency for a suspected law violation. The remainder represent "technical violations" or infractions of particular conditions of parole (AWOL's, positive drug tests, etc.). An analysis of the CYA's zone-by-zone data on rates of revocation due to technical violations in 1975 indicates that there is a distinct difference among zones in the propensity of parole agents to recommend revocation for such infractions. Our interviews indicated that such variations may also extend to the parole agent and parole unit levels.

TABLE 3

PAROLE RETURNS TO INSTITUTIONS
1975



SOURCE: CYA Information Systems Section.

Revocations triggered by a law violation also represent some degree of discretionary decision making on the part of the CYA. This is most evident in those cases in which the parolee was given a court trial and found "not guilty," which accounted for 14.6 percent of the revocations for law violation in 1975. It should be noted here, however, that the courts have determined that the rules of evidence applicable in a revocation hearing are different from those applicable in a trial court. Guilt must only be demonstrated based on a "preponderance of evidence" rather than "beyond a reasonable doubt."[1/] Thus, some differences are to be expected between court findings and those of the CYA Board.

For 595 revocations (69.5 percent of the total), the returns to the institution were the result of conviction by a court for a law violation, but disposition of the case was relinquished by the court to the CYA. In these instances, the sentencing judge, perhaps after discussion with a CYA representative, opted to let the CYA Board decide whether to return the ward to an institution rather than making that determination himself. In contrast, there were 558 cases during 1975 in which the judge decided to return the ward to the institution (recommitments). While it appears initially that these differences in revocations and recommitments could be due to the severity of the offense, analysis of the available data suggests that there are other variables involved. When the figures for revocations and recommitments are combined into total institutional returns, recommitments range from less than 13 percent to more than 84 percent of this total in a unit-by-unit comparison. Discussions with CYA staff and court officials indicated that some judges have a policy never to recommit a CYA ward. They feel it is the CYA Board's prerogative to make that

1/California Supreme Court, In re Dunham (1976).

decision. In other jurisdictions, it appears that the treatment accorded a CYA ward is similar to that of any other offender.

Violational discharges are also discretionary on the part of the parole agent. While the CYA has certain guidelines for restoring or discharging parolees who receive concurrent sentences, in our discussions with agents regarding standardized hypothetical cases, we found that other factors are often given more weight than CYA policy (see Appendix A-3). In some instances, the decision of whether to recommend discharge was based primarily on the agent's (or supervisor's) evaluation of the quality of the rehabilitation services provided by the other correctional agency.

Relative to violational discharges as a measure of parole failure, it should be pointed out that the three actions discussed above are based on a "violation" by the parolee. The majority of violations which are reported to the Board (3,713 out of 6,333, or 58.6 percent in 1975) do not result in the termination of parole. In fact, because they may be more reflective of criminal behavior than institutional returns, violations themselves are often used as a measure of parole effectiveness. As a measure they, too, are subjective--it takes an act of the parole agent to report a violation to the Board.

Differences in reporting practices for a sample of 192 wards discharged in 1975 demonstrate the subjectivity involved. For 25 wards (13 percent), parole agents had reported fewer violations than there were arrests or convictions on their official criminal records. In fact, for nine of those wards, the number of convictions alone exceeded the violations cited. An additional 17 percent of the wards had more incidents of violations than reflected by their official criminal records. A statistical measure based

on violations as opposed to arrests or convictions would exhibit similar results for 70 percent of the group.

Limitations to Any Measurement of Parole Effectiveness

As pointed out briefly earlier, the CYA parole program is closely interwoven with other parts of the criminal justice system and, in particular, with the CYA institutions. Thus, any measurement of the success or failure of a parolee on the street is really more a measure of the total criminal justice process as experienced by that parolee than of the parole program itself. Previous research has failed to control for the most important variables in the criminal justice process in order to achieve a true measure of parole effectiveness. *We believe that carefully designed research programs need to be implemented in order to measure more accurately the effectiveness of parole in protecting society.* Although we have not studied in detail the respective project designs, it appears that both the Summary Parole Program[2/] being conducted by the California Department of Corrections and the Differential Status Project,[3/] which has been proposed by the CYA, fit into this category of controlled, experimental projects.

Under the Summary Parole Program, only collateral surveillant activities (primarily police informational checks) are continued for the experimental (summary) groups. All direct surveillant activities are suspended, and are invoked only when unlawful transgressions are brought to the attention of the agents. Services are rendered only at the request of the parolees. In contrast, the control groups are kept on regular parole. The Differential Status Project design calls for a group of

---

2/ California Department of Corrections, Parole and Community Services Division, Summary Parole Program Implementation Plan, (Sacramento, April 1, 1976), Unpublished draft.

3/ CYA, Differential Status Project, (Sacramento, February 24, 1976), Unpublished draft.

parolees, classified by I-level, to be randomly assigned to different groups, each offering a different level of service. One group will receive conventional supervision and services as currently provided by regular parole. For the second group, utilization of equivalent services and resources will be voluntary, and the group will not be subject to surveillance or reporting requirements. A third group will be discharged directly from the jurisdiction of CYA without further parole.

Under controlled experiments such as described above, comparisons of the recidivism rates[4/] by group during parole and for a specified follow-up period after parole will show the relative impact of different parole programs on criminal behavior, and thereby provide a more accurate evaluation of parole effectiveness.

Trends in CYA Parole Effectiveness

Figure 2 depicts the average annual rate of parole failure of CYA wards from 1965 to the present. Most noteworthy is that, with the exception of the years 1973 and 1974, there is a long-term downward trend. An analysis of the rates of parole failure for the eleven year period showed a declining linear trend line and a correlation coefficient of -0.797, which was statistically significant (see Appendix E).

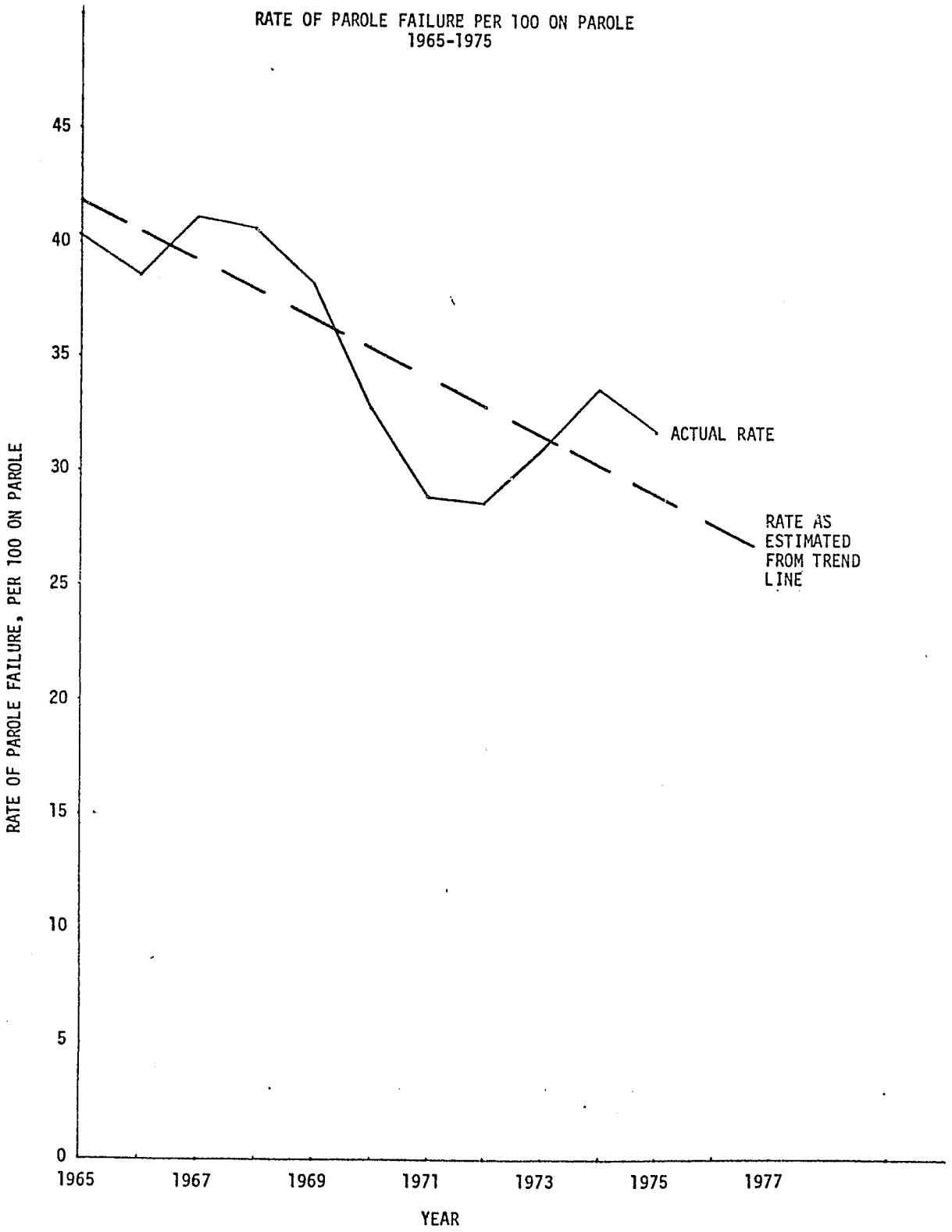
The downward trend appears to be due to a number of factors. As explained previously, probation subsidy, initiated in 1966, was followed by a large reduction in the number of juvenile court commitments to the CYA. CYA wards committed from the juvenile court have a significantly higher

---

[4/] The project proposals cited identify a combination of measures of recidivism to be used; as specified previously, we believe that convictions are the most appropriate measurement tool.

FIGURE 2

RATE OF PAROLE FAILURE PER 100 ON PAROLE
1965-1975



incidence of parole failure than those committed by a criminal court--60.5 percent as compared with 48.1 percent in a study of 1971 parole releases.5/ Also, as described in Chapter I, there has been an increase in those committed for crimes against persons. This group has been found to have an overall lower recidivism rate than those committed for other offenses (see Appendix C). Thus, the overall reduction in parole failures coincides with other known behavior patterns of the current CYA population.

5/Source: California Youth Authority, Information Systems Section.

CHAPTER V

FUNCTIONS OF A CASE-CARRYING PAROLE AGENT

Role

The functions of a case-carrying agent are primarily dictated by Youth Authority policy and legislative and judicial mandates. These functions are also influenced by the community in which the parole agent operates.[1/]

Out of 61 parole agents whom we interviewed[2/], about two-thirds thought protection of society to be the most important role of a parole agent. One-fourth considered direct services to parolees to be the most important role, while one-tenth believed that to be a "change agent" was the most important, and emphasized counseling and treatment. The responses reflect a shift in emphasis from a presumably more treatment-oriented approach in the early 1970s as suggested by IPEP to a more surveillance-oriented approach. This change was brought on by, among other factors, a recent series of court mandates ensuring wards' rights.[3/] The impact of such mandates can be partially gathered from interviews with the parole agents. Several expressed concerns regarding the time constraints on their casework

---

1/ In fact, a host of other factors affect the functions and roles of a case-carrying parole agent. Among these factors are the personal philosophies of the agents themselves as well as the philosophies of the corresponding unit supervisors and possibly even those of the zone administrators and individual Board members.

2/ These included Parole Agents I, Parole Agents II (Specialists), and Parole Agents III (Unit Supervisors). See Appendix B.

3/ See Chapter I.

imposed by "too many mandates and due dates." The objective of ensuring wards' rights has necessitated more investigative work as well as more paperwork. Moreover, as some agents pointed out, it has intensified certain incongruities in their role. For example, agents must be both the parolee's advocate and the person to control and treat the parolee.[4/]

The extent to which parole agents can manifest their roles also depends on the diversity and availability of community resources. Where communities are accepting of parolees and resources are available and accessible, agents can more easily take the treatment and service approach. On the other hand, it is also possible that community involvement, e.g., on the part of the police, can increase the work of the parole agent.

The role of parole agents also varies according to the policies of local probation officers and the courts. The frequency of recommitments by courts affects the revocation actions taken by parole agents. The extent of the services and information provided by probation officers may determine the nature and extent of the contacts made by the parole agent in those cases in which both are involved.

Time Distribution

The functions of parole agents are reflected by the distribution of their worktime. The CYA has done several studies of the time distribution of case-carrying parole agents. In the most recent one, 1975 data on the time spent in various activities are compared with 1969, 1973, and 1974 data.[5/]

[4/] Conflict of roles played by parole agents is inherent in the demand for the agents to simultaneously protect society by supervising and reporting parolees for violations, and to treat and rehabilitate parolees. This point is dealt with in detail by E. Studt in People in the Parole Action System: Their Tasks and Dilemmas, (University of California at Los Angeles, Institute of Government and Public Affairs, 1971). The recent court mandates regarding wards' rights have extended such areas of possible conflict.

[5/] California Youth Authority, 1975 Parole Agent Time Study, (Sacramento, July 1975).

We have chosen to concentrate on the time distributions for 1973 and 1975 in order to eliminate some of the administrative and policy differences prior to 1973 which would have affected the data in the study.

Between 1973 and 1975 there has been a 92.5 percent increase in the time spent on violation investigations (Table 4). In 1975 4.9 more hours per week were used on this activity than the 5.3 hours used in 1973. Most of the increase has been in violation report writing, which has risen 300 percent (from one hour per week to three hours per week). Of the average 44.0 hours worked per week in 1973, violation investigations accounted for only 12 percent of the work-week. In 1975, this activity took up 23.6 percent of the average total 43.3 hours worked per week. According to the CYA, this increase has been the direct result of recent court mandates.[6/]

The increased time spent on investigations has been compensated for by a decrease in time spent on administrative tasks--particularly office duties and professional development--and in time spent on other case-related services including community resource development and collateral contacts with local law enforcement, probation departments, and families of parolees, etc. It should be pointed out that the time study applies only to case-carrying agents; it is thus possible that some of these tasks were assumed by unit supervisors and assistant supervisors.

The overall average time spent per week on direct services and case-work supervision has remained relatively constant. A case-carrying agent spent 13.3 hours per week in 1973 on direct services (30.2 percent of the work week) as compared to 13.2 hours (30.5 percent) in 1975. Thus, it seems

---

6/ Ibid., pp. 8-10.

TABLE 4

TIME DISTRIBUTION OF CASE-CARRYING PAROLE AGENTS:[a]/ 1973-1975

Activity	1973 Hours	1973 Percent	1975 Hours	1975 Percent	Change Hours	Change Percent
Average Hours Worked Weekly	44.0	100.0	43.3	100.0	-0.7	-1.6
Direct Services	13.3	30.2	13.2	30.5	-0.1	-0.08
Violation Investigations	5.3	12.0	10.2	23.6	+4.9	+92.5
Other Case Related Services	8.4	19.2	6.5	14.9	-1.9	-22.5
Administrative[b]/	16.9	38.5	13.4	30.9	-3.5	-20.7

SOURCE: CYA, 1975 Parole Agent Time Study, (Sacramento, July, 1975).

[a]/Non-civil service employees and paraprofessionals are excluded.

[b]/Administrative activities include 1) professional development--attending training courses and reading publications; 2) office duties--all miscellaneous non-case-related activities such as reading departmental memoranda, routine correspondence, telephone calls, training or supervising paraprofessional and clerical staff, etc.; 3) department assignments--serving on committees or task forces, attending administrative meetings, etc.; and 4) travel, except travel time used for violation investigations. A further breakdown of time spent on various administrative tasks for 1973 and 1975 is as follows:

Time Distribution of Case-Carrying Parole Agents for

Activity	1973 Weekly Hours	1973 Percent	1975 Weekly Hours	1975 Percent	Change Hours	Change Percent
ADMINISTRATIVE	(16.9)	(38.5)	(13.4)	(30.9)	(-3.5)	(-20.7)
Professional Development	3.0	6.7	2.1	4.8	-0.9	-30.0
Office Duties	7.8	17.7	5.3	12.2	-2.5	-1.9* -24.4
Dept. Assignments	--	--	0.6	1.4	+0.6	
Travel	6.1	13.9	5.4	12.5	-0.7	-11.5

*For 1973, separate data for department assignments were not available. Most likely, such assignments were considered as office duties.

that the contention by the CYA that the increase in investigative and paper work brought on by recent court decisions has taken away time previously spent on casework is not well-supported.

Based in part, on the above contention, the CYA has proposed to the Department of Finance that a reduction in the caseload size from 50:1 to 25:1 be considered. However, an analysis of the time distribution of activity by caseload size which is included in the CYA's 1975 time study reveals no definite support for the proposal. In Table 5 we compare the time distribution in 1975 of agents carrying an assigned caseload of 50-59 (the current budgeted size in regular parole) with that for agents carrying an assigned caseload of 20-29 (the average size in the Community Parole Centers).[7/] It is evident from this data that the time spent on direct services remains relatively constant in both caseload size groups, resulting in a greater amount of time per case in the smaller caseloads (0.55 hours per week as compared with 0.25 hours). While the total amount of time spent on investigations is less in small caseloads, once again it is greater on a per-case basis for this group (0.3 hours per week as compared with 0.2 hours). The overall decrease in investigative time in smaller caseloads seems to be compensated for by increases in time spent on other case-related services and administrative duties rather than on direct parolee contacts. Once again, the biggest difference in administrative time is in the category "office duties," representing all miscellaneous non-case-related activities. Although factors such as the different characteristics of the wards under regular parole versus special programs should be taken into account before any definite conclusions can be drawn,

[7/] The CYA time study data was aggregated into caseload size groups with ranges of 10. Thus, those ranges which included the budgeted ratio in regular parole (50:1) and that for the community parole centers (25:1) were used.

TABLE 5

TIME DISTRIBUTION OF CASE-CARRYING
PAROLE AGENTS BY CASELOAD SIZE
1975

	50-59		20-29		Change	
	Hours	Percent	Hours	Percent	Hours	Percent
Average Hours Worked Weekly	44.2	100.0	42.7	100.0	-1.5	-3.4
Direct Services	13.5	30.5	13.3	31.2	-0.2	-1.5
Violation Investigation	11.7	26.5	7.6	17.7	-4.1	-35.0
Other Case-Related Services	6.2	14.0	7.7	18.1	+1.5	+24.2
Administrative[a/]	12.7	28.7	14.2	33.3	+1.5	+11.8

SOURCE: CYA, 1975 Parole Agent Time Study, (Sacramento, July, 1975).

[a/] A further breakdown of time spent on various administrative tasks is as follows:

Activity	Caseload Size 50-59 Weekly Hours	50-59 Percent	20-29 Weekly Hours	20-29 Percent	Change Hours	Change Percent
ADMINISTRATIVE	(12.7)	(28.7)	(14.2)	(33.3)	(+1.5)	(+11.8)
Professional Development	2.0	4.5	2.5	5.9	+0.5	+25.0
Office Duties	4.7	10.6	6.6	15.5	+1.9	+40.4
Dept. Assignments	0.2	0.5	0.7	1.6	+0.5	+250.0
Travel	5.8	13.1	4.4	10.3	-1.4	-24.1

the data do not render solid support for the conclusion that a lower caseload size results in agents using more time for casework. It appears that a smaller caseload does allow more time for agents to spend on each case, but it is not clear that additional time is directed to casework.

Contacts With Parolees

The functions of case-carrying parole agents were examined further by analyzing contact patterns of parole agents with parolees. Out of 227 sample cases, we found that contacts[8/] are most frequent within the first 12 months of parole (Appendix F). Specifically, for special projects[9/] the number of contacts is highest within the first 12 months, while after the twelfth month, contacts fall to around one or two per month, each lasting between 40 and 60 minutes. However, for regular parole, the frequency of contacts per month drops below two after six months on parole, with contacts ranging between 20 and 50 minutes each. (See Figures 3 and 4.)[10/] Some fluctuations in the frequency and duration of contacts are found for both regular and special parole programs beyond 24 months of parole. However, the sample size for groups with long periods of parole is small, and conclusions based on such small samples are often uncertain.

Looking at the differences in contact patterns between regular and special parole and relating these differences to the violator rates per 100 cases for the two types of programs for 1975-76, no relationship was found. The violator rate per 100 for special programs ranges from 2.0 to

8/Contacts do not include phone contacts.

9/"Special project" data were limited to CPC's and the San Francisco Treatment Unit, the only nonresidential programs designed to provide intensive services.

10/Both the frequency and duration of contacts for regular as well as special parole rise around the twelfth month of parole. This may be indicative of the need to contact parolees for the annual case-review.

FIGURE 3

NUMBER OF CONTACTS PER PAROLEE PER MONTH
BY LENGTH OF STAY ON PAROLE

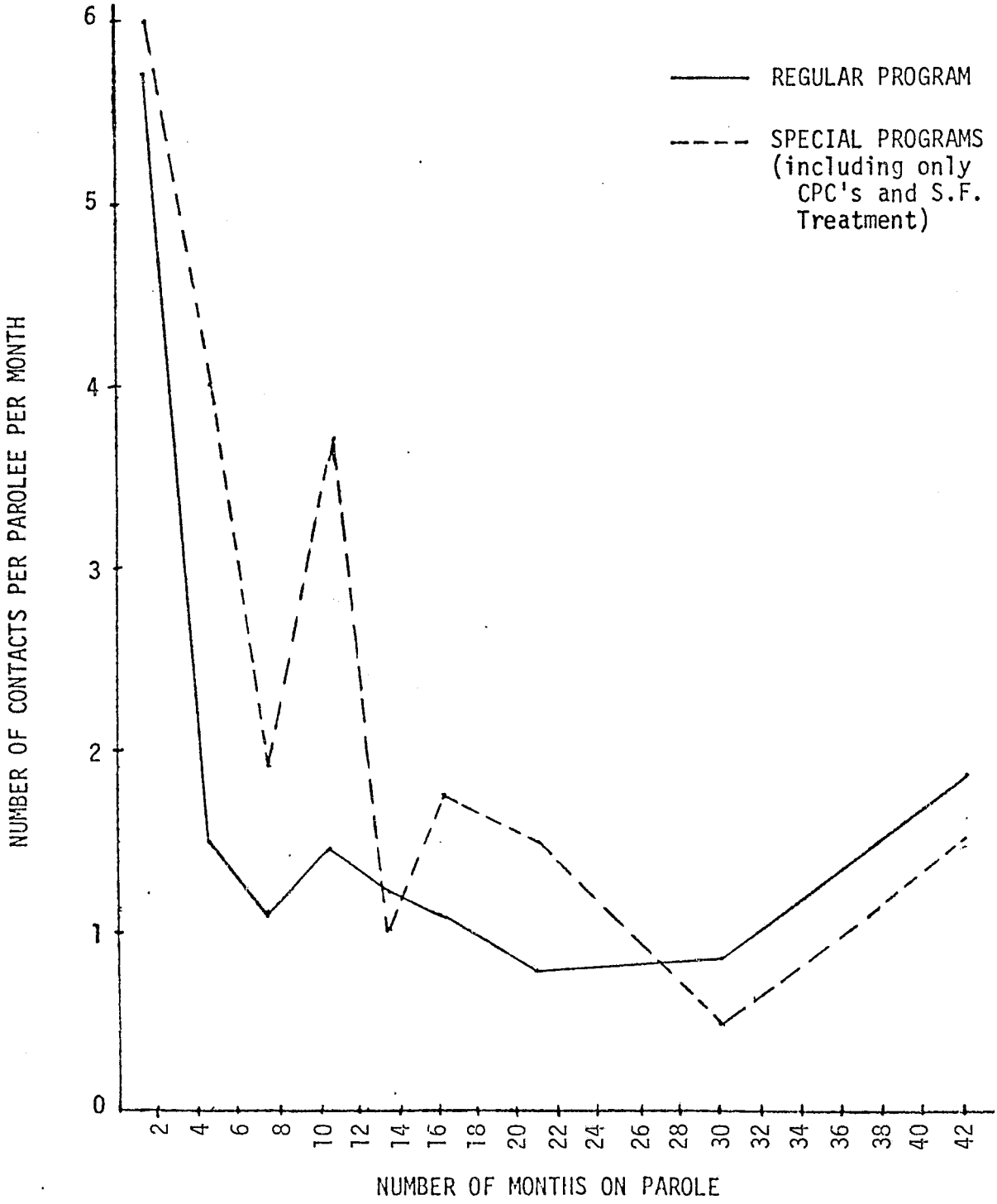
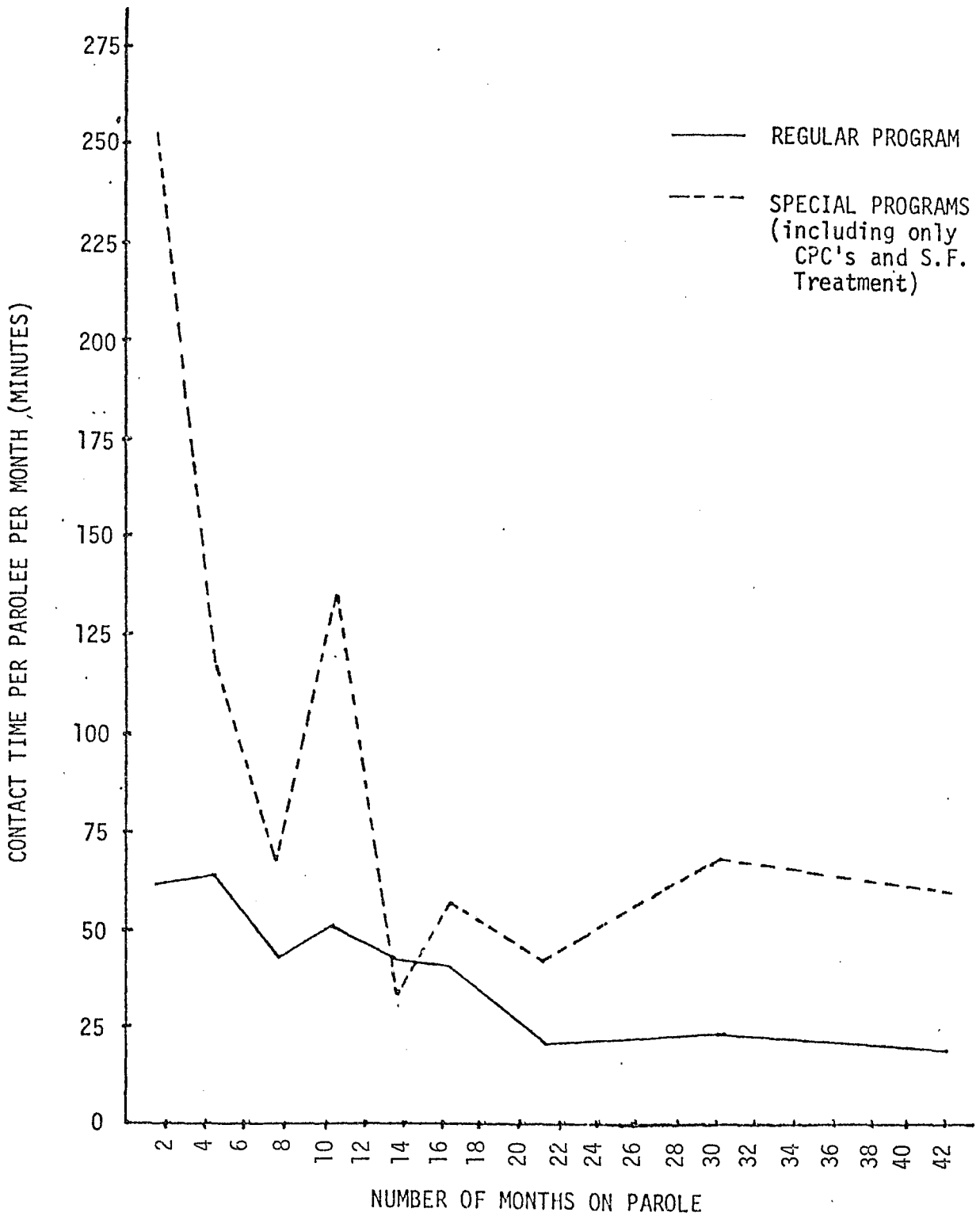


FIGURE 4

CONTACT TIME PER PAROLEE PER MONTH
BY LENGTH OF STAY ON PAROLE



3.1, and from 1.8 to 3.3 in regular parole.[11/] It is necessary, however, to remember that the characteristics of the parolees are different under the different parole programs, and the frequency and duration of contacts do not necessarily reflect the nature and the quality of help and treatment rendered to parolees.

The more frequent contacts at the beginning of parole coincide with the period of the highest percentage of removals from parole due to violations.[12/] While this suggests that surveillance may lead to violation or violation identification, it can also suggest that an increase in violations has necessitated increased surveillance. It is therefore difficult to identify the exact cause-effect relationship when using aggregate data. Hence, no conclusion should be drawn from this observation. The relationship between contact time and the frequency of parole violation would need to be traced on a case by case basis to determine the possibility of a causal relationship.

Direct Expenditures on Parolees

An examination of the relationship between expenditures on parolees and average violator rates showed that there was no correlation between these two variables. There are significant variations in expenditures among parole units. For fiscal year 1975-76, the Los Angeles South unit had the highest total parolee expenditures of more than $91,000 while the Downey unit accounted for about $16,000. Per parolee, this represented about $350 and $76 respectively, while the statewide average was $220 per parolee. These expenditures include such items as cash assistance, medical expenses, clothing,

---

11/ CYA, Information Systems Section. Rates applied to California Supervision cases only.

12/ The percentages of total removals from parole due to violation are highest in the first seven months of parole. See CYA Annual Report for various years.

transportation, group activities, foster homes (group and individual), independent placements, and meals. The greatest proportion of expenses was for placements (supervised living arrangements)[13/] and housing. In fiscal year 1975-76, these items accounted for 63.2 percent of all expenditures on parolees.

Expenditures on parolees are greater in special programs, though variations among units are still large. For fiscal year 1975-76, Watts CPC spent an average of $215 per parolee while SPACE's expenditures per parolee averaged $908.

Expenses on parolees necessarily vary with the availability of community resources. In some units, employment is generated for selected parolees and is reflected by the expenditure item "ward pay." In San Francisco, where labor union membership is necessary for employment, the parole office may pay union fees for the parolees. In other instances, job placement fees may be incurred.

When parole agents were asked during our interviews whether there was a need for more funds to spend on the individual cases included in our sample, the general response was negative.[14/] Only 22.8 percent of the 189 cases needed additional funds in the parole agent's judgment. For most cases needing more funds, the money would be used to purchase tools necessary for employment or to enroll parolees in trade training programs.

In our interviews with a small non-random sample of wards[15/]--both successful parolees and those who have recently been recommitted to the CYA--

---

13/Some placement expenditures include expenses for meals also.

14/It should be noted, however, that Federal drug program funds, which will be terminated soon, have been available for expenditure on parolees in recent years.

15/The wards in the sample were chosen by the CYA.

14 out of 34 (or 41.2 percent) responded that their parole agents had helped them financially, either moderately or very much, and 13 out of 34 (38.2 percent) did not see any need for financial help from their agents. Only seven out of 34 (20.6 percent) had received less than their desired amount of financial assistance.

Thus, from a sample of both the parole agents' and parolees' points of view, there does not appear to be any substantial need for additional funds for ward expenditures at this time.

CHAPTER VI

LENGTH OF PAROLE

Over the past ten years, the average length of stay on parole for CYA wards has been increasing; this trend, however, has begun to reverse. The change in trend reflects the recent increase in "early" discharges resulting from the new discharge policy mentioned earlier.[1/] Table 6 demonstrates the changes in nonviolational discharges during time periods for which data were available. The proportion of "early" discharges[2/] in the first half of 1976 has doubled from the previous few years.

TABLE 6

COMPARISON OF NONVIOLATIONAL DISCHARGES
BY TIME FROM EXPIRATION
FOR SELECTED YEARS

	1965-66[a/]	1972-73[a/]	1975[b/]	1976[b/]
"Early" 45 Days or More Prior to Expiration	62.1%	28.8%	27.1%	54.2%
At Expiration	35.5	63.0	67.8	44.2
"Late" 45 Days or More After Expiration	2.4	8.2	5.1	1.6
	100.0%	100.0%	100.0%	100.0%

SOURCE: CYA, Information Systems Section.

a/Two-month sample from each fiscal year (September and March).
b/Six-month sample for January-June.

1/Chapter I.
2/"Early" discharges are those occurring prior to 45 days before the expiration of the CYA's jurisdiction.

This new policy direction together with the lack of definitive research in this area prompted us to examine the effect of parole length on post-discharge criminal behavior. A comparison was made between two groups of wards selected from 1975 "good"[3] discharges who had no prior commitments to the Youth Authority and who were discharged "early". The groups were differentiated by parole length; the short parole group had an average parole length of about one and one-half years, while the average parole period for the other group was about three and one-half years. The arrest records[4] for the two groups were compared both during their parole terms and after discharge from parole. Appendix G provides a detailed description of the selected samples and the analyses performed.

Statistical analysis of the arrest information yielded the following findings and conclusions for the selected parolee groups:

1. A small percentage of the sampled parole population was responsible for the identified criminal activity in any period.
2. The group with a longer parole length had significantly more arrests than the short parole group during the first 18 months on parole, which may generally explain the longer parole length of the second group. The majority of the parolees in the long parole group, however, had no arrests during this first eighteen-month period. Thus, from the arrest data, it is unclear why these parolees were kept on parole so long.
3. There was no significant difference in the arrest records of the

[3]"Good" discharges are parolees discharged while not in violation of parole, i.e., those who were not removed from parole due to revocation, recommitment or violational discharge.

[4]Because of the recency of the data, we were unable to use our recommended measure--convictions. See discussion in Appendix G.

two groups beyond the first eighteen months of parole. The rate of criminal activity remained constant whether or not a group was under parole supervision. Thus, it appears that the long parole group was kept on parole longer than desirable.

4. Very few parolees were involved in criminal activity in later periods when they were arrest-free in the initial periods of parole.

These findings suggest that it may be possible for the CYA to identify those parolees with high expectations of no subsequent arrests or convictions in order that they can be discharged from parole without an extended period of stay. These findings, therefore, offer tentative support to the new discharge policy adopted by the Youth Authority Board. In order to further test our hypothesis, however, *we recommend that similar analyses be conducted by the CYA, with larger sample sizes and longer post-parole periods. These analyses should consider sub-populations which we have excluded: recommitments, revocations, violational discharges, and good discharges at expiration and after expiration, as well as additional parole lengths.*

Length of Parole and Type of Supervision

Since approximately ten percent of the parolees in both the short and long parole groups were under Community Parole Center supervision (i.e., in small caseloads), the length of parole and arrest records were further examined in relation to the type of unit supervising the parolee. No significant difference was found between the arrest and parole records of those supervised in Community Parole Centers and those under regular parole supervision. In addition, of those supervised under Community Parole Centers approximately two-thirds were without arrests during the first 18 months of parole; this figure is very similar to that for the regular parole group.

Length of Parole and Parole Cost

The length of parole affects the cost of parole administration. Total parole costs include salaries for parole field staff; general administrative costs, i.e., expenditures for office rentals, maintenance, facilities operations, travel, contractual services, etc.; and direct expenditures on parolees, i.e., placement, medical expenses, transportation, etc. Using these costs, we find that the average cost per parolee per year has increased from $385 in 1964-65 to $1,415 in 1974-75. In 1975, the cost of keeping a parolee on parole for one month was approximately $119.

If we assume that the cost of keeping a parolee for an extra month is the same as the average cost per parolee per month, then the extra cost of prolonging the length of parole of any one ward for another month is $119.[5/] To obtain a more realistic cost figure, however, we weighted the cost per parolee per month by the proportion of contact time by parole agents. It is noted that of the sample cases selected in our field study, 42.85 percent had been on parole for more than 12 months. This group accounted for 32.54 percent of the total contact time in a month by the parole agents we interviewed. In Appendix H, the parole cost per parolee per month for those with more than 12 months of parole is computed to be approximately $90.35. If we assume that for 1975-76, 42.85 percent of the total parole population (7,653) was on parole for more than 12 months, then keeping this group on parole for an extra month would add an additional $296,285 in expenditures. Viewed from this perspective, the average length of parole is significant from a fiscal standpoint.

5/ This assumption gives us the upper limit for the cost of an additional month of parole.

Other costs may be involved in keeping a parolee on parole for an extra month, however. Specifically, these include such social costs as employment barriers imposed by the person's parolee status.[6] Many social costs, however, are difficult to accurately identify and still more difficult to quantify.

On the other hand, there are extra benefits to be considered when determining whether to keep a parolee on parole for an extra month. These benefits, too, are difficult, if not impossible, to quantify. The objective of parole is to protect society and to prevent further criminal activity by wards during and after parole. It is difficult, however, to estimate the number of criminal offenses that might have occurred had the wards not been kept on parole for any period or at any one point in time. However, one crude partial estimate of the benefit of a longer parole length is the post-discharge criminal offense record--the frequency of law enforcement contacts in terms of arrests and convictions.

For our sample of 'good' and 'early' discharges with short parole lengths, there were 16 arrests in the first six months following discharge from parole. Of these, only three resulted in convictions.[7] Assuming that these arrests could have been prevented by keeping the group of 98 parolees on parole for an extra six months, it would have cost approximately $53,000. Implicit in this assumption is the additional assumption that we cannot predict the likelihood of recidivism by parolees. However, our findings in the previous section indicate that for the subpopulation of 'good' and 'early' discharges in 1975, there may be a certain degree of predictability as to who

---

[6] When we asked parolees if there had been any negative aspects of parole many pointed out that being a parolee had limited employment opportunities.

[7] For the group with a longer parole length, the post-discharge records show that in the first six months after discharge, there were a total of 13 arrests, of which four resulted in convictions.

will recidivate. To that extent, not all 98 parolees in the group need to be kept on parole for an extra six months, lowering costs accordingly.

Obviously, the 16 arrests cannot be weighted equally in estimating the cost to society of an extra arrest. As explained earlier, the number of arrests may not be a true reflection of the actual level of criminal activity. Further, regardless of whether convictions or arrests are used as an index, it is necessary to look at the nature of each arrest and conviction. The cost of each arrest varies according to the seriousness of the offense, the time in the court process, and the expenses incurred throughout the process. The costs of a crime, in terms of damages to persons or property, must be considered. If the conviction entails any period in incarceration, there will be additional expenses. It is necessary, therefore, to obtain quantifiable estimates of these costs for a range of criminal offenses before a valid cost-benefit evaluation of variations in parole length is feasible.

A further assumption upon which this analysis is based is that parole does prevent criminal behavior. If this assumption does not hold, then a longer parole length would not in itself generate any of the benefits suggested above. Thus far, no study has been done to compare the effect of parole and the effect of "straight release" (that is, direct discharge from an institution without parole); hence, there is no baseline data to support or refute our assumption.

One possible way to verify whether parole prevents criminal behavior is to implement experimental projects designed to control the nature of services rendered parolees during parole, and to trace and compare recidivism rates during and after parole. The Summary Parole Program of the California Department of Corrections, described in Chapter IV, is designed to compare recidivism rates for parolees under summary parole with those for parolees

under traditional parole supervision. If there is no significant difference in the recidivism rates, this may indicate that traditional parole does not prevent criminal behavior better than summary parole, which entails a substantially lower cost of operation. Similarly, by comparing the recidivism rates of the respective groups under the CYA's proposed Differential Status Project, relevant data regarding the relative impact of different parole programs on the prevention of criminal behavior could be collected, and the role of parole in preventing recidivism could be further tested.

Until we can ascertain whether and to what extent, parole does prevent criminal behavior, a rigorous evaluation of the parole program is not feasible. We therefore believe that carefully designed experimental programs similar to the ones discussed above should be implemented and studied.

CHAPTER VII

CASELOAD SIZE

Since the completion of IPEP in 1973, the regular parole program has been budgeted at a caseload ratio of 50 to one. This caseload ratio[1] is defined as:

$$\frac{\text{Total parolees in regular parole program}}{\text{Parole Agents I + Parole Agents II (Specialists) - "Exempt" Parole Agents}} = 50{:}1$$

where "total parolees in regular parole program" is the average daily population of all parolees under California supervision, minus the total number of parolees in special programs.[2] The average daily population estimates are revised quarterly to insure budgetary compliance. Appendix I gives the actual caseload ratios for fiscal years 1972-73 to 1975-76 using the CYA caseload formula.

Calculating the Active Parolee Population

As calculated by the CYA, the numerator of the caseload ratio is the actual average daily population (ADP) under regular parole supervision. However, if the number of missing parolees and the number of parolees in CYA facilities and non-CYA facilities are considered, and the total ADP on regular parole adjusted accordingly, the "active" caseload ratio would be lower than the currently budgeted ratio of 50:1.

1/Definitions of caseload ratios furnished by CYA Administrative Services Division.

2/These special programs include CPC's, the San Francisco Project, and community residential centers.

It was obvious during our review of parole cases that, at any point in time, the "active" caseload for an agent is indeed smaller than the assigned caseload for the reasons suggested above. For example, in one sampled case, the ward had been on parole thirteen months and had never contacted the parole agent; less extreme instances were common. On June 30, 1976, the percentage of CYA parolees in county jails and in CDC and CYA institutions for at least one month accounted for almost four percent of total parolees; and in 1975 the number of parolees missing was almost eight percent of the total, with an average AWOL duration of 4.9 months. The impact of AWOL's on the parole caseloads can be further demonstrated by AWOL discharges in one year. The 247 AWOL discharges in the 1975-76 fiscal year served an average of 35 months on parole. Their actual parole supervision time amounted to less than 22 months each on an average. An aggregate of over 3,200 months for these wards were unsupervised but were counted on the parole caseloads.[3/]

We recommend, therefore, adjusting the ADP to exclude the "missing parolees" and "parolees detained or incarcerated" in order to obtain the "active" caseload. These two categories should include those who are missing or those who are in a county jail, juvenile hall, or CYA detention center, etc. for more than one month. Wards who have been missing for less than one month should be considered to be part of the active caseload to allow for the work time necessary to apprehend these youth; similarly, time should be allotted to continue working with those who are incarcerated for short periods of time. Making these adjustments, the "active" parole caseload was computed in order to gain a realistic representation of actual workload demands. Of the 6992 parolees (ADP) in the regular parole

3/All data provided by the CYA Information Systems Section, with the exception of the AWOL duration which was estimated from parolee contact data collected from parole agents.

program in 1975-76, at any one time an estimated average of 221 were missing and 266 were incarcerated for more than one month. The "active" caseload was then 6505, or 93 percent of the total ADP, with the result that the "active" caseload ratio was 47.2:1, rather than the budgeted level of 50:1. These calculations are shown in Table 7.

Determining the Number of Parole Agents

In computing the denominator of the caseload ratio, it seemed to us that several factors should be considered, including the so-called "exempt" positions and the number and uses of parole aides. "Exempt" positions are those which are not normally included in computations of the caseload ratio because they were approved on the basis of particular tasks which were added to the parole workload. In 1975-76, these totalled 21, including six agents in the Missing Ward Units, three for the Morrissey hearings, seven for the Gagnon-Scarpelli hearings and five designated as "special case credit".[4/] For the most part, however, these positions were used as regular case-carrying agents. In some cases the original purpose of "exempt" positions had almost been forgotten; for example, we found it difficult to obtain an explanation of the "special case credit" positions from current CYA staff. In addition, while the six "exempt" parole agent positions in the Missing Ward Units did not carry cases,[5/] these agents worked on missing cases which were being carried in other parole agents' caseloads. Thus the "exempt" positions directly impacted parole agent workload. The extent of this impact can be seen by recomputing the "active"

4/Information furnished by CYA Administrative Services Division. See Chapter I, page 8, for a discussion of the requirements imposed by the Morrissey and Gagnon vs. Scarpelli cases.

5/The Missing Ward Units were discontinued June 30, 1976.

TABLE 7

ACTIVE PAROLE CASELOAD
REGULAR PROGRAM
FISCAL YEAR 1975-76

Total Parole Agents[a/]	137.9
Caseload	
Average Daily Population	6,992
Missing[b/]	(221)
Detained or Incarcerated[c/]	(266)
Active Caseload	6,505
Active Caseload Ratio	47.2

a/Excludes positions exempt from the caseload ratio.

b/Average daily missing wards is computed from annual technical violations for missing wards as reported to CYA Information Systems Section and from estimates of average missing months derived from Parole Agent Questionnaires.

c/Average daily incarcerated wards is computed on a percentage basis from month-end CYA Information Systems Section reports.

caseload ratio (as shown in Table 7) with the 21 "exempt" positions added to the "total staff." The result is an "actual" caseload ratio of 40.9:1 for 1975-76--nearly one-fifth smaller than the budgeted size.

Another factor led us to question the current use of the "exempt" concept. While "exempts" are justified and approved based on a certain number of person-years' work, the workload they represent is actually proportionate to total parole caseloads. Thus, as the parole population has decreased, the number of person-years required for "exempt" tasks has also decreased, although the number of "exempts" allocated to those tasks has remained the same. Conversely, if the parole population were to increase substantially, the workload for those tasks would become greater than that represented by the approved "exempt" positions. Since the parole program as a whole is budgeted on the basis of a caseload ratio, budgeting the "exempts" on a position-by-position basis appears inaccurate as well as confusing.

We acknowledge the value of the "exempt" concept in allowing recognition of special situations in the budgetary process. For the reasons cited above, however, *we recommend that the use of the "exempt" concept in CYA parole program budgeting be limited, with "exempt" designations subject to periodic review. The first such review should occur when the implications of SB 42 (1976) are fully understood, or no later than for consideration during the 1979-80 budget process. In addition, we recommend that the number of "exempt" positions be adjusted annually in proportion to changes in the parole population.*

From our field visits we found that in some units, parole aides[6/]

6/ Paraprofessional job classification designed to provide liaison between parole agents, parolees, and community groups. Parole aides assist parole agents in developing community resources, as well in performing routine tasks.

play a prominent role both in the provision of services and in ward supervision. One parole agent mentioned that his Spanish-speaking parole aide handled all his Spanish-speaking caseload contacts. A parolee interjected that he rarely saw his parole agent, but was supervised by a parole aide. Currently most authorized parole aide positions are special-funded and perform unique functions in special programs, e.g., CETA or drug aides. However, disencumbered parole agent positions in the regular program are sometimes used on a continuing basis to fund parole aides on a two-for-one exchange. *From a budgetary perspective, a one-half count for parole aides thus seems reasonable at this time. As the CYA continues to develop and utilize parole aides as trainee positions in the parole agent career ladder, however, a detailed workload analysis should be done.*

Caseload Size and Special Programs

Special parole programs are budgeted on a per program basis. The Community Parole Center (CPC) program was described in Chapter II. According to a recent CYA evaluation, the CPC's are no longer meeting a number of the original program objectives. Further, they have not been able to demonstrate a reduction in recidivism.[7/] Over the years, the functions of the CPC's and the regular parole program have become very similar.[8/] For these reasons, a critical appraisal of the CPC caseload formula is due. *If the CYA cannot demonstrate that the CPC's outperform regular parole in urban target areas, we recommend that CPC's be included as regular parole units for the 1978-79 budget year in determining parole caseload ratios.*

7/ California Youth Authority, Division of Program Evaluation, Community Parole Center Program, (Sacramento, July 1975), pp. 47, 56.

8/ California Youth Authority, A Comparative Study of the Community Parole Center Program, Research Report Number 63, (Sacramento, January 1973) p. 7.

Other special programs, such as SPACE and the current San Francisco Project, are newer, and, as experimental programs, warrant per program budgeting. *However, we recommend that program termination dates should be set and adhered to unless documentation of program effectiveness is produced by the CYA.*

Other Factors Impacting the Caseload Ratio

As described in Chapter II, a number of studies have addressed the issue of caseload size. In general, the research has not demonstrated that reducing caseload size results in a more effective parole program. In those few instances in which a smaller caseload size was associated with a reduction in recidivism, special characteristics of the study design made any generalizations impossible.

From our review of the research literature, it appeared that little has been done to compare caseload size with the special characteristics of the parolees being supervised. Because it has frequently been pointed out by the CYA that the composition of parole caseloads has changed significantly over the years, this comparison seemed necessary.

The first issue to be addressed in such an analysis must be the identification of those parolee characteristics which make supervision difficult. It appeared to us that a good indicator of such characteristics might be the presence of a high rate of recidivism (as reflected by the rate of parole failure) for certain parolee groups. This should be a particularly appropriate indicator in an era in which violation processing takes up a large portion of the parole agent's time.

The second major issue should be to pinpoint when the shifts in ward

characteristics occurred. As pointed out in Chapter I, most of these shifts happened prior to 1972, when the IPEP program introduced the 50:1 caseload ratio.[9/] These included such changes as a decrease in juvenile court commitments and a slight increase in the average age at first commitment. As demonstrated by failure statistics in Appendix C, these changes should be associated with a reduction in recidivism rates. A further shift, which has continued to this time, has been in the nature of the commitment offense. First commitments due to violent offenses have generally increased while commitments for Welfare and Institutions Code offenses have greatly decreased. Once again, Appendix C indicates that this change in the parole population composition might be expected to lead to a decrease in parole failures. In summary, using recidivism as an indicator, it appears that changes in the parole population should have reduced the work of the parole agent.

Changes in the average parole length should impact the work of the parole agent as well. An increasing parole length, particularly for nonviolators, should signify a less demanding parole caseload. Such a trend has generally been in evidence during the last ten years. However, as discussed in the preceding chapter, a 1975 CYA Board policy decision may have reversed this trend. It now appears that the average length of parole is decreasing and more wards are receiving "early" discharges. If the tendency to discharge wards earlier continues, we would anticipate that the wards remaining on the caseload would be the more difficult cases. The composition of the caseload, in these circumstances, would tend to become increasingly more demanding until the parole length stablilized.

[9/] While the data presented earlier dealt with the characteristics of new commitments to the CYA, there is only an average of one-year lag before these wards enter the parole program.

There is nothing to indicate, however, that it would become any more difficult than it was a decade ago when many of the trends discussed were beginning and a 72:1 ratio was the budgetary caseload standard.

In addition, changes in the average parole length would impact parole agent workload because of the relationship between length of parole and contacts with parolees discussed in Chapter V (pp. 39-42). It was found that both numbers of contacts and total contact time were greater during the early months of parole. Thus, with the average parole length reduced, parole agents would be required to spend a greater amount of time in direct services in order to maintain the current level of contacts. However, we were unable to find a relationship between contacts (or contact time) and parole success. A reduction in caseload size to maintain contacts/contact time would not be appropriate unless such a relationship were demonstrated. This may be a research area that the CYA will wish to explore.

In summary, the last decade has seen a number of changes in the parole population which might be expected to result in a decrease in parole failures and thereby a reduction in the difficulty of parole agent workload. On the other hand, we would expect that recent changes in average parole length might increase the difficulty of the agent's task. *Because of the counterbalancing effect of these changes, we do not believe that consideration should be given to parolee characteristics in setting the budgetary parole caseload ratio at this time.*

Because of the time constraints of our study, this analysis of workload has been limited to two of the factors which impact the parole agent's work (recidivism rates and average parole length). There

are doubtless additional characteristics of the parole population which directly impact parole agent workload--these remain to be identified and quantified. If the average parole length continues to fall substantially, the CYA may wish to address these issues as well as the relationship between contacts/contact time and recidivism. *Once the relationship between characteristics of the parole population and parole agent workload, and the relationship of parole contacts to parole success, are determined, a reevaluation of the components of the budgetary caseload ratio would be in order.*

The "Revised" Caseload Ratio

Based on the considerations spelled out in this chapter, we recommend the adoption of a revised caseload formula for parole budgeting to more realistically represent actual workload demands. The recommended formula is defined as follows:

$$\frac{\text{Total parolees in regular parole}^{10/} + \text{Parolees assigned to CPC's}^{11/} - \text{Missing parolees} - \text{Parolees detained or incarcerated}}{\text{Parole Agents I} + \text{Parole Agents II (Specialist)} + 1/2\ \text{(Parole Aides)} - \text{"Exempt" Parole Agents (adjusted annually)}} = X$$

Since parole research has failed to indicate that a reduction in the caseload ratio below the current level would result in increases in parole program effectiveness, *we further recommend that the caseload ratio continue to be set at the currently budgeted ratio of 50:1.* The effect of the proposed formula on parole program staffing is shown in Table 8.

10/ See definition on page 53.

11/ Inclusion of the CPC's is dependent on the outcome of the recommendation on page 58. If the CPC's are included, the appropriate case-carrying positions should be incorporated in the denominator of the formula.

TABLE 8

IMPACT OF REVISED CASELOAD FORMULA
ON PAROLE STAFFING[a]

	1975-76		1976-77	
	Regular Parole	Regular Parole and CPC's	Regular Parole	Regular Parole and CPC's
A. ADP on Parole	6628	7178	6263	6813
B. Active ADP on Parole[b]	6166	6678	5825	6208
C. Positions Authorized Under Revised Formula: B ÷ 50	123.32	133.56	116.50	124.16
D. Adjusted Exempts[c]	16.95	16.95	22.91	22.91
E. Total Revised Authorized Positions (C+D)	140.27	150.51	139.41	147.07
F. Actual Positions[d] (including exempts)	158.9	189.8	155	187
G. Excess Positions (F-E)	18.63	39.29	15.59	39.93

[a] All ADP figures are based on Information Systems Section data. It is assumed that the 1976-77 ADP for special programs will be the same as that for 1975-76. Position information was provided by CYA budget staff.

[b] The "active" caseload/estimated ADP ratio for 1976-77 is assumed to be the same as the "active" caseload/ADP for 1975-76 which was 0.93.

[c] Computations of exempt adjustments are detailed in Appendix J.

[d] Represents filled positions for 1975-76 and authorized positions for 1976-77.

Distribution of Parole Resources

The effectiveness of the parole program depends not only on the amount of resources available, but on how these resources are used. The budgetary caseload ratio determines the total number of parole agents which the CYA is authorized, but how these agents are deployed is to a great extent left up to the Department. This implies that the potential for significant changes in parole effectiveness lies outside of the budgetary process.

With the exception of the special programs, at the present time the caseload assignments of individual agents are determined for the most part at the unit level. In some units assignments are made geographically, in others randomly, while in some units attempts are made to "match" parolees with agents according to personal characteristics. In most instances, caseload sizes are relatively constant, remaining close to fifty. Within the parameters of their assigned caseloads, agents are to a great extent free to use their time as they see fit. Thus, the decision as to which parolees will receive the most attention involves a great amount of subjectivity.

We recognize that a certain amount of subjectivity is appropriate in any program which provides treatment or services to people. However, we believe that a decision-making framework is needed to facilitate the concentration of resources where the greatest potential for effective utilization exists. Two mechanisms are already available to the CYA to guide their efforts in this direction--the Base Expectancy Tables and the I-level scale.

The Base Expectancy Tables offer a gross method of identifying groups of wards most likely to fail on parole. However, merely

concentrating resources on those groups of parolees most prone to failure does not guarantee the resources will be utilized effectively. This is because of the unproven relationship between parole agent/parolee contacts and parole success.[12/] Until this relationship is clarified, the I-level categorization offers a potential mechanism for allocating parole resources. Earlier CYA studies (notably CTP, discussed on pages 13 and 14) have indicated that there may be a relationship between the treatment accorded certain I-level subtypes and parole success. Some I-level subtypes may do better with intensified treatment, while others may perform more successfully when contacts are minimized. This suggests that the CYA could concentrate parole resources on groups of wards who have a high likelihood of recidivism (based on the Base Expectancy Tables) and who also have an I-level subtype which indicates that some form of intensified contact is desirable. This two-part categorization could best be utilized in setting up caseloads. Smaller caseloads (of perhaps thirty) might then be appropriate for those groups of parolees identified by their Base Expectancy scores and I-level subtypes as most likely to benefit from increased attention. Groups of parolees with a smaller likelihood of recidivism could be assigned to larger caseloads (of perhaps seventy). How much time was spent with an individual parolee would remain a matter of agent judgment. This mechanism is not unlike the structure of the current San Francisco Project.

I-level matching (or I-level matching in conjunction with reduced caseloads) has not been shown statistically to have a causal relationship

12/See Chapter V, pages 39 to 42. As discussed on page 42, a relationship between parole success and ward expenditures has also not been demonstrated.

to improved parole performance (see page 13). Thus, we cannot predict the impact of a mechanism such as described above on the overall effectiveness of the CYA parole program. Rather than recommending a specific method for facilitating the effective deployment of parole resources, our intent here is to suggest that such a mechanism could be developed. We hope that the CYA will use the tools already available to them as a base for further efforts in this direction.

EPILOGUE

Throughout this report we have addressed the need for further research. Perhaps the major finding of this study is that many of the questions we have asked cannot yet be answered. Although a substantial amount of parole research has been carried out, it has not addressed the most fundamental questions. It is not yet known if the parole program and the parole agent can, or do, prevent criminal behavior. If parole can have an impact, it is not known if, and to what extent, the size of parole caseloads affects that impact. Apart from caseload size, the effect of the nature and extent of the contacts between parole agent and parolee has also not been identified.

Because of this scarcity of answers, we have recommended few changes in the CYA parole program. Due to the need to balance fiscal responsibility with the demands of the citizenry for greater protection from crime, these were the only changes which we could endorse confidently at this time. In order to address the unanswered questions, carefully designed research programs are needed. Some specific research suggestions are contained in the body of this report, but they are not all-inclusive. In any research attempt, we reiterate that great care must be taken to avoid the limitations of earlier studies, such as inadequate control groups and inability to isolate the impact of individual variables. Only then can we determine the best application of public funds in bringing about the correction and rehabilitation of youthful offenders.

APPENDIX A-1

PAROLE AGENT QUESTIONNAIRE

1. What do you perceive to be your role(s) as a parole agent? Please rank in order of importance.

   a. Most important_____
   b. _____
   c. _____

2. How do you think your role should be modified for parole to be more effective?

   a. More surveillance and less service than now_____
   b. Less surveillance and more service than now_____
   c. No change from current practice_____

3. (Select case samples)
   For this sample case, specify the CYA number and length of current parole term.

   Have you been the only parole agent for this parolee? (If yes, mark "1") If not, how many agents total?

   How many contacts did you have with this parolee and his family during the two month period from May 1, 1976 to June 30, 1976?

   What was the mode of each contact?

   What was the nature and duration of each contact? If services, please be specific. (Code number of minutes in the appropriate column.)

4. Was this parolee ever on probation?

   a. If yes, specify kind of probation: informal, formal-subsidized, or formal-nonsubsidized.

b. What county?

c. Was the probation term prior to his parole experience or concurrent? (If prior, check.) If concurrent, how many months?

d. If applicable, describe your contact with the probation officer.

5. Did this parolee serve any jail terms lasting more than 30 days while he has been on parole? If yes, how many months?

Were there any other periods of time when the parolee was not under your supervision? Months? (e.g., military, out-of-state or out-of-county?)

6. If you had one or two hours more in June (excluding travel time) to spend with this parolee, what would you have done? (You don't have to use all the extra time.)

What factors influenced your decision?

If you had an extra $50 or $100 to spend on this parolee in June, would you have spent it? If so, how?

7. Assuming that caseload characteristics remain the same as now, what would you consider to be an optimum caseload size?

Justify_____

_____

8. What maximum caseload size could you handle and do a reasonably good job?

9. What measures would you use to evaluate parole effectiveness? Please rank in the order of importance.

a. Most important_____
b. _____
c. _____

10. Do you think the revocation rate is a good measure of parole performance?

Yes_____
No_____

11. How many of your last 10 revocations or revocations during the past year (whichever is smaller) were primarily the result of initial action by:

Action by	Types of Violation: Criminal Offenses	Other W&I Violations	Violations of Other Conditions of Parole	Total No.
Law Enforcement Agency				
Parole Agent				
Others				
Total No.				

12. The following question is posed in order to obtain some idea as to what factors parole agents consider in recommending various actions at case-reviews or in the event of a parole-violation.

Consider the following hypothetical cases. Make a recommendation for either discharge, revocation, or continuation of parole. (See Appendix A-3)

Briefly explain what factors influenced your decision.

13. Personal characteristics of agent:

Year(s) as agent_____
Year(s) in corrections field_____
Educational Level
Assoc. of Arts_____ Major_____
Bachelor Degree_____ Major_____
Masters or above_____ Major_____

Parole Agent Questionnaire, continued

Average caseload size for June 1976 _____
Number of Full Board Cases _____
Number of Special Service Cases _____

14. What kind of training have you had during your service as a parole agent in CYA?

15. What kind of training would you like to have as a parole agent which you have not been able to get?

APPENDIX A-2

UNIT SUPERVISOR QUESTIONNAIRE

1. What do you perceive to be the role(s) of a parole agent? Please rank in order of importance.

   a) Most important _____

   b) _____

   c) _____

2. Do you think the agent's role should be modified for parole to be more effective?

   a) More surveillance and less service than now _____

   b) Less surveillance and more service than now _____

   c) No change from current practice _____

3. Assuming that caseload characteristics remain the same as now, what would you consider to be an optimum caseload size for a case-carrying parole agent (not specialist)?

4. What maximum caseload size do you think a parole agent can handle and do a reasonably good job?

Unit Supervisor Questionnaire, continued

5. What measures would you use to evaluate parole effectiveness?

   Please rank in order of importance.

   a) Most important _____

   b) _____

   c) _____

6. Do you think the revocation rate is a good measure of parole performance?

   Yes _____

   No _____

7. How many of the following worked with you from July 1, 1975 through June 30, 1976? (Express in terms of person-months of position, e.g. 2 aides for 3 months each would be equivalent to 6 person-months of aide-position.

   or 1 aide working 10 hours a week for a period of 2 months is equivalent to 1/2 person- month of aide-position.)

   a) Parole Aides _____

   b) Interns _____

   c) Drug Program Aides _____

   d) Others (specify): _____

   _____

8. How much was spent last fiscal year on special services on <u>all</u> parolees in your unit?

   Placements _____

   Nonplacement services _____

Unit Supervisor Questionnaire, continued

9. Personal characteristics of supervisor

Year(s) as agent: _____

Year(s) as (assistant) supervisor: _____

Year(s) in correctional field: _____

Educational Level

Assoc. of Arts _____ Major _____

Bachelor degree _____ Major _____

Masters or above _____ Major _____

Average caseload size of your parole agents for June 1976

_____

Total number of Full Board Cases _____

Total number of Special Service Cases _____

10. The following question is posed in order to obtain some idea as to what factors unit supervisors consider in recommending various actions at case-reviews or in the event of a parole violation.

Consider the following hypothetical cases. Make a recommendation for either discharge, revocation, or continuation of parole.

Briefly explain what factors influenced your decision. (See Appendix A-3)

APPENDIX A-3

HYPOTHETICAL CASES

HYPOTHETICAL CASE I: ANDY'S CASE

Andy was first committed to YTS at the age of 18, with a record of extended narcotic usage, and three suicide attempts. At YTS, he was observed to be of average intelligence, but highly uncooperative--defying authority constantly.

Upon release from YTS a year later, Andy lived at home with his mother and step-father for a short period. He later moved to be closer to the place of his employment as an electronic machinist. This job did not last long. Within a month, Andy switched employment to work part-time at a gas station; and later, worked as a cook.

One month after his release, Andy was arrested for driving under the influence of narcotics, to which he pled guilty. A week later, he was arrested again for possession of marijuana, but the charge was rejected by the D.A. due to the lack of evidence.

Andy did not have any contact with law enforcement for the following six months, after which he was once again arrested for a possession of marijuana charge. He pled guilty and was sentenced to 30 days in the county jail. The jail sentence was suspended, and Andy was put on a one year summary probation.

CONTINUED

1 OF 2

1. Since then, Andy has had no contact with law enforcement for 12 months. Under such circumstances, what would you recommend regarding his parole status in your case-review report?
2. After another eight months of no contact with law enforcement, Andy was arrested and charged with assault with a deadly weapon. The incident occurred while Andy was visiting the victim. Apparently, the victim was drunk and had started the fight, and Andy attacked the victim with a bottle, inflicting serious bodily injuries on the victim. Andy pled guilty to the charges and was sentenced to one year in jail and five years of formal probation.

   Under the stated circumstances, what would be your recommendation regarding Andy's parole status to the Youth Authority Board? Specify the factors you consider in making your recommendation.

HYPOTHETICAL CASE II: BARBARA'S CASE

Barbara was first committed to the CYA at age 16, for drug use. She was in the Drug Program at Ventura for seven months.

After three years on parole, she was recommitted to CYA by a criminal court for check forgery. During her six months' stay in the institution, she was cooperative, reserved in nature, immature, and easily influenced by others.

Upon release on parole, Barbara is placed with her older sister. Her specific parole conditions include the following: no drug usage, stay with sister, and weekly tests for drugs.

1. After one month on parole, Barbara is arrested on a drunk driving and narcotics possession charge but is convicted of reckless driving after plea-bargaining. She is fined and put on probation for 18 months. What would you recommend to the Board?
2. Barbara continues on parole for a few more months, during which she takes care of her sister's five children and the house chores. Throughout this period, her sister is sick in bed. Barbara also assists in her brother-in-law's traveling sales job by taking messages in his absence. However, she is not taking the weekly drug tests, and continues to associate with delinquents.

   Barbara was recently charged with narcotics use and is sentenced to 90 days in the county jail.

   What would you recommend to the Board?
3. If the parolee has a baby, how does the situation affect your recommendation?

TABLE A-3-1

RECOMMENDATIONS FOR HYPOTHETICAL CASES--BY TYPE OF PAROLE PROGRAM

Cases		Recommendation made by Agents [a]	Recommendation[b]						Total
			Revocation	Continuation	Discharge			No Change	
					Honorable	Dishonorable	General		
I Andy's Case	Part 1 (12 months)	Regular Parole	--	24 (58.5)	16 (39.0)	--	--	N.A.	41 [c] (100%)
		Special Programs	--	13 (68.4)	6 (31.6)	--	--	N.A.	19 (100%)
	Part 2 (Assault)	Regular Parole	6 (14.6)	10 (24.4)	--	21 (51.2)	4 (9.8)	N.A.	41 (100%)
		Special Programs	6 (31.6)	8 (42.1)	--	4 (21.0)	1 (5.3)	N.A.	19 (100%)
II Barbara's Case	Part 1 (Reckless Driving)	Regular Parole	9 (22.0)	32 (78.0)	--	--	--	N.A.	41 (100%)
		Special Programs	3 (15.8)	16 (84.2)	--	--	--	N.A.	19 (100%)
	Part 2 (Narcotics use)	Regular Parole	15 (36.6)	26 (63.4)	--	--	--	N.A.	41 (100%)
		Special Programs	7 (36.8)	12 (63.2)	--	--	--	N.A.	19 (100%)
	Part 3 (Baby)	Regular Parole	--	--	--	--	--	41 (100.0)	41 (100%)
		Special Programs	--	--	--	--	--	19 (100.0)	19 (100%)

a/ Agents include both case-carrying parole agents and unit (or assistant) supervisors.
b/ Numbers in parentheses represent percentages.
c/ One parole agent (accounting for 2.5% of the total responses) did not offer a recommendation for this part.

APPENDIX B

FIELD CONTACTS

Total Unit Supervisors and Parole Agents Interviewed by Type of Program

Staff Interviewed	Type of Program: Regular Parole	Special Program[a/]	Total
Unit Supervisor	15	8	23
Parole Agents (I & II--specialists)	27	11	38
Total	42	19	61

Total Parolees Interviewed by Type of Program

Type of Program	Honorably Discharged/To be discharged	Revoked/Re-committed	Total
Regular Parole	14	16	30
Special Program[a/]	4	--	4
Total	18	16	34

Total Cases Sampled by Type of Program

Regular Parole	223
Special Program[a/]	59
Total	282

a/ Special Programs include CPCs, SPACE and San Francisco project.

APPENDIX C

VIOLATION STATUS OF WARDS RELEASED TO CALIFORNIA PAROLE SUPERVISION, 1971 BY SELECTED CHARACTERISTICS

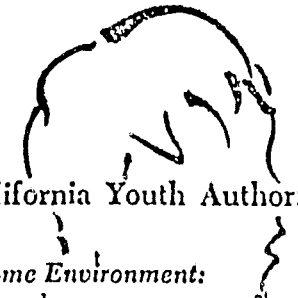
(Showing percent removed for violation within 48 months of parole exposure)

Characteristics	Total			Juvenile court			Criminal court		
	Number released	Number violators	Percent violators	Number released	Number violators	Percent violators	Number released	Number violators	Percent violators
Total	6,251	3,473	55.6	3,763	2,276	60.5	2,488	1,197	48.1
Admission Status									
1st commitments	3,556	1,848	52.0	2,002	1,197	59.8	1,554	651	41.9
P.V. returns	2,695	1,625	60.3	1,761	1,079	61.3	934	546	58.5
With new commitment	936	571	61.0	265	170	64.2	671	401	59.8
Without new commitment	1,759	1,054	59.9	1,496	909	60.8	263	145	55.1
Ethnic Group									
Caucasian	3,311	1,758	53.1	1,963	1,125	57.3	1,348	633	47.0
Mexican-American	1,118	655	58.6	682	435	63.8	436	220	50.5
Negro	1,700	994	58.5	1,042	672	64.5	658	322	48.9
Other	122	66	54.1	76	44	57.9	46	22	47.8
Age at Release									
8-15	513	356	69.4	513	356	69.4	-	-	-
16	648	392	60.5	648	392	60.5	-	-	-
17	971	652	67.1	967	651	67.3	4	1	25.0
18	1,063	602	56.6	973	571	58.7	90	31	34.4
19	1,020	546	53.5	414	228	55.1	606	318	52.5
20	1,151	525	45.6	233	76	32.6	918	449	48.9
21	597	264	44.2	14	1	7.1	583	263	45.1
22 and over	288	136	47.2	1	1	100.0	287	135	47.0
Offense									
Homicide	81	33	40.7	45	19	42.2	36	14	38.9
Robbery	602	301	50.0	235	136	57.9	367	165	45.0
Assault	504	284	56.3	343	206	60.1	161	78	48.4
Burglary	997	600	60.2	482	318	66.0	515	282	54.8
Theft	1,151	688	59.8	651	423	65.0	500	265	53.0
Sex offense	194	93	47.9	139	68	48.9	55	25	45.5
Narcotic and drug	1,038	477	46.0	315	171	54.3	723	306	42.3
W & I	1,256	752	59.9	1,254	751	59.9	2	1	50.0
Other	428	245	57.2	299	184	61.5	129	61	47.3

Source:
California Youth Authority
Division of Research
Information Systems Section
051476

APPENDIX D

WARD PROFILES



A California Youth Authority Male:

His Home Environment:

1. Forty-three percent came from neighborhoods which were below average economically, 50 percent came from average neighborhoods, and 7 percent from above average neighborhoods.
2. Thirty-two percent lived in neighborhoods with a high level of delinquency, and 37 percent in moderately delinquent neighborhoods. Only 6 percent lived in neighborhoods considered non-delinquent.
3. A significant proportion (37 percent) came from homes where all or part of the family income came from public assistance.

His Family:

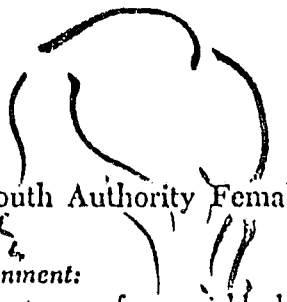
1. Thirty percent came from unbroken homes. One natural parent was present in an additional 59 percent of the homes.
2. One-half of the wards had at least one parent or one brother or sister who had a delinquent or criminal record.
3. Only 3 percent were married at the time of commitment, and 6 percent had children.

His Delinquent Behavior:

1. Sixty-eight percent had five or more delinquent contacts prior to commitment to the Youth Authority. Fifty-seven percent had been previously committed to a local or state facility.
2. The major problem area for 43 percent was undesirable peer influences.

His Employment/Schooling:

1. Of those in the labor force, 13 percent were employed full time while two-thirds were unemployed.
2. Twenty percent were last enrolled in the ninth grade or below. Fifty-three percent had reached the eleventh grade when they were first committed and 10 percent had graduated from High School.



A California Youth Authority Female:

Her Home Environment:

1. Forty-five percent came from neighborhoods which were below average economically, 45 percent came from average neighborhoods, and 10 percent from above average neighborhoods.
2. Twenty-nine percent lived in neighborhoods with a high level of delinquency and 41 percent in moderately delinquent neighborhoods. Only 7 percent lived in neighborhoods considered non-delinquent.
3. A significant proportion (37 percent) came from homes where all or part of the family income came from public assistance.

Her Family:

1. Twenty-three percent came from unbroken homes. One natural parent was present in an additional 68 percent of the homes.
2. Over one-half of the wards had at least one parent or one brother or sister who had a delinquent or criminal record.
3. Eight percent were married at the time of commitment and 19 percent had children.

Her Delinquent Behavior:

1. Fifty-four percent had five or more delinquent contacts prior to commitment to the Youth Authority. Forty-three percent had been previously committed to a local or state facility.
2. The major problem area for 40 percent was mental or emotional problems.

Her Employment/Schooling:

1. Of those in the labor force, 6 percent were employed full time while 85 percent were unemployed.
2. Twenty-one percent were last enrolled in the ninth grade or below. Fifty-two percent had reached the eleventh grade, and 6 percent had graduated from High School.

Source: CYA Annual Report 1975, page 12.

APPENDIX E

THE STATISTICAL SIGNIFICANCE OF PAROLE FAILURE RATE TRENDS

The graph on page 31 shows the rate of Parole Failure per 100 on parole, for the years 1965-1975.

Linear regression analysis corresponding to the above two variables (parole failure rate and year) resulted in the following equation:

$$y = 41.909 - 1.1545\ X$$

where X = No. of years after 1964

and y = rate of parole failure per 100 on parole

The simple correlation coefficient for the above data was found to be -0.7972 and was significant at $\alpha = 0.05$. The table below gives the data which were used for the graph and in computing the regression equation.

Year	No. of Years After 1964	Parole Failures	Average Parole Population	Parole Failure Rate Per 100 on Parole
1965	1	5,777	14,328	40.3
1966	2	5,867	15,158	38.7
1967	3	6,169	15,049	41.0
1968	4	5.947	14,712	40.4
1969	5	5,544	14,554	38.1
1970	6	4,661	14,199	32.8
1971	7	3,925	13,647	28.8
1972	8	3,600	12,605	28.6
1973	9	3,357	10,849	30.9
1974	10	3,089	9,216	33.5
1975	11	2,620	8,275	31.7

SOURCE: CYA, 1975 Annual Report, Table 20, p. 31 and Table 28, p. 39.

APPENDIX F

CONTACTS PER PAROLEE PER MONTH
BY LENGTH OF STAY ON PAROLE

Month on Parole	Regular Parole			Special Program		
	Number of Parolees	No. of Contacts per Parolee per Month	Contact Time per Parolee per Month(in mins)	Number of Parolees	No. of Contacts per Parolee per Month	Contact Time per Parolee per Month(in mins)
0-3	37	5.7	120.4	4	6	254.5
4-6	26	1.5	64.35	4	4	117.5
7-9	24	1.15	43.9	5	1.9	68.5
10-12	26	1.45	51.2	6	3.7	136
13-15	23	1.22	43.3	4	1.0	35
16-18	14	1.10	42.2	2	1.75	57.5
19-24	22	0.8	20.5	3	1.5	42.5
25-36	3	0.85	24.6	2	0.5	67.5
37-48	3	1.85	20.0	1	1.5	60
49 and over	3	0	0	0	-	-

The total number of sample cases in the study was 282, but the total for which contact information was available was only 231, with 200 in regular parole and 31 in special programs.

Per month data were obtained by averaging contact data for May and June 1976.

APPENDIX G

ANALYSIS OF RELATIONSHIP BETWEEN PAROLE LENGTH AND POST-DISCHARGE CRIMINAL BEHAVIOR FOR SELECTED SAMPLE

As described in the text, a comparison was made between two groups of wards selected from 1975 "good" discharges[1/] and differentiated by parole length. Eliminated from the analysis were wards of two types: (1) those with prior commitments, to partially equalize prior history and control its possible effect on parole length decisions, and (2) those wards who were not discharged "early", since their parole length is a function of CYA jurisdiction and not of parole agent decision.

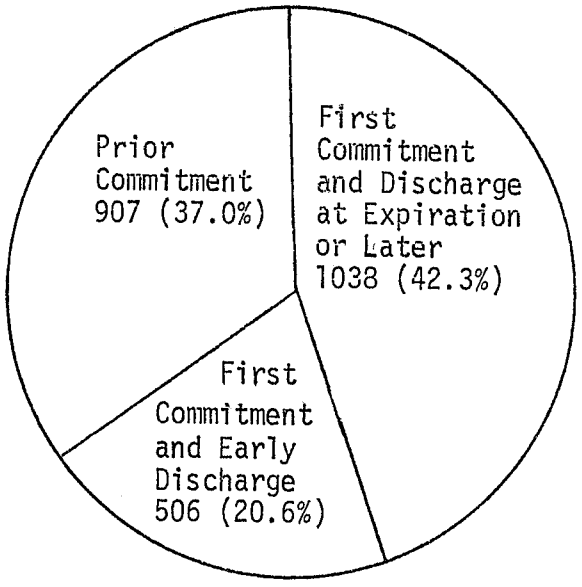
The distribution of the 506, "good", "early", first commitment, 1975 discharges by length of stay on parole revealed a wide variation in individual parole lengths. Two samples were selected; extreme values, such as one ward who was on parole for ten years, were excluded. The second and third deciles of the distribution were chosen for the group with shorter parole length; wards in this group were on parole from 433 to 642 days (14.2 to 21.1 months). The second group (the eighth and ninth deciles) had a longer length of stay on parole of between 1,095 and 1,415 days (36 to 46.5 months). The original sample size of 101 was reduced for each group because complete data were not available for some former CYA wards. The analysis, therefore, was limited to 98 ex-parolees in the first sample and 94 in the second sample. The sub-population from

[1/] For definitions see Chapter VI, pages 45-46 and the Glossary, pages xvii to xix.

which these two samples were selected comprises 20.6 percent of the "good" discharges as illustrated by Figure G-1.

FIGURE G-1

"GOOD" DISCHARGES--1975



Data for characteristics of these two groups were obtained from CYA research staff and data on arrests and convictions were obtained from official criminal record files, both for the parole term and for the post-discharge period.

Characteristics of the Two Samples

The two groups were found to be very similar. There were no significant differences[2/] for court of commitment, sex, race, type of commitment offense, Full Board status, parole zone, type of parole program (regular versus special), and age at release to parole. Age at discharge from parole was the only variable which was significantly different (20.47 years in the first group and 21.77 years in the second); this is to be expected because of the similarity in ages at release to parole and the difference in average parole lengths. Table G-1 presents a summary of these characteristics for the two groups.

Criminal Activity During Parole and After Discharge from Parole

Criminal activity was measured by the number of arrests. Although an analysis of conviction records would be ideal for most follow-up studies, the recency of the one year post-discharge period in this analysis did not allow sufficient time for dispositions of all arrests. For this reason, and because we can assume both groups had equal exposure to arresting agencies, arrests seemed a reasonable measure in a comparative analysis of criminal behavior.

2/ All tests for statistical significance were performed at the 95 percent confidence level. In other words, there is less than 5 percent chance that the differences between the two groups are due to non-random factors.

TABLE G-1

CHARACTERISTICS OF TWO GROUPS OF GOOD, EARLY, 1975 CYA FIRST COMMITMENT WARDS DISCHARGED FROM PAROLE

Characteristics	Frequencies for Group 1 (Short Parole)	Frequencies for Group 2 (Long Parole)	Is the Difference Between Group 1 and 2 Significant at $\alpha = .05$?
Court of First Commitment			
• Juvenile	31	27	Not significant
• Adult	67	67	$X^2 = 0.08$
Sex			
• Male	89	83	Not significant
• Female	9	11	$X^2 = 0.11$
Race			
White	61	56	Not significant
• Mexican-American	17	13	
• Black	18	23	$X^2 = 1.24$
• Others	2	2	
Age at Release to Parole			
16 or below	9	18	
17	8	8	Not significant
18	14	10	
19	19	18	$X^2 = 4.84$
20	28	26	
21 or above	19	13	
Age at Discharge (Years)			
15	1	1	
17	5 14	1 7	Significant
18	8	5	
19	13	6	$X^2 = 51.91$
20	15	14	
21	26	7	
22	25	14	
23	2	29	
24	2 5	17 46	
25	1	0	

TABLE G-1 (Continued)

Characteristics	Frequencies for Group 1 (Short Parole)	Frequencies for Group 2 (Long Parole)	Is the Difference Between Group 1 and 2 Significant at α = .05?
Commitment Offense			
• Homicide	1	2	
• Robbery	22 (23)	25 (27)	Not significant
• Assault	9	7	
• Sex	1 (10)	2 (9)	
• Burglary	17	14	$X^2 = 4.37$
• Theft	21	11	
• Drugs	19	24	
• Miscellaneous Felony	5	6	
• Miscellaneous Misdemeanor	3 (8)	3 (9)	
Full-Board Status			
• Full-Board	14	16	Not significant
• Not Full-Board	84	78	$X^2 = 0.10$
Parole Zone			
• Zone I (San Francisco & North Coast)	42	28	
• Zone II (Valley)	26	23	Not significant
• Zone III (Los Angeles)	11	15	
• Zone IV (Southern Calif. except LA)	9	17	$X^2 = 6.10$
• Out-of-State	10	11	
Parole Program			
• Regular Program	88	85	Not significant
• Special Program	10	9	$X^2 = 0.01$

Criminal activity, as measured by the number of arrests, was classified by 18 month parole length intervals and is displayed for the two groups in Table G-2. This period was selected because the first group had an average length of stay on parole of about 18 months. Those on parole less than 18 months had no post-parole arrests occurring less than 18 months from the date of institutional release.

TABLE G-2

ARRESTS WHILE ON PAROLE

Number of Arrests	Number of Parolees		
	Group 1 First 18 Months	Group 2 First 18 Months	Group 2 Second 18 Months
0	83	59	74
1	9	22	15
2	4	10	5
3	1 (6)	3 (13)	0 (5)
4	1	0	0
Total	98	94	94

The data were statistically analyzed by using the chi-square (χ^2) test, which allows us to compare the two groups of data and to determine if a difference in criminal activity exists. Comparisons of the data presented in Table G-2 resulted in the following findings:

- Group 2 (First 18 Months on Parole) was significantly different from Group 1 (First 18 Months on Parole) in terms of criminal activity ($\chi^2 = 11.96$).

- Group 2 (Second 18 Months on Parole) was not significantly different from Group 1 (First 18 Months on Parole) in terms of criminal activity ($\chi^2 = 2.09$).
- Group 2 compared with itself during the first and second 18 months on parole was significantly different in terms of criminal activity ($\chi^2 = 6.57$).

This shows that the second group was involved in more arrests than the first group during the first 18 months on parole, which may generally explain the longer parole length of the second group. It should be noted, however, that while there were significant differences between the two groups, the majority of the parolees in Group 2, like the majority of the parolees in Group 1, had no record of arrests. Thus, from the arrest data it is unclear why these parolees were kept on parole so long.

The analysis also shows that there was a decline in the rate of criminal activity for Group 2 during the second 18 months of parole. In order to further examine the impact of this longer period of parole on post-discharge performance, we compared arrests for this period with those occurring after parole discharge. To correct for differing lengths of exposure, only a portion of this parole period (the nineteenth through the thirtieth months) was used. These data are presented in Table G-3 below, which shows that there was no significant difference in the rate of criminal activity in these two one-year periods ($\chi^2 = 0.03$).

TABLE G-3

ARRESTS FOR GROUP 2:SELECTED
PAROLE AND POST-DISCHARGE PERIODS

Number of Arrests	Number of Parolees in Group 2	
	19th-30th Months of Parole	One Year Post-Discharge Period
0	75	77
1	18	12
2	1 (19)	2 (17)
3	0	3
Total	94	94

Further, analysis of the distribution of arrests and convictions for the two groups after discharge from parole (Table G-4) indicated that the groups were not significantly different in terms of criminal activity ($\chi^2 = 0.0738$).

TABLE G-4

ARRESTS AFTER
DISCHARGE FROM PAROLE[a/]

Number of Arrests	Number of Parolees	
	Group 1	Group 2
0	79	77
1	13	12
2	4 ⎫ 6	2 ⎫ 5
3	2 ⎭	3 ⎭
Total	98	94

[a/] Time period represented averages one year.

From the previous discussion it appears that the second group (with a parole length of 36 to 46.5 months) was kept on parole longer than desirable for effectiveness and efficiency, since their performance on parole after the first 18 months was not significantly different from that after discharge and their post-discharge behavior also did not differ from that of the group with a shorter parole period. Further studies with

comparison periods smaller than 18 months should be conducted to find an appropriate range of parole lengths for this parole sub-population.

Data comparing parole and post-parole behavior of all wards in the sample are shown in Figure G-2. The two groups were combined in this analysis in order to study the predictability of post-parole behavior from arrests during parole. This longitudinal perspective reveals that the vast majority of wards (83.8 percent) who had no arrests during the first 18 months of parole remained arrest-free in the post-discharge period as well. Wards with only one arrest in the initial period also performed well after discharge, while those with two or more arrests performed only slightly worse. Because of the small number of arrests in the sample, the statistical significance of the differences in arrest rates could not be adequately determined.

FIGURE G-2

COMPARISON OF PAROLE AND POST-PAROLE CRIMINAL BEHAVIOR FOR A SELECTED SAMPLE OF 192 PAROLEES

NUMBER OF ARRESTS DURING THE FIRST 18 MONTHS OF PAROLE	FREQUENCY (AND PERCENTAGE) IN: GROUP 1	GROUP 2	TOTAL	FREQUENCY (AND PERCENTAGE) IN: GROUP 1	GROUP 2	TOTAL	NUMBER OF ARRESTS DURING THE POST-DISCHARGE PERIOD
				69, (83.1%)	50 (84.7%)	119 (83.8%)	NONE
				11, (13.3%)	6 (10.2%)	17 (12.0%)	ONE
NONE	83, (100%)	59 (100%)	142 (100%)	2, (2.4%)	1 (1.7%)	3 (2.1%)	TWO
				1, (1.2%)	2 (3.4%)	3 (2.1%)	THREE OR MORE
				6, (66.7%)	18 (81.8%)	24 (77.4%)	NONE
				1, (11.1%)	4 (18.2%)	5 (16.1%)	ONE
ONE	9, (100%)	22 (100%)	31 (100%)	1, (11.1%)	0 (0%)	1 (3.2%)	TWO
				1 (11.1%)	0 (0%)	1 (3.2%)	THREE OR MORE
				3, (75%)	7 (70%)	10 (71.4%)	NONE
				0, (0%)	2 (20%)	2 (14.3%)	ONE
TWO	4, (100%)	10 (100%)	14 (100%)	1, (25%)	1 (10%)	2 (14.3%)	TWO
				0, (0%)	0 (0%)	0 (0%)	THREE OR MORE
				1, (50%)	2 (66.7%)	3 (60%)	NONE
				1, (50%)	0 (0%)	1 (20%)	ONE
THREE OR MORE	2, (100%)	3 (100%)	5 (100%)	0, (0%)	0 (0%)	0 (0%)	TWO
				0, (0%)	1 (33.3%)	1 (20%)	THREE OR MORE

APPENDIX H

PAROLE COST PER PAROLEE PER MONTH[a/]

Average Cost Per Parolee Per Month[b/]	=	$119
Total Cases in Sample	=	231
Total Cost Per Month	=	231 x $119 = $27,489
Percent of Parolees with Over 12 Months of Parole	=	42.85%
Percent of Contact Time Spent on Parolees with Over 12 Months of Parole	=	32.54%
Cost on Parolees with Over 12 Months of Parole		
Weighted by Percent of Contact Time Per Month	=	$27,489 x 32.54% = $8,944.90
Cost Per Parolee with Over 12 Months of Parole		
Per Month	=	$8,944.90/(0.4285 x 231) = 90.36

a/Computations based on data for 231 sample cases.
b/See discussion on page 48 for derivation.

APPENDIX I

CASELOAD RATIO FOR REGULAR PAROLE

Fiscal Year	Actual ADP on Regular Parole[a] (1)	Filled Number of PA I (2)	Filled Number of PA II[b] (3)	Total Case-Carrying Parole Agents (4)	Number of Exempted Positions (5)	Adjusted Case-Carrying Parole Agents[c] (6)	Actual Caseload Ratio ((1)/(6))
1972/73	10815	178.2	47.7	225.9	11	214.9	50.3
1973/74	8690	151.4	43.6	195.0	14	181.0	48.0
1974/75	7575	132.9	41	173.9	21	152.9	49.54
1975/76	6992	119.7	39.2	158.9	21	137.9	50.70

a/Data on Average Daily Population do not include the number supervised under special programs.
b/Starting from 1972/73, Parole Agents II have been classified as assistant supervisors PA II, specialists. Only the specialists are included in the computation of caseload ratios.
c/This is the figure used in computing the actual caseload ratio.

APPENDIX J

"EXEMPT" ADJUSTMENT BY PAROLE POPULATION

"Exempt" Positions	(A) Initiated in	(B) Number of Positions	(C) ADP on Parole when Initiated	(D) ADP on Parole 1975-76	(E)[a] Change in Positions After Adjustment 1975-76	(F)[b] Adjusted Total Positions 1975-76	(G)[c] ADP on Parole 1976-77	(H)[a] Change in Positions After Adjustment	(I)[b] Adjusted Total Positions 1976-77
Missing Ward Unit	1974-75	6	8327	7653	0.48	5.52	7288	-- [e]	-- [e]
Special Case Credit[d]	1966-67	5	14743[d]	7653	2.40	2.60	7288	2.53	2.47
Morrisey	1973-74	3	9546	7653	0.60	2.40	7288	0.72	2.28
Gagnon/Scarpelli	1974-75	7	8327	7653	0.57	6.43	7288	0.84	6.16
Valrie/LaCroix[f]	1976-77	4	7288	--	--	--	7288	--	4.00
Reduced Referral Time[f]	1976-77	8	7288	--	--	--	7288	--	8.00
Total Adjusted "Exempt" Position	--	--	--	--	--	16.95	--	--	22.91

[a] Changes in positions after adjustment = initial number of positions X $\left(\frac{\text{initial ADP on Parole - ADP on Parole of Current Period}}{\text{initial ADP on Parole}}\right)$
i.e. (E) = (B) X $\frac{(C)-(D)}{(C)}$; (H) = (B) X $\frac{(C)-(G)}{(C)}$

[b] Adjusted total positions (F) and (I) = Number of Positions (B) - Changes in Positions After Adjustment (E or H)

[c] ADP on Parole for 1976-77 is estimated

[d] "Exempts" for Special Case Credit have existed since prior to 1966-67. ADP on Parole for 1966-67 is the average of the ADP on Parole for 1966 and that for 1967.

[e] "Exempt" positions for the Missing Ward Unit were discontinued June 30, 1976

[f] "Exempt" positions for Valrie/LaCroix and Reduced Referral Time are considered to be fully justified for 1976-77 parole population

END