# SUMMARY PAROLE
## A Six and Twelve Month Follow-up Evaluation

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## TABLE OF CONTENTS

LIST OF TABLES

## FIGURES

# CHAPTER I

## INTRODUCTION

This is a study of a reduced level of parole supervision called Summary Parole. The purpose of the project was to examine the impact of a reduced level of supervision upon subsequent known parolee criminal activity levels.

The major question posed by correctional policy makers for this study was whether selected individuals can be released from prison to the community under a reduced level of supervison without any greater risk to the community than that existing under traditional (regular) supervision. It was hypothesized that a summary form of supervision would not be associated with a change in either the frequency or the severity of criminal activity that exists under regular supervision. This report provides an answer to this question by comparing the six and twelve month criminal outcomes of selected releasees randomly assigned to receive either summary or regular supervision. Excluded from participation in the experimental design was 62% of those released from prison to parole supervision including those inmates and those inmates scheduled to be released with special conditions of parole.

To examine the impact of less supervision, a new form of parole supervision was designed where the number of required contacts was reduced and the kinds of contacts required changed form those normally delivered under regular supervision. Rather than the traditional more "proactive" approach of regular supervision where the parole agent routinely initiates contacts with cases or their collaterals for the purpose of checking-up on the status of the parolee, summary parole took a "reactive" approach. Routine check-up contacts were eliminated and parole agents initiated contacts only if return to criminal activity was known or suspected. Furthermore, services were provided only at the request of the parolee.

If the number of contacts between paroleees and their parole agents can be reduced without corresponding 'incresess in parolee criminal activity, then the implication is that less supervision could be delivered and a manpower savings realized. Such a model as summary supervision also has direct implications for the numerous other states which release most inmates to one of a few, narrow-ranged, levels of supervision.

The report which follows is aimed at two audiences. First, it is aimed at the correctional administrator responsible for setting policies which reflect the most cost-effective use of their resources. Second, this study is aimed at the correctional researcher concerned with measuring <u>via</u> the soundest of methods possible the effectiveness of various correctional programs and policies. Therefore this study will address in detail both the substantive policy issue of supervision levels and the evaluative issue of methods to measure the impact of these supervision levels. It is hoped that sufficient breadth and detail is contained in the information provided so that it is useful to both audiences.

<u>Description of the Supervision Types</u>

In order to test the impact of a reduced level of supervision, a new form of supervision had to be designed and implemented. This reduced level of supervision was called "summary parole", a term which should not be confused with either the summary supervision ordered by courts for some county probationers or with the direct discharge form of release from prison (although some limited similarities exist with each). Rather, summary parole is a special "reduced" form of regular parole supervision. It differs from regular supervision in both the frequency and kinds of contacts occurring between agent and parolee and in its overall approach to supervision.

Before describing the key elements of the summary supervision model, a brief description of regular parole supervision is necessary as a comparison base. It should be noted here that the California system of regular parole supervision existing during the conduct of this experiment was essentially a pre-Determinate Sentencing Act system. Sometime after the enactment of Senate Bill 42 (SB 42) on July 1, 1977; a new set of supervision standards was implemented which differed from the pre-SB 42 standards on the frequency with which the contacts were necessary for different kinds of cases. (The new standards gave more latitude to agents and their supervisors so that contacts could be matched, both in terms of type and number, with the differing needs of each case).

During the pre-SB 42 days when this project primarily operated regular supervision was governed by "minimum specifications." These minimum standards were defined in terms of a specific number of contacts that must be made within a specified period, with either the parolee or a collateral, either in the field or in the parole agent's office. There were three levels that could be applied to a parolee depending upon the classification placed upon him by the parole unit supervisor in conference with the supervising agent.

These were "minimum" standards.  They can be increased but not reduced beyond the lowest level, and parolees can be moved from one classification to another.  The three levels were defined as follows:

A.  Conventional A.  All newly released cases will be assigned to conventional "A" supervision.

1.  Two personal contacts per month for first quarter after release, one of which much be in the field; thereafter, two personal field contacts per quarter.
2.  Two collateral contacts per month for first quarter after release, monthly thereafter.

B.  Conventional B.

1.  One personal field contact per quarter. One collateral contact per quarter.

C.  Conventional C.

1.  One personal field visit every six months.
2.  One collateral contact every six months.
3.  Parolees serving a mandatory life sentence may be reduced to conventional "C" supervision after completion of three years on parole.

> (California Department of Corrections Parole Agent Manual, 1975, Chapter 5, Article 5, Section 6)

Initially, the majority of the contacts are to "check-up" on the status of the parolee.  As a result of these routine check-up contacts, services (e.g., employment referrals, cash assistance, etc.)  may be provided or additional controls (e.g., anti-narcotic testing, investigating alleged criminal activities, etc.) may be imposed, depending upon the situation of the case.

The key elements of the summary supervision model distinguishing it from regular supervision included:

1.  Routine check-up contacts (i.e., the "minimum specs" defined above) were waived.

2.  A minimum of only two contacts were required— one at release in order to explain the conditions of the summary status and another one year after release for an early discharge review.

3. Further contacts were initiated by the parole agent <u>only if</u> adverse information concerning the parolee's re-involvement in criminal activity was received by the parole agent. When such information was received the parole agent investigated the parolee's activities and evaluated the seriousness of the activities for possible revocation consideration.

4. Services were provided <u>only at</u> the request of the parolee.

In all other respects summary supervision and regular supervision were alike. This included the possibility of an administrative parole revocation. A parole agent could initiate a return to prison by submitting a violation to the parole board for revocation consideration. Also, as under regular supervision, the status of summary parolees (including the removal of that status and placement under regular supervision) could only be changed by action of the parole board. Finally, all conditions of California parole, with the exception of reporting changes of either residence or employment to the supervising agent, remained in effect. (See Appendix A for a description of the conditions governing the summary parole status.)

Thus, the key difference between summary and regular supervision lies in the absence of routine contacts (i.e., the face-to-face contacts initiated by the parole agent with either the parolee or a collateral for the purpose of checking up on the parolee's status) under summary supervision. The overall number of contacts was expected to be fewer for summary supervision and the few that occurred would only be for the purpose of either investigating suspected criminal behavior or providing a requested service.

On a more theoretical level the difference between the two models of supervision lies in the difference between a reactive versus proactive approach to supervision. In the reactive approach the level of supervision provided is basically a "response" to either the parolee's request for help or a response to a piece of negative information received concerning suspected criminal activity. In the proactive approach, the level of supervision provided is an active effort on the part of the parole agent to "discover" and "determine" the need for either enforcing more controls on the parolee's behavior or providing needed services.

Description of Selection and Placement Methods

A secondary objective of this project was to determine which of two methods of selecting cases for reduced supervision proposed the least risk to the community. Implicit in this objective was the assumption that some selection of cases, above and beyond the 62 per cent excluded from participation, would further reduce the risk to the community than that which would exist without any selection. Actually, the relevance of this secondary question depends on the answer to the major question proposed for the study. If it is discovered for the overall universe of cases addressed by the project that summary parole is associated with a higher level of subsequent criminal activity then exists under regular parole, then the quest of finding a selection process which would further limit the population targeted and the risk posed is important. If there is no overall difference in subsequent known criminal activity levels between the two supervision types, then the issue of developing further limiting selection methods is not critical.

Two different selection methods were proposed for examination. One method of selection was an actuarial prediction of low risk and the other was more clinically based and used a parole agent's judgment of low risk potential. To test these selection methods, the experimental and control groups were sub-divided into (1) a group directly placed at release and (2) a group placed on a delayed basis four months after release from prison and after further screening using a parole agent's judgment of suitability for summary supervision. To identify an actuarially predicted low risk group, the directly placed subgroup was further dichotomized into a) an actuarially predicted low risk group and b) an actuarially predicted medium to high risk group. The original objective was to compare the subgroup directly placed on summary parole and actuarially predicted to be a low risk to the subgroup placed on a delayed basis and judged by the parole agent to be suitable for summary supervision.

Ideally, to test the effectiveness of an actuarial versus a clinical method of selection, predictions of low risk (or success on parole) should be made at the same point in time, and the cases selected through the two methods compared in terms of criminal behavior subsequent to selection. As the following description will indicate the selection methods tested and data collection procedures used in this study did not fit this ideal research design.

-5-

For the actuarial method of selection the California Base Expectancy 76A Scale (BE 76A) was developed especially for this project as a machine scoreable replacement to the more widely known Base Expectancy 61A scale. The scale is a method for predicting successful two year parole outcome. It was developed via a multiple linear regression analysis of prior criminal and demographic background characteristics known to be associated with and predictive of successful two year parole outcome. By design, a high BE 76A cutoff score of 18 and above identified approximately 38 per cent of those released to parole as low risk while a low BE 76A cutoff score of 17 and below identified approximately 62 per cent of those released as high or medium risk cases. [It should be noted that the cutoff score used here was somewhat of an arbitrary one, based on three-way cutoffs, i.e., high, medium and low risk, used in prior California research and classification systems. A different cutoff score could have been selected to identify either a larger or smaller low risk group with, of course, different corresponding probabilities of successful two year parole outcomes.]

For the clinical method of selection parole agent judgments were used. Parole agents were instructed to make a judgment of probable success on summary supervision. This judgment was to be made during a case conference with the agent's unit supervisor at a period approximately 75 to 105 days after the case's release to regular supervision. No specific guidelines were given for this summary parole judgment. However, implicit in instructions given to the agents was the assumption that the parole agent would weigh the same set of case factors normally considered in all case conferences. These generally included recent community adjustment in the areas of employment, residence, criminal activity and attitude, as well as prior criminal history factors. [It is noted that the parole agent method described here is a "clinical" method in the classical sense of the word in that it does allow for global or impressionistic data to be weighed and combined for the final judgment. However, it is not a pure clinical method whereby much of the data weighed by the parole agent could be mechanically measured and statistically combined.]

As the above descriptions indicate, critical differences between the two selection methods do not permit a valid comparison of actuarial and clinical methods of selecting cases for summary supervision to be made; more specifically:

1. The two different selections are not made at the same point in time.

   The Base Expectancy method makes a prediction of successful parole outcome <u>before</u> release and based upon pre-parole information, while the parole agent method makes a judgment three to four months <u>after</u> release, and with some direct knowledge of behavior while on parole.

2. The two methods predict criminal activity for two different periods of time on parole.

   Due to the structure of the follow-up data collection system, the six month outcomes reported herein were calculated from the day of release to parole and could not be separately analyzed by month of selection. Therefore, the Base Expectancy method involves a prediction of the full first six months of parole behavior while the parole agent method involves only a two to three month prediction of the first six months of parole behavior (i.e., three to four months of observation prior to the judgment and only two to three months prediction). The two selection methods do not have comparable <u>post</u>-selection follow-up measures.

For the reasons cited above, no conclusion regarding either the classical psychological research question of differential actuarial <u>versus</u> clinical predictive effectiveness or of the more operational classification question of base expectancy <u>versus</u> parole agent judgment selection methods are reached.

However, for the reader interested in the classical question it is briefly noted that reviews of studies in this area (See e.g. Meehl, 1954; Gough, 1972; and Wiggins, 1973) have generally shown the actuarial methods to be more successful than the clinical methods and one study examining the interaction effect of the two methods found the best results to occur when the judgemental data of clinicians is combined statistically (i.e., according to its relationship to the criterion) with the mechanical type of data normally found in actuarial scales to make predictions (Sawyer, 1966). Had a valid comparison between the actuarial and clinical methods used in this study been possible a thorough review and tie-in to this literature would have been presented.

An analysis of the data by selection methods will be presented however for other purposes. First, the analysis will attempt to test the individual (not comparative) validity of the two selection methods by examining each methods ability to identify subsequent successes and failures on parole. Specifically it will consider the questions:

1.  Are cases predicted by the Base Expectancy scale to be low risks associated with a different subsequent criminal activity level than those predicted by the Base Expectancy scale to be medium and high risks?

2.  Are cases judged by the parole agent three to four months after release to be suitable for reduced supervision associated with a different subsequent criminal activity level than those judged to be not suitable?

Second, an analysis of the outcome data by selection methods will attempt to determine the extent of the difference in recidivism rates associated with delayed placements (where early failures are screened out via parole agent judgment) as opposed to direct placements (no screening) onto summary supervision. Specifically it will consider the questions:

1.  What is the extent of the lower criminal activity level expected for delayed as opposed to direct placements onto summary parole?

2.  Are direct, delayed, and a mixture of both types of placement associated with different subsequent criminal activity levels on summary as compared to regular supervision?

Conclusions are reached regarding the impact of direct and delayed placement methods for summary supervision.

Chapter II

DEVELOPMENT

## Historical Perspective

At least two early studies of minimum supervision
conducted in California (see next section on prior
research) and a more recent California study showing the
efficacy of early discharge from parole after one arrest
free year in the community (Jaman, Bennett and Berecochea,
1974) led the Research Unit and the Parole and Community
Services Division to establish the "Committee for Planning
Parole Projects" in 1974. The committee held a series of
planning meetings during July, August and September 1974
for the purpose of designing an evaluation of "varied
approaches to parole supervision, discharge and after
care." The resulting product was a proposal for the
"Alternative Models of Parole Supervision" project
(California Department of Corrections, April 4, 1975).

The proposed plan underwent many drafts, but all
drafts had in common testing the differential
effectiveness of at least four post-institutional release
conditions in a single experimental design with only a few
categories of cases excluded from the random assignment
procedures. The model included four release conditions:
direct discharge, intensive surveillance, intensive
service, and regular parole (as then practiced). The plan
eventually died in a state of limbo when it failed to
receive the necessary approval from the parole board in
late 1975 because of its limited exclusions and its
proposal to randomly assign cases to a direct discharge
model.

The interest in testing alternative parole models
continued however when in April of 1975 a new deputy
director of the Parole and Community Services Division
(parole division) was appointed. The Director of the
Department of Corrections, concerned over the critical
questions then being asked regarding the function of
paroles, was interested in determining more effective ways
of running the parole system in the future. To meet this
concern the new deputy director proposed the following
formal plan:

Parole and Community Services over the next two years
(see attached timetable) in a formalized fashion will
take a hard look at our current system, capitalize on
what we already know, try new programs, and in some
cases abolish existing ones; this will be done within
existing resources.  By July 1, 1977, P&CSD will give
you specific recommendations based on our findings
for the future function of paroles and
recommendations for the distribution or
redistribution of your resources. (Becker, May 15,
1975)

The plan for the formalized review of the
effectiveness of the parole system included three key
phases:

1.   Determine what was already known about the kinds
     of parole division actions that had any impact on
     the parolee's community adjustment.

2.   Identify the goals and objectives of the parole
     system.

3.   Develop and test alternative models of parole
     supervision.

The first phase helped to shape the alternative
models eventually proposed for testing.  The outgoing
duputy director of the parole division completed an
extensive review of the literature in July, 1975.  This
review identified several system changes which showed
promise of "enhancing the adult parole function in
California" (Reimer, 1975).  Included in the several
promising approaches were recommendations to test the
efficacy of differential management of parolees and to
test a direct discharge model (Reimer, page 35). The first
approach suggested that not all parolees need the same
level of supervision and the latter approach suggested
that direct discharge could function as one mode of
release from the institution for selected inmates.  Both
of these suggested approaches are conceptually linked to
the reduced supervision model tested here.

For the second and third phase of the parole
division's self appraisal plan, a large planning task
force was formed. During the remainder of 1975 and
throughout most of 1976 the task force identified the
system's goals and objectives and developed most of the
alternative models of parole eventually implemented as
demonstration projects.  The task force, composed of
parole division field staff, planning staff,
administrators and outside consultants submitted many

proposals for model programs and encouraged other field staff also to do so. The result was the accumulation of a great many proposals, both large and small in the scope of system change proposed for testing.

To sort out the many ideas submitted to the Planning Task Force, the program proposals were grouped according to the program structure they best related to and then prioritized (Parole and Community Services Division, November 26, 1975). The basis for assigning priority is unclear except that the ideas given a high ranking were those the "field gave strong endorsement to". It was later indicated (Parole and Community Services Division, December 27, 1977) that the Task Force drew on the Reimer Report, previous proposals such as the Alternative Models for Parole Supervision, and its own members' knowledge, experience, and judgment" (p. A-2) to make the ratings. Of highest priority under their "Supportive Service" category was the Summary Parole concept.

The summary parole project was generated from a number of proposals including a direct discharge proposal submitted by parole field staff. These several proposals were formalized into an issue paper (i.e., concept proposal) by a sub-group of the large Planning Task Force in November, 1975 (Sidell, Thompson, Lindsey, Taylor and Stroup, 1975). Attached to the summary parole proposal was the same experimental design proposed in the initial "Alternatives Plan". The difference between the initial proposal and the summary parole proposal was that instead of several models only one new model, summary supervision, would be tested.

The proposal was subsequently submitted to the parole board for its approval. It was at this time that a set of exclusionary categories (i.e., types of cases to be eliminated from the random assignment procedure) was imposed. The exclusionary categories included cases with a) a prior commitment for Murder 1st, b) a prior commitment for a sex offense, and c) three special conditions of parole imposed by the board to 1) participate in narcotic use testing, 2) attend parole outpatient clinics for psychiatric counseling and 3) to abstain from drinking alcohol. The exclusion of these five categories of cases, in addition to the exclusion of cases released from prison to law enforcement holds and those released to out-of-state supervision, eventually amounted to the elimination from the random assignment procedures of 62% of those male felons released to regular parole supervision during the study period.

The Summary Parole Project eventually began on April 1, 1976. Release to either summary supervision or regular supervision, was randomly determined for the 38% of the releasees not excluded from participation.

Some concerns were expressed just prior to the April 1, 1976 starting date over the project's implementation. The most formalized of these concerns was an Assembly Concurrent Resolution introduced to block the project on January 8, 1976. The resolution expressed the fear that "dangerous" prisoners were being released unsupervised (Antonovich, McLennan and Stull, January 8, 1976). The resolution later died in the Assembly Criminal Justice Committee when the chairman of the parole board clarified the experimental study's restrictive target population (Muff, March 25, 1976). Also, a few objections were voiced internally from within the Department of Corrections and externally from local law enforcement agencies over the increased danger such a reduced supervision model might pose for the community. Overall, however, these objections were few in number and they did not affect the random assignment procedure or exclusionary category application.

Thus, what had begun conceptually as an attempt to compare several parole models (including direct discharge) in a single experimental design, took instead its present form of an experimental test of a single model of "reduced" supervision.

Prior Research

The earliest clues to the feasibility of a reduced supervision model came from the several studies of parole success prediction scales and caseload classification systems. Validation studies of scales such as California's Base Expectancy Scale and their various applications in classifying offenders indicated that selected offenders subsequently do extremely well in their community adjustment. Some researchers involved in these studies began to speculate that these findings might also be identifying a select group that can succeed without supervision.

A federal probation caseload classification study conducted in Washington D.C. (Weiner, 1974) validated the California Base Expectancy 61A scale and showed that a group identified as low risk cases and representing 44% of the total cases in the probation office studied had a very high 93% rate of successful eight month outcomes. Similarily, a separate classification study of adult offenders in the U.S. District Court in Sacramento, California (Nicholson, 1968) also showed that 99 per cent of offenders classified as low risk using a modified base

expectancy scale had favorable adjustments. In both of these validation studies the findings led the authors to question whether, with such high success rates, supervision was necessary at all for those selected offenders.

Validation studies of the successful outcomes of selected low risk offenders are not the same as examining actual outcome performance under a reduced level, or even absent the condition of, supervision. More direct evidence for the feasibility of a reduced supervision model exists in the several studies of the effectiveness of different levels of supervision. Most of these studies have examined the relationship between small caseloads, or high levels of supervision, and parole outcome. Very few have examined the relationship between large caseloads, or reduced levels of supervision such as summary parole, and parole outcome.

Despite the large number of studies in this area the results have been neither clear nor promising. Of the several reviews of caseload size studies (including reviews by Adams, 1976; and Adams and Vetter, 1971) a more recent survey by Neithercutt and Gottfredson (1973) concluded that the findings on caseload size and differential supervision levels are inconclusive. Furthermore, they go on to note that "Caseload size may be only minimally (and tangentially) related to violation rates. The relationships may be noteworthy only under extreme conditions..." (pgs. 20 - 21).

Of the few examinations of reduced levels of supervision two studies were conducted in California, one within the California parole system and the second in the San Francisco region of the Federal probation system. Both were limited in their methodological approaches and in the generalizability of their findings; but they did provide clues that the full realm of controls and/or services normally provided under traditional forms of supervised release from prison may not be necessary for some inmates.

The earlier of the two California studies was conducted as part of the fourth phase of the California Special Intensive Parole Unit Study (Havel, 1963). The study utilized a base expectancy scale similar to the one used in this project to select a group of low risk cases representing approximately fifteen percent of those normally released to the limited geographic area studied. This group was delivered a form of minimum supervision which consisted of "one face-to-face contact every three months, unless the parolee requested help or unless he

showed indications of delinquent behavior". When compared
to a group of similar low risk cases (matched on BE score
level) receiving regular supervision the study found no
significant differences in their one year parole outcomes.

A later, more complex, examination of a reduced
supervision model was conducted between 1964 and 1967.
The San Francisco Project (University of California,
School of Criminology, 1969) randomly assigned federal
probation cases from the Northern Probation District of
California to one of four experimental levels of
supervision, including a minimum level for some 414 cases
or 35 percent of their study population, and a regular
supervision level. Assignment took place only after an
unknown amount of cases were excluded from the
randomization process. The minimum supervision model for
this study consisted of the "submission of a written
monthly report by the probationer". Any contacts beyond
this minimum were at the discretion of the probationer "as
long as he appears to be keeping good faith with the terms
of the conditional release contract" (University of
California, p.59). Using fifteen month outcomes, the
study found minimum supervision to be no less effective
than an intensive supervision model assigned a similar
group of releasees.

Another level to examine, beyond even a minimum form
of supervision, is the effect of no supervision. Clues to
the feasibility of a minimum supervision model may also be
gained by an examination of the studies in this area.
However, like the empirical examinations of minimum
supervision effectiveness, the empirical examinations of
the effects of no supervision are also few. More
troublesome yet, they have generally used weak research
designs which make conclusive findings difficult to arrive
at.

Several examinations of the effectiveness of no
supervision (Crime in the United States, 1975; Wisconsin
Division of Corrections, 1974; Waller, 1974; and Martinson
and Wilks, 1977) have simply compared outcomes of inmates
released to parole supervision with outcomes of inmates
released via other mechanisms (e.g., mandatory release,
pardons, discharges at the end of a term, etc.). In all
of these studies, the paroled cohorts generally had lower
arrest and/or reconviction rates after equivalent follow-
up periods than the groups released without traditional
supervision.

-14-

A major methodological weakness exists however, with all of these comparisons. The release cohorts compared were not equivalent in their likelihood of return to criminality prior to release. Cases which served the entirety of their terms in prison prior to release are generally a higher risk group than those paroled. Also, parolees can be administratively returned to prison in lieu of criminal prosecution - an option not available to discharges. This lack of equivalent criminal justice processing avenues could account for a lower court reconviction rate to prison for parolees. Whether supervision was delivered or not, the recidivism rates for the cohorts released without any supervision would be expected to be higher. It is impossible to conclusively attribute the favorable outcome differences observed in these studies to the variable of community supervision.

There have been a few empirical studies which have attempted to overcome the above methodological weaknesses through the use of either improved research designs or statistical methods.

For example, one study by Gottfredson (1977) used the statistical method of analysis of covariance to control for expected differences in background characteristics between adult felons in the federal system paroled and adult felons mandatorily released or discharged at the end of their sentence. He found a slightly lower rate of convictions after two years for the paroled group. However, even with the additional controls permitted via the analysis of covariance method, a high proportion of the variance accounting for the outcomes could not be controlled. Therefore, it is still possible that differences in risk potential rather than the mode of release, accounted for some of the differences Gottfredson observed.

Two studies used experimental designs with random assignment to test supervision and a no supervision (straight release) option within the juvenile justice system. One study (Hudson, 1972) was conducted in 1970 and 1971 within the Minnesota juvenile system. The other more recent study (University of Southern California, 1975) was conducted in 1974 within the Los Angeles County Juvenile Referral Program. Both studies found that the overall recidivism rates for the supervised and the released groups did not differ. Thus when improved designs were used, outcome differences between supervised and non-supervised cases dissappeared. These studies were not without limitations, however, as the Minnesota study excluded almost forty percent of juvenile releasees prior to random assignment and the Los Angeles study was also plagued with over-use of the exclusionary categories as well as a lack of adherence to the experimental design.

A more extensive analysis of a no-supervision model (straight release) was included as part of a large study of the California Civil Addict Program (McGlothlin, Anglin, and Wilson, 1976). Rather than using an experimental design with random assignment, McGlothlin et.al. used a matched cohort design to compare a group receiving no supervision (i.e., discharged from prison by writ prior to release to parole) to a matched group receiving non-felon parole and other forms of supervision. The extensive ten year follow-up period analysis found lower rates of narcotic use, criminal activity and higher employment for the non-felon supervision than for the no supervision group.

Even with McGlothlin's matched cohort design the groups compared may not have been equavalent prior to release in their likelihood of recidivating. Matter-of-fact, in interpreting these results favoring supervision the authors noted that the non-felon parole supervision group had an advantage over the no supervision group in that problem cases (i.e., potential failures) were excluded by their somewhat unique opportunity for being committed as felons to prison (the courts or non-felon prison administrators can order the case removed if deemed too serious for the non-felon commitment) and thereby making the comparison groups somewhat dissimilar. This study is further limited by its addressing only the non-felon type of supervision for civilly committed narcotic addicts. The several unique features of this kind of supervision somewhat limit the study's generalizability to supervision delivered to felons.

While the two earlier studies of minimum supervision versus regular supervision have indicated the feasibility of a reduced level of supervision for at least selected offenders, the empirical examinations of no supervision versus supervision have tended to conclude that some supervision is better than none. But the latter studies of no supervision have been more difficult to conduct and were plagued with a serious methodological weakness which would prevent an interpretation of their findings as conclusive or as even strong indicators. It can only be concluded from the existing empirical studies in the area that minimum levels of supervision for selected offenders appear to be feasible, but that the determination of the feasibility of no supervision models of release awaits more rigorous evaluative efforts.

The Summary Parole Project is unique and expands on the above prior studies of reduced and no supervision in several ways:

1.   The summary supervision model examines an even "further reduced" level of supervision by requiring no monthly or quarterly written or face-to-face contacts. The only required contacts are an initial and a one year discharge review contact.

2.   The summary supervision model focuses directly on the level of supervision provided by measuring the amount and kinds of contacts between agents and parolees. It is not defined by the more artificial and sometimes false indicator of level of supervision - caseload size.

3.   This study examines an experimental group of ample size (approximately three hundred summary parolees) representing a range of risk groups released to parole (i.e. high, medium and low risk cases) and is not limited to a small sample of low risk cases only.

4.   This study utilized an experimental design with random assignment to summary and regular supervision conditions (after an initial exclusion of some 62% of those released to parole). Problems of interpretation associated with matched group or other non experimental designs are eliminated.

5.   The summary parole condition was tested on a statewide basis and not in a limited geographic region, thereby enhancing the generalizableness of the findings.

It was hoped that by resolving some of the methodological problems producing inconclusive findings or findings of limited generalizability in the earlier studies, this Summary Parole Project would add to the body of knowledge now existing on differential supervision effectiveness.

# CHAPTER III

## STUDY METHODOLOGY

In this study a selected group of California felons were randomly assigned to receive either summary supervision or regular supervision. With such a design each member of the study population had a theoretically equal chance of being assigned to either the experimental group (summary supervision) or the control group (regular supervision). Ideally, the only systematic differences between the groups should be the type of supervision delivered.

Before randomization, the study population was subdivided according to two basic methods of selection and placement - a "direct" placement made immediately upon release from prison and a "delayed" placement based on a parole agent judgment of suitability for summary supervision made three to four months after release to regular supervision. The direct placement group was also further sub-divided according to their Base Expectancy 76A Score, separating those cases predicted as low risks (Score 18-45) and those predicted as high and medium risks (Score 00-17). These divisions resulted in the following four-way categorization of the basic experimental and control groups:

| Type of selection/placement method | Type of supervision | |
|---|---|---|
| | Summary (Experimentals) | Regular (Controls) |
| DIRECT PLACEMENTS | | |
| BE Selection - High/Medium Risk | $E_1$ | $C_1$ |
| BE Selection - Low Risk | $E_2$ | $C_2$ |
| DELAYED PLACEMENTS | | |
| PA Judgment for Summary | $E_3$ | $C_3$ |
| PA Judgment for Regular | – | $C_4$ |

Assignment from each of the selection and placement groups to either summary or regular supervision was random. Only Group $C_4$, cases the parole agent judged after 75-105 days of regular supervision as not suitable for summary supervision, was excluded from the randomization process. It was expected that some sizable proportion of these cases judged unsuitable for summary supervision may either be in custody, have criminal charges pending or in some other way marginally adjusting after approximately three months in the community so that random assignment into a reduced supervision model would be difficult if not impossible. Because of the exclusion of this fourth control group from the experimental design, it was also excluded from most of the subgroup comparisons made in the following chapters.

The random assignment procedures and the corresponding sampling theory from which these study groups were derived are described in more detail later in this chapter. The essential feature of this study's methodology to keep in mind throughout the report is that assignment to each type of supervision (within each selection/placement group) was random. It is because of this experimental design that the conclusions of this report can be considered technically sound.

Not all adult male felons released to parole supervision in California were included in the project. The parole board imposed a set of exclusionary categories designating the kinds of cases ineligible to participate in the randomization process. These categories of cases were selected based on their history of and/or potential for violent criminal acts and based on the apparent impracticality of reducing supervision for releasees with parole-board imposed special conditions. The five major exclusionary categories included releasees with:

1. a prior commitment for Murder 1st.
2. a prior commitment for a sex offense
3. a special condition of parole to attend parole outpatient clinics for psychiatric counseling
4. a special condition of parole to abstain from drinking alcohol
5. a special condition of parole to participate in testing for narcotic use

Also, cases released to either a criminal "hold" status or to out-of-state supervision were excluded. The effect of the set of exclusionary categories was to limit the study's population size and thereby limit the

generalizability of its findings.   The extent to which
this occurred is described next.

## Sample Selection

Adult male felons scheduled to be released to parole
supervision between April 1, 1976 and December 31, 1976
formed the target universe from which the study population
was selected.   Cases to be released during this period
were identified using a departmental computerized
listing of cases with parole-board-set release dates.
Regional parole classification representatives reviewed
the cases and applied the exclusionary criteria using the
information available in pre-release reports.   Those cases
not excluded were randomly assigned to either experimental
or control group status using a computerized randomization
assignment process.   Only the experimental cases were
informed of their involvement in the project.   Neither the
regular supervision cases, nor their supervising agents,
were informed of their control group status.   Those
designated to be placed on a delayed basis were not
randomized until after parole agent judgments were
collected three to four months later.

During the last three quarters of 1976, 4,845 male
felons were released to parole in California.   All 4,845
cases should have been screened according to the set of
exclusionary criteria established for the project.
However, only 2,198 or 45.4% were actually processed.   The
remaining 2,647 cases,   or 54.6%, of those released were
accidentally omitted from the screening process.   This
residual group resulted from technical difficulties with
the computerized listing of cases used in the screening
process.   Specifically, the time delay between when parole
board release actions were made and when the action was
posted on the computerized listing apparently caused the
accidental omission from the screening process of half of
the study period's releases   (Table 1).

Of the 2,198 cases screened for the study, another
1,363 or 62.0% of those processed, were determined
ineligible.   The single largest proportion of cases
removed fall into the category of those with a board-
imposed special condition to participate in anti-narcotic
testing (51.2%).   These cases were followed by those
excluded because they had special conditions of parole to
abstain from drinking alcohol (14.9%), a prior violent
commitment offense (10.3%), and those with special
conditions of parole to attend parole outpatient clinics
for psychiatric counseling (4.2%).   The remainder were
generally excluded for various combinations of these
reasons (Table 2).

TABLE 1

Assignment Pools for Adult Male Felons Released
to Parole Between April 1, 1976 and December 31, 1976

| Assignment pool | Number | Percent of total | |
| | | Released | Processed |
|---|---|---|---|
| Total released | 4,845 | 100.0 | |
| Total processed | 2,198 | 45.4 | 100.0 |
| Exclusions | 1,363 | | 62.0 |
| Selected for study | 835 | | 38.0 |
| Residual (not processed) | 2,647 | 54.6 | |

TABLE 2

Reason for Exclusion

| Reason for exclusion | Number | Percent |
|---|---|---|
| Total, all reasons | 1,363 | 100.0 |
| One Reason | | |
| Prior commitment offense for murder 1st | 48 | 3.5 |
| Prior commitment for sex offense | 93 | 6.8 |
| Special condition of parole to | | |
| test for narcotic use | 698 | 51.2 |
| abstain from alcohol | 203 | 14.9 |
| attend psychiatric outpatient clinic (P.O.C.) | 57 | 4.2 |
| Released to out-of-state supervision | 11 | 0.8 |
| Released to hold | 6 | 0.4 |
| Two reasons | | |
| Alcohol abstinance and P.O.C. attendance | 54 | 4.0 |
| Alcohol abstinance and narcotic testing | 50 | 3.7 |
| Narcotic testing and P.O.C. attendance | 30 | 2.2 |
| Committing sex offense and alcohol abstinance | 25 | 1.8 |
| Committing sex offense and P.O.C. attendance | 12 | 0.9 |
| Other combinations | 76 | 5.6 |

Relative to the other single major experimentally designed study in the California correctional system (measuring the impact of a reduction in prison time served) with a 43% exclusion rate (Berecochea, Jaman, and Jones, 1973), and in light of an earlier discussed experimentally designed study of minimum supervision in Minnesota with a 38% exclusion rate (Hudson, 1972), this study's exclusion rate of 62% is high. Despite the fact that the design included a subgroup of Base Expectancy defined predicted high and medium risk cases, this rather large group of ineligibles limits the generalizableness of the study's findings.

## Sample Representativeness

To assure that the group excluded from the study is indeed a group different from those selected and as a clue to whether that group is one with a lower potential for success on parole, both groups were compared on a set of background characteristics known to be associated with successful parole outcomes. Furthermore, to assure that the accidentally omitted group is not different from the group processed (i.e., cases selected and excluded), the residual group was compared to the total processed cases on the same set of background characteristics.

Selected versus excluded group. Due to the nature of the set of exclusionary categories and the rationale given for their imposition it was expected that the 62% excluded from the randomization process would reflect a group significantly different from those not excluded, although not necessarily a group with a lower potential for success on parole.

Compared on a set of criminal background characteristics, the excluded group had a higher percentage with prior prison commitments for sex offenses (11.4% vs. 0%), homicide offenses (10.7% vs. 5.1%) and for narcotic type offenses (13.0% vs. 6.5%) than the selected group. These findings are not surprising given that prior commitments for Murder 1st plus sex offenses and narcotic testing formed part of the exclusionary categories which removed these cases from the selected group. Also the excluded group had a lower percentage of releases with prior prison commitments (31.9% vs. 38.0%), a higher percentage of addicts (78.0% vs. 63.7%), and served more time in prison (67.3% vs. 54.4% serving 30 or more months) than the releasees selected (Table 3). The statistical significance of these differences was tested using either a difference of proportions test (z) for the dichotomized variables or a Chi Square test ($X^2$) for variables with more than two categories. All were found significant at the

.05 level; that is, the observed differences could be expected to occur by chance five or fewer times out of a hundred for a similar population of processed cases. The two groups were not significantly different in either their type of admission to prison or their escape histories.

On the demographic variables (Table 4) the excluded releases represented a slightly older group (53.3% vs. 47.4% age 30 and over), included a higher percentage of Mexican/Americans (22.7% vs. 12.7%) but a lower percentage of Blacks (29.3% vs. 42.2%)and had slightly higher percentages of the more educated group (69.8% vs. 65.4% with some high school or more). These differences were also statistically significant.

The above comparison on background characteristics presents a mixed picture as to whether the releases excluded were a group with a greater likelihood of subsequent return to known criminal activity. A more direct answer to this question can be arrived at by examining the six month follow-up outcome for both groups. If the excluded group was indeed a group with a greater risk for return to criminal activity upon release than the selected group, then a larger proportion of unfavorable parole outcomes should be apparent six months after release.

Table 5, showing the most serious disposition received within a six month follow-up period (See Appendix C for a definition of the categories), substantiates this hypothesis with 294 of 1,363 or 21.6% of the excluded cases having some type of unfavorable or pending criminal action as opposed to only 142 of 835 or 17.0% of the selected cases. This difference of five percentage points was statistically significant at the .01 probability level. [It is noted that the unfavorable category includes a larger proportion of cases with "pending dispositions" and a corresponding smaller proportion of cases with "return to prison" dispositions for the excluded compared to the selected group. The author feels that these sub-category differences are a reflection of the in depth follow-up data collection effort which existed for the selected group but not for the excluded group. It is doubtful that these particular figures reflect any real differences in outcomes between the two cohorts.]

Based upon the comparisons of both criminal and demographic background variables it is concluded that the

releases excluded were significantly different from the releases selected for this project. Furthermore, based upon the above six month outcome comparisons for the two groups, it is concluded that the excluded group is one with only a slightly greater likelihood of return to known criminal activity after six months on parole than the group selected for the project. This finding should not be interpreted to mean that those excluded could never be placed on summary parole as the performance of such a group under summary supervision is unknown and would await tests similar to the one conducted in this report for the selected group.

If the purpose of the exclusionary categories was to eliminate from the randomization process of this study those cases with a greater likelihood of subsequent return to criminal activity (regardless of how they may perform under a summary supervision) then it appears that this has been achieved. But as stated earlier, the exclusion rate for this study was high relative to other known experimentally designed projects and it appears reasonable to question whether the entirety of the five major categorical exclusions was necessary.

An analysis of the six month parole outcomes for the five major categories of exclusions provides some clues to this question (Table 6). The highest proportion of unfavorable outcomes was for those cases excluded because of special conditions to test for narcotic use (25.1%), followed by cases excluded because of a special condition to attend parole outpatient clinics (21.1%). The remaining three exclusionary categories (cases committed for Murder 1st, 14.6%; sex offenses, 15.1%, and special conditions to not drink alcohol, 14.8%) had unfavorable outcome rates slightly less than the six month unfavorable outcome rate for the overall selected group (17.0%).

Thus, while "overall" those excluded represent a group with a greater likelihood of return to criminal activity than the selected group, this does not hold across the individual exclusionary categories. If cases are to be eliminated from summary parole based on the higher likelihood of recidivating, some of the exclusionary categories utilized for this project could be reexamined.

Processed versus residual groups. As described earlier, a group of inmates scheduled for release during the study period was accidentally omitted from the review

process used to identify the study population. Because of the omission, it is important to assure that this residual group does not represent a selected group of releases significantly different from the group actually processed (i.e., those selected and excluded). If different, the generalizability of this study's findings would be further limited beyond the 62% excluded by design. If not different, then the findings of this study can be said to be generalizable to the 38% of male felons releases not excluded.

To address this question, the residual group and processed groups were compared first on a set of criminal and demographic background characteristics (Tables 3 and 4) to assure that both groups include the same general "types" of cases; and secondly on their six month parole outcomes (Table 5) to assure that both groups possessed similar likelihoods of return to criminal activity.

The residual group and processed groups were approximately equal in the extent of their prior commitment records, escape history, narcotic history, age and educational level. The two groups did differ slightly on their commitment offenses with lower proportions of commitments for burglary and sex but higher proportions of narcotic offenses for the residual group; and slightly on racial composition with different proportions of Blacks and Mexican/Americans. Also, the residual group had a slightly higher proportion of cases admitted after a return by a court or board (23.7% vs. 18.2%) rather than a new prison admission and a slightly higher proportion of cases which had served short terms (17.9% vs. 10.7% serving 17 or less months in prison). Only these latter two differences were statistically significant. Together they indicate that the residual group comprised a larger proportion of parole violators who generally serve shorter periods of prison time for their board-ordered returns to prison. The release of these violators may have occurred too quickly after their entry into prison and after their release date setting action to be reviewed for this project.

When the two groups are compared on their subsequent six month parole outcomes (i.e., most serious disposition received in the first six months following release) we find approximately equal proportions of unfavorable outcomes (19.8% processed vs. 18.5% residual).

TABLE 3

Selected Criminal Characteristics of Total Target Population

| Selected criminal characteristics | Total | | Processed for study | | | | | | Residual | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | Sub-total | | Selected | | Excluded | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Commitment offense | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| Homicide | 381 | 7.9 | 189 | 8.6 | 43 | 5.1 | 146 | 10.7 | 192 | 7.3 |
| Assault | 367 | 7.6 | 160 | 7.3 | 54 | 6.5 | 106 | 7.8 | 207 | 7.8 |
| Robbery | 1,226 | 25.3 | 550 | 25.0 | 256 | 30.7 | 294 | 21.6 | 676 | 25.5 |
| Burglary | 890 | 18.4 | 448 | 20.4 | 186 | 22.3 | 262 | 19.2 | 442 | 16.7 |
| Theft | 454 | 9.4 | 198 | 9.0 | 116 | 13.9 | 82 | 6.0 | 256 | 9.7 |
| Forgery/checks | 181 | 3.7 | 75 | 3.4 | 42 | 5.0 | 33 | 2.4 | 106 | 4.0 |
| Rape | 179 | 3.7 | 83 | 3.8 | 0 | 0.0 | 83 | 6.1 | 96 | 3.6 |
| Other sex | 112 | 2.3 | 72 | 3.3 | 0 | 0.0 | 72 | 5.3 | 40 | 1.5 |
| Opiates | 596 | 12.3 | 231 | 10.5 | 54 | 6.5 | 177 | 13.0 | 365 | 13.8 |
| All others | 459 | 9.5 | 192 | 8.7 | 84 | 10.1 | 108 | 7.9 | 267 | 10.1 |
| Prior commitment record | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| None | 577 | 11.9 | 243 | 11.1 | 96 | 11.5 | 147 | 10.8 | 334 | 12.6 |
| Prior jail or juvenile | 2,617 | 54.0 | 1,203 | 54.7 | 422 | 50.5 | 781 | 57.3 | 1,414 | 53.4 |
| Prior prison | 1,651 | 34.1 | 752 | 34.2 | 317 | 38.0 | 435 | 31.9 | 899 | 34.0 |
| Escape history | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| No escape record | 3,741 | 77.2 | 1,712 | 77.9 | 641 | 76.8 | 1,071 | 78.6 | 2,029 | 76.7 |
| Prior escape record | 1,104 | 22.8 | 486 | 22.1 | 194 | 23.2 | 292 | 21.4 | 618 | 23.3 |

TABLE 3 - continued

Selected Criminal Characteristics of Total Target Population

| Selected criminal characteristics | Total | | Processed for study | | | | | | Residual | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | Sub-total | | Selected | | Excluded | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Admission type | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| New admission | 3,816 | 78.8 | 1,798 | 81.8 | 688 | 82.4 | 1,110 | 81.4 | 2,018 | 76.2 |
| Return by court or board | 1,029 | 21.2 | 400 | 18.2 | 147 | 17.6 | 253 | 18.6 | 629 | 23.7 |
| Narcotic history | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| None | 1,352 | 27.9 | 603 | 27.4 | 303 | 36.3 | 300 | 22.0 | 749 | 28.3 |
| Addict | 3,493 | 72.1 | 1,595 | 72.6 | 532 | 63.7 | 1,063 | 78.0 | 1,898 | 71.7 |
| Months served in prison | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| 17 or less | 709 | 14.6 | 236 | 10.7 | 106 | 12.7 | 130 | 9.5 | 473 | 17.9 |
| 18 - 29 | 1,325 | 27.3 | 591 | 26.9 | 275 | 32.9 | 316 | 23.2 | 734 | 27.7 |
| 30 - 41 | 1,390 | 28.7 | 664 | 30.2 | 236 | 28.3 | 428 | 31.4 | 726 | 27.4 |
| 42 - 53 | 730 | 15.1 | 401 | 18.2 | 129 | 15.4 | 272 | 20.0 | 329 | 12.4 |
| 54 - 65 | 347 | 7.2 | 167 | 7.6 | 55 | 6.6 | 112 | 8.2 | 180 | 6.8 |
| 66 - 77 | 124 | 2.6 | 55 | 2.5 | 16 | 1.9 | 39 | 2.9 | 69 | 2.6 |
| 78 or more | 220 | 4.5 | 84 | 3.8 | 18 | 2.2 | 66 | 4.8 | 136 | 5.1 |
| Mean | | 36.4 | | 37.5 | | 34.1 | | 39.6 | | 35.5 |

Table 3 - continued

| Characteristic | Selected vs. Excluded | Processed vs. Residual |
|---|---|---|
| Commitment offense (df= 9) | $x_2^2$= 203.892, p <.001 | $x_2^2$= 42.980, p <.001 |
| Prior commitment record (df= 2) | $x^2$= 10.100, p <.01 | $x^2$= 2.867, p >.05 |
| Escape history | z= 0.994, p >.05 | z= 1.014, p >.05 |
| Admission type | z= 0.595, p >.05 | z= 4.870, p <.001 |
| Narcotic history | z= 7.371, p <.001 | z= 0.714, p >.05 |

TABLE 4

Selected Demographic Characteristics of Total Target Population

| Selected demographic characteristics | Total | | Processed for study | | | | | | Residual | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | Sub-total | | Selected | | Excluded | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Age as of December 31, 1976 | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| 29 or less | 2,308 | 47.6 | 1,075 | 48.9 | 439 | 52.6 | 636 | 46.7 | 1,232 | 46.5 |
| 30 - 39 | 1,606 | 33.1 | 688 | 31.3 | 232 | 27.8 | 456 | 33.4 | 918 | 34.7 |
| 40 - 49 | 654 | 13.5 | 319 | 14.5 | 116 | 13.9 | 203 | 14.9 | 335 | 12.7 |
| 50 and over | 277 | 5.8 | 116 | 5.3 | 48 | 5.7 | 68 | 5.0 | 162 | 6.1 |
| Mean | 32.5 | | 32.3 | | 31.9 | | 32.7 | | 32.6 | |
| Race | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| White | 2,359 | 48.7 | 983 | 44.7 | 360 | 43.1 | 623 | 45.7 | 1,376 | 52.0 |
| Mexican/American | 901 | 18.6 | 416 | 18.9 | 106 | 12.7 | 310 | 22.7 | 485 | 18.3 |
| Black | 1,490 | 30.7 | 752 | 34.2 | 352 | 42.2 | 400 | 29.3 | 738 | 27.9 |
| Other | 95 | 2.0 | 47 | 2.1 | 17 | 2.0 | 30 | 2.2 | 48 | 1.8 |

TABLE 4 - continued

Selected Demographic Characteristics of Total Target Population

| Selected demographic characteristics | Total | | Processed for study | | | | | | Residual | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | Sub-total | | Selected | | Excluded | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Educational level at admission | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| None or unknown | 287 | 5.9 | 130 | 5.9 | 36 | 4.3 | 94 | 6.9 | 157 | 5.9 |
| Some grammar school | 699 | 14.4 | 327 | 14.9 | 152 | 18.2 | 175 | 12.8 | 372 | 14.1 |
| Completed grammar school | 545 | 11.2 | 244 | 11.1 | 101 | 12.1 | 143 | 10.5 | 301 | 11.4 |
| Some high school | 2,945 | 60.8 | 1,341 | 61.0 | 491 | 58.8 | 850 | 62.4 | 1,604 | 60.6 |
| Completed high school or more | 369 | 7.6 | 156 | 7.1 | 55 | 6.6 | 101 | 7.4 | 213 | 8.0 |

| Characteristic | Selected vs. Excluded | Processed vs. Residual |
|---|---|---|
| Race (df= 3) | $x^2 = 53.304$, p <.001 | $x^2 = 29.542$, p <.001 |
| Educational level (df= 4) | $x^2 = 18.637$, p <.001 | $x^2 = 2.098$, p <.05 |

TABLE 5

Most Serious Disposition for Six Month Follow-up
by Target Population Groups

| Most serious disposition | Total | | Processed for study | | | | | | Residual | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | Sub-total | | Selected | | Excluded | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 4,845 | 100.0 | 2,198 | 100.0 | 835 | 100.0 | 1,363 | 100.0 | 2,647 | 100.0 |
| Favorable | 3,919 | 80.9 | 1,762 | 80.2 | 693 | 83.0 | 1,069 | 78.4 | 2,157 | 81.5 |
| Clean | (3,060) | | (1,370) | | (554) | | (816) | | (1,690) | |
| Other favorable | (859) | | (392) | | (139) | | (253) | | (467) | |
| Unfavorable | 926 | 19.1 | 436 | 19.8 | 142 | 17.0 | 294 | 21.6 | 490 | 18.5 |
| Pending/unknown | (446) | | (180) | | (30) | | (150) | | (266) | |
| Miscellaneous unfavorable | (212) | | (102) | | (30) | | (72) | | (110) | |
| Return to prison Board ordered | (121) | | (68) | | (31) | | (37) | | (53) | |
| Court ordered | (147) | | (86) | | (51) | | (35) | | (61) | |

Selected vs. Excluded:  $z = 2.644$, $p < .01$
Processed vs. Residual:  $z = 1.171$, $p > .05$

TABLE 6

Most Serious Disposition for Six Month Follow-up
by Reason for Exclusion

| Most serious disposition | | Total | Reason for exclusion | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | Murder 1st | Sex offense | Special condition | | | Hold or Out-of-state | Combination |
| | | | | | P.O.C. | Alcohol | Testing | | |
| Total, all cases | N | 1,363 | 48 | 93 | 57 | 203 | 698 | 17 | 247 |
| | % | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| Favorable | N | 1,069 | 41 | 79 | 45 | 173 | 523 | 16 | 192 |
| | % | 78.4 | 85.4 | 84.9 | 78.9 | 85.2 | 74.9 | 94.1 | 77.7 |
| Clean | | (816) | (38) | (67) | (37) | (136) | (379) | (12) | (147) |
| Other favorable | | (253) | (3) | (12) | (8) | (37) | (144) | (4) | (45) |
| Unfavorable | N | 294 | 7 | 14 | 12 | 30 | 175 | 1 | 55 |
| | % | 21.6 | 14.6 | 15.1 | 21.1 | 14.8 | 25.1 | 5.9 | 22.3 |
| Pending/unknown | | (150) | (3) | (6) | (2) | (13) | (95) | (0) | (31) |
| Misc. unfavorable | | (72) | (2) | (1) | (2) | (6) | (50) | (1) | (10) |
| Return to prison | | | | | | | | | |
| Board ordered | | (37) | (1) | (4) | (5) | (6) | (15) | (0) | (6) |
| Court ordered | | (35) | (1) | (3) | (3) | (5) | (15) | (0) | (8) |

$x^2$= 16.866, df= 6, p <.01

Thus, with the exception of a higher proportion of parole violator types in the residual group, the processed cases and residual cases generally represent the same types of cases which experienced equal rates of unfavorable outcomes in the first six months. It does not appear that the accidental omission from processing of approximately half the cases released during the April through December, 1976 study period resulted in the processing of a select group beyond the 62% excluded by design. It appears that this study can be generalized to 38% of those released to parole in the study period.

## Random Assignment Design and Procedures

After the study cohort was selected random assignments to receive either summary or regular supervision were made. A "simple" random assignment design was not used as questions regarding the best method of selecting and placing cases onto summary supervision were also proposed for examination, in addition to the primary summary versus regular supervision question. Rather a "stratified" random assignment design was applied where the study cohort was divided on two different strata in two different stages with simple random assignment made within each strata.

One of the strata divided on was the actuarially predicted risk level of the study cohort. The study cohort was first dichotomized into whether the Base Expectancy 76A score fell in the high range of scores (denoting a low risk) or the low and medium range of scores (denoting a medium or high risk).

The second strata for which a subset of the study cohort was divided upon was the parole agent's judgement of risk level made three to four months after release. A subset of the study cohort was dichotomized into those judged by parole agents as suitable for placement on summary parole (denoting low risk) and those judged as suitable for continued regular supervision (denoting high risks). However, as the parole agent judgements were made on only a subset of the study cohort and they were not made until four months after release (while Base Expectancy Scores are calculated prior to release) the subdivisions on the two strata were done in two separate stages (see Figure 1).

Once each strata subgroup was identified a "simple" random assignment procedure was used to assign cases to

receive either regular or summary supervision. As noted previously, there was one exception to both the stratification procedure and the simple random assignment procedures applied in this study. The group identified by parole agent judgement as not suitable for summary supervision in the second stage of stratification was not subsequently randomized. According to sampling theory then, a complete "stratified" random assignment did not occur for the cases placed on a delayed basis. That is, one-half of the parole agent judgement strata did not participate in the random assignment process. However, as those cases judged suitable for summary supervision did participate in the randomization procedure some meaningful analysis for this subgrouping alone and in combination with the directly placed groups was possible.

Initially, there was considerable concern amongst the project planners and designers on the results associated with the individual subgroups represented by the strata. There was also some concern that a "proportional" stratified random assignment procedure would result in the identification of too few of the low risk (high BE scores) type cases to make meaningful comparisons. To allow for this possible problem it was decided to select equal numbers of each of the two strata of risk levels. This would mean, however, that the low risk cases would have a probability of being directly placed onto either summary or regular supervison which was actually higher than the probability normally associated with the 38% of releases sampled.

Application of these "disproportionate" assignment procedures resulted in the low risks cases having a probability of being directly assigned to regular supervision which was approximately one and one-half times higher than that of the medium to high risk cases. (Note that one-third of the low risk group was assigned directly under summary, one-third directly under regular supervision, and one-third designated for the delayed placement pool. This is in contrast to the medium to high risk group where only one-fifth were assigned directly to summary, one-fifth directly to regular and three-fifths to the delayed placement pool. These proportions can be derived from Figure 1).

While this "disproportionate" stratified random assignment procedure has the advantage of producing individual subgroups of ample and approximately equal size for making meaningful subgroup comparisons, it makes it difficult to combine subgroups in order to generalize the

-35-

# FIGURE 1

## Sample Selection and Random Assignment Procedures



SAMPLE SELECTION

| N=4,845 Releases to parole 4/1/76 to 12/31/76 | | |
|---|---|---|
| N=2,647 Residual (not processed) | N=2,198 Processed | |
| | N=835 Selected | N=1,363 Excluded |

ASSIGNMENT PROCEDURES

N=835 (100%)

BE Risk Prediction
STAGE 1 STRATIFICATION

High BE (low risk)     Low BE (high risk)

N=230 (38%)     N=605 (62%)

*

N=71 (31%) Regular     N=81 (35%) Summary

N=78 (34%) | N=357 (59%)
Delayed Pool N=435

N=128 (21%) Regular     N=120 (20%) Summary

$C_2$     $E_2$     $C_1$     $E_1$

PA Risk Judgment
STAGE 2 STRATIFICATION

Rx Summary   Rx Regular

N=227 (52%)     N=208 (48%)

$C_4$

*

N=109 (48%) Summary     N=118 (52%) Regular

*Random Assignment

$E_3$     $C_3$

-36-
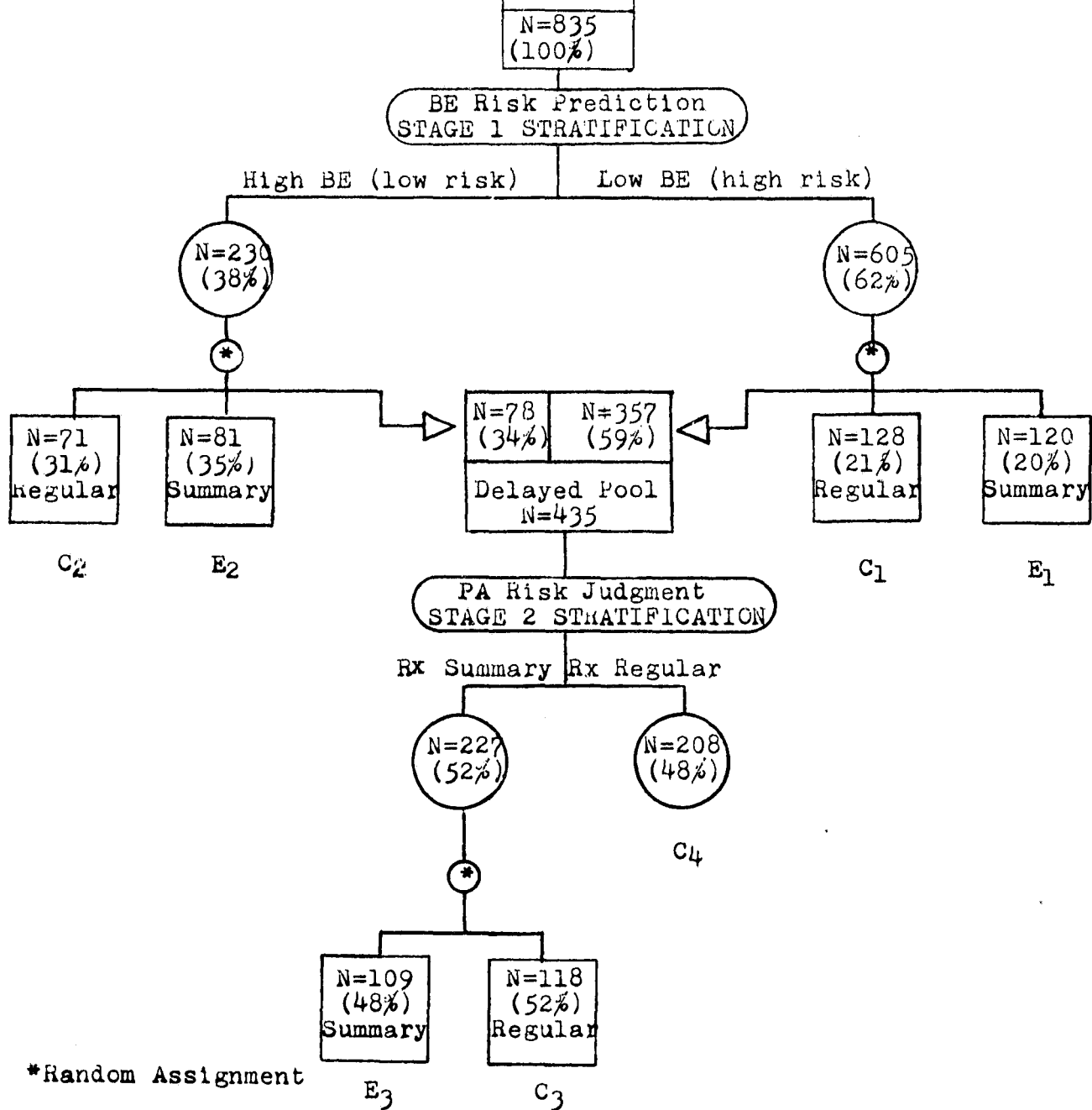
results to the entire study population. (It was hoped that the study could accomplish both ends; that is, compare the results for different subgroups as well as generalize the overall combined subgroup findings to the study population). One way to statistically compensate for this disproportionality is to weight the outcome results according to the proportion of each subgroup represented in the population to be generalized to. Another analytical method is to analyze the outcomes for the independent/dependent variable relationship separately for each of the strata (or subgroups) disproportionately sampled. This latter approach is used in this report.

Therefore, to determine whether this disproportionality or non-representativeness of risk level groups within the study cohort makes a difference which might limit the study's generalizableness, an analysis of differences in outcome measures between the two supervision types within the two BE risk levels was made. This analysis is presented at the end of each of the chapters reporting six month and one year outcomes. A lack of difference in outcomes between the supervision types within each risk levels would indicate that the disproportionality of risk levels group represented in the study cohort does not effect (1) the representativeness of the entire study cohort and (2) the generalizableness of the total and subsample findings to the 38% release-to-parole population addressed.

Sample Size

The original plan for the summary parole project proposed assigning approximately 1,200 releases, 600 to summary supervision and 600 to regular supervision. However, an unexpected decline in the release rate occurred for 1976. Approximately 10,000 cases were expected to be released based on a 1975 release number of 10,578; but only 6,958 were actually released during the year. This decline in addition to the aforementioned accidental omission of the residual group and the 62% exclusion rate resulted in a study population size of 627 cases, 310 on summary supervision and 317 on regular supervision. Although they did not participate in the randomization process, another 208 cases were designated by the parole agents after three to four months of regular supervision as "not suitable" for summary supervision. Including this group, the study sample size totaled 835 cases.

When the experimentals and controls are further divided by the method of selection and placement, sample sizes of approximately 100 cases in each of the seven subgroups resulted. Although smaller than originally designed, the final subgroup sizes (shown below) were sufficient for the basic analysis proposed for this study.

| Type of selection/placement method | Type of supervision | | Total |
|---|---|---|---|
| | Summary (Experimentals) | Regular (Controls) | |
| **DIRECT PLACEMENTS** | | | |
| BE Selection - High/Medium Risk | $E_1 = 120$ | $C_1 = 128$ | 248 |
| BE Selection - Low Risk | $E_2 = 81$ | $C_2 = 71$ | 152 |
| **DELAYED PLACEMENTS** | | | |
| PA Judgment for Summary | $E_3 = 109$ | $C_3 = 118$ | 227 |
| PA Judgment for Regular | - | $C_4 = 208$ | 208 |
| Total, not including $C_4$ | $(E = 310)$ + | $(C = 317)$ = | 627 |
| Total, including $C_4$ | $(E = 310)$ + | $(C = 525)$ = | 835 |

## Field Assignment

The summary parole project was implemented on a statewide basis. Assignments to parole units for the 835 study cases proceeded in the same manner that normal pre-release classifications are made; that is, assignment was made to the parole unit geographically nearest the pre-designated residence of the releasee. The parole agent to which the case was then assigned was determined by the unit supervisor according to the existing distribution of cases among agents within that unit. Neither the experimentals nor controls were assigned to special caseloads; rather study cases were attached to existing caseload sizes of approximately 50-60 cases per agent.

As the distribution of cases across California's four geographic parole regions indicates (Table 7), the selection process produced a distribution of study cases equal to that geographic region's normal share of statewide felon parolees. The largest proportion came from Region III (Los Angeles area), followed by Region II (San Francisco area), Region IV (Santa Ana/Ontario area) and Region I (Sacramento/Central Valley area). Not only is the study population representative of 38% of those released to parole but it appears to have been representatively distributed across the state.

TABLE 7

Study Groups by Parole Region of Assignment

| Study groups | Total | | Parole region of assignment | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | | | I | | II | | III | | IV | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all study cases | 835 | 100.0 | 132 | 100.0 | 267 | 100.0 | 308 | 100.0 | 128 | 100.0 |
| (Percent of study pop. in each region) | | (100.0) | | (15.8) | | (32.0) | | (36.9) | | (15.3) |
| Summary supervision | 310 | 37.1 | 50 | 37.9 | 85 | 31.8 | 129 | 41.9 | 46 | 35.9 |
| High/Medium risk (Low BE 76A Score) | (120) | | (17) | | (37) | | (45) | | (21) | |
| Low risk (High BE 76A Score) | (81) | | (15) | | (19) | | (34) | | (13) | |
| Parole agent judgment for summary | (109) | | (18) | | (29) | | (50) | | (12) | |
| Regular supervision | 317 | 38.0 | 51 | 38.6 | 106 | 39.7 | 107 | 34.7 | 53 | 41.4 |
| High/Medium risk (Low BE 76A Score) | (128) | | (25) | | (52) | | (35) | | (16) | |
| Low risk (High BE 76A Score) | (71) | | (9) | | (21) | | (28) | | (13) | |
| Parole agent judgment for summary | (118) | | (17) | | (33) | | (44) | | (24) | |
| Parole agent judgment for regular | 208 | 24.9 | 31 | 23.5 | 76 | 28.5 | 72 | 23.4 | 29 | 22.7 |
| Male felon parole population by region as of December 31, 1976 | 10,890 | 100.0 | 1,819 | 16.7 | 3,232 | 29.7 | 4,275 | 39.3 | 1,564 | 14.3 |

-39-

CHAPTER IV

SUPERVISION LEVELS

The purpose of this chapter is to determine whether the level of supervision delivered under summary parole was different than the level of supervision delivered under regular parole. Within the experimental design of this project, once a difference is established in the level of supervision delivered experimentals (summary parolees) as opposed to controls (regular parolees,) then any observed differences in outcomes between the two groups can be attributed to the difference in the supervision delivered.

Summary parole was designed to provide a reduced form of supervision. Therefore, the level of supervision delivered to summary parolees should be less than the level of supervision delivered to regular parolees. As a quantitative indicator of this difference, this project measured the frequency with which contacts occurred under each supervision type. Specifically, four characteristics of the contacts were measured.

1. Average number of contacts per six month period on parole.

2. Types of contacts.

3. Initiating source of the contact.

4. Means of making the contact.

The first measurement indicates whether there was in fact a reduced "amount" of supervision delivered under summary parole. The latter three measures were intended to show some of the more qualitative differences expected between the two supervision types. The "types" of contacts measured the intended goal for each contact. The "initiating" source indicated the instigator of the contacts. The "means" of contact indicated whether the supervision was personalized and direct (e.g., face-to-face contacts) or formalized and indirect (e.g., by mail). It was expected that summary supervision would by design be comprised of fewer routine checking-up types of contacts and fewer face-to-face contacts initiated by the parole agent.

Parole agent recordings of activities conducted on a case were the source of the data measuring contacts. These recordings, or field notes, are designed for the purpose of making "...notes on individual contacts and

ultimately as a reference for recording". Most contacts occurring on a particular case are recorded in the field notes and generally the three qualitative measures of the contacts (i.e., type, initiating source and means) are also recorded.

The field notes as a data source, however, did present some problems, as the variation in what was recorded, the detail in which it was recorded and the clarity with which it was recorded made data collection difficult and prevented the measurement of more qualitative aspects of the contacts. Furthermore, failure to record all contacts resulted in some case field notes being incomplete. Approximately 18% of those received for analysis (30 of 170 cases) were obviously incomplete and had to be excluded from the analysis, as it was impossible to reconstruct the missing contacts. Despite these shortcomings, the parole agent's field notes were the single best existing written recording of activities occurring under supervision. They provided some measurement of the "amount" of supervision delivered and some qualitative descriptions of the kinds of contacts which occurred.

So as not to identify control cases to their parole agents while under active parole status, field notes were not collected until a case terminated parole. This procedure enabled sampling of the lengthiest possible period under parole status. The disadvantage of this procedure was that only a small proportion of the 835 study cases had terminated their parole status at the time this report was being prepared. The analysis which follows is based on only 140 experimental and control cases whose parole status had terminated or where termination was pending.

The above sampling method (i.e., waiting for the case to terminate) did not produce a representative sample of the total study cases, nor did it produce very comparable experimental and control cases. This is evident from an analysis of the variables presented in Table 8 which shows selected characteristics of this 17% subsample (140 ÷ 835 cases) of study cases.

First on the issue of representativeness, the terminated study case sample included 88 experimentals (63%) but only 52 controls (37%). Also, a larger proportion of the terminated study cases were sampled from the fourth geographic parole region than from the other three regions.

Second, on the issue of study group comparability, we find a larger proportion of the controls (regular parolees) having experienced "bad" terminations of their parole (63.4% returned to prison or other board ordered status changes) than the experimentals (47.7% return/status removal). Also the controls in this subsample were primarily delayed placements (cases judged by the parole agent as not suitable for summary supervision) while the summary supervision cases sampled were primarily direct placements. Finally, the controls represented primarily the southern geographic regions (Regions III and IV) while the experimentals represented all four geographic regions.

Most of these differences in the terminated study case sample are a result of a lack of uniformity in the procedures utilized to collect field notes. The extent to which this apparent lack of representativeness and comparability of study groups affects the analysis to follow is unclear, particularly in light of the few selected characteristics analyzed. It is doubtful whether the lack of geographic representativeness will severely bias the analysis to follow. However, the fact the the control group in the sample had slightly more bad terminations and consisted of more delayed placement cases than the experimentals could increase the total number of contacts for the regular supervision group and possibly show a supervision level slightly higher than might be found in a more representative sample of regular parolees. The reader is cautioned that some part of the differences discovered in the analysis to follow may be due to the sampling methods utilized rather than to real differences in the supervision levels.

Number and Types of Contacts

While it was expected that the total number of contacts under summary supervision would be less than the total number of contacts under regular, the exact extent to which the reduction would occur was unknown. The minimum number of contacts would be two (one at the release and one at the one year early discharge) but the likely number was expected to be higher, assuming that some parolees would initiate contacts to request services and some parole agents would initiate contacts to investigate suspected criminal activity.

Table 9 shows that the mean number of contacts for those summary cases sampled (X = 10.28) was less than the mean number of contacts for the regular cases sampled (X = 23.44). However, Table 9 also shows that the mean number

of days on parole varied for the two groups with summary parolees spending slightly more days on parole ($\overline{X}$ = 340) than regular parolees ($\overline{X}$ = 335).

Since the number of contacts are likely to increase with time on parole, the differences in total number of contacts must be analyzed as a function of time on parole. Therefore, Table 9 also shows the average number of contacts per six month period on parole. Summary parolees experienced an average of 7.5 contacts while regular parolees experienced 14.1 contacts per six months on parole. The distribution of number of contacts is rather skewed for both supervision types with most cases encountering the lower frequencies of contacts and a few cases encountering a wide range of the higher frequencies of contacts (Figure 2). Given this skewed distribution the median, showing the number of contacts for the "typical" case, is a more satisfactory statistical descriptor. The median number of contacts was 5.5 for summary and 10.8 for regular parole. This difference of five contacts every six months was statistically significant at the .001 level using a "t" test. The difference represents a fifty percent reduction in the amount of contacts normally experienced under regular supervision.

The summary parole model of supervision represented not only a reduced level of supervision (i.e., fewer contacts) but also a different approach to supervision. This different approach is evident in an examination of differences in the types of contacts which occurred between the two supervision types. Each of the contacts recorded in the field notes was classified according to its primary goal or purpose. A set of twelve exhaustive and mutually exclusive categories of these contact purposes was developed from the field notes for this analysis. A listing is shown in Table 10 and a detailed description is found in Appendix D.

Differences were found among the two supervision types in five of the twelve contact types analyzed, including:

1. Actual check-up contacts
2. Talking contacts
3. Attempted check-up contacts
4. Non-law enforcement contacts regarding a criminal arrest or parole violation
5. After-arrest processing contacts

-43-

TABLE 8

Selected Characteristics of Terminated Study Cases

| Selected characteristics | Type of supervision | | | | | | Total study cases | Pct. of total sampled |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | | |
| <u>Basis for termination</u> | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | | |
| Prison return/status removal | 75 | 53.6 | 42 | 47.7 | 33 | 63.4 | | |
| Summary status removal | (14) | | (14) | | (0) | | | |
| Board ordered return | (14) | | (7) | | (7) | | | |
| Court ordered return | (23) | | (14) | | (9) | | | |
| Pending revocation proceedings | (12) | | (2) | | (10) | | | |
| Discharge to relinquish jurisdiction and other | (12) | | (5) | | (7) | | | |
| Early discharge at one year | 65 | 46.4 | 46 | 52.2 | 19 | 36.5 | | |
| <u>Type of placement</u> | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | | |
| Direct | 80 | 57.1 | 65 | 73.9 | 15 | 28.8 | | |
| Delayed | 60 | 42.9 | 23 | 26.1 | 37 | 71.2 | | |
| <u>Parole region</u> | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | 835 | 16.8 |
| Region I | 24 | 17.1 | 14 | 15.9 | 10 | 19.2 | 132 | 18.2 |
| Region II | 25 | 17.9 | 20 | 22.7 | 5 | 9.6 | 267 | 9.4 |
| Region III | 53 | 37.9 | 31 | 35.2 | 22 | 42.3 | 308 | 17.2 |
| Region IV | 38 | 27.1 | 23 | 26.1 | 15 | 28.9 | 128 | 29.7 |

-44-

TABLE 9

Number of Contacts and Time on Parole
by Type of Supervision

| Number of contacts and time on parole | Type of supervision | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Number of contacts | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 |
| One to five contacts | 19 | 13.6 | 16 | 18.2 | 3 | 5.8 |
| Six to ten contacts | 37 | 26.4 | 31 | 35.2 | 6 | 11.5 |
| Eleven to twenty contacts | 41 | 29.3 | 28 | 31.8 | 13 | 25.0 |
| Twenty-one to thirty contacts | 27 | 19.3 | 8 | 9.1 | 19 | 36.5 |
| Thirty-one or more contacts | 16 | 11.4 | 5 | 5.7 | 11 | 21.2 |
| Mean | | 16.579 | | 12.523 | | 23.442 |
| SD | | 12.533 | | 10.280 | | 13.005 |
| Time on parole | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 |
| 0 - 90 days | 1 | 0.7 | 1 | 1.1 | 0 | 0.0 |
| 91 - 180 days | 7 | 5.0 | 5 | 5.7 | 2 | 3.8 |
| 181 - 270 days | 28 | 20.0 | 15 | 17.0 | 13 | 25.0 |
| 271 - 365 days | 22 | 15.7 | 11 | 12.5 | 11 | 21.2 |
| 366 or more days | 82 | 58.6 | 56 | 63.6 | 26 | 50.0 |
| Mean | | 338.335 | | 340.431 | | 334.788 |
| SD | | 88.144 | | 88.832 | | 86.852 |
| Average number of contacts per six months on parole | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 |
| One to five contacts | 46 | 32.9 | 42 | 47.7 | 4 | 7.7 |
| Six to ten contacts | 43 | 30.7 | 25 | 28.4 | 18 | 34.6 |
| Eleven to twenty contacts | 34 | 24.3 | 14 | 15.9 | 20 | 38.5 |
| Twenty-one or more contacts | 17 | 12.1 | 7 | 8.0 | 10 | 19.2 |
| Mean | | 9.989 | | 7.536 | | 14.138 |
| SD | | 8.263 | | 6.651 | | 9.031 |

Total contacts: $t= 5.452$, $df= 138$, $p <.001$
Time on parole: $t= 0.364$, $df= 138$, $p >.05$
Average contacts/six months: $t= 4.916$, $df= 138$, $p <.001$

-45-

FIGURE 2

Average Number of Contacts Per Six Months on Parole
for Summary and Regular Supervision
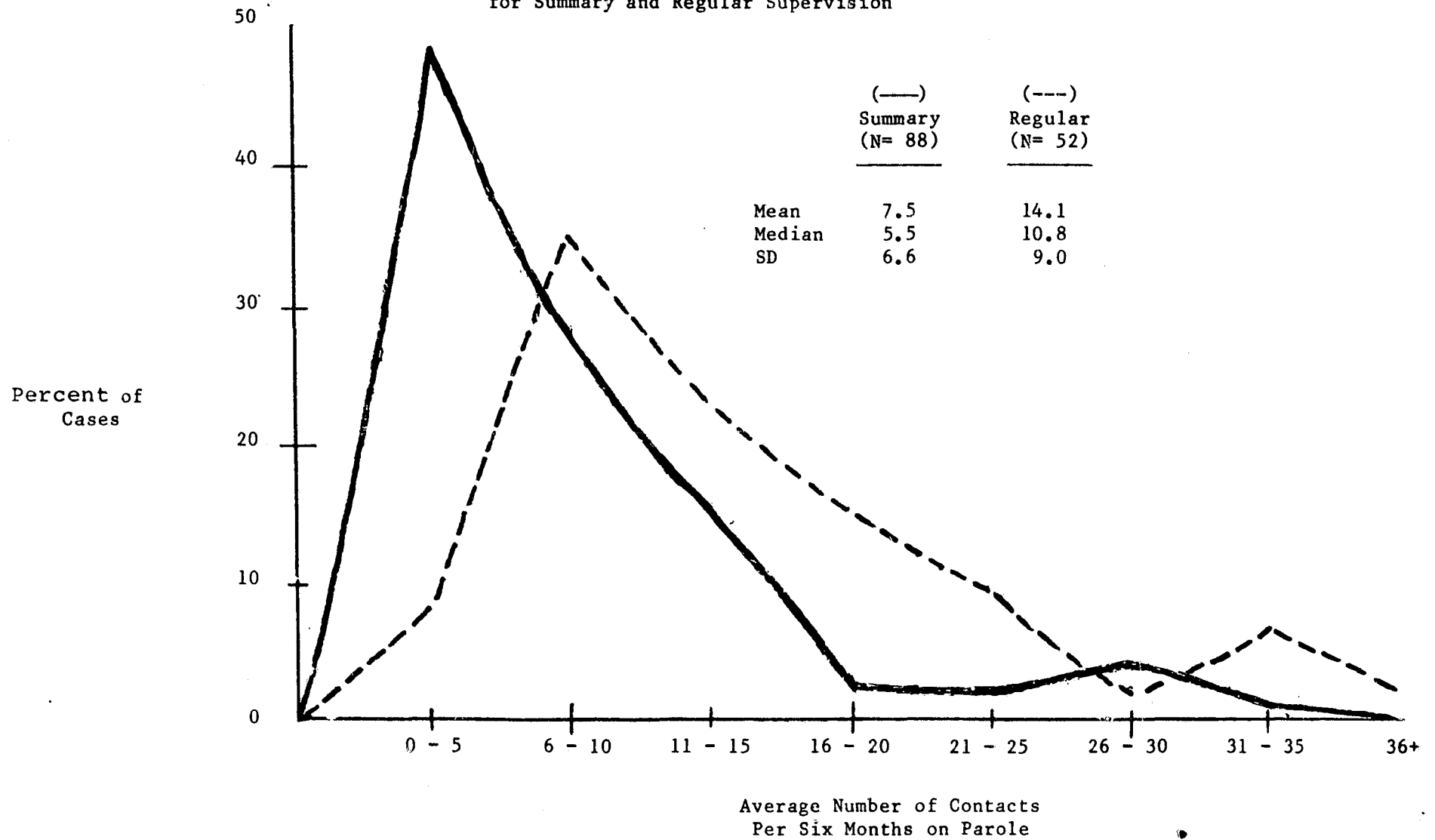
Cases under summary supervision were less likely to have experienced actual (52.3% with one or more) or attempted (39.8% with one or more) check-up contacts than cases under regular supervision (88.5% with one or more actual check-ups; 63.5% with one or more attempted check-up contacts). Furthermore, talking contacts were fewer under summary supervision (47.7% with one or more) than under regular supervision (78.8% with one or more). These differences were all statistically significant and are logically consistent with the fact that routine contacts were waived under summary supervision.

The differences in the non-law enforcement violation contacts and the after-arrest processing contacts likely reflect the fact that differential criminal justice processing occurred between the two supervisions. Because of the greater number of contacts under regular supervision, it was expected that parole agents would be more exposed to potentially violational activities. This includes being more frequently contacted by the parolee's relatives and associates regarding negative activity. The result of these notifications would be increased reporting of parole condition violations through the administrative revocation system. Thus, it is not surprising to find that regularly supervised cases had a higher likelihood of non law-enforcement violation notification and after-arrest contacts.

There were only small differences between the two supervision types in the remaining seven types of contacts. Approximately equal proportions of summary and regular parole cases experienced contacts whose primary purpose was:

1. Release to parole matters (e.g., interview to explain conditions of parole)
2. Required matters (e.g., requesting out-of-state travel permission)
3. Law enforcement arrest/violation notifications
4. Other required matters (e.g., contacts to establish jailtime credits)
5. Status contacts (e.g., contacts to accomplish police registration requirements)
6. Service/counseling contacts
7. Unknown

TABLE 10

Type of Contact by Type of Supervision

| Type of contact | Type of supervision | | | | | | Statistical significance of difference between types |
| | Total | | Summary | | Regular | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
|---|---|---|---|---|---|---|---|
| Release to parole | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 6 | 4.3 | 4 | 4.6 | 2 | 3.8 | z= [0.320] |
| One or more | 134 | 95.7 | 84 | 95.4 | 50 | 96.2 | p >.05 |
| Required contacts | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 96 | 68.6 | 57 | 64.8 | 39 | 75.0 | z= 1.256 |
| One or more | 44 | 31.4 | 31 | 35.2 | 13 | 25.0 | p >.05 |
| Casual check-up | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 48 | 34.3 | 42 | 47.7 | 6 | 11.5 | z= [6.188] |
| One or more | 92 | 65.7 | 46 | 52.3 | 46 | 88.5 | p <.001 |
| Talking | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 57 | 40.7 | 46 | 52.3 | 11 | 21.2 | z= 3.625 |
| One or more | 83 | 59.3 | 42 | 47.7 | 41 | 78.8 | p <.001 |
| Attempted check-up | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 72 | 51.4 | 53 | 60.2 | 19 | 36.5 | z= 2.715 |
| One or more . | 68 | 48.6 | 35 | 39.8 | 33 | 63.5 | p <.01 |

TABLE 10 - continued

Type of Contact by Type of Supervision

| Type of contact | Type of supervision | | | | | | Statistical significance of difference between types |
|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| **Arrest/violation - Law Enforcement** | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 109 | 77.9 | 71 | 80.7 | 38 | 73.1 | z= 1.048 |
| One or more | 31 | 22.1 | 17 | 19.3 | 14 | 26.9 | p >.05 |
| **Arrest/violation - non-L.E.** | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 64 | 45.7 | 46 | 52.3 | 18 | 34.6 | z= 2.034 |
| One or more | 76 | 54.3 | 42 | 47.7 | 34 | 65.4 | p <.05 |
| **After-arrest processing** | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 65 | 46.4 | 46 | 52.3 | 19 | 36.5 | z= 1.814 |
| One or more | 75 | 53.6 | 42 | 47.7 | 33 | 63.5 | p >.05 |
| **Other required status** | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 69 | 49.3 | 40 | 45.5 | 29 | 55.8 | z= 1.180 |
| One or more | 71 | 50.7 | 48 | 54.4 | 23 | 44.2 | p >.05 |
| **Other status** | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 112 | 80.0 | 70 | 79.5 | 42 | 80.8 | z= [0.186] |
| One or more | 28 | 20.0 | 18 | 20.5 | 10 | 19.2 | p >.05 |

TABLE 10 - continued

Type of Contact by Type of Supervision

| Type of contact | Type of supervision | | | | | | Statistical significance of difference between types |
|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Services/Counseling | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 83 | 59.3 | 54 | 61.4 | 29 | 55.8 | z= 0.653 |
| One or more | 57 | 40.7 | 34 | 38.6 | 23 | 44.2 | p >.05 |
| Unknown type | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 117 | 83.6 | 78 | 88.6 | 39 | 75.0 | z= 2.099 |
| One or more | 23 | 16.4 | 10 | 11.4 | 13 | 25.0 | p <.05 |

[] = Corrected for continuity due to small cell sizes.

None of the small differences between supervision types on the above seven kinds of contacts was statistically significant. Most relevant and congruant with the design of the summary supervision model is the finding that contacts to take care of matters such as delivering release monies, receiving police notifications of criminal activity and delivering requested services occurred at approximately the same rate, regardless of the type of supervision delivered.

## Initiating Source and Means of Contact

Since routine parole agent contacts were waived and since services were delivered only at the request of the parolee it was expected that summary parole would involve a smaller proportion of parole agent initiated contacts and a higher proportion of parolee initiated contacts than exists under traditional supervision.

Table 11 shows a fifty percentage point difference between summary (27.3%) and regular (76.9%) cases who had eleven or more agent initiated contacts. (Both types of supervision had "some" agent initiated contacts and the divergence between the two types is in the higher frequencies of these contacts.) This difference was statistically significant. Also as expected, there was a fifteen percentage point difference between the two supervision types with one or more parolee initiated contacts (42.0% summary vs. 26.9% regular), although this difference was not quite statistically significant.

Finally, there was a smaller non-significant nine percentage point difference between the two supervision types with one or more contacts initiated by various collaterals (i.e., friends, family and associates) of the parolee. This finding of fewer collateral initiated contacts for summary supervision is an indirect spillover effect of such a model as summary supervision. That is, reduced contacts between agents and parolees would also limit the opportunities for the parolee's collaterals to know and contact the agent.

Although routine contacts were waived under summary parole, it was nonetheless possible that contacts could have occurred by other means. That is rather than the face-to-face routine contacts, contacts could shift to more indirect means such as mail or telephone.

Table 12 tests whether summary supervision was associated with a higher proportion of indirect means of contact than existed under regular supervision. It shows no difference between the two supervision types in the proportion of cases with one or more contacts by telephone (80.7% summary vs. 80.8% regular) or with one or more contacts by mail (46.6% summary vs. 44.2% regular). It does show a large significant 34 percentage point difference between the two supervision types (6.8% summary vs. 40.4% regular) in the proportion of cases with eleven or more direct face-to-face contacts. It is concluded from these findings that summary supervision did not substitute indirect contacts for direct contacts, but simply eliminated most of the face-to-face contacts which occurred between agents and parolees under traditional supervision.

Chapter Summary. The analysis in this brief chapter has verified that the summary parole model of supervision operated much as designed. More importantly, this chapter verified that the experimental variable tested here - REDUCED SUPERVISION - was significantly different than the supervision delivered under regular parole. Specifically, summary supervision consisted of significantly fewer parole agent initiated face-to-face contacts for the purpose of checking-up on the parolee's current status. This chapter also identified some likely spillover effects associated with a summary supervision model including fewer collateral initiated contacts and fewer non-law enforcement notifications of a parole violation.

The next chapter will examine whether this significantly different supervision model was associated with a different known criminal activity level than that existing under regular supervision after six months on parole.

## TABLE 11

### Initiating Source by Type of Supervision

| Initiating source | Type of supervision | | | | | | Statistical significance of difference between types |
|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Parole agent initiated (with either parolee or collateral) | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| Ten or less | 76 | 54.3 | 64 | 72.7 | 12 | 23.1 | |
| 0 | (0) | | (0) | | (0) | | |
| 1 | (3) | | (3) | | (0) | | |
| 2 - 5 | (39) | | (35) | | (4) | | z= 5.701 |
| 6 - 10 | (34) | | (26) | | (8) | | p <.001 |
| Eleven or more | 64 | 45.7 | 24 | 27.3 | 40 | 76.9 | |
| 11 - 20 | (37) | | (15) | | (22) | | |
| 21 + | (27) | | (9) | | (18) | | |
| Parolee initiated (with parole agent) | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 89 | 63.6 | 51 | 58.0 | 38 | 73.1 | z= 1.798 |
| One or more | 51 | 36.4 | 37 | 42.0 | 14 | 26.9 | p >.05 |
| Collateral initiated (with parole agent) | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 43 | 30.7 | 30 | 34.1 | 13 | 25.0 | z= 1.129 |
| One or more | 97 | 69.3 | 58 | 65.9 | 39 | 75.0 | p >.05 |
| Unknown source | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 81 | 57.9 | 58 | 65.9 | 23 | 44.2 | z= 2.517 |
| One or more | 59 | 42.1 | 30 | 34.1 | 29 | 55.8 | p <.05 |

TABLE 12

Means of Contact by Type of Supervision

| Means of contact (for parole agent and parolee contacts only) | Type of supervision | | | | | | Statistical significance of difference between types |
|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Face-to-face | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| Ten or less | 113 | 80.7 | 82 | 93.2 | 31 | 59.6 | |
| 0 | 2 | | 1 | | 1 | | |
| 1 | 10 | | 10 | | 0 | | |
| 2 - 5 | 59 | | 50 | | 9 | | z= 4.877 |
| 6 - 10 | 42 | | 21 | | 21 | | p <.001 |
| Eleven or more | 27 | 19.3 | 6 | 6.8 | 21 | 40.4 | |
| 11 - 15 | 19 | | 5 | | 14 | | |
| 16 or more | 8 | | 1 | | 7 | | |
| Telephone | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 27 | 19.3 | 17 | 19.3 | 10 | 19.2 | z= 0.015 |
| One or more | 113 | 80.7 | 71 | 80.7 | 42 | 80.8 | p > .05 |
| Mail | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 76 | 54.3 | 47 | 53.4 | 29 | 55.8 | z= 0.276 |
| One or more | 64 | 45.7 | 41 | 46.6 | 23 | 44.2 | p >.05 |
| Unknown means | 140 | 100.0 | 88 | 100.0 | 52 | 100.0 | |
| None | 96 | 68.6 | 68 | 77.3 | 28 | 53.9 | z= 2.889 |
| One or more | 44 | 31.4 | 20 | 22.7 | 24 | 46.1 | p <.01 |

# CHAPTER V

## SIX MONTH FOLLOW-UP

The major purpose of this project was to determine whether a reduced form of parole supervision was associated with a level of known criminal activity different from that which exists under regular supervision. This chapter provides a preliminary answer to this question by reporting criminal activity findings for the experimental and control cases six months after release to parole. The following chapter will provide further evidence by reporting the criminal activity findings based on a longer one year follow-up period for a subsample of the study cases.

To answer the above question, cases under summary supervision were compared to cases under regular supervision on several quantitative and qualitative measures of known criminal activity. Ideally, to achieve maximum generalizability of the findings, all experimentals should be compared to all controls. However, since 208 cases of the 835 study cases did not participate in the randomization procedures a comparison of all experimentals with all controls was likely to involve cases with different backgrounds. Such a comparison would make it difficult to attribute any discovered differences, or the lack thereof, to the kind of supervision delivered. To allow for this limitation and to maximize what is learned regarding the impact of summary supervision, the criminal activity findings in this chapter are examined using three different total and subsets of the study cohort. The seven study groups shown in the following table will be combined and analyzed three ways:

1.  Direct placement cases only (N= 400)
    ($E_1 + E_2$ vs. $C_1 + C_2$)

2.  Direct and delayed placement cases (Randomized only, N= 627)
    ($E_1 + E_2 + E_3$ vs. $C_1 + C_2 + C_3$)

3.  All study cases (N= 835)
    ($E_1 + E_2 + E_3$ vs. $C_1 + C_2 + C_3 + C_4$)

| Type of selection/placement method | Type of supervision | |
|---|---|---|
| | Summary (Experimentals) | Regular (Controls) |
| DIRECT PLACEMENTS | | |
|    BE Selection - High/Medium Risk | $E_1=120$ | $C_1=128$ |
|    BE Selection - Low Risk | $E_2=81$ | $C_2=71$ |
| DELAYED PLACEMENTS | | |
|    PA Judgment for Summary | $E_3=109$ | $C_3=118$ |
|    PA Judgment for Regular | – | $C_4=208$ |

(Brackets labeled #1, #2, #3 group the cells)

The advantage in the _first_ analysis performed in this study is that it allows an analysis of a "pure" form of summary supervision. This is in contrast to the combined direct plus delayed placement cases which test a mixture of summary with some regular supervision. Also this subset involves cases randomly assigned to each supervision type. Differences which might be due to selection and background factors are not likely. Overall this comparison will tests whether a direct placement onto summary supervision at release is associated with a level of criminal activity different from that existing in a direct placement onto regular supervision.

The _second_ analysis performed in this study is based on all randomized, direct and delayed placement, cases. Excluded is the non-randomized group judged by parole agents three to four months after release as not suitable for summary supervision. This analysis increases the sample size (N = 627) and the generalizability of the findings beyond that existing in the analysis of the above subsample. And, as with the first analysis, it allows a comparison of study cases randomly assigned to the two supervision types, thus ruling out observed outcome differences which may be due to differences in selection or background factors. This second set of comparisons will test if summary supervision (whether placed directly after release or on a delayed basis) is associated with a different known criminal activity level than that which exists under regular supervision (whether placed directly after release or designated to continue on a delayed basis).

# CONTINUED

# 1 OF 3

TABLE 37A

Criminal Arrests and Convictions for One Year Follow-up of
April - June, 1976 Releases by
Type of Supervision
(Direct Placement Cases Only)

| Criminal arrests and convictions | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| Not arrested | 83 | 62.4 | 49 | 66.2 | 34 | 57.6 |
| Arrested | 50 | 37.6 | 25 | 33.8 | 25 | 42.4 |
| Total, all cases | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| Not convicted | 100 | 75.2 | 57 | 77.0 | 43 | 72.9 |
| Convicted | 33 | 24.8 | 17 | 23.0 | 16 | 27.1 |

Arrests: $z = 1.012$, $p > .05$
Convictions: $z = 0.547$, $p > .05$

TABLE 37B

Criminal Arrests and Convictions for One Year Follow-up
of April - June, 1976 Releases
by Type of Supervision

| Criminal arrests and convictions | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| Not arrested | 162 | 57.7 | 79 | 68.1 | 83 | 50.3 | 60 | 59.4 |
| Arrested | 119 | 42.3 | 37 | 31.9 | 82 | 49.7 | 41 | 40.6 |
| Total, all cases | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| Not convicted | 202 | 71.9 | 94 | 81.0 | 108 | 65.5 | 73 | 72.3 |
| Convictions | 79 | 28.1 | 22 | 19.0 | 57 | 34.5 | 28 | 27.7 |

| Measure | Summary vs. Randomized Regular | Summary vs. Regular |
|---|---|---|
| Arrests: | $z = 1.338$, $p > .05$ | $z = 2.967$, $p < .01$ |
| Convictions: | $z = 1.526$, $p > .05$ | $z = 2.844$, $p < .01$ |

TABLE 38A

Number of Arrests, Convictions Per Case Arrested, Convicted
for One Year Follow-up of
April - June, 1976 Releases by
Type of Supervision
(Direct Placement Cases Only)

| Number of arrests, convictions per case arrested, convicted | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases arrested | 50 | 100.0 | 25 | 100.0 | 25 | 100.0 |
| One arrest | 27 | 54.0 | 14 | 56.0 | 13 | 52.0 |
| Two arrests | 16 | 32.0 | 7 | 28.0 | 9 | 36.0 |
| Three arrests | 4 | 8.0 | 2 | 8.0 | 2 | 8.0 |
| Four arrests | 3 | 6.0 | 2 | 8.0 | 1 | 4.0 |
| Total arrest incidents | (83) | | (42) | | (41) | |
| Mean incidents/case | | 1.660 | | 1.680 | | 1.640 |
| Total, all cases convicted | 33 | 100.0 | 17 | 100.0 | 16 | 100.0 |
| One conviction | 24 | 72.7 | 13 | 76.6 | 11 | 68.8 |
| Two convictions | 7 | 21.2 | 3 | 17.6 | 4 | 25.0 |
| Three convictions | 2 | 6.1 | 1 | 5.9 | 1 | 6.3 |
| Four convictions | 0 | 0 | 0 | 0 | 0 | 0 |
| Total conviction incidents | (46) | | (22) | | (22) | |
| Mean incidents/case | | 1.394 | | 1.294 | | 1.375 |

-113-

TABLE 38B

Number of Arrests, Convictions Per Case Arrested, Convicted
for One Year Follow-up of April - June, 1976 Releases
by Type of Supervision

| Number of arrests, convictions per case arrested, convicted | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases arrested | 119 | 100.0 | 37 | 100.0 | 82 | 100.0 | 41 | 100.0 |
| One arrest | 62 | 52.1 | 24 | 64.9 | 38 | 46.3 | 19 | 46.3 |
| Two arrests | 41 | 34.5 | 8 | 21.6 | 33 | 40.2 | 16 | 39.0 |
| Three arrests | 10 | 8.4 | 3 | 8.1 | 7 | 8.5 | 4 | 9.8 |
| Four arrests | 6 | 5.0 | 2 | 5.4 | 4 | 4.9 | 2 | 4.9 |
| Total arrest incidents | (198) | | (57) | | (141) | | (71) | |
| Mean incidents/case | | 1.664 | | 1.541 | | 1.720 | | 1.732 |
| Total, all cases convicted | 79 | 100.0 | 22 | 100.0 | 57 | 100.0 | 28 | 100.0 |
| One conviction | 56 | 70.9 | 18 | 81.8 | 38 | 66.7 | 18 | 64.3 |
| Two convictions | 18 | 22.8 | 3 | 13.6 | 15 | 26.3 | 8 | 28.6 |
| Three convictions | 4 | 5.1 | 1 | 4.5 | 3 | 5.3 | 2 | 7.1 |
| Four convictions | 1 | 1.3 | 0 | 0.0 | 1 | 1.8 | 0 | 0.0 |
| Total conviction incidents | (108) | | (27) | | (81) | | (40) | |
| Mean incidents/case | | 1.367 | | 1.227 | | 1.421 | | 1.429 |

-1114-

When the Wolfgang-Sellin scale is used to weigh the relative seriousness of the criminal incidents for which the cases are arrested and for which the cases are convicted, the same more serious criminality for summary parolees is reflected in the average seriousness scores calculated.

For the direct placement only cases (Table 40A), summary parolees experienced a higher average seriousness per case arrested (3.09 summary vs. 2.05 regular); and a higher average seriousness per case convicted (2.50 summary vs. 2.87 regular).

Expanding this comparison to include both direct and delayed placement cases (Table 40B), showed a higher average seriousness score per case arrested (9.32 summary vs. 1.64 regular) and per case convicted (2.26 summary vs. 1.63 regular) under summary supervision.

Together the mix of arrest offense types and the average seriousness scale scores have both provided indications that while summary parolees have experienced slightly fewer criminal incidents after one year, the incidents for which they do become involved may be slightly more serious in nature. This finding should not be taken as conclusive, however, as it is based on the analysis of extremely small numbers of cases.

Dispositions. The analysis in the last chapter found evidence of a slightly different mix of dispositions between the two supervision types. Cases under summary and under regular supervision were receiving about equal proportions of return-to-prison dispositions except summary parolees were being returned by the court for new commitments and regular parolees were being returned administratively for violations of parole conditions.

Table 38A further violates this earlier six month follow-up finding by comparing the disposition mix of all criminal and technical violation incidents for the direct placement cases only. The incidents under summary supervision resulted in a higher proportion of commitments to prison (15.6% summary vs. 10.0 regular) but a lower proportion of technical violations (13.3% summary vs. 20.0% regular). Small differences of only two or three percentage points were found in the mix of the dispositions received.

TABLE 39A

Type of Arrest Offense for One Year Follow-up of
April - June, 1976 Releases by
Type of Supervision
(Direct Placement Cases Only)

| Type of arrest offense | Type of supervision (direct placement cases only) | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total arrest incidents | 83 | 100.0 | 42 | 100.0 | 41 | 100.0 |
| Person | 15 | 18.1 | 10 | 23.8 | 5 | 12.2 |
| Property | 29 | 34.9 | 14 | 33.3 | 15 | 36.6 |
| Narcotics/drugs | 12 | 14.5 | 7 | 16.7 | 5 | 12.2 |
| Other felony | 5 | 6.0 | 2 | 4.8 | 3 | 7.3 |
| Misdemeanor | 22 | 26.5 | 9 | 21.4 | 13 | 31.7 |

$x^2$ = 2.950, df = 4, p >.05

TABLE 39B

Type of Arrest Offense for One Year Follow-up
of April - June, 1976 Releases
by Type of Supervision

| Type of arrest offense | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total arrest incidents | 198 | 100.0 | 57 | 100.0 | 141 | 100.0 | 71 | 100.0 |
| Person | 28 | 15.6 | 13 | 22.8 | 15 | 10.6 | 7 | 9.9 |
| Property | 65 | 32.8 | 20 | 35.1 | 45 | 31.9 | 22 | 31.0 |
| Narcotics/drugs | 26 | 10.2 | 7 | 12.3 | 19 | 13.5 | 6 | 8.5 |
| Other felony | 16 | 9.4 | 5 | 8.8 | 11 | 7.8 | 7 | 9.9 |
| Misdemeanor | 63 | 32.0 | 12 | 21.1 | 51 | 36.2 | 29 | 40.8 |

Summary vs. Randomized Regular:  $x^2 = 7.918$, df = 4, p >.05

Summary vs. Regular:  $x^2 = 7.382$, df = 4, p >.05

TABLE 40A

Offense Severity for One year Follow-up of
April - June, 1976 Releases by
Type of Supervision
(Direct Placement Cases Only)

| Offense severity (Average Sellin-Wolfgang Seriousness Score) | Type of supervision (direct placement cases only) | |
|---|---|---|
| | Summary | Regular |
| Per case arrested | | |
| Mean | 3.087 | 2.048 |
| N | (23)[a]/ | (21)[b]/ |
| SD | 2.962 | 2.236 |
| Per case convicted | | |
| Mean | 2.500 | 2.867 |
| N | (17) | (15)[c]/ |
| SD | 2.500 | 2.187 |

a/ Excludes two cases for whom a seriousness score was
incalculable.
b/ Excludes four cases for whom a seriousness score was
incalculable.
c/ Excludes one case for whom a seriousness score was
incalculable.

Per case arrested: t= 1.274, df= 42, p >.05
Per case convicted: t= 0.743, df= 31, p >.05

TABLE 40B

Offense Severity for One year Follow-up of
April - June, 1976 Releases by
Type of Supervision

| Offense severity (Average Sellin-Wolfgang Seriousness Score) | Type of supervision | | |
|---|---|---|---|
| | Summary | Regular | Randomized regular only |
| Per case arrested | | | |
| Mean | 9.324 | 2.849 | 1.639 |
| N | (34)[a]/ | (73)[b]/ | (36)[c]/ |
| SD | 38.023 | 7.172 | 2.123 |
| Per case convicted | | | |
| Mean | 2.261 | 2.840 | 1.625 |
| N | (22) | (50)[d]/ | (24)[e]/ |
| SD | 2.326 | 7.575 | 2.058 |

a/ Excludes three cases for whom a seriousness score was
incalculable.
b/ Excludes nine cases for whom a seriousness score was
incalculable.
c/ Excludes five cases for whom a seriousness score was
incalculable.
d/ Excludes seven cases for whom a seriousness score was
incalculable.
e/ Excludes four cases for whom a seriousness score was
incalculable.

| Measure | Summary vs Randomized Regular | Summary vs Regular |
|---|---|---|
| Per case arrested: | t= 1.193, df= 68, p >.05 | t= 1.389, df= 105, p >.05 |
| Per case convicted: | t= 0.972, df= 45, p >.05 | t= 0.354, df= 71, p >.05 |

When the analysis is expanded to include both direct and delayed placement cases (Table 41B),the difference discovered above is reduced and other differences appear (e.g., 28.3% summary vs. 40.5% regular receiving local jail sentences).

When the analysis is expanded even further to include the non-randomized group in the controls (also shown in Table 41B)another rather large difference in the proportion arrested and released appears (33.3% summary vs. 22.4% regular). Together, these findings do not present a clear picture. Nor are the findings consistent across the various subset comparisons. The lack of conclusive findings here are likely a result of the small sample sizes upon which the analysis was based.

Some clarification of the small differences in the mix of dispositions received can be gained by examining what the "most serious" disposition received for each case was. The dichotomized favorable versus unfavorable categories defined in Appendix C simplified the analysis and examined the differences as calculated to the base of all cases (rather than all incidents).

Comparing directly placed summary parolees to directly placed regular parolees (Table 42A, N= 133) showed a non-significant four percentage point difference in the proportion of cases experiencing "unfavorable" outcomes with summary parolees slightly higher (24.3% summary vs. 20.3% regular).

When the comparison is expanded to include both direct and delayed placements (Table 42B, N= 217) the difference in proportion of total experimental and control cases with unfavorable most serious dispositions is even smaller (19.0% summary vs. 19.8% regular).

Only when the non-randomized parole agent judged regular cases are included (N= 281 cases) does a large difference in the unfavorable outcomes appear (19.0% summary vs. 27.9% regular). This latter difference, however, is likely due to differences in background between the experimentals and controls.

Thus, while the differences in the mix of dispositions for the total criminal and technical violation incidents are unclear, it appears that summary supervision is associated with the same proportion of unfavorable most serious dispositions as existed under regular supervision one year after release.

## TABLE 41A

Type of Disposition for One Year Follow-up of
April - June, 1976 Releases by
Type of Supervision
(Direct Placement Cases Only)

| Type of disposition for total criminal and technical violation incidents | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, incidents | 95 | 100.0 | 45 | 100.0 | 50 | 100.0 |
| Arrested and released | 26 | 27.4 | 12 | 26.7 | 14 | 28.0 |
| Arrested and convicted to jail | 29 | 30.5 | 13 | 28.9 | 16 | 32.0 |
| Arrested and convicted to prison | 12 | 12.6 | 7 | 15.6 | 5 | 10.0 |
| Disposition pending or unknown | 12 | 12.6 | 7 | 15.6 | 5 | 10.0 |
| Technical violations | 16 | 16.8 | 6 | 13.3 | 10 | 20.0 |
| With a criminal arrest | | | | | | |
| Return to prison/ suspension | (4) | | (3) | | (1) | |
| Conti.  on parole | (0) | | (0) | | (0) | |
| Without a criminal arrest | | | | | | |
| Return to prison/ suspension | (10) | | (3) | | (7) | |
| Continue on parole | (2) | | (0) | | (2) | |

$x^2 = 1.873$, df = 4, p >.05

TABLE 41B

Type of Disposition for One Year Follow-up >.05
of April - June, 1976 Releases
by Type of Supervision

| Type of disposition for total criminal and technical violation incidents | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total incidents | 234 | 100.0 | 60 | 100.0 | 174 | 100.0 | 79 | 100.0 |
| Arrested and released | 59 | 25.2 | 20 | 33.3 | 39 | 22.4 | 21 | 26.6 |
| Arrested and convicted to jail | 79 | 33.8 | 17 | 28.3 | 62 | 35.6 | 32 | 40.5 |
| Arrested and convicted to prison | 23 | 9.8 | 7 | 11.7 | 16 | 9.2 | 7 | 8.9 |
| Disposition pending or unknown | 27 | 11.5 | 9 | 15.0 | 18 | 10.3 | 10 | 12.7 |
| Technical violations | 46 | 19.7 | 7 | 11.7 | 39 | 22.4 | 9 | 11.4 |
| With criminal arrest | | | | | | | | |
| Return to prison/ suspension | (10) | | (4) | | (6) | | (1) | |
| Continue on parole | (0) | | (0) | | (0) | | (0) | |
| Without criminal arrest | | | | | | | | |
| Return to prison/ suspension | (24) | | (3) | | (21) | | (6) | |
| Continue on parole | (12) | | (0) | | (12) | | (2) | |

Summary vs. Randomized Regular:  $x^2$ = 2.366, df = 4, p >.05

Summary vs. Regular:  $x^2$ = 6.550, df = 4, p >.05

## TABLE 42A

Most Serious Disposition for One Year Follow-up of
April - June, 1976 Releases by
Type of Supervision
(Direct Placement Cases Only)

| Most serious disposition | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| Favorable | 103 | 77.4 | 56 | 75.7 | 47 | 79.7 |
| Clean | (80) | | (48) | | (32) | |
| Other favorable | (23) | | (8) | | (15) | |
| Unfavorable | 30 | 22.6 | 18 | 24.3 | 12 | 20.3 |
| Pending/unknown | (8) | | (5) | | (3) | |
| Miscellaneous unfavorable | (4) | | (2) | | (2) | |
| Return to prison | | | | | | |
| Board ordered | (6) | | (4) | | (2) | |
| Court ordered | (12) | | (7) | | (5) | |

$z = 0.548$, $p > .05$

TABLE 42B

Most Serious Disposition for One Year Follow-up
of April - June, 1976 Releases
by Type of Supervision

| Most serious disposition | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| Favorable | 213 | 75.8 | 94 | 81.0 | 119 | 72.1 | 81 | 80.2 |
| Clean | (155) | | (78) | | (77) | | (56) | |
| Other favorable | (58) | | (16) | | (42) | | (25) | |
| Unfavorable | 68 | 24.2 | 22 | 19.0 | 46 | 27.9 | 20 | 19.8 |
| Pending/unknown | (18) | | (6) | | (12) | | (7) | |
| Miscellaneous unfavorable | (13) | | (3) | | (10) | | (3) | |
| Return to prison | | | | | | | | |
| Board ordered | (13) | | (6) | | (7) | | (2) | |
| Court ordered | (24) | | (7) | | (17) | | (8) | |

Summary vs. Randomized Regular:  z= 0.148, p >.05
Summary vs. Regular:  z= 1.712, p >.05

-124-

Custody-free time.  The final measure of criminal activity applied to the one year follow-up subsample was the number of custody-free months experienced within the twelve month follow-up period.

Cases placed directly under summary supervision experienced an average of 11.00 custody-free months in the community while cases placed directly under regular supervision experienced slightly less (10.53).  This difference was not statistically significant (Table 43A).

The same finding was discovered when the analysis was expanded to include both direct and delayed placement cases (N= 217, Table 43B).  Summary parolees experienced an average of 11.21 custody-free months in the community while regular parolees experienced 10.94 custody-free months (also non-significant).

Only when the analysis is expanded to include the non-randomized parole-agent-judged regular cases as part of the control group (N= 281) does a difference of almost one month appear (11.21 summary vs. 10.34 regular).  This larger significant difference is likely due to differences in the background between experimentals and controls rather than to the type of supervision delivered.

## Outcomes Within BE Risk Level Groups

The subsample upon which the preceding findings were based possesses the same limitation of "generalizableness" discussed in the preceding chapter for the total sample. That is, the disproportionate stratified random sampling procedures utilized for the study produced a study population underrepresentative of the proportion of BE defined high and medium risk cases normally found in a 38% release-to-parole cohort.  While this disproportionate stratified sampling procedures held certain advantages for various between strata comparisons (to be made in Chapter VII), it limits the generalizableness of the findings in this as well as the preceding chapter when the stratified groups are combined with the intent of generalizing to the entire 38% release-to-parole study cohort.

The preceding chapter analyzed six month outcome differences between summary and regular supervision within each of the two BE risk level groups to determine whether this disproportionality makes a difference.  The findings were that summary supervision was not associated with a different level of criminal activity than exist under

TABLE 43A

Custody-Free Months for One Year Follow-up of
April - June, 1976 Releases by
Type of Supervision
(Direct Placement Cases Only)

| Custody-free months | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| Twelve months | 102 | 76.7 | 58 | 78.4 | 44 | 74.6 |
| Eleven months | 2 | 1.5 | 2 | 2.7 | 0 | 0 |
| Ten months | 2 | 1.5 | 0 | 0 | 2 | 3.4 |
| Nine months | 1 | 0.8 | 1 | 1.4 | 0 | 0 |
| Eight months | 6 | 4.5 | 4 | 5.4 | 2 | 3.4 |
| Seven months | 0 | 0 | 0 | 0 | 0 | 0 |
| Six months | 6 | 4.5 | 2 | 2.7 | 4 | 6.8 |
| Five months | 2 | 1.5 | 1 | 1.4 | 1 | 1.7 |
| Four months | 1 | 0.8 | 0 | 0 | 1 | 1.7 |
| Three months | 0 | 0 | 0 | 0 | 0 | 0 |
| Two months | 3 | 2.3 | 2 | 2.7 | 1 | 1.7 |
| One or less month | 3 | 2.3 | 1 | 1.4 | 2 | 3.4 |
| Unknown | 5 | 3.8 | 3 | 4.1 | 2 | 3.4 |
| Mean | | | 11.000 | | 10.526 | |
| N | | | (71)[a/] | | (57)[b/] | |
| SD | | | 2.506 | | 3.073 | |

a/ Excludes three cases for whom custody-free time was unknown.
b/ Excludes two cases for whom custody-free time was unknown.

t= 0.953, df = 126, p >.05

TABLE 43B

Custody-Free Months for One Year Follow-up
of April - June, 1976 Releases
by Type of Supervision

| Custody-free months | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| Twelve months | 207 | 73.7 | 95 | 81.9 | 112 | 67.9 | 78 | 77.2 |
| Eleven months | 7 | 2.5 | 3 | 2.6 | 4 | 2.4 | 1 | 1.0 |
| Ten months | 7 | 2.5 | 0 | 0.0 | 7 | 4.2 | 2 | 2.0 |
| Nine months | 6 | 2.1 | 2 | 1.7 | 4 | 2.4 | 1 | 1.0 |
| Eight months | 9 | 3.2 | 4 | 3.4 | 5 | 3.0 | 4 | 4.0 |
| Seven months | 1 | 0.4 | 0 | 0.0 | 1 | 0.6 | 0 | 0.0 |
| Six months | 10 | 3.6 | 3 | 2.6 | 7 | 4.2 | 5 | 5.0 |
| Five months | 2 | 0.7 | 1 | 0.9 | 1 | 0.6 | 1 | 1.0 |
| Four months | 6 | 2.1 | 1 | 0.9 | 5 | 3.0 | 1 | 1.0 |
| Three months | 5 | 1.8 | 0 | 0.0 | 5 | 3.0 | 0 | 0.0 |
| Two months | 6 | 2.1 | 2 | 1.7 | 4 | 2.4 | 1 | 1.0 |
| One or less month | 4 | 1.4 | 1 | 0.9 | 3 | 1.8 | 2 | 2.0 |
| Unknown | 11 | 3.9 | 4 | 3.4 | 7 | 4.2 | 5 | 5.0 |
| Mean | 10.696 | | 11.205 | | 10.335 | | 10.937 | |
| N | (270) | | (112)a/ | | (158)b/ | | (96)c/ | |
| SD | 2.824 | | 2.229 | | 3.129 | | 2.565 | |

a/ Excludes four cases for whom custody-free time was unknown.
b/ Excludes seven cases for whom custody-free time was unknown.
c/ Excludes five cases for whom custody-free time was unknown.

Summary vs. Randomized Regular:  $t= 0.802$, df= 206, $p >.05$
Summary vs. Regular:  $t= 2.514$, df= 268, $p <.01$

regular regardless of the predicted BE risk level. That same analysis is repeated here on the longer one-year sub-sample follow-up data. If the lack of outcome differences between summary and regular supervision within each risk level group continues to hold in the longer one year follow-up period, we can more assuredly generalize the one year outcome results of the preceding section to the entire 38% release-to-parole population sampled in this study.

Three of the four types of outcome measures examined in the preceding section were used for this analysis – arrest and conviction rates, most serious disposition and custody-free time in the community. Table 44 shows some large differences in the proportions arrested (36.2% Summary vs. 50.0% Regular) and convicted (23.4% Summary vs. 32.4% Regular) between the two supervision types within the high risk group. However, these large percentage differences are based upon very small N's and are not statistically significant. The differences in arrest rates (29.6% summary vs. 32.0% regular) and conviction rates (22.2% summary vs. 20.0% regular) were much smaller for the low risk cases and also not statistically significant.

Table 45 examined differences between the supervision types within each risk group for the most serious disposition received one year after release. There were only two to three percentage point differences in the proportions receiving an unfavorable disposition within the high risk group (29.8% summary vs. 26.5% regular) and within the low risk group (14.8% summary vs. 12.0% regular). That is, regardless of the risk level, there is no difference in dispositions between the supervision types.

The final measure examined was the amount of custody-free time spent in the community within the one year follow-up period (Table 46). The findings showed that cases under summary supervision spent approximately one-half of a month more time in the community than cases under regular supervision regardless of the risk level group. And, consistant with earlier findings for the combined BE strata, these small differences were not statistically significant.

In none of the three measures examined was a statistically significant relationship discovered which held differentially for the high and medium, as opposed to low, risk type cases. It can be concluded that the lack of

TABLE 44

Criminal Arrests and Convictions for One Year Follow-up of April-June, 1976 Releases By Type of Supervision Within Risk level

| Criminal arrests and convictions | Type of supervision within risk level | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | High/Medium risk Low BE (00-17) | | | | Low risk High BE (18-45) | | | |
| | Summary | | Regular | | Summary | | REgular | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 47 | 100.0 | 34 | 100.0 | 27 | 100.0 | 25 | 100.0 |
| Not arrested | 30 | 63.8 | 17 | 50.0 | 19 | 70.4 | 17 | 68.0 |
| Arrested | 17 | 36.2 | 17 | 50.0 | 8 | 29.6 | 8 | 32.0 |
| Total, all cases | 47 | 100.0 | 34 | 100.0 | 27 | 100.0 | 25 | 100.0 |
| Not convicted | 36 | 76.6 | 23 | 67.6 | 21 | 77.8 | 20 | 80.0 |
| Convicted | 11 | 23.4 | 11 | 32.4 | 6 | 22.2 | 5 | 20.0 |

| Measure | High risks | Low risks |
|---|---|---|
| Arrests | $z=1.254$, $p > .05$ | $z=0.179$, $p > .05$ |
| Convictions | $z=0.898$, $p > .05$ | $z=0.203$, $p > .05$ |

## TABLE 45

### Most Serious Disposition for One Year Follow-up of April-June, 1976 Releases By Type of Supervision Within Risk Level

| Most serious disposition | Type of supervision within risk level | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| | High/Medium risk Low BE (00-17) | | | | Low risk High BE (18-45) | | | |
| | Summary | | Regular | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 47 | 100.0 | 34 | 100.0 | 27 | 100.0 | 25 | 100.0 |
| Favorable | 33 | 70.2 | 25 | 73.5 | 23 | 85.2 | 22 | 88.0 |
| Clean | (29) | | (15) | | (19) | | (17) | |
| Other Favorable | (4) | | (10) | | (4) | | (5) | |
| Unfavorable | 14 | 29.8 | 9 | 26.5 | 4 | 14.8 | 3 | 12.0 |
| Pending/unknown | (4) | | (2) | | (1) | | (1) | |
| Miscellaneous unfavorable | (1) | | (2) | | (1) | | (0) | |
| Return to prison | | | | | | | | |
| Board ordered | (3) | | (1) | | (1) | | (1) | |
| Court ordered | (6) | | (4) | | (1) | | (1) | |

High risks:  z= 0.325, p  .05
Low  risks:  z= 0.296, p  .05

-130-

## TABLE 46

### Csutody-Free Months for One Year Follow-up of April-June, 1976 Releases By Type of Supervision Within Risk Level

| Custody-free months | Type of supervision within risk level | | | |
| --- | --- | --- | --- | --- |
| | High/Medium risk Low BE (00-17) | | Low risk High BE (18-45) | |
| | Summary | Regular | Summary | Regular |
| Mean | 10.756 | 10.187 | 11.423 | 10.960 |
| N | (45)[a] | (32)[b] | (26)[c] | (25) |
| SD | 2.853 | 3.292 | 1.668 | 2.705 |

a/  Excludes two cases for whom custody-free time was unknown
b/  Excludes two cases for whom custody-free time was unknown
c/  Excludes one case for whom custody-free time was unknown

High risks:  t= 0.797, df=75, p  .05
Low risks:   t= 0.724, df=49, p  .05

-131-

large significant one year outcome differences discovered in the preceeding combined strata analyses holds true across risk level groups. Therefore, the disproportionality of these risk groups in the study cohort does not appear to effect the generalizableness of the one year outcome findings to a more representative mix of risk level groups found in a normal 38% release-to-parole cohort.

Chapter Summary. This chapter used cases released in the first of the three release quarters sampled to examine criminal activity outcomes for a one year follow-up period. Based upon the lack of large statistically significant differences between summary and regular supervision for four quantitative and qualitative indicators of return to criminal activity one year after release, the findings in this chapter support the conclusion drawn from the preliminary six month analysis reported in the last chapter. That is,...

summary supervision for selected releases is not associated with a different frequency or severity of criminal activity than exists for regular supervision.

Additional analysis of one year outcome differences between supervision types within each of two BE-defined risk level groups provided evidence that this conclusion may be generalizable to the heterogeneous mix of both high and low risk type cases generally found in the 38% release-to-parole population sampled here. And, finally, a special subset analysis of cases placed directly at release onto summary and regular supervision showed no large outcome differences between the supervision types; and provided some support for the utilization of early, direct, less costly methods for placing cases onto summary parole.

The above conclusions regarding one year outcomes possess some limitations not attached to the preliminary six month findings in the preceding chapter. The fact that the one year findings are based upon only one-third of the total study sample limited both the representativeness of the subsample and the strength of the conclusions which can be drawn from it. Specifically, sub-sampling considerably reduced sample sizes which in turn effected the comparability between experimentals and controls and the representativeness of the subsample to the entire study cohort. Thus, while the conclusions for this chapter possess the advantage of being based on a

longer term follow-up period, its findings should not be interpreted as conclusive. Rather, they should be more cautiously interpreted as providing further support for the lack of large significant differences found in the six month outcome, and perhaps providing some clues of some small differences which may appear when "all study cases" are studied in longer term follow-up.

CHAPTER VII

SELECTION AND PLACEMENT METHODS

A secondary objective of this project was to determine which of two different methods of selecting cases for reduced supervision posed the least risk to the community. Suggested for comparison was an actuarial selection method (Base Expectancy 76A) and a more clinically based method (Parole Agent Judgment).

To test these methods the experimentals and controls were sub-divided into (1) a group directly placed at release and (2) a group placed on a delayed basis three to four months after release using a parole agent's judgment of suitability for summary supervision. The directly placed group was further dichotomized according to whether the Base Expectancy 76A Scale (an actuarial predictive scale of two year successful outcome based on prior criminal and demographic history) predicted the case to be a low risk or a medium to high risk.

As described in the introductory chapter of this report, critical differences between the Base Expectancy and parole agent judgment methods did not permit a valid comparison to be made. Therefore no conclusions will be reached regarding their comparative effectiveness.

Furthermore, the findings described earlier have placed less importance upon the need to find a single best method of selecting cases for summary supervision. The preceding chapters have demonstrated that for the population addressed by the project (i.e., 38% of those released to parole), summary supervision is not associated with a level of criminal activity different from that which exists under regular supervision. That is, no further delimiting selection (beyond the 62% excluded before assignment) was necessary. Assuming summary supervision costs less than regular supervision, maximum cost savings without increased risk can be realized by implementing summary parole for the entire population addressed by the project rather than further limiting the cases addressed by using only one of the two selection methods tested.

In place of a comparison of actuarial versus parole agent selections, this chapter will attempt to test the individual (not comparative) validity of each selection method. Also, this chapter will discuss the two placement methods used in this study -- directly

at release and delayed placements made three to four months after release. The purpose of this discussion is to determine the extent of the lower recidivism rate expected for delayed, where early failures on parole are screened out, as opposed to direct placement; and to examine whether these two different placement methods are associated with different subsequent criminality levels on summary as compared to regular parole. First, before that discussion, information about the Base Expectancy Scale and some findings describing the basis for selection used in the parole agent method are presented.

Basis For Selection

The Base Expectancy Scale as a prediction and classification tool is not new (California Department of Corrections, 1970). Several BE scales are available. They vary only in the specific factors they weigh. Generally speaking, they weigh criminal and demographic characteristics known prior to release to make a prediction of successful outcomes on parole. The items weighed in the BE 76A scale used here include:

1. Commitment record
2. Commitment offense
3. Age
4. Escape history

These items were combined using multiple regression analysis to predict two year successful outcomes on parole. The BE cutoff score used for this project resulted in the identification of 152 of the 400 direct placement cases, or 38%, as low (rather than high or medium) risk cases likely to succeed on parole after two years (Groups $E_2$ and $C_2$ in the study groups table below).

While the Base Expectancy method has been used previously and this use has been well documented in the literature, the parole agent method used in this study involved making a new kind of decision. Parole agents for the first time were asked to make case-by-case recommendations for a reduced level of supervision. No formal guidelines were given except that the decision should be made between 75 and 105 days after release and it would be formulated during a case conference between the supervising parole agent of the case and the agent's unit supervisor. Based on the decision's "newness" it seemed valuable to examine in more detail the basis upon which the final parole agent judgments were made.

Of the 435 cases reviewed by parole agents on a delayed basis, agents recommended 227 cases or 52.2% as low risk type cases suitable for a summary supervision (Groups $E_3$ and $C_3$) -- indicating a willingness on the part of parole agents to place cases under less supervision. The remainder (47.8%) were recommended for continued regular supervision (Group $C_4$).

| Type of selection/placement method | Type of supervision | | Total |
|---|---|---|---|
| | Summary (Experimentals) | Regular (Controls) | |
| DIRECT PLACEMENTS | | | |
| BE Selection - High/Medium Risk | $E_1 = 120$ | $C_1 = 128$ | 248 |
| BE Selection - Low Risk | $E_2 = 81$ | $C_2 = 71$ | 152 |
| DELAYED PLACEMENTS | | | |
| PA Judgment for Summary | $E_3 = 109$ | $C_3 = 118$ | 227 |
| PA Judgment for Regular | – | $C_4 = 208$ | 208 |
| Total, not including $C_4$ | $(E = 310) + (C = 317) =$ | | 627 |
| Total, including $C_4$ | $(E = 310) + (C = 525) =$ | | 835 |

The parole agents, however, took a longer than planned period before formulating their recommendations. The elapsed period before judgment exceeded the prescribed three month period following release (i.e., 75-105 days). An average of 109 days, or over three and one half months since release, elapsed before the recommendations were made. One-third of the 435 reviews were conducted after the prescribed 105 day period.

The impact of this deviation is shown in Table 47. The longer the elapsed period before the review, the greater was the likelihood of a recommendation against summary supervision. Of the 148 reviews conducted after the pre-designated 105 day period, 41.2% of the judgments were for summary parole placement and a larger 58.8% of the judgments were for continued regular supervision. These findings are logical given that the chances of

TABLE 47

Parole Agent Placement Judgment
by Prior Days on Parole

| Prior days<br><br>on parole | No. and Pct.<br>of total<br>prior days | | No. and Pct. of total<br>parole agent placement<br>judgments | | | |
| --- | --- | --- | --- | --- | --- | --- |
| | | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 |
| 74 or less days | 46 | 10.6 | 26 | 54.5 | 20 | 43.5 |
| 75 - 105 days | 241 | 55.4 | 140 | 58.1 | 101 | 41.9 |
| 106 days or more | 148 | 34.0 | 61 | 41.2 | 87 | 58.8 |
| 106 - 135 days | (75) | | (32) | | (43) | |
| 136 - 165 days | (23) | | (12) | | (11) | |
| 166 or more days | (50) | | (17) | | (33) | |
| Mean | 109.482 | | 103.329 | | 116.105 | |
| SD | 52.915 | | 49.544 | | 55.563 | |

t= 2.526, df= 433, p <.01

parolee's becoming involved in negative activity increases as the parolee's time in the community increases. It also follows that the longer the period prior to recommendation the easier the judgment for the agent. More cases will be "automatically" eliminated from summary parole consideration by some kind of criminal or otherwise negative activity.

In order to examine the basis for the parole agent summary parole judgments, several categories of reasons were developed from the case conference recordings of these decisions. The reasons given for each case were categorized into one of seven types selected for use because of their exhaustiveness (i.e., covered most of the reasons given) and their mutual exclusiveness (i.e., did not overlap with each other). The seven categories are defined in Appendix F. They include reasons referring to the case's:

1. Prior criminal background
2. Alcohol and/or drug abuse
3. Criminal behavior during the initial release period
4. Response of the case to supervision
5. General or overall adjustment
6. Personality characteristics
7. Social adjustment during the initial release period

   a. Employment and/or financial situation
   b. Residential situation
   c. Interpersonal relationships
   d. Educational status
   e. Health status

An analysis of the single and combinations of reasons given for the 435 cases reviewed (Table 48) revealed that the agents generally cited one (26.2%) or two (37.2%) reasons for their summary parole decisions. Table 48 also shows that four of the seven possible reasons were cited more often than others. Agents tended to mention the parolee's (1) criminal behavior in the initial release period, (2) social adjustment (particularly the case's employment status) in the initial release period, (3) the agent's ability to manage the case or the case's response to supervision and (4) the overall general adjustment of the case. In contrast to the remaining three least mentioned types of reasons, agents based their decisions primarily on the adjustment in the early period of release rather than the factors known prior to release such as the criminal record or history of drug abuse.

-138-

TABLE 48

Number and Type of Reasons for Parole Agent
Placement Judgment

| Type within number of reasons for parole agent placement judgment | Percent | Percent of total | Percent of No. of reasons |
|---|---|---|---|
| Total | 435 | 100.0 | |
| One reason | 114 | 26.2 | 100.0 |
| Supervisability | 47 | 10.8 | 41.2 |
| Criminal behavior during initial release period | 31 | 7.1 | 27.2 |
| General adjustment | 13 | 3.0 | 11.4 |
| Social adjustment during initial release period | 10 | 2.3 | 8.8 |
| Other[a] | 13 | 3.0 | 11.4 |
| Two reasons | 162 | 37.2 | 100.0 |
| Criminal behavior and supervisability | 23 | 5.3 | 14.2 |
| Social adjustment and general adjustment | 20 | 4.6 | 12.4 |
| Social adjustment and supervisability | 19 | 4.4 | 11.7 |
| Criminal behavior and social behavior | 14 | 3.2 | 8.6 |
| Criminal behavior and general adjustment | 13 | 3.0 | 8.0 |
| Supervisability and general adjustment | 13 | 3.0 | 8.0 |
| Other combinations of two reasons[a] | 60 | 13.8 | 37.0 |
| Three reasons | 120 | 27.6 | 100.0 |
| Social adjustment supervisability and personal characteristics | 13 | 3.0 | 10.8 |
| Social adjustment supervisability and general adjustment | 12 | 2.8 | 10.0 |
| Other combinations of three reasons[a] | 95 | 21.8 | 79.2 |
| Four or more reasons | 39 | 9.0 | 100.0 |

[a] Reasons, or combinations of reasons, with a frequency of ten or less cases were combined and reported in the "Other" categories.

With no guidelines provided, agents had the discretion to mention or not mention any one of the above seven adjustment areas. Another way of examining the relative importance placed on these seven possible factors is to determine whether the mentioning of any one factor was associated with judgments for as opposed to against summary parole. Tables 49 and 50 test this association by examining the distribution of the judgments for summary or regular in the proportions of cases in which each factor was mentioned or not mentioned. Several statistically significant relationships appeared. The mentioning of the parolees employment/financial situation (66.9% mentioned vs. 46.3% not mentioned), residential situation (77.1% mentioned vs. 50.0% not mentioned), interpersonal relationships (84.4% mentioned vs. 46.6% not mentioned), current educational status (85.0% mentioned vs. 50.6% not mentioned), overall general adjustment (75.4% mentioned vs. 38.2% not mentioned), and personality characteristics (68.8% mentioned vs. 48.6% not mentioned) all increased the likelihood that summary rather than regular parole would be recommended. The mentioning of the parolee's health (41.7% mentioned vs. 52.5% not mentioned), prior criminal background (43.7% mentioned vs. 53.8% not mentioned), and involvement in alcohol or drug abuse (44.2% mentioned vs. 53.7% not mentioned) all decreased the likelihood of a recommendation for summary. Overall the analysis showed that when agents mentioned a social adjustment area in their placement review, the recommendation was generally for summary and when agents mentioned non-social factors the recommendation was generally against summary placement.

Showing even stronger relationships to the final parole agent decision was whether, when a particular adjustment area was mentioned, the agent judged the direction of the adjustment to be "favorable" or "unfavorable". Tables 49 and 50 also show the distribution of the factors judged favorable and unfavorable across the two decisions. Overall the analysis showed that for 80-90% of the cases in which the adjustment area was reviewed as favorable by the parole agent, the agent's final decision was for summary placement. Conversely, 80-90% of the cases for which a particular factor was reviewed as unfavorable, the agent's final decision was for regular placement. These strong relationships held across the 6 types of miscellaneous reasons for judgment shown in Table 50 and the five specific types of early social adjustment reasons shown in Table 49. (Small cell frequencies prevented the application of statistical tests of significance to the favorable vs. unfavorable relationships).

TABLE 49

Parole Agent Placement Judgment
by Type of Social Adjustment
Reason for Judgment

| Type of social adjustment (during initial release period) reason for judgment | No. and pct. of total type of reason | | No. and pct. of total parole agent placement judgments | | | | Statistical significance of difference between mention/not mention |
|---|---|---|---|---|---|---|---|
| | | | Summary | | Regular | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Employment and/or financial situation | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 311 | 71.5 | 144 | 46.3 | 167 | 53.7 | z= 3.894 |
| Mentioned | 124 | 28.5 | 83 | 66.9 | 41 | 33.1 | p <.001 |
| Favorable | (82) | (18.9) | (74) | 90.2 | (8) | 9.8 | |
| Unfavorable | (26) | (6.0) | (3) | 11.5 | (23) | 88.5 | |
| Unknown | (16) | (3.7) | (6) | 37.5 | (10) | 62.5 | |
| Residential situation | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 400 | 92.0 | 200 | 50.0 | 200 | 50.2 | z= 3.079 |
| Mentioned | 35 | 8.0 | 27 | 77.1 | 8 | 22.9 | p <.01 |
| Favorable | (25) | (5.7) | (24) | 96.0 | (1) | 4.0 | |
| Unfavorable | (4) | (0.9) | (0) | 0.0 | (4) | 100.0 | |
| Unknown | (6) | (1.4) | (3) | 50.0 | (3) | 50.0 | |
| Interpersonal relationship | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 371 | 85.3 | 173 | 46.6 | 198 | 53.4 | z= 5.592 |
| Mentioned | 64 | 14.7 | 54 | 84.4 | 10 | 15.6 | p <.001 |
| Favorable | (40) | (9.2) | (39) | 97.5 | (1) | 2.5 | |
| Unfavorable | (5) | (1.1) | (0) | 0.0 | (5) | 100.0 | |
| Unknown | (19) | (4.4) | (15) | 78.9 | (4) | 21.1 | |

## TABLE 49 - continued

### Parole Agent Placement Judgment
### by Type of Social Adjustment
### Reason for Judgment

| Type of social adjustment (during initial release period) reason for judgment | No. and pct. of total type of reason | | No. and pct. of total parole agent placement judgments | | | | Statistical significance of difference between mention/not mention |
|---|---|---|---|---|---|---|---|
| | | | Summary | | Regular | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Educational status | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 415 | 95.4 | 210 | 50.6 | 205 | 49.4 | z= [4.252] |
| Mentioned | 20 | 4.6 | 17 | 85.0 | 3 | 15.0 | p <.001 |
| Favorable | (18) | (4.1) | (16) | 88.9 | (2) | 11.1 | |
| Unfavorable | (0) | (0.0) | (0) | 0.0 | (0) | 0.0 | |
| Unknown | (2) | (0.5) | (1) | 50.0 | (1) | 50.0 | |
| Health status | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 423 | 97.2 | 222 | 52.5 | 201 | 47.5 | z= [1.034] |
| Mentioned | 12 | 2.8 | 5 | 41.7 | 7 | 58.3 | p >.05 |
| Favorable | (2) | (0.5) | (1) | 50.0 | (1) | 50.0 | |
| Unfavorable | (5) | (1.1) | (3) | 60.0 | (2) | 40.0 | |
| Unknown | (5) | (1.1) | (1) | 20.0 | (4) | 80.0 | |

[]= Corrected for continuity due to small cell sizes.

TABLE 50

Parole Agent Placement Judgment
by Type of Miscellaneous Reason for Judgment

| Type of miscellaneous reason for judgment | No. and pct. of total type of reason | | No. and pct. of total parole agent judgment | | | | Statistical significance of difference between mention/not mention |
| | | | Summary | | Regular | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Prior criminal background | 435 | 100.0 | 227 | 52.2. | 208 | 47.8 | |
| Not mentioned | 364 | 83.7 | 196 | 53.8 | 168 | 46.2 | z= 1.559 |
| Mentioned | 71 | 16.3 | 31 | 43.7 | 40 | 56.3 | p >.05 |
| Favorable | (15) | (3.4) | (12) | 80.0 | (3) | 20.0 | |
| Unfavorable | (25) | (5.7) | (0) | 0.0 | (25) | 100.0 | |
| Unknown | (31) | (7.1) | (19) | 61.3 | (12) | 38.7 | |
| Alcohol and drug abuse | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 365 | 83.9 | 196 | 53.7 | 169 | 46.3 | z= 1.656 |
| Mentioned | 70 | 16.1 | 31 | 44.2 | 39 | 55.7 | p <.05 |
| Favorable | (32) | (7.4) | (25) | 78.1 | (7) | 21.9 | |
| Unfavorable | (26) | (6.0) | (2) | 7.7 | (24) | 92.3 | |
| Unknown | (12) | (2.8) | (4) | 33.3 | (8) | 66.7 | |
| Criminal behavior (during initial release period) | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 264 | 60.7 | 135 | 51.1 | 129 | 48.8 | z= 0.612 |
| Mentioned | 171 | 39.3 | 92 | 53.8 | 79 | 46.2 | p >.05 |
| Favorable | (91) | (20.9) | (77) | 84.6 | (14) | 15.4 | |
| Unfavorable | (53) | (12.2) | (2) | 3.8 | (51) | 96.2 | |
| Unknown | (27) | (6.2) | (13) | 48.1 | (14) | 51.9 | |

TABLE 50 - continued

Parole Agent Placement Judgment
by Type of Miscellaneous Reason for Judgment

| Type of miscellaneous reason for judgment | No. and pct. of total type of reason | | No. and pct. of total parole agent judgments | | | | Statistical significance of difference between mention/not mention |
|---|---|---|---|---|---|---|---|
| | | | Summary | | Regular | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Response of case to supervision | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 200 | 46.0 | 104 | 52.0 | 96 | 48.0 | z= 0.062 |
| Mentioned | 235 | 54.0 | 123 | 52.3 | 112 | 47.7 | p >.05 |
| Favorable | (107) | (24.6) | (99) | 92.5 | (8) | 7.5 | |
| Unfavorable | (85) | (19.5) | (5) | 5.9 | (80) | 94.1 | |
| Unknown | (43) | (9.9) | (17) | 39.5 | (26) | 60.5 | |
| General adjustment | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 272 | 62.4 | 104 | 38.2 | 168 | 61.8 | z= 7.515 |
| Mentioned | 163 | 37.5 | 123 | 75.4 | 40 | 24.5 | p <.001 |
| Favorable | (98) | (22.4) | 93 | 94.9 | 5 | 5.1 | |
| Unfavorable | (12) | (2.8) | 0 | 0.0 | 12 | 100.0 | |
| Unknown | (53) | (12.2) | 28 | 52.8 | 25 | 47.2 | |
| Personality characteristics | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 | |
| Not mentioned | 358 | 82.3 | 174 | 48.6 | 184 | 51.4 | z= 3.227 |
| Mentioned | 77 | 17.7 | 53 | 68.8 | 24 | 31.2 | p <.001 |
| Favorable | (43) | (9.9) | (41) | 95.3 | (2) | 4.7 | |
| Unfavorable | (17) | (3.9) | (2) | 11.8 | (15) | 88.2 | |
| Unknown | (17) | (3.9) | (8) | 47.1 | (9) | 52.9 | |

One of the reasons cited earlier for the lack of a valid comparison between the BE method and the parole agent method was the fact that the latter selection method was less a prediction decision and more of a classification decision. This statement was made based on the fact that both were compared on their initial six month outcomes and yet the parole agent decision used here was not made until three and one-half months after release while the BE decision was made prior to release.

A clue to how much the parole agent decision was an automatic classification decision can be gained by determining how many of the 435 cases reviewed had already failed parole, thus making the placement under summary supervision impossible and the parole agent's decision automatic. We can also ask how many of the 435 cases were "so marginally adjusting" at the time of the review that summary parole placement would be unreasonable and the decision semi-automatic. An analysis of the specific kind of unfavorable status which existed under the four, most-often-mentioned, adjustment areas in the average 109 day period prior to the parole agent decision provided some answers.

Table 51 shows a more detailed categorization of the unfavorable reasons cited by agents in the four most often mentioned reasons of (1) criminal behavior in the initial release period, (2) response of the case to supervision, (3) general adjustment and (4) employment/financial situation. It shows that almost one-fourth (24.5%) of the 208 cases judged to continue on regular supervision were either in custody or had criminal arrest or parole board actions pending. Some 14 percent had officially absconded parole supervision or were about to be declared an absconder by the parole agent. Finally, eleven percent were not employed or were dependently supported. The remaining reasons cited for unfavorable adjustments in these four categories were too generally stated to provide any clues as to their exact status.

Together these factors indicate that the current status of "some" (i.e., a sizable proportion although by no means the majority) of the parolees judged for continued regular supervision was such that placement on summary supervision was logically impossible (e.g., cases in custody or absconders could not be placed under reduced supervision) or were so marginally adjusting (e.g., pending parole board actions or those unemployed) that summary parole was not very reasonable. Of course, the above figures represent only a portion of the total 208

## TABLE 51

### Kind of Unfavorable Status for
### Selected Parole Agent Judgment Reasons
### by Parole Agent Placement Judgment

| Kind of unfavorable status for selected P.A. judgment reasons | Parole agent placement judgment | | | |
| --- | --- | --- | --- | --- |
| | Summary | | Regular | |
| | No. | Pct. | No. | Pct. |
| Criminal behavior (during initial release period) | 227 | 100.0 | 208 | 100.0 |
| No criminal activity or not mentioned | 212 | 93.4 | 143 | 68.8 |
| Some criminal activity | 2 | 0.8 | 51 | 24.5 |
| Arrested and charges pending | (1) | (0.4) | 25 | (12.0) |
| Arrested and sentenced | (0) | (0.0) | 1 | (0.5) |
| Currently in custody | (1) | (0.4) | 16 | (7.7) |
| Pending CRB action | (0) | (0.0) | 9 | (4.3) |
| Unknown | 13 | 5.8 | 14 | 6.7 |
| Response of case to supervision | 227 | 100.0 | 208 | 100.0 |
| Responsive and cooperative or not mentioned | 203 | 89.4 | 104 | 50.0 |
| Not responsive | 6 | 2.6 | 79 | 38.0 |
| Requires more supervision | (5) | (2.2) | (48) | (23.1) |
| Evasive, pre-PAL or PAL | (1) | (0.4) | (30) | (14.4) |
| Not cooperative | (0) | (0.0) | (1) | (0.5) |
| Unknown | 18 | 7.9 | 25 | 12.0 |
| General adjustment | 227 | 100.0 | 208 | 100.0 |
| Satisfactory/no problems or not mentioned | 199 | 87.7 | 171 | 82.2 |
| Unsatisfactory | 0 | 0 | 12 | 5.8 |
| Unknown | 28 | 12.3 | 25 | 12.0 |

TABLE 51 - continued

Kind of Unfavorable Status for
Selected Parole Agent Judgment Reasons
by Parole Agent Placement Judgment

| Kind of unfavorable status for selected P.A. judgment reasons | Parole agent placement judgment | | | |
|---|---|---|---|---|
| | Summary | | Regular | |
| | No. | Pct. | No. | Pct. |
| Employment and/or financial status | 227 | 100.0 | 208 | 100.0 |
| Employed, employable, financially secure or not mentioned | 218 | 96.0 | 175 | 84.1 |
| Unsatisfactory employment | 3 | 1.3 | 23 | 11.0 |
| Not employed or unsteady | (2) | (0.9) | (8) | (3.8) |
| Not motivated | (1) | (0.4) | (10) | (4.8) |
| Dependently supported | (0) | (0.0) | (4) | (1.9) |
| No skills | (0) | (0.0) | (1) | (0.5) |
| Unknown | 6 | 2.7 | 10 | 4.8 |

cases judged for continued regular supervision and some
unknown proportion of the cases surely involved adjustment
situations which were likely not as clearcut as those
described above.

A final clue to the basis for the parole agent
judgements can be gained by determining whether the cases
selected for summary parole by the parole agent method
were the "same" cases that would be defined by the Base
Expectancy Scale as low risk. High proportions of BE
defined low risk cases in the group judged by parole
agents as suitable for summary supervision would indicate
that the two methods were similar in the kinds of cases
they selected. Table 52 shows only a weak relationship
between BE identified low risk cases and parole agent
judged-for-summary cases with 61.5% of the BE low risk
cases as compared to 50.1% of the BE high and medium risk
cases placed on summary. This difference of 10 percentage
points was not quite statistically significant.

Thus, while the parole agent process identified for
summary parole "some of the same" cases the BE low risk
method would have selected, the two low risk assessment
methods do not reach very high agreement levels. The
finding that the two methods do not always select the same
cases supports earlier statements that the parole agent
method utilized a decision-making base different than that
used for the BE method. The above analysis showed that
this decision-making base consisted primarily of the
parolee's adjustment in the initial release period rather
than pre-release factors. When the judgment was for
summary, social adjustment factors were generally
mentioned; when the judgment was for regular, non-social
factors formed the the basis for the decision.

Selection Method Validation

Prior research has shown both the parole agent
judgement method (clinical) and the base expectancy method
(actuarial) to be individually valid methods of
identifying subsequent successes and failures on parole.
Validity is used here to mean that each method does better
than chance in predicting successful outcome. However, to
assume validity is not to say that either method is very
successful. Rather when success is defined as the ability
to identify "true positives", (i.e., a predicted
recidivist who does return to criminal activity) the
methods are not very powerful. They do better than chance
but this success is accompanied by a high proportion of
false positives, i.e. predicted recidivists who do not
subsequently return to criminal activity. It is for this
reason that the application of such predictive scales have
reported limited success and application in the field of
corrections.

TABLE 52

Parole Agent Placement Judgment
by Base Expectancy Risk Level

| Base expectancy<br>risk level | No. and Pct.<br>of total<br>levels | | No. and Pct. of total<br>parole agent placement<br>judgments | | | |
|---|---|---|---|---|---|---|
| | | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total | 435 | 100.0 | 227 | 52.2 | 208 | 47.8 |
| High/Medium Risk (Low BE, 00-17) | 357 | 82.1 | 179 | 50.1 | 178 | 49.9 |
| Low risk (High BE, 18-45) | 78 | 17.9 | 48 | 61.5 | 30 | 38.5 |

= 1.827, p >.05

Base expectancy method. The degree to which this study's two selection methods performed better than chance can be tested using the six month and one year follow-up data collected. This test is examined first for the BE method. The arrest and conviction records six and twelve months after release to parole were used as the criterion upon which the method was validated. If the BE 76A Scale is a valid instrument, then one would expect that those cases predicted by the scale to be medium to high risks (low scorers, 00-17) would have a higher proportion of subsequent arrests and convictions than those predicted by the scale to be low risks (high scorers, 18-45).

Table 53, showing the arrest and conviction records by BE level, slightly substantiates this expectation but not to a statistically significant degree. High/medium risk cases experienced a 29.8% arrest rate while the low risk cases experienced a 27.6% arrest rate. The difference is only two percentage points. The difference in the proportions with one or more convictions after six months is a larger four percentage points (21.0% high/medium risk vs. 17.1% low risk). Neither difference was statistically significant,

Table 54 makes the same comparisons except it uses a subsample of the study cases to analyze longer one year outcomes. High to medium risk cases experienced higher arrest (42.0% high/medium risk vs. 30.8% low risk) and conviction rates (27.2% high/medium risk vs. 21.1% low risk) than the low risk cases after a one year follow-up period. However, as with the six month outcomes, these small differences were not statistically significant.

Two explanations for the small observed differences are possible. One is that the BE 76A scale is not valid predictor of subsequent criminal activity while on parole. The other explanation is that a more conclusive validation should await a longer term follow-up period particularly since the BE Scale was originally developed to predict "two year" outcomes. Even if the BE 76A Scale could be shown to predict two year outcomes better than chance its use should be questioned on other statistical grounds not examined here - specifically, the low explanatory power of the scale and the high degree of overprediction associated with its use.

Parole agent judgement method. If the parole agent judgment method is a valid selection method then one would expect that those cases identified as not suitable for

-150-

TABLE 53

Criminal Arrests and Convictions for
Six Month Follow-up by
Base Expectancy Risk Level

| Criminal arrests and convictions | Base expectancy risk level | | | |
| | High/Medium risk Low BE (00-17) | | Low risk High BE (18-45) | |
| | No. | Pct. | No. | Pct. |
| Total, all cases | 248 | 100.0 | 152 | 100.0 |
| Not arrested | 174 | 70.2 | 110 | 72.4 |
| Arrested | 74 | 29.8 | 42 | 27.6 |
| Total, all cases | 248 | 100.0 | 152 | 100.0 |
| Not convicted | 196 | 79.0 | 126 | 82.9 |
| Convicted | 52 | 21.0 | 26 | 17.1 |

Arrests:  z= 0.471, p> .05
Convictions:  z= 0.956, p> .05

## TABLE 54

### Criminal Arrests and Convictions for
### One Year Follow-up of April-June, 1976 Releases by
### Base Expectancy Risk Level

| Criminal arrests and convictions | Base expectancy risk level | | | |
|---|---|---|---|---|
| | High/Medium risk Low BE (00-17) | | Low risk High BE (18-45) | |
| | No. | Pct. | No. | Pct. |
| Total, all cases | 81 | 100.0 | 52 | 100.0 |
| Not arrested | 47 | 58.0 | 36 | 69.2 |
| Arrested | 34 | 42.0 | 16 | 30.8 |
| Total, all cases | 81 | 100.0 | 52 | 100.0 |
| Not convicted | 59 | 72.8 | 41 | 78.9 |
| Convicted | 22 | 27.2 | 11 | 21.1 |

Arrests:  $z=1.301$, $p > .05$
Convictions:  $z=0.794$ , $p > .05$

summary supervision (i.e., high risk type cases) would be associated with a higher proportion of arrests and convictions than cases judged suitable for summary supervision (i.e., low risk type cases).

Ideally to validate the parole agents "predictive" abilities, outcomes "subsequent" to the selection decision should be compared. However, the parole agents did not made their judgments until three to four months following release while six month outcomes for this study were calculated from the day of release to parole. It was not possible to separately analyze a six month "post" selection criminal outcome period.

Therefore, the six month outcomes shown in Table 55 includes the first three to four months observation period used by the parole agent before making the risk judgment. And, as just shown cases who failed (e.g., arrested or returned to custody) or were marginally adjusting in the first few months were likely judged by the parole agent as not suitable for summary supervision. It was therefore expected that a large difference in the six month criminal arrest and conviction record would appear between cases judged suitable and not suitable as the parole agents were aware of many of these arrests and convictions at the time their decision was made.

For this reason the comparisons made in Table 55 and 56 can not be considered a legitimate test of the predictive validity of the agent judgement method. The data is shown only to illustrate the problem. It shows, as expected, that cases judged by the parole agent on a delayed basis as not suitable were associated with a significantly higher proportion of cases arrested (46.6% judged for regular vs. 19.4% judged for summary) and a higher proportion of cases convicted (30.8% judged for regular vs. 9.3% judged for summary). In other words, rarely was a case who had been arrested within the first six months judged suitable for summary supervision three to four months after release; and even rarer yet was a case who had been convicted ever judged suitable for summary supervision. Large, statistically significant differences in outcome between cases judged suitable and not suitable for summary supervision were also found when the same comaprisons are based on the longer one year outcomes of a subsample of the study cases (see Table 56).

These findings can be interpreted to support the delayed parole agent judgment method as an effective "classification" system but, because of the "delayed"

TABLE 55

Criminal Arrests and Convictions for
Six Month Follow-up by
Delayed Parole Agent Risk Judgment

| Criminal arrests and convictions | Delayed PA risk judgment for | | | |
| --- | --- | --- | --- | --- |
| | Summary | | Regular | |
| | No. | Pct. | No. | Pct. |
| Total, all cases | 227 | 100.0 | 208 | 100.0 |
| Not arrested | 183 | 80.6 | 111 | 53.4 |
| Arrested | 44 | 19.4 | 97 | 46.6 |
| Total, all cases | 227 | 100.0 | 208 | 100.0 |
| Not convicted | 206 | 90.7 | 144 | 69.2 |
| Convicted | 21 | 9.3 | 64 | 30.8 |

Arrests:   z= 6.067, p <.001
Convictions:   z= 5.643, p <.001

TABLE 56

Criminal Arrests and Convictions for
One Year Follow-up of April-June, 1976 Releases by
Delayed Parole Agent Risk Judgment

| Criminal arrests and convictions | Delayed PA risk judgment for | | | |
| --- | --- | --- | --- | --- |
| | Summary | | Regular | |
| | No. | Pct. | No. | Pct. |
| Total, all cases | 84 | 100.0 | 64 | 100.0 |
| Not arrested | 56 | 66.7 | 23 | 35.9 |
| Arrested | 28 | 33.3 | 41 | 64.1 |
| Total, all cases | 84 | 100.0 | 64 | 100.0 |
| Not convicted | 67 | 79.8 | 35 | 54.7 |
| Convicted | 17 | 20.2 | 29 | 45.3 |

Arrests:   z= 3.724, p < .001
Convictions: z= 3.272, p < .001

period before the judgement was made, these findings should <u>not</u> be interpreted as evidence to support the methods ability to accurately "predict" outcomes. A more appropriate test of the predictive ability of the two methods would necessitate that the decisions be made at the same point in time. To do this either agent judgements would have to be made prior to release (like the BE) or the BE would weigh the initial release period information in its calculation (like the agent judgement method). And, of course, it would be necessary to compare the two methods on identical periods of post-selection outcome.

In addition, the basic assumption upon which the delayed parole agent judgement method was designed needs to be examined. The primary purpose behind the "delayed" period before the judgements were made was to allow offender behavior in the community during the initial release period to be assessed. The method assumes that this late, community adjustment information would improve predictiveness. There is little information available which supports this assumption and two recent studies have refuted it. One study has concluded that the improved efficiency associated with the late information may not be worth the small improvement in predictive ability (Waller, 1974). Also, it has been argued that information gained by the delay may predict the same outcomes available via earlier methods and may therefore be duplicative (Von Hirsch, 1978). Clearly, the predictive advantage associated with decisions based on <u>pre</u>-release as opposed to <u>post</u> release information has yet to be adequately assessed. Such a test would apply to an actuarial method as well as the clinical method in which the post-release information was used here. Thus, in addition to the need for a better designed test of actuarial versus clinical methods of combining information to make a prediction, a test of the predictive efficiency associated with using pre-release as opposed to post-release information in the prediction is called for. Unfortunately, the design of the methods used in this study prevents an adequate test of either question.

<u>Be Versus Delayed P.A. Selection</u>

To reiterate briefly, it was hoped that this project could provide some findings as to the <u>comparative</u> effectiveness of the Base Expectancy Scale as an "actuarial method of prediction" and the Parole Agent Judgments as a "clinical method of prediction". However, as described in the introductory chapter of this report, the design of the two methods did not permit a valid test of this question. Specifically (1) the selections under each method were made at different points in time on different sets of data and (2) the two methods could not be evaluated on the same period of post selection criminal activity.

It was expected at the onset that the parole agent method would have significantly lower six and twelve month outcome rates than the BE method. This expectation is

based on the simple fact that the agent had knowledge
of the cases who failed in the first three to four
months prior to their judgment while the BE selections
were made before release and without knowledge of this
initial post-release activity.

Six month outcome. Three different measures of
return to criminal activity in the first six months
illustrate these expected differences. Table 57 shows
the arrest and conviction records for cases selected
for summary supervision via the two methods. The
delayed parole agent selections were associated with a
lower proportion of cases arrested (15.6% P.A. vs.
25.9% BE) and a lower proportion of cases convicted
(7.3% P.A. vs. 18.5% BE). Table 58 shows a lower
proportion of cases with unfavorable "most serious
dispositions" for the delayed parole agent method (6.4%
P.A. vs. 14.8% BE) and Table 59 shows a larger average
period of custody-free months for the delayed parole
agent method (5.91 months P.A. vs. 5.61 months BE).
These differences were statistically significant or
almost significant.

One year outcome. Tables 60 - 62 shows the same
comparisons but for a longer one year outcome period
and based on only a subset of the sample (i.e., April-
June 1976 releases). The delayed parole agent
selections were associated with a slightly lower
proportion of cases arrested (28.6% PA vs. 29.6% BE), a
lower proportion of cases convicted (11.9% PA vs. 22.2%
BE), a lower proportion of cases with an "unfavorable"
most serious disposition (9.5% PA vs. 14.8% BE), and an
approximately equal average period of custody-free
months in the community (11.56 PA vs. 11.42 BE). None
of these differences were statistically significant.

Together these findings show that the follow-up
differences expected by the built-in advantage of the
delayed parole agent method did appear in subsequent
outcomes. However, the lack of statistically
significant differences in the longer one year outcomes
may indicate that this advantage decreases with time.
That is, the more removed that the outcome period gets
from the decision period the less likely is the delayed
PA method to show a criminal outcome which is superior
to the BE method. Most importantly, the reader should
not interpret these results to show that one method of
selection was more effective than another in selecting
cases. The differences between the two methods were
too critical to make the above comparisons valid. All
that can be determined at this point is that:

TABLE 57

Criminal Arrests and Convictions for Six Month Follow-up of Summary Parolees
by Direct/Delayed Placement Methods and Base Expectancy/Parole Agent
Low Risk Assessment Methods

| Criminal arrests and convictions | Direct placement | | | | | | Delayed placement, parole agent judgment | |
|---|---|---|---|---|---|---|---|---|
| | Sub-total | | High/Medium risk Low BE (00-17) | | Low risk High BE (18-45) | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 201 | 100.0 | 120 | 100.0 | 81 | 100.0 | 109 | 100.0 |
| Not arrested | 145 | 72.1 | 85 | 70.8 | 60 | 74.1 | 92 | 84.4 |
| Arrested | 56 | 27.9 | 35 | 29.2 | 21 | 25.9 | 17 | 15.6 |
| Total, all cases | 201 | 100.0 | 120 | 100.0 | 81 | 100.0 | 109 | 100.0 |
| Not convicted | 159 | 79.1 | 93 | 77.5 | 66 | 81.5 | 101 | 92.7 |
| Convicted | 42 | 20.9 | 27 | 22.5 | 15 | 18.5 | 8 | 7.3 |

| Measure | Direct vs. Delayed | High BE vs. PA judgment |
|---|---|---|
| Arrests | z= 2.440, p <.01 | z= 1.758, p >.05 |
| Convictions | z= 3.112, p <.001 | z= 2.343, p <.05 |

TABLE 58

Most Serious Disposition for Six Month Follow-up of Summary Parolees
by Direct/Delayed Placement Methods and Base Expectancy/Parole Agent
Low Risk Assessment Methods

| Most serious disposition | Direct placement | | | | | | Delayed placement parole agent judgment | |
|---|---|---|---|---|---|---|---|---|
| | Sub-total | | High/Medium risk Low BE (00-17) | | Low risk High BE (18-45) | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 201 | 100.0 | 120 | 100.0 | 81 | 100.0 | 109 | 100.0 |
| Favorable | 166 | 82.6 | 97 | 80.8 | 69 | 85.2 | 102 | 93.6 |
| Clean | (143) | | (83) | | (60) | | (91) | |
| Other favorable | (23) | | (14) | | (9) | | (11) | |
| Unfavorable | 35 | 17.4 | 23 | 19.2 | 12 | 14.8 | 7 | 6.4 |
| Pending/unknown | (6) | | (5) | | (1) | | (2) | |
| Miscellaneous unfavorable | (6) | | (3) | | (3) | | (1) | |
| Return to prison Board ordered | (5) | | (4) | | (1) | | (3) | |
| Court ordered | (18) | | (11) | | (7) | | (1) | |

Direct vs. Delayed: z= 2.635, p <.01
BE vs. PA: z= 1.913, p >.05

TABLE 59

Custody-Free Months for Six Month Follow-up of Summary Parolees
by Direct/Delayed Placement Methods and Base Expectancy/Parole Agent
Low Risk Assessment Methods

| Custody-free months | Direct placement | | | Delayed placement, parole agent judgment |
|---|---|---|---|---|
| | Sub-total | High/Medium risk Low BE (00-17) | Low risk High BE (18-45) | |
| Mean | 5.541 | 5.491 | 5.612 | 5.909 |
| N | (196) | (116)[a/] | (80)[b/] | (109) |
| SD | 1.201 | 1.276 | 1.078 | 0.417 |

a/ Excludes four cases for whom custody-free time was unknown.
b/ Excludes one case for whom custody-free time was unknown.

Direct vs. Delayed:  t= 3.103, df= 303, p <.01
High BE vs. PA judgment:  t= 2.614, df= 187, p <.01

TABLE 60

Criminal Arrests and Convictions for One Year Follow-up of Summary Parolees Released April-June, 1976
By Direct/Delayed Placement Methods and Base Expectancy/Parole Agent
Low Risk Assessment Methods

| Criminal arrests and convictions | Direct placement | | | | | | Delayed placement parole agent judgment | |
|---|---|---|---|---|---|---|---|---|
| | Sub-total | | High/Medium risk Low BE (00-17) | | Low risk High BE (18-45) | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 74 | 100.0 | 47 | 100.0 | 27 | 100.0 | 42 | 100.0 |
| Not arrested | 49 | 66.2 | 30 | 63.8 | 19 | 70.4 | 30 | 71.4 |
| Arrested | 25 | 33.9 | 17 | 36.2 | 8 | 29.6 | 12 | 28.6 |
| Total, all cases | 74 | 100.0 | 47 | 100.0 | 27 | 100.0 | 42 | 100.0 |
| Not convicted | 57 | 77.0 | 36 | 76.6 | 21 | 77.8 | 37 | 88.1 |
| Convicted | 17 | 23.0 | 11 | 23.4 | 6 | 22.2 | 5 | 11.9 |

| Measure | Direct vs. Delayed | High BE vs. PA judgment |
|---|---|---|
| Arrests | z= 0.578, p > .05 | z=[0.126], p > .05 |
| Convictions | z= [2.071], p < .05 | z=[1.614], p > .05 |

[]= Corrected for continuity

TABLE 61

Most Serious Disposition for One Year Follow-up of Summary Parolees Released April-June,1976
by Direct/Delayed Placement Methods and Base Expectancy/Parole Agent
Low Risk Assessment Methods

| Most serious disposition | Direct placement | | | | | | Delayed placement, parole agent judgment | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| | Sub-total | | High/Medium risk Low BE (00-17) | | Low risk High BE (18-45) | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 74 | 100.0 | 47 | 100.0 | 27 | 100.0 | 42 | 100.0 |
| Favorable | 56 | 75.7 | 33 | 70.2 | 23 | 85.2 | 38 | 90.5 |
| Clean | (48) | | (29) | | (19) | | (30) | |
| Other favorable | (8) | | (4) | | (4) | | (8) | |
| Unfavorable | 18 | 24.3 | 14 | 29.8 | 4 | 14.8 | 4 | 9.5 |
| Pending/unknown | (5) | | (4) | | (1) | | (1) | |
| Miscellaneous unfavorable | (2) | | (1) | | (1) | | (1) | |
| Return to prison | | | | | | | | |
| Board ordered | (4) | | (3) | | (1) | | (2) | |
| Court ordered | (7) | | (6) | | (1) | | (0) | |

Direct vs. Delayed:  z= [2.761], p < .05
BE vs. PA: z= [0.950], p > .05

[]=Corrected for continuity

TABLE 62

Custody-Free Months for One Year Follow-up of Summary Parolees Released April-June, 1976
by Direct/Delayed Placement Methods and Base Expectancy/Parole Agent
Low Risk Assessment Methods

| Custody-free months | Direct placement | | | Delayed placement, parole agent judgment |
|---|---|---|---|---|
| | Sub-total | High/Medium risk Low BE (00-17) | Low risk High BE (18-45) | |
| Mean | 11.000 | 10.756 | 11.423 | 11.561 |
| N | (71) | (45)[a/] | (26)[b/] | (41)[c/] |
| SD | | 2.885 | 1.701 | 1.598 |

a/ Excludes two cases for whom custody-free time was unknown.
b/ Excludes one case for whom custody-free time was unknown.
c/ Excludes one case for whom custody-free time was unknown.

Direct vs. Delayed:  t=1.281, df=110, p   .05
High BE vs. PA judgment: t=0.336, df=65, p   .05

1. The parole agent method's ability to predict subsequent outcomes could not be measured with the follow-up data system available.

2. The BE method's ability to predict outcome was not supported by the findings and its effectiveness remains questionable on this and other statistical grounds.

3. The "comparative" effectiveness of these two methods is unknown and awaits better designed tests.

To test the comparative effectiveness of the two methods in selecting cases for summary supervision more adequately, at least one of three modifications to the two methods used in this project should be made. They are:

1. Parole agent judgments as to suitability for summary supervision should be made prior to release.

or

2. The base expectancy score calculation should be delayed in order to include in its weighing the first three to four months of community adjustment in addition to prior background factors to predict risk.

or

3. A follow-up data collection system should be devised where equivalent post-se⸱⸱tion behavior can be separately analyzed for each method

## Direct Versus Delayed Placement

Not only were two different selection methods built into the design of this project but two different placement methods were included. A group of cases was placed directly onto summary supervision (Groups $E_1 + E_2$) and the parole agent judgment method represented a group placed on a delayed basis (Group $E_3$).

This comparison is similar to the BE vs. PA comparisons discussed in the preceding section except that it combines the BE low risks (Group $E_2$) with the BE high to medium risks (Group $E_1$) to form a mix of risk level cases placed under summary supervision "directly" at release. This directly placed group is then compared to the group placed on a delayed basis, three to four months after release and after parole agent screening. The same set of six month and one year outcome tables used in the

preceding section are analyzed here, this time comparing the column labeled "Direct placements sub-total" to the column labeled "Delayed P.A. judgement". This set of comparisons determines the extent of lower criminal activity expected for delayed placements made three to four months after release and after parole agent screening as opposed to direct placements made immediately at release with no screening.

It should be noted at the onset of this analysis that comparison of these two methods suffers from the same critical differences noted above between the BE and agent judgment low risk assessment methods. That is, the delayed method would be expected to show more favorable subsequent outcomes because those who had failed (or were about to fail) in the first four months of the six month follow-up period are not placed onto summary supervision.

Six month outcome. Tables 57 - 59 confirm this expectation by showing that a delayed placement method is associated with a lower proportion of arrests (15.6% delayed vs. 27.9% direct), a lower proportion of convictions (7.3% delayed vs. 20.9% direct), a lower proportion of unfavorable most serious dispositions (6.4% delayed vs. 17.4% direct), and a higher mean period of custody free months in the community (5.91 delayed vs. 5.54 direct) six months following release. All of these differences were statistically significant.

One year outcome. Tables 60 - 62 showing one year outcome data also confirms our expectations but to a lesser degree. The delayed placement method was associated with a lower proportion of arrests (28.6% delayed vs. 33.9% direct), a lower proportion of convictions (11.9% delayed vs. 23.0% direct), a lower proportion of unfavorable most serious dispositions (9.5% delayed vs. 24.3% direct), and a higher mean period of custody-free months in the community (11.56 months delayed vs. 11.00 months direct). Only the differences in the conviction record and in the most serious disposition received were statistically significant.

Together these six and twelve month outcome findings show that waiting three to four months before placement onto summary supervision is associated with a lower rate of return to criminal activity than a direct placement. To have used the delayed rather than the direct method would have resulted in fewer early failures being placed under summary supervision. Exactly how many can be estimated.

Using the proportion of cases with unfavorable most serious six month dispositions as the recidivism criterion, the delayed placement screening rate (i.e., the proportion recommended for summary supervision) and the delayed placement recidivism rate are multiplied times the number of cases directly placed onto summary parole (.52 delayed screening rate x .064 delayed recidivism rate x 201 direct cases = 6.68 cases). This shows that an estimated seven cases would have failed under summary in the first six months if the delayed placement method had been used for the 201 directly placed summary cases. In actuality the direct method experienced a failure rate of 35 cases in the first six months (see Table 44) for a difference of 28 cases or eighty percent.

It should also be remembered that application of the delayed method could also involve some degree of overprediction. This is likely since the method would have to reject 97 cases for summary supervision (48% rejection rate x 201 directly placed summary cases) in order to not place on summary supervision the 28 cases (or eighty percent of failing cases) that would have been so placed if the direct method had been used.

Furthermore, adopting a delayed placement method only would assume that it is more effective to have these early failures under regular supervision than under summary supervision. The outcomes for cases placed "directly" onto summary and regular supervision do not support this assumption. On the contrary, they show that it makes no difference in subsequent six (see Table 19-26, A series, Chapter V) or twelve month (see Tables 37-43, A series, Chapter VI) criminal outcomes whether these directly placed cases are under summary or under regular supervision. They fail in the early months in about equal proportions whether they are under summary or under regular supervision.

Chapter Summary. Support for the individual predictive ability of the two low risk assessment methods examined here was not found. The Base Expectancy Scale was found to be of questionable validity when no large statistically significant six or twelve month outcome differences were found between the two BE risk groups. For the second kind of assessment, the delayed parole agent judgement method, a valid test of post selection outcomes could not be made with the data system available thus preventing any conclusions from being reached.

Crucial differences between these two selection
methods also prevented any conclusions from being reached
regarding their comparative effectiveness in identifying
cases for summary supervision least likely to return to
criminal activity. Thus the secondary objective of this
project could not be reached.

A discussion of the relative recidivism rates
associated with placing cases directly (i.e., no screening
beyond the initial exclusionary process) versus placing
cases on a delayed basis after parole agent screening
showed that the delayed placement was associated with a
lower rate of recidivism. It was estimated that using the
delayed method in place of the direct method would reduce
the number of early parole failures placed onto summary
parole by approximately eighty percent. However, earlier
findings on the outcomes for the directly placed cases
demonstrated that whether you have the early failures
under regular or under summary supervision does not make a
difference in subsequent criminal activity levels.

# CHAPTER VIII

## SUMMARY, CONCLUSIONS, AND IMPLICATIONS

### Summary

Interest in testing a reduced supervision model generated from at least two identifiable sources. First, prior research had indicated the effectiveness of less supervision for selected inmates released from prison. Second, administrative directives were established to examine the function of parole and propose some changes of policy for the future. This led the Department of Corrections initially to propose a test of several parole models including a direct discharge model in a single experimental design. Failure to receive appropriate approvals for this particular multi-model design led the parole division of the California Department of Corrections to propose a test of a single model of reduced supervision.

This model, called Summary Parole, was designed to test whether selected male felon inmates could be released from prison under a reduced level of supervision without any greater risk to the community than that existing under traditional supervision. The direct implication of such a test was that less supervision could be delivered and manpower savings could be realized without increased risk to the public's safety.

To test this question, 627 selected male felon inmates released from prison between April 1, 1976 and December 31, 1976 were randomly assigned either directly at release or on a delayed basis three to four months after release, to receive either summary supervision or regular supervision. Excluded from participation in this experimentally designed test were 62% of those inmates normally released to parole supervision in California including inmates committed for Murder 1st or a sex offense and inmates scheduled to be released to parole with certain special conditions.

Thus, two groups were created - an experimental group of 310 cases to receive a summary form of supervision and a control group of 317 cases to receive regular supervision. The two groups were compared on a set of background characteristics as a check on the randomization procedures, and no differences were found.

Checks of the representativeness of the study cohort to the 38% of the population of releases from which it was drawn were also made. These checks provided assureness that two specific design limitations of this study did not further restrict the generalizeableness of its' findings. First a residual group accidentally ommitted from processing for the study was compared to the study cohort on a set of background characteristics known to be associated with successful outcomes on parole. As the two groups were found to represent similar mixes of these characteristics it was concluded that the ommission of the residual group did not effect representativeness. Second, outcome differences between the two supervision types were examined "within each of two predicted risk levels". The purpose of this second examination was to determine whether the application of random sampling procedures which were "disproportionately" stratified on two Base Expectancy 76A Scale levels (to measure secondary study objectives) altered the findings. As there was no difference in outcomes between experimentals and controls within risk level groups, conclusions that the disproportionate composition of risk level groups in the study sample did not alter the findings were drawn. Both checks offered further assurity that the study's findings could be generalized to the 38% of the population of releases it sampled from.

Summary supervision differed from regular supervision by the fact that routine contacts were waived under the reduced supervision model. Parole agents were to initiate contacts only if return to criminal activity was known or suspected, and services were to be provided only if requested by the parolee. An analysis of the contacts occurring between experimentals and controls for a sample of study cases indicated summary supervision involved an approximately fifty percent reduction in the median number of contacts between agents and parolees over a six month period. Cases under summary supervision experienced a median of five contacts over a six month period on parole while cases under regular supervision experienced a median of ten contacts over a six month parole period. The specific difference was in the reduction of face-to-face contacts initiated by the parole agent to check-up on the case's status. There was

no difference between the two supervision types in the contacts by law enforcement to notify the agent of an arrest or violation or in the contacts to provide a service. And there was some difference in the occurrences of contacts by non-law enforcement individuals to notify the agent of violations and contacts to process a case after an arrest -- both indicative of the increased likelihood of administrative parole revocation processing under regular supervision.

Once it was established that cases under summary supervision did indeed experience significantly less supervision than cases under regular supervision, the two groups were compared on their outcomes using several measures of both the frequency and severity of known criminal activity. Follow-up data for a six month period was collected for all 627 study cases. Follow-up data for a longer, more reliable one year period was collected for one-third of the study population for whom sufficient follow-up time had elapsed (those released in the first of the three study period quarters).

Overall the study found no large and significant differences between the two supervision types on all of the various measures of frequency and severity of known criminal activity applied after six and twelve months in the community. Some differences were found between the two supervision types indicating a possibly more serious degree of activity for cases under summary supervision after a one year period, but these findings were based on very small cell sizes. The specific outcome findings comparing cases under summary supervision to cases under regular supervision after six months and after one year included:

Six month follow-up

1.  There were no large differences between the supervision types on their subsequent arrest and conviction records or in the frequency with which these incidents occurred.

    a.  Approximately similar proportions of cases experienced one or more criminal arrests (23.6% summary vs. 27.4% regular) and one or more convictions (16.1% summary vs. 15.5% regular).

    b.  Cases under summary and regular supervision experienced the same mean number of arrests

per individual arrested (1.44 summary vs. 1.35 regular) and the same mean number of convictions per individual convicted (1.18 summary vs. 1.16 regular). Rarely was any case arrested or convicted more than once in the first six months, whether under summary or under regular supervision.

2.  The two supervision models differed slightly in the <u>type of criminal offenses</u> subsequently arrested on but not in offense <u>seriousness</u>.

    a.  A higher proportion of the total arrest incidents for summary parolees involved person type offenses (19.0 summary vs. 13.7 regular) and property type offenses (36.2 summary vs. 30.8 regular) but summary parolees had a lower proportion of misdemeanors arrests (2?.6% summary vs. 33.3% regular). These small differences were not statistically significant at the .05 level.

    b.  Application of the Sellin - Wolfgang Offense Severity Scale to these criminal incidents yielded even smaller differences in the seriousness of the incidents committed under each mode of supervison. The average severity score per case arrested (2.75 summary vs. 2.36 regular) and per case convicted (2.43 summary vs. 2.37 regular) did not differ significantly between the supervision types.

3.  The mix of <u>dispositions</u> received for the various criminal and technical violation incidents committed by the two supervision types differed in type but not in seriousness.

    a.  Cases under summary supervision experienced a higher proportion of dispositions of a new commitment to prison (17.1% summary vs. 8.4 regular) but a lower proportion of technical violations and administrative returns to prison (15.4% summary vs. 21.7% regular) than cases under regular supervision. However, when taken together this inverse relationship between court ordered and board ordered returns to prison resulted in about equal proportions of total return to prison dispositions (32.5% summary vs. 30.1% regular).

b. Cases under summary supervision experienced fewer technical violations particularly for absconding from supervision. This difference was expected as summary parolees were seen less by their parole agents and the agents were less exposed to possibly negative activities.

c. There was almost no difference between the supervision types in the proportions whose "most serious" dispositions were unfavorable types (13.5% summary vs. 12.0% regular).

4. Cases under summary supervision experienced about the same amounts of custody-free time in the community in the six month follow-up period as cases under regular supervision (5.67 months summary vs. 5.77 months regular).

The above six month follow-up findings were based on all 627 cases randomly placed onto summary or regular supervision. These comparisons involved a mixture of cases both directly placed at release and cases placed on a delayed basis three to four months after release.

Outcomes between experimentals and controls were also compared for the direct only placement subsample (N= 400 cases) on the same set of four measures described above. The analysis produced a similar set of findings. That is, there were small differences in the types of offenses arrested on and in the type of return-to-prison disposition received (board or court ordered) but none or only very small differences in the arrest and conviction records, offense severity scores, most serious disposition received and custody-free time in the community. For the direct placement subsample, summary supervision was not associated with a different frequency or severity of known criminal activity after six months in the community.

One year follow-up

1. Cases under summary supervision experienced a lower arrest (31.9% summary vs. 40.6% regular) and lower conviction rate (19.0% summary vs. 27.7% regular) than cases under regular supervision. These differences, however, were not statistically significant.

-172-

2. Some differences between the supervision types were found on the <u>type of offense</u> arrested on and in the Sellin - Wolfgang <u>seriousness</u> scores for those cases arrested and convicted. However, these findings were based on extremely small sample sizes and on scores not normally distributed for the cases analyzed. For this reason they were not considered to reflect real differences in severity of criminal activity between the two supervision types.

3. Several differences in the mix of <u>dispositions</u> received for the total criminal and technical violation incidents were found but there was no difference in the overall most serious disposition received between the supervision types.

    a. The several differences in the kinds of dispositions received for the two supervision types did not present a clear picture; and since most were based on extremely small N's, no conclusions were reached.

    b. The proportion of cases under summary supervision experiencing an unfavorable most serious disposition after one year equaled the proportion of cases with an unfavorable most serious disposition after one year on regular supervision (19.0% summary vs. 19.8% regular).

4. Summary parole was not associated with a significantly different average amount of <u>custody-free</u> time in the community after one year than existed under regular supervision (11.21 months summary vs. 10.94 months regular).

More and larger differences between the supervision types (showing lower recidivism rates but a higher seriousness rating for cases under summary supervision) were discovered for the longer one year follow-up than found in the six month follow-up. However, most of the discovered differences in this subsample analysis were based on small cell sizes. When the measure involved larger cell sizes no differences or differences favoring summary supervision appeared. Therefore, it was concluded that summary supervision was not associated with a higher level of criminal activity after one year than existed on regular supervision.

The same one year follow-up analysis discussed above for the mixture of direct and delayed placement cases (N= 217) was also conducted on the direct only placement cases (N= 133) to determine whether this more liberal placement policy for summary supervision was associated with a different criminal activity level. The analysis was also plagued with the problems of small cell sizes. However, for those measures with ample cell sizes no large differences between supervision types were discovered.

To test various selection and placement methods, the experimentals and controls were subdivided into (1) a group directly placed at release and (2) a group placed on a delayed basis three to four months after release using a parole agent's judgment of suitability for summary supervision. The directly placed group was further dichotomized according to whether the Base Expectancy 76A Scale (an actuarial predictive scale of two year successful outcome) predicted (based on prior criminal and demographic history factors) the case to be a low risk or a medium to high risk.

The original objective of these subgroupings was to determine which of two selection methods, the actuarial BE 76A scale or the more clinically based parole agent judgment method, presented the least risk to the community. However crucial differences between the two methods did not permit a valid comparison to be made and no conclusions were reached regarding their comparative effectiveness. These crucial differences included the fact that (1) the selections under the two methods were made at different points in time and on different sets of data, and (2) equivalent post selection criminal activity measures were not available for each method. Better future tests of the question using comparable selection techniques were proposed.

In the place of these comparisons, an analysis was conducted to test the individual (not comparative) validity of these two selection methods. Also, an analysis was conducted to determine the extent of the expected lower recidivism rate experienced after six and twelve months for delayed (where early failures are screened out) as opposed to direct placements (no screening beyond the 62% excluded at the study's onset) onto summary supervision. The following findings were reached.

## Selection and placement methods

1. a. The Base Expectancy 76A Scale by design
   identified 38% of the directly released cases as
   low (i.e., least likely to fail on parole),
   rather than high to medium, risk types.

   b. When the validity of this scale in successfully
   identifying those cases who succeed on parole was
   tested, only small non-significant differences
   six months (e.g., 21.0% high/medium vs. 17.1% low
   risk with one or more convictions) and one year
   (e.g., 27.2% high/medium vs. 21.1% low risk with
   one or more convictions) after release were
   discovered. A more conclusive examination of the
   validity of the BE 76A Scale in this situation
   should await longer term follow-up periods
   similar to that for which it was originally
   designed to predict. In addition, the BE 76A
   scale should be examined on other statistical
   grounds including the low explanatory power and
   the considerable degree of overprediction
   generally associated with the use of such scales.

2. a. The parole agent judgment method identified 52%
   as suitable for summary supervision indicating a
   substantial willingness on the part of parole
   agents to place cases under summary supervision.

   b. The primary basis for the parole agent judgements
   was the "initial" criminal and social adjustment
   of the parolee during the first three to four
   months under regular supervision. Furthermore,
   when the parolee's social as opposed to non-
   social adjustment during the initial release
   period was mentioned, the agents judgment was
   generally for summary rather than regular
   supervision.

   c. Evidence that a proportion of the cases had
   already failed parole (e.g., arrested, convicted,
   absconded parole) at the time the judgment was
   made indicated that the agents' decision was
   sometimes automatic rather than judgemental and
   predictive.

   d. The fact that the follow-up data system used in
   this project was calculated from the day of
   release to parole rather than the day of the
   agents' judgement prevented the analysis of post-
   decision outcomes. Therefore, no conclusions were

reached regarding the ability of parole agents to successfuly predict outcomes subsequent to their decision. It was also suggested that the basic assumption behind the delayed parole agent judgement method be tested. That is, it has not been adequately assessed whether the availability of early community adjustment information substantially improves predictive ability beyond that existing for earlier predictions based on information known prior to release.

3. Based on its ability to remove early failures from placement onto summary supervision, the delayed as opposed to direct placement method was associated with a lower rate of return to criminal activity after six (e.g., 20.9% direct vs. 7.3% delayed with one or more convictions) and twelve months (e.g., 23.0% direct vs. 11.9% delayed with one or more conviction). However, findings for the direct placement subset of cases also showed that it makes no difference in subsequent criminal activity levels whether those directly placed cases are under regular or summary supervision. Thus, the possible early failure cases existing in a direct placement group could just as well be placed under summary as regular supervision without any change in return to criminality levels.

## Conclusions

Based on the above findings the following conclusions and suggestions are made:

1. A reduced level of supervision can be implemented for the 38% of the population of releases to parole addressed by this project.

   This conclusion was substantiated by the lack of large statistically significant differences in the frequency and severity of subsequent criminal activity between cases placed on both a direct and delayed basis under regular and under summary supervision after six month and one year follow-up periods.

2. Delayed, as opposed to direct, placement methods will reduce the number of early parole failures placed under summary supervision. However (a) as it makes no difference in subsequent criminal

-176-

activity levels whether the early failures are under regular or under summary supervision and (b) as direct placements are associated with a greater cost savings than the delayed method, the exclusive use of direct methods (rather than the combined direct plus delayed methods tested here) should be considered.

This conclusion was substantiated by the lack of large statistically significant differences in the frequency and severity of subsequent criminal activity between cases under summary and under regular supervision for a random group of cases placed exclusively on a direct basis.

3. The five exclusionary categories imposed apriori to the study which removed 62% of the release population from participation in the project should be evaluated for possible inclusion in this model.

The feasibility of such an examination was suggested by the analysis of outcomes associated with each of the five individual exclusionary categories of cases. The analysis showed a lower recidivism rate for some of the exclusionary categories than existed overall for the selected group.

4. If a delayed placement method based on agent judgement is used, consider standardizing the process to limit the possibility of disparate decision-making by establishing an explicit set of decision-making guidelines which can be monitored.

No formal guidelines were established in this project for agents to use in making judgements for summary parole. However an analysis of the reasons cited by agents for their final judgements indicated that an implicit set existed.

This study's findings can be considered more conclusive than the findings of prior related studies of reduced supervision and "no supervision" models because this study:

a. tested a model representing an even further reduced level of supervision than tested before

b. focused on the level of supervision actually delivered rather than on the caseload size in which the supervision is encased

c.  examined the question using ample sample sizes (i.e., 300 experimentals and 300 controls)

d.  examined a population representing a wider range of risk level groups released to parole(rather than just a small sample of low risk type cases only)

e.  used an experimental design rather than non-experimental design, thus ruling out differences due to selection and background factors

f.  was tested on a statewide basis rather than in a limited geographic region.

There were also at least two limitations to the findings available from this report:

a.  the longer twelve month outcome data was reported for only a subset of the total study sample.

b.  the analysis examined only subsequent criminal activity outcomes. Outcomes of the two groups on subsequent "social adjustment" factors such as employment are unknown.

Despite these two limitations, it is safe to conclude that this study's design was an improvement over prior research efforts, thus permitting some stronger and clearer conclusions to be derived.

Implications

The direct implications of a model such as summary supervision is that it produces savings without increasing risk to the community. Reducing the total number of contacts by one-half for selected releasees can free considerable parole agent manpower resources. The exact amount of savings is not estimated at this time, but it is assumed that summary supervision would cost less than regular supervision on the basis that significantly fewer contacts occur under summary parole.

This study also has implications for other jurisdictions. Most states release the majority of inmates from prison to parole supervision. These parole systems generally have policies establishing a limited range of supervision levels. More specifically, most

jurisdictions operate supervision policies where routine check-up contacts are required for almost all releases. This study has demonstrated that such narrow-ranged supervision policies may not be necessary and that resources may be safely freed in these jurisdictions by implementing such a model as summary parole for selected parolees.

Finally this study poses some important questions regarding overall parole effectiveness. This study has demonstrated with its preliminary findings that the routine contacts which have accounted for half of the parole supervision activities had no impact on the subsequent frequency and severity of criminal activity. The next question is to ask to what extent do the remaining control or service activities offered under summary supervision have an impact? Furthermore, this study has demonstrated that 38% of those released to parole could be placed under reduced supervision. If a less costly mode of release exists for this substantial portion then are there other just as effective but less costly modes of release for the remaining 62%? Also, if the 38% can be released with less supervision, can that same 38% be discharged directly from prison without any supervision?

At least two major limitations of this study prevented a direct examination of these important questions. First the study was a test of the impact of less supervision and not a test of a no supervision or a direct discharge model. Key elements of the supervision process remained in this study including contacts to investigate alleged criminal activity, the possibility of parole revocation, and the parolee's ability to request needed services. Secondly, this study excluded the majority (62%) of those normally released to parole supervision. Its results cannot be generalized to the entire population of inmates normally released to parole in California. For these reasons a wider interpretation of its findings to permit a final determination of parole supervision's impact on recidivism rates cannot be made.

As a better test of this study's broader implications regarding parole effectiveness it is recommended that a direct discharge model of release be tested in a controlled experimental design which measures subsequent criminal and social adjustment outcomes on parole. Only then can more conclusive and direct findings of the impact of parole supervision be realized.

To expand further the direct implications of this study showing the feasibility of reduced supervision for selected releasees, a similar study enlarging the group targeted beyond the 38% addressed here or including a supervision model absent the possibility of parole revocation are two variations suggested for future examinations.

Finally, as people, systems and conditions external to the correctional system change, it is recommended that the impact of reduced supervision be evaluated on an ongoing basis.

# CONTINUED

# 3 OF 3

The third analysis performed in this study answers the same question as posed above. However, it does so using the total sample (N= 835). An analysis based on all seven study groups has the advantage of increasing the generalizableness of the findings but the disadvantage of reducing comparability between experimentals and controls. Since the group designated by parole agents as not suitable for summary supervision three to four months after release (Group $C_4$) did not participate in the randomization, any differences discovered in a comparison involving this group may be due to selection and background factors as well as the type of supervision delivered. Discovered differences could not be firmly assigned to the type of supervision delivered. Matter-of-fact, since Group $C_4$ comprised primarily failures and parolees marginally adjusting under regular supervision, the addition of this group to the regular parole group should increase the failure rate for the control cases only and show a lower recidivism rate for the experimentals.

Based on this limitation and the advantages attached to the other two possible subsample analyses, the conclusions of this study are based primarily upon the direct placement subset and the randomly assigned direct and delayed placement cases subset. For illustrative purposes, however, the findings which follow are presented for each of the three total and subset sample groups. The "A" series of the tables shows findings based on "direct placement cases only" while the "B" series of the tables shows findings based on "direct and delayed placement cases" (randomized only) and "all study cases (including the non-randomized group). To analyze outcomes between the two supervision types for cases randomly placed on both a direct and delayed basis the column labeled "Summary" is compared to the column labeled "Randomized regular only" in the "B" series. To analyze outcomes between the two supervision types for all study cases including the non-randomized agent-judged-regular cases the column labeled "Summary" is compared to the column labeled "Regular" in the "B" series.

## Sample Representativeness

Before proceeding with these analyses it is necessary to check whether the 400 direct placement cases and the 627 direct and delayed placement cases are representative of the total 835 study cases (and thus 38% of those cases released). If not representative such an analysis would limit this study's generalizability somewhere below the 38% of releases it addressed.

The representativeness of the various subsamples can be checked by comparing the distribution of the three total and subsample groups on selected criminal and demographic background characteristics known to be associated with successful parole outcomes. A lack of large differences in the distribution of the various characteristics would indicate that the subsamples were representative of the total study sample.

Tables 13 and 14 show that the combined direct and delayed placement subset of cases (N= 627, excludes non-randomized group $C_4$) possessed about the same distribution of characteristics as found in the total study sample of all 835 cases. These characteristics included commitment offense types, prior commitment record, escape history, admission type, narcotic history, Base Expectancy 76A levels, age, race and educational level.

The smaller subset of direct placement cases (N= 400, excludes groups $E_3$, $C_3$, and $C_4$) differed from the total study cases slightly in its distribution of cases with a prior prison record (34.5% direct placements vs. 38.0% all study cases), a narcotic history (58.8% direct placements vs. 63.7% all study cases) and differed by ten percentage points in the proportion of high and medium BE 76A risk level cases (62.0% direct placements vs. 72.5% all study cases). The two groups possessed approximately equal distributions of the remaining six characteristics including commitment offense type, escape history, admission type, age, race and educational level.

It was therefore concluded that the subsample of the direct plus delayed placement cases (N=627) is fairly representative of all 835 study cases; and findings based on this subset can be generalized to the entire 38% of the release population addressed by this project. However, the few differences discovered between the direct placement cases and the total study cases indicates that the former subset may represent a group less likely to recidivate than the group represented in the overall study sample. This is likely a result of the disproportionate stratified random assignment procedures used in this study. To allow for the disproportionality of risk level groups in our sample and in the particular to allow for the possible underrepresentativeness of higher risk cases in the directly placed subset of cases, outcomes between directly placed experimentals and controls are analyzed within risk levels at the end of this chapter. A finding of no large differences within each risk level would indicate that the disproportionate mix of risk level groups in the directly placed subset of cases does not effect outcome differences between experimentals and controls. We can then with more assuredness, generalize the findings based on the directly placed subset of cases to the total release cohort addressed by this project.

TABLE 13

Percentage Distribution of Selected Criminal Characteristics
for the Total and Subsample Study Groups
Within the Six Month and One Year Follow-up Cohorts

| Selected criminal characteristics | Six month follow-up | | | One year follow-up | | |
|---|---|---|---|---|---|---|
| | All cases | Ran-domized[a] cases only | Direct[b] place-ments only | All cases | Ran-domized[a] cases only | Direct[b] place-ments only |
| | (N=835) | (N=627) | (N=400) | (N=281) | (N=217) | (N=133) |
| Commitment offense | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| Person | 42.5 | 43.7 | 44.0 | 40.9 | 43.8 | 42.9 |
| Property | 41.1 | 40.8 | 40.5 | 43.8 | 42.4 | 43.6 |
| Narcotics/drugs | 12.2 | 12.1 | 11.3 | 11.4 | 10.1 | 9.0 |
| Other felony | 4.2 | 3.4 | 4.3 | 3.9 | 3.7 | 4.5 |
| Prior commitment record | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| None | 11.5 | 14.8 | 17.3 | 14.9 | 18.4 | 19.5 |
| Prior jail or juvenile | 50.5 | 50.2 | 48.3 | 47.7 | 47.0 | 44.5 |
| Prior prison | 38.0 | 34.9 | 34.5 | 37.3 | 34.6 | 36.1 |
| Escape history | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| No escape record | 76.8 | 79.3 | 77.8 | 77.2 | 77.9 | 74.4 |
| Prior escape record | 23.2 | 20.7 | 22.3 | 22.8 | 22.1 | 25.6 |
| Admission type | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| New admission | 82.4 | 84.1 | 84.8 | 81.9 | 82.5 | 84.2 |
| Return by court or board | 17.6 | 16.0 | 15.3 | 18.1 | 17.5 | 15.8 |

TABLE 13 - continued

Percentage Distribution of Selected Criminal Characteristics
for the Total and Subsample Study Groups
Within the Six Month and One Year Follow-up Cohorts

| Selected criminal characteristics | Six month follow-up | | | One year follow-up | | |
|---|---|---|---|---|---|---|
| | All cases | Ran-domized[a] cases only | Direct[b] place-ments only | All cases | Ran-domized[a] cases only | Direct[b] place-ments only |
| | (N=835) | (N=627) | (N=400) | (N=281) | (N=217) | (N=133) |
| Narcotic history | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| None | 36.3 | 37.6 | 41.3 | 39.5 | 42.4 | 46.6 |
| Addict | 63.7 | 62.4 | 58.8 | 60.5 | 57.6 | 53.4 |
| Base Expectancy 76A Score | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| High/Medium risk (00-17) | 72.5 | 68.1 | 62.0 | 70.1 | 65.9 | 60.9 |
| Low risk (18-45) | 27.5 | 31.9 | 38.0 | 29.9 | 34.1 | 39.1 |

a/ Excludes those cases the parole agent judged for regular supervision 3-4 months after release which did not participate in the randomization process (Group $C_4$).

b/ Excludes those cases placed via parole agent judgment 3-4 months after release (Groups $E_3$, $C_3$ and $C_4$).

TABLE 14

Percentage Distribution of Selected Demographic Characteristics
for the Total and Subsample Study Groups
Within the Six Month and One Year Follcw-up Cohorts

| Selected demographic characteristics | Six month follow-up | | | One year follow-up | | |
|---|---|---|---|---|---|---|
| | All cases | Ran-domized[a]/ cases only | Direct[b]/ place-ments only | All cases | Ran-domized[a]/ cases only | Direct[b]/ place-ments only |
| | (N=835) | (N=627) | (N=400) | (N=281) | (N=217) | (N=133) |
| Age as of December 31, 1976 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| 20 - 29 | 52.6 | 53.9 | 55.0 | 54.4 | 55.8 | 52.6 |
| 30 - 39 | 27.8 | 26.8 | 24.8 | 27.0 | 24.9 | 24.1 |
| 40 - 49 | 13.9 | 13.6 | 13.0 | 11.4 | 10.6 | 11.3 |
| 50 and over | 5.8 | 5.7 | 7.3 | 7.1 | 8.7 | 12.0 |
| Racial/ethnic group | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| White | 43.1 | 41.5 | 41.5 | 44.1 | 41.5 | 42.1 |
| Mexican/American | 12.7 | 12.0 | 12.3 | 11.0 | 10.6 | 12.8 |
| Black | 42.2 | 45.1 | 44.8 | 43.1 | 46.5 | 44.4 |
| Other | 2.0 | 1.4 | 1.5 | 1.8 | 1.4 | 0.7 |
| Educational level at admission | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |
| Some grammar or less | 22.5 | 23.9 | 24.5 | 23.1 | 25.3 | 26.3 |
| Completed grammar | 12.1 | 12.3 | 11.0 | 12.1 | 10.6 | 9.8 |
| Some high school | 58.8 | 56.9 | 57.8 | 58.0 | 57.1 | 54.1 |
| Completed high school | 6.6 | 6.9 | 6.8 | 6.8 | 6.9 | 9.8 |

a/ Excludes those cases the parole agent judged for regular supervision 3-4 months after release which did not participate in the randomization process (Group $C_4$).

b/ Excludes those cases placed via parole agent judgment 3-4 months after release (Groups $E_3$, $C_3$ and $C_4$).

## Study Group Comparability

The purpose of the random assignment process was to produce study groups (i.e., experimentals and controls) which were equivalent to each other at the point of randomization. By developing study groups of similar background, subsequent differences, or the lack thereof, can more assuredly be attributed to the type of supervision delivered.

Randomization, however, is no "guarantee" that differences in backgrounds between the experimentals and controls will not appear; it only minimizes the chance appearance of large differences. Before a comparison of the criminal outcomes of experimentals and controls can be made, the randomization procedures must be checked. Tables 15 – 18 provide such a check by comparing experimentals and controls within each of the three sample subsets (i.e., direct placements, direct plus delayed cases and all study cases) on a set of nine selected criminal and demographic background characteristics known to be associated with successful outcomes on parole.

A comparison of background characteristics of the summary and regular supervision groups within the direct placement subsample of 400 cases showed no statistically significant differences. There were slight differences in the proportion of cases with a prior prison commitment record (31.8% summary vs. 37.2% regular), the proportion with high and medium BE 76A risk levels (59.7% summary vs. 64.3% regular), and the proportion of Blacks (40.3% summary vs. 49.3% regular) and Mexican/Americans (15.4% summary vs. 9.1% regular). There were no differences or only very small differences of one or two percentage points between experimentals and controls on the distribution of the remaining six characteristics (commitment offense type, escape history, admission type, narcotic history, age and educational level; Tables 15 and 16). Thus, the randomization process produced experimental and control groups within the direct placement subset which are generally similar in their background characteristics.

The summary and regular supervision groups within the direct and delayed placement cases (Tables 17 and 18, summary versus randomized regular) were also similar to each other on the same set of background characteristics. Only two differences of more than two percentage points appeared. The regular supervision cases comprised a larger proportion of cases with a prior prison commitment (32.6% summary vs. 37.2% regular) and a larger proportion of cases with a narcotic history (60.0% summary vs. 64.7% regular), although neither of these differences was statistically significant. The experimentals and controls comprised approximately equal distributions of the remaining seven background characteristics.

Contrary to the above findings of similar backgrounds, the experimentals and controls within the total sample (N= 835, including the non-randomized group $C_4$) did differ on several of the background characteristics. These included cases with prior prison commitments (32.6% summary vs. 41.1% regular), admissions as a result of a board or court ordered return (14.8% summary vs. 19.2% regular), cases with a narcotic history (60.0% summary vs. 65.9% regular), and cases in the high and medium BE 76A risk level category (67.4% summary vs. 75.4% regular). The differences in prior commitment record and on BE level were statistically significant. These larger five and six percentage point differences in background characteristics all indicated that the non-randomized regular group was not exactly similar to the summary supervision group but rather had a greater likelihood of recidivating on parole.

These comparisons all validate that the randomization process worked. Experimental and control cases similar in background were formed within the direct placement subset (N=400) and within the direct and delayed placement cases subset (N=627). When the comparison involved the non-randomized, agent-judged-regular cases (Group $C_4$) in the analysis of "all" 835 study cases, larger differences occurred on several of the background characteristics. Therefore, any differences discovered or lack thereof, in the analysis involving randomized cases can more assuredly be attributed to the type of supervision. Any findings based on the total 835 cases including the non-randomized group, however, should be interpreted more cautiously.

## Outcomes Based on Three Total and Subset Samples

Differences in outcomes between experimentals and controls six months after release to parole were measured using four basic quantitative and qualitative indicators of criminal activity:

1. arrests and conviction records
2. offense type and severity
3. dispositions
4. custody-free time in the community

The remainder of this chapter reports the findings for each of these four basic measures.

TABLE 15

Selected Criminal Characteristics
by Type of Supervision
(Direct Placement Cases Only)

| Selected criminal characteristics | Type of supervision (direct placement cases only) | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Commitment offense | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| Person | 176 | 44.0 | 88 | 43.8 | 88 | 44.2 |
| Property | 162 | 40.5 | 84 | 41.8 | 78 | 39.2 |
| Narcotics/drugs | 45 | 11.3 | 21 | 10.5 | 24 | 12.1 |
| Other felony | 17 | 4.3 | 8 | 4.0 | 9 | 4.5 |
| Prior commitment record | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| None | 69 | 17.3 | 41 | 20.4 | 28 | 14.1 |
| Prior jail or juvenile | 193 | 48.3 | 96 | 47.8 | 97 | 48.7 |
| Prior prison | 138 | 34.5 | 64 | 31.8 | 74 | 37.2 |
| Escape history | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| No escape record | 311 | 77.6 | 157 | 78.1 | 154 | 77.4 |
| Prior escape record | 89 | 22.' | 44 | 21.9 | 45 | 22.6 |
| Admission type | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| New admission | 339 | 84.8 | 172 | 85.6 | 167 | 83.9 |
| Return by court or board | 61 | 15.3 | 29 | 14.4 | 32 | 16.1 |
| Narcotic history | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| None | 165 | 41.3 | 82 | 40.8 | 83 | 41.7 |
| Addict | 235 | 58.8 | 119 | 59.2 | 116 | 58.3 |
| Base Expectancy 76A Score | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| High and medium (00-17) | 248 | 62.0 | 120 | 59.7 | 128 | 64.3 |
| Low risk (18-45) | 152 | 38.0 | 81 | 40.3 | 71 | 35.7 |

Commitment offense: $x^2 = 0.471$, df = 3, p >.05

Prior commitment: $x^2 = 3.169$, df = 2, p >.05

Escape: z = 0.170, p> .05
Admission: z = 0.491, p> .05
Narcotic history: z = 0.183, p> .05
BE: z = 0.949, p> .05

TABLE 16

Selected Demographic Characteristics
by Type of Supervision
(Direct Placement Cases Only)

| Selected demographic characteristics | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Age as of December 31, 1976 | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| 20 - 29 | 220 | 55.0 | 112 | 55.7 | 108 | 54.3 |
| 30 - 39 | 99 | 24.6 | 48 | 23.9 | 51 | 25.6 |
| 40 - 49 | 52 | 13.0 | 26 | 12.9 | 26 | 13.1 |
| 50 and over | 29 | 7.3 | 15 | 7.5 | 14 | 7.0 |
| Racial/ethnic group | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| White | 166 | 41.5 | 88 | 43.8 | 78 | 39.2 |
| Mexican/American | 49 | 12.3 | 31 | 15.4 | 18 | 9.1 |
| Black | 179 | 44.8 | 81 | 40.3 | 98 | 49.3 |
| Other | 6 | 1.5 | 1 | 0.5 | 5 | 2.5 |
| Educational level at admission | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| Some grammar or less | 98 | 24.5 | 46 | 22.9 | 52 | 26.1 |
| Completed grammar | 44 | 11.0 | 22 | 11.0 | 22 | 11.1 |
| Some high school | 231 | 57.8 | 118 | 58.7 | 113 | 56.8 |
| Completed high school | 27 | 6.6 | 15 | 7.5 | 12 | 6.0 |

Age: $x^2 = 0.188$, df = 3, p > .05

Race: $x^2 = 8.323$, df = 3, p < .05

Education: $x^2 = 0.799$, df = 3, p > .05

## TABLE 17

### Selected Criminal Characteristics
### by Type of Supervision

| Selected criminal characteristics | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Commitment offense | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| Person | 355 | 42.5 | 137 | 44.2 | 218 | 41.5 | 137 | 43.2 |
| Property | 343 | 41.1 | 125 | 40.3 | 218 | 41.5 | 131 | 41.3 |
| Narcotics/drugs | 102 | 12.2 | 38 | 12.3 | 64 | 12.2 | 38 | 12.0 |
| Other felony | 35 | 4.2 | 10 | 3.2 | 25 | 4.8 | 11 | 3.5 |
| Prior commitment record | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| None | 96 | 11.5 | 50 | 16.1 | 46 | 8.8 | 43 | 13.6 |
| Prior jail or juvenile | 422 | 50.5 | 159 | 51.3 | 263 | 50.1 | 156 | 49.2 |
| Prior prison | 317 | 38.0 | 101 | 32.6 | 216 | 41.1 | 118 | 37.2 |
| Escape history | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| No escape record | 641 | 76.8 | 245 | 79.0 | 396 | 75.4 | 252 | 79.5 |
| Prior escape record | 194 | 23.2 | 65 | 21.0 | 129 | 24.6 | 65 | 20.5 |

TABLE 17 - continued

Selected Criminal Characteristics
by Type of Supervision

| Selected criminal characteristics | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Admission type | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| New admission | 688 | 82.4 | 264 | 85.2 | 424 | 80.8 | 263 | 83.0 |
| Return by court or board | 147 | 17.6 | 46 | 14.8 | 101 | 19.2 | 54 | 17.0 |
| Narcotic history | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| None | 303 | 36.3 | 124 | 40.0 | 179 | 34.1 | 112 | 35.3 |
| Addict | 532 | 63.7 | 186 | 60.0 | 346 | 65.9 | 205 | 64.7 |
| Base Expectancy 76A Score | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| High/Medium risk (00-17) | 605 | 72.5 | 209 | 67.4 | 396 | 75.4 | 218 | 68.8 |
| Low risk (18-45) | 230 | 27.5 | 101 | 32.6 | 129 | 24.6 | 99 | 31.2 |

| Characteristic | Summary vs Randomized Regular | Summary vs Regular |
|---|---|---|
| Commitment offense (df=3) | $x^2$= 0.110, p >.05 | $x^2$= 1.493, p >.05 |
| Prior commitment record (df= 2) | $x^2$= 1.797, p >.05 | $x^2$= 13.020, p <.01 |
| Escape history | z= 0.154, p >.05 | z= 1.200, p >.05 |
| Admission type | z= 0.759, p >.05 | z= 1.618, p >.05 |
| Narcotic history | z= 1.175, p >.05 | z- 1.735, p >.05 |
| Base Expectancy Score | z= 0.378, p >.05 | z= 2.500, p <.05 |

TABLE 18

Selected Demographic Characteristics
by Type of Supervision

| Selected demographic characteristics | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Age as of December 31, 1976 | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| 20 - 29 | 439 | 52.6 | 165 | 53.2 | 274 | 52.2 | 173 | 54.6 |
| 30 - 39 | 232 | 27.8 | 83 | 26.8 | 149 | 28.4 | 85 | 26.8 |
| 40 - 49 | 116 | 13.9 | 42 | 13.6 | 74 | 14.1 | 43 | 13.6 |
| 50 and over | 48 | 5.8 | 20 | 6.5 | 28 | 5.3 | 16 | 5.1 |
| Racial/ethnic groups | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| White | 360 | 43.1 | 131 | 42.3 | 229 | 43.6 | 129 | 40.7 |
| Mexican/American | 106 | 12.7 | 43 | 13.9 | 63 | 12.0 | 32 | 10.1 |
| Black | 352 | 42.2 | 134 | 43.2 | 218 | 41.5 | 149 | 47.0 |
| Other | 17 | 2.0 | 2 | 0.7 | 15 | 2.9 | 7 | 2.2 |
| Educational level at admission | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| Some grammar or less | 188 | 22.5 | 73 | 23.6 | 115 | 21.9 | 77 | 24.3 |
| Completed grammar | 101 | 12.1 | 34 | 11.0 | 67 | 12.8 | 43 | 13.6 |
| Some high school | 491 | 58.8 | 181 | 58.4 | 310 | 59.1 | 176 | 55.5 |
| Completed high school | 55 | 6.6 | 22 | 7.1 | 33 | 6.3 | 21 | 6.6 |

| Characteristic | Summary vs. Randomized Regular | Summary vs. Regular |
|---|---|---|
| Age (df= 3) | $X^2_2 = 0.591$, p >.05 | $X^2_2 = 0.687$, p >.05 |
| Racial/ethnic group (df= 3) | $X^2_2 = 5.124$, p >.05 | $X^2_2 = 5.439$, p >.05 |
| Educational level (df= 3) | $X^2 = 1.174$, p >.05 | $X^2 = 0.962$, p >.05 |

-168-

The primary source of information for these measures was the California State Bureau of Identification Transcripts (also called "rap sheets") which record all local, state, out-of-state, and federal arrests, charges and dispositions. A secondary source was California Department of Corrections parole violation reports. These more detailed documents report most criminal arrests and violations of the conditions of parole to the parole board. They were used to gather various dispositional and offense seriousness items.

Arrest and conviction records. If summary supervision is associated with a different level of criminal activity than exists under regular supervision one would expect the two groups to differ with respect to arrest and/or conviction rates.

Table 19A examines the arrest and the conviction records for the direct placement cases only, i.e., comparing six month records under summary supervision with six month records under regular supervision. No large differences were found in the proportions experiencing an arrest (28.4% summary vs. 30.2% regular) or in the proportions experiencing a conviction (20.9% summary vs. 18.1% regular).

Table 19B, comparing arrest and conviction records for direct plus delayed placement cases (N= 627) shows some small but not statistically significant differences (23.6% summary vs. 27.4% regular with an arrest record; 16.1% summary vs. 15.5% regular with a conviction record).

When all 835 study cases are examined (including group $C_4$), larger statistically significant differences in the arrest rate (23.6% summary vs. 35.1% regular) and conviction rate (16.1% summary vs. 21.5% regular) appear with lower rates for cases under summary supervision. However, these latter larger differences may be due to differences in the background of the two groups rather than the type of supervision delivered.

The above analysis indicated that there was no overall difference in the proportions of cases with at least one arrest or at least one conviction which could be attributed to the type of supervision delivered. It is still possible that there is a difference in the number of arrests or the number of convictions for each individual case arrested or convicted. That is, the number of cases experiencing arrests or convictions may not differ but the frequency with which these cases experienced such an arrest or conviction may be different across the supervision types.

Tables 20A and 20B examines this hypothesis for the three total and subset comparisons. There were only small differences in the mean number of arrests per individual arrested in the two supervision types for the direct placement cases (1.46 summary vs. 1.42 regular), direct and delayed placement cases (1.44 summary vs. 1.35 regular) or all study cases (1.44 summary vs. 1.34 regular). The same small differences between supervision types held across the various total and subsamples for the mean number of convictions per case convicted. Matter-of-fact a relatively small proportion of the study cases experienced more than one arrest (approximately 30 percent) or more than one conviction (approximately 20 percent) in the first six months on parole.

According to the above two measures, summary supervision does not appear to be associated with a different arrest or conviction record than that which would exist under regular supervision in the same period of time.

Offense types and seriousness. Table 21 compares those under summary supervision with those under regular supervision on type of arrest offense. For this part of the study incidents were classified according to offense type: person (homicide, assault, robbery, and sex offenses); property (burglary and theft); narcotic or drug; other felony offense; or misdemeanor.

Some small differences among arrest offense types did occur for the directly placed cases (Table 21A). Summary parolees experienced a higher proportion of arrests for person (21.7% summary vs. 17.7% regular) and property type (33.7% summary vs. 30.6% regular) offenses. There was no difference in the proportions with arrests for misdemeanor type offenses (30.1% summary vs. 29.4% regular). The same small non-significant differences among offense types were found when experimentals and controls were compared for the larger direct and delayed placement subsample and the total sample shown in Table 21B.

An analysis of crime groups is only one way of discovering possible differences in the seriousness of reinvolvement in criminal activity. Another tool available is a seriousness scale. This study applied the Sellin-Wolfgang Offense Seriousness Scale (Sellin and Wolfgang, 1964) to each criminal arrest and conviction incident and totaled the incident scores for each case arrested and each case convicted.

TABLE 19A

Criminal Arrests and Convictions
for Six Month Follow-up
by Type of Supervision
(Direct Placement Cases Only)

| Criminal arrests and convictions | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| Not arrested | 284 | 71.0 | 144 | 71.6 | 139 | 69.9 |
| Arrested | 116 | 29.0 | 57 | 28.4 | 60 | 30.2 |
| Total, all cases | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| Not convicted | 322 | 80.5 | 159 | 79.1 | 163 | 82.0 |
| Convicted | 78 | 19.5 | 42 | 20.9 | 36 | 18.1 |

Arrests: $z = 0.378$, $p > .05$
Convictions: $z = 0.725$, $p > .05$

## TABLE 19B

### Criminal Arrests and Convictions
### for Six Month Follow-up
### by Type of Supervision

| Criminal arrests and convictions | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| Not arrested | 578 | 69.2 | 237 | 76.5 | 341 | 65.0 | 230 | 72.6 |
| Arrested | 257 | 30.8 | 73 | 23.6 | 184 | 35.1 | 87 | 27.4 |
| Total, all cases | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| Not convicted | 672 | 80.5 | 260 | 83.9 | 412 | 78.5 | 268 | 84.5 |
| Convicted | 163 | 19.5 | 50 | 16.1 | 113 | 21.5 | 49 | 15.5 |

| Measure | Summary vs. Randomized Regular | Summary vs. Regular |
|---|---|---|
| Arrests: | z= 1.114, p >.05 | z= 3.484, p <.001 |
| Convictions: | z= 0.207, p >.05 | z= 1.928, p >.05 |

TABLE 20A

Number of Arrests, Convictions Per Case Arrested, Convicted
for Six Month Follow-up
by Type of Supervision
(Direct Placement Cases Only)

| Number of arrests, convictions per case arrested, convicted | Type of supervision (direct placement cases only) | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases arrested | 117 | 100.0 | 57 | 100.0 | 60 | 100.0 |
| One arrest | 80 | 68.4 | 38 | 66.7 | 42 | 70.0 |
| Two arrests | 28 | 23.9 | 15 | 26.3 | 13 | 21.7 |
| Three arrests | 5 | 4.3 | 2 | 3.5 | 3 | 5.0 |
| Four arrests | 3 | 2.6 | 1 | 1.8 | 2 | 3.3 |
| Five arrests | 1 | 0.9 | 1 | 1.8 | 0 | 0 |
| Total arrest incidents | (168) | | (83) | | (85) | |
| Mean incidents/case | | 1.440 | | 1.456 | | 1.417 |
| Total, all cases convicted | 78 | 100.0 | 42 | 100.0 | 36 | 100.0 |
| One conviction | 64 | 82.1 | 35 | 83.3 | 29 | 80.6 |
| Two convictions | 13 | 16.7 | 6 | 14.3 | 7 | 19.4 |
| Three convictions | 1 | 1.3 | 1 | 2.4 | 0 | 0 |
| Total conviction incidents | (93) | | (50) | | (43) | |
| Mean incidents/case | | 1.192 | | 1.190 | | 1.194 |

-73-

TABLE 20B

Number of Arrests, Convictions Per Case Arrested, Convicted
for Six Month Follow-up
by Type of Supervision

| Number of arrests, convictions per case arrested, convicted | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases arrested | 257 | 100.0 | 73 | 100.0 | 184 | 100.0 | 87 | 100.0 |
| One arrest | 187 | 72.8 | 51 | 69.9 | 136 | 73.9 | 64 | 73.6 |
| Two arrests | 54 | 21.0 | 16 | 21.9 | 38 | 20.6 | 18 | 20.7 |
| Three arrests | 9 | 3.5 | 3 | 4.1 | 6 | 3.3 | 3 | 3.4 |
| Four arrests | 6 | 2.3 | 2 | 2.7 | 4 | 2.2 | 2 | 2.3 |
| Five arrests | 1 | 0.3 | 1 | 1.4 | 0 | 0.0 | 0 | 0.0 |
| Total arrest incidents | (351) | | (105) | | (246) | | (117) | |
| Mean incidents/case | | 1.366 | | 1.438 | | 1.337 | | 1.345 |
| Total, all cases convicted | 163 | 100.0 | 50 | 100.0 | 113 | 100.0 | 49 | 100.0 |
| One conviction | 135 | 82.8 | 42 | 84.0 | 93 | 82.3 | 41 | 83.7 |
| Two convictions | 27 | 16.6 | 7 | 14.0 | 20 | 17.7 | 8 | 16.3 |
| Three convictions | 1 | 0.6 | 1 | 2.0 | 0 | 0.0 | 0 | 0.0 |
| Total conviction incidents | (192) | | (59) | | (133) | | (57) | |
| Mean incidents/case | | 1.178 | | 1.180 | | 1.177 | | 1.163 |

The Sellin-Wolfgang Scale reflects qualitative differences in criminal activity by weighing and scoring six different elements of a criminal incident including (1) number of victims of bodily harm, (2) number of victims of forcible sex intercourse, (3) intimidation, (4) number of premises forcibly entered, (5) number of motor vehicles stolen and (6) value of property stolen, damaged or destroyed. The scoring weights for these elements are shown in Appendix E.

Table 22 compares the mean Sellin-Wolfgang offense severity score per case arrested and per case convicted under summary and under regular supervision. There was only three-tenths of a point difference between experimentals and controls in the direct placement subset (Table 22A) on the mean severity score per case arrested (2.891 summary vs. 3.204 regular) and on the mean severity score per case convicted (2.925 summary vs. 2.611 regular). [It is noted that this analysis is based on seriousness scores not normally distributed for the cases analyzed. Therefore the statistical tests of significance shown in the tables are less appropriate in this instance.]

The same small non-significant difference was found when the six month outcome of all randomized cases was analyzed (Table 22B, 2.746 summary vs. 2.363 regular per case arrested ; 2.433 summary vs. 2.373 regular, per case convicted). One large difference was found when the six month outcome of all 835 study cases was analyzed with respect to the conviction offense severity (also Table 22B). But this larger difference may be due to the discovered differences in backgrounds between the two supervision groups in the total sample as stated earlier.

The above application of the Sellin-Wolfgang Scale and the comparison by arrest offense types has permitted an analysis of possible qualitative differences in criminal activity between the supervision types. It has shown that the type of supervision delivered does not appear to be associated with a different type or seriousness of criminal activity. There were some small differences in the mix of arrest offense types reflecting a higher proportion of person and property crimes for summary parolees; but these differences were not large and were consistent with a finding of no "more serious" criminal activity (as measured by the Sellin-Wolfgang Scale) for cases under summary supervision than for cases under regular supervision.

TABLE 21A

Type of Arrest Offense for Six Month Follow-up
by Type of Supervision
(Direct Placement Cases Only)

| Type of arrest offense | Type of supervision (direct placement cases only) | | | | | |
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
|---|---|---|---|---|---|---|
| Total arrest incidents | 168 | 100.0 | 83 | 100.0 | 85 | 100.0 |
| Person | 33 | 19.6 | 18 | 21.7 | 15 | 17.7 |
| Property | 54 | 32.1 | 28 | 33.7 | 26 | 30.6 |
| Narcotics/drugs | 20 | 11.9 | 8 | 9.6 | 12 | 14.1 |
| Other felony | 11 | 6.6 | 4 | 4.8 | 7 | 8.2 |
| Misdemeanor | 50 | 29.8 | 25 | 30.1 | 25 | 29.4 |

$x^2 = 1.941$, df = 4, p >.05

TABLE 21B

Type of Arrest Offense
for Six Month Follow-up
by Type of Supervision

| Type of arrest offense | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total arrest incidents | 351 | 100.0 | 105 | 100.0 | 246 | 100.0 | 117 | 100.0 |
| Person | 53 | 15.1 | 20 | 19.0 | 33 | 13.4 | 16 | 13.7 |
| Property | 122 | 34.8 | 38 | 36.2 | 84 | 34.2 | 36 | 30.8 |
| Narcotics/drugs | 45 | 12.8 | 9 | 8.6 | 36 | 14.6 | 18 | 15.4 |
| Other felony | 28 | 8.0 | 8 | 7.6 | 20 | 8.1 | 8 | 6.8 |
| Misdemeanor | 103 | 29.3 | 30 | 28.6 | 73 | 29.7 | 39 | 33.3 |

Summary vs. Randomized Regular:  $x^2 = 4.036$, df = 4, p >.05

Summary vs. Regular:  $x^2 = 3.799$, df= 4, p >.05

## TABLE 22A

### Offense Severity for Six Month Follow-up by Type of Supervision
#### (Direct Placement Cases Only)

| Offense severity (Average Sellin-Wolfgang Seriousness Score) | Type of supervision (direct placement cases only) | |
|---|---|---|
| | Summary | Regular |
| **Per case arrested** | | |
| Mean | 2.891 | 3.204 |
| N | (55)a/ | (54)b/ |
| SD | 4.318 | 7.499 |
| **Per case convicted** | | |
| Mean | 2.925 | 2.611 |
| N | (40)c/ | (36) |
| SD | 4.541 | 5.519 |

a/ Excludes two cases for whom a seriousness score was incalculable.
b/ Excludes six cases for whom a seriousness score was incalculable.
c/ Excludes two cases for whom a seriousness score was incalculable

Per case arrested:  t= 0.265, df= 107,p >.05
Per case convicted:  t= 0.268, df= 74,p >.05

## TABLE 22B

### Offense Severity for Six Month Follow-up by Type of Supervision

| Offense severity (Average Sellin-Wolfgang Seriousness Score) | Type of supervision | | |
|---|---|---|---|
| | Summary | Regular | Randomized regular only |
| **Per case arrested** | | | |
| Mean | 2.746 | 2.743 | 2.363 |
| N | (71)[a]/ | (171)[a]/ | (80)[c]/ |
| SD | 4.252 | 7.302 | 6.337 |
| **Per case convicted** | | | |
| Mean | 2.433 | 3.000 | 2.373 |
| N | (48)[d]/ | (110)[e]/ | (48)[f]/ |
| SD | 4.246 | 7.814 | 4.931 |

a/ Excludes two cases for whom a seriousness score was incalculable.

b/ Excludes thirteen cases for whom a seriousness score was incalculable.

c/ Excludes seven cases for whom a seriousness score was incalculable.

d/ Excludes two cases for whom a seriousness score was incalculable.

e/ Excludes three cases for whom a seriousness score was incalculable.

f/ Excludes one case for whom seriousness score was incalculable.

| Measure | Summary vs Randomized Regular | Summary vs Regular |
|---|---|---|
| Per case arrested: | t= 0.429, df= 149, p >.05 | t= 0.004 df= 240, p >.05 |
| Per case convicted: | t= 0.461, df= 94, p >.05 | t= 0.311 df= 156, p >.05 |

Dispositions. This section examines the dispositional outcomes associated with the two types of supervision. Table 23 shows the type of disposition received for the total criminal and technical violation incidents committed. As this measure includes incidents of technical parole violations and administrative orders to return to prison, it lacks the independence of the preceding criterion measures which tabulate only new known criminal incidents. That is, administrative revocation orders are initiated at the discretion of the supervising parole agent and its occurrance was expected to be lower for summary parolees by the design of the model itself. An examination of dispositions does allow a test, however, of whether the type of supervision received is associated with a different mix of total dispositions received.

A comparison of those cases receiving a full six months of summary to those receiving regular supervision (direct placement cases, Table 23A) showed a difference in the frequency of only two of the five types of possible dispositions. Cases under summary supervision experienced a higher proportion of new commitments to prison (21.4%, N= 19) than cases under regular supervision (9.5%, N= 10) but a lower proportion of technical violations (i.e, board ordered returns to prison; 11.2%, N= 10 summary vs. 21.9%, N= 23 regular). Aside from these categories, the difference in the overall mix of dispositions received was not statistically significant.

Interestingly, the differences in the above two categories balance each other out; that is, taken together (new prison commitments plus board ordered returns) results in about equal proportions of return to prison dispositions for the two supervision types (32.6% summary vs. 31.4% regular). The basic difference is that the return to prison for summary parolees is occurring primarily via court orders while for regular parolees it occurred primarily via administrative orders (i.e., through the parole revocation system). It is, therefore, suggested that there is no difference between the supervision types in commitments to prison, only a difference in how they get there (i.e., the kind of processing - criminal or administrative). Also, it is noted that these differences in processing were numerically so small that they are not of much practical consequence.

These same findings held when experimentals and controls were compared for direct and delayed placement cases (N= 627) and all study cases (N= 835). Table 23B shows only small two or three percentage point differences in the overall mix of most dispositions which was not statistically significant. The larger inverse relationship between court ordered and board ordered returns to prison for the two supervision types also appeared.

The above finding of fewer technical violations and board ordered returns for cases under summary supervision is not surprising. Summary parolees were seen less by their parole agents and the agents were less exposed to the possibly negative activities of those parolees. Nonetheless, it is valuable to determine (1) what kinds of parole violations possibly went undiscovered for those summary supervision cases and (2) did the fewer technical violations reported to the board for summary cases differ in kind from those reported for regular parolees?

Most of the reported parole violations involved absconding from parole (52.2%, Table 24B, all study cases), followed by violations for using narcotics (23.5%) and violations involving a criminal arrest (24.4%). Fewer violations were reported to the board for absconding under summary supervision than under regular and there was a corresponding higher proportion of violations involving a criminal arrest under summary than under regular supervision. These findings (all based on very small N's given the low numbers of technical violations which occurred) held for all three total and subset samples analyzed (Tables 24, A & B).

The above analysis has demonstrated that some expected differential processing occurred between the two supervision types. It has also suggested that while the two supervision types experienced differential processing, the overall outcomes and their seriousness did not differ. This latter conclusion can be further substantiated by examining the most serious disposition received for each case. The analysis is simplified by dichotomizing the several "most serious" disposition categories commonly used as part of the routine California Department of Corrections Parole Follow-up System into those cases with favorable outcomes (including cases with no arrest or violation records, short term absconders, arrests and releases, and convictions with short term jail sentences) and those with unfavorable outcomes (including dispositions pending, longer term absconders, convictions with long term jail sentences, convictions with felony probation and court and board ordered returns to prison). A more exact listing of these categories is found in Appendix C.

There was only a two percentage point difference in the proportion of unfavorable outcomes between those cases placed directly onto summary supervision at release (17.4%) and those placed on regular supervision at release (15.1%). This difference was not statistically significant (Table 25A).

The difference decreases slightly when the randomly assigned delayed placement cases are also included in the analysis (13.5% summary vs. 12.0% regular). When the non-randomized agent-judged-regular group is included the difference jumps to six percentage points (13.5% summary vs. 19.0% regular). It is likely that this latter finding is due to the differences in background factors between supervision types which appear when the total study sample is analyzed. Accepting this explanation, one can conclude that there is no difference between the supervision types in the most serious disposition received in the first six months of their release (Table 25B).

It is concluded from the above analysis of the dispositions received in the first six months that while the two supervision types do appear to be processed differently for their negative activities, summary supervision is not associated with any more serious dispositions than exists for parolees under regular supervision.

Custody-free time. The final measure of criminal activity used for this study was the amount of custody-free time spent in the community during the follow-up period. Measured in months the maximum custody-free time could not exceed six months for this follow-up period.

Cases placed directly under summary supervision experienced an average of 5.54 custody-free months, slightly less than the average of 5.67 custody-free months for cases placed directly under regular (Table 26A). When the cases randomly placed on a delayed basis are included (N= 627, Table 26B), the analysis also showed slightly less average custody-free months under summary (5.57 months) than under regular supervision. (5.77 months). Neither of these small differences was statistically significant.

## Outcomes Within BE Risk Level Groups

The earlier methodology chapter of this report described the random assignment procedures as being disproportionately stratified on predicted risk level.

TABLE 23A

Type of Disposition for Six Month Follow-up
by Type of Supervision
(Direct Placement Cases Only)

| Type of disposition for total criminal and technical violation incidents | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total incidents | 194 | 100.0 | 89 | 100.0 | 105 | 100.0 |
| Arrested and released | 47 | 24.2 | 20 | 22.5 | 27 | 25.7 |
| Arrested and convicted to jail | 60 | 30.9 | 29 | 32.6 | 31 | 29.5 |
| Arrested and convicted to prison | 29 | 15.0 | 19 | 21.4 | 10 | 9.5 |
| Disposition pending or unknown | 25 | 12.9 | 11 | 12.4 | 14 | 13.3 |
| Technical violations | 33 | 17.0 | 10 | 11.2 | 23 | 21.9 |
| With a criminal arrest | | | | | | |
| Return to prison/ suspension | (7) | (3.7) | (4) | (4.5) | (3) | (2.9) |
| Continue on parole | (0) | (0.0) | (0) | (0.0) | (0) | (0.0) |
| Without a criminal arrest | | | | | | |
| Return to prison/ suspension | (22) | (11.3) | (6) | (6.7) | (16) | (15.2) |
| Continue on parole | (4) | (2.1) | (0) | (0.0) | (4) | (3.8) |

$x^2$ = 8.119, df = 4, p > .05

-183-

TABLE 23B

Type of Disposition
for Six Month Follow-up
by Type of Supervision

| Type of disposition for total criminal and technical violation incidents | Type of supervision | | | | | | Randomized regular only | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total incidents | 438 | 100.0 | 117 | 100.0 | 321 | 100.0 | 143 | 100.0 |
| Arrested and released | 99 | 22.6 | 29 | 24.8 | 70 | 21.8 | 39 | 27.3 |
| Arrested and convicted to jail | 124 | 28.3 | 36 | 30.8 | 88 | 27.4 | 43 | 30.1 |
| Arrested and convicted to prison | 54 | 12.3 | 20 | 17.1 | 34 | 10.6 | 12 | 8.4 |
| Disposition pending or unknown | 46 | 10.5 | 14 | 12.0 | 32 | 10.0 | 18 | 12.6 |
| Technical violations | 115 | 26.3 | 18 | 15.4 | 97 | 30.2 | 31 | 21.7 |
| With a criminal arrest | | | | | | | | |
| Return to prison/ suspension | (28) | | (6) | | (22) | | (5) | |
| Continue on parole | (0) | | (0) | | (0) | | (0) | |
| Without a criminal arrest | | | | | | | | |
| Return to prison/ suspension | (62) | | (8) | | (54) | | (19) | |
| Continue on parole | (25) | | (4) | | (21) | | (7) | |

Summary vs. Randomized Regular: $x^2 = 5.495$, df= 4, p >.05

Summary vs. Regular: $x^2 = 11.130$, df= 4, p <.05

-184-

TABLE 24A

Type of Technical Violations for Six Month Follow-up
by Type of Supervision
(Direct Placement Cases Only)

| Type of technical violation | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total technical violation incidents | 33 | 100.0 | 10 | 100.0 | 23 | 100.0 |
| Violation involving a criminal arrest | 7 | 21.2 | 4 | 21.2 | 3 | 13.0 |
| Non-criminal parole violation only | | | | | | |
| Absconding (P.A.L.) | 23 | 69.7 | 6 | 69.7 | 17 | 73.9 |
| Narcotic use | 3 | 9.1 | 0 | 9.1 | 3 | 13.0 |

TABLE 24B

Type of Technical Violation
for Six Month Follow-up
by Type of Supervision

| Type of technical violation | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total technical violation incidents | 115 | 100.0 | 18 | 100.0 | 97 | 100.0 | 31 | 100.0 |
| Violation involving a criminal arrest | 28 | 24.4 | 6 | 33.3 | 22 | 22.7 | 5 | 16.1 |
| Non-criminal violation only | | | | | | | | |
| Absconding (P.A.L.) | 60 | 52.2 | 8 | 44.4 | 52 | 53.6 | 19 | 61.3 |
| Narcotics | 27 | 23.5 | 4 | 22.2 | 23 | 23.7 | 7 | 22.6 |

TABLE 25A

Most Serious Disposition for Six Month Follow-up
by Type of Supervision
(Direct Placement Cases Only)

| Most serious disposition | Type of supervision (direct placement cases only) | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| Favorable | 335 | 83.8 | 166 | 82.6 | 169 | 84.9 |
|     Clean | (277) | | (143) | | (134) | |
|     Other favorable | (58) | | (23) | | (35) | |
| Unfavorable | 65 | 16.3 | 35 | 17.4 | 30 | 15.1 |
|     Pending/unknown | (15) | | (6) | | (9) | |
|     Miscellaneous unfavorable | (14) | | (6) | | (8) | |
|     Return to prison | | | | | | |
|       Board ordered | (9) | | (5) | | (4) | |
|       Court ordered | (27) | | (18) | | (9) | |

$z = 0.622$, $p > .05$

TABLE 25B

Most Serious Disposition
for Six Month Follow-up
by Type of Supervision

| Most serious disposition | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| Favorable | 693 | 83.0 | 268 | 86.5 | 425 | 81.0 | 279 | 88.0 |
| Clean | (554) | | (234) | | (320) | | (224) | |
| Other favorable | (139) | | (34) | | (105) | | (55) | |
| Unfavorable | 142 | 17.0 | 42 | 13.5 | 100 | 19.0 | 38 | 12.0 |
| Pending/unknown | (30) | | (8) | | (22) | | (13) | |
| Miscellaneous unfavorable | (30) | | (7) | | (23) | | (9) | |
| Return to prison | | | | | | | | |
| Board ordered | (31) | | (8) | | (23) | | (5) | |
| Court ordered | (51) | | (19) | | (32) | | (11) | |

Summary vs. Randomized regular:  $z = 0.556$, $p > .05$
Summary vs. Regular:  $z = 2.037$, $p < .05$

TABLE 26A

Custody-Free Months for Six Month Follow-up
by Type of Supervision
(Direct Placement Cases Only)

| Custody-free months | Type of Supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | N | Pct. | N | Pct. | N | Pct. |
| Total, all cases | 400 | 100.0 | 201 | 100.0 | 199 | 100.0 |
| Six months | 331 | 82.8 | 165 | 82.1 | 166 | 83.4 |
| Five months | 15 | 3.8 | 7 | 3.5 | 8 | 4.0 |
| Four months | 16 | 4.0 | 6 | 3.0 | 10 | 5.0 |
| Three months | 9 | 2.3 | 7 | 3.5 | 2 | 1.0 |
| Two months | 7 | 1.8 | 5 | 2.5 | 2 | 1.0 |
| One or less month | 10 | 2.5 | 6 | 3.0 | 4 | 2.0 |
| Unknown | 12 | 3.0 | 5 | 2.5 | 7 | 3.5 |
| Mean | | | 5.541 | | 5.672 | |
| N | | | (196)[a] | | (192)[b] | |
| SD | | | 1.201 | | 0.990 | |

a/ Excludes five cases for whom custody-free time was unknown.
b/ Excludes seven cases for whom custody-free time was unknown.

t= 1.168, df = 386, p >.05

TABLE 26B

Custody-Free Months
for Six Month Follow-up
by Type of Supervision

| Custody-free months | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 835 | 100.0 | 310 | 100.0 | 525 | 100.0 | 317 | 100.0 |
| Six months | 694 | 83.1 | 269 | 86.8 | 425 | 81.0 | 279 | 88.0 |
| Five months | 34 | 4.1 | 10 | 3.2 | 24 | 4.6 | 10 | 3.2 |
| Four months | 30 | 3.6 | 8 | 2.6 | 22 | 4.2 | 10 | 3.2 |
| Three months | 27 | 3.2 | 8 | 2.6 | 19 | 3.6 | 4 | 1.3 |
| Two months | 17 | 2.0 | 5 | 1.6 | 12 | 2.3 | 2 | 0.6 |
| One or less month | 17 | 2.0 | 6 | 1.9 | 11 | 2.1 | 4 | 1.3 |
| Unknown | 16 | 1.9 | 4 | 1.3 | 12 | 2.3 | 8 | 2.5 |
| Mean | 5.597 | | 5.673 | | 5.552 | | 5.770 | |
| N | 819 | | (306)$\underline{a}$/ | | (513)$\underline{b}$/ | | (309)$\underline{c}$/ | |
| SD | 1.096 | | 1.009 | | 1.142 | | 0.830 | |

$\underline{a}$/ Excludes four cases for whom custody-free time was unknown.
$\underline{b}$/ Excludes twelve cases for whom custody-free time was unknown.
$\underline{c}$/ Excludes eight cases for whom custody-free time was unknown.

Summary vs. Randomized Regular: t= 1.301, df= 613, p >.05
Summary vs. Regular:  t= 1.536, df= 817, p >.05

This meant that although the selected study cohort comprised 38% of those adult male felons normally released to parole, the proportionate mix of risk levels groups within the cohort was not representative of the proportions which might normally be found in a 38% release cohort. Such disproportionality limits the "generalizableness" of the findings based upon the three total and subset sample analyses in the preceding section.

To determine whether this disproportionality and lack of representativeness limits the generalizableness of the preceding findings, outcomes of the directly placed cases were examined within each of the two Base Expectancy 76A Scale levels. If a large difference in the six month outcomes between summary and regular supervision cases is discovered for the high to medium risk cases, then the underrepresentativeness of this group in the overall study cohort would limit the generalizableness of the preceding findings. On the other hand, if the preceding findings of no difference in six month outcomes between summary and regular supervision continues to hold when separately examined within each risk level group then the disproportional representativeness of these two risk groups in the overall sample comparisons would not alter the findings nor the group to which these findings can be generalized to.

Three of the four outcome measures discussed previously were examined. Table 27 shows the arrest and conviction record differences between summary and regular supervision cases separately within the high to medium risk group and within the low risk group. None of the small, three or less, percentage point differences in the arrest rates and conviction rates were statistically significant.

Table 28 examines differences in the proportion of cases receiving a unfavorable most serious six month disposition within each risk level group. High to medium risk cases placed under summary supervision experienced a slightly higher proportion of unfavorable most serious dispositions than similar cases placed under regular supervision (19.2% summary vs. 14.1% regular). This five percentage point difference however, was not statistically significant. The difference in unfavorable disposition rates between summary and regular supervision for the low risk cases was smaller (14.8% summary vs. 16.9% regular) and also not statistically significant.

# TABLE 27

## Criminal Arrests and Convictions for Six Month Follow-up By Type of Supervision Within Risk Level

| Criminal arrests and convictions | Type of supervision within risk level | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | High/Medium risk Low BE (00-17) | | | | Low risk High BE (18-45) | | | |
| | Summary | | Regular | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 120 | 100.0 | 128 | 100.0 | 81 | 100.0 | 71 | 100.0 |
| Not arrested | 85 | 71.0 | 89 | 69.5 | 60 | 74.1 | 50 | 70.4 |
| Arrested | 35 | 29.0 | 39 | 30.5 | 21 | 25.9 | 21 | 29.6 |
| | | | | | | | | |
| Total, all cases | 120 | 100.0 | 128 | 100.0 | 81 | 100.0 | 71 | 100.0 |
| Not convicted | 93 | 77.5 | 103 | 80.5 | 66 | 81.5 | 60 | 84.5 |
| Convicted | 27 | 22.5 | 25 | 19.5 | 15 | 18.5 | 11 | 15.5 |

| Measure | High risks | Low risks |
|---|---|---|
| Arrests | $z=0.228$, $p > .05$ | $z=0.514$, $p > .05$ |
| Convictions | $z=0.568$, $p > .05$ | $z=0.508$, $p > .05$ |

TABLE 28

Most Serious Disposition for Six Month Follow-up
By Type of Supervision Within Risk Level

| Most serious disposition | Type of supervision within risk level | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | High/Medium risk Low BE (00-17) | | | | Low risk High BE (18-45) | | | |
| | Summary | | Regular | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 120 | 100.0 | 128 | 100.0 | 81 | 100.0 | 71 | 100.0 |
| Favorable | 97 | 80.8 | 110 | 85.9 | 69 | 85.2 | 59 | 83.1 |
| Clean | (83) | | (85) | | (60) | | (49) | |
| Other favorable | (14) | | (25) | | (9) | | (10) | |
| Unfavorable | 23 | 19.2 | 18 | 14.1 | 12 | 14.8 | 12 | 16.9 |
| Pending/unknown | (5) | | (6) | | (1) | | (3) | |
| Miscellaneous unfavorable | (3) | | (4) | | (3) | | (4) | |
| Return to prison | | | | | | | | |
| Board ordered | (4) | | (2) | | (1) | | (2) | |
| Court ordered | (11) | | (6) | | (7) | | (3) | |

High risks: $z=1.081$, $p > .05$
Low risks: $z=0.355$, $p > .05$

## TABLE 29

### Custody-Free Months for Six Month Follow-up
### By Type of Supervision Within Risk Level

| Custody-free months | Type of supervision within risk level | | | |
|---|---|---|---|---|
| | High/Medium risk Low BE (00-17) | | Low risk High BE (18-45) | |
| | Summary | Regular | Summary | Regular |
| Mean | 5.491 | 5.756 | 5.612 | 5.522 |
| N | (116) [a] | (123) [b] | (80) [c] | (69) [d] |
| SD | 1.276 | 0.810 | 1.078 | 1.235 |

[a] Excludes four cases for whom custody-free time was unknown.
[b] Excludes five cases for whom custody-free time was unknown.
[c] Excludes one case for whom custody-free time was unknown.
[d] Excludes two cases for whom custody-free time was unknown.

High risks: $t = 1.917$, $df = 237$, $p > .05$
Low risks: $t = 0.476$, $df = 147$, $p > .05$

The final piece of outcome data examined in Table 29 indicated that the high to medium risk group experienced slightly less custody-free time in the community when under summary as opposed to regular supervision (5.49 months summary vs. 5.76 months regular). However, this small difference was not statistically significant. The difference between summary and regular supervision in the amount of custody-free time was smaller for the low risk group and also not statistically significant (5.61 months summary vs. 5.52 months regular).

This analysis of three, six month, criminal outcome measures leads to the conclusion that summary supervision is not associated with a different subsequent criminal activity level than exists under regular supervision regardless of the predicted risk level of the case. Therefore, the disproportionate underrepresentativeness of medium to high risk type cases in the three total and subset study samples examined in this chapter does not appear to alter the generalizableness of its finding to a normal 38% release-to-parole population.

Chapter summary. The general conclusion which can be drawn from this preliminary analysis of four quantitative and qualitative indicators of return to criminal activity six months after release to parole is that...

> summary supervision for selected releasees
> is not associated with a different frequency
> or severity of criminal activity than exists
> for regular supervision.

Additional analysis of outcome differences between supervison types within each of two risk level groups provided evidence that this conclusion may be generalizable to the heterogeneous mix of both high and low risk cases generally found in the 38% release-to-parole population studied here. Finally, the lack of large outcomes differences associated with a subset of cases placed directly at release onto summary and regular supervision provided some support for the utilization of this early, less costly, method of placement onto summary parole.

# CHAPTER VI

## ONE YEAR SUBSAMPLE FOLLOW-UP

Findings based on short term follow-up such as six months are not always reliable. Longer follow-up periods of two to five years are more desirable. However, when analysis began for the cases in this study (November, 1977) only enough time had elapsed (allowing for arrest records to enter California State Bureau of Identification files) for a one year follow-up of cases released in the early part of the study period. Therefore, to increase the overall reliability of the study's findings this chapter reports the results of a one year follow-up for those study cases released from prison in the first (April - June, 1976) of the three quarters studied (April - December, 1976).

The question addressed is the same as that posed in the previous analysis -- is a summary form of supervision associated with a different frequency and severity of known criminal activity than exists under regular supervision?

Cases released from prison between April and June 1976 comprised a sample size of 281 cases or one-third (33.7%) of the total sample. These cases were divided amongst the seven study groups as follows:

| Type of selection/placement method | Type of supervision | | Total |
|---|---|---|---|
| | Summary (Experimentals) | Regular (Controls) | |
| DIRECT PLACEMENTS | | | |
| BE Selection - High/Medium Risk | $E_1$ = 47 | $C_1$ = 34 #1 | 81 |
| BE Selection - Low Risk | $E_2$ = 27 | $C_2$ = 25 | 52 |
| DELAYED PLACEMENTS | | #2 #3 | |
| PA Judgment for Summary | $E_3$ = 42 | $C_3$ = 42 | 84 |
| PA Judgment for Regular | - | $C_4$ = 64 | 64 |
| Total, not including $C_4$ | (E = 116) + | (C = 101) = | 217 |
| Total, including $C_4$ | (E = 116) + | (C = 165) = | 281 |

The one year follow-up of April - June releases are analyzed from the same three "total" and "subsample" groups used in the previous chapter. That is, findings are presented to the base of:

1. Direct placement only cases (N= 133)
   ($E_1 + E_2$ vs. $C_1 + C_2$)

2. Direct and delayed placement cases, randomized only (N= 217)
   ($E_1 + E_2 + E_3$ vs. $C_1 + C_2 + C_3$)

3. All study cases (N = 281)
   ($E_1 + E_2 + E_3$ vs. $C_1 + C_2 + C_3 + C_4$)

This variety of analyses permits the examination of a mixture of direct and delayed placements, as well as the separate impact of direct placements, onto summary supervision.

The one year follow-up of April - June, 1976 releases is based on the same four quantitative and qualitative measures of known criminal activity used in the previous six month analysis:

1. arrest and conviction records
2. offense type and severity
3. dispositions
4. custody-free time in the community

The only difference from the previous analysis is that the criminal activity reported here is based on a longer one year period in the community. As the period-at-risk increases for a cohort so does its crime rate. Therefore, it was expected that the crime rates analyzed for this longer follow-up period would be higher. The sample sizes from which these rates were derived however, are smaller as only one-third of the total sample was analyzed.

## Sample Representativeness

There was no reason to suspect that the cohort analyzed for this longer term follow-up (April - June, 1976 releases) was any different from the cohort not analyzed (July - December, 1976). The release and selection procedures used for the study sample remained consistent throughout the entire selection period. To assure that changes unknown to this researcher did not occur and result in an April - June, 1976 sample different in likelihood of return to criminal activity from the remaining July - December, 1976 sample, a check was made.

Study cases released between April and June, 1976 were compared to those released between July and December, 1976 on (1) a set of selected criminal and demographic background variables and (2) six month criminal arrest and conviction records. The first set of data test whether the April - June cohort was a group with backgrounds similar to the remaining study cohort not examined and the second set examines whether the April - June cohort experienced similar rates of return to criminal activity after six months as the remaining study cohort.

Tables 30 and 31 compare the distribution of the second quarter, 1976 releases to the combined third and fourth quarters releases on nine criminal and demographic variables. The largest difference between the two release cohorts was five percentage points in the distribution of cases with some prior jail, juvenile or prison commitment (85.1% 2nd quarter vs. 90.3% 3rd/4th quarters) and in the distribution of cases with a narcotic history (60.5% 2nd quarter vs. 65.3% 3rd/4th quarters). Neither of these differences however, was statistically significant at the .05 level. The differences in the distribution of the two release cohorts on the remaining seven characteristics including commitment offense, escape history, admission type, age, race and educational level were never larger than two or three percentage points.

A more direct, ex post facto, test of their similar likelihood of return to criminal activity is to compare the six month outcomes of the two release cohorts. Table 32 examined the criminal arrest and conviction records for the two release cohorts and found a non-significant two percentage point difference in the proportion of cases arrested (29.5% 2nd vs. 31.4% 3rd/4th) and proportion of cases convicted (18.1% 2nd vs. 20.2% 3rd/4th) after six months.

It was concluded that the 2nd quarter release cohort analyzed in this chapter was similar enough in its background characteristics and in its first six months outcome to the remaining study population not analyzed (i.e., 3rd and 4th quarter releases) to be considered representive of the entire study population. The one year follow-up findings reported in this chapter can be generalized to the entire 38% of releases addressed by this project.

Study Group Comparability

Before presenting the one year outcome findings it is important to check that the randomization procedures

TABLE 30

Selected Criminal Characteristics by
Study Period Quarter of Release

| Selected criminal characteristics | Study period quarter of release | | | | | | Statistical significance of difference |
|---|---|---|---|---|---|---|---|
| | Total study period | | April – June 2nd Qtr. | | July – Dec. 3rd + 4th Qtr. | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Commitment offense | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 | |
| Person | 355 | 42.5 | 115 | 40.9 | 240 | 43.3 | $x^2 = 1.315$ |
| Property | 343 | 41.1 | 123 | 43.8 | 220 | 39.7 | df= 3 |
| Narcotics/drugs | 102 | 12.2 | 32 | 11.4 | 70 | 12.6 | p >.05 |
| Other felony | 35 | 4.2 | 11 | 3.9 | 24 | 4.3 | |
| Prior commitment record | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 · | |
| None | 96 | 11.5 | 42 | 14.9 | 54 | 9.7 | $x^2 = 5.105$ |
| Prior jail or juvenile | 422 | 50.5 | 134 | 47.7 | 288 | 52.0 | df= 2 |
| Prior prison | 317 | 38.0 | 105 | 37.4 | 212 | 38.3 | p >.05 |
| Escape history | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 | |
| No escape record | 641 | 76.8 | 217 | 77.2 | 424 | 76.5 | z= 0.226 |
| Prior escape record | 194 | 23.2 | 64 | 22.8 | 130 | 23.5 | p >.05 |
| Admission type | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 | |
| New admission | 688 | 82.4 | 230 | 81.9 | 458 | 82.7 | z= 0.286 |
| Return by court or board | 147 | 17.6 | 51 | 18.1 | 96 | 17.3 | p >.05 |

TABLE 30 - continued

Selected Criminal Characteristics by
Study Period Quarter of Release

| Selected criminal characteristics | Study period quarter of release | | | | | | Statistical significance of difference |
| --- | --- | --- | --- | --- | --- | --- | --- |
| | Total study period | | April - June 2nd Qtr. | | July - Dec. 3rd + 4th Qtr. | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Narcotic history | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 | |
| None | 303 | 36.3 | 111 | 39.5 | 192 | 34.7 | z= 1.360 |
| Addict | 532 | 63.7 | 170 | 60.5 | 362 | 65.3 | p >.05 |
| Base Expectancy 76A Score | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 | |
| High/Medium risk (00-17) | 605 | 72.5 | 197 | 70.1 | 408 | 73.6 | z= 1.067 |
| Low risk (18-45) | 230 | 27.5 | 84 | 29.9 | 146 | 26.4 | p >.05 |

## TABLE 31

### Selected Demographic Characteristics by
### Study Period Quarter of Release

| Selected demographic characteristics | Study period quarter of release | | | | | | Statistical significance of difference |
|---|---|---|---|---|---|---|---|
| | Total study period | | April – June 2nd Qtr. | | July – Dec. 3rd + 4th Qtr. | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | |
| Age as of December 31, 1976 | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 | |
| 20 - 29 | 439 | 52.6 | 154 | 54.8 | 285 | 51.4 | $x^2$= 4.358 |
| 30 - 39 | 232 | 27.8 | 76 | 27.0 | 156 | 28.2 | df= 3 |
| 40 - 49 | 116 | 13.9 | 31 | 11.0 | 85 | 15.3 | p >.05 |
| 50 and over | 48 | 5.7 | 20 | 7.1 | 28 | 5.1 | |
| Racial/ethnic group | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 | |
| White | 360 | 43.1 | 124 | 44.1 | 236 | 42.6 | $x^2$= 1.242 |
| Mexican/American | 106 | 12.7 | 31 | 11.0 | 75 | 13.5 | df= 3 |
| Black | 352 | 42.2 | 121 | 43.1 | 231 | 41.7 | p >.05 |
| Other | 17 | 2.0 | 5 | 1.8 | 12 | 2.2 | |
| Educational level at admission | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 | |
| Some grammar or less | 188 | 22.5 | 64 | 22.8 | 124 | 22.4 | $x^2$= 0.046 |
| Completed grammar | 101 | 12.1 | 34 | 12.1 | 67 | 12.1 | df= 3 |
| Some high school | 491 | 58.8 | 164 | 58.4 | 327 | 59.0 | p >.05 |
| Completed high school | 55 | 6.6 | 19 | 6.8 | 36 | 6.5 | |

TABLE 32

Criminal Arrests and Convictions
for Six Month Follow-up
by Study Period Quarter of Release

| Criminal arrests and convictions | Study period quarter of release | | | | | |
| | Total study period (Six month follow-up cohort) | | 2nd Quarter April - June (One year follow-up cohort) | | 3rd + 4th Quarter July - Dec. (all others) | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Total, all cases | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 |
| Not arrested | 578 | 69.2 | 198 | 70.5 | 380 | 68.6 |
| Arrested | 257 | 30.8 | 83 | 29.5 | 174 | 31.4 |
| Total, all cases | 835 | 100.0 | 281 | 100.0 | 554 | 100.0 |
| Not convicted | 672 | 80.5 | 230 | 81.9 | 442 | 79.8 |
| Convicted | 163 | 19.5 | 51 | 18.1 | 112 | 20.2 |

Arrests:   $z= 0.560$, $p > .05$
Convictions: $z= 0.722$, $p > .05$

worked by producing summary and regular supervision cases
similar in background to each other. Only then can
differences discovered, or the lack thereof, be more
assuredly attributed to the differences in the types of
supervision delivered.

Tables 33 and 34 compare the distribution of nine
criminal and demographic characteristics for the
experimentals and controls within the direct placement
cases (N= 133) of the one year follow-up cohort. A few
differences appeared including a different distribution of
cases committed to prison on person type offenses (36.5%
summary vs. 50.8% regular), narcotic type offenses (13.5%
summary vs. 3.4% regular), proportion of BE defined high
and medium risk cases (63.5% summary vs. 57.6% regular)
and Whites (47.3% summary vs. 35.6% regular). None of
these differences was statistically significant, and some
were based on very small cell sizes. Differences on the
remaining seven characteristics including prior commitment
record, escape history, admission type, narcotic history,
age, and educational level rarely exceeded more than four
percentage points and were also not statistically
significant.

Tables 35 and 36 present an identical comparison
except for the larger subset of direct plus delayed
placement cases (N= 217). As with the above comparison a
few larger differences between experimentals and controls
occurred including a different proportion of cases with a
narcotic history (51.7% summary vs. 64.4% regular) and a
different proportion of Whites (4 .7% summary vs. 36.6%
regular). These differences were not quite statistically
significant at the .05 level. Differences in the
remaining seven characteristics were smaller, averaging
about four or five percentage points, and not
statistically significant.

When the non-randomized agent-judged-regular group is
included as part of the control group (i.e., all study
cases, N= 281), a statistically significant difference
appeared between experimentals and controls in the
proportion of cases with a narcotic history (51.7% summary
vs. 66.7% regular). The differences in the remaining
eight background characteristics averaged four or five
percentage points and were not statistically significant
at the .05 level (Tables 35 and 36).

TABLE 33

Selected Criminal Characteristics
for One Year Follow-up Subsample by
Type of Supervision
(Direct Placement Cases Only)

| Selected criminal characteristics | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Commitment offense | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| Person | 57 | 42.9 | 27 | 36.5 | 30 | 50.8 |
| Property | 58 | 43.6 | 33 | 44.6 | 25 | 42.4 |
| Narcotics/drugs | 12 | 9.0 | 10 | 13.5 | 2 | 3.4 |
| Other felony | 6 | 4.5 | 4 | 5.4 | 2 | 3.4 |
| Prior commitment record | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| None | 26 | 19.5 | 14 | 18.9 | 12 | 20.3 |
| Prior jail or juvenile | 59 | 44.4 | 32 | 43.2 | 27 | 45.8 |
| Prior prison | 48 | 36.1 | 28 | 37.8 | 20 | 33.9 |
| Escape history | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| No escape record | 99 | 74.4 | 56 | 75.7 | 43 | 72.9 |
| Prior escape record | 34 | 25.6 | 18 | 24.3 | 16 | 27.1 |
| Admission type | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| New admission | 112 | 84.2 | 62 | 83.8 | 50 | 84.7 |
| Return by court or board | 21 | 15.8 | 12 | 16.2 | 9 | 15.3 |
| Narcotic history | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| None | 62 | 46.6 | 34 | 45.9 | 28 | 47.5 |
| Addict | 71 | 53.4 | 40 | 54.1 | 31 | 52.5 |
| Base Expectancy 76A Score | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| High/Medium risk (00-17) | 81 | 60.9 | 47 | 63.5 | 34 | 57.6 |
| Low risk (18-45) | 52 | 39.1 | 27 | 36.5 | 25 | 42.4 |

Commitment offense: $x^2 = 5.641$, df= 3, p >.05

Prior commitment record: $x^2 = 0.222$, df= 2, p >.05

Escape history: z= 0.367, p >.05

Admission type: z= 0.141, p >.05

Narcotic history: z= 0.184, p >.05

Base Expectancy: z= 0.692, p >.05

TABLE 34

Selected Demographic Characteristics
for One Year Follow-up Subsample by
Type of Supervision
(Direct Placement Cases Only)

| Selected demographic characteristics | Type of supervision (direct placement cases only) | | | | | |
|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | |
| | No. | Pct. | No. | Pct. | No. | Pct. |
| Age as of December 31, 1976 | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| 20 - 29 | 70 | 52.6 | 40 | 54.1 | 30 | 50.8 |
| 30 - 39 | 32 | 24.1 | 17 | 23.0 | 15 | 25.4 |
| 40 - 49 | 15 | 11.3 | 7 | 9.5 | 8 | 13.6 |
| 50 and over | 16 | 12.0 | 10 | 13.5 | 6 | 10.2 |
| Racial/ethnic group | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| White | 56 | 42.1 | 35 | 47.3 | 21 | 35.6 |
| Mexican/American | 17 | 12.8 | 13 | 17.6 | 4 | 6.8 |
| Black | 59 | 44.4 | 26 | 35.1 | 33 | 55.9 |
| Other | 1 | 0.8 | 0 | 0.0 | 1 | 1.7 |
| Educational level at admission | 133 | 100.0 | 74 | 100.0 | 59 | 100.0 |
| Some grammar or less | 35 | 26.3 | 18 | 24.3 | 17 | 28.8 |
| Completed grammar | 13 | 9.8 | 6 | 8.1 | 7 | 11.9 |
| Some high school | 72 | 54.1 | 43 | 58.1 | 29 | 49.2 |
| Completed high school | 13 | 9.8 | 7 | 9.5 | 6 | 10.2 |

Age as of 12/31/76:  $x^2 = 0.940$, df= 3, p >.05

Race/Ethnic group:  $x^2 = 8.512$, df= 3, p <.05

Educational level:  $x^2 = 1.229$, df= 3, p >.05

TABLE 35

Selected Criminal Characteristics for
One Year Follow-up Subsample
by Type of Supervision

| Selected criminal characteristics | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Commitment offense | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| Person | 115 | 40.9 | 48 | 41.4 | 67 | 40.6 | 47 | 46.5 |
| Property | 123 | 43.8 | 47 | 40.5 | 76 | 46.1 | 45 | 44.6 |
| Narcotics/drugs | 32 | 11.4 | 15 | 12.9 | 17 | 10.3 | 7 | 6.9 |
| Other felony | 11 | 3.9 | 6 | 5.2 | 5 | 3.0 | 2 | 2.0 |
| Prior commitment record | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| None | 42 | 14.9 | 19 | 16.4 | 23 | 13.9 | 21 | 20.8 |
| Prior jail or juvenile | 134 | 47.7 | 57 | 49.1 | 77 | 46.7 | 45 | 44.6 |
| Prior prison | 105 | 37.4 | 40 | 34.5 | 65 | 39.4 | 35 | 34.7 |
| Escape history | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| No escape record | 217 | 77.2 | 89 | 76.7 | 128 | 77.6 | 80 | 79.2 |
| Prior escape record | 64 | 22.8 | 27 | 23.3 | 37 | 22.4 | 21 | 20.8 |
| Admission type | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| New admission | 230 | 81.9 | 96 | 82.8 | 134 | 81.2 | 83 | 82.2 |
| Return by court or board | 51 | 18.1 | 20 | 17.2 | 31 | 18.8 | 18 | 17.8 |

TABLE 35 - continued

Selected Criminal Characteristics for
One Year Follow-up Subsample
by Type of Supervision

| Selected criminal characteristics | Type of supervision | | | | | | Randomized regular only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Narcotic history | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| None | 111 | 39.5 | 56 | 48.3 | 55 | 33.3 | 36 | 35.6 |
| Addict | 170 | 60.5 | 60 | 51.7 | 110 | 66.7 | 65 | 64.4 |
| Base Expectancy 76A Score | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| High/Medium risk (00-17) | 197 | 70.1 | 79 | 68.1 | 118 | 71.5 | 64 | 63.4 |
| Low risk (18-45) | 84 | 29.9 | 37 | 31.9 | 47 | 28.5 | 37 | 36.7 |

| Characteristic | Summary vs. Randomized Regular | Summary vs. Regular |
|---|---|---|
| Commitment offense (df= 3) | $X_2^2$= 3.945, p >.05 | $X_2^2$= 1.700, p >.05 |
| Prior commitment record (df= 2) | $X^2$= 0.812, p >.05 | $X^2$= 0.798, p >.05 |
| Escape history | z= 0.442, p >.05 | z= 0.177, p >.05 |
| Admission type | z= 0.116, p >.05 | z= 0.343, p >.05 |
| Narcotic history | z= 1.890, p >.05 | z= 2.530, p <.05 |
| Base Expectancy | z= 0.729, p >.05 | z= 0.613, p >.05 |

TABLE 36

Selected Demographic Characteristics for
One Year Follow-up Subsample
by Type of Supervision

| Selected demographic characteristics | Type of supervision | | | | | | Randomized randomized only | |
|---|---|---|---|---|---|---|---|---|
| | Total | | Summary | | Regular | | | |
| | No. | Pct. | No. | Pct. | No. | Pct. | No. | Pct. |
| Age as of December 31, 1976 | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| 20 - 29 | 154 | 54.8 | 62 | 53.4 | 92 | 55.8 | 59 | 58.4 |
| 30 - 39 | 76 | 27.0 | 30 | 25.9 | 46 | 27.9 | 24 | 23.8 |
| 40 - 49 | 31 | 11.0 | 12 | 10.3 | 19 | 11.5 | 11 | 10.9 |
| 50 and over | 20 | 7.1 | 12 | 10.3 | 8 | 4.8 | 7 | 6.9 |
| Racial/ethnic group | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| White | 124 | 44.1 | 53 | 45.7 | 71 | 43.0 | 37 | 36.6 |
| Mexican/American | 31 | 11.0 | 16 | 13.8 | 15 | 9.1 | 7 | 6.9 |
| Black | 121 | 43.1 | 46 | 39.7 | 75 | 45.4 | 55 | 54.5 |
| Other | 5 | 1.8 | 1 | 0.9 | 4 | 2.4 | 2 | 2.0 |
| Educational level at admission | 281 | 100.0 | 116 | 100.0 | 165 | 100.0 | 101 | 100.0 |
| Some grammar or less | 64 | 22.8 | 29 | 25.0 | 35 | 21.2 | 26 | 25.7 |
| Completed grammar | 34 | 12.1 | 9 | 7.8 | 25 | 15.2 | 14 | 13.9 |
| Some high school | 164 | 58.4 | 71 | 61.2 | 93 | 56.4 | 53 | 52.5 |
| Completed high school | 19 | 6.8 | 7 | 6.0 | 12 | 7.3 | 8 | 7.9 |

| Characteristic | Summary vs. Randomized Regular | Summary vs. Regular |
|---|---|---|
| Age as of 12/31/76 (df= 3) | $X^2_2= 1.069$, p >.05 | $X^2_2= 3.144$, p >.05 |
| Racial/ethnic group (df= 3) | $X^2_2= 6.496$, p >.05 | $X^2_2= 2.941$, p >.05 |
| Educational level (df= 3) | $X^2= 2.907$, p >.05 | $X^2= 3.934$, p >.05 |

The randomization process produced experimental and control groups generally similar to each other within each of the three total and subsample groups of the one year follow-up cohort. It is noted that the few differences which did appear for this one year follow-up cohort were generally "larger" than the differences found in the cohort used for the six month follow-up analysis. This is likely a result of the smaller sample size available for the one year cohort. The reader is cautioned to examine the cell sizes before regarding any large differences in proportions found in this and in subsequent analysis as real.

## Outcomes Based On Three Total and Subset Samples

Arrest and conviction records. The arrest and the conviction records one year after release were examined first for those cases placed directly (N= 133) to determine whether the reduced level of supervision provided under summary parole is associated with a different criminal activity level than exists under regular parole.

There was an eight percentage point difference with a lower proportion of the summary than regular supervision cases experiencing at least one criminal arrest (33.8% summary versus 42.4% regular), although this difference was not quite statistically significant at the .05 level. The difference is half that amount on the criterion of convictions (23.0% summary vs. 27.1% regular). These findings are shown in Table 37A.

When experimentals and controls are compared for the larger randomized sample including both direct and delayed placements (N= 217), the same findings hold. There was a lower proportion of cases with an arrest (31.9% summary vs. 40.6% regular) and a lower proportion of cases with a conviction (19.0% summary vs. 27.7% regular) under summary supervision. Neither of these eight percentage point differences quite reached significance at the .05 level. These findings are shown in Table 37B.

When the comparison is expanded to include the non-randomized agent-judged-regular group in the controls (N = 281) the differences between supervision types became larger and statistically significant (31.9% summary vs. 49.7% regular with arrests; 19.0% summary vs. 34.5% regular with convictions). However, as this finding

involves the comparison of a non-randomized group, these very large statistically significant differences may be due to background factor differences and not to the type of supervision delivered.

Not only were there fewer cases under summary supervision experiencing "at least one" arrest or conviction but there was a slight difference in mean number of times each case was arrested or convicted. Table 38A shows a slightly higher average number of arrests per case (1.68 summary vs. 1.64 regular) but a slightly lower average number of convictions per case (1.29 summary vs. 1.38 regular) under summary than under regular parole for those placed directly (Table 38A). For those placed both on a direct and a delayed basis (Table 38B) summary parolees experienced a slightly lower average number of arrest per case arrested (1.54 summary vs. 1.73 regular) and a slightly lower average number of convictions per case convicted (1.23 summary vs. 1.43 regular).

Together these findings on arrest and conviction records appear to indicate that for the longer term follow-up of one year, summary supervision may be associated with a lower rate of recidivism. An examination of other measures of return to criminal activity should provide further evidence.

Offense types and seriousness. Tables 39A and B examine the total arrest incidents for the one year follow-up cohort to determine whether summary parolees differed from regular parolees on the type of offense for which they were arrested.

An examination of the directly placed cases (Table 39A) showed a higher proportion of person type arrest incidents under summary (23.8%) than under regular parole (12.2%). This finding, as well as the distribution among the other offense types, is based on an extremely small number of cases; and the differences between the supervision types in the "overall" mix of the offense types was not statistically significant.

When the number of cases are expanded to include both direct and delayed placement cases (Table 39B), there is also a higher proportion of person type arrest incidents on summary (22.8%) than on regular parole (9.9%). However, despite the increased study sample size analyzed in this table, the number of cases upon which this apparent difference is based continues to be too small to draw firm conclusions.

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APPENDICES

Appendix A

State of California
Department of Corrections
Parole and Community Services Division

INSTRUCTIONS FOR PARTICIPANTS IN SUMMARY PAROLE

You have been selected to take part in a special program known as Summary Parole. All of the conditions of the parole agreement you signed remain in force, including any special conditions. However, on this program you will not be required to contact your parole agent on a regular basis or if you change your employment or place of residence within the State of California.

If you have any plans to leave California, or if you develop any plans in the future, you must meet with a parole agent and discuss these plans with the agent before leaving the state. If you fail to do this, your parole may be suspended and you would become an escaped prisoner by operation of Penal Code Section 3059. If you plan to leave California permanently, your status as a Summary Parole participant will be converted to that of a regular parolee.

You must also contact your parole agent just before the time to submit a recommendation for discharge. Failure to do so may result in your parole being suspended and you being reported at large. Your participation in this program does not alter any provisions or eligibility requirements for discharge from parole.

Assistance on any problem is always available from a parole agent if you request it.

Should any information adverse to you and affecting public safety be received, an investigation by a parole agent will be conducted. If you should be arrested for any reason, your parole agent will evaluate the matter and take whatever action appears to be appropriate.

Your Summary Parole participation is revocable only by the Adult Authority. Should the Adult Authority revoke your status as a participant in the program but continue you on parole, you will be required to meet with your agent on a regular basis and will have to report all changes in employment or residence, as well as continue to comply with all conditions of your parole agreement.

Due to the experimental nature of this program, the project may be terminated at any time in which case your status as a Summary Parole participant will be converted to that of a regular parolee.

I have read and accept the above.

Witnessed by:

_____
(Signature)

_____        _____
(Date)

---

Appendix B

BASE EXPECTANCY 76A SCALE

Predictor Variables

- No prior commitment record

- Limited prior commitment record (not more than two jail or juvenile commitments or one prison commitment)

- Commitment for homicide, assault, or sex

- No commitment for burglary or checks

- Age at release

- No escape record

Score Range:  00 - 45

Low risk group:  18 - 45

High and medium risk group:  00 - 17

Source:  Machine calculated from CDC Master Statistical File

Derived Via:  Multiple linear regression analysis

How Developed:

The Base Expectancy 76A Score was developed as a machine-scorable alternative risk scale to the prior routinely hand scored Base Expectancy 61A score which, because of the excessive manpower expenditure required to maintain the score, was discontinued in 1976. Four alternative scores were tested on 1968 to 1972 releasees for whom two year outcome data was available, and the BE 60A (originally developed in 1960 by Don Gottfredson from punch card data on 1956 releasees) was selected on the criterion that it best replicated the BE 61A (i.e., produced similar individual ranking with the same degree of discrimination). However, since the BE 60A contained race as one of the predictor variables, race was removed from the BE 60A formula and the resulting new scale (BE 76A) was developed, tested and determined the most replicative, machine scorable, alternative to BE 61A.

Appendix C

PAROLE OUTCOME CATEGORIES
(Most Serious Disposition)

Favorable

Clean

- No record of arrests or other parole violations.

Other Favorable

- Arrests and release (with or without trial).
- Parolee-at-large, with no known violation and for less than six months.
- Jail sentence of less than 90 days, or any jail sentence totally suspended or misdemeanor probation, or fine only, or bail forfeited.

Unfavorable

Pending

- Parole violation occurred but disposition was pending at the termination of the follow-up period.

Miscellaneous Unfavorable

- Parolee-at-large with a felony warrant, or parolee-at-large for more than six months.
- Declared by court as criminally insane.
- Arrested on felony charge and released, but guilt admitted and restitution provided.
- Death in the commission of a crime.
- Death from a drug overdose.
- Jail sentence of more than 89 days.
- Felony probation of 5 years or more.
- Suspended prison sentence.
- Civil commitment for narcotic addiction to the California Rehabilitation Center.

Return to Prison

Board Ordered

- Any return to a California prison by order of the Adult Authority and without a new court commitment to prison.
- Return to prison by the Adult Authority for a short term, including narcotic treatment-control unit and short-term return unit.

Court Commitment

- Any return to prison in California or other jurisdiction by order of a court as a result of a criminal conviction.

-187-

Appendix D

TYPES OF CONTACT CATEGORIES

Release to Parole: contacts to make the transition from prison to parole. Specifically these contacts include those whose purpose is to 1) set up or conduct an initial interview and explain the conditions of parole, 2) deliver prison account and release funds and 3) deliver prison mail and material.

Required: contacts between agents and parolees which are mandatory (irregardless of summary versus regular status). Specifically, this includes contacts to 1) obtain out-of-state travel permission and 2) conduct one year early discharge reviews.

Actual Check-up: contacts between agents and parolees which are not mandatory but, because of the status of being on parole, usually occur. The common purpose of these contacts are to "verify" the residential, employment and non-criminal activities of the parolee, therefore called "check-up" contacts. Included in this category are contacts to inform the agent of a new address, job change, return from out-of-state travel or plans for instate travel; to participate in anti-narcotic testing, and to meet preplanned appointments (purpose not designated).

Talking: contacts between the parole agent and parolee with no designated purpose other than to talk or update current living, employment and personal activity information.

Attempted Check-up: same kinds of contacts encoded under "actual check-up" except the contacts were unsuccessful because either the agent was not available (i.e., out of office), or the parolee or collateral was not available, (i.e., not at home or at work). Many of the contacts coded here were partially successful in that a collateral contact was often made (i.e., someone else was home) in place of the attempted parolee contact.

Arrest/Violation - Law Enforcement: contacts initiated by local law enforcement with the parole agent to inform the agent of known or suspected criminal activity or a parole violation.

Arrest/Violation - Non-Law Enforcement: contacts initiated with the parole agent by individuals other than local law enforcement for the purpose of informing the agent of an actual or suspected criminal activity or parole violation. Included here are those notifications of a violation initiated by the parolee's family, wife, acquaintance, or attorney; by an informant, by a victim, by the parolee, and by the agent himself.

-188-

After - Arrest Processing:  contacts which are necessary after a parolee has been arrested in order to process the case through either the regular criminal justice system or the parole revocation system. These contacts include those to verify an arrest, interview the parolee on the alleged charges, serve necessary parole revocation legal documents (e.g., CDC 266), confirming court hearing dates, discuss court or parole board hearing procedures, place or remove parole holds and supply or substantiate evidence on alleged charges.

Other Required Status:  miscellaneous contacts which along with the initial interview, release funds, out-of-state travel, and early discharge contacts are mandatory agent/parolee contacts.  This category includes a mail contact to establish prior jailtime credits, informing the parolee he has been transferred to another agent, obtaining prison visitation approval and contacts relating to the final fixing of a parolee's term.

Other Status:  miscellaneous contacts which are not mandatory, but because of the status of being on parole usually occur.  Generally, these contacts are outside - CDC requests for status verification of the parolee, including police registration requirements.

Services/Counseling:  contacts between the agent and parolee for the purpose of obtaining some assistance and to resolve some personal problem.  Included are contacts to obtain cash, residential, employment, educational, health or materials assistance; obtaining a drivers license, clearing old traffic warrants, and counseling marital, family, employer and other personal problems.

Unknown:  contacts whose purpose is undecipherable from the information available.

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SELLIN - WOLFGANG SERIOUSNESS COMPONENTS AND WEIGHTS

| Elements Scored 1 | Number 2 | x Weight 3 | = Total 4 |
|---|---|---|---|
| I.   Number of victims of bodily harm | | | |
| (a)  Receiving minor injuries | | 1 | |
| (b)  Treated and discharged | | 4 | |
| (c)  Hospitalized | | 7 | |
| (d)  Killed | | 26 | |
| II.   Number of victims of forcible sex intercourse (and) | | 10 | |
| (a)  Number of such victims intimidated by weapon | | 2 | |
| III.  Intimidation (except II above) | | | |
| (a)  Physical or verbal only | | 2 | |
| (b)  By weapon | | 4 | |
| IV.   Number of premises forcibly entered | | 1 | |
| V.    Number of motor vehicles stolen | | 2 | |
| VI.   Value of property stolen, damaged, or destroyed (in dollars) | | | |
| (a)  Under 10 dollars | | 1 | |
| (b)     10 -      250 | | 2 | |
| (c)    251 -     2000 | | 3 | |
| (d)   2001 -     9000 | | 4 | |
| (e)   9001 -   30,000 | | 5 | |
| (f) 30,001 -   80,000 | | 6 | |
| (h)  Over 80,000 | | 7 | |
| TOTAL SCORE | | | |

From:  Sellin, T. & Wolfgang, M.  The measurement of delinquency. New York:  John Wiley and Sons, 1964.

REASONS FOR PAROLE AGENT
PLACEMENT JUDGMENT CATEGORIES

## Personal Characteristics

Reasons tabulated in the "personal characteristics" category are those parole agent judgments of the parolee's personal attributes. These reasons commonly include explanations of either the parolee's motivation, attitude, intelligence, age, dependability, responsibleness, emotionality or maturity.

## Prior Criminal Background

Reasons tabulated in the "prior criminal background" category are those parole agent judgments of the frequency and severity of the parolees involvement in the criminal justice system prior to the current release to parole status. These reasons commonly include explanations of the parolee's prior commitment(s) to prison, history of violent or aggressive behavior, or history of addiction or alcohol abuse.

## Alcohol and/or Drug Abuse

Reasons tabulated in the "alcohol and/or drug abuse" category are those parole agent judgments of the parolee's current direct or indirect involvement in drug and/or alcohol abuse. These reasons commonly include explanations of the parolee's cooperation in anti-narcotic testing, results of such testing, association with drug users, and evidence of use or non-use of alcohol or drugs.

## Criminal Behavior During Initial Release Period

Reasons tabulated in the "criminal behavior" category are those parole agent judgments of the frequency and severity of the parolee's involvement in the criminal justice system while in the community (i.e., on parole) for the period just prior to the clinical recommendation. These reasons commonly include explanations of any arrests, any police contacts, pending parole board actions, custody status or general criminal behaviors exhibited.

## Social Adjustment During Initial Release Period

Due to the large range of explanations falling under the "social behavior" category, five specific kinds of social behavior subcategories were developed.

### Employment/Financial

Reasons tabulated in the "employment/financial" category are those parole agent judgments of the parolee's current means of support (usually through employment, public assistance, or family assistance). These reasons commonly include explanations of the parolee's current job status, job skills, job seeking efforts, ability to pay debts, extent of family financial assistance received or extent of public financial assistance received.

### Residence

Reasons tabulated in the "residence" category are those parole agent judgments of the parolee's current living situation. These reasons commonly include general explanations of the independentness, supportiveness, or other problems associated with the residence situation.

### Interpersonal Relations

Reasons tabulated in the "interpersonal relations" category are those parole agent judgements of the parolee's current relationships with other people, primarily family and friends. These reasons commonly include explanations of the stability and/or supportiveness of the parolee's wife or family, association with other offenders, and leisure time activities.

### Education

Reasons tabulated in the "education" category are those parole agent judgments of the parolee's current educational status. These reasons commonly include explanations of the status of some current vocational or academic enrollment or plans for such enrollment.

### Health

Reasons tabulated in the "health" category are those parole agent judgments of the parolee's physical and mental health status. These reasons commonly include explanations of the parolee's current physical condition, extent of any mental health problems, participation in therapy or treatment, and results of any recent psychiatric reports.

### Response of Case to Supervision (Supervisability)

Reasons tabulated in the "supervisability" category are those parole agent judgments of either the parole agents ability to successfully manage or direct the case or of the parolee's ability to be managed or directed by the agent. These reasons commonly include explanations of the parolee's cooperativeness with the agent, need for anti-narcotic testing, ability to be contacted by the agent, current absconder status, short time remaining for supervision, ability to comply with the conditions of parole, need for supervision, ability to benefit from supervision, request for further support, or general "amenableness" to supervision.

## General Adjustment

Reasons tabulated in the "general adjustment" category are those parole agent judgments of the parolee's overall ability to adjust to community life. These reasons commonly include general statements as to the parolee's overall adjustments such as good, poor, satisfactory or excellant, parolee is "managing life well", or the parolee is experiencing problems.

END