

# Crime and Criminal Justice in Iowa

VOLUME VII:

RECIDIVISM

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CRIME AND CRIMINAL JUSTICE IN IOWA

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STATE OF IOWA  
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OFFICE FOR PLANNING AND PROGRAMMING

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## PREFACE

This report is the seventh volume of a series of reports falling under the common title "Crime and Criminal Justice in Iowa." The series summarizes much of the analytic work of the Iowa Statistical Analysis Center (SAC) during its first year of operation. The Iowa SAC is a federally funded program in the Office for Planning and Programming dedicated to the orderly development and dissemination of criminal justice statistics in the state.

The Crime and Criminal Justice Series represents an attempt by SAC to gather together as much meaningful statistical information as possible on the processing of adult offenders through the criminal justice system in Iowa. The information was obtained from various sources, including federal and state reports on crime and arrests, court statistics published biennially by the Iowa Board of Parole, and a large data base of offender information maintained by the Iowa Department of Social Services.

In Volume I of the series an attempt was made to provide a wide range of basic statistics on crime and criminal justice, with information presented in the general order of offender movement through the system. Topics included reported crimes and arrests, pre-trial release, court delay, court dispositions and sentencing, probation and parole, time served, correctional populations, and recidivism. Volume I was intended to serve as a "statistical overview" from which more detailed information and analyses could stem in subsequent volumes of the series. This seventh volume of the series deals with recidivism, expanding upon Chapter XIV of Volume I.

The information on recidivism contained in Volumes I and VII brings together many of the results of a follow-up study of 2231 offenders released from Iowa prisons by parole or upon expiration of sentence during the 3½ year period from July 1, 1973 through December 31, 1976. An attempt was made to develop recidivism statistics of sufficient depth and breadth to allow a comparison of rates for Iowa with rates for other states and jurisdictions. In so doing, rates were generated based on a variable follow-up period ranging from three to 48 months, and according to a range of definitions of recidivism encompassing various combinations of offender behavior and system response, including new criminal charges (of varying levels of seriousness), parole revocation, and new criminal convictions or commitments.

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## SUMMARY

The Statistical Analysis Center has recently completed a study of recidivism for the state prison system in Iowa. The study examined post-prison involvements of 2231 male and female offenders for up to four years after release. Some of the major findings of the study are as follows:

### GENERAL RECIDIVISM STATISTICS

- 1) Recidivism rates vary substantially according to the length of follow-up and the definition of recidivist events. Great care should be taken in the discussion of recidivism to prevent invalid comparisons based on differing measures of post-prison involvement.
- 2) Within one year of release, 13.7% of the 2231 ex-inmates had returned to prison by revocation of parole or on a new commitment, including 8.5% with new felony charges and 5.2% for new misdemeanors or technical violations of parole. An additional 5.6% were charged with new criminal offenses, but either were not convicted or received non-prison sentences. In all, 14.8% were charged with new crimes, including 11.2% with new felonies and 3.6% with misdemeanors only.
- 3) Within two years of release, 22.4% had returned to prison, 14.4% with new felony charges and 8.0% with misdemeanors or technical violations. An additional 9.0% were charged with new crimes, but were not returned. In all, 24.5% were charged with new crimes, including 19.0% with new felonies and 5.5% with misdemeanors only.
- 4) Within three years of release, 27.2% had returned to prison, 19.7% for new felony charges and 7.5% for misdemeanors or technical violations. An additional 12.2% were charged with new crimes but were not returned. In all, 33.2% were charged with new crimes, including 25.9% with new felonies and 7.3% with misdemeanors only.
- 5) Within four years of release, 28.9% had returned to prison, 22.6% for new felony charges and 6.3% for misdemeanors or technical violations. An additional 16.4% were charged with new crimes but were not returned. In all, 40.4% were charged with new crimes, including 31.9% with new felonies and 8.5% with misdemeanors only.
- 6) Of 925 new criminal charges filed against members of the study population (2231 offenders), 643 or 69.5% were felonies and the remaining 282 or 30.5% were misdemeanors. Crimes against persons (167) included 132 felonies and 35 misdemeanors. Crimes against property (405) included 360 felonies and 45 misdemeanors. Also charged against ex-inmates were 61 drug crimes (33 felonies and 28 misdemeanors), 162 alcohol-related

crimes (45 felonies and 117 misdemeanors), and 130 other crimes of various types, including 73 felonies and 57 misdemeanors. These charges were accrued during a total of 82,770 months of follow-up (average 37.1-month follow-up per offender).

- 7) The percent of offenders charged with felonies against persons or serious Part I felonies against property increased from 7.3% after one year, to 12.6% after two years, 17.1% after three years, and 19.9% after four years.

#### FACTORS ASSOCIATED WITH RECIDIVISM

- 8) Factors found to distinguish recidivists from non-recidivists establish that younger, more-career-intense offenders with serious juvenile records record higher recidivism rates than older offenders with extensive adult records. The older "habitual" criminals include many with lower recidivism rates who would have received mandatory prison sentences under the new criminal code. In addition, offenders convicted of crimes that now call for mandatory sentences under the new code recorded lower recidivism rates than other (mostly property) offenders.
- 9) Although offenders involved in work release, vocational training, and educational programs had somewhat higher recidivism rates than other offenders, these differences can be explained by a "higher-risk profile" of those so-involved. Furthermore, statistical analysis establishes the possibility of an association between reduced recidivism rates and extended incarceration and parole supervision.
- 10) Recidivism research in Iowa has led to the development of several methods of "risk assessment" that identify potential recidivists quite accurately. Such methods can be used by the Iowa Board of Parole and other institutional, pre- and post-institutional screening staffs to reduce recidivism rates and enhance the safety of the general population.

## I. QUESTIONS ABOUT RECIDIVISM

From the research and evaluation perspective, corrections must necessarily take a favorable position among social service delivery systems with its readily available criterion of success or failure, namely recidivism. No other single measure of post-program adjustment in the social services area is the subject of more analysis and debate than is recidivism. Whenever a new corrections program has operated for at least six months, it seems that concerned parties are clamoring to learn of its recidivism rate, without mind to the nature of events to be measured or the length of follow-up.

Recidivism rates which are "too high" seem to suggest the lack of effectiveness and/or the need for correctional reform, while "low rates" serve to illustrate in simple terms the "exemplary" nature of programs' delivery of services. The frequency with which recidivism rates are quoted as measures of program success or failure would seem to suggest that legitimate interpretations are easily drawn from them. Nothing could be further from the truth, however. Recidivism is, in fact, a function of a large number of factors that work in varying degrees of interdependence. Unless and until sufficient care is taken to sort through these factors and to identify the relative contributions of each to the gross level of recidivism, few meaningful conclusions will be drawn from recidivism statistics.

### HOW SHOULD RECIDIVISM BE DEFINED?

The first and foremost difficulty in the study of recidivism is one of definition. How shall recidivism be defined? Ideally, recidivism should encompass all criminal acts committed by persons who have previously been convicted of a crime and have subsequently received some sort of correctional treatment. One readily apparent limitation is that criminal activity cannot be attributed to a particular party unless an arrest has occurred or a charge filed in criminal court. Recidivism rates thus under-represent true recidivism by an amount dependent on the efficiency of law enforcement and/or the ability of recidivists to avoid apprehension and/or prosecution.

Furthermore, there is little agreement as to which forms of "system reprocessing" - to borrow a phrase used by Robert Martinson<sup>1</sup> - should be counted as recidivism. Should all "re-arrests"

<sup>1</sup> Robert Martinson and Judith Wilks, Recidivism and Research Design: Limitations of Experimental Control Research, paper delivered at the National Conference on Criminal Justice Evaluation, Washington, D.C., February 24, 1977.

be counted, or only those leading to conviction? The National Advisory Commission on Criminal Justice Standards and Goals recommended that recidivism be measured by reconvictions, since crimes not leading to conviction have not been verified by court action. <sup>1</sup>

The restriction of recidivism to reconviction, however, further widens the gap between offender behavior and the method of measuring it. There are numerous pros and cons on both sides of this argument and no attempt will be made here to justify one form of measurement over another. To avoid the necessity of choice, rates have been presented in this series of reports in enough detail to include almost any measure of recidivism worth considering.

#### HOW LONG SHOULD OFFENDERS BE FOLLOWED?

Another difficulty in defining recidivism concerns the length of time during which recidivist acts or events are measured. Ideally, of course, it would be appropriate to follow an offender indefinitely or until death. In practice, however, such inordinately long periods of follow-up are not available, necessitating the selection of a specific period that can support reliable statistical measures. The difficulty with selecting a specific period is that recidivism is naturally time-dependent, i.e., recidivism rates grow as the follow-up period is extended. Shorter periods are more readily available, but may not reflect a significant portion of recidivist events. Longer periods require more foresight in data collection and, in addition, allow a wider gap in time between correctional treatment and recidivism, thus weakening the hypothetical connection between the two.

A specific period or periods must be selected, however, and usually every attempt is made to incorporate a period which is as long as possible. The National Advisory Commission recommended a three year follow-up period, which in practice is very nearly the upper limit that can be comfortably embraced. In fact, many recidivism studies have had to work with periods of follow-up of one year or less. In some studies, length of follow-up actually varies from case to case as offenders are followed to a specific date in time rather than for a specific period. Such studies yield almost worthless recidivism rates unless some measure of the "typical" length of follow-up is specified.

In line with the perception of recidivism as a "time-dependent" phenomenon, it would seem logical to allow for a variable length of follow-up. In this way, recidivism rates would reflect both shorter term and longer term failures, which may be of a distinctly different nature. For example, technical violations of parole are more apt to occur early in the release period, thus more severely penalizing offender groups prone to technical violations but

<sup>1</sup>National Advisory Commission on Criminal Justice Standards and Goals, Task Force Report: Corrections, Washington, D.C., 1973, p. 512.

not to more serious criminal acts. Accordingly, recidivism rates are presented in this series for sixteen follow-up periods ranging in three-month intervals from three to forty-eight months. In some cases, rates are given only at yearly intervals, and in special cases where the data do not support reliable rates for longer periods, consideration is limited to two or three-year follow-up.

Since the Crime and Criminal Justice series provides recidivism rates only up to four years following release, nothing is known at this time about truly "long term" recidivism for adult correctional institutions in Iowa. Some indication can be obtained, however, from the results of a recidivism study of 903 offenders released from federal prisons in the United States in 1956 and followed for 18 years.<sup>1</sup> Taking recidivism to include parole violation (revocation) and new sentences for felony or felony-like offenses, this group recorded a recidivism rate of 63% after 18 years. This rate is very close to what would be an "indefinite" recidivism rate for the group since the rate "levels off" gradually over the 18-year period with 94% of 18-year failures occurring within 10 years. By way of comparison, yearly rates increase from 15% after one year, to 34% after two years, 43% after three years, and 48% after four years. Thus 76% (48%=76% of 63%) of the recidivism for 18 years has occurred within four years. If this same relationship existed for Iowa data, then similar rates appearing in this series would grow by 32% if extended to an 18-year follow-up.

#### SHOULD THE SERIOUSNESS OF EVENTS BE CONSIDERED?

One further difficulty with the generation of recidivism statistics lies in the extent of specification of the seriousness of new charges or violations. The most common specification distinguishes felonies, misdemeanors and technical violations of release conditions. In some cases, consideration is limited to certain categories of seriousness, such as felonies, while in others separate statistics are kept for each level of seriousness, the latter being the course adopted for presentation of recidivism statistics in this series.

Seriousness is an important consideration in defining recidivism since it dictates to a great extent the nature of events to be counted. Rates based solely on more serious involvements are of course smaller. On the other hand, such rates are often more meaningful since they ignore lesser forms of recidivism that may not be of general concern.

In studying recidivism for the state prison system, it should be recognized that a person convicted of a misdemeanor cannot be sent to prison, unless of course the offender has violated probation

<sup>1</sup>Howard Kitchener, Annesley K. Schmidt, and Daniel Glaser, "How Persistent is Post-Prison Success?," Federal Probation, March, 1977.

or parole in the process of committing such a crime. From this perspective, new misdemeanors and technical violations of parole are not of the same genre as new felonies, which could lead to commitment whether or not the offender was under parole supervision. It makes sense, then, to keep statistics on new felony involvement separate from statistics on "less serious" forms of recidivism. Additionally, it is logical to keep statistics on the level of seriousness of new felony charges, since not all felonies are judged of equal-seriousness by the general public or by system decision-makers. Certainly crimes against persons, many of which are of a violent nature, are more cause for concern than crimes against property. Secondarily, property crimes such as burglary, larceny, and motor vehicle theft, which are categorized as (serious) Index or Part I crimes, are watched more closely than are most other crimes not against persons (which are included among Part II crimes).

With this logic in mind, it was decided that recidivism rates should be broken down in this series so that the relative incidence of the following five levels of seriousness of new involvement could be determined:

- 1) TECHNICAL VIOLATIONS OF PAROLE;
- 2) MISDEMEANORS;
- 3) PART II FELONIES NOT AGAINST PERSONS;
- 4) PART I FELONIES NOT AGAINST PERSONS;
- 5) FELONIES AGAINST PERSONS.

#### WHAT FACTORS AFFECT RECIDIVISM?

As stated above, recidivism is a function of a large number of factors that have varying degrees of interrelationship. One of the main challenges of recidivism research is to sort these various factors into a few manageable categories and to attempt statistically to determine the relative contribution of each to the overall level of recidivism. It should be noted that some of these factors may directly affect recidivism probabilities of individual offenders, while others affect recidivism through their impact on the gross movement of offenders.

Factors affecting recidivism can be grouped as follows:

- 1) Strictly Offender-Related Factors

These factors have nothing directly to do with correctional treatment or with criminal justice operations. They include factors such as prior record, age, family and employment situations, drug or alcohol abuse, psychological factors, criminal relationships, and the

general level of the offender's life circumstances. These factors apply at the time of conviction or sentencing and establish a degree of "offender risk" that can have a large impact on recidivism, depending on the possibly limiting effects of other factors discussed below. The basic force operating here is that "higher risk" offenders will naturally record "higher" recidivism rates.

2) Total System Factors

Since recidivism can only be measured by "system re-processing," it is obvious that it depends in part on the efficiency of criminal justice agencies in apprehending and prosecuting recidivists. The larger the number of recidivists arrested and/or convicted, the higher the recidivism rate. This should be kept in mind when rates are compared between different jurisdictional areas, which may have vastly different clearance and/or conviction rates. Additionally, the emphasis on the surveillance of known or suspected recidivists may vary from area to area.

3) Statutory Factors

Naturally, if all convicted criminals were sentenced to life-terms in prison, there would be no recidivism problem for the state prison system. More generally, the more time offenders serve in prison the less opportunity there is for recidivist acts. Since the primary factor affecting time served is the length of prison sentences, it is clear that statutory provisions have an effect on recidivism, although time served is a function of many other factors outside the force of law. Statutes have an effect on recidivism in other indirect ways such as through provisions for parole supervision.

4) Screening and Decision-Related Factors

Offender screening processes that can affect recidivism rates include sentencing, the parole-release decision, parole revocation decision-making, and other post-institutional screening processes affecting the legal status of offenders. In some cases screening decisions can directly affect the probability of recidivism for individual offenders, while in other cases they affect recidivism rates by shifting or delaying the burden of recidivism for large groups of offenders. An example of the former is the decision to await more favorable conditions for parole release. An example of the latter is the availability of community alternatives to incarceration that can serve to increase institutional recidivism rates by increasing the overall "risk profile" of committed offenders. Additionally, parole screening can reduce recidivism

by slowing the release of higher risk offenders.

Parole revocation decision-making obviously affects recidivism as measured by the return rates of parolees. Secondly, screening processes used to assign levels of supervision of released offenders can have an effect on recidivism.

5) The Gross Effects of Incarceration (Non-Treatment)

Such effects include the possible deterrent effects of incarceration, the possibly hardening effect of prison life, including contact with more sophisticated criminals ("prisonization"), and possible psychological deterioration or other lack of adjustment due to the fact of imprisonment. In addition, the amount of time served in prison can affect recidivism through offender aging ("burn-out effect"), and through incapacitation, i.e., the incarcerated offender cannot commit street crimes. Include also the possible deterioration or dissolution of the offender's life situation (loss of job, separation from family, divorce, etc.), that can affect post-prison adjustment.

6) Treatment Effects

These factors, which fall under the general heading of "rehabilitation," include educational, vocational, and psychological services, drug and alcohol treatment, and work release programs both during incarceration and following release.

7) Post-Release Conditions

This category of factors associated with recidivism includes those affecting the "reintegration" of the offender into society as a functional law-abiding citizen. They include family situation, employment and income, and other supportive features of post-prison life such as the assistance and supervision of a parole officer. In addition, the degree of surveillance of the ex-inmate's activities can serve to increase recidivism rates through greater detection of criminal acts and technical violations of parole. The availability of residential services (halfway houses) may also have some effect on recidivism.

HOW CAN RECIDIVISM RATES BE INTERPRETED?

As indicated from the initial comments in this section of the report, a common tendency is to infer a degree of success or failure of correctional treatment directly from the magnitude of recidivism rates, i.e., low rates mean success and high rates failure. That there may be a serious problem with this approach should be apparent from the discussion above.

If the question of success and failure of correctional treatment is carefully considered, it becomes evident that success, or more correctly successful rehabilitation, should be viewed as a reduction in the probability of recidivism, i.e., as a reduction in the probability as determined by factors other than the treatment itself. All of the other factors affecting recidivism essentially determine a treatment-independent level of "risk" that could be reduced, enhanced, or left unchanged after treatment is completed. The challenge then is to determine these probabilities or levels of risk and then to use them as a basis for evaluation of treatment effects.

From this perspective, a program with a recidivism rate of 60% could be more effective or successful than a program with a comparable recidivism rate of 30%, if in fact the 60% figure reflects a greater reduction in recidivism. In other words, higher recidivism rates may be more "tolerable" if they entail some reduction in recidivism, especially if the alternative involves higher costs of incarceration.

Generally speaking, the two classes of factors associated with recidivism that are most amenable to control and constructive change are the treatment factors and the screening or decision-related factors. Offender and "total system"-related factors are more complex and can only be addressed effectively over a long period of time and with considerable effort, e.g., the reduction in offender risk factors such as drug or alcohol abuse and unemployment, and changes in law enforcement, prosecutorial, and judicial practices aimed at apprehending, convicting, and incarcerating recidivists. Statutory factors are, of course, open to change through legislative action, but the casual link here is much less firm and is dependent on a number of other factors, such as sentencing and parole decision-making, which are more closely tied to recidivism. Of course, post-release conditions are under the direct intervention of criminal justice operations and can have a positive effect on recidivism through thoughtful planning and programming at the day-to-day working level of criminal justice.

In light of the above, consideration of possible methods of altering or controlling recidivism rates will be limited in this report to treatment and screening/decision-related factors. An attempt will be made to measure the extent of past treatment effects on recidivism rates for adult correctional institutions in Iowa. In addition, the role of sentencing and parole decision-making in controlling recidivism will be discussed.

It should be reiterated that the interpretation of individual recidivism rates depends on several underlying features of the rate itself, as opposed to forces behind the variation of individual rates. These features include the nature of events to be counted (arrests, convictions, commitments, revocations, etc.) and their seriousness (felony, misdemeanor, technical violation, etc.), and the length of the follow-up period. Note also the category of offenders represented in the rate, i.e., parolees alone, discharged offenders alone, or a combination of both.

In some cases, rates are presented for selected sub-categories of offenders with special characteristics, e.g., burglars, previously convicted offenders, etc. In this case, rates are displayed to encourage the identification by the reader of offender factors related to recidivism and are not meant to illustrate the extent of success or failure with selected offender types. Naturally, due caution should be exercised throughout the report to avoid the comparison between two groups of rates that are not at all comparable, i.e., rates not having the same underlying definition.

## II. A SYSTEM OF RATES

As stated above, recidivism rates can vary tremendously according to the nature and seriousness of events to be counted and the length of the follow-up period, yet there is no common agreement as to which of the many alternative definitions should take precedence over which others.

One of the major reasons behind the reluctance to adopt a single universal definition of recidivism is the fact that no single measure can reflect the growth in recidivism over time, the seriousness of new charges or violations, and the extent of re-involvement with the criminal justice system. Secondly, there is no single definition that can be supported by the wide variety of data sources used in recidivism studies.

In light of the above, it is suggested that recidivism be envisioned as a "pattern" of offender and system behavior, both time and event-dependent, and - to the extent warranted - a function of offender and programmatic characteristics. More simply stated, recidivism should be measured by a system of rates reflecting all of the above-mentioned considerations. Recidivism studies should aim at providing as large a portion of the envisioned system as possible. In this manner, there will be a much enhanced opportunity for comparing the results of independent studies.

It was, in fact, the stated intent of Chapter XIV of Volume I to present a system of recidivism rates for the state prison system in Iowa. Every effort was made to cover as many of the common definitions of recidivism as possible. In addition, new types of rates were presented that are meaningful and that fill in more of the pieces of the jigsaw puzzle called recidivism.

To avoid inundating the reader with unnecessary detail, only selected portions of the system of rates are reproduced in this report. Again, the reader is encouraged to consult Chapter XIV of Volume I for additional information.

### BASIC RATES

Table 1 on the following page provides a simple overview of basic recidivism rates for Iowa prisons. All other rates presented in this report and in Chapter XIV of Volume I are elaborations of the rates appearing in this table. As stated in the preface, the current recidivism study is based on a three to 48-month follow-up of 2231 offenders released from Iowa prisons by parole or expiration of sentence during the 3½ year period from July 1, 1973 through December 31, 1976. For further discussion of the methodology behind the study the reader should consult Volume I.

**TABLE 1**  
**RECIDIVISM RATES FOR ADULT**  
**CORRECTIONAL INSTITUTIONS IN IOWA**  
**PERSONS RELEASED BY PAROLE OR EXPIRATION OF SENTENCE**

Recidivism Class	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
Return to Prison — New Felony Arrest/Charge	0.7	3.4	6.1	8.5	10.5	11.8	12.6	14.4	15.7	17.5	18.3	19.7	20.5	21.4	22.1	22.6
Return to Prison or Conviction — New Felony Arrest/Charge	0.7	3.6	6.6	9.2	11.4	12.8	13.7	15.7	17.2	19.1	20.0	21.4	22.5	23.7	24.6	25.7
New Felony Arrest/Charge	1.6	4.9	8.1	11.2	13.7	15.6	16.8	19.0	20.8	23.3	24.2	25.9	27.5	29.7	31.1	31.9
Return to Prison	1.5	5.7	10.0	13.7	16.9	18.9	20.4	22.4	23.8	25.4	26.2	27.2	28.0	28.4	28.9	28.9
Return to Prison or New Felony Conviction	1.5	5.9	10.5	14.4	17.8	19.9	21.5	23.7	25.3	27.0	27.9	28.9	30.0	30.7	31.4	32.0
Return to Prison or New Conviction	1.8	6.3	11.1	15.2	18.5	21.0	22.8	24.9	26.7	28.4	29.5	30.8	31.5	32.4	33.2	33.8
Return to Prison or New Felony Arrest/Charge	2.4	7.2	12.0	16.4	20.1	22.7	24.6	27.0	28.9	31.2	32.1	33.4	35.0	36.7	37.9	38.2
New Arrest/Charge	2.7	6.9	11.0	14.8	17.7	20.2	22.1	24.5	27.1	30.0	31.4	33.2	34.9	37.1	39.4	40.4
Return to Prison or New Arrest/Charge	3.4	8.8	14.2	19.3	23.2	25.2	28.9	31.4	33.9	36.6	38.0	39.4	40.7	42.9	44.7	45.3
Cases Followed	2231	2231	2231	2231	2231	2124	1961	1773	1607	1431	1303	1160	1001	865	691	517

The target group for Table 1 consists of all 2231 offenders in the study population, including 1495 parolees and 736 discharged offenders. Both males and females are represented, as are all types of admission to institutions. Each offender is followed, where possible, through 16 periods of follow-up ranging in three-month intervals from three to 48 months.

The rows of Table 1 constitute a hierarchy of alternative definitions of recidivism, reflecting both degrees of reinvolvement with the criminal justice system (arrest, conviction, return to prison) and the seriousness of new charges (any new charge or new felony). The terms RETURN TO PRISON, CONVICTION and NEW ARREST/CHARGE appearing in the hierarchy are defined as follows:

RETURN TO PRISON Any readmission to prison in Iowa on an old or new sentence during the stated follow-up period. Both parole revocations and new criminal commitments are included, but not admissions for safekeeping or evaluation prior to trial or sentencing.

CONVICTION Any new conviction in court leading to placement in a correctional program such as probation, prison or a community residential facility. Convictions resulting in fines are not represented.

ARREST/CHARGE Any new arrest or charge against the offender, including all levels of seriousness.

As stated in Chapter XIV of Volume I, recidivism data reflect new involvements in Iowa only. Based on the characteristics of the sources of data for this study, it is likely that data on returns to prison is virtually 100% complete. Additionally, a very high percentage (probably over 90%) of new felony convictions not involving return to prison are represented. New arrests or charges not leading to conviction or return to prison are likely 80% complete or higher, with a greater degree of accuracy for new felonies and indictable misdemeanors than for new simple misdemeanors. More details on data collection can be found in Volume I.

The nine recidivism categories or classes appearing in Table 1 are listed from top to bottom in hierarchical order from the more specific, restricted, or limited definitions to the more general or broad. Accordingly, rates generally increase as one scans down the table and also, based on increasing follow-up, as one scans across from left to right.

The word "or" used in the table is according to its usual "inclusive" meaning. Thus RETURN TO PRISON OR NEW ARREST/CHARGE means RETURN TO PRISON or NEW ARREST/CHARGE or both. The "-" symbol can be interpreted as "for," e.g., RETURN TO PRISON - NEW FELONY ARREST/CHARGE means RETURN TO PRISON for a NEW FELONY ARREST OR CHARGE. "For" in

this context means "as the result of," i.e., the latter (NEW FELONY ARREST/CHARGE) was the prime instigator behind the former (RETURN TO PRISON).

#### INTERPRETING THE "PATTERN"

From Table 1 we see recidivism rates for the state prison system varying from 0.7% to 45.3%, depending on the choice of events to label as "recidivist" and according to the length of the follow-up period. The average or mean rate in the table is 22.1%, which is quite close to the 23.3% average publicized by Robert Martinson and Judith Wilks.<sup>1</sup> The Martinson-Wilks analysis is based on a sample of 7341 recidivism rates (of varying definition and follow-up) taken from over 300 research and evaluation documents published across the nation and dating back quite a few years.

In examining the pattern of rates in Table 1, it is best to concentrate first on the 12, 24, 36 and 48-month figures. In addition, Figure 20 in Volume I gives a visual display of the rates in Table 1 which is helpful in discerning the growth of rates over time and in comparing rates vertically among the nine levels of the hierarchy.

As there is a natural tendency to look for a rate or rates that can be emphasized as most meaningful or illustrative, it might be noted that the second, fifth and sixth rates in the table best reflect adverse changes in offenders' legal status following release, and thus might be taken as the most relevant from the "due process" perspective.

From the "behavioral" perspective, however, system reinvolvement should be de-emphasized, with concentration shifted to measures closest to actual behavioral patterns, i.e., the third and eighth rates.

For a balanced view, weighing both due process and behavioral perspectives, it is best to consider the seventh and ninth rates.

The first and fourth rates involve only returns to prison and thus are weak from both points of view. On the other hand, these rates are the most helpful in studying flow in and out of the state prison system and may be more meaningful to parties concerned with prison populations and with the role of prisons in the criminal justice system.

One other consideration, reflecting both types of concerns, is the question of seriousness, and whether or not misdemeanors and technical violations should be considered in recidivism rates. If one takes the point of view that a person cannot enter prison unless convicted of a felony, and that consequently only new felony involvements should be taken as recidivism for the state prison sys-

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<sup>1</sup> See Martinson and Wilks, Recidivism and Research Design: Limitations of Experimental-Control Research, p. 5.

tem, then the first, second and third rates should be emphasized. This viewpoint is perhaps most relevant when consideration is given to the degree of threat imposed by the release of criminal offenders, i.e., most misdemeanors and technical violations do not involve a serious threat to the public welfare.

As to which periods of follow-up should be of primary concern, it has already been suggested that emphasis be placed on 12, 24, 36 and 48-month periods. As stated earlier, the National Advisory Commission has recommended a three-year follow-up period as one facet of a suggested definition of recidivism:

Recidivism is measured by (1) criminal acts that resulted in conviction by a court, when committed by individuals who are under correctional supervision or who have been released from correctional supervision within the previous three years, and by (2) technical violations of probation or parole in which a sentencing or paroling authority took action that resulted in an adverse change in the offender's legal status.<sup>1</sup>

This definition covers the class of events suggested for inclusion in recidivism statistics, but fails to specify exactly which rate or rates should be computed. Notice also that this definition covers events occurring within three years of an offender's discharge from probation or parole. In the case of parole, this would involve following an offender for more than three years after release from prison, while for those discharged from prison it would not. Thus no single follow-up period applies under this definition. In the context of this particular study, however, the National Advisory Commission would clearly recommend use of the sixth and possibly the seventh rates in the table, i.e., those definitions involving returns to prison and new convictions.

The three-year period recommended by NACCJSG for following persons released from correctional supervision is generally accepted as "ideal" for determining recidivism in that a fairly high proportion of recidivist events occur within three years of release, and because three years is not so far removed from the correctional experience as to be logically dissociated with it. On the other hand, shorter follow-up periods reflect offender behavior and adjustment during the early months following release and may thus be expected to associate more readily with correctional intervention. This latter point should be kept clearly in mind during the study of recidivism statistics.

#### RECIDIVISM STATISTICS FOR SPECIAL SUBPOPULATIONS

Recidivism statistics as presented in Table 1 apply to the category

1 See National Advisory Commission on Criminal Justice Standards and Goals, Task Force Report: Corrections, p. 513.

of all criminal offenders released from adult correctional institutions in Iowa in recent years. It is of interest also, to provide similar statistics for selected sub-populations of released offenders in order to gain some insight into the basic parameters affecting recidivism. This then will be the major goal of the remaining material appearing in this report.

#### PAROLED VERSUS DISCHARGED OFFENDERS

One particular categorization of released offenders is of special interest in studying recidivism statistics for a state prison and parole system. Research in this area frequently emphasizes differences in recidivism rates between paroled and directly discharged offenders, the latter group composed of all persons who expire their sentences before release. Tables 2 and 3 which follow itemize rates as in Table 1 for these two special groups.

In the case of paroled offenders (Table 2), there are two added rates (the first and fifth) that concern only revocations of parole. In interpreting these two rates it is important to remember that they fail to reflect many of the new involvements of paroled offenders during the stated follow-up periods. According to Table 55 of Volume I, the median period of time from release to discharge for paroled offenders in Iowa is one year. As a result, many new involvements following discharge are not reflected in parole revocation statistics. As can be seen from lines one and five in Table 2, and from Figure 13 in Volume I, parole revocation rates (especially those involving new felony charges) level off quite dramatically after 15 months of follow-up. This leveling-off phenomenon is purely artificial and should not be interpreted directly as a measure of the success of either institutional or post-institutional programming in Iowa.

Parole revocation statistics reflect several sets of circumstances, all falling under the general heading of "revocation." These include purely technical violations of the rules of parole, violations resulting from conviction on lesser (misdemeanor) charges, new convictions on felony charges, which may or may not involve new prison sentences, and a category whereby revocation occurs in lieu of prosecution on new criminal charges. In this series of reports, no attempt is made to distinguish these forms of revocation beyond specification of the seriousness of new charges or violations that form the basis for revocation. Thus no statistics are offered on parole revocations involving new convictions or added sentences.

It will be noticed that Table 3, which provides recidivism statistics for directly discharged offenders, incorporates definitions using the terms FELONY COMMITMENT and PROBATION. The use of these more direct terms is possible with discharged offenders since, in this context, RETURN TO PRISON is synonymous with NEW FELONY COMMITMENT and CONVICTION with NEW PROBATION OR FELONY COMMITMENT.

The first three rates in Table 3, which involve the new terms, correspond to rates in Table 1 as follows:

**TABLE 2**  
**RECIDIVISM RATES FOR ADULT**  
**CORRECTIONAL INSTITUTIONS IN IOWA**  
**PERSONS RELEASED BY PAROLE**

Recidivism Class	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
Parole Revocation — New Felony Arrest/Charge	0.4	2.7	5.6	7.4	9.4	10.2	10.5	11.6	12.4	13.3	14.0	14.8	15.0	15.3	16.1	17.5
Return to Prison — New Felony Arrest/Charge	0.5	2.7	5.8	7.6	10.0	11.0	11.8	13.6	14.7	16.4	17.3	18.6	19.6	20.6	21.5	23.1
Return to Prison or Conviction — New Felony Arrest/Charge	0.5	2.9	6.0	7.9	10.3	11.3	12.4	14.3	15.6	17.5	18.5	20.1	21.2	22.5	23.3	25.4
New Felony Arrest/Charge	1.4	4.3	7.7	10.0	12.8	14.4	15.7	17.8	19.6	22.0	23.0	24.7	26.5	29.4	30.6	32.2
Parole Revocation	1.7	6.2	11.4	15.0	18.8	20.9	22.1	23.4	24.4	25.1	25.7	26.2	26.1	25.8	26.3	26.9
Return to Prison	1.7	6.2	11.5	15.2	19.3	21.6	23.4	25.5	26.7	28.2	29.0	30.0	30.6	31.1	31.7	32.5
Return to Prison or New Felony Conviction	1.7	6.4	11.7	15.5	19.6	21.9	24.0	26.2	27.6	29.3	30.2	31.5	32.2	33.0	33.5	34.8
New Arrest/Charge	2.3	6.0	10.2	13.2	16.3	18.6	20.8	23.1	25.8	29.0	30.3	31.9	34.3	37.1	40.0	41.7
Return to Prison or New Conviction	1.9	6.5	12.1	16.0	20.1	22.7	24.9	27.0	28.7	30.5	31.6	32.9	33.7	34.7	36.1	37.6
Return to Prison or New Felony Arrest/Charge	2.5	7.1	12.4	16.6	21.1	23.8	25.6	28.0	29.7	31.8	32.7	33.9	34.9	37.8	38.5	39.4
Return to Prison or New Arrest/Charge	3.4	8.8	15.1	19.8	24.6	28.0	30.8	33.3	36.0	38.9	40.2	41.2	42.9	45.7	48.0	49.1
Cases Followed	1495	1495	1495	1495	1495	1423	1327	1194	1077	956	871	772	679	582	460	338

**TABLE 3**  
**RECIDIVISM RATES FOR ADULT**  
**CORRECTIONAL INSTITUTIONS IN IOWA**  
**PERSONS RELEASED BY EXPIRATION OF SENTENCE**

Recidivism Class	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
New Felony Commitment	1.1	4.6	6.9	10.2	11.7	13.4	14.4	16.1	17.9	19.6	20.4	21.6	22.4	23.0	23.4	21.8
New Felony Probation or Felony Commitment	1.1	5.0	7.7	12.0	13.6	15.7	16.6	18.5	20.4	22.3	22.9	24.0	25.2	26.2	27.3	26.3
New Probation or Felony Commitment	1.6	5.8	9.1	13.6	15.2	17.6	18.6	20.6	22.6	24.2	25.2	26.6	26.7	27.6	27.7	26.8
New Felony Arrest/Charge	1.9	6.1	8.8	13.7	15.5	18.0	19.2	21.2	23.4	25.9	26.8	28.1	29.5	30.4	32.0	31.3
New Arrest/Charge	3.5	8.7	12.6	18.2	20.5	23.4	24.9	27.3	29.6	32.0	33.6	35.8	36.0	37.1	38.1	38.0
Cases Followed	736	736	736	736	736	701	634	579	530	475	432	388	322	283	231	179

NEW FELONY COMMITMENT = RETURN TO PRISON = RETURN TO PRISON -  
NEW FELONY ARREST/CHARGE  
NEW FELONY PROBATION OR FELONY COMMITMENT = RETURN TO PRISON  
OR NEW FELONY CONVICTION =  
RETURN TO PRISON OR CONVIC-  
TION - NEW FELONY ARREST/  
CHARGE  
NEW PROBATION OR FELONY COMMITMENT = RETURN TO PRISON OR CON-  
VICTION

Additionally, the rate NEW ARREST/CHARGE is the same as the rate RETURN TO PRISON OR NEW ARREST/CHARGE and the rate NEW FELONY ARREST/CHARGE the same as the rate RETURN TO PRISON OR NEW FELONY ARREST/CHARGE.

#### THE SERIOUSNESS OF NEW INVOLVEMENTS

As previously stated, one of the key considerations in weighing the burden of recidivism for the state prison system is the seriousness of new charges against ex-inmates. Since more serious crimes involve more danger to the community, and since one of the major functions of incarceration is protection of the general public, it is clear that recidivism rates reflecting higher numbers of serious crimes are more cause for concern and raise heavier questions concerning the efficacy of current incarceration practices in Iowa.

Table 4 which follows serves to establish in large part the seriousness of new involvements of ex-inmates in the study population. The table reflects all offenders with new charges or technical violations during the stated follow-up periods and not just those newly convicted or returned to prison. Data on the seriousness of new charges and violations resulting in prison return appear in Table 60 in Volume I.

It is important to reiterate at this juncture that new involvements itemized in this report are limited to those involving arrest, conviction or return to prison. Recidivism statistics thus fall short of measuring actual post-prison involvements by an amount dependent on the efficiency of law enforcement and parole agencies in detecting criminal activities among ex-inmates.

Based on the method of classification of seriousness utilized in this report, it is possible to gain some idea of the gap between actual behavior of released offenders and their activities as reflected in recidivism statistics. According to figures appearing in Chapter II of Volume I, approximately 54% of reported Part I crimes against persons and approximately 15% of reported Part I crimes not against persons are cleared by arrest in the State of Iowa. These clearance rates give some idea of the extent to which recidivism rates for the two most serious levels of new involvement as listed in Table 4 fall short of actual reported crimes committed by ex-inmates.

Table 4

RECIDIVISM RATES FOR ADULT  
 CORRECTIONAL INSTITUTIONS IN IOWA  
 PERSONS RELEASED BY PAROLE OR EXPIRATION OF SENTENCE  
 MOST SERIOUS NEW INVOLVEMENT

MOST SERIOUS NEW INVOLVEMENT	FOLLOW-UP PERIOD IN YEARS			
	ONE	TWO	THREE	FOUR
FELONY AGAINST PERSON(S)	3.0%	5.2%	7.8%	9.9%
Parole	2.6%	5.1%	6.9%	9.2%
Expiration of Sentence	3.5%	5.3%	9.8%	11.1%
PART I FELONY NOT AGAINST PERSON(S)	4.3%	7.4%	9.3%	10.0%
Parole	3.4%	6.1%	8.4%	11.3%
Expiration of Sentence	6.1%	10.0%	10.8%	7.8%
PART II FELONY NOT AGAINST PERSON(S)	4.0%	6.4%	8.8%	12.0%
Parole	3.9%	6.7%	9.5%	11.9%
Expiration of Sentence	4.1%	5.9%	7.4%	12.3%
MISDEMEANOR	3.6%	5.5%	7.3%	8.5%
Parole	3.2%	5.3%	7.2%	9.5%
Expiration of Sentence	4.5%	6.1%	7.7%	6.7%
TECHNICAL VIOLATION	4.4%	6.9%	6.2%	4.8%
Parole	6.6%	10.2%	9.3%	7.4%
Expiration of Sentence	0.0%	0.0%	0.0%	0.0%
TOTAL WITH NEW INVOLVEMENT	19.3%	31.4%	39.4%	45.3%
Parole	19.8%	33.3%	41.2%	49.1%
Expiration of Sentence	18.2%	27.3%	35.8%	38.0%
OFFENDERS FOLLOWED	2231	1773	1160	517
Parole	1495	1194	772	338
Expiration of Sentence	736	579	388	179

### III. RECIDIVISM BY OFFENDER CATEGORY

One of the foremost goals of recidivism research is the determination of offender-related factors statistically associated with recidivism. Most commonly, recidivism rates are generated for a large number of individual offender categories, from which are selected special categories with either notably high or low recidivism rates. These categories of data may then be combined through various multivariate statistical methods to arrive at one or more forms of offender classification accounting for substantial recidivism variation. In some cases these higher level categorizations are of sound enough character that they can be used for predictive purposes or as a method of controlling for offender differences (risk) in comparing recidivism rates.

Per the above, an effort will be made in this section of the report to identify some of the basic offender-related factors statistically associated with recidivism. In the following section, these findings will lead to the description of a risk assessment method developed by the SAC staff that will form the basis for an analysis of the possible effects on recidivism of institutional and post-institutional experiences in Iowa's prison and parole system.

#### SENTENCING OFFENSES

In Volume I of the Crime and Criminal Justice series every effort was made to provide criminal justice statistics for individual offense categories such as burglary, larceny, robbery, etc. The intent behind this was to highlight the substantial variation in offender behavior (probation failure, recidivism, etc.) and system response (pre-trial release, sentencing, time served, etc.) among individual categories of crime and criminal. Offense categories were chosen since offense type and severity are major factors in release decision-making and since there is a most notable variation in offender behavior among the various categories of crime. Specification of statistics for individual crime categories, of course, allows comparison among categories, but in addition allows the study of crime-based relationships among functional and behavioral categories, e.g., sentencing and time-served versus probation and parole experience for property offenders/violent offenders.

Of particular interest in the context of offense categories and recidivism are the following tables and charts appearing in Volume I:

Table 16 - NEW CHARGES AGAINST FELONY OFFENDERS RELEASED  
PRIOR TO TRIAL

Table 44-45 - PROBATION VIOLATION RATES

Table 48 - IOWA ADULT PROBATION RISK RATINGS

Table 58 - PAROLE RETURN RATES (FOR 44 STATES)

Table 59 - RETURN RATES (FOR IOWA)

Figures 23-29 - RECIDIVISM RATES (FOR IOWA)

An examination of these tables and charts will reveal a degree of commonality or agreement in the rankings of crime categories according to the magnitudes of program failure and recidivism. In particular, crimes against property (especially motor vehicle theft, burglary, forgery, and bad checks) involve higher rates of failure and recidivism than crimes against persons (except robbery) and drug crimes (except those involving narcotics).

Figure 1, below, reveals rankings of ten major crime categories according to magnitudes of program failure and recidivism taken from three independent data sources, including:

- 1) UNIFORM PAROLE REPORTS This involves a three-year follow-up of 27,438 offenders paroled in 44 states reporting to the Uniform Parole Reports program of the National Council on Crime and Delinquency. Parole failure is measured by revocation of parole.
- 2) IOWA RECIDIVISM STUDY This is the current study of 2231 Iowa offenders released by parole or expiration of sentence. Recidivism is measured by return to prison.
- 3) IOWA PROBATION STUDY This study, also conducted by SAC, involves an analysis of probation violation rates for 3504 felony probationers in Iowa. Program failure covers absconders and probation revocations.

Offense categories in Figure 1 are ordered from top to bottom according to the magnitude of program failure or recidivism, with high-rate categories at the top and low-rate categories at the bottom. Figure 1 speaks for itself in establishing the remarkable agreement in offense rankings among these three independent sources of data. The number appearing under the category names are the numbers of cases analysed and the failure or recidivism rates for each.

Some particularly interesting features emerge in consideration of crimes involving drugs or force. Such crimes are usually treated as more serious and often lead to higher rates of incarceration and longer prison terms. In particular, the new criminal code of Iowa calls for mandatory prison sentences of various types for such crimes. The efficacy of these mandatory provisions--some prohibiting the use of probation and others calling for mandatory minimum prison terms-- is clearly left unsupported by this study in that criminals convicted of drug-related and forcible crimes have lower recidivism rates than other offenders. (see Figures 27 and 28 in Volume I and Table below).

#### PRIOR RECORD

The new criminal code also calls for mandatory (minimum) prison

Figure 1  
 RANKING OF CRIME CATEGORIES  
 BY MAGNITUDE OF PROGRAM FAILURE OR RECIDIVISM  
 THREE INDEPENDENT STUDIES

PAROLE RETURN RATE 44 STATES 27,438 OFFENDERS	PRISON RETURN RATE IOWA 2231 OFFENDERS	PROBATION FAILURE RATE IOWA 3504 OFFENDERS
MOTOR VEHICLE THEFT (787;31.4%)	MOTOR VEHICLE THEFT (165;31.5%)	MOTOR VEHICLE THEFT (153;32.7%)
FORGERY/BAD CHECKS (2000;23.6%)	BURGLARY (402;28.5%)	BURGLARY (603;29.2%)
BURGLARY (6688;23.4%)	FORGERY/BAD CHECKS (333;28.0%)	FORGERY/BAD CHECKS (432;28.7%)
ROBBERY (4511;22.9%)	ROBBERY (206;24.6%)	ROBBERY (57;26.4%)
LARCENY (2757;19.8%)	LARCENY (246;19.3%)	AGGRAVATED ASSAULT (118;22.0%)
AGGRAVATED ASSAULT (1609;15.8%)	MURDER/MANSLAUGHTER (65;16.7%)	LARCENY (533;18.4%)
FORCIBLE RAPE (614;14.4%)	CONTROLLED SUBSTANCES (229;14.2%)	CONTROLLED SUBSTANCES (214;7.0%)
CONTROLLED SUBSTANCES (3403;13.3%)	AGGRAVATED ASSAULT (148;13.0%)	MURDER/MANSLAUGHTER (27;0.0%)
SEX OFFENSE AGT. JUV. (279;11.4%)	FORCIBLE RAPE (40;12.4%)	SEX OFFENSE AGT. JUV. (22;0.0%)
MURDER/MANSLAUGHTER (2396;9.6%)	SEX OFFENSE AGT. JUV. (24;5.2%)	

terms for persons previously convicted of forcible felonies and for persons with two or more prior felony convictions. Figure 29 of Volume I indicates that recidivism rates for these two classes are no higher than for persons with one prior conviction for a non-forcible felony, and that rates for any of the three groups are not substantially higher (approximately 25% higher after two years of follow-up) than for the group of offenders with no prior felony convictions.

These findings may appear somewhat incongruous in that they seem to suggest that offenders with more serious or extensive prior records are not recording significantly higher recidivism rates. While at first sight this may appear illogical, it is actually very much consistent with known facts about probabilities of recidivism as discovered and documented in this study and in another SAC study on probation and parole failure. Furthermore, similar studies in other states provide much corroborative evidence for this occurrence in Iowa.

The fundamental logic undergirding the known relationships between prior record and recidivism is as follows:

- 1) Probabilities of arrest (and rearrest) are functions of age. With or without controlling for other factors, younger offenders have higher probabilities of arrest and recidivism than do older offenders. Furthermore, these probabilities decrease steadily with age. See Table 10 and Figures 3 and 4 of Volume I.
- 2) Older offenders are more likely to have long or extensive prior records, and are especially more likely to have prior felony convictions than are younger offenders.
- 3) As offenders age and as their probabilities of arrest and/or recidivism continue to decrease, their criminal careers become less intense,<sup>1</sup> although they may continue to grow in volume. Accordingly, they are less likely to recidivate than are younger offenders with less voluminous (adult) records who are closer to the most crime-prone periods in their lives. These higher risk younger offenders generally became involved in crime while in their teens and may have acquired serious juvenile records, yet have not accumulated sufficient adult records to attract the serious attention of the courts or the legislature in cases of less serious crimes.

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<sup>1</sup> See material on criminal career intensity in Chapter IX of Volume I.

These relationships and other features of criminal careers will be discussed and documented in another volume of this series.

#### HIGH AND LOW RISK CRIME CATEGORIES

The description of the recidivism-prone offender as a younger offender with an early onset of criminality, a more intense career, and with a more extensive juvenile but less extensive adult record provides a ready explanation for higher recidivism rates among persons convicted of motor vehicle theft, burglary and robbery. For example, Table 37 of Volume I reveals early ages of first arrest (onset), younger ages at current conviction, and more intensive criminal careers for offenders convicted of these crimes. Table 36 indicates high percentages of offenders in these classes with juvenile records, yet only typical percentages with prior adult records.

Similar logic explains why categories of criminals such as embezzlers, murderers, drunken drivers, and child molesters have lower recidivism rates. These offenders tend to be older, both at first arrest and at current conviction, have more extensive adult and less extensive juvenile records, and have less intense careers (see Tables 36 and 37 of Volume I).

#### OFFENDER ATTRIBUTE RATINGS

In 1977, the Advisory Commission on Corrections Relief, a group of private citizens appointed to study the corrections system and suggest future improvements, released a report<sup>1</sup> which included a recommendation that 15-20% of the population of Iowa's prison system be released to community programs. This recommendation was based on a statistical analysis of profiles of inmates and clients of community-based programs.

The prime vehicle for this analysis was the Offender Attribute Scale, a special method of classification of criminal offenders emphasizing factors differentiating incarcerated from non-incarcerated offenders. These factors included offense severity, number of convicting offenses, prior record (mostly adults), drug and alcohol abuse history, age (older more likely to be incarcerated), employment status, marital status, and race. These factors were combined into a scale ranging from zero (almost all offenders in community programs) to 100 (almost all offenders in prison), with increasing scores indicating higher percentages of incarcerated offenders.

The Advisory Commission staff collapsed this scale into seven levels or "offender attribute ratings." Offenders in prison who scored in the two or three lowest levels of this 7-level system were identified as potentially good candidates for release to community programs since they (apparently) were

<sup>1</sup> Adult Corrections in Iowa, Report to the 67th General Assembly of Iowa, Advisory Commission on Corrections Relief, March, 1977.

similar to offenders already in the community. The Commission recommended that offenders in these lowest levels be screened for immediate release and suggested that perhaps the prison population could be reduced by 15-20% in this way.

Although these 15-20% were never actually released, it is interesting to examine recidivism statistics for similar offenders who were released in previous years to gain some idea of the degree of utility of the Commission's classification method. Such an analysis was initially attempted by the Adult Corrections Master Plan Project.<sup>1</sup> The Master Plan analysis indicated that the Advisory Commission's "Select Group" of offenders scoring in the lowest three levels of the Offender Attribute Scale would have been no more successful on parole than would a group of comparable size selected at random from the prison population.

To further assess the implications of the Commission's recommendation, the SAC staff developed recidivism statistics for two groups on offenders in the current study population, including those scoring "high" (top four levels) and those scoring "low" (lowest three levels) of the 7-level Offender Attribute Scale. The results of this analysis appear in Figure 2 below, which is based on a four-year follow-up of the two groups with recidivism defined as RETURN TO PRISON OR NEW FELONY ARREST/CHARGE. The two-year recidivism rates, 26.0% of low-rated and 27.7% for high-rated offenders, are comparable to results obtained by the Master Plan Project with a smaller study population and a different statistical method.

The main point of the preceding discussion is to provide further support for the current findings that forcible and drug offenders, and older "habitual" offenders (with extensive adult records), have lower recidivism rates than the group of younger (mostly property) offenders with serious juvenile records and less serious adult records. In particular, the group of offenders rated high on the offender attribute scale contains a very high percentage of the violent, drug and habitual (previously convicted) offenders, while the low-rated group contains most of the younger, more career-intense property offenders. It should be recognized that the low-rated group has (slightly) lower recidivism rates than the high-rated group since the former contains many more less-career-intense property offenders who are patently lower risk.

#### AGE AND PRIOR COMMITMENT RECORD

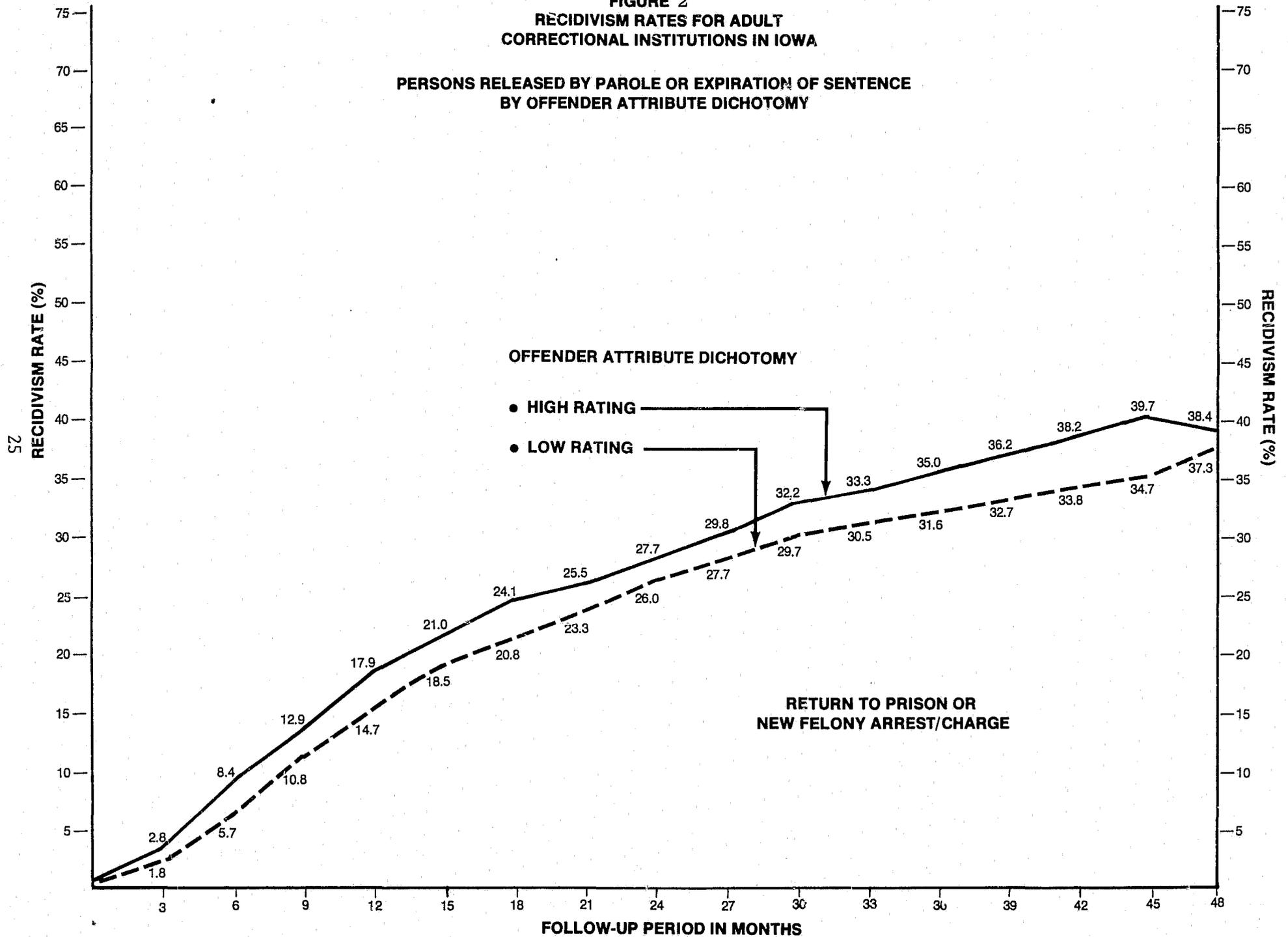
One way to gain a better appreciation of the recidivism patterns discussed above is to examine recidivism statistics

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<sup>1</sup> Architectural and Programmatic Analysis of Institutional Corrections, Iowa Adult Corrections Master Plan Project, March, 1978.

**FIGURE 2  
RECIDIVISM RATES FOR ADULT  
CORRECTIONAL INSTITUTIONS IN IOWA**

**PERSONS RELEASED BY PAROLE OR EXPIRATION OF SENTENCE  
BY OFFENDER ATTRIBUTE DICHOTOMY**



according to a simple classification scheme based on some of the distinctions made in this context.

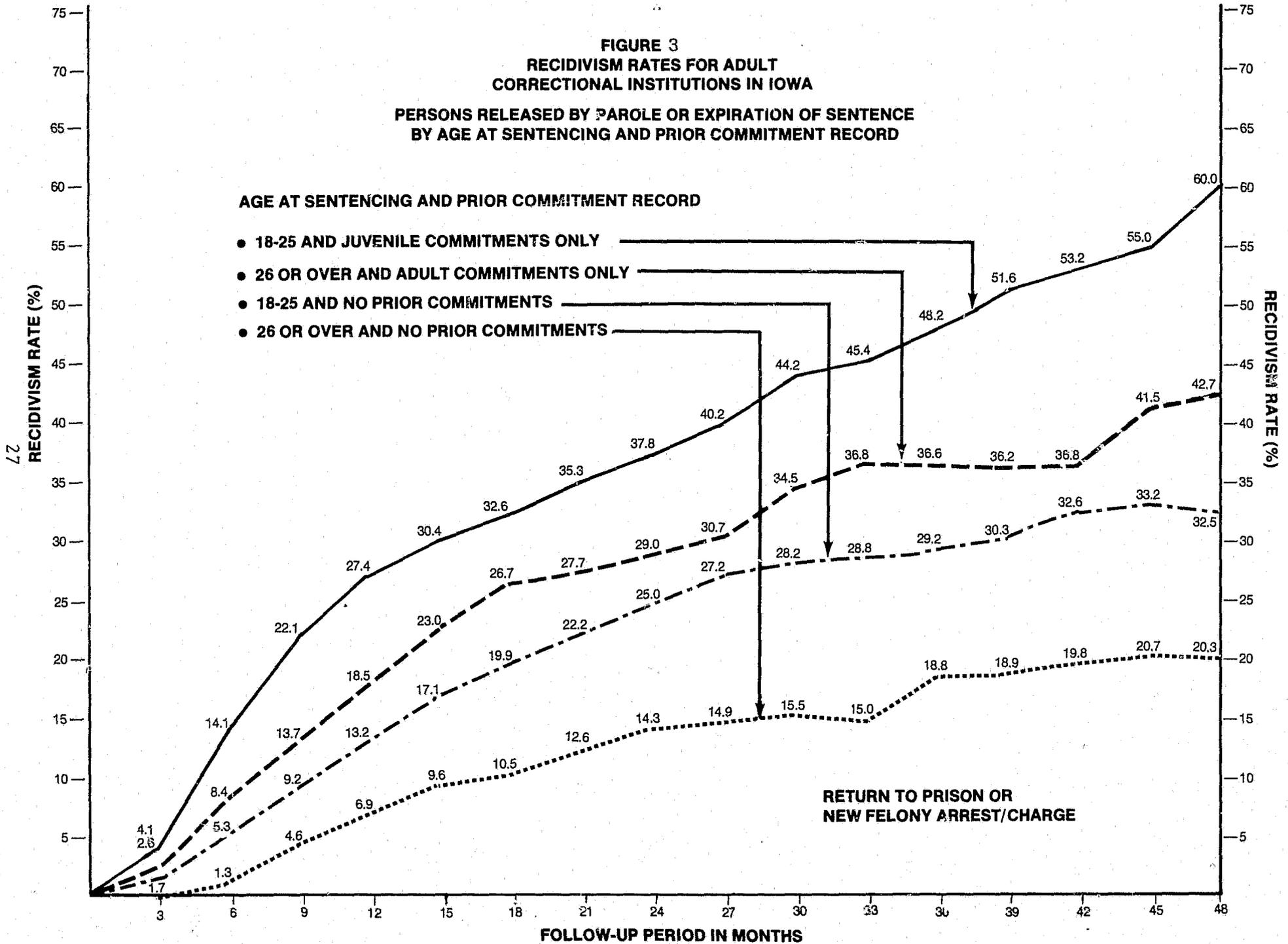
In particular, age and prior commitment record are easily manipulated and meaningful factors that, when considered in combination, can highlight the distinctions between the younger "more career-intense" offenders, the older "somewhat burnt-out extensively adult-involved" offenders and other classes of criminals.

Figure 3 below displays recidivism rates according to just such a categorization. As is very clearly indicated by the chart, younger offenders (18-25 at sentencing) with juvenile commitment records but no prior adult commitments have higher recidivism rates than older offenders (26 plus at sentencing) with prior adult commitments only. (The latter group excluding older offenders with juvenile commitments for illustrative purposes due to the very small number of offenders of this type). Both of these groups in turn have higher recidivism rates than offenders with no prior commitments. Among those with no priors, the younger group has substantially higher recidivism rates than the older group.

It should be noted that violent and drug offenders in the study population are more often without prior commitment records and thus more often fall in the two lowest categories of the chart, which explains in part the lower recidivism rates for offenders in these categories. This seems to contradict information appearing in Volume I (Tables 35 and 36) which established that convicted violent offenders (including probationers) are just as likely as property offenders to have prior commitments. The explanation is that a higher percentage (and more representative sample) of violent offenders are imprisoned than property offenders, resulting in an overrepresentation of previously incarcerated offenders among currently-imprisoned or released property offenders. This phenomenon, which is due to the effect of screening on offender populations, will be addressed in a subsequent section of this report.

Figure 4 below is a modified form of Figure 3, again based on age and prior commitment record. In this instance, however, juvenile and adult commitment records are left undistinguished and age is split into three categories instead of two. Furthermore, age reflects age at release rather than at sentencing. This scheme is a somewhat more usable method of classification since it avoids distinctions between juvenile and adult records and since it covers the total offender population. It also reflects more accurately the associations of age and prior record with recidivism. In fact, the chart indicates fairly stable and uniform effects of age and prior commitment record,

**FIGURE 3  
 RECIDIVISM RATES FOR ADULT  
 CORRECTIONAL INSTITUTIONS IN IOWA  
 PERSONS RELEASED BY PAROLE OR EXPIRATION OF SENTENCE  
 BY AGE AT SENTENCING AND PRIOR COMMITMENT RECORD**

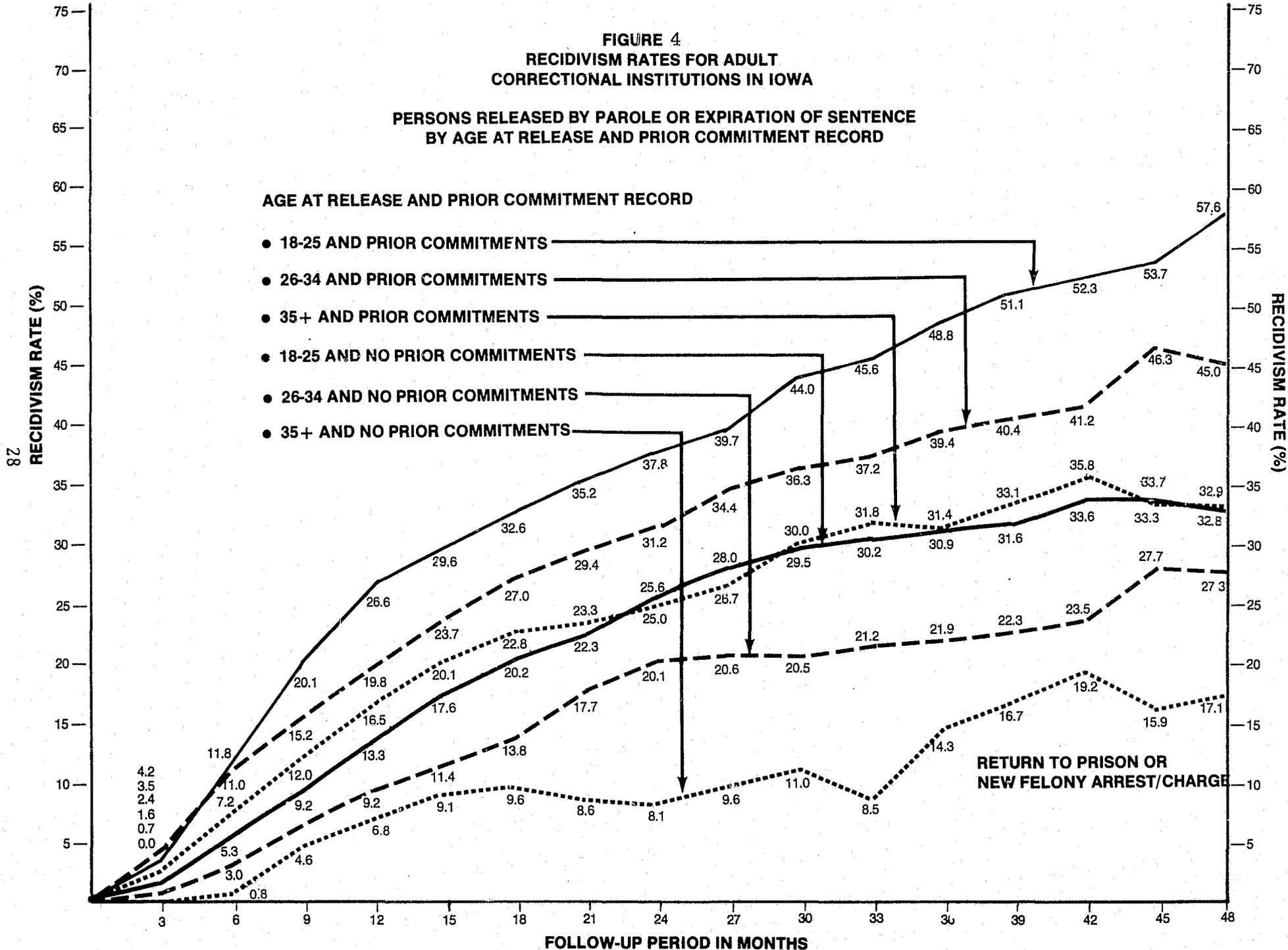


**FIGURE 4  
 RECIDIVISM RATES FOR ADULT  
 CORRECTIONAL INSTITUTIONS IN IOWA**

**PERSONS RELEASED BY PAROLE OR EXPIRATION OF SENTENCE  
 BY AGE AT RELEASE AND PRIOR COMMITMENT RECORD**

**AGE AT RELEASE AND PRIOR COMMITMENT RECORD**

- 18-25 AND PRIOR COMMITMENTS
- 26-34 AND PRIOR COMMITMENTS
- 35+ AND PRIOR COMMITMENTS
- 18-25 AND NO PRIOR COMMITMENTS
- 26-34 AND NO PRIOR COMMITMENTS
- 35+ AND NO PRIOR COMMITMENTS



and clarifies their interaction, i.e., 18-25 year old offenders without prior commitments have similar recidivism rates to 35 and over offenders with prior commitments.

Based on the effect of screening, one would expect a somewhat different pattern of factor-associated with recidivism or program failure for probationers than for ex-inmates. There is, in fact, a distinct similarity. From the results of the probation study completed by SAC, a pattern of probation failure emerges that is similar to the pattern of recidivism visualized in Figure 4 (see Table 5 below).

#### SUMMARY OVERVIEW

Table 6 serves to summarize the relationships discussed in this section of the report. The table presents a hierarchical ordering of offender categories according to the magnitude of recidivism rates, where recidivism is defined as RETURN TO PRISON OR NEW FELONY ARREST/CHARGE. Sentencing offense, strict prior record, age-prior record, and offender attribute categories appear in the hierarchy. A thorough study of the ordering of categories in this table will help clarify the various interrelationships that affect the magnitude of recidivism rates. In a way, this table establishes the "character" of a dimension called "offender risk" that will be described in the next section of the report.

Table 5

COMPARISON OF PATTERNS OF RECIDIVISM AND PROBATION FAILURE  
BY AGE AT RELEASE AND PRIOR COMMITMENT RECORD

AGE AT RELEASE AND PRIOR COMMITMENT RECORD	TWO-YEAR RECIDIVISM RATE <sup>1</sup>	PROBATION FAILURE RATE <sup>2</sup>
18-25 AND PRIOR COMMITMENT(S)	37.8%	44.9%
26-34 AND PRIOR COMMITMENT(S)	31.2%	27.2%
35+ AND PRIOR COMMITMENT(S)	25.0%	25.0%
18-25 AND <u>NO</u> COMMITMENT(S)	25.6%	19.5%
26-34 AND <u>NO</u> PRIOR COMMITMENT(S)	20.1%	10.2%
35+ AND <u>NO</u> PRIOR COMMITMENT(S)	8.1%	6.8%
ALL OFFENDERS	27.1%	19.9%

<sup>1</sup>Based on the current study population (2231 offenders), with recidivism defined as RETURN TO PRISON OR NEW FELONY ARREST/CHARGE.

<sup>2</sup>Based on a SAC study of 3504 felony probationers, with failure defined to cover absconders at large and probation revocations.

Table 6

RECIDIVISM RATES FOR ADULT  
 CORRECTIONAL INSTITUTIONS IN IOWA  
 PERSONS RELEASED BY PAROLE OR EXPIRATION OF SENTENCE  
 RECIDIVISM = RETURN TO PRISON OR NEW FELONY ARREST/CHARGE  
 BY OFFENDER CATEGORY

OFFENDER CATEGORY	ONE-YEAR FOLLOW-UP		TWO-YEAR FOLLOW-UP	
	CASES	RATE	CASES	RATE
MOTOR VEHICLE THEFT	165	24.8%	127	39.4%
18-25 AND PRIOR COMMITMENT	398	26.6%	328	37.8%
BURGLARY	402	18.9%	332	34.9%
CRIME AGAINST PROPERTY	1296	18.8%	1039	31.5%
26-34 AND PRIOR COMMITMENT	409	19.8%	320	31.2%
ONE PRIOR ADULT FELONY - NON-FORCIBLE	418	20.8%	341	31.1%
FORGERY	189	18.0%	155	31.0%
TWO OR MORE PRIOR ADULT FELONIES	469	19.6%	379	29.8%
PRIOR ADULT FORCIBLE FELONY	157	15.9%	128	28.9%
MISCELLANEOUS CRIME AGAINST PROPERTY	151	18.5%	122	28.7%
ROBBERY	206	18.0%	156	28.2%
NON-FORCIBLE FELONY	1837	16.8%	1466	28.2%
HIGH OFFENDER ATTRIBUTE RATING	1155	17.9%	927	27.7%
NARCOTICS OFFENSE	77	13.0%	64	26.6%
BAD CHECKS	144	21.5%	110	26.4%
LOW OFFENDER ATTRIBUTE RATING	933	14.7%	736	26.0%
18-25 AND NO PRIOR COMMITMENT	618	13.3%	476	25.6%
LARCENY	246	13.8%	194	25.3%
35+ AND PRIOR COMMITMENT	334	16.5%	276	25.0%
NO PRIOR ADULT FELONY	1193	13.8%	943	24.4%
FORCIBLE FELONY - FIREARM	200	17.0%	155	22.6%
CRIME AGAINST PERSON(S)	533	15.4%	419	21.7%
NON-FORCIBLE FELONY AGAINST PERSON(S)	139	16.6%	112	21.4%
FORCIBLE FELONY - NO WEAPON	137	12.4%	108	21.3%
FORCIBLE FELONY - OTHER WEAPON	57	14.0%	44	20.4%
26-34 AND NO PRIOR COMMITMENT	271	9.2%	214	20.1%
DRUG-LAW VIOLATION	237	8.9%	181	18.2%
MARIJUANA OFFENSE	59	8.5%	46	17.4%
FORCIBLE FELONY EXCEPT ROBBERY	188	11.7%	151	15.2%
OTHER NON-NARCOTIC DRUG OFFENSE	93	6.4%	65	10.8%
35+ AND NO PRIOR COMMITMENT	132	6.9%	111	8.1%
ALL OFFENDERS	2231	16.5%	1773	27.1%

IV. RISK ASSESSMENT

"It is stated elsewhere in this report and in many other documents on corrections that perhaps the greatest contribution to corrections today would be development of a scheme or system that would effectively differentiate among offenders as to their risk of recidivism or their potential dangerousness to others. It is agreed that such a scheme, applied at the time of sentencing, would greatly increase sentencing effectiveness, cost-effectiveness of correctional programs, and safety of the community. . . . ."

National Advisory Commission on  
Criminal Justice Standards and  
Goals, Task Force Report: Cor-  
rections, p. 203.

"The mission of the Iowa Division of Adult Corrections as established by law and public policy is the protection of society. . . . .  
The Division is dedicated to the philosophy of utilizing the least physical restraint necessary in providing for the needs of those entrusted to the State's care. Accordingly, offenders who are not a threat to the public safety or themselves should be placed in community programs whenever possible. . . . ."

DIVISION OF ADULT CORRECTIONS  
IOWA DEPARTMENT OF SOCIAL SERVICES  
June 13, 1977

"A parole shall be ordered only for the best interest of society, not as an award of clemency. The board shall release on parole any person whom it has the power to so release, when in its opinion there is reasonable probability that such person can be released without detriment to the community or to himself or herself. A person's release is not a detriment to the community on the person when he or she is able and willing to fulfill the obligations of a law-abiding citizen, as the board shall determine."

Section 906.4, Standards for Re-  
lease on Parole, CODE OF IOWA  
(1979)

## RISK ASSESSMENT FOR DECISION-MAKING

In recognition of the role of public protection in criminal justice, risk assessment has long been a matter of standard procedure for system decision-makers. Pre-trial release screening staff, pre-sentence investigators, judges, probation and parole officers, parole and work release boards, and institutional classification committees all go to considerable lengths to assess the degree of risk involved with releasing particular offenders.

Traditionally, this "risk assessment" role of justice system decision-makers has often been a matter of the highly subjective "weighting" of a large number of factors thought to determine risk. Which factors to emphasize and how they should be weighted or otherwise combined has, for the most part, been a highly individualized process of "pumpkin-thumping."<sup>1</sup>

In the last few years, however, in recognition of problems with decision-making disparity, various jurisdictions have adopted standardized methods of risk assessment, often involving the classification of offenders into "risk levels" based on prior experience. Currently, the Federal Parole Commission<sup>2</sup> is using a risk assessment scoring device as part of a parole guidelines system upon which release decisions for Federal prisoners are based. In addition, the Michigan Department of Corrections<sup>3</sup> has implemented two risk assessment devices (one for assessing risk of violence and the other for risk of property crimes) in conjunction with parole, furlough and custody decisions (including community supervision levels).

In Iowa, during part of 1978, the First, Third and Sixth Judicial District Departments of Correctional Services utilized a risk assessment device on a pilot basis for assigning supervision levels to probationers. Of course, Vera-Manhattan type screening tools have long been used in Iowa and in other states for pre-trial release screening.

One of the major goals of the Iowa Statistical Analysis Center is to provide assistance to criminal justice agencies in Iowa in the development of objective (statistical) tools for decision-making. Currently SAC is involved with the Iowa Department of Social Services in discussion of possible forms for parole

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<sup>1</sup>Marvin Bohnstedt, Screening for Risk, working paper of the National Risk Assessment/Classification Survey, American Justice Institute, April 25, 1978.

<sup>2</sup>Peter Hoffman and James L. Beck, "Parole Decision-Making: A Salient Factor Score," Journal of Criminal Justice, Vol. 2, 1974.

<sup>3</sup>Information on Michigan Department of Corrections Risk Screening, Michigan Department of Corrections, Program Bureau, August, 1978.

guidelines to be submitted for consideration by the Iowa Board of Parole.

To assist in this effort, two special scoring systems were developed by SAC for possible inclusion in parole guideline systems for Iowa. The first, displayed in the next page, is a risk assessment device developed in conjunction with the current recidivism study, that synthesizes many of the relationships discussed in the previous section. The second system, displayed on the following page, is a method of scoring offender or criminal history and was constructed to reflect past release policies of the Iowa Board of Parole (see Appendix I for definition of offense severity categories). Both of these scoring systems are discussed in depth in another volume of this series concerned with time served and parole decision-making.

In addition, SAC has done extensive work in the area of sentencing and custody-decision research and is prepared to assist the judiciary and institutional and community-based corrections planners in the development of guidelines for sentencing, custody, and supervision-level decisions. In addition, SAC hopes to assist in the improvement of pre-trial release screening devices in current use throughout Iowa.

#### RISK ASSESSMENT AS A TOOL FOR RESEARCH AND EVALUATION

In addition to providing assistance to justice system decision-making, "statistical" risk assessment methods can be used in conjunction with research and evaluation studies in criminal justice. Risk assessment devices are often used as methods of controlling for offender differences in the evaluation of correctional programs (see the last two sections of this report). In addition, risk assessment can lead to methods of offender classification (by risk) that can be used in the study of correctional populations and decision-making patterns in criminal justice.

Risk assessment is useful in research and evaluation in that it can allow the researcher to "subtract out" the effect of offender differences on program outcome and recidivism, and can facilitate the comparison of existing decision-making practices in criminal justice with actual offender behavior, e.g., to determine if higher risk offenders are incarcerated more often and for longer periods, etc.

During its first year of operation, the Iowa SAC has been extensively involved with the use of risk assessment as a tool for research and evaluation in criminal justice. Much of this work, especially in the areas of sentencing, probation and parole, and community residential corrections, appears in other volumes of this series.

STATE OF IOWA  
PAROLE RISK ASSESSMENT SCORING SYSTEM  
VERSION TWO

		RISK FACTOR SCORING			COMPOSITE RISK RATING				
		RISK FACTORS	18-25	AGE 26-34	35+	RISK SCORE = #YES	18-25	AGE 26-34	35+
NO PRIOR COMMITMENT	PRIOR ARRESTS .....	- -	- -	Y N	0	L	VL	VL	
	JUVENILE ARREST RECORD .....	Y N	Y N	Y N	1	LM	L	L	
	ARREST-FREE UNDER TWO YEARS .....	Y N	Y N	- -	2	HM	M	L	
	ONE OR MORE PRIOR FELONY CONVICTIONS .....	- -	- -	Y N	3	H	M	L	
	TWO OR MORE PRIOR FELONY CONVICTIONS .....	Y N	Y N	Y N	4	H	H	LM	
	PRIOR JAILBREAK OR PROBATION REVOCATION .....	Y N	Y N	- -	5	H	H	LM	
	CURRENT PROBATION OR PAROLE VIOLATION .....	Y N	Y N	Y N	6	H	H	- -	
	GOOD/HONOR TIME LOST ON CURRENT SENTENCE .....	Y N	Y N	- -					
PRIOR COMMITMENT	JUVENILE ARREST RECORD .....	Y N	- -	- -	0	HM	LM	LM	
	ARREST-FREE UNDER TWO YEARS .....	- -	- -	Y N	1	HM	H	LM	
	ONE OR MORE PRIOR FELONY CONVICTIONS .....	Y N	- -	- -	2	H	H	H	
	PRIOR ESCAPE OR PROBATION/PAROLE REVOCATION .....	Y N	Y N	Y N	3	UH	UH	H	
	UNDER FIVE YEARS SINCE LAST PRISON RELEASE .....	- -	Y N	- -	4	UH	- -	- -	
	CURRENT ADMISSION FOR PROBATION VIOLATION .....	Y N	- -	- -	5	UH	- -	- -	
	GOOD/HONOR TIME LOST ON CURRENT SENTENCE .....	Y N	Y N	Y N					

INSTRUCTIONS

- A. LOCATE EITHER THE UPPER OR LOWER HORIZONTAL SEGMENT, SELECTING THE LOWER SEGMENT IF THE OFFENDER HAS A PRIOR JUVENILE OR ADULT COMMITMENT.
- B. UNDER THE VERTICAL SEGMENT "RISK FACTOR SCORING" LOCATE THE COLUMN CORRESPONDING TO THE OFFENDER'S CURRENT AGE.
- C. CIRCLE Y-YES OR N-NO FOR EACH RISK FACTOR THAT APPLIES UNDER THE CHOSEN HORIZONTAL SEGMENT AND COLUMN.
- D. COUNT THE NUMBER OF FACTORS WITH Y-YES CIRCLED. THIS COUNT IS THE OFFENDER'S RISK SCORE. CIRCLE THE COMPUTED SCORE UNDER THE VERTICAL SEGMENT "COMPOSITE RISK RATING."
- E. LOCATE THE COLUMN CORRESPONDING TO THE OFFENDER'S AGE, AND THEN CIRCLE THE RISK RATING IN THAT COLUMN OPPOSITE THE RISK SCORE CIRCLED TO THE LEFT. RISK RATINGS ARE AS FOLLOWS: VERY-LOW RISK VL LOW RISK L LOW-MEDIUM RISK LM MEDIUM RISK M HIGH-MEDIUM RISK HM HIGH RISK H ULTRA-HIGH RISK UH.
- F. "ARREST-FREE YEARS" REFERS TO THE SPAN OF TIME BETWEEN THE ARREST LEADING TO THE CURRENT SENTENCE AND THE LAST PREVIOUS ARREST (IF ANY). THUS "ARREST-FREE UNDER TEN YEARS" MEANS A PRIOR ARREST WITHIN TEN YEARS OF THE CURRENT ARREST. CODE N-NO IF THERE IS NO PRIOR ARREST.

STATE OF IOWA  
PAROLE DECISION-MAKING  
OFFENDER HISTORY SCORING SYSTEM

DECISION FACTORS	OFFENSE SEVERITY RATING							SCORE= #YES
	1	2	3	4	5	6	7	
ARREST-FREE UNDER TEN YEARS .....	Y N	Y N	-	Y N	-	Y N	-	0 1 2 3 4 5 6 7 8 9 10
ARREST-FREE UNDER FIVE YEARS .....	-	-	-	-	Y N	-	-	
ARREST-FREE UNDER TWO YEARS .....	Y N	Y N	Y N	Y N	Y N	-	-	
JUVENILE COMMITMENT RECORD .....	Y N	Y N	Y N	-	Y N	Y N	Y N	
HISTORY OF ALCOHOL PROBLEMS .....	-	-	-	Y N	-	-	Y N	
ONE OR MORE PRIOR FELONY CONVICTIONS .....	Y N	Y N	-	Y N	Y N	Y N	Y N	
TWO OR MORE PRIOR FELONY CONVICTIONS .....	Y N	Y N	-	-	Y N	-	Y N	
ONE OR MORE PRIOR FORCIBLE-FELONY CONVICTIONS .....	-	-	-	-	-	-	Y N	
ONE OR MORE PRIOR ADULT COMMITMENTS .....	Y N	Y N	Y N	Y N	Y N	Y N	-	
TWO OR MORE PRIOR ADULT COMMITMENTS .....	Y N	Y N	Y N	Y N	Y N	Y N	Y N	
UNDER TEN YEARS SINCE LAST PRISON RELEASE .....	Y N	Y N	-	-	-	Y N	Y N	
UNDER FIVE YEARS SINCE LAST PRISON RELEASE .....	-	-	Y N	-	Y N	-	-	
UNDER TWO YEARS SINCE LAST PRISON RELEASE .....	-	-	Y N	Y N	-	Y N	Y N	
UNDER ONE YEAR SINCE LAST PRISON RELEASE .....	Y N	Y N	-	-	-	-	-	
PRIOR ESCAPE .....	Y N	Y N	Y N	Y N	Y N	Y N	Y N	
PRIOR PROBATION OR PAROLE REVOCATION .....	-	-	Y N	Y N	Y N	-	-	

INSTRUCTIONS

- A. LOCATE THE APPROPRIATE OFFENSE SEVERITY RATING (COLUMN) ON THE HORIZONTAL SCALE. CIRCLE THE RATING.
- B. CIRCLE Y-YES OR N-NO FOR EACH OFFENDER HISTORY DECISION FACTOR THAT APPLIES UNDER THE CHOSEN COLUMN.
- C. COUNT THE NUMBER OF FACTORS WITH Y-YES CIRCLED. THIS COUNT IS THE OFFENDER HISTORY SCORE. CIRCLE SCORE.
- D. DETERMINE THE OFFENDER HISTORY RATING FROM THE COMPUTED SCORE AS FOLLOWS: GOOD 0 FAIR 1-3 POOR 4-6 VERY POOR 7+
- E. "ARREST-FREE YEARS" REFERS TO THE SPAN OF TIME BETWEEN THE ARREST LEADING TO THE CURRENT SENTENCE AND THE LAST PREVIOUS ARREST (IF ANY). THUS "ARREST-FREE UNDER TEN YEARS" MEANS A PRIOR ARREST WITHIN TEN YEARS OF THE CURRENT ARREST. CODE N-NO IF THERE IS NO PRIOR ARREST.
- F. "FORCIBLE FELONIES" INCLUDE OFFENSES SO-CLASSIFIED UNDER THE NEW CRIMINAL CODE AND SIMILAR OR CORRESPONDING OFFENSES UNDER THE OLD CODE.
- G. "YEARS SINCE LAST PRISON RELEASE" REFERS TO THE SPAN OF TIME BETWEEN THE DATE OF ADMISSION ON THE CURRENT SENTENCE AND THE DATE OF THE LAST PREVIOUS RELEASE FROM PRISON ON A PRIOR ADULT SENTENCE (IF ANY).

## THE PAROLE RISK ASSESSMENT SCORING SYSTEM - VERSION ONE

As one aspect of the Adult Corrections Master Plan effort, a thorough statistical study of Iowa's prison population was conducted. The aim of this study was to determine the prospects for population reduction through increased use of community alternatives to incarceration and the accelerated release of "lower risk" offenders. The approach taken was to obtain a profile of the inmate population according to the major factors that govern the admission and release of offenders. One of the statistical tools used in this study was a risk assessment system developed to measure as accurately as possible the probability that an offender would fail on parole or be charged with a new crime if released.

The development of this device, called the Parole Risk Assessment Scoring System - Version One (at that time called the Parole Base Expectancy Scoring System), grew from similar work of the present authors in risk assessment with the former Bureau of Correctional Evaluation of the Iowa Department of Social Services.<sup>1</sup> The system incorporates two separate scoring devices, one for male offenders and one for female offenders.

Version One of the scoring system was developed from a somewhat smaller data base than the 2231 case files used for the current recidivism study. Nevertheless, the system reflects many of the associations with recidivism that were discussed in the previous section and classifies offenders into risk levels in a manner similar to the risk assessment device, called Version Two, developed for the parole guidelines project. The differences between versions reflect primarily considerations of fairness and adaptability to decision-making processes rather than substantive distinctions in risk rating.

The coding devices for Version One appear on the following three pages. From the layout of these forms, it is readily apparent that Version One is quite a bit more complex than Version Two, and would involve more difficulty in coding. The benefits of Version One, however, are in the greater accuracy or efficiency of the method of classification in predicting or explaining recidivism. As such, Version One offers more utility as a method of controlling for risk in comparing recidivism rates between groups of offenders or in assessing the possible reduction of recidivism for correctional treatment programs.

Version One for males involves the coding of four distinct components or risk profiles for criminal offenders, three reflecting pre-institutional factors and one reflecting institutional misconduct. These components are coded separately and are then combined into two composite profiles,

<sup>1</sup> Corrections in Iowa: A System of Growth and Change, Iowa Department of Social Services, Bureau of Correctional Evaluation, October, 1976.

STATE OF IOWA  
 PAROLE RISK ASSESSMENT  
 SCORING SYSTEM  
 MALE OFFENDERS

SOCIO-DEMOGRAPHIC/CURRENT OFFENSE PROFILE

COMPONENT I	COMPONENT II	COMPONENT III	COMPOSITE
<b>AGE</b>	<b>OCCUPATIONAL LEVEL</b>	<b>CURRENT OFFENSE</b>	
1 26 or over	1 Skilled	1 Murder II, Attempt to commit murder, Sexual abuse - 2nd or 3rd	1 111,112,113,121,122
2 25 or under	2 Unskilled or semiskilled	2 OMVUI-2nd, Non-narcotic drug-law violations, Lascivious acts with a child, Miscellaneous Class C or D felonies against persons, Conspiracy to commit a non-forcible felony	2 114,115,123,211,212, 213,221,222,311,312, 313,321,322
<b>MARITAL STATUS</b>	<b>EDUCATIONAL LEVEL</b>	3 All other felonies	3 124,125,214,215,223, 224,314,315,323,324
1 Married, widowed, divorced or separated	1 13 years or more	4 Theft - larceny, checks, stolen property, Fraudulent practices, Carrying weapon, Narcotic drug-law violations	4 116,117,126,216,217, 225,316
2 Single-never married or common-law	2 10-12 years, GED	5 Involuntary manslaughter, Going armed with intent, Robbery - 1st or 2nd, Class D felony against public morals	5 226,317,325
<b>COMPOSITE</b>	<b>MILITARY EXPERIENCE</b>	6 Burglary - 1st or 2nd, Possession of burglar's tools, Theft - other, False use of financial instrument, Incest, OMVUI -3rd	6 127,227,326,327
1 11	1 Veteran	7 Operating motor vehicle without owner's consent, Theft - motor vehicle (2nd)	
2 12	2 Non-veteran		
3 21,22	<b>COMPOSITE</b>		
	1 111,112,121,131,211,212, 221		
	2 122,132,222,231,232		

CRIMINAL HISTORY PROFILE

COMPONENT I	COMPONENT II	COMPONENT III	COMPOSITE
<b>ADULT CONVICTION/ COMMITMENT RECORD</b>	<b>JUVENILE RECORD</b>	<b>PRIOR ARRESTS</b>	
1 None	1 None	1 Two or less	1 111,112,211,212
2 One or more felony convictions	2 Arrests but no commitments	2 Three or more	2 113,114,115
3 Three or more commitments	3 Commitments	<b>ARREST-FREE YEARS</b>	3 121,122,123,124,125, 131,132,133,134,135, 213,214,215,221,222, 223,224,225,231,232, 311,312,313,314,315, 321,322,323,324,325, 411,412,413,414,415
<b>VIOLATION RECORD</b>		1 Five or more	4 233,234,235,331,332, 333,334,335,421,422, 423,424,425
1 No escapes or probation revocations		2 Two to five	5 431,432,433,434,435, 511,512,513,514,515, 521,522,523,524,525, 531,532,533,534,535
2 Prior escapes or probation revocations		3 Less than two	
<b>COMPOSITE</b>		<b>COMPOSITE</b>	
1 11		1 11,21	
2 21		2 12	
3 31		3 22	
4 12,22		4 13	
5 32		5 23	

Figure 5  
(continued)

CURRENT SENTENCE/ADMISSION STATUS PROFILE

COMPONENT I	COMPONENT II	COMPOSITE
TYPE OF ADMISSION	MENTAL HEALTH EVALUATION CONDUCTED	
1 Direct court commitment	1 No	1 11
2 Probation revocation	2 Yes	2 12,21,31
		3 13,22,23,32,41
		4 33,42,43
TYPE OF SENTENCE	JAIL CREDITS (DAYS)	
1 Simple	1 14 or less	
2 Multiple - concurrent	2 15 or more	
3 Multiple - consecutive		
COMPOSITE	COMPOSITE	
1 11,12	1 11	
2 13	2 12	
3 21,22	3 21,22	
4 23		

COMPOSITE PAROLE RISK ASSESSMENT - PRE-INSTITUTIONAL FACTORS

	SOCIO-DEMOGRAPHIC/CURRENT OFFENSE PROFILE	1	2	3	4	5	6
	CRIMINAL HISTORY PROFILE	1	2	3	4	5	
	CURRENT SENTENCE/ADMISSION STATUS PROFILE	1	2	3	4		
5 VERY POOR RISK		343,344,353,354,443,444,453,454,524,533,534,543,544,553,554,623,624,633,634,643,644,653,654					
4 POOR RISK		154,244,254,334,434,514,523,531,532,541,542,551,552,612,613,614,621,622,631,632,641,642,651,652					
3 FAIR RISK		134,144,214,224,232,233,234,242,243,251,252,253,314,321,322,323,324,331,332,333,341,342,351,352,412,413,414,421,422,423,424,431,432,433,441,442,451,452,512,513,521,522,611					
2 GOOD RISK		212,213,222,223,231,241,311,312,313,411,511					
1 VERY GOOD RISK		111,112,113,114,121,122,123,124,131,132,133,141,142,143,151,152,153,211,221					

PAROLE RISK ASSESSMENT - PRE-INSTITUTIONAL AND INSTITUTIONAL FACTORS

INSTITUTIONAL MISCONDUCT RECORD

- 1 No major report or escape
- 2 Major report or escape

PRE-INSTITUTIONAL PAROLE RISK RATING	1	2	3	4	5
INSTITUTIONAL MISCONDUCT RECORD	1	2			

VERY POOR RISK 52 POOR RISK 32,41,42,51 FAIR RISK 31 GOOD RISK 21,22 > VERY GOOD RISK 11,12

STATE OF IOWA  
 PAROLE RISK ASSESSMENT  
 SCORING SYSTEM  
 FEMALE OFFENDERS

SOCIO-DEMOGRAPHIC/CURRENT OFFENSE PROFILE

COMPONENT I	COMPONENT II	COMPONENT III	COMPOSITE
AGE	HISTORY OF NARCOTIC DRUG ABUSE	CURRENT OFFENSE	1 111,112,211 2 121,122,131, 132,212,221
1 35 or over 2 34 or under	1 No history 2 History	1 Crime against persons, involving drugs 2 Property crime	3 222 4 231 5 232
MARITAL STATUS	EDUCATIONAL LEVEL		
1 Married or common-law 2 Single, widowed, divorced or separated	1 12 years or more, including GED 2 0-11 years		
COMPOSITE	COMPOSITE		
1 11,12,21 2 22	1 11 2 12 3 21,22		

CRIMINAL HISTORY PROFILE

COMPONENT I	COMPONENT II	COMPONENT III	COMPONENT IV	COMPOSITE (ADD)
ADULT CONVICTION/ COMMITMENT RECORD	JUVENILE RECORD	PRIOR ARRESTS	ALIASES	1 0 2 1-10 3 11-23
0 No prior adult felony convictions 1 Prior adult felony convictions but no commitments 5 Prior adult commit- ments	0 No juvenile arrests or commitments 6 Juvenile arrests or commitments	0 No prior arrests 6 One or two prior arrests 8 Three or more prior arrests	0 None 4 One or more	

CURRENT SENTENCE/ADMISSION STATUS PROFILE

TYPE OF SENTENCE

- 1 Simple
- 2 Multiple -  
concurrent or  
consecutive

COMPOSITE PAROLE RISK ASSESSMENT - PRE-INSTITUTIONAL FACTORS

SOCIO-DEMOGRAPHIC/CURRENT OFFENSE PROFILE	1	2	3	4	5
CRIMINAL HISTORY PROFILE	1	2	3		
CURRENT SENTENCE/ADMISSION STATUS PROFILE	1	2			

(VERY) POOR RISK 332,422,432, 522,531,532 FAIR RISK 331,421,431, 511,512,521 GOOD RISK 212,221,222, 231,232,311, 312,321,322, 411,412 VERY GOOD RISK 111,112,121, 122,131,132, 211

one incorporating pre-institutional factors only (3 components) and one incorporating all four components. The 3-component system can be used to classify active prison populations since it involves just pre-institutional factors, while the 4-component system can only be applied to ex-inmate populations or to offenders being considered for parole (since it considers institutional misconduct).

Table 7 below provides a statistical overview of the Version One scoring system for male offenders in its 4-component form. The table will allow the reader to determine past performance, as measured by return rate, for offenders classified in each level of risk. The accuracy of the system in predicting or explaining return rates is a function of the degree to which more of the "returnees" fall into higher risk categories and "non-returnees" into lower risk categories. The extent of this splitting of returnees from non-returnees is summarized by the Mean Cost Rating (MCR) on the bottom line of the table. MCR ranges from zero to one and increases as the accuracy or predictive efficiency of the rating system improves. The inclusion of MCR statistics in this report is primarily for the benefit of researchers and evaluators who are already familiar with MCR. As such, MCR figures can be ignored without affecting comprehension of the remaining material.

Figure 5 following the table is a graphical depiction of the accuracy of the Version One system for males. It displays the increase in return rate over time (increasing follow-up) for each of the five risk levels of the 4-component form of the system, and expands on the rates appearing in Table 7.

Table 8 following Figure 5 further specifies return rates for the five-level scale according to the most serious new charge or violation leading to return to prison. This table will allow the reader to determine the total magnitude and seriousness of such new involvements. As can be seen from the table, higher risk offenders tend to record more serious forms of recidivism, especially with new felonies against persons and Part I felonies not against persons. This tendency is one of the keys to accurately assessing the validity of Version One.

Table 7

RETURN RATES FOR ADULT  
CORRECTIONAL INSTITUTIONS IN IOWA  
MALES RELEASED BY FIRST PAROLE OR EXPIRATION OF SENTENCE  
BY PAROLE RISK RATING (VERSION ONE)

PAROLE RISK RATING (VERSION ONE)	ONE-YEAR FOLLOW-UP		TWO-YEAR FOLLOW-UP		THREE-YEAR FOLLOW-UP		FOUR-YEAR FOLLOW-UP	
	CASES	RATE	CASES	RATE	CASES	RATE	CASES	RATE
VERY POOR RISK	80	28.8%	63	46.0%	48	56.2%	20	70.0%
POOR RISK	500	19.0%	394	33.0%	241	40.7%	115	49.6%
FAIR RISK	451	13.3%	362	21.6%	221	24.9%	92	19.6%
GOOD RISK	240	4.2%	193	8.3%	125	8.4%	46	6.5%
VERY GOOD RISK	135	2.2%	108	1.9%	59	3.4%	22	0.0%
ALL OFFENDERS	1406	13.6%	1120	22.8%	694	28.1%	295	31.2%
MEAN COST RATING (MCR)		.33		.38		.40		.54

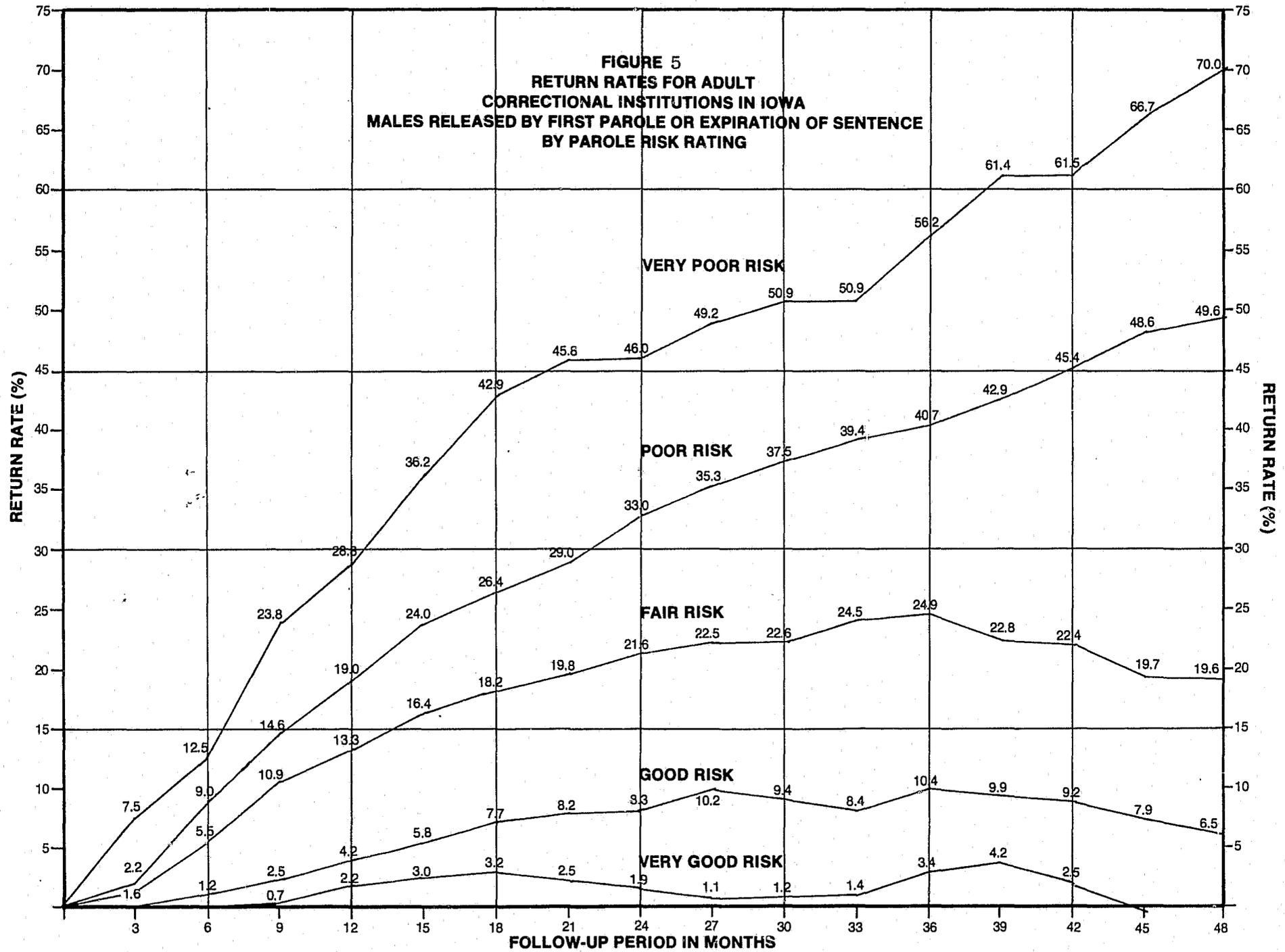


Table 8

RETURN RATES FOR ADULT  
CORRECTIONAL INSTITUTIONS IN IOWA  
MALES RELEASED BY FIRST PAROLE OR EXPIRATION OF SENTENCE  
MOST SERIOUS NEW INVOLVEMENT  
BY PAROLE RISK RATING (VERSION ONE)

PAROLE RISK RATING (VERSION ONE)/ MOST SERIOUS NEW INVOLVEMENT	FOLLOW-UP PERIOD IN YEARS			
	ONE	TWO	THREE	FOUR
VERY POOR RISK	28.8%	46.0%	56.2%	70.0%
Felony Against Person(s)	8.8%	11.1%	18.8%	30.0%
Part I Felony Not Agt. Person(s)	8.8%	20.6%	22.9%	15.0%
Part II Felony Not Agt. Person(s)	1.3%	1.6%	2.1%	0.0%
Misdemeanor/Technical Violation	10.0%	12.7%	12.5%	25.0%
POOR RISK	19.0%	33.0%	40.7%	49.6%
Felony Against Person(s)	3.6%	5.8%	8.3%	13.0%
Part I Felony Not Agt. Person(s)	5.6%	9.6%	11.2%	12.2%
Part II Felony Not Agt. Person(s)	3.4%	6.3%	9.1%	12.2%
Misdemeanor/Technical Violation	6.4%	11.2%	12.0%	12.2%
FAIR RISK	13.3%	21.6%	24.9%	19.6%
Felony Against Person(s)	0.7%	1.1%	1.8%	1.1%
Part I Felony Not Agt. Person(s)	1.6%	3.6%	3.6%	2.2%
Part II Felony Not Agt. Person(s)	3.3%	6.4%	8.6%	8.7%
Misdemeanor/Technical Violation	7.8%	10.5%	10.9%	7.6%
GOOD RISK	4.2%	8.3%	8.4%	6.5%
Felony Against Person(s)	0.0%	0.5%	0.8%	0.0%
Part I Felony Not Agt. Person(s)	0.0%	0.0%	0.8%	0.0%
Part II Felony Not Agt. Person(s)	1.3%	2.1%	1.6%	4.3%
Misdemeanor/Technical Violation	2.9%	5.7%	5.2%	2.2%
VERY GOOD RISK	2.2%	1.9%	3.4%	0.0%
Felony Against Person(s)	0.0%	0.0%	0.0%	0.0%
Part I Felony Not Agt. Person(s)	0.7%	0.0%	0.0%	0.0%
Part II Felony Not Agt. Person(s)	0.7%	0.9%	3.4%	0.0%
Misdemeanor/Technical Violation	0.7%	0.9%	0.0%	0.0%

## V. THE EFFECT OF SCREENING ON RECIDIVISM

As stated earlier in the report, screening and system decision-making practices of prosecutors, judges, and parole board members can have substantial effects on recidivism rates.

Decisions concerning prosecution can affect recidivism rates if prosecutors decline to press charges against many first offenders and other offenders known to be of "lower risk" for recidivism. This form of screening increases recidivism rates for correctional programs by increasing the overall risk profile of convicted offenders.

Sentencing practices can, in turn, affect recidivism rates to the extent that risk is a factor in sentencing. If many more lower risk than higher risk offenders are placed in community programs, then recidivism rates for institutional programs will be higher and rates for community programs lower. This is one reason why it is not appropriate to compare recidivism rates for the two types of programs without controlling for risk-related differences. Another is that within-program failure in community programs withdraws many higher risk offenders from the pool of potential recidivists released from these programs.

Parole board screening affects recidivism to the extent that members are able to identify "higher risk" offenders to be denied parole (perhaps not indefinitely). Recidivism would thus decrease if the rate of release of higher risk offenders is slowed by parole decision patterns.

Screening effects are extremely important to consider in comparing the outcomes of alternative correctional experiences. For example, in comparing community-based and institutional recidivism rates it is vital to control for risk-related differences between probationers or community residential clients and ex-inmates/parolees. As an illustration, Table 9 displays comparative outcome measures for felony probationers and parolees released from caseloads in Iowa during 1974-1976. The actual parole outcomes appear under the column entitled "OBSERVED." As is readily determined, failure or violation rates are about one-third higher for parolees than for felony probationers. When differences in risk and sentencing severity (measures of likelihood of commitment to prison) are controlled, however, this one-third difference disappears completely.<sup>1</sup> In other words, the higher failure rates for parolees can be explained by the fact that parolees are somewhat higher risk

<sup>1</sup> The column "EXPECTED" gives failure rates for parolees that would have resulted if the probability of failure for parolees (per risk and sentencing severity) was the same as for felony probationers.

Table 9

COMPARATIVE PROGRAM OUTCOME  
 FELONY PROBATION VERSUS PAROLE  
 STATISTICAL CONTROL FOR DIFFERENCES IN RISK AND SENTENCING SEVERITY

VIOLATION CLASS	FELONY PROBATION	PAROLE	
		EXPECTED	OBSERVED
NEW ARREST/CHARGE	24.3%	32.5%	32.0%
Felony	15.4%	22.1%	22.6%
Misdemeanor Only	8.9%	10.4%	9.4%
REVOCATION	16.6%	24.5%	22.4%
New Arrest/Charge	13.0%	18.9%	18.3%
Technical Violation Only	3.6%	5.6%	4.2%
ABSCONDER AT LARGE	3.4%	6.7%	3.6%
NEW ARREST/CHARGE, REVOKED OR ABSCONDED	29.9%	42.2%	37.6%
SERIOUSNESS-WEIGHTED FAILURE	29.2%	43.6%	40.0%
AVERAGE UNEMPLOYMENT RATE	26.8%	31.8%	21.2%
TOTAL OFFENDERS	2445	606	

than felony probationers. Furthermore, controlling for sentencing severity provides assurance that this is not just an artifact of sentencing practices.

Another common tendency is to directly compare recidivism rates between parolees and discharged offenders (expiration of sentence). Martinson and Wilks<sup>1</sup> have attempted such a comparison within certain categories of offenders and study designs prescribed in recidivism studies (narcotics users, 1-6 months follow-up, non-random research designs, etc). They observe higher recidivism rates for discharged offenders, and since these differences hold up within their special categories, they infer a benefit or "rehabilitative effect" of parole supervision.

One serious question concerning this research is whether or not the Martinson and Wilks "categories" or "batches" adequately control for risk-related differences between parolees and discharged offenders. The latter may be of significantly higher risk than the former based on parole board screening. Furthermore, the broadly based "batches" of the study may not adequately reflect these differences. In the last section of this report, an attempt is made to compare recidivism rates for paroled and discharged offenders in Iowa, while controlling for risk-related differences with Version One of the parole risk assessment scoring system.

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<sup>1</sup> Robert Martinson and Judith Wilks, "Save Parole Supervision," Federal Probation, September, 1977.

## VI. CORRECTIONAL REHABILITATION

One of the fundamental goals of corrections research and evaluation is to approach the difficult question of the effectiveness of correctional treatment. The effectiveness of correctional programming is most commonly assessed through the study of recidivism rates, and is properly measured through "the reduction in the probability of recidivism" for individual offenders.

To say that the task of discerning the possible "reduction in recidivism" derived from correctional treatment is a difficult task is an understatement. As indicated early in this report, there are a large number of factors that influence recidivism rates, yet there is no ready method of sorting out the various influences of each to isolate the "essense" of correctional rehabilitation.

### CONTROLLING FOR RISK

A major factor affecting recidivism rates, as portrayed in this study, is the variation in offender "risk." Any differences in risk profiles between those who receive and those who do not receive a form of correctional treatment can effect higher recidivism rates for one group or the other. Unless care is taken to control for such differences, no valid conclusions can be drawn concerning effectiveness.

These difficulties raise a powerful rationale for the time and effort devoted to the development of risk assessment devices. In essence, meaningful evaluations of correctional treatment cannot be attempted without them. In Iowa, the Parole Risk Assessment Scoring System - Version One has been used to control for risk-related differences among groups of ex-inmates, while another device called the Probation Risk Assessment Scoring System has been instrumental in the evaluation of sentencing practices and community-based alternatives. The results of these studies will appear in other volumes of this series.

### INSTITUTIONAL TREATMENT

Table 10, below, provides an overview of return rates for groups of released offenders in the study population who either received or did not receive each of three forms of institutional treatment before release. The ordering of offender categories (by treatment modality) is from top to bottom according to the magnitude of two-year return rates.

As can be seen from the ordering, persons who received treatment of any given type have higher return rates than those who did not, although the variation in return rates among the six categories is slight.

Table 10

RETURN RATES FOR ADULT  
CORRECTIONAL INSTITUTIONS IN IOWA  
MALES RELEASED BY FIRST PAROLE OR EXPIRATION OF SENTENCE  
BY INSTITUTIONAL TREATMENT CATEGORY

INSTITUTIONAL TREATMENT CATEGORY	ONE-YEAR FOLLOW-UP		TWO-YEAR FOLLOW-UP	
	CASES	RATE	CASES	RATE
EDUCATIONAL EXPERIENCE	675	14.2%	538	25.8%
WORK RELEASE	442	13.3%	362	25.3%
VOCATIONAL TRAINING	497	16.3%	403	25.1%
<u>NO</u> WORK RELEASE	964	14.2%	758	22.4%
<u>NO</u> VOCATIONAL TRAINING	909	12.6%	717	22.3%
<u>NO</u> EDUCATIONAL EXPERIENCE	731	13.6%	582	20.9%
ALL OFFENDERS	2231	13.7%	1773	22.4%

At face value these figures would seem to suggest that correctional treatment programs in Iowa's prison system are ineffective in reducing the probability of recidivism. In light of the previous discussion, however, there is the possibility that those receiving treatment are originally of "higher risk" for recidivism and that this difference might counteract any reduction in recidivism due to treatment effects.

Accordingly, an effort was made to control for differences in risk between those who did and those who did not receive each form of treatment. As with the probation-parole comparison discussed in the previous section, "expected" return rates were calculated for persons receiving treatment and were compared with directly "observed" return rates for the same offenders (see Figures 6 through 8). The expected rates were computed by applying observed return rates for each risk level of persons not receiving treatment to the numbers of offenders in these levels who did receive treatment, with the results combined to derive overall expected rates.

Figures 6 through 8 indicate the magnitude of differences between expected and observed return rates for persons receiving each form of treatment. In the case of work release, an improvement through the first six months of release appears to be sustained through twenty-one months. For vocational training, an improvement is not directly observed until after eighteen months, but this difference is sustained through 3½ years. For educational experience, improvements begin to accrue after nine months and are sustained through eighteen months.

In each instance we are simply pointing out the "possibility" of reduction in recidivism without claiming that such has actually taken place. Statistical tests indicate that many of the above-mentioned differences are not statistically significant. For those so-inclined, sufficient data appear in Appendix II to allow the recomputation of chi-square statistics for tests of significance.

One further note is in order concerning the interpretation of Figures 6 through 8. As the length of the follow-up period increases, the number of cases that can be followed decreases substantially. As a result, recidivism rates for longer follow-up periods in this report are less reliable than those for shorter periods. Accordingly, the relationship between expected and observed return rates portrayed in the three charts becomes less reliable as one progresses from left to right. Generally, rates beyond 2½ to three years are not sufficiently reliable and should be ignored.

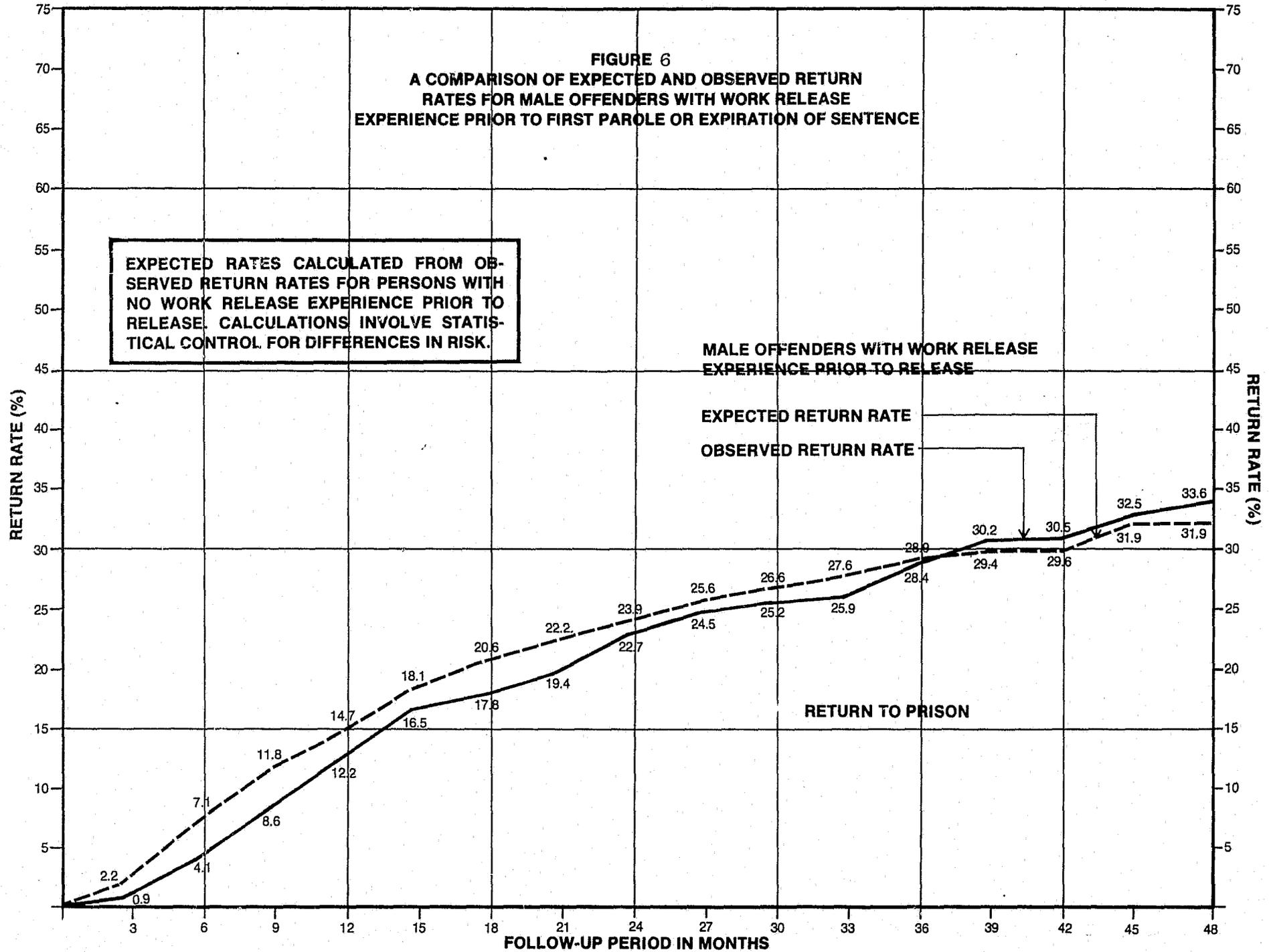
#### TIME SERVED AND PAROLE

Two primary questions of widespread interest in the corrections area deal with 1) the possible relationship between time served and recidivism, and 2) the possible effectiveness of parole

**FIGURE 6  
A COMPARISON OF EXPECTED AND OBSERVED RETURN  
RATES FOR MALE OFFENDERS WITH WORK RELEASE  
EXPERIENCE PRIOR TO FIRST PAROLE OR EXPIRATION OF SENTENCE**

**EXPECTED RATES CALCULATED FROM OBSERVED RETURN RATES FOR PERSONS WITH NO WORK RELEASE EXPERIENCE PRIOR TO RELEASE. CALCULATIONS INVOLVE STATISTICAL CONTROL FOR DIFFERENCES IN RISK.**

51



**MALE OFFENDERS WITH WORK RELEASE  
EXPERIENCE PRIOR TO RELEASE**

**EXPECTED RETURN RATE**

**OBSERVED RETURN RATE**

**RETURN TO PRISON**

RETURN RATE (%)

FOLLOW-UP PERIOD IN MONTHS

**FIGURE 7**  
**A COMPARISON OF EXPECTED AND OBSERVED RETURN**  
**RATES FOR MALE OFFENDERS WITH VOCATIONAL TRAINING**  
**EXPERIENCE PRIOR TO FIRST PAROLE OR EXPIRATION OF SENTENCE**

**EXPECTED RATES CALCULATED FROM**  
**OBSERVED RETURN RATES FOR PERSONS**  
**WITH NO VOCATIONAL TRAINING EXPER-**  
**IENCE PRIOR TO RELEASE. CALCULATIONS**  
**INVOLVE STATISTICAL CONTROL FOR DIFF-**  
**ERENCES IN RISK.**

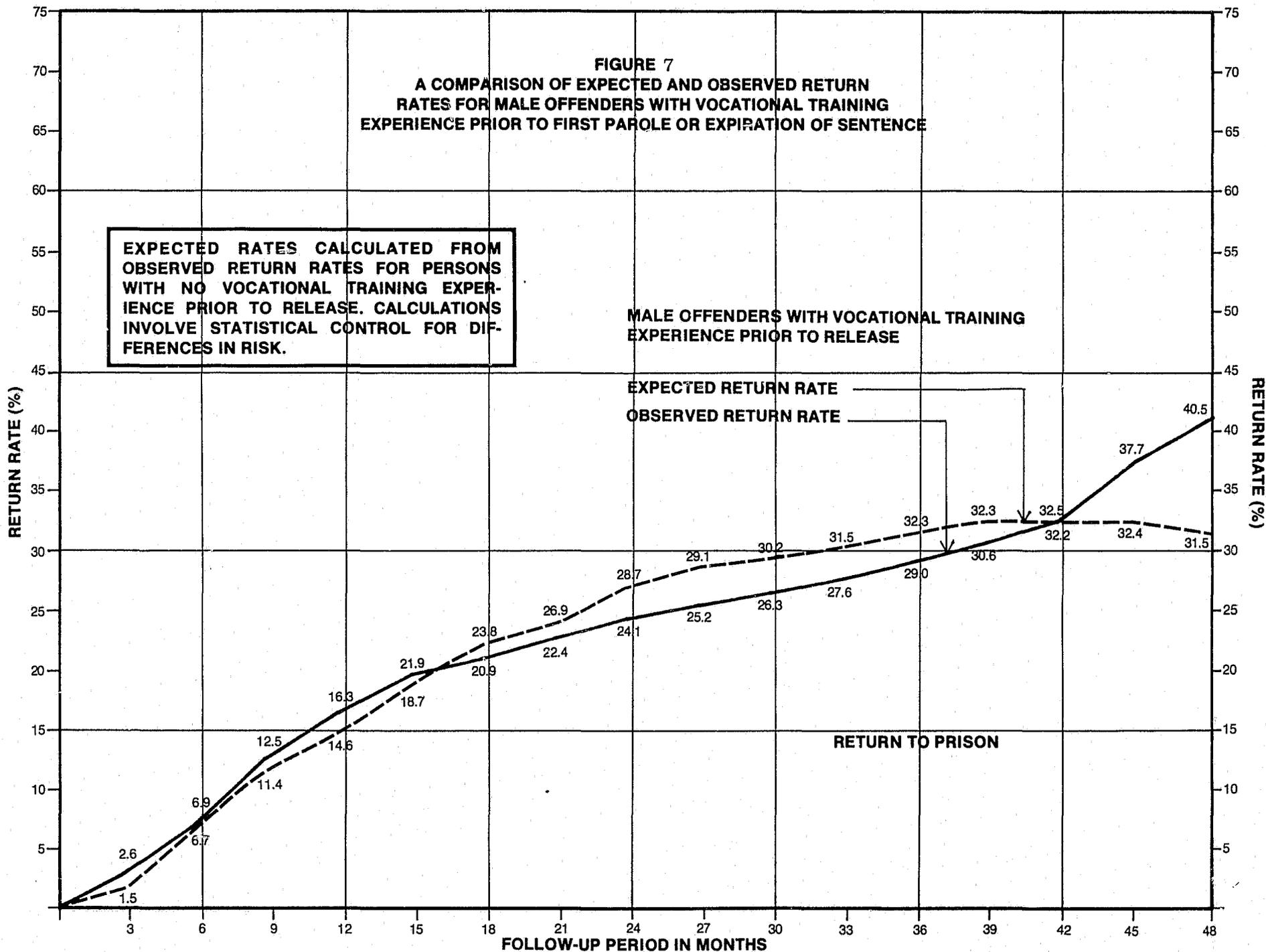
**MALE OFFENDERS WITH VOCATIONAL TRAINING**  
**EXPERIENCE PRIOR TO RELEASE**

**EXPECTED RETURN RATE**

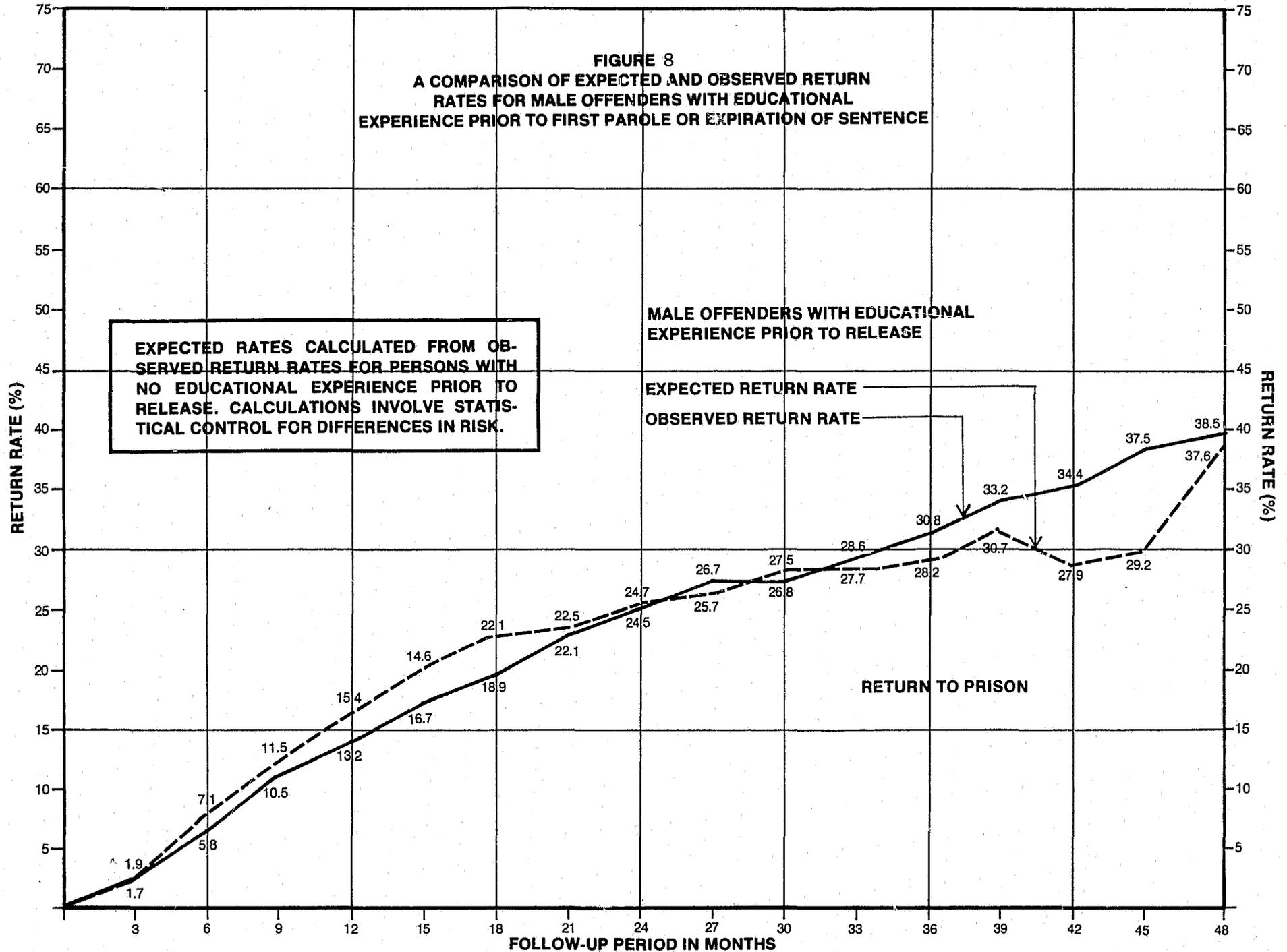
**OBSERVED RETURN RATE**

**RETURN TO PRISON**

52



**FIGURE 8**  
**A COMPARISON OF EXPECTED AND OBSERVED RETURN**  
**RATES FOR MALE OFFENDERS WITH EDUCATIONAL**  
**EXPERIENCE PRIOR TO FIRST PAROLE OR EXPIRATION OF SENTENCE**



supervision. As stated earlier, Martinson and Wilks have inferred a degree of effectiveness of parole supervision in reducing recidivism, although their methods are not beyond reproach. In addition, considerable attention in corrections research has been focused on the question of whether or not shortening or lengthening the period of confinement for incarcerated offenders can have an effect on recidivism.

To address these important questions, computations were attempted along the same lines as the preceding analysis of institutional treatment efforts. Recidivism rates for offenders serving either less than or more than two years prior to release were computed, along with rates for those released either by parole or by expiration of sentence. Recidivism in both cases was defined as NEW FELONY ARREST/CHARGE to avoid questions concerning technical violations of parole and differential probabilities of return to prison.

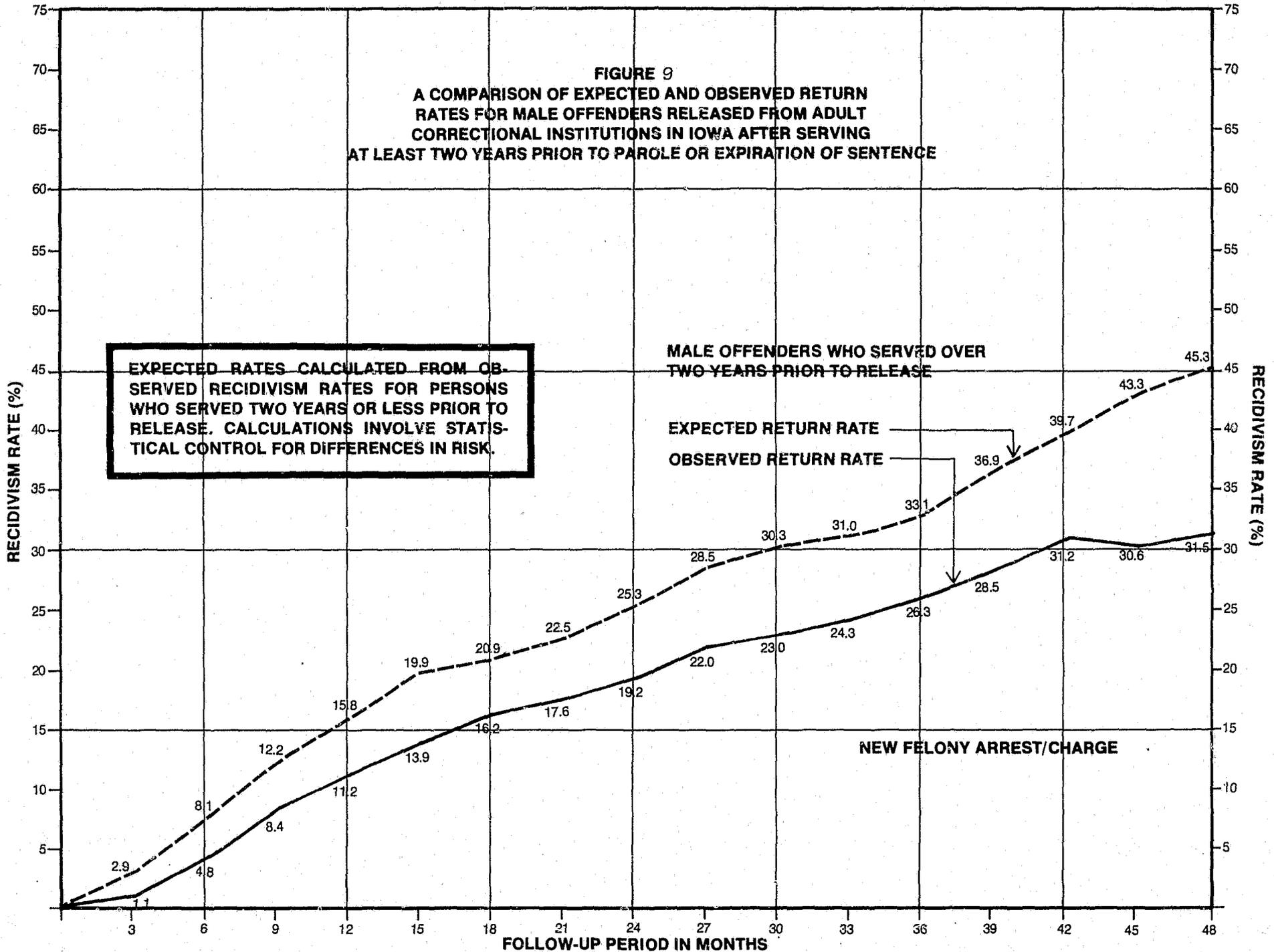
Both one and two-year recidivism rates for the four offender groups appear in Table 11. Expected recidivism rates for paroled offenders and for those serving more than two years before release were computed in the same manner as for treatment categories in the preceding analysis. The comparisons of observed with expected rates for these two groups are displayed in Figures 9 and 10. Figure 9 indicates a marked and sustained improvement for offenders serving over two years, while Figure 10 indicates some improvement for parolees during the first year and a half, which seems to vanish after that time. Again, no definite conclusions can be drawn from these comparisons, although they seem to indicate some noticeable gains through lengthier incarceration and parole supervision. As before, statistical tests of significance can be conducted using data appearing in Appendix II.

Table 11

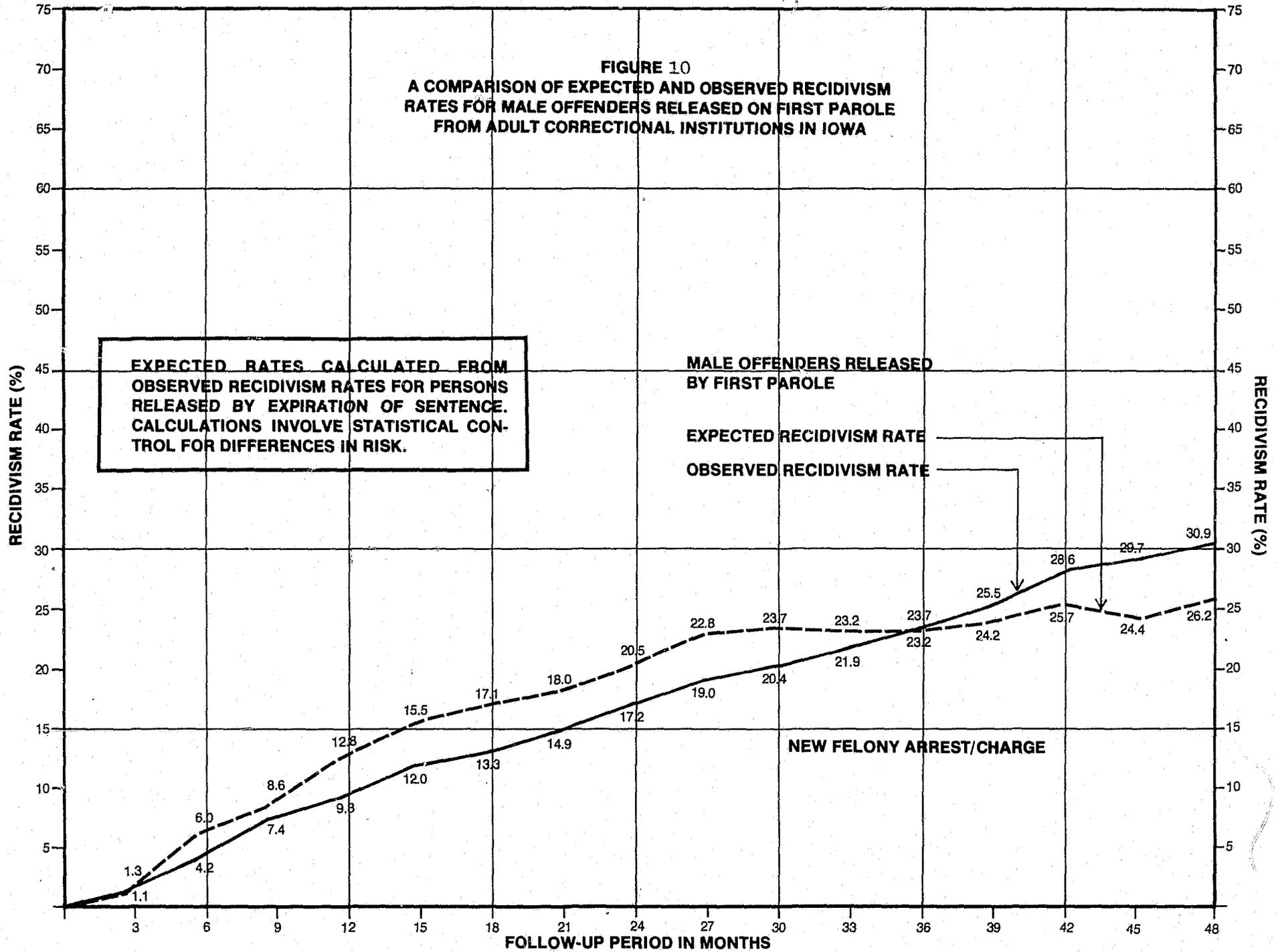
RECIDIVISM RATES FOR ADULT  
 CORRECTIONAL INSTITUTIONS IN IOWA  
MALES RELEASED BY FIRST PAROLE OR EXPIRATION OF SENTENCE  
 RECIDIVISM = NEW FELONY ARREST/CHARGE  
 BY TIME SERVED AND TYPE OF RELEASE

TIME SERVED/ TYPE OF RELEASE	ONE-YEAR FOLLOW-UP		TWO-YEAR FOLLOW-UP	
	CASES	RATE	CASES	RATE
TIME SERVED <u>LESS THAN</u> TWO YEARS	968	10.3%	771	17.9%
TIME SERVED <u>MORE THAN</u> TWO YEARS	438	11.2%	349	19.2%
-----				
RELEASED BY PAROLE	1012	9.3%	816	17.2%
RELEASED BY EXPIRATION OF SENTENCE	394	14.0%	304	21.4%
ALL OFFENDERS	1406	10.6%	1120	18.3%

**FIGURE 9**  
**A COMPARISON OF EXPECTED AND OBSERVED RETURN**  
**RATES FOR MALE OFFENDERS RELEASED FROM ADULT**  
**CORRECTIONAL INSTITUTIONS IN IOWA AFTER SERVING**  
**AT LEAST TWO YEARS PRIOR TO PAROLE OR EXPIRATION OF SENTENCE**



**FIGURE 10  
A COMPARISON OF EXPECTED AND OBSERVED RECIDIVISM RATES FOR MALE OFFENDERS RELEASED ON FIRST PAROLE FROM ADULT CORRECTIONAL INSTITUTIONS IN IOWA**



APPENDIX I

OFFENDER HISTORY SCORING SYSTEM  
OFFENSE SEVERITY RATINGS

- 2 5-YEAR SENTENCE - CRIME NOT AGAINST PERSON(S)
- 3 5-YEAR SENTENCE - CRIME AGAINST PERSON(S)
- 4 7-YEAR SENTENCE - CRIME NOT AGAINST PERSON(S)
- 5 10-YEAR SENTENCE -CRIME NOT AGAINST PERSON(S)
- 6 10-YEAR SENTENCE - CRIME AGAINST PERSON(S)
- 7 25-YEAR SENTENCE - CRIME AGAINST PERSON(S)

For an offense/sentence combination not rated as above,  
score according to the perceived severity of circumstances  
surrounding the crime and sentence.

## APPENDIX II

### SUPPORTING DATA

This appendix contains a large quantity of additional supporting data on recidivism not appearing in the body of this report or in Volume I.

Appendix Table 1 provides a summary of all new criminal charges against offenders in the study population (as ascertained from the study). In the body of the report attention was limited to the most serious new charge against an offender. Appendix Table 1, however, reflects multiple charges against individuals, where such were discovered, and thus provides a better view of the "total severity" of new involvements. The table gives the number of new charges of various types and the percent of total charges falling in each category.

Appendix Table 2 specifies three to 48-month return rates for each of the three major adult correctional institutions in Iowa.

Appendix Table 3 provides somewhat more detail on parole revocation rates than appears in Table 2.

Appendix Tables 4 through 13 detail information on offense and offender-specific recidivism rates summarized in Section IV - **RECIDIVISM BY OFFENDER CATEGORY.**

Appendix Tables 14 and 15 provide a somewhat more detailed statistical overview of the Parole Risk Assessment Scoring System - Version One than that appearing in Section IV - **RISK ASSESSMENT.**

Appendix Tables 16 through 25 provide the detailed information on recidivism and institutional or post-institutional experiences alluded to in Section VI - **CORRECTIONAL REHABILITATION.**

Appendix Table 1

New Criminal Charges Against 2231 Persons  
Released From Adult Correctional Institutions  
In Iowa By Expiration Of Sentence (736) Or  
Parole (1495) During Average  
57-Month Follow-Up Period

New Charges After Release	Parole	Expiration	Total
Against Persons	87 17.5%	80 18.7%	167 18.1%
Felony	67 13.5%	65 15.2%	132 14.3%
Misdemeanor	20 4.0%	15 3.5%	35 3.8%
Against Property	221 44.4%	184 43.1%	405 43.8%
Felony	200 40.2%	160 37.5%	360 38.9%
Misdemeanor	21 4.2%	24 5.6%	45 4.9%
Drugs	51 10.2%	10 2.3%	61 6.6%
Felony	32 6.4%	1 0.2%	33 3.6%
Misdemeanor	19 3.8%	9 2.1%	28 3.0%
Alcohol	69 13.9%	93 21.6%	162 17.5%
Felony	24 4.8%	21 4.9%	45 4.9%
Misdemeanor	45 9.0%	72 16.9%	117 12.6%
Against Public Justice and Authority	18 3.6%	18 4.2%	36 3.9%
Felony	6 1.2%	6 1.4%	12 1.3%
Misdemeanor	12 2.4%	12 2.8%	24 2.6%
Miscellaneous Offenses	52 10.4%	42 9.8%	94 10.2%
Felony	39 7.8%	22 5.2%	61 6.6%
Misdemeanor	13 2.6%	20 4.7%	33 3.6%
-----			
TOTAL	498 100.0%	427 100.0%	925 100.0%
Felony	368 73.9%	275 64.4%	643 69.5%
Misdemeanor	130 26.1%	152 35.6%	282 30.5%
Part I Offenses	185 37.1%	174 40.7%	359 38.8%
Violent	56 11.2%	55 12.9%	111 12.0%
Murder/Non-Negligent Mansl.	3 1.0%	3 1.0%	6 1.1%
Forcible Rape	5 1.6%	10 4.0%	15 2.7%
Robbery	33 10.5%	19 7.5%	52 9.2%
Aggravated Assault	15 4.8%	23 9.1%	38 6.7%
Property	129 25.9%	119 27.9%	248 26.8%
Burglary/Breaking and Entering	50 16.0%	55 21.7%	105 18.6%
Larceny/Theft	63 20.1%	45 17.8%	108 19.1%
Motor Vehicle Theft	16 5.1%	19 7.5%	35 6.2%
Part II Offenses	313 62.9%	253 59.3%	566 61.2%

Appendix Table 2

Return Rates For Adult  
Correctional Institutions in Iowa  
By Admitting\* Institution  
Persons Released By Expiration Of Sentence Or Parole

Admitting Institution	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
STATE PENITENTIARY (Ft. Madison)	1.7	6.8	10.6	14.2	17.7	19.9	20.2	21.5	22.9	25.0	25.8	27.4	28.2	28.3	28.1	25.8
Cases Followed	889	889	889	889	889	856	797	744	672	612	558	507	444	378	299	225
MEN'S REFORMATORY (Anamosa)	1.6	5.4	9.7	13.4	16.8	18.5	21.0	23.6	25.2	26.2	27.0	28.0	28.5	29.2	31.0	32.5
Cases Followed	1176	1176	1176	1176	1176	1116	1021	899	815	711	649	561	480	421	335	243
WOMEN'S REFORMATORY (Rockwell City)	1.6	2.4	9.6	12.6	13.9	17.1	18.2	19.2	20.0	22.2	22.9	21.7	23.4	24.2	21.0	24.5
Cases Followed	166	166	166	166	166	152	143	130	120	108	96	92	77	66	57	49
Composite	1.5	5.7	10.0	13.7	16.9	18.9	20.4	22.4	23.8	25.4	26.2	27.2	28.0	28.4	28.9	28.9
Cases Followed	2231	2231	2231	2231	2231	2124	1961	1773	1607	1431	1303	1160	1001	865	691	517

\*Information on releasing institution is not available.

**CONTINUED**

**1 OF 2**

Appendix Table 3

Parole Revocation Rates  
For Adult Correctional Institutions in Iowa

Recidivism Class	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
Parole Not Revoked	98.3	93.8	88.6	85.0	81.2	79.1	77.9	76.6	75.6	74.9	74.3	73.8	73.9	74.2	73.7	73.1
Parole Revoked	1.7	6.2	11.4	15.0	18.8	20.9	22.1	23.4	24.4	25.1	25.7	26.2	26.1	25.8	26.3	26.9
•No New Felony Arrest/Charge	1.3	3.5	5.8	7.6	9.4	10.7	11.6	11.8	12.0	11.8	11.7	11.4	11.1	10.5	10.2	9.4
•New Felony Arrest/Charge	0.4	2.7	5.6	7.4	9.4	10.2	10.5	11.6	12.4	13.3	14.0	14.8	15.0	15.3	16.1	17.5
Cases Followed	1495	1495	1495	1495	1495	1423	1327	1194	1077	956	871	772	679	582	460	338

Appendix Table 4

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 Persons Released By Parole or Expiration of Sentence  
 By Type of Sentencing Offense

Type of Sentencing Offense	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
AGAINST PROPERTY	2.8	8.0	14.1	18.8	23.5	26.3	28.8	31.5	33.6	35.6	37.0	37.3	38.7	40.1	41.3	41.9
Cases Followed	1296	1296	1296	1296	1296	1234	1148	1039	939	845	772	687	595	514	421	310
AGAINST PERSONS	2.3	7.7	10.3	15.4	17.6	20.0	19.8	21.7	23.4	26.2	26.5	30.2	33.7	36.4	36.9	38.6
Cases Followed	533	533	533	533	533	511	459	419	385	340	313	281	243	206	157	114
DRUG-LAW VIOLATION	1.3	3.4	5.9	8.9	10.6	13.2	15.9	18.2	20.7	23.9	25.6	25.4	23.2	24.4	26.1	18.5
Cases Followed	237	237	237	237	237	219	207	181	164	142	125	114	95	86	69	54
Composite Cases Followed	2.4 2231	7.3 2231	12.0 2231	16.5 2231	20.1 2231	22.8 2124	24.8 1961	27.1 1773	29.1 1607	31.3 1431	32.2 1303	33.6 1160	35.2 1001	37.0 865	38.2 691	38.3 517

Appendix Table 5

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Corrections Institutions in Iowa  
 Persons Released By Parole or Expiration of Sentence  
 By Use of Force/Weapon in Current Offense

Use of Force/Weapon in Current Offense	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
NON-FORCIBLE FELONY	2.4	7.2	12.4	16.8	20.6	23.3	25.8	28.2	30.3	32.5	33.6	34.3	35.4	37.0	38.6	38.4
Cases Followed	1837	1837	1837	1837	1837	1748	1624	1466	1328	1182	1073	956	819	711	577	432
FORCIBLE FELONY - NO WEAPON	2.2	4.4	5.8	12.4	16.1	19.8	19.7	21.3	22.0	25.0	25.6	29.6	34.9	37.7	34.2	34.5
Cases Followed	137	137	137	137	137	131	117	108	100	88	82	71	63	53	38	29
FORCIBLE FELONY - WEAPON/NOT FIREARM	3.5	8.8	10.5	14.0	17.5	20.0	18.4	20.4	28.2	29.4	30.3	38.5	35.0	29.4	23.1	40.0
Cases Followed	57	57	57	57	57	55	49	44	39	34	33	26	20	17	13	10
FORCIBLE FELONY - FIREARM	2.5	9.5	13.0	17.0	19.5	21.0	20.5	22.6	22.9	25.2	24.4	29.0	33.3	38.1	39.7	39.1
Cases Followed	200	200	200	200	200	190	171	155	140	127	115	107	99	84	63	46
Composite	2.4	7.3	12.0	16.5	20.1	22.8	24.8	27.1	29.1	31.3	32.2	33.6	35.2	37.0	38.2	38.3
Cases Followed	2231	2231	2231	2231	2231	2124	1961	1773	1607	1431	1303	1160	1001	865	691	517

Appendix Table 6

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 Persons Released By Parole or Expiration of Sentence  
 By Sentencing Offense (Drug-Law Violations)

Sentencing Offense (Drug-Law Violation)	Follow-Up Period In Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
CRIMES NOT INVOLVING DRUGS	2.6	7.7	12.7	17.4	21.3	23.9	25.8	28.1	30.0	32.1	32.9	34.5	36.4	38.4	39.5	40.6
Cases Followed	1994	1994	1994	1994	1994	1905	1754	1592	1443	1289	1178	1046	906	779	622	463
NARCOTIC DRUGS	1.3	5.2	11.7	13.0	14.3	18.3	22.1	26.6	30.0	34.0	35.6	34.9	35.1	39.4	39.3	28.6
Cases Followed	77	77	77	77	77	71	68	64	60	53	45	43	37	33	28	21
MARIJUANA	1.7	3.4	3.4	8.5	11.9	14.6	17.0	17.4	19.5	24.2	25.8	25.9	14.3	15.8	20.0	7.7
Cases Followed	59	59	59	59	59	55	53	46	41	33	31	27	21	19	15	13
OTHER NON-NARCOTIC DRUGS	1.1	2.2	3.2	6.4	7.5	8.1	10.0	10.8	12.3	13.5	15.2	14.6	14.7	12.9	12.5	15.8
Cases Followed	93	93	93	93	93	86	80	65	57	52	46	41	34	31	24	19
Composite (Drug-Law Violations)	1.3	3.4	5.9	8.9	10.6	13.2	15.9	18.2	20.7	23.9	25.6	25.4	23.2	24.4	26.1	18.5
Cases Followed	237	237	237	237	237	219	207	181	164	142	125	114	95	86	69	54

Appendix Table 7

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 Persons Released By Parole or Expiration of Sentence  
 By Prior Felony Conviction Record

Prior Felony Conviction Record	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
TWO OR MORE PRIOR FELONY CONVICTIONS (HABITUAL OFFENDER)	4.1	10.0	14.5	19.6	23.7	26.4	28.5	29.8	32.5	35.2	37.1	38.5	40.1	41.5	44.3	43.6
Cases Followed	469	469	469	469	469	447	411	379	338	307	275	252	227	193	149	110
PRIOR CONVICTION FOR FORGIBLE FELONY *	5.7	8.3	14.0	15.9	24.2	26.1	27.0	28.9	32.5	33.7	36.0	35.1	35.7	43.1	40.9	38.2
Cases Followed	157	157	157	157	157	153	141	128	117	104	89	77	70	58	44	34
ONE PRIOR FELONY CONVICTION (NON-FORGIBLE FELONY)	2.2	8.4	14.4	20.8	23.7	25.4	27.4	31.1	32.4	33.2	34.0	36.2	38.2	38.9	39.6	39.7
Cases Followed	418	418	418	418	418	405	376	341	315	286	262	235	207	180	149	116
NO PRIOR FELONY CONVICTIONS	1.6	5.8	10.1	13.8	17.0	20.1	22.2	24.4	26.3	28.6	29.4	30.8	31.5	33.6	34.7	35.6
Cases Followed	1193	1193	1193	1193	1193	1128	1042	943	856	753	688	607	508	440	352	264
Composite Cases Followed	2136	2136	2136	2136	2136	2035	1878	1706	1550	1382	1259	1122	969	836	666	501

\*Any Number of Felony Convictions.

Appendix Table 8

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 Persons Released by Parole or Expiration of Sentence  
 By Offender Attribute Dichotomy

Offender Attribute Dichotomy	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
HIGH RATING Cases Followed	2.8 1155	8.4 1155	12.9 1155	17.9 1155	21.0 1155	24.1 1097	25.5 1014	27.7 927	29.8 843	32.2 752	33.3 690	35.0 626	36.2 553	38.2 476	29.7 380	38.4 294
LOW RATING Cases Followed	1.8 933	5.7 933	10.8 933	14.7 933	18.5 933	20.8 892	23.3 820	26.0 736	27.7 667	29.7 590	30.5 532	31.6 459	32.7 385	33.8 334	34.7 262	37.3 185
Composite Cases Followed	2.3 2088	7.2 2088	12.0 2088	16.4 2088	19.9 2088	22.5 1989	24.5 1834	26.9 1663	28.8 1510	31.1 1342	32.1 1222	33.5 1085	34.7 938	36.5 810	37.7 642	38.0 479

Appendix Table 9

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 Persons Released By Parole or Expiration of Sentence  
 By Age at Sentencing and Prior Commitment Record

Age at Sentencing and Prior Commitment Record	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
18-25 AND JUVENILE COMMITMENTS ONLY	4.1	14.1	22.1	27.4	30.4	32.6	35.3	37.8	40.2	44.2	45.4	48.2	51.6	53.2	55.0	60.0
Cases Followed	362	362	362	362	362	344	317	291	266	233	218	189	161	139	109	80
26 OR OVER AND ADULT COMMITMENTS ONLY	2.6	8.4	13.7	18.5	23.0	26.7	27.7	29.0	30.7	34.5	36.8	36.6	36.2	36.8	41.5	42.7
Cases Followed	379	379	379	379	379	363	332	310	283	249	223	202	177	155	123	89
18-25 AND NO PRIOR COMMITMENTS	1.7	5.3	9.2	13.2	17.1	19.9	22.2	25.0	27.2	28.2	28.8	29.2	30.3	32.6	33.2	32.5
Cases Followed	718	718	718	718	718	682	627	557	512	461	420	373	317	276	220	163
26 OR OVER AND NO PRIOR COMMITMENTS	0.0	1.3	4.6	6.9	9.6	10.5	12.6	14.3	14.9	15.5	15.0	18.8	18.9	19.8	20.7	20.3
Cases Followed	303	303	303	303	303	286	269	244	222	193	173	154	127	106	87	64
Composite*	2.4	7.3	12.1	16.6	20.1	22.8	24.8	27.1	29.0	31.1	32.1	33.6	35.1	36.8	38.0	38.1
Cases Followed	2162	2162	2162	2162	2162	2060	1900	1725	1567	1396	1273	1134	978	842	671	504

\*Includes some offender profiles not represented in this table.

Appendix Table 10

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 Persons Released By Parole or Expiration of Sentence  
 By Age at Release and Prior Commitment Record

Age at Release and Prior Commitment Record	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
18-25 AND PRIOR COMMITMENTS	3.5	11.8	20.1	26.6	29.6	32.6	35.2	37.8	39.7	44.0	45.6	48.8	51.1	52.3	53.7	57.6
Cases Followed	398	398	398	398	398	383	355	328	295	257	237	201	176	153	123	92
26-34 AND PRIOR COMMITMENTS	4.2	11.0	15.2	19.8	23.7	27.0	29.4	31.2	34.4	36.3	37.2	39.4	40.4	41.2	46.3	45.0
Cases Followed	409	409	409	409	409	389	357	320	291	259	242	221	198	170	136	100
35+ AND PRIOR COMMITMENTS	2.4	7.2	12.0	16.5	20.1	22.8	23.3	25.0	26.7	30.0	31.8	31.4	33.1	35.8	33.3	32.9
Cases Followed	334	334	334	334	334	320	292	276	247	226	201	185	160	137	105	85
18-25 AND NO PRIOR COMMITMENTS	1.6	5.3	9.2	13.3	17.6	20.2	22.3	25.6	28.0	29.5	30.2	30.9	31.6	33.6	33.7	32.8
Cases Followed	618	618	618	618	618	590	542	476	436	387	351	311	263	232	184	137
26-34 AND NO PRIOR COMMITMENTS	0.7	3.0	6.3	9.2	11.4	13.8	17.7	20.1	20.6	20.5	21.2	21.9	22.3	23.5	27.8	27.3
Cases Followed	271	271	271	271	271	253	237	214	194	176	160	146	121	98	79	55
35+ AND NO PRIOR COMMITMENTS	0.0	0.8	4.6	6.8	9.1	9.6	8.6	8.1	9.6	11.0	8.5	14.3	16.7	19.2	15.9	17.1
Cases Followed	132	132	132	132	132	125	117	111	104	91	82	70	60	52	44	35
Composite	2.4	7.3	12.1	16.6	20.1	22.8	24.8	27.1	29.0	31.1	32.1	33.6	35.1	36.8	38.0	38.1
Cases Followed	2162	2162	2162	2162	2162	2060	1900	1725	1567	1396	1273	1134	978	842	671	504

Appendix Table 11

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 Persons Released By Parole or Expiration of Sentence  
 By Sentencing Offense (Part I Property Crimes)

Sentencing Offense (Part I Property Crimes)	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
MOTOR VEHICLE THEFT*	4.2	12.7	20.0	24.8	29.7	32.1	35.6	39.4	40.3	42.1	44.2	43.8	47.1	48.3	42.3	47.4
Cases Followed	165	165	165	165	165	159	146	127	119	107	95	80	68	60	52	38
BURGLARY/BREAKING AND ENTERING	3.2	7.5	13.4	18.7	23.4	27.6	31.0	34.9	38.0	40.3	42.8	41.3	43.8	46.3	48.0	46.2
Cases Followed	402	402	402	402	402	384	365	332	297	268	255	223	203	175	146	106
LARCENY/SHOPLIFTING	1.2	4.1	8.5	13.8	18.3	21.6	23.2	25.3	28.1	32.3	32.6	37.1	39.6	40.9	42.5	39.0
Cases Followed	246	246	246	246	246	236	216	194	171	155	138	124	106	93	80	59
Composite (Part I Property Crimes)	2.8	7.5	13.3	18.5	23.1	26.7	29.6	32.9	35.6	38.3	40.2	40.5	43.2	45.1	45.3	44.3
Cases Followed	813	813	813	813	813	779	727	653	587	530	488	427	377	328	278	203

\*Larceny of Motor Vehicle and Operating Motor Vehicle Without Consent.

Appendix Table 12

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 Persons Released By Parole or Expiration of Sentence  
 By Sentencing Offense (Part II Property Crimes)

Sentencing Offense (Part II Property Crimes)	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
FORGERY/UTTERING FORGED INSTRUMENT	1.1	7.9	14.3	18.0	25.4	26.2	28.8	31.0	31.0	31.8	33.3	33.3	29.9	32.2	32.8	39.1
Cases Followed	189	189	189	189	189	179	170	155	145	132	117	111	97	87	64	46
FALSE DRAWING AND UTTERING OF CHECKS	2.8	11.1	18.1	21.5	25.0	26.7	26.2	26.4	29.0	29.6	28.6	26.3	27.9	26.5	29.0	33.3
Cases Followed	144	144	144	144	144	135	122	110	100	88	84	76	61	49	38	30
OTHER PART II PROPERTY CRIMES*	4.6	7.3	14.6	18.5	21.2	23.2	26.9	28.7	30.6	31.2	32.1	35.1	34.4	34.0	39.0	38.7
Cases Followed	151	151	151	151	151	142	130	122	108	96	84	74	61	50	41	31
Composite (Part II Property Crimes)	2.7	8.7	15.5	19.2	24.0	25.4	27.5	28.9	30.3	31.0	31.6	31.8	31.1	31.2	33.6	37.4
Cases Followed	484	484	484	484	484	456	422	387	353	316	285	261	219	186	143	107

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\*Receiving Stolen Goods, Embezzlement, False Pretenses, Malicious Injury to Buildings, Arson, and Others.

Appendix Table 13

Recidivism Rates (Return to Prison or New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 Persons Released By Parole or Expiration of Sentence  
 By Sentencing Offense (Crimes Against Persons)

Sentencing Offense (Crimes Against Persons)	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
ROBBERY	1.9	8.7	12.6	18.0	22.3	25.5	25.6	28.2	28.4	31.0	30.6	35.6	41.6	44.7	46.6	47.5
Cases Followed	206	206	206	206	206	196	172	156	141	126	111	101	89	76	58	40
NON-FORCIBLE FELONIES AGAINST PERSONS	1.4	7.9	10.8	16.6	16.6	18.5	19.7	21.4	23.6	27.5	28.9	29.9	32.8	34.6	39.5	41.4
Cases Followed	139	139	139	139	139	135	122	112	106	91	83	77	61	52	43	29
FORCIBLE FELONIES EXCEPT ROBBERY	3.2	6.4	7.4	11.7	13.3	15.0	13.9	15.2	18.1	20.3	21.0	25.2	26.9	29.5	25.0	28.9
Cases Followed	188	188	188	188	188	180	165	151	138	123	119	103	93	78	56	45
Composite (Crimes Against Persons)	2.3	7.7	10.3	15.4	17.6	20.0	19.8	21.7	23.4	26.2	26.5	30.2	33.7	36.4	36.9	38.6
Cases Followed	533	533	533	533	533	511	459	419	385	340	313	281	243	206	157	114

Appendix Table 14

Return Rates For Adult  
Correctional Institutions in Iowa  
By Parole Risk Rating  
Males Released by Expiration or First Parole

Parole Risk Rating	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK	7.5	12.5	23.8	28.8	36.2	42.9	45.8	46.0	49.2	50.9	50.9	56.2	61.4	61.5	66.7	70.0
Cases Followed	80	80	80	80	80	77	72	63	59	57	53	48	44	39	30	20
POOR RISK	2.2	9.0	14.6	19.0	24.0	26.4	29.0	33.0	35.3	37.5	39.4	40.7	42.9	45.4	48.6	49.6
Cases Followed	500	500	500	500	500	478	438	394	346	304	277	241	203	176	146	115
FAIR RISK	1.6	5.5	10.9	13.3	16.4	18.2	19.8	21.6	22.5	22.6	24.5	24.9	22.8	22.4	19.7	19.6
Cases Followed	451	451	451	451	451	435	400	362	324	279	249	221	189	161	127	92
GOOD RISK	0.0	1.2	2.5	4.2	5.8	7.7	8.2	8.3	10.2	9.4	8.4	10.4	9.9	9.2	7.9	6.5
Cases Followed	240	240	240	240	240	235	220	193	176	159	143	125	101	87	63	46
VERY GOOD RISK	0.0	0.0	0.7	2.2	3.0	3.2	2.5	1.9	1.1	1.2	1.4	3.4	4.2	2.5	0.0	0.0
Cases Followed	135	135	135	135	135	127	120	108	93	85	73	59	48	40	26	22
Composite	1.7	5.9	10.5	13.6	17.1	19.2	20.8	22.8	24.4	25.1	26.4	28.1	28.9	29.6	30.9	31.2
Cases Followed	1406	1406	1406	1406	1406	1352	1250	1120	998	884	795	694	585	503	392	295
Mean Cost Rating (MCR)	.44	.36	.34	.33	.34	.34	.36	.38	.38	.41	.42	.40	.44	.45	.52	.54

Appendix Table 15

Weighted\* Return Rates For Adult  
Correctional Institutions in Iowa  
By Parole Risk Rating  
Males Released By Expiration or First Parole

Parole Risk Rating	Follow-up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK	4.5	11.7	25.1	32.9	42.4	50.4	53.3	54.5	62.8	65.0	64.8	71.6	78.1	76.7	84.8	84.8
Cases Followed	80	80	80	80	80	77	72	63	59	47	53	48	44	39	30	20
POOR RISK	2.1	10.3	16.2	19.8	24.6	26.7	28.9	34.0	37.5	40.1	42.5	43.3	45.5	50.2	53.5	55.9
Cases Followed	500	500	500	500	500	478	438	394	346	304	277	241	203	176	146	115
FAIR RISK	0.7	3.7	7.6	9.7	12.2	13.4	15.3	17.1	17.9	18.1	19.9	20.6	19.4	18.3	15.4	16.0
Cases Followed	451	451	451	451	451	435	400	362	324	279	249	221	189	161	127	92
GOOD RISK	0.0	0.5	1.3	2.4	3.9	5.0	5.1	5.3	6.3	5.9	5.3	7.1	7.5	7.7	6.4	4.9
Cases Followed	240	240	240	240	240	235	220	193	176	159	143	125	101	87	63	46
VERY GOOD RISK	0.0	0.0	1.0	2.0	2.6	2.8	2.2	1.2	1.0	1.1	1.2	3.0	3.7	2.2	0.0	0.0
Cases Followed	135	135	135	135	135	127	120	108	93	85	73	59	48	40	26	22
Composite	1.2	5.6	10.0	12.6	16.0	17.8	19.2	21.6	23.7	24.8	26.4	28.1	29.5	30.9	32.4	33.3
Cases Followed	1406	1406	1406	1406	1406	1352	1250	1069	998	884	795	694	585	503	392	295

\*Returns are weighted according to the seriousness new charges/violations.

Appendix Table 16

Return Rates For Adult  
 Correctional Institutions in Iowa  
 By Parole Risk Rating and Work Release Experience  
 Males Released By Expiration Or First Parole

Parole Risk Rating	Follow-Up Period In Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK																
Work Release	4.6	4.6	13.6	18.2	36.4	40.9	50.0	50.9	66.7	70.6	70.6	75.0	85.7	83.3	81.8	100.0
No Work Release	8.6	15.5	27.6	32.8	36.2	43.6	44.2	44.2	41.5	42.5	41.7	46.9	50.0	51.9	57.9	53.9
POOR RISK																
Work Release	0.6	5.0	11.2	15.6	21.8	23.3	27.0	31.9	34.1	34.5	37.2	38.2	41.3	43.3	44.6	45.6
No Work Release	3.1	11.2	16.5	20.9	25.2	28.1	30.1	33.6	35.9	39.3	40.6	42.1	43.8	46.8	51.1	52.2
FAIR RISK																
Work Release	1.6	6.2	10.9	14.0	17.1	18.6	17.9	21.7	20.9	21.8	20.0	23.7	22.6	22.9	21.6	24.0
No Work Release	1.6	5.3	10.9	13.0	16.2	18.0	20.5	21.5	23.2	22.9	26.3	25.3	22.8	22.1	18.9	17.9
GOOD RISK																
Work Release	0.0	0.0	1.4	2.9	2.9	2.9	3.2	3.5	5.8	6.4	6.7	10.5	9.4	10.0	10.0	6.7
No Work Release	0.0	1.8	2.9	4.7	7.1	9.7	10.1	10.3	12.1	10.7	9.2	10.3	10.1	8.8	7.0	6.4
VERY GOOD RISK																
Work Release	0.0	0.0	0.0	4.8	4.8	5.1	2.6	2.9	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
No Work Release	0.0	0.0	1.1	1.1	2.1	2.2	2.3	1.4	1.6	1.7	2.1	5.6	6.7	4.4	0.0	0.0
All Offenders																
Work Release	1.3	4.9	9.3	13.3	18.6	20.2	21.6	25.3	27.2	28.4	28.3	29.8	31.6	31.7	32.4	32.8
No Work Release	2.0	6.6	10.0	14.2	17.2	19.3	21.1	22.4	23.8	24.9	26.0	27.1	27.8	28.5	28.8	28.3
Work Release																
Observed Return Rate	0.9	4.1	8.6	12.2	16.5	17.8	19.4	22.7	24.5	25.2	25.9	28.4	30.2	30.5	32.5	33.6
Expected Return Rate	2.2	7.1	11.8	14.7	18.1	20.6	22.2	23.9	25.6	26.6	27.6	28.9	29.4	29.6	31.9	31.9

Appendix Table 17

Cases Followed To Establish Return Rates  
For Adult Correctional Institutions in Iowa  
By Parole Risk Rating and Work Release Experience  
Males Released By Expiration or First Parole

Parole Risk Rating	Follow-Up Period In Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK																
Work Release	22	22	22	22	22	22	20	20	18	17	17	16	14	12	11	7
No Work Release	58	58	58	58	58	55	52	43	41	40	36	32	30	27	19	13
POOR RISK																
Work Release	179	179	179	179	179	172	159	144	129	113	102	89	75	67	56	46
No Work Release	321	321	321	321	321	306	279	250	217	191	175	152	128	109	90	69
FAIR RISK																
Work Release	129	129	129	129	129	124	112	106	91	78	70	59	53	48	37	25
No Work Release	322	322	322	322	322	311	288	256	233	201	179	162	136	113	90	67
GOOD RISK																
Work Release	70	70	70	70	70	70	62	57	52	47	45	38	32	30	20	15
No Work Release	170	170	170	170	170	165	158	136	124	112	98	87	69	57	43	31
VERY GOOD RISK																
Work Release	42	42	42	42	42	39	38	35	29	27	25	23	18	17	12	11
No Work Release	93	93	93	93	93	88	82	73	64	58	48	36	30	23	14	11
All Offenders																
Work Release	442	442	442	442	442	427	391	362	319	282	259	225	192	174	136	104
No Work Release	964	964	964	964	964	925	859	758	679	602	536	469	393	329	256	191

Appendix Table 18

Return Rates For Adult  
Correctional Institutions in Iowa  
By Parole Risk Rating and Vocational Training Experience  
Males Released By Expiration Or First Parole

Parole Risk Rating	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK																
Vocational Training	8.3	13.9	22.2	25.0	33.3	33.3	38.2	36.4	36.7	39.3	38.5	40.0	45.4	50.0	60.0	72.7
No Vocational "	6.8	11.4	25.0	31.8	38.6	51.2	52.6	56.7	62.1	62.1	63.0	73.9	77.3	73.7	73.3	66.7
POOR RISK																
Vocational Training	3.3	7.9	14.4	18.6	23.3	24.5	26.7	30.8	32.7	34.9	37.1	40.2	44.0	46.9	53.0	59.6
No Vocational "	1.4	9.8	14.7	19.3	24.6	27.8	30.8	34.7	37.3	39.5	41.2	41.0	42.0	44.2	45.0	41.3
FAIR RISK																
Vocational Training	2.0	6.7	13.3	17.3	20.0	21.5	22.7	23.3	24.8	25.5	27.3	26.8	23.6	25.4	24.5	20.0
No Vocational "	1.3	5.0	9.6	11.3	14.6	16.5	18.3	20.7	21.3	21.0	23.0	23.7	22.2	20.4	16.7	19.3
GOOD RISK																
Vocational Training	0.0	3.1	3.1	7.7	7.7	9.2	8.3	7.7	7.0	8.3	8.7	11.4	12.1	10.3	12.5	9.1
No Vocational "	0.0	0.6	2.3	2.9	5.1	7.1	8.1	8.5	11.1	9.9	8.2	9.9	8.8	8.6	6.4	5.7
VERY GOOD RISK																
Vocational Training	0.0	0.0	3.2	3.2	3.2	3.3	3.3	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
No Vocational "	0.0	0.0	0.0	1.9	2.9	3.1	2.2	2.4	1.4	1.6	1.9	4.9	5.9	3.7	0.0	0.0
All Offenders																
Vocational Training	2.3	6.5	12.0	16.3	19.8	21.5	23.1	25.1	26.1	27.4	27.8	29.0	30.9	32.7	36.0	38.3
No Vocational "	1.4	5.8	9.5	12.6	16.4	18.6	20.3	22.3	24.3	25.3	26.1	27.3	27.9	27.5	26.1	24.2
Vocational Training																
Observed Return Rate	2.6	6.9	12.5	16.3	19.7	20.9	22.4	24.1	25.2	26.3	27.6	29.0	30.6	32.5	37.7	40.5
Expected Return Rate	1.5	6.7	11.4	14.6	18.7	21.9	23.8	26.9	28.7	29.1	30.2	31.5	32.3	32.2	32.4	31.5

Appendix Table 19

Cases Followed To Establish Return Rates  
For Adult Correctional Institutions in Iowa  
By Parole Risk Rating and Vocational Training Experience  
Males Released By Expiration Or First Parole

Parole Risk Rating	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK																
Vocational Training	36	36	36	36	36	36	34	33	30	28	26	25	22	20	15	11
No Vocational "	44	44	44	44	44	41	38	30	29	29	27	23	22	19	15	9
POOR RISK																
Vocational Training	215	215	215	215	215	208	191	172	153	132	124	107	91	81	66	52
No Vocational "	285	285	285	285	285	270	247	222	193	172	153	134	112	95	80	63
FAIR RISK																
Vocational Training	150	150	150	150	150	144	132	120	113	98	88	82	72	63	49	35
No Vocational "	301	301	301	301	301	291	268	242	211	181	161	139	117	98	78	57
GOOD RISK																
Vocational Training	65	65	65	65	65	65	60	52	50	48	46	44	33	29	16	11
No Vocational "	175	175	175	175	175	170	160	141	126	111	97	81	68	58	47	35
VERY GOOD RISK																
Vocational Training	31	31	31	31	31	30	30	26	22	21	20	18	14	13	8	7
No Vocational "	104	104	104	104	104	97	90	82	71	64	53	41	34	27	18	15
All Offenders																
Vocational Training	497	497	497	497	497	483	447	403	368	327	304	276	232	206	154	116
No Vocational "	909	909	909	909	909	869	803	717	630	557	491	418	353	297	238	179

Appendix Table 20

Return Rates For Adult  
Correctional Institutions in Iowa  
By Parole Risk Rating and Educational Experience  
Males Released By Expiration Or First Parole

Parole Risk Rating	Follow-up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK																
Education Program	9.5	14.3	21.4	26.2	38.1	42.5	50.0	51.6	60.7	65.4	68.0	70.8	81.0	83.3	81.2	81.8
No Education Program	5.3	10.5	26.3	31.6	34.2	43.2	41.7	40.6	38.7	38.7	35.7	41.7	43.5	42.9	50.0	55.6
POOR RISK																
Education Program	2.4	8.5	16.4	20.1	24.2	25.8	29.1	32.8	35.7	37.2	40.0	42.8	46.1	50.0	52.8	54.8
No Education Program	1.9	9.7	12.1	17.4	23.7	27.2	28.9	33.3	34.6	38.0	38.7	37.1	43.5	38.6	42.1	55.6
FAIR RISK																
Education Program	1.1	3.7	6.4	8.5	11.1	14.0	17.5	19.7	21.2	20.3	22.6	22.6	22.0	23.0	22.2	21.1
No Education Program	1.9	6.9	14.1	16.8	20.2	21.1	21.4	22.8	23.5	24.2	25.9	26.6	23.4	21.8	17.8	18.5
GOOD RISK																
Education Program	0.0	0.8	1.6	2.5	4.1	6.7	8.9	9.4	10.2	7.3	6.6	9.1	8.3	4.9	7.1	0.0
No Education Program	0.0	1.7	3.4	5.9	7.6	8.7	7.4	7.2	10.2	11.7	10.4	11.9	11.3	13.0	8.6	10.7
VERY GOOD RISK																
Education Program	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
No Education Program	0.0	0.0	1.0	2.9	3.8	4.0	3.3	2.4	1.4	1.6	2.0	5.0	6.2	3.8	0.0	0.0
All Offenders																
Education Program	1.7	5.9	10.5	14.2	17.8	20.4	23.7	25.8	28.0	28.7	29.6	31.4	33.9	34.8	36.9	35.8
No Education Program	1.8	6.2	10.2	13.6	17.4	18.9	18.9	20.9	21.9	23.4	23.7	24.3	23.9	24.1	22.6	23.4
Education Program																
Observed Return Rate	1.9	5.8	10.5	13.2	16.7	18.9	22.1	24.5	26.7	26.8	28.6	30.8	33.2	34.4	37.5	38.5
Expected Return Rate	1.7	7.1	11.5	15.4	19.6	22.1	22.5	24.7	25.7	27.5	27.7	28.2	30.7	27.9	29.2	37.6

Appendix Table 21

Cases Followed To Establish Return  
 Rates For Adult Correctional Institutions in Iowa  
 By Parole Risk Rating and Educational Experience  
 Males Released By Expiration Or First Parole

Parole Risk Rating	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK																
Education Program	42	42	42	42	42	40	36	31	28	26	25	24	21	18	16	11
No Education Program	38	38	38	38	38	37	36	32	31	31	28	24	23	21	14	9
POOR RISK																
Education Program	293	293	293	293	293	283	265	238	213	191	171	152	128	106	89	73
No Education Program	207	207	207	207	207	195	173	156	133	113	106	89	75	70	57	42
FAIR RISK																
Education Program	189	189	189	189	189	179	166	147	137	118	106	93	82	74	54	38
No Education Program	262	262	262	262	262	256	234	215	187	161	143	128	107	87	73	54
GOOD RISK																
Education Program	121	121	121	121	121	120	112	96	88	82	76	66	48	41	28	18
No Education Program	119	119	119	119	119	115	108	97	88	77	67	59	53	46	35	28
VERY GOOD RISK																
Education Program	30	30	30	30	30	28	28	26	24	24	22	19	16	14	10	8
No Education Program	105	105	105	105	105	99	92	82	69	61	51	40	32	26	16	14
All Offenders																
Education Program	675	675	675	675	675	650	607	538	490	441	400	354	295	253	197	148
No Education Program	731	731	731	731	731	702	643	582	508	443	395	340	290	250	195	147

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Appendix Table 22

Recidivism Rates (New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 By Parole Risk Rating and Time-Served Dichotomy  
 Males Released by First Parole or Expiration of Sentence

Parole Risk Rating	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK	6.2	10.0	18.7	26.2	33.7	39.0	40.3	41.3	49.2	49.1	49.1	52.1	54.5	51.3	53.3	50.0
Time-Served Two Years or Less	9.1	18.2	27.3	36.4	50.0	50.0	47.6	47.1	53.3	53.8	50.0	55.6	71.4	71.4	80.0	100
Time-Served Over Two Years	5.2	6.9	15.5	22.4	27.6	34.6	37.2	39.1	47.7	47.7	48.8	51.3	51.4	46.9	48.0	41.2
POOR RISK	2.2	8.6	13.2	16.4	20.0	21.5	23.7	27.9	30.9	33.2	35.4	36.1	37.4	42.0	44.5	44.3
Time-Served Two Years or Less	3.4	10.4	15.1	18.5	21.8	23.0	26.0	31.3	35.0	37.6	40.2	40.0	41.1	46.2	49.3	45.9
Time-Served Over Two Years	0.5	5.9	10.4	13.4	17.3	19.4	20.3	23.0	25.2	27.0	28.8	31.5	33.3	37.6	39.4	42.6
FAIR RISK	0.0	2.9	5.3	7.3	9.3	10.3	12.5	14.4	15.7	16.8	18.1	20.4	20.1	23.0	19.7	23.9
Time-Served Two Years or Less	0.0	2.9	5.5	7.6	9.9	11.1	13.3	15.5	16.9	18.6	19.8	22.3	21.4	23.1	21.9	27.1
Time-Served Over Two Years	0.0	2.8	4.7	6.5	7.5	7.8	9.9	10.7	11.8	11.6	12.9	14.6	16.3	22.5	12.9	13.6
(VERY) GOOD RISK	0.8	1.3	2.1	3.5	4.5	5.5	5.3	5.6	5.9	6.6	5.6	5.4	7.4	7.9	7.9	7.4
Time-Served Two Years or Less	0.7	1.0	2.0	3.6	4.9	5.8	5.4	5.8	5.9	6.6	5.3	6.2	7.7	8.2	8.7	7.5
Time-Served Over Two Years	1.4	2.8	2.8	2.8	2.8	4.4	4.8	5.2	6.0	6.2	6.5	6.2	6.2	6.9	5.0	6.7
All Offenders	1.4	4.9	8.0	10.6	13.2	14.6	16.1	18.3	20.3	21.7	22.8	24.1	25.5	28.0	28.8	29.8
Time-Served Two Years or Less	1.4	5.0	7.8	10.3	12.9	14.0	15.4	17.9	19.6	21.1	22.0	22.9	23.7	26.2	27.8	28.9
Time-Served Over Two Years	1.1	4.8	8.4	11.2	13.9	16.2	17.6	19.2	22.0	23.0	24.3	26.3	28.5	31.2	30.6	31.5
Time-Served Over Two Years																
Observed Rate-New Felony Arrest/Charge	1.1	4.8	8.4	11.2	13.9	16.2	17.6	19.2	22.0	23.0	24.3	26.3	28.5	31.2	30.6	31.5
Expected Rate-New Felony Arrest/Charge	2.9	8.1	12.2	15.8	19.9	20.9	22.5	25.3	28.5	30.3	31.0	33.1	36.9	39.7	43.3	45.3

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Appendix Table 23

Cases Followed to Establish Recidivism Rates (New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 By Parole Risk Rating and Time-Served Dichotomy  
 Males Released by First Parole or Expiration of Sentence

Parole Risk Rating	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK	<u>80</u>	<u>80</u>	<u>80</u>	<u>80</u>	<u>80</u>	<u>77</u>	<u>72</u>	<u>63</u>	<u>59</u>	<u>57</u>	<u>53</u>	<u>48</u>	<u>44</u>	<u>39</u>	<u>30</u>	<u>20</u>
Time-Served Two Years or Less	22	22	22	22	22	22	21	17	15	13	12	9	7	7	5	3
Time-Served Over Two Years	58	58	58	58	58	55	51	46	44	44	41	39	37	32	25	17
POOR RISK	<u>500</u>	<u>500</u>	<u>500</u>	<u>500</u>	<u>500</u>	<u>478</u>	<u>438</u>	<u>394</u>	<u>346</u>	<u>304</u>	<u>277</u>	<u>241</u>	<u>203</u>	<u>176</u>	<u>146</u>	<u>115</u>
Time-Served Two Years or Less	298	298	298	298	298	282	261	233	203	178	159	130	107	91	75	61
Time-Served Over Two Years	202	202	202	202	202	196	177	161	143	126	118	111	96	85	71	54
FAIR RISK	<u>451</u>	<u>451</u>	<u>451</u>	<u>451</u>	<u>451</u>	<u>435</u>	<u>400</u>	<u>362</u>	<u>324</u>	<u>279</u>	<u>249</u>	<u>221</u>	<u>189</u>	<u>161</u>	<u>127</u>	<u>92</u>
Time-Served Two Years or Less	344	344	344	344	344	333	309	278	248	210	187	166	140	121	96	70
Time-Served Over Two Years	107	107	107	107	107	102	91	84	76	69	62	55	49	40	31	22
(VERY) GOOD RISK	<u>375</u>	<u>375</u>	<u>375</u>	<u>375</u>	<u>375</u>	<u>362</u>	<u>340</u>	<u>301</u>	<u>269</u>	<u>244</u>	<u>216</u>	<u>184</u>	<u>149</u>	<u>127</u>	<u>89</u>	<u>68</u>
Time-Served Two Years or Less	304	304	304	304	304	294	278	243	219	196	170	145	117	98	69	53
Time-Served Over Two Years	71	71	71	71	71	68	62	58	50	48	46	39	32	29	20	15
All Offenders	1406	1406	1406	1406	1406	1352	1250	1120	998	884	795	694	585	503	392	295
Time-Served Two Years or Less	968	968	968	968	968	931	869	771	685	597	528	450	371	317	245	187
Time-Served Over Two Years	438	438	438	438	438	421	381	349	313	287	267	244	214	186	147	108

Appendix Table 24

Comparative Recidivism Rates (New Felony Arrest/Charge)  
 For Adult Correctional Institutions in Iowa  
 By Parole Risk Rating and Type of Release  
 Males Released By First Parole Versus Males Released  
 By Expiration of Sentence

Parole Risk Rating	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK	6.2	10.0	18.7	26.2	33.7	39.0	40.3	41.3	49.2	49.1	49.1	52.1	54.5	51.3	53.3	50.0
Release on Parole	4.0	6.0	14.0	20.0	30.0	35.4	37.8	42.1	52.9	53.1	53.1	54.8	56.7	53.8	57.1	50.0
Release by Expiration of Sentence	10.0	16.7	26.7	36.7	40.0	44.8	44.4	40.0	44.0	44.0	42.9	47.1	50.0	46.2	44.4	50.0
POOR RISK	2.2	8.6	13.2	16.4	20.0	21.5	23.7	27.9	30.9	33.2	35.4	36.1	37.4	42.0	44.5	44.3
Release on Parole	2.4	7.6	12.9	15.6	19.7	21.8	23.9	27.5	30.0	31.8	33.5	35.5	38.0	44.2	45.3	45.2
Release by Expiration of Sentence	1.9	10.6	13.7	18.1	20.6	21.1	23.3	28.9	33.3	36.8	40.0	37.5	35.8	36.2	42.5	41.9
FAIR RISK	0.0	2.9	5.3	7.3	9.3	10.3	12.5	14.4	15.7	16.8	18.1	20.4	20.1	23.0	19.7	23.9
Release on Parole	0.0	2.6	5.1	6.2	7.7	8.6	11.2	13.1	14.2	16.4	18.9	21.4	20.8	23.4	21.8	27.1
Release by Expiration of Sentence	0.0	4.0	6.1	11.1	15.2	16.3	17.2	19.0	21.1	18.6	15.1	16.7	17.5	21.2	11.5	13.6
(VERY) GOOD RISK	0.8	1.3	2.1	3.5	4.5	5.5	5.3	5.6	5.9	6.6	5.6	5.4	7.4	7.9	7.9	7.4
Release on Parole	1.1	1.5	2.2	3.3	4.4	4.6	4.5	4.7	5.2	5.2	4.5	4.5	6.4	6.6	7.7	6.1
Release by Expiration of Sentence	0.0	1.0	1.9	3.8	4.8	7.9	7.5	8.1	7.8	9.9	8.1	7.8	10.3	11.1	8.3	10.5
All Offenders	1.4	4.9	8.0	10.6	13.2	14.6	16.1	18.3	20.3	21.7	22.8	24.1	25.5	28.0	28.8	29.8
Release on Parole	1.3	4.2	7.4	9.3	12.0	13.3	14.9	17.2	19.0	20.4	21.9	23.7	25.5	28.6	29.7	30.9
Release by Expiration of Sentence	1.5	6.9	9.6	14.0	16.5	18.2	19.1	21.4	23.9	25.2	25.0	25.0	25.3	26.4	26.3	26.9
Parole																
Observed Rate-New Felony Arrest/Charge	1.3	4.2	7.4	9.3	12.0	13.3	14.9	17.2	19.0	20.4	21.9	23.7	25.5	28.6	29.7	30.9
Expected Rate-New Felony Arrest/Charge	1.1	6.0	8.6	12.8	15.5	17.1	18.0	20.5	22.8	23.7	23.2	23.2	24.2	25.7	24.4	26.2

Appendix Table 25

Cases Followed To Establish Comparative Recidivism Rates  
 For Adult Correctional Institutions in Iowa  
 By Parole Risk Rating and Type of Release  
 Males Released By First Parole Versus Males Released  
 By Expiration of Sentence

Parole Risk Rating	Follow-Up Period in Months															
	3	6	9	12	15	18	21	24	27	30	33	36	39	42	45	48
VERY POOR RISK	<u>80</u>	<u>80</u>	<u>80</u>	<u>80</u>	<u>80</u>	<u>77</u>	<u>72</u>	<u>63</u>	<u>59</u>	<u>57</u>	<u>53</u>	<u>48</u>	<u>44</u>	<u>39</u>	<u>30</u>	<u>20</u>
Release on Parole	50	50	50	50	50	48	45	38	34	32	32	31	30	26	21	14
Release by Expiration of Sentence	30	30	30	30	30	29	27	25	25	25	21	17	14	13	9	6
POOR RISK	<u>500</u>	<u>500</u>	<u>500</u>	<u>500</u>	<u>500</u>	<u>478</u>	<u>438</u>	<u>394</u>	<u>346</u>	<u>304</u>	<u>277</u>	<u>241</u>	<u>203</u>	<u>176</u>	<u>146</u>	<u>115</u>
Release on Parole	340	340	340	340	340	326	305	280	247	217	197	169	150	129	106	84
Release by Expiration of Sentence	160	160	160	160	160	152	133	114	99	87	80	72	53	47	40	31
FAIR RISK	<u>451</u>	<u>451</u>	<u>451</u>	<u>451</u>	<u>451</u>	<u>435</u>	<u>400</u>	<u>362</u>	<u>324</u>	<u>279</u>	<u>249</u>	<u>221</u>	<u>189</u>	<u>161</u>	<u>127</u>	<u>92</u>
Release on Parole	352	352	352	352	352	337	313	283	253	220	196	173	149	128	101	70
Release by Expiration of Sentence	99	99	99	99	99	98	87	79	71	59	53	48	40	33	26	22
(VERY) GOOD RISK	<u>375</u>	<u>375</u>	<u>375</u>	<u>375</u>	<u>375</u>	<u>362</u>	<u>340</u>	<u>301</u>	<u>269</u>	<u>244</u>	<u>216</u>	<u>184</u>	<u>149</u>	<u>127</u>	<u>89</u>	<u>68</u>
Release on Parole	270	270	270	270	270	261	247	215	192	173	154	133	110	91	65	49
Release by Expiration of Sentence	105	105	105	105	105	101	93	86	77	71	62	51	39	36	24	19
All Offenders	1406	1406	1406	1406	1406	1352	1250	1120	998	884	795	694	585	503	392	295
Release on Parole	1012	1012	1012	1012	1012	972	910	816	726	642	579	506	439	374	293	217
Release by Expiration of Sentence	394	394	394	394	394	380	340	304	272	242	216	188	146	129	99	78

**END**