

DEPARTMENT OF OFFENDER REHABILITATION

67770

THE EARNED TIME SYSTEM:
FIRST ANNUAL EVALUATION



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EXECUTIVE SUMMARY

After 15 months as a Georgia law, the Earned Time System is implemented to a greater or lesser degree in every state and county institution. The time has now arrived to assess that implementation and to consider methods of improving it.

The success of any new program lies primarily with the motivation projected by upper management. And so with Earned Time: where managers have supported staff efforts and encouraged innovations, the System has been most thoroughly implemented. Where staff perceived that support to be lacking, one or many of the processes have been ignored or eliminated. These varying attitudes were most clearly operationalized at a smaller state institution in the Southwest District and a county camp in the Northern District. At the former facility, counselors were faced with caseloads of 190 each yet, encouraged by upper management, developed Performance Plans in a thorough if not timely manner. At the county camp, with similar caseloads but no managerial support, Plans were completed sporadically and Quarterlies and performance reports, not at all.

Generally, institutions built upon previous successes. Thus, the Youthful Offender institutions, diagnostic center, and a county camp--all of which had a formal case management system before ETS--simply altered their documentation requirements as needed to comply with Earned Time procedural requirements. Institutions such as the state's largest for young offenders that already had a functioning performance-based privilege system have a similarly successful one under ETS. In addition, new institutions whose staff did not have to unlearn established procedures have been successful in introducing new techniques to deal with old problems. (e.g., Case Managers carry notebooks for later transcription into inmate files, to reduce time

spent in numerous trips to the records room.)

Not all processes have been equally as well implemented at all institutions. The county camp with the exemplary case management system, for example, has no performance rating process. The young offender institution with the model privilege system is hampered in its efforts toward timely Plan completion by the requirement for an FBI Transcript before classifying an inmate according to Earned Time System procedures.

Overall, more training of a more specific nature seems to be needed, particularly in the areas of need assessment and Plan development.

The Earned Time System, like the individual institutions, must build on identified successes. Portions of the System that are functioning at one institution may serve as a model for others. Certain processes need to be reassessed to determine their viability after 15 months' experience; one of these may well be the habituality distinction. Timeline problems need to be addressed, perhaps by altering the procedural deadline of 60 days for Plan development.

More support more consistently is most definitely needed from upper management, possibly structured as a formal staff incentive program. And finally, an ongoing monitoring and evaluative effort is necessary to provide periodic assessments of the Earned Time System as well as supportive data for further refinements.

Is the Earned Time System working? No simple answer will do: successful elements coexist with unsuccessful ones at every institution. The best that can be said, perhaps, is that change comes slowly, but we have at least made a beginning.

1.0 INTRODUCTION

In his public position paper Dr. Allen Ault [1975], then Commissioner of Georgia's Department of Corrections/Offender Rehabilitation (DCOR), identified three major problems of the Georgia correctional system:

- (1) overcrowding;
- (2) a negative subjective philosophy of corrections; and
- (3) a lack of defined criteria for release on parole.

At the time, Georgia's institutions housed more than 11,000 inmates in facilities designed to hold 4,200. The situation is not much better today. The effects of overcrowding are varied: some are manifest; others, implied. Perhaps the most obvious is the simple inability of Georgia's Department of Offender Rehabilitation (DOR) to provide sufficient housing and food services for so large a volume of people. In addition, as the volume increases, the capability to provide both security and meaningful programs diminishes. Simultaneously, as living space per person decreases, the psychological pressures on the individual increase.

The second problem compounds the first: a negative, subjective philosophy of corrections which contributes to an already critical situation--the "good time" system. Under the tenets of this system an inmate is "given" a block of time at the beginning of his prison sentence, thereby allowing for his early release. Each time he exhibits a negative behavior or incurs a disciplinary infraction, some of his good time is taken away. However, if he is "good", he can have it restored. The system is negative and inconsistent for both inmate and correctional staff. The inmate is continually losing and regaining prison time based upon observance of some nebulous, unspecified

body of performance criteria. The correctional staff, on the other hand, develops an unrealistic feeling of power from their policing activities: unrealistic, because they are allowed no meaningful input into the system concerning the inmate's release or non-release.

This subjectivity, in turn, leads to the problem of unspecified criteria for release on parole. Thus, the inmate never really knows precisely what he must do to gain early release from prison on parole.

On July 1, 1976 the Georgia legislature enacted the Earned Time Law in an attempt to address these problems. This paper presents the results of the first-year evaluation of the Earned Time System, placing primary emphasis upon the degree of implementation of various documentation processes. Although it is too early to assess system impact thoroughly, the evaluation does present some preliminary data and suggests a direction for future data accumulation. Since the Earned Time System had not yet been introduced into community-based facilities during the data accumulation period of this report, the evaluation focuses on state and county correctional institutions.

It is important to note that, since the Earned Time System impinges upon so many elements of an inmate's institutional life, an evaluation of the System is tantamount to a review of the rehabilitation model as it presently exists in Georgia's correctional facilities. As such, this report suggests no easy answers. Rather, it presents certain quantifiable data accumulated over a six-month period and with that data, an interpretation based upon six additional months' observation of the Earned Time System and its implementation.

Since this evaluation is rather detailed, a narrative outline may help the reader to decide which Sections are most salient for his purposes.

Section 2.0 is a review of current literature as it pertains to the operant learning principles upon which the Earned Time System is based. Discussion centers around several recurring issues in the continuing dialogue about behavior change.

Section 3.0 provides an historical perspective of Departmental programs that set the stage for ETS.

Section 4.0 outlines the major evaluation criteria in terms of system processes.

Section 5.0 presents a detailed account of a new ETS inmate and his activities from orientation through parole consideration.

Section 6.0 is an overview of the ETS population as they compare in number, distribution, and racial and ability groups with the general population.

Section 7.0 provides the sampling technique used in selecting institutional files, privilege slips and Parole Board files for this evaluation.

Sections 8.0 through 10.0 present a detailed assessment of the case management process, performance rating system and privilege system. This assessment includes a checklist review of individual documents and some tentative conclusions regarding the quality of the documentation.

Section 11.0 presents preliminary data concerning such system impact criteria as a reduction in crowding and in institutional violence. (Although significant trends in population count and disciplinary report rates may occur with further implementation of ETS, this evaluation presents only the first year's data on these measures.)

Section 12.0 compares successful program completion rates of Earned Time inmates with those of any cohort of first-year incarcerants,

Section 13.0 reviews the quality of Earned Time System documentation provided to the Parole Board.

Section 14.0 presents conclusions and recommendations based upon the data included in previous sections and upon behavioral observations.

The author accepts full responsibility for the content of this evaluation.

2.0 LITERATURE REVIEW

2.1 Limit Definitions

The vast body of literature concerning learning principles has evolved over the entire course of man's written history. Only recently, however, has this literature focused upon the exact methods through which people acquire new skills and capabilities. These studies have important implications for the field of corrections and for basic philosophies concerning the incarcerated.

Each of three major concepts has at different times in various places served as the basis for dealing with the inmate: (1) that he is sick, or perhaps just deviant, and needs to be cured; (2) that he is inherently bad and needs to be punished; or (3) that he lacks certain skills that would enhance his adjustment to society and needs only to be taught. These views have come to be termed, respectively, the medical model; the punishment (or, more recently, the justice) model; and the rehabilitative model. Close reading of various policy documents emanating from the Georgia Department of Offender Rehabilitation indicates Departmental alignment with the latter [e.g., Annual Reports; and Ault, 1975]. Since the subject of this evaluation, the Earned Time System, is a performance-based rehabilitative model, the scope of this literature review will be restricted to recent analyses of issues raised by contingency-based programs.

2.2 Inmate Consent

The first major issue to be considered in any program designed to change a person's behavior is that of consent. This question is an especially difficult one when the client population are prison inmates [Shapiro, 1974]. Is "informed, voluntary consent" a viable concept when dealing with an

incarcerated individual? The pressures that militate against a positive response are numerous; for example, inmates generally believe that they will improve their chances for early parole by cooperating with institutional officials' requests to participate in any program; or they may feel that participation will be a welcome relief from the monotony of prison life.

Smith and Berlin [1974] consider this issue of the amount of self-determination allowed to both a "voluntary" client, e.g., a welfare recipient, and to an "involuntary" client, e.g., a prisoner. They observe that both classes are forced to submit to the casework process in which a counselor probes intrapsychic areas that may have nothing to do with the client's financial status or his incarceration. Non-submission to this process carries its own punishment: in the former case, loss of welfare benefits; in the latter, non-eligibility for early parole.

They also discuss Sociologist Henry Miller's contention that freedom of choice includes freedom to refuse treatment, provided one is willing to accept the consequences. (Miller extends this assertion to the situation of the offender--who should have the right to refuse rehabilitation and simply "do his time".)

With the proliferation of behavior change programs in the crime and delinquency area which are predicated upon operant learning principles, the importance of client consent has been more universally recognized. Generally, these programs utilize contingency consequences to teach pro-social adaptive skills to offenders. In order to safeguard the clients' rights such programs require voluntary, informed consent and client participation in the program's decision-making process [Braukmann et al, 1975].

2.3 Ethical Considerations

The question of voluntary consent in these institutional programs may,

of course, be viewed as part of a broader consideration of the appropriateness of any behavior change program within the confines of a prison. Frequently, the goal of these programs in penal institutions has been the preservation of the institution's authoritarian control. While some programs have been designed to provide academic and vocational skills to inmates, others have been directed toward making the inmates less troublesome and adjusting them to the needs of the institution [Brown, et al, 1975]. Thus, critical issues that are being increasingly discussed and incorporated into new learning programs are how program goals are selected and how continued adherence to those goals is monitored [Braukmann et al, 1975; Brown et al, 1975; Holland, 1975].

Geller and several colleagues instituted and supervised a large-scale contingency management program in the Virginia correctional system [Geller et al, 1972]. Since the program dealt with inmates confined to segregation facilities and had as its primary goal "to provide a rehabilitative environment that was conducive to changing habitual behavioral patterns described as 'unmanageable'", it invited a barrage of ethico-legal criticisms. Not the least of these was the charge that the program aimed at the "institutionalization" of these inmates.

The authors provide a detailed response to these criticisms, beginning with the dictum that the definition of a behavior change program should be precise enough to indicate, not only the use of intervention techniques, but also the exact conceptual system and therapeutic goals. This definitional system allows finer distinction between, for example, contingency management and aversive therapy. Geller counters the charge about the program's latent goal of "institutionalization" by observing that a positive change in the inmate's behavior that was instrumental in his receiving segregation status

would permit his return to the general prison population. There, "he could avail himself of existing correctional programs and other opportunities not open to segregated prisoners" [p.12].

2.4 Program Orientation

Assuming now that one accepts this model that is predicated on a view of the offender as an individual who has failed to learn, i.e., "internalize the values, norms and controls of the mainstream of American society" [Watkins, 1967]; and assuming that informed, voluntary consent is conceded; still another major issue concerns the positive or negative orientation of the program. Silber [1976] reviews a number of the behavior therapy techniques used to correct antisocial behavior. The programs that he considers rely almost exclusively on negative reinforcement, and their results range widely from success to failure. Silber suggests that a higher success rate may result from the use of positive reinforcement to increase appropriate behavior. (These reinforcements are discussed more fully in Section 2.6 below.) This modality has the additional advantage of not requiring a staff of highly trained professionals. Line staff, in turn frequently experience increased morale as they assume this new helping role.

2.5 Line Staff Participation

The potential of line staff as change agents has added an important new dimension to the concept of behavior change. Watkins [1967] discusses a model that incorporates the correctional officer as a "behavior shaper" who relates to the inmate in a non-treatment setting. He believes that front line staff, because of the frequency of their interaction with inmates, may influence behavior more than the less frequently seen counselor. This staff is taught, of course, to reinforce only positive behaviors.

Kenton [1975] reports that this approach is being tried at Federal Correctional Institution at Lompoc, where the correctional officer is recognized as an integral part of each inmate's environment. As such, he is in the prime spot to counsel individuals who are trying to establish goals for themselves and to work out programs within the institution to achieve those goals. Kenton calls for a training program designed to promote the necessary skills, a suggestion seconded by Braukmann and his colleagues [1975] who recommend procedures for teaching staff "client-preferred interactions and treatment styles" (p.322). Although not in direct response, Smith [1976] presents such a program. He refers to the line officer as a "behavioral technician" and proposes to train him in the basic principles of the social learning approach and to emphasize the role of objectivity, consistency, and reliability in daily interactions with inmates.

2.6 Positive Reinforcement

Positive, tangible reinforcement for inmates may be proximate or long-term. In the former category are institutional privileges, such as extra phone calls or recreation time, that are acquired if and when certain levels of performance are achieved. Long-term reinforcement generally takes the form of time allowed off the end of sentence for sustained good behavior or high achievement. It is important to note, however, that this sentence curtailment is not always interpreted as a positive reinforcer. More than half (31) of American correctional agencies award good time automatically and take it away for prohibited behavior. Seventeen other agencies award good time contingent upon satisfactory work performance and/or conduct [Smith, 1975]. As Smith remarks, the removal of good time in the former institutions becomes another of the more relied-upon control procedures for

institutional management, with little concern about the negative side effects of this policy upon any existing programs that emphasize rehabilitation. In effect, this variety of good time award becomes an aversive control procedure at these institutions.

This shortened period of incarceration may not consistently be as powerful a reinforcer as at first seems obvious, however. For many inmates the payoff of time off the end of their sentence may be too far away to act as a reinforcer [Fitzgerald, 1974], or possibly the entire concept of a shortened prison time lacks motivating force for an incarcerant.

Proximate reinforcers, on the other hand, seem to have meaning even to inmates serving long sentences [Geller, 1977]. Although prison life does include most of the basic necessities, it also deprives the individual of the normal valued reinforcers--social, financial, etc.--present in free society [Hosford and Moss, 1975]. Thus, small commodities, such as cigarettes and other commissary items, as well as simple contact with the free world, assume greater importance to the inmate. Geller includes inmate representatives on a formal Program Advisory Committee in his model to allow discussion of complaints and suggestions from their peers in relation to this segment of the program as well as others.

2.7 Parole Implications

Many of the issues discussed above have important implications as they relate to the parole process. For one, discharge decisions often rely heavily on staff judgements; thus, the factors involved in these judgements need to be specified, systematically evaluated and tested against recidivist behavior [Friedman and Mann, 1976].

In the study cited the authors attempted to determine the accuracy with which staff members at a correctional institution predicted recidivism of a

group of court-adjudicated delinquents. (Their preliminary literature review turned up only one other such study.) Two factors emerge as key influences on staff predictions; (1) the level of seriousness and degree of violence of the youth's most serious offense; and (2) the extent to which the youth was liked. The first factor resulted in a negative prediction; the second, in a positive. Overall, however, predictions were only slightly better than chance.

McKee [1971] offers a number of predictions concerning the development of corrections over the period from 1971 through 1976; one of the more significant of these predictions is "performance-contingent parole." This concept requires "precise specification of behaviors and skills--developed through an individualized assessment and prescriptive process--necessary to earn parole." He cites the success of this system as it is practiced at the Karl Holton School for Boys in Stockton, California. McKee predicts more valid actions by parole boards and a reduction of institutional tensions and disturbances as prisoners come to understand what is specifically expected of them.

2.8 An Alternative Argument

An old argument with a new name and new premises has recently been appearing in the literature: it is termed the "justice model" [Fogel, 1975; Lipton et al, 1975; MacNamara, 1977]. Basically, its proponents advocate a model based on individual responsibility with uniform penalties consistently imposed for like crimes (determinate sentencing) and an end to coerced institutional treatment. They recommend that parole be abolished [Citizens' Inquiry, 1975], with the rationale that parole board "predictions of postinstitutional behavior...have proved disastrously inaccurate" [MacNamara, 1977].

These penologists view rehabilitation as a medical model dependent upon early and accurate diagnosis, followed by prompt and effective therapeutic intervention, in order to assure an affirmative prognosis--rehabilitation [MacNamara, 1977]. It is important to note that they do not recommend that institutional programs be discontinued; only that an inmate's participation be truly voluntary and not tied to any decisions concerning his release.

The model itself may never be fully adopted by any correctional system but, certainly, the controversy that it has generated will contribute a new dimension to the dialogue concerning the function of prisons in our society.

N. B.: Copies of most articles discussed in the Literature Review or referenced in the Bibliography may be found in the vertical file, DOR Reference/Resource Center.

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3.0 HISTORICAL PERSPECTIVE

To suggest that the Earned Time System is the direct evolutionary model of antecedent programs in the Department of Offender Rehabilitation is to rewrite history. But to postulate the sudden appearance and subsequent implementation of a sophisticated performance-based model in an organization with no prior experience with any of its elements is to ignore history. In essence, many of the components of the Earned Time System are related conceptually, if not programmatically, with correctional approaches piloted or implemented previously at institutions across the system. While the Earned Time System encompasses more than the sum of these programs, a brief enumeration of similar concepts may provide some insight into the developments that set the stage for this System that cuts across so many facets of institutional life.

3.1 The Contingency Contract

The Georgia Youthful Offender Act of 1972 established a means whereby the criminal justice system could isolate offenders who appear to be amenable to treatment and provide them with prompt and individualized levels of such attention. The target population was non-capital offenders aged 17 through 24 years, male or female.

The Act provided for an indeterminate sentence of zero to six years, the ultimate termination of which sentence depended upon the offender's specific treatment needs. These needs were assessed through physical examination and diagnostic testing at the Georgia Diagnostic and Classification Center soon after the youth's incarceration began. Upon arrival at his

assigned institution, the offender was re-evaluated by staff in order to delineate a specific treatment program. The conditions of this program were subsequently outlined in a contract for release consideration signed by the offender, an institutional representative, the Youthful Offender Division, and the Parole Board.

This contract placed full responsibility for his action upon the inmate. By his signature the offender agrees to participate in the vocational, educational and counseling programs specified, in order to be considered for release. The inmate must then maintain an acceptable, specified level of performance in these programs or his contract will be subject to renegotiation.

A case recording system is an important aspect of this program since it is used to record the progress of each inmate. According to the program's operational guidelines, the case record documents the offender's institutional adjustment, evaluates his progress, and recommends any necessary renegotiations of contract.

Similarities between this contingency program and the Earned Time System are numerous. Although the Earned Time System Performance Plan does not obligate the offender in the same consequential manner as does the contingency contract, it retains the element of specificity introduced by that contract. By his signature the inmate agrees to participate in a clearly defined program of activities based upon his assessed needs and personal objectives. Equally as important, however, is his tacit assumption of responsibility for his own "rehabilitation" through signing

of this Plan. The Earned Time System also continues and expands the idea of a case recording system by introducing separate transaction documents to fulfill different recording needs.

3.2 Performance-Based Rewards

On August 1, 1972, the Motivation in Offender Rehabilitating Environments (M.O.R.E.) Project was initiated at the Georgia Training and Development Center in Buford, Georgia. The project was based upon behavioral principles that had been previously demonstrated both under laboratory conditions and in real-world settings. Essentially, it provided a system of incentives aimed at influencing the inmate's level of achievement in a positive manner.

A list of institutional activities was compiled with a certain number of points being made available for achievement within that activity. Passing a test at a given level within a prescribed period of time, for example, earned the inmate a specified number of points which were recorded on his personal statement sheet. These points were then negotiable for commodities or for intangible privileges such as an extra visit or special phone call.

Elements of this token economy are evident in the Earned Time privilege system where the privilege slip rather than the actual commodity is used as a medium of exchange. Reinforcement is not as immediate as that used in the M.O.R.E. project, but it is predicated on similar principles. The inmate earns a privilege only by performing in an acceptable manner. That is, it is not sufficient to enroll in an activity in order to earn a

privilege. Satisfactory performance will maintain the inmate in an earning status in relation to his days off time to serve; but excellent performance, exceeding the levels delineated as "satisfactory" for that activity, is required in order to earn a privilege.

3.3 A Question of Accountability

The Georgia Work Release Law was approved on April 12, 1969, and one year later a prototype work release center was established, to be known as the Atlanta Advancement Center. The program outlined in the Departmental proposal had as its basic goal the reintegration of the offender into the world of gainful employment through a controlled situation designed to improve his self-image and to teach him responsibility.

The program was important in the general evolution of Departmental philosophy for several reasons. First of all, it provided a clearly defined set of criteria for initial selection of participants. Secondly, it prescribed a course of action for those participants, based upon reciprocal levels of accountability. That is, the Department agreed to locate a job for the offender and to provide him with habitation facilities. The offender agreed to maintain that job and to use part of his earnings to help support his family and another part to contribute to the cost of his own room and board.

At approximately the same time, the Department expanded this concept of work release centers to a more comprehensive community treatment center. These new centers combined the responsibilities of employment with a structured learning experience that included counseling, career planning,

and vocational or technical training. In addition, they encouraged a positive approach toward accepting responsibility by introducing a "point system" to earn additional privileges. As the offender accomplishes various tasks such as making his bed or cleaning his area, he earns a certain number of points which must accumulate to a specified level before becoming redeemable. He may also lose points as the result of unsatisfactory performance, however, so the balance is controlled by the inmate himself.

The Earned Time System is predicated upon many of the same basic tenets of accountability as these community programs. The inmate's earning ability is an integral part of the Earned Time System, whether the individual is earning time or privileges. The delineation of specific criteria for performance evaluation is an equally important concept under the Earned Time System, since it implies that the offender controls his own environment through compliance with or non-observance of those criteria.

In addition, these programs further defined the mutuality of any agreement between the offender and the Department. If the agency agrees to reward certain behaviors on the part of the offender, that agreement implies a responsibility on the part of the agency to observe and accurately report that behavior and then to reward it in an equitable manner.

In short, though these many programs did not directly evolve into what is now known as the Earned Time System, they did foster an atmosphere where mutual accountability could serve as the keystone in a correctional approach to the offender.

4.0 DESIGN ELEMENTS*

The Earned Time System (ETS) is theoretically a positive, objective system having its base in operant learning principles. ETS provides both a level of individual accountability for the inmate as well as a method of public accountability on the part of the system and its service delivery process. Optimally, it will address the issue of public safety (1) by reducing overcrowding and the concomitant problem of violence in prisons; and (2) by enhancing the objectivity of parole decision-making, thereby reducing the potential for high risk offenders being discharged early.

Under the Earned Time System, inmates are viewed neither through the traditional medical model as subjects to be "cured," nor through a strictly punitive model as inherently "bad" criminals to be punished. Rather, they are viewed as individuals who have not acquired the basic, interpersonal skills necessary to function successfully in the community.

An important concept of ETS is the recognition of the individual's right to refuse to participate. By indicating his choice of participation at the outset of his incarceration, the inmate tacitly assumes responsibility for his own actions and affirms a desire for positive change. This decision should be documented in the inmate's file.

After a detailed aptitude and skills assessment and subsequent verification of them, each inmate enters into a contingency agreement, known as a Performance Plan. This entire process of needs assessment, verification, and plan development should be completed within 60 days of the inmate's arrival at an institution. With the passage of time this improved case

*A complete copy of the evaluation design for the Earned Time System is included as Appendix A of this report.

management should be reflected in an increasing proportion of inmates with complete case records.

Assuming that the initial assessment was accurate and was either verified or adjusted during the succeeding period of observation, the Performance Plan should reflect program assignments that correspond to the inmate's abilities and needs. This high level of correspondence and appropriate program assignment should increase the probability of the inmate's successful program completion, and be reflected in program completion statistics.

Performance criteria are specified throughout the system by means of the Performance Activity Description (PAD); thus, inmates know from the moment of their assignment to a work detail, or academic or vocational program exactly what they must do to complete that specific program, to fulfill that certain work requirement, and to earn release on parole. These criteria emphasize conventional behaviors readily transferable to free society; e.g., punctuality and productivity. They are written in behavioral terms, thereby removing as many elements of subjectivity as possible; and entrance requirements as well as job expectations of the activity supervisor are specified.

As long as the inmate's performance and attitude comply with those specified for that activity in the PAD, he earns a unit of time off the end of his prison term for each day he serves. Exceptionally poor performance--not resulting from a lack of skills--or any rule infraction carries a negative sanction which may include removal from this earning status for a specific period of time. These performance ratings within each activity should be documented in behavioral terms and reflect observable effort and achievement on the part of the inmate.

More proximate positive reinforcements are available in the form of institutional privileges earned through an exceptionally high level of performance in an activity. Privilege awards should be comparable in terms of age, race, and ability groups at each institution.

Once again, if the diagnostic assessment has been accurate, and the inmate has been assigned to appropriate activities, the rate of both disciplinary and unsatisfactory performance reports should decline at each institution. In like manner, as the system becomes operative and inmates observe the direct consequences of their behavior, privilege rates should increase at each institution.

This multi-faceted case recording system will undoubtedly increase administrative tasks for all levels of institutional personnel. Official recognition of staff effort should encourage thorough and expeditious implementation of ETS.

By the time an inmate's case comes up for parole consideration, extensive documentation is available to the Parole Board concerning the inmate's compliance with various articles of his Performance Plan. His positive or negative cumulative behaviors are projected as a major factor in the final parole decision. The State Board of Pardons and Paroles has agreed not to parole any inmate declared "deficient" by DOR, at least until such time as this deficiency has been satisfied.

Assuming that shortened prison time is a motivating reinforcer for inmates, and also assuming that a correlation does exist between satisfactory performance in the institution and a positive parole decision, an increased quality of documentation provided to the Parole Board concerning a given inmate should enhance the Board's performance-based recommendations for release.

5.0 ETS PROCESS

An inmate entering the Georgia Penal System is processed initially at Georgia Diagnostic and Classification Center (GDCC) or at Georgia Women's Correctional Institution (GWCI). This section follows a typical male inmate through orientation and subsequent performance evaluation at his permanent institution.

During the orientation session audio-visual materials are used to introduce the inmate to the corrections system generally and to the Earned Time System (ETS) specifically. Each inmate is issued a handbook containing functional and organizational information and regulations concerning inmate behavior. In addition, the inmate receives an ETS comic book that graphically illustrates the basic concepts of ETS including the implications on non-participation.

After medical processing the inmate enters the initial interview. The interviewer discusses ETS with the inmate and answers any of his questions. The interviewer initiates a Performance Recording Sheet for inclusion in the inmate's file. Any significant occurrences in the inmate's life during his incarceration, except for diagnostic data, are entered on this sheet.

After the initial interview, the inmate undergoes a battery of psychological and vocational tests. He is then interviewed by a representative of the Department of Labor in order to assess his aptitude and educational preparation for various jobs.

During this time-frame the staff member who will conduct the final interview with this inmate determines his ETS classification by counting the number of felony convictions reported on his FBI transcript. If the inmate has fewer than three felony convictions, he is classified as "Non-Habitual". If he subsequently agrees to participate in ETS, he earns time at the rate of two days off his prison time for each day served, including his jail time. If the inmate has more than three felony convictions, he is classified as an "Habitual". If he subsequently agrees to participate in ETS, he earns time at the rate of one day off his prison time for each day served, including his jail time.

The inmate is informed of his classification at the final interview. If he feels that he has been classified an Habitual offender based upon incorrect information, the interviewer assists him in completing a "Request for Conviction Verification." This form is submitted to Offender Administration (Central Office) for processing; if the conviction and the classification are, in fact, not valid, the inmate's earning status will be changed retroactively.

At this point of the final interview the inmate decides whether or not to participate in ETS. If he wishes to take part, he signs a "Request to Participate" form which is included in his file and forwarded to the Classification Committee for processing. If the inmate decides not to participate in ETS, the interviewer again explains the implications of refusal to him:

- 1) A non-participating inmate does not receive earned time credit for jail time.
- 2) A non-participating inmate is not able to earn time off his sentence.
- 3) A non-participating inmate is not able to earn institutional privileges.
- 4) A non-participating inmate may not change his decision whenever he wishes. If he does not request to participate in ETS within six months of his initial decision, he will only be allowed to do so annually from that date. If he delays his decision to participate until after diagnostic intake, he will not receive earned time credit for his jail time or for time spent at the institution up until that point.

If the inmate refuses to change his decision, the interviewer assists him in completing a "Statement of Non-Participation." This form is included in the inmate's file and forwarded to the Classification Committee.

The Classification Committee then meets with the inmate to ascertain his understanding of a non-participation decision. If the Committee agrees that the inmate realizes the consequences of his action and he still refuses to rescind that action, they approve his decision on the Non-Participation form and he is placed in a non-earning status. (If, however, the inmate changes his mind, the Classification Committee initiates and processes a "Request to Participate.") The Classification Committee also enters the inmate's various test scores in the Intake section of the "Performance Assessment Sheet."

After the inmate completes diagnostic processing, he is assigned to a permanent institution. Within five days after his arrival, he is assigned to a Case Manager. The Case Manager conducts an initial interview to

(1) review ETS procedures once again; (2) review and discuss intake information from the diagnostic center with the inmate, noting any possible discrepancies; and (3) discuss needs identified at the diagnostic center and confirm them in combination with the inmate's self-assessment. The subsequent Extended Assessment period lasts no less than 30 days and no more than 60 days from the time of the inmate's arrival at his permanent institution.

The Case Manager begins his initial interview by determining the status of the inmate's participation in ETS. If the inmate is a Non-Participant and wishes to retain that status, the assessment process is ended. If he is a Non-Participant and wishes to change his decision, the Case Manager initiates and processes a "Request to Participate." As previously indicated, however, by delaying his participation decision until this point, the inmate has forfeited his right to earned time credit for his jail time or for time spent at the institution until this point.

If the inmate is or becomes an ETS Participant, the Case Manager interviews him further and may make appointments for him with other staff. They, in turn, help the inmate to determine in which programs he should participate; at a later date they may help to develop his Performance Plan.

After the interview with his Case Manager, the inmate is assigned to a work detail. The Case Manager may request a Supervisor's Evaluation from the staff member who supervises this detail. He then records all input data such as correspondence, test scores, and interview results in the eight areas of the Extended Assessment section of the Performance Assessment Sheet.

The Case Manager draws on this Extended Assessment in developing the inmate's Performance Plan. He discusses the Plan with the inmate, considering any input he might make, and revising the Plan as necessary. The completed Performance Plan specifies to the inmate and to the staff the inmate's needs and objectives and describes the activities in which he agrees to participate in order to meet those needs. The Plan also provides documentation to the Parole Board regarding the inmate's performance. The completed Plan and Extended Assessment are sent to the Classification Committee for approval.

Once the inmate has been assigned to a program or work detail, his performance is evaluated on an exception basis as the behavior occurs. "Exception" refers to either excellent or unsatisfactory behavior. The activity supervisor issues an "Excellent" or "Unsatisfactory" Performance Notice (P.N.) to an inmate based on performance criteria specified in the Performance Activity Description for that activity. If instead of citing the inmate for a performance deficiency, the supervisor cites him for displaying a negative attitude--as in the case of insubordination--he initiates a Disciplinary Report and forwards it to the Disciplinary Committee for processing.

At the end of the month the activity supervisor reviews his accumulation of P.N.'s for each inmate and decides if the inmate's cumulative behavior warrants a monthly Performance Exception Report (PER). If the activity supervisor issues an "Excellent" PER on an inmate, the Case Manager meets with the inmate and offers him a privilege from the list of approved institutional privileges. If the activity supervisor issues an "Unsatisfactory" PER (PER-U) on an inmate, the Classification Committee processes the form as indicated below.

The Classification Committee functions in an administrative capacity. After reviewing the PER-U, they may recommend a totally administrative action such as a no-fault exit from a program for an inmate not capable of performing in that program. Or they may recommend a disciplinary action and refer the performance report to the Disciplinary Committee. This Committee reviews the PER-U and either declares it null and void or initiates a Disciplinary Report. This latter action results either in imposition of an institutional sanction or placement in "time out," i.e., relegation of the inmate to a non-earning status for a specified period of time. When his "time out" ends, the inmate is returned to the earning continuum and begins to earn time toward his release once again.

It is important to note that a number of these actions may be occurring simultaneously. That is, an inmate may conceivably receive an "Excellent" performance rating in one activity and an "Unsatisfactory" in another. He would, therefore, be rewarded for his positive behavior and sanctioned for his negative behavior.

The Case Manager uses the monthly PER's to document the inmate's behavior on a quarterly basis in the Quarterly Review Summary. When the inmate comes up for parole consideration, the Case Manager incorporates the information from this Summary into the Parole Review Summary. If the inmate has accrued more than 180 days in "time out" during his incarceration, the Director of the Earned Time System declares him "deficient" on the Parole Review Summary and indicates a date by which the deficiency will be satisfied.

After these reviews the entire package --including the Performance Plan, Quarterly Review Summary and Parole Review Summary--are forwarded to the Parole Board for consideration. The Parole Board has agreed "not to

release an inmate upon scheduled review, if the Department of Corrections recommends that he not be released based on a lack of agreed upon performance by the inmate and the Department or disciplinary action."

6.0 ETS POPULATION OVERVIEW

The total accountable population in Georgia's state and county correctional institutions and in community facilities is 11,697*. Earned Time inmates comprise 40% or 4,737 of this number. The Earned Time population is distributed over the three types of institutions as follows:

1. State -- 3,670 or 42% of the total state institution population;
2. County -- 967 or 37% of the total county institution population; and,
3. Community -- 100 or 32% of the total community facility population.

The Earned Time subpopulation differs significantly from the non-Earned Time subpopulation, as any cohort of new offenders would differ from a population of incarcerated individuals subject mainly to new releases and few, if any, new admissions. Table 1, which is a description of the total inmate population in terms of ETS and non-ETS inmates, suggests some of these variances.

The relationship of ETS felons to misdemeanants is 95% to 5%, while for the non-ETS group, it is 98% to 2%. The notable variation in these proportions is accentuated by reducing the total numbers to a ratio. These ratio relationships are outlined in Table 2 below.

*as of September 1, 1977

TABLE 1

TOTAL INMATE POPULATION*

DESCRIPTION	ETS	NON-ETS	TOTAL
Active cases	4,737	6,960	11,697
Felons	4,487 (95%)	6,858 (98%)	11,345 (97%)
Misdemeanants	250 (5%)	102 (2%)	352 (3%)
White males	1,951 (41%)	2,305 (33%)	4,256 (36%)
Non-white males	2,497 (53%)	4,421 (64%)	6,918 (59%)
White females	107 (2%)	74 (1%)	181 (2%)
Non-white females	182 (4%)	160 (2%)	342 (3%)
Sub-total: males	4,448 (94%)	6,726 (97%)	11,174 (96%)
Sub-total: females	289 (6%)	234 (3%)	523 (4%)
Sub-total: white	2,058 (43%)	2,379 (34%)	4,437 (38%)
Sub-total: non-white	2,679 (57%)	4,581 (66%)	7,260 (62%)

*Percentages are column percentages.

TABLE 2

INMATE POPULATION RATIOS BY SENTENCE, SEX, AND RACE

DESCRIPTION	ETS	NON-ETS	COMBINED	PRE-ETS
Felons:				
Misdemeanants	18:1	67:1	32.1:1	34:1
Males:				
Females	15.4:1	28.7:1	21.4:1	22:1
Non-whites:				
Whites	1.3:1	1.9:1	1.6:1	1.7:1

Thus, the ratio of number of ETS felons to misdemeanants is 18:1, while the corresponding ratio for non-ETS inmates is 67:1. (For the two combined, it is 32:1.) Since the Georgia correctional system included only 334 misdemeanants at the inception of ETS, and assuming that misdemeanants by definition receive shorter sentence lengths than felons, it would be reasonable to expect that most of these have been released during the first year of ETS implementation. Conversely, the longer sentence lengths received by felons might be expected to result in a smaller proportion of felons being released during any given year.

The percentages of males vs. females in the ETS subpopulation is 94% to 6%, as opposed to 97% males and 3% females in the non-ETS subpopulation. The actual headcounts reduced to the following ratios: ETS males vs. females, 15.4:1; non-ETS, 28.7:1; combined, 21.4:1. Since the inmate population immediately preceding Earned Time showed a male-female ratio of 22:1 and assuming that this is the same population now known as "non-ETS," with a ratio of 28.7:1; the difference in the proportions seems to indicate that females offenders are serving shorter sentences than are males. This may, of course, be due to a larger proportion of the female population being misdemeanants than the comparable proportion of the male population.

The relationship of non-white ETS inmates to white ETS inmates is 57% to 43%; the same correlation for non-ETS inmates is 66% to 34%. The corresponding headcounts for these percentages reduce to the following ratios: ETS non-white to ETS white, 1.3:1; non-ETS non-white to non-ETS white, 1.9:1; combined, 1.6:1. The non-ETS ratio under this variable shows the least significant amount of change of the three characteristics discussed: the inmate population immediately preceding ETS showed a ratio of non-white to white of 1.7:1.

A more detailed breakdown of the inmate population by type of institution may be found in Appendix B of this evaluation.

7.0 SAMPLING TECHNIQUE

7.1 Institutional Files

7.1.1 Selection of Institutions

In order to interview staff and inmates to review ETS documents, such as the Performance Plan and Quarterly Review Summary, that are not available in Central Office files, a series of on-site visits were conducted.

Institutions were selected by any of five criteria:

1. overall size--to ensure that institutions with large, medium, and small populations were all represented;
2. population mix--to ensure that offenders of various ages, races and both sexes were represented in the sample;
3. mission--to include a sample of inmates permanently assigned to a diagnostic facility; Youthful Offender, maximum security and women's institutions; and county work camps;
4. geographical location--to ensure a distribution throughout the four Earned Time Districts; and,
5. Earned Time population--to restrict on-site visits to those institutions having at least 15 Earned Time inmates who had been permanently assigned longer than 60 days (the period of Extended Assessment and Plan development).

The state institutions selected and the reasons for their inclusion are as follows:

1. Georgia State Prison (GSP)--one of only two maximum security institutions in the State, housing one-third of the entire population presently incarcerated in state correctional institutions.
2. Georgia Diagnostic and Classification Center (GDCC)--initial processing facility for all new male felons; unique in the State.
3. Georgia Industrial Institute (GII)--second largest state institution, with a population having an age range of 19 to 23 years.

4. Georgia Women's Correctional Institute (GWCI)--the only state institution reserved strictly for women offenders.

5. Georgia Training and Development Center (GTDC)--a former Youthful Offender institution whose mission had changed just prior to our visit.

6-8. Lee, Stone Mountain and Chatham Correctional Institution--all relatively small facilities, populations that range from 180 to 230, and each located in a different District.

9-10. Montgomery Correctional Institution and West Georgia Community Center--both medium-sized institutions with populations of about 345; West Georgia is also unique in being the most recently opened state institution, with, therefore, no non-ETS experiences.

County work camps were first divided into four groups by District location. Then each group was rank ordered by the number of Earned Time inmates who had been permanently assigned to the institution for longer than 60 days. Since ETS was still in its early months of implementation, only 15 of the camps had 15 or more inmates that met this criterion. One camp was then selected from the reduced number within each of the four groups, resulting in the following additions to the sampled institutions:

11. Fulton County Correctional Institution;
12. Clarke County Correctional Institution;
13. Terrell County Correctional Institution; and,
14. Gwinnett County Correctional Institution.

7.1.2 Selection of Inmates

From a computer-generated list of Earned Time inmates permanently assigned to each institution for longer than 60 days, a sample of not less than 10% was randomly selected from each institution's list. Whenever practicable--i.e., time restrictions permitting--the sample size was expanded to allow review of a larger number of files.

Exceptions to this sampling technique occurred in relation to files at GDCC, GSP, and GII. Although one on-site visit had already been made to each of these institutions [Cox and DeCostanzo, 1977], a significant amount of time had elapsed since that visit. Thus, new data were imperative. The ETS Coordinator at GDCC was, therefore, requested to supply a list of all "E" numbered inmates permanently assigned to the general population; inmates from this list who met the time criterion were included in the sample. The ETS Coordinator at GII was asked to indicate on a list of 109 "E" inmates, all of whom had been permanently assigned to GII longer than 60 days, those who were on a DOR (as opposed to VR) caseload. The sample was then drawn from these cases. The sample for GSP was randomly selected from a computer-generated list of all "E" inmates permanently assigned to the institution for longer than 60 days.

Each of the three final lists of sample cases was then forwarded to the respective ETS District Supervisors with a request that they send us copies of the Performance Plan and Quarterly Review Summary from each file indicated. This deviation from technique, although necessary, should be noted by the reader when considering file data.

Sample sizes for the evaluation of institutional files are outlined in Table 3. The total sample size was 156 cases, or 28% of the E's assigned longer than 60 days.

7.2 Privilege Slips

Each ETS District Supervisor was requested to accumulate privilege slips for three months at each state institution and at one or more county camps in his district. At the end of the three-month period a number of administrative difficulties arose. Most of the county camps had either not

TABLE 3

SAMPLE SIZES: INSTITUTIONAL FILES

INSTITUTION	TOTAL "E's" AT SAMPLING	E's PERMANENTLY ASSIGNED LONGER THAN 60 DAYS	NO. OF FILES SAMPLED	% OF E > 60 IN SAMPLE
Chatham CI	54	20	10	50%
Clarke CCI	15	13	4	31%
Fulton CCI	118	98	10	10%
GDCC	644*	30	20	66%
GII	330**	31	19	61%
GSP	367	154	15	10%
GT&DC	69	30	10	33%
GWCI	162	25	11	44%
Gwinnett CCI	20	14	6	43%
Lee CI	63	19	9	47%
Montgomery CI	78	31	10	32%
Stone Mountain CI	56	16	11	68%
Terrell CCI	23	19	9	47%
West Ga. Comm. Ctr.	89	68	12	18%
Total	2,088	568	156	28%

*includes inmates present for diagnostic processing; not necessarily permanently assigned to GDCC.

**includes inmates assigned to V.R. caseload.

retained their slips or had at most three to report. Several state institutions had filed their redeemed slips in the inmate's file and retrieving them would have been a time-consuming effort. Finally, two other state institutions had only transaction logs to indicate a functioning privilege system at their facility.

The final sample included 12 state institutions tracked over a period ranging from two to three months. All slips received from an institution were coded so, assuming that all slips were forwarded for coding, the resultant profile should be an accurate indicator of privilege activity during the time period considered.

7.3 Parole Board Files

Initially, three computer printouts were generated: (1) all Earned Time inmates who had been granted first parole consideration since the inception of ETS, with names sorted by type of release and date of release; (2) same names, in a collapsed alpha listing, sorted only by type of release; and, (3) all Earned Time inmates who had been denied parole since the beginning of ETS, sorted by denial date. Since DOR staff were required to provide ETS documentation only for those inmates who were being considered for a parole, only parole transactions were included in the sample, i.e., granted or denied. (Although the final sample did not include any inmates whose parole was reprieved or who maxed out after being paroled, ten of the former files were reviewed as well as five of the latter, in order to determine what documentation was included in them.)

Of 175 Earned Time inmates who were either granted or denied parole since the Earned Time Law was passed, 26% or 46 of the files were sampled and given an in-depth review. The sample duplicated the denied-to-granted

parole ratio of the original 175, so that the final sample included 29 inmates who had been denied parole (or 63%) and 17 inmates who had been granted parole (or 38%).

Inmates granted parole were randomly sampled to draw the requisite files, but this technique proved unworkable for those denied parole since their files were being retained by Board members for further review. The sample of denials, therefore, was drawn from the number available to us in the records retention area.

8.0 CASE MANAGEMENT PROCESS

The basic tenets of the Earned Time System require that an inmate assume responsibility for his own actions and be the decisive factor in his own rehabilitation. He decides whether he wants to participate in the Earned Time continuum; in theory, he decides whether he will participate in any institutional programs; and he decides at what level he will perform in those programs. But the inmate's responsibility creates a complementary one on the part of the correctional agency to accurately identify his aptitudes and needs and to provide him with the opportunities for change.

The case management process is, thus, a vehicle for Departmental accountability at the primary level of interaction with the inmate. The case record is an accurate depiction and an ongoing history of both the events in the inmate's life and the numerous encounters between him and the Department. When taken as a whole, this record serves as a tracking mechanism of staff-inmate dynamics. If the inmate decides not to participate in a recommended program, the Case Manager documents the decision in the Performance Plan. If the inmate's extra work on his detail earns him a privilege, the Activity Supervisor logs the transaction into the Quarterly Review Summary.

In each situation where the inmate's behavior invites comment, whether negative or positive, on the part of staff, that observation is incorporated into the record. The level of completeness and accuracy of the documents in that record is an indication of the degree of compliance with Earned Time System procedures concerning case management.

8.1 Completeness of Files

Six transactions or documents required by ETS Procedures were reviewed by checklist in order to determine the percentage of files that met this

minimal level of compliance with ETS case management procedures. The six items were:

1. notation of inmate's ETS classification;
2. participation status form;
3. Performance Assessment Sheet, including Intake and Extended Assessment;
4. Supervisor's Evaluation;
5. Performance Plan, properly executed by the Classification Committee; and,
6. Quarterly Review Summary.

A summary of the findings discussed in the following paragraphs is presented in Table 4.

Of the 156 files that were sampled, the inmate's classification--that is, "habitual" or "non-habitual"--was noted in 154 or 99% of the cases. This classifying mechanism has been highly routinized at the three institutions where the determination is presently made (GDCC, GII, and GWCI) since the inmate must be classified prior to declaring his intentions regarding participation. However, classification is dependent upon receipt of the FBI Transcript which may take as long as 6 weeks to arrive, thereby delaying the rest of the assessment process and the inmate's involvement in institutional programs.

The participation status form was present in 153 or 98% of the sampled files. To date no inmate has decided not to participate in ETS.

The Performance Assessment Sheet was present in 143 or 92% of the files sampled. In this count "presence" was defined simply as a form with the top one-third completed (i.e., not necessarily the Intake or Extended Assessment). The Intake itself was completed in 141 or 90% of the cases, and the Extended Assessment in 125 or 80% of the cases. Complying with the 60-day timeline

for Extended Assessment has posed a particular problem for one of the larger young offender institutions because of the delay mentioned above in obtaining the inmate's FBI Transcript. Several county camps have also experienced difficulty in timely completion of this process, since Case Managers are often responsible for a number of other institutional duties in addition to carrying a caseload.

Supervisor's Evaluations were present in 63 or 40% of the files that were sampled. During the assessment period the need for this form is left to the discretion of the Case Manager; it is only required on a quarterly basis thereafter. Since the Earned Time population was still in the first stages of the ETS experience when they were sampled, not many had been at that particular institution a sufficient length of time to require a quarterly Evaluation. On the other hand, personnel at one of the county camps reported that the Supervisor's Evaluation was not required documentation at that facility, even on a quarterly basis. The perception is unique to this institution and is not shared by any other ETS managers.

Performance Plans were present in 125 or 80% of the sampled files. Of this number 108 or 69% of the total sample were at least signed, if not dated, by the Classification Committee. (This approval does not seem to have in practice the significance implied in the ETS Procedures. Several Classification Committee members indicated that their review rarely, if ever, resulted in their rejection of any portion of an inmate's Plan. The Case Manager is generally perceived as the best arbiter of the Performance Plan's content.)

Once again, a number of factors seem to influence the presence of a Plan in the file. A delayed Extended Assessment results in a delayed Performance Plan, so institutions having timeline problems show a low

percentage of Plans present. Institutions, such as the state's newest, that were sampled early in the evaluation period may not have established at that time a smooth enough flow of paperwork to produce an end-product in the form of a Plan. The two most salient variables, however, which are discussed more thoroughly below, seem to be counselor-inmate ratio and a human element, attitude.

The final transaction form to be checklisted was the Quarterly Review Summary; this document was present in 110 or 70% of the sampled files. Staff at various institutions have evolved different methods of staggering these Summaries so that they do not all become due for any Supervisor at the same time. This practice may result in the variances noted at several institutions with a low proportion of Quarterlies in the files.

TABLE 4
COMPLETENESS OF ETS FILES

Inmate classification noted:	99% (154)
Participation status form:	98% (153)
Performance Assessment Sheet:	92% (143)
Intake Assessment:	90% (141)
Extended Assessment:	80% (125)
Supervisor's Evaluation:	40% (63)
Performance Plan:	34% (53)
Signed and dated by Classification Committee:	34% (53)
Signed but not dated by Classification Committee:	35% (55)
Not signed, not dated by Classification Committee:	11% (17)
No Performance Plan in File:	20% (31)
Quarterly Review Summary	70% (110)

Overall, completeness of files--that is, simple presence of the requisite forms--seems to be mostly a function of the two variables mentioned above: counselor-inmate ratio and attitude. The difference, of course, is that the former is quantifiable while the latter is not. As the counselor-inmate ratio increases from institution to institution, the percentage of file completeness decreases. Unfortunately, this inverse proportion is not as uncomplicated as it seems. Although staff perceptions of inordinate amounts of ETS paperwork [Smith and Roche, 1977] seem to support this ratio assumption, an in-house analysis of counseling time management presents an added dimension. The report states that only 28% of counselors' time during the first three quarters of 1977 was spent on case administration, while 45% was devoted to personal counseling. In addition, the former category shows an increase of 3.8 percentage points over the period immediately preceding ETS implementation.

At several institutions the lack of completed documentation in the file could best be explained by a lack of support on the part of upper management for the entire ETS concept. One of the larger county camps, for example, responded to procedural requirements for a Quarterly Review Summary by producing their own in-house form to replace it. At the time of the evaluation visit, neither form had yet been used to record an inmate's progress. At one of the smaller state institutions a pervasive attitude that the system is too time-consuming and at odds with general counseling goals is reflected in low percentages of implementation in the case management area and total absence of a performance rating system. These two institutions are not radical anomalies in this correctional system: other institutions with similar populations and problems have resolved philosophical and mechanical difficulties with greater success. As Smith

and Roche concluded: "The system can work organizationally with push from above [p. 16]."

8.2 Weighting of Categories

Each of the three major documents in the plan development process-- Intake Assessment, Extended Assessment, and Performance Plan--contains eight distinct areas in which to assess the inmate's needs and aptitudes. They are: (1) Work, (2) Vocational, (3) Education, (4) Problem Behavior, (5) Leisure, (6) Pre-Release, (7) Medical and (8) Other. Different institutions emphasize different areas, generally based upon the particular institution's mission. As a gross indicator of system trends, discrete entries within each category were tabulated and then accumulated for all institutions sampled. Mean, median, and total entries for each form and category are detailed in Table 5 below.

During Intake Assessment heaviest emphasis is placed on Education (Mean, 3.9), followed by Work (3.7), Vocational (2.7) and Problem Behavior (2.4). This order changes somewhat during the Extended Assessment period where Work (1.6) receives most emphasis followed by Education (1.1), Leisure (0.97) and Vocational (0.96). Overall lower means on this form are probably caused by the frequent use of the entry "No Change from Intake." In the four categories cited this entry represented the following proportions of total entries: Work, 13% (or 16 entries); Education, 32% (or 40); Leisure, 47% (or 59); and Vocational, 36% (or 45). Of all the Extended Assessments sampled, the "No change" entry represented 46% (or 460) of the total entries. This rate of recurrence reflects observations by staff that a 60-day period is not sufficiently long for them to ascertain any new information about an inmate, even of a purely behavioral nature. One medium-sized state institution used the notation in 60% of their total Extended Assessment entries.

The emphasis on Work and Education shifts back to its original Intake relationship on the Performance Plan, where mean scores appear as follows: Education (0.92), Work (0.90), Vocational (0.78), and Problem Behavior (0.78). The difference in mean scores between Work and Education is, of course, not statistically significant. However, it does suggest that by the time the Performance Plan is developed, a balance may have been struck at the institutional level between assignment to Work and Education programs, so that one does not necessarily preclude the other. (This hypothesis was not verified consistently across the system: Case Managers at several institutions reported that an inmate must comply with Work obligations before being allowed to enroll in a prescribed Education program. After 8 hours on an outside work detail, the inmate seems to lose some motivation for evening classes.)

Notations are occasionally entered in the "Need" column of the Performance Plan which are not needs at all. They are sometimes progress updates, occasionally directive phrases for the Case Manager himself, but they do not indicate an objective, need or assessment of the inmate. This situation occurred in 9.8% or 98 of the total Performance Plan entries sampled.

TABLE 5

DISCRETE CATEGORY ENTRIES: INTAKE, EXTENDED AND PLAN

Intake Assessment			
ITEM	NUMBER OF ENTRIES	MEDIAN	MEAN
Work	527	3.5	3.7
Vocational	378	2.1	2.7
Education	549	3.5	3.9
Prob. Behavior	336	2.0	2.4
Leisure	244	1.3	1.7
Pre-Release	276	1.6	2.0
Medical	968	6.6	6.7*
Other	329	1.9	2.3

*A deceptively inflated mean; all inmates must be evaluated in 6 medical areas, with only the additional comment being voluntary.

TABLE 5
DISCRETE CATEGORY ENTRIES
(continued)

<u>Extended Assessment</u>				
ITEM	NUMBER OF ENTRIES	MEDIAN	MEAN	"NO CHANGE"*
Work	206	1.8	1.6	13% (16)
Vocational	120	3.0	0.96	36% (45)
Education	141	2.8	1.1	32% (40)
Prob. Behavior	118	4.0	0.94	38% (47)
Leisure	121	5.4	0.97	47% (59)
Pre-Release	74	3	0.59	58% (73)
Medical	42	7	0.34	78% (98)
Other	61	4	0.49	66% (82)
total:	883		0.88	46% (460)**
*as a percentage of total Extended Assessments present, or 125.				
**as a percentage of total Extended Assessment categories present, or 1000.				
<u>Performance Plan</u>				
ITEM	NUMBER OF ENTRIES	MEDIAN	MEAN	INCORRECT ENTRY*
Work	113	0.8	0.90	6% (7)
Vocational	98	0.7	0.78	13% (16)
Education	115	0.8	0.92	11% (14)
Prob. Behavior	97	0.9	0.78	14% (17)
Leisure	90	0.8	0.72	18% (22)
Pre-Release	97	0.8	0.77	10% (12)
Medical	52	0.2	0.42	0.8% (1)
Other	32	0.6	0.26	7.2% (9)
total:	694		0.69	9.8% (98)**
*as a percentage of total Performance Plans present, or 125.				
**as a percentage of total Performance Plan categories present, or 1000.				

8.3 Correspondence of Needs with Program Assignments

The Earned Time System provides for a non-static case management process where initial diagnostic assessments of the inmate are constantly subjected to cross-verification and potential change. Thus, the Intake Assessment is re-evaluated by the Case Manager and Activity Supervisor in light of actual observation of the inmate's behavior, and suggested program assignment on

the Performance Plan is subject to the approval of the inmate and the Classification Committee. The entire process, however, is only as viable as the correspondence within each category. That is, if a need is identified at Intake, and verified during Extended, an activity should be made available to meet that specific need, with an actual assignment noted.

In order to determine the level of correspondence, two successive points in the process were considered together; that is, the Extended Assessment was evaluated as a logical progression from the Intake Assessment, and the "Need" column on the Plan was assessed to determine if it followed from an entry made during Extended Assessment. The overall process was viewed in terms of the following progression: Intake → Extended → Need or Objective → Activity → Date. (Actual coding sheets used in this portion of the evaluation are included in Appendix B of this report).

Of all inmate needs identified at Intake, 86% or 858 were verified during Extended Assessment in the 125 files that contained an Extended Assessment. This number includes the 460 entries of "No change" discussed in Section 8.2 above. The highest proportion is in the Medical area (94% or 118), perhaps reflecting the natural reluctance on the part of a non-medical individual to counter the diagnosis of a physician. Other areas range from 89% or 111 for both Education and Leisure to lows of 78% or 97 and 98, respectively, for Vocational and Problem Behavior. Correspondences by area are detailed in Table 6 below.

TABLE 6

INTAKE ENTRIES VERIFIED DURING EXTENDED ASSESSMENT

AREA	POSSIBLE NUMBER OF CORRESPONDENCES	NUMBER OF CORRESPONDENCES
Work	125	106 (85%)
Vocational	125	97 (78%)
Education	125	111 (89%)
Problem Behavior	125	98 (78%)
Leisure	125	111 (89%)
Pre-Release	125	108 (86%)
Medical	125	118 (94%)
Other	125	109 (87%)
total	1,000	858 (86%)

The consistently high level of agreement between Intake and Extended is at some variance with staff perceptions. Institutional personnel at differing administrative levels conveyed their perception that diagnostic data included in the Intake was often not borne out by the actual behavior of the inmate at the institution. As noted, these observations are not reflected in the Extended Assessments at these institutions.

The highest levels of correspondence were observed (1) at institutions with a diagnostic mission or component, so that inmates assigned to the permanent population had been assessed initially by colleagues or (2) at institutions with a low counselor-inmate ratio, allowing more contact hours for assessment on the part of the Case Manager.

Of all inmate needs that were verified during Extended Assessment 691 or 69% showed some degree of correspondence with the need or objective stated in the "Need" column of the Performance Plan. In 52 of the total 1000 categories present (or 5%) the "Need" cell on the Plan was left entirely blank. The degree of correspondence ranged from a high of 76% for Educational

needs to a low of 62% for the category labeled "Other" which describes an inmate's needs concerning his relationships with non-institutional persons, such as family members or friends. Levels of correspondence by category are detailed in Table 7 below for Extended Assessment to "Need".

TABLE 7
LEVEL OF CORRESPONDENCE: EXTENDED ASSESSMENT VS.
PERFORMANCE PLAN NEED OR OBJECTIVE

AREA	POSSIBLE NUMBER OF CORRESPONDENCES	ACTUAL NUMBER OF CORRESPONDENCES
Work	125	86 (69%)
Vocational	125	87 (70%)
Education	125	95 (76%)
Problem Behavior	125	82 (66%)
Leisure	125	79 (63%)
Pre-Release	125	92 (74%)
Medical	125	93 (74%)
Other	125	77 (62%)
total	1,000	691 (69%)

Once again, the institutions showing the highest level of correspondence between Extended Assessment and Performance Plan needs were either facilities with a diagnostic component or those with a low counselor-inmate ratio. This is not to suggest, however, a simplistic response to a very complex issue. Effective case management does seem to be influenced by caseload size, but the process is also hampered by external variables (such as the timeline problem at the young offender institution) and by weak support shown by upper management (as at the county camp where 60% of the files did not contain Performance Plans.) It is important not to lose sight of these factors, although their relative influence is difficult to assess at this stage of ETS implementation.

Need assessment marks a significant point in the Plan development process, because at this juncture the level of correspondence drops in every category in systemwide comparison and at 11 of the 14 individual institutions sampled. (Two of the other three gained an average of three percentage points.) That is, although the agreement between Intake and Extended Assessment entries averages 86% (see Table 6), agreement between Extended Assessment and the Need portion of the Performance Plan averages only 69%. This seems to indicate some difficulty on the part of Case Managers to utilize diagnostic data effectively in assessing the inmate's need or objective in a given area. In some cases a verified need from the Extended Assessment was re-cast to correspond with institutional program offerings, rather than being addressed with the notation that the "needed program is not available at this institution."

However, verifying a need or agreeing upon an objective with an inmate is only the first stage in the Plan development process; the second is agreeing upon an activity that will meet that need or objective. Of the 1,000 category entries considered, 686 or 69% contained an activity that corresponded with the assessed need. In 172 or 17% of the categories the Activity column was blank, although a need had been identified on the Plan. The level of correspondence ranged from a high of 76% in the Work category to a low of 58% under "Other". Individual categories are detailed in Table 8 below.

TABLE 8

LEVEL OF CORRESPONDENCE; PLAN "NEED" VS. PLAN "ACTIVITY"

AREA	POSSIBLE NO. OF CORRESPONDENCES	ACTUAL NUMBER OF CORRESPONDENCES	NEED WITH NO ACTIVITY
Work	125	95 (76%)	10 (8%)
Vocational	125	87 (70%)	16 (13%)
Education	125	93 (74%)	12 (10%)
Problem Behavior	125	87 (70%)	17 (14%)
Leisure	125	84 (67%)	22 (18%)
Pre-Release	125	78 (62%)	30 (24%)
Medical	125	90 (72%)	31 (25%)
Other	125	72 (58%)	34 (27%)
total	1,000	686 (69%)	172 (17%)

The final stage to be assessed in the Plan development process was the proportion of beginning dates noted for assigned activities. Of a total 1,000 possible correspondences, dates were entered in 635 or 64% of the categories. These range from a high of 86% for Medical to a low of 53% for Pre-Release. Individual categories are detailed in Table 9 below.

TABLE 9

LEVEL OF CORRESPONDENCE: PLAN "ACTIVITY" VS. PLAN "DATE"

AREA	POSSIBLE NO. OF CORRESPONDENCES	ACTUAL NO. OF CORRESPONDENCES
Work	125	67 (54%)
Vocational	125	77 (62%)*
Education	125	68 (54%)**
Problem Behavior	125	79 (63%)
Leisure	125	69 (55%)
Pre-Release	125	66 (53%)
Medical	125	107 (86%)
Other	125	102 (82%)
total	1,000	635 (64%)

*includes 23 notations that prescribed activity was not available at that institution.

**includes 2 notations of "no program available" and 4 that inmate declined to participate.

Low levels of correspondence in this stage may be interpreted in various ways:

1. Case Managers, as they themselves report, may have no way of determining when an inmate will be enrolled in a prescribed program.
2. Traditional practice at an institution may require that an inmate serve in a probationary status for a given period of time and "earn" enrollment in programs or assignment to better details.
3. Management and staff may perceive compliance with ETS procedures to be achieved when the paperwork is completed, rather than when the inmate is participating in needed activities.

Generally, the highest levels of correspondence across all stages of the Plan development process seem to occur at institutions with low counselor-inmate ratios. Coincidentally, these seem also to be the institutions most amenable to change and to adopting a new philosophy of dealing with the offender.

8.4 Documentation of Progress

The Quarterly Review Summary serves as a three-month progress note on the inmate's performance in each of the eight assessment categories. In addition to providing this ongoing evaluation of his behavior to institutional personnel, however, all the Summaries are forwarded to the Parole Board when the inmate's consideration date arrives, for inclusion in the Board's information file. Accurate, detailed completion of this form, therefore, has a potentially large impact on the parole decision, since the Quarterly provides the only continually updated history of the inmate's behavior and performance during his incarceration.

One indicator of completeness is the mean number of discrete entries that are included in each category. These were computed by dividing the total number of discrete entries in a given category by 110, the total possible

number of that category present, The Summary occasionally contained an entry that read "No Change" or "Not Applicable"; these were tallied separately. The results are detailed in Table 10 below.

TABLE 10
DISCRETE CATEGORY ENTRIES: QUARTERLY REVIEW SUMMARY

AREA	NUMBER OF DISCRETE ENTRIES	MEAN NUMBER OF DISCRETE ENTRIES	ENTRY READ "NO CHANGE" OR "N/A"
Work	189	1.7	1 (0.9%)
Vocational	143	1.3	20 (18%)
Education	183	1.7	10 (9%)
Problem Behavior	189	1.7	2 (2%)
Leisure	166	1.5	3 (3%)
Pre-Release	140	1.3	20 (18%)
Medical	121	1.1	13 (12%)
Other	111	1.0	15 (14%)
total	1242	1.4	84 (10%)*

*as a percentage of total Quarterly Review Summary categories present, or 880.

With a mean of 1.7, Work, Education and Problem Behavior were the categories with the highest average number of entries. The significance of a 1.7 average, however, is difficult to determine in a process with an overall mean of only 1.4. These three may represent areas in which more inmates are involved in rehabilitation programs; or they may represent areas of the greatest amount of change in an inmate's institutional life, thereby requiring numerous updates.

Overall means at individual institutions ranged from a low of 0.75 at one of the smaller state institutions where the most frequent entry was "No change" to a high of 1.9 at a former Youthful Offender institution whose staff seems to have mastered the technique of making progress notes. Generally, the highest means were recorded at the state's newest institutions, where staff

did not have to unlearn one case management process and replace it with another, and at a smaller state institution where staff expressed a notable degree of concern regarding case management processes.

With some outstanding individual exceptions, staff do not display many skills in completing the Quarterly Review Summary. Entries tend to be terse phrases that convey little information by way of update. Often the entries do not reflect the inmate's enrollment in programs cited on the Performance Plan; or progress is occasionally noted in a program that is not indicated on the inmate's Performance Plan. Overall, this particular documentation seems to lack continuity, a vital element in any effective case management process.

9.0 PERFORMANCE RATING PROCESS

The Earned Time System provides two levels of positive reinforcement for the inmate, each contingent upon a different minimal level of performance:

1. Time off the end of his sentence, with the Department's favorable parole recommendation, predicated upon an inmate's sustained, acceptable level of performance during his incarceration; and
2. Extra institutional privileges, a more proximate level of motivators, earned through an exceptional level of performance in a rated activity.

Each level presumes the existence of responsible staff members who will rate performance based upon a body of specific criteria known both to the staff person and to the inmate; and who will apprise the inmate and the Case Manager on a periodic basis as to the performance rating earned. The primary transaction documents in this process are the Performance Activity Description (PAD), the Supervisor's Evaluation (SE), the daily Performance Notice (PN) and the monthly Performance Exception Report (PER).

9.1 Criteria for Rating

The specific requirements that an inmate must meet in order to receive a satisfactory rating in an activity are delineated on the Performance Activity Description. Entrance requirements, activity objectives and a detailed narrative description of the activity are also included on the form.

During the early months of ETS implementation, Performance Activity Descriptions were completed by appropriate institutional personnel for each work, educational, and vocational activity available at their institution. The PAD's were subsequently forwarded to ETS program staff for review. Several of the PAD's were revised at this stage so that activity performance

criteria would reflect a uniform behavioral orientation.

All PAD's were then granted "provisional approval", pending final review for standardization by the respective program staff in work, educational and vocational areas. At this writing final approval has not yet been designated for any PAD.

9.2 Mechanisms for Reporting

9.2.1 Supervisor's Evaluation

The Supervisor's Evaluation is the transaction document indicated in ETS Procedures as the reporting mechanism for periodic assessment of an inmate's performance. The SE is required on a quarterly basis for each inmate assigned to an activity. In the total rating process this document is the primary source of first-hand information concerning the inmate's sustained level of performance in institutional activities.

As discussed in Section 8.1 above, the SE was present in 40% of the files sampled. More than half of these SE's, however, contained only the notation that the inmate had not been assigned to that detail for a long enough period of time to allow a meaningful evaluation.

Generally, when the SE was present and an evaluation was possible, the report was written in more specific and behavioral terms than were Performance Notices and Performance Exception Reports. (See Section 9.2.2 below.) Some correspondence with criteria outlined on the PAD could be discerned, although systematic evaluation was precluded by the unavailability of approved PAD's at that point in the file review process.

Comments on the Supervisor's Evaluation were generally restricted to one sentence or less. This brevity may reflect the impact on the amount of time or the degree of familiarity with the inmate allowed to the Activity Supervisor with a large detail.

9.2.2 Performance Notice and Performance Exception Report.

The mechanism established under ETS for providing feedback to the inmate concerning his performance is the exception report. This report is generated on an as-needed basis by the Activity Supervisor to inform the inmate that his behavior has exceeded or fallen below satisfactory performance levels for that activity. The Supervisor retains the prerogative of following up on a daily report (PN) with a monthly report (PER.). ETS Procedures specify that the reasons outlined for issuance of the report must be behavioral in nature and consistent with the criteria listed in the PAD for that activity.

Systematic evaluation of the PN's and PER's proved to be administratively impossible since the reports were filed in individual inmate folders with no way to track their exact location once the reporting process had resulted in the recommended transaction (i.e., privilege or disciplinary action). However, several reports were reviewed at each institution in an effort to assess the quality of the documentation and to arrive at some idea of the viability of the process.

The rating procedure that allows an "unsatisfactory" denotation for poor performance does not seem to be utilized at any of the 14 institutions visited. During informal interviews with Case Managers, a completely processed unsatisfactory rating was reported on only one occasion.

Generally, staff perceive this process as too cumbersome and time-consuming for removing an inmate from an assigned activity. Both staff and managers suggested that the distinction between unsatisfactory performance and insubordination is often so unclear that the lesser time-frame required to process the disciplinary report becomes the deciding factor in a choice of supervisory actions.

Since the unsatisfactory report process is being utilized only sporadically, some indication of the frequency of performance reports may be inferred from privilege rates. That is, given that there are only two kinds of performance report and one is not being used and the other generally results in a privilege transaction, privilege rates at an institution should correspond to performance report rates.

This logic does seem to hold true: interviews with staff at institutions with the lowest privilege rates turned up the greatest amount of resistance to the entire performance rating process. Several institutions, including most of the county camps, are not rating at all, while others such as the state's largest are rating at such a low frequency level as to be non-existent.

Differences in rating frequencies occur on an individual basis as well. Inmates consistently noted during interviews that many supervisors refused to give excellent reports. These observations were subsequently confirmed by the supervisors themselves, many of whom seemed to interpret the concept of "excellent performance" in its strictest context. Conversely, several other supervisors expressed a basic willingness to reward any positive behavior on the part of an inmate and were concerned only with how to distinguish "excellent" from "satisfactory" performance. (See Smith and Roche, 1977 for a more extensive discussion of inmate-staff perceptions of ETS.)

Performance Notices and their resultant Performance Exception Reports are often written in terms of one pervasive criterion: overtime. Particularly in the Work area, little attention seems to be given to the specifics delineated on the PAD concerning satisfactory performance in that particular activity. This is not to suggest, of course, that extra

effort is not a valid basis for reward, particularly since productivity requirements are so universally associated with these details. As the process is refined, however, more of the specific criteria outlined on the PAD might be considered in rating the inmate's performance.

10.0 PRIVILEGE SYSTEM

One of the central issues in a performance-based model is the nature of the positive reinforcements utilized to reward achievement. Two salient criteria in this respect are consistency and equity; that is, are lists of available privileges comparable from institution to institution, and are privilege award rates comparable across age, race and ability groups within each institution?

The keys to the effective use of extra privileges as motivators include:

- thoughtful development of rewards that are valued by the inmates;
- monitoring at each institution to insure prompt scheduling of the awarded privileges; and,
- periodic evaluation between institutions to increase standardization of practice in the designation and award of regular and extra privileges.

10.1 Comparability of Rewards

Each institution was encouraged by ETS program personnel to develop its own privilege list, tailoring it to its specific inmate population and available facilities. (A county camp may be able to offer a fishing trip as a privilege, for example, while a more urban institution would offer craft shop time or gym time.) This approach resulted in some 53 varied lists of privileges, each of different size or content. Insofar as could be determined, these lists were produced almost exclusively by management and staff with little formal input from inmates.

The master privilege list for the Earned Time System presently contains 68 different privileges. Not every privilege is available at every institution, although one privilege does appear almost universally on individual institution lists: the telephone call.

The five most frequently recurring privileges, in terms of availability, and the number of institutional lists that include them are:

1. Telephone call (48 or 91%)
2. Extra or extended visit (41 or 77%)
3. Supervised fishing trip (23 or 43%)
4. Detail change (17 or 32%)
5. Day off work or activity (15 or 28%)

Individual lists range from a high of 17 items at a former Youthful Offender institution to a low of 1 at the institution for older and infirm inmates. (Officials at this facility point out that the base list of daily privileges already accorded these inmates as a function of being assigned to this institution is so extensive as to preclude any additions.) The mean number of privileges on lists from state institutions is 8 with a median of 7.5.; and from county institutions, 4 with a median of 4.5.

The state institutions with the most extensive lists seem to be those that had a functioning privilege system before the advent of ETS. Particularly evolved were lists at institutions with a performance-based orientation in their pre-ETS system. Georgia Industrial Institute (GII) and Georgia Training and Development Center (GT&DC), for example, each had a system that was predicated on observed, high-quality performance in an activity. Their privilege systems thus required few changes to tailor them to ETS procedures, a fact that is reflected in the number of different privileges available to the inmates at these institutions.

The underlying philosophy of a performance-based privilege system is interpreted differently by state and county institutions. Generally, county camps view the privilege at its least complex level: as a one-to-one correspondence between a positive behavior and a positive reinforcement. For example, if the inmate does extra work, he gets an extra phone call.

Even with the necessary delays caused by paperwork, the interpretation is based on the concept of immediate gratification.

At a number of state institutions this viewpoint has been refined somewhat to allow the inmate more flexibility in the use of his earned privilege. While retaining the option of redeeming the privilege slip immediately, he is permitted the additional possibility of saving the slip to be used with another in acquiring a privilege of higher value. That is, he may choose one of two options: (1) redeeming the slip and claiming a phone call, visit or some other privilege with a unit value of one; or (2) combining the slip with one earned at a later date and claiming a privilege with a higher unit value, such as a security reduction which requires two slips and meeting of eligibility criteria. As this concept is presently functioning at GII, three privileges are denoted as "long range"; two monthly reports for excellence during a six-month period are required in order to earn one of these. The inclusion of a time element is further refined at Georgia Women's Correctional Institution where an excellent monthly performance report for three consecutive months is required for some of the more valued privileges such as a day off work or choice of job detail.

10.2 Scheduling of Privileges

ETS Procedures specify that an inmate "must use [an earned] privilege before the expiration date, normally one month from the date of award."

Of the 1,396 privileges recorded from 11 institutions, the mean time between the date an inmate received a privilege slip and the date that he redeemed it was 8.8 days with a standard deviation of 11.3. This time frame, of course, does not take into account the period required for processing the actual monthly exception report. If the inmate receives an exception slip

(PN-E) on the second day of the month, it may take as long as five weeks for him to be eligible for a privilege since the monthly exception report is completed at the end of the month.

In some cases a low mean at an individual institution is a reflection of a policy decision concerning privilege expiration dates at that institution. One of the small institutions, for example, has established a two-week limit on phone call privileges; that is, any inmate selecting a phone call as his privilege has two weeks from the date of the privilege slip to make his phone call. Since the phone call accounts for 75% of the privileges chosen at that institution during any given month, the two-week policy probably contributes to this institution's low turnaround time of 4.7 days.

Generally, those institutions with the youngest populations exhibited the shortest amount of time between the date a privilege was granted and the actual award date.

10.3 Equity of Actions

The average monthly rate* of privilege award actions for the 11 institutions evaluated was 0.11, with a median of 0.07. The rates range from a high of 0.22 at the former Youthful Offender institution to a low of 0 at one of the smaller state institutions. Rates are significantly and consistently higher at institutions with younger populations, with the two highest rates occurring at Georgia Training and Development Center and Georgia Industrial Institute. As discussed in Section 10.1 above, privilege lists at these institutions are comprehensive and have evolved from a history of performance-based modeling.

*This rate represents the average monthly number of privileges at a given institution divided by the monthly population average for the same months.

The two most frequently requested privileges by far were the telephone call and extended or additional visit. These accounted for 81% of the total privileges granted. In all, 566 phone calls were requested or 55% of the total privileges granted; 272 visiting privileges were requested or 26% of the total. The next most popular privilege was the fishing trip which accounted for 51 or 5% of the total.

Perhaps the most important question concerning privileges, however, is not what are they, but who gets them. Several different variables were considered in answering this query. These included inmate classification (i.e., Good Time or Earned Time); security class; race; and ability group, as represented by I.Q. range.

Monthly privilege rates are somewhat higher for the non-Earned Time population than they are for "E" inmates. Good Time inmates show an average rate of 0.11 as compared with 0.09 for Earned Time inmates. The difference in rates is most pronounced at institutions with either an equal number of Earned Time and Good Time inmates, or a larger proportion of Good Time inmates. The rate variance may, therefore, simply be a function of the longer periods of time that most of the Good Time inmates have been assigned to these institutions. That is, supervisors may have had more time to observe their performance, and become familiar with the inmate.

As indicated in Table 11 below, inmates in lower and medium security classifications received 755 or 74% of the total privileges awarded. Inmates in these classifications, however, comprise only 44% of the population at the 11 sampled institutions. Since these figures suggested the presence of some inequity, further breakdowns were calculated.

TABLE 11
PRIVILEGE EARNING RATES BY SECURITY CLASSIFICATION
AT 11 SAMPLED INSTITUTIONS

Security Classification	% of Total Privileges Earned	% of Population at Sampled Institution in this Security Class	Privilege Earning Rate
Lower (1-3)	33%	15.4%	0.33
Medium (4)	41%	29.0%	0.20
Higher (5-6)	27%	54.0%	0.07

First, a frequency distribution of privileges by race was generated for the sampled institutions. These data indicated that white males represented 38% of the sampled population, but received 48% of the total privileges awarded.

Suspecting that some correlation might exist between these two variables, a crosstabulation was run between security classification and race with the results as detailed in Tables 12 and 13.

TABLE 12
SECURITY PROFILE OF BLACK INMATES WHO EARNED A PRIVILEGE

Security Classification	% Black Who Earned a Privilege	% Black in Sampled Population
Lower (1-3)	30.4%	15.1%
Medium (4)	40.1%	32.3%
Higher (5-6)	29.5%	51.9%

TABLE 13

SECURITY PROFILE OF WHITE INMATES WHO EARNED A PRIVILEGE

SECURITY CLASSIFICATION	% WHITE WHO EARNED A PRIVILEGE	% WHITE IN SAMPLED POPULATION
Lower (1-3)	34.7%	15.8%
Medium (4)	41.0%	26.8%
Higher (5-6)	24.2%	58.1%

The salient factor here seems to be security classification rather than race. Black inmates in lower security classifications at the sampled institutions comprised 47.4% of the population, but received 70% of the privileges. In a similar manner, White inmates in lower security classifications at the sampled institutions comprised 42.6% of the population, but received 75.7% of the privileges. One probable explanation for these ratios may be that access to a broad range of activities is limited for those inmates with close or maximum security codes, thereby minimizing their relative opportunity to earn a privilege.

The final variable considered was ability group. Because of the small number of inmates falling into the extremely high and extremely low ends of the spectrum, these were collapsed into categories labeled "Higher" and "Lower."

As indicated in Table 14 below, inmates falling into the lower and medium I.Q. score ranges (i.e., with an I.Q. of less than 110) comprise

54% of the population at sampled institutions and earned 54.8% of the privileges. The ratio is thus a proportionate one.

TABLE 14

PRIVILEGE EARNING RATES BY I.Q. RANGE AT 11 SAMPLED INSTITUTIONS

I.Q. Score Range	% of Total Privileges Earned	% of Population at Sampled Inst. in this I.Q. Range	Privilege Earning Rate
Lower (to 79)	8.8%	15.4%	0.12
Medium (80 to 109)	46.0%	39.0%	0.17
Higher (over 109)	20.0%	17.0%	0.18

The privilege earning rate increases somewhat from lower to higher I.Q. score ranges, possibly reflecting different levels of understanding and interaction with the ETS privilege mechanisms.

11.0 OVERPOPULATION ISSUES

Overpopulation and the problems associated with it have contributed to a chronic state of affairs in the nation's correctional institutions, Georgia not excepted. As populations have increased, administrators have suddenly found themselves faced with vital issues concerning the provision of ample food, of proper sanitation and of sufficient bed space for the ever arriving new admissions. As more and more living space is absorbed and the number of square feet available to each inmate decreases, the atmosphere becomes volatile. Minor issues assume overwhelming proportions, and the potential for conflict between inmate and inmate or inmate and staff increases. These interactions are reflected in higher disciplinary report rates.

The situation can only be contained in a few different ways:

1. Build more institutions;
2. Promote alternatives to incarceration;
3. Decrease the number of admissions; or
4. Increase the number of releases.

Georgia's Department of Offender Rehabilitation has tried a combination of all of these approaches. A new institution with a capacity of 432 was opened in Columbus during FY77: West Georgia Community Correctional Center, with another to follow soon in Macon. A number of additional community-based centers are being reviewed to allow this viable alternative to sentencing courts. A temporary backlog of inmates was allowed to accumulate in the jails until additional space could be made available to house them.

Only releases presented a perennial problem: How to increase the number of inmates released each month and still protect the public's safety by exerting all proper controls? The Earned Time System seems to provide

at least the potential for answering this query. As a performance-based model with inherent characteristics of accountability for both inmates and staff, ETS allows the inmate to choose his own level of achievement while ensuring that decisions and their programmatic consequences will be recorded.

Equally as important in its response to the overpopulation problem, however, are the elements of ETS that allow the inmate to earn his way out as the result of acceptable performance. In theory, by consistently earning two days off time for each day served, the inmate will earn his way out at one-third of his sentence, whether or not he is granted parole. If he is an "habitual" ETS offender, he earns at one day off for one day served, so the earn out point only occurs at half his sentence length.

This is a system impact measure that requires tracking for longer than one year. Preliminary data are presented in Section 11.1 below.

11.1 Design Capacity

Design capacity as a percentage of total population was tracked for a two-year period beginning in July 1975 and ending in June 1977. Since county institutions do not have official design capacities at this point, only state institutions were included.

The average population increased by 399 inmates or 5% during this period, from 8,241 in FY76 to 8,640 in FY77. With the availability of new space, the relationship of population to design capacity remained about the same: 112% in FY76, 111% in FY77. This ratio is detailed for the eight quarters in Table 15 below.

TABLE 15
POPULATION; DESIGN CAPACITY, FY76 AND FY77

QTR.	POPULATION AVERAGE	DESIGN CAPACITY	% OF DESIGN CAPACITY OCCUPIED BY POPULATION
<u>FY76</u>			
1	8144	7348	111%
2	8199	7348	112%
3	8203	7348	112%
4	8407	7348	114%
total*	8238	7348	112%
<u>FY77</u>			
1	8467	7780	109%
2	8549	7789	110%
3	8687	7780	112%
4	8679	7780	112%
total*	8596	7780	110%

*These totals differ somewhat from those cited in the text due to rounding when accumulating quarterly figures for all institutions.

So many intervening variables can affect population from one year to the next--such as sentencing patterns, crime rates, parole rates--and ETS is only just completing its first stage of implementation, that to ascribe any population change to ETS during this first evaluation would be unwarranted. One potential problem area does deserve observation: the offender that is classified as "habitual". His sentence length is probably already longer as the result of the judge's consideration of his past offenses; his chances for favorable parole consideration are lessened because of his criminal history and return-to-prison rate; and he earns at a lower rate than the non-habitual. This triple penalty may have serious consequences for the corrections system if it is not soon mitigated, possibly through the elimination of the "habitual" designation.

11.2 Use Of Force Report Rates

A Use of Force Report is generated by an institutional staff person at any time that physical contact must be used to control an inmate's behavior. As indicated in Table 16 below, rates tracking the issuance of these reports are already so low as to cause some problem in determining the significance of another drop of 0.1 in the rate.

The total number of reports written at state institutions during FY76 was 161 and at county institutions, 12, for average monthly reports of 13 and 1, respectively. The number of reports written at state institutions during FY77 totaled 129 and at county institutions, 10, for average monthly reports of 10.8 and 0.83, respectively.

The rate per quarter per 1,000 inmates has dropped steadily during FY77, perhaps because of the opening of new institutions and a consequent reduction in tension levels. No particular seasonal variations seem to be involved in these lower rates, but, again, interpretation becomes difficult when the average monthly drop is from 15 to 11 to 10.

11.3 Disciplinary Reports Rates

Disciplinary Reports index the confrontation between institutional personnel and inmates [Smith and Roche, p.7]. By this definition, report rates may be interpreted in several different ways. As the rate increases, it may signify a corresponding increase in tension levels at the institution. The Disciplinary Report thus serves as an outlet for this tension: the inmate translates his frustration into some open act of defiance and the staff member uses the Report as a rejoinder.

An increase in report rates may indicate that the behavior observance that is encouraged by other ETS processes has borne results in this one: as

staff observe the inmate's performance and increase their level of interaction with him, they multiply also the possible number of negative interactions.

Table 17 details the quarterly Disciplinary Report rates per 1,000 inmates at state and county institutions. The average rate for FY76, the year immediately preceding ETS implementation, is 5.56 points lower than the average rate for FY77. One explanation may be that most line staff underwent intensive training immediately before ETS was operationalized. Since ETS was a new program with different documentation requirements, training was conducted on a continuous basis over the next months. Many staff were exposed to considerably more classroom hours, learning and practicing the new procedures, than had ever been the case under Good Time. This sustained training may have shown up as increased levels of observation, resulting in, hopefully among other transactions, an increased number of disciplinary reports.

Report rates are consistently highest across the system at institutions with younger populations. This may reflect the "Show me" attitude of most young people, or it may reflect that perception of them on the part of staff.

Often, the rate seems to be influenced by the mission of the institution. The Youthful Offender Program, for example, specifies a contingency-based contract that determines the inmate's release date. He must fulfill the terms of this mutual agreement in order to earn release. His behavior is thus observed very closely in order to determine compliance. This close observation may be one reason for Youthful Offender institutions! showing the highest rates of all.

During the second quarter after ETS implementation, the Disciplinary Report rate dropped at 11 of the 17 state institutions; at one facility, the

TABLE 16

USE OF FORCE REPORTS: RATE PER QUARTER PER 1,000 INMATES

QUARTER	STATE INST.: TOTAL REPORTS	COUNTY INST.: TOTAL REPORTS	POPULATION AVERAGE	RATE/QTR./ 1,000 INMATES
July-Sep 75	37	2	10,763	1.20
Oct -Dec 75	39	5	10,692	1.37
Jan -Mar 76	49	0	10,695	1.53
Apr -Jun 76	36	5	10,973	1.25
total	161	12	10,788	1.34
Jul -Sep 76	39	5	11,050	1.33
Oct -Dec 76	31	2	11,127	0.99
Jan -Mar 77	29	2	11,205	0.92
Apr -Jun 77	30	1	11,235	0.92
total	129	10	11,154	1.04

TABLE 17

DISCIPLINARY REPORTS: RATE PER QUARTER PER 1,000 INMATES

QUARTER	STATE INST.: TOTAL REPORTS	COUNTY INST.: TOTAL REPORTS	POPULATION AVERAGE	RATE/QTR./ 1,000 INMATES
Jul -Sep 75	1114	309	10,763	44.07
Oct -Dec 75	1238	265	10,692	46.85
Jan -Mar 76	1314	313	10,695	50.71
Apr -Jun 76	1380	277	10,973	50.33
total	5046	1164	10,788	47.97
Jul -Sep 76	1574	277	11,050	55.84
Oct -Dec 76	1299	243	11,127	46.20
Jan -Mar 77	1670	242	11,205	56.88
Apr -Jun 77	1621	239	11,235	55.18
total	6164	1001	11,154	53.53

decrease was 55 points, at another only 5. During the comparable time frame in FY76 (i.e., the second quarter), only 6 of the 17 institutions decreased in report rates; these declines averaged 20.8 as compared with 25.4 for the second quarter of FY77. The decrease thus appears too widespread and too pronounced to have been caused totally by seasonal variation.

One other explanation may be a new sensitivity engendered in staff by ETS. Many institutional personnel from line officers to teachers to managers reported during interviews that they were much more careful about writing a Disciplinary Report on an Earned Time inmate than they had been under the previous system. They seemed to feel that the implications of a non-returnable time loss warranted some additional deliberation on their part and, perhaps, another course of action entirely. Rates at these institutions were back to nearly their first quarter level by the third quarter, so that even in the overall data presented in Table 17, the second quarter of FY77 looks like a moment of pause in a gradually increasing report rate.

12.0 PROGRAM COMPLETION RATES

Program placement under the Earned Time System is predicated upon a series of verified assessments concerning an inmate's aptitude as well as his observed performance. Insofar as these assessments and consequent placements are accurate, that accuracy will be reflected in gradually higher rates of successful program completions.

Data concerning reasons for program termination that were used in compiling this section were derived from cumulative in-house computer files, routinely updated by the Offender Administration Division.

12.1 Vocational Programs

Twenty vocational education programs were selected for tracking based upon a previous selection of these same programs used for an in-house program completion study. Successful program completion rates of Earned Time inmates were compared with those of the first year new admission cohort from July 1975. The time period in each case was the first four quarters after admission. For Earned Time inmates this would be July 1976 through June 1977; for the "first year cohort," July 1975 through June 1976. Detailed data are outlined in Table 18 below.

TABLE 18

SUCCESSFUL PROGRAM COMPLETIONS, TWENTY SELECTED VOCATIONAL PROGRAMS:
ETS INMATES VS. ANY FIRST YEAR COHORT

QTR.	NO. OF TERMINATIONS		NO. OF SUCCESSFUL COMPLETIONS		% SUCCESSFUL COMPLETIONS	
	E's	1st Yr.	E's	1st Yr.	E's	1st Yr.
1	6	11	0	1	0	9%
2	6	10	0	4	0	40%
3	11	41	0	6	0	15%
4	35	83	1	5	3%	6%
Total	58	145	1	16	1.7%	11%

As is readily observable, the Earned Time population produced only 1 successful completion (or 1.7% of terminations) during a 12-month period, while the previous year's new admissions generated 16 or 11% of all terminations. Low completion rates for these programs are easily interpreted as verification that new inmates are generally added to the bottom of extensive waiting lists for entry into these vocational programs. As classroom space occurs, it is apportioned first to those inmates whose names have been on the list for the longest period of time. This practice when combined with the constraints of implementing a new case management process could explain the somewhat lower rate.

But another factor seems to have some potential influence on this rate: frequency of transfers. As indicated in Figure 1 below, although transfer rates for ETS inmates are gradually declining as a reason for vocational program termination, they started out at a significantly higher point than the comparable rate for the "first year cohort." During the second quarter of their incarceration 5 of the 6 program terminations for ETS inmates were for transfers, while 1 of the 10 terminations for the first year cohort was for transfer. For the four quarters tracked in the selected vocational programs, transfers accounted for 43% of "E" inmate terminations and 19% of the first year cohort terminations. The actual number of cases involved may be too small to be significant at this point, but this may well be an area that merits continuing attention.

12.2 Academic Programs

Five academic education areas were tracked for a four-quarter period, and successful program completion rates of Earned Time offenders were compared with those of the same first year cohort described in Section 12.1

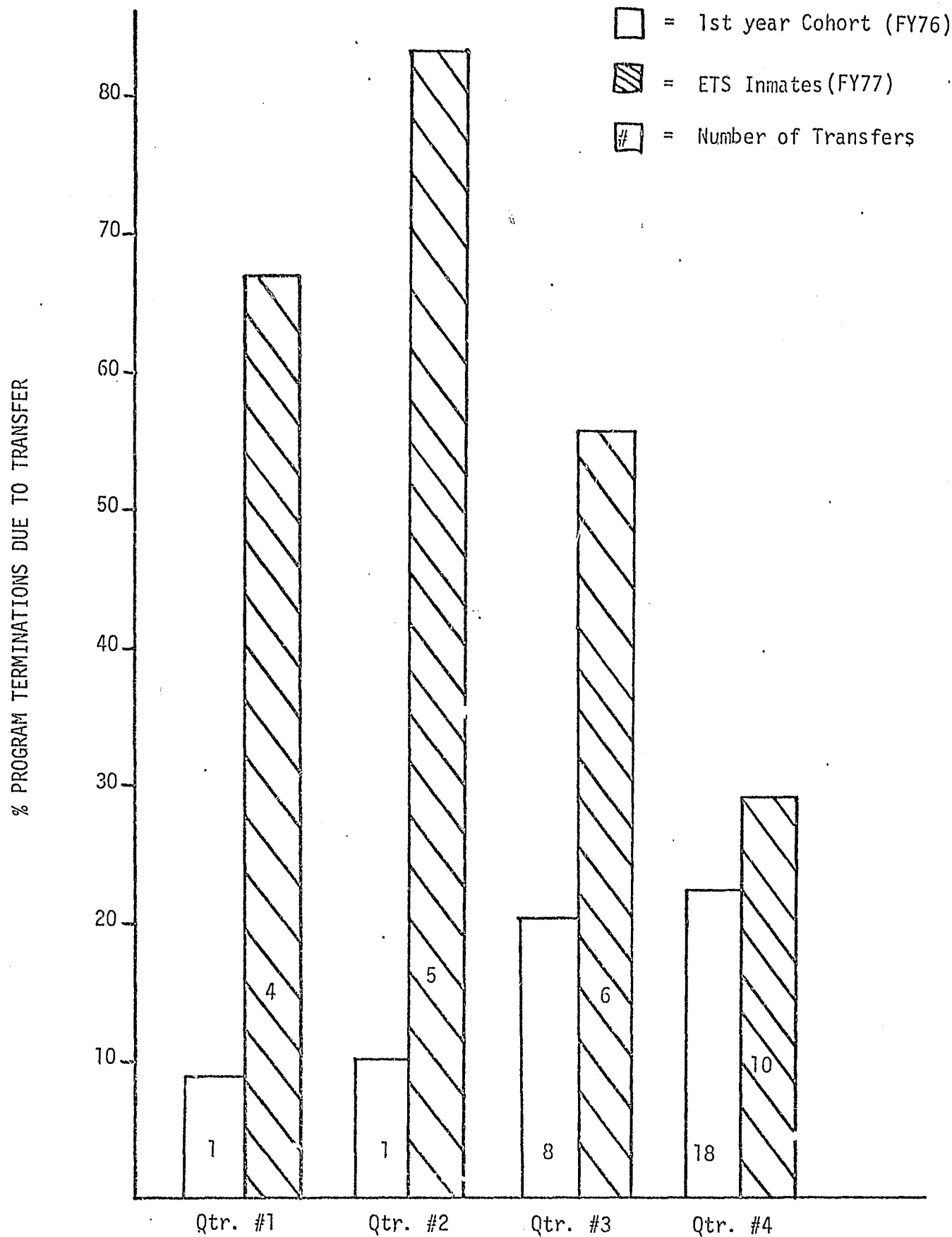


Figure 1. Percent of Vocational Program Terminations Due To Transfer: ETS Inmates Vs. Any 1st Year Cohort

above. The education areas included were Adult Basic Education, college courses, GED, high school courses, and Literacy Remedial Education.

Detailed data are outlined in Table 19 below.

TABLE 19

SUCCESSFUL PROGRAM COMPLETIONS, FIVE ACADEMIC AREAS:
ETS INMATES VS. ANY FIRST YEAR COHORT

QTR.	NO. OF TERMINATIONS		NO. OF SUCCESSFUL COMPLETIONS		% SUCCESSFUL COMPLETIONS	
	E's	1st Yr.	E's	1st Yr.	E's	1st Yr.
1	9	23	2	4	22%	17%
2	47	99	10	18	21%	18%
3	100	234	27	71	27%	30%
4	147	430	33	169	22%	39%
Total	303	786	72	262	24%	33%

Differences in the relative successful completion rates for these academic areas seem to be somewhat less pronounced than for the vocational programs. Generally, Earned Time inmates have sustained a rate ranging from 21% to 27%, while the first year cohort showed a steady increase over four quarters from 17% successful completions to 39%.

It may yet be too early to determine the effect that ETS need assessment and program assignment will have on these rates, assuming that rates for the 1976 admissions were influenced by new procedural requirements. It is interesting to note, however, that once again terminations due to transfer were higher for the Earned Time group than for 1975's new admissions: 33% over four quarters versus 18%.

12.3 Academic and Vocational Programs Combined

In order to allow for the small number of completions during the early months of incarceration, data concerning both the academic and vocational

areas discussed above were combined in one analysis. As indicated in Figure 2 below, the combined statistics follow generally the trend of academic completions alone. The first year cohort shows a gradual increase in successful completions from 15% to 34%; Earned Time inmates, on the other hand, show first a gradual increase from 13% to 24%, then a setback in Quarter #4 to a 19% rate.

The combined program transfer rates as pictured in Figure 3 do not suggest as close a correspondence between transfers and successes as did some of the earlier data. Program terminations due to transfer of ETS inmates dropped, for example, in Quarter #3 when the combined success rate rose five percentage points for the ETS population. In any case, these overall transfer termination rates are higher for ETS inmates than for the first year cohort: 38% vs. 27%; as well as for the non-Earned Time segment of the present population which averages a 26% rate of program termination due to transfer.

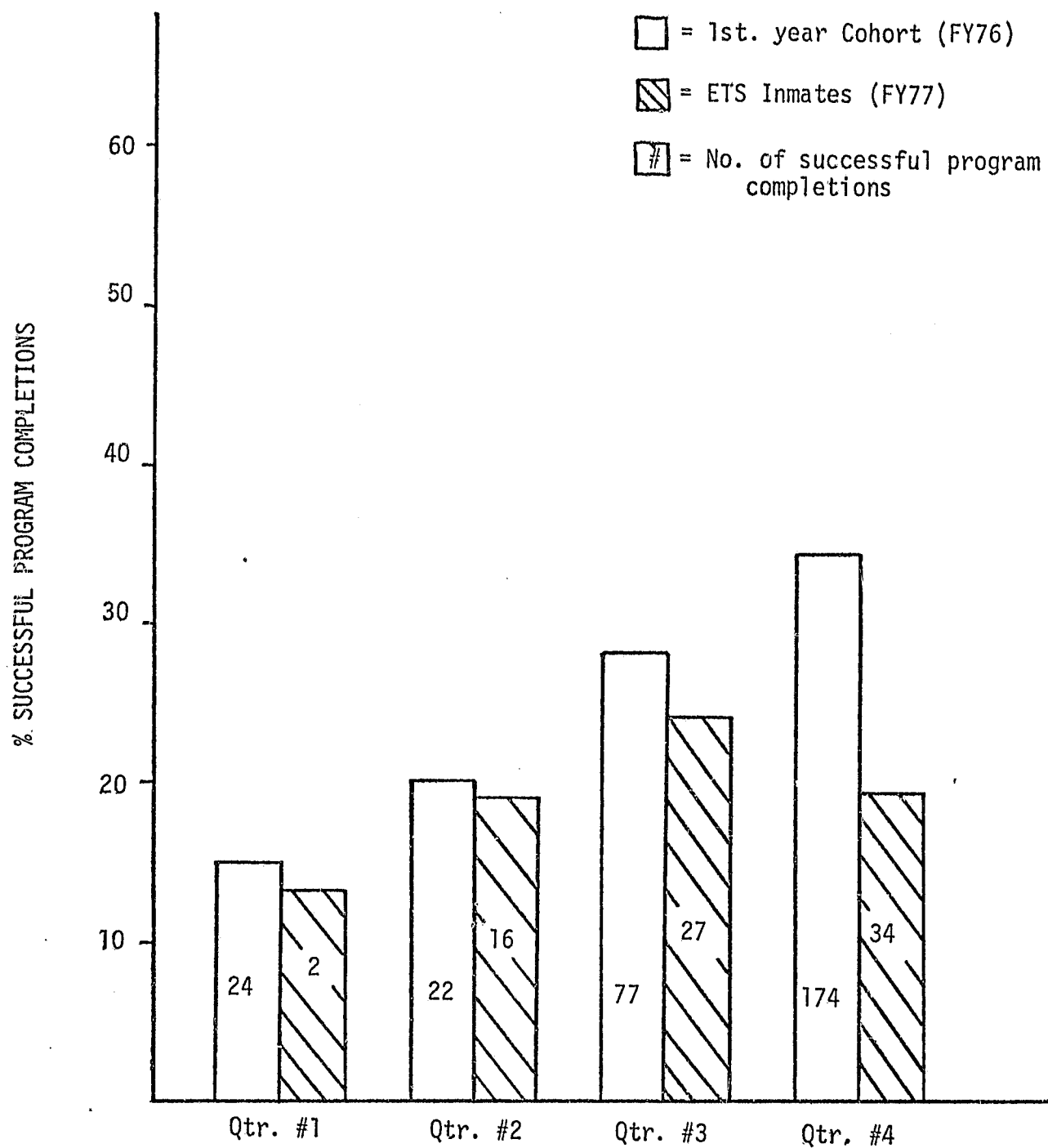


Figure 2. Successful Program Completions: Academic Education + 20 Selected Vocational

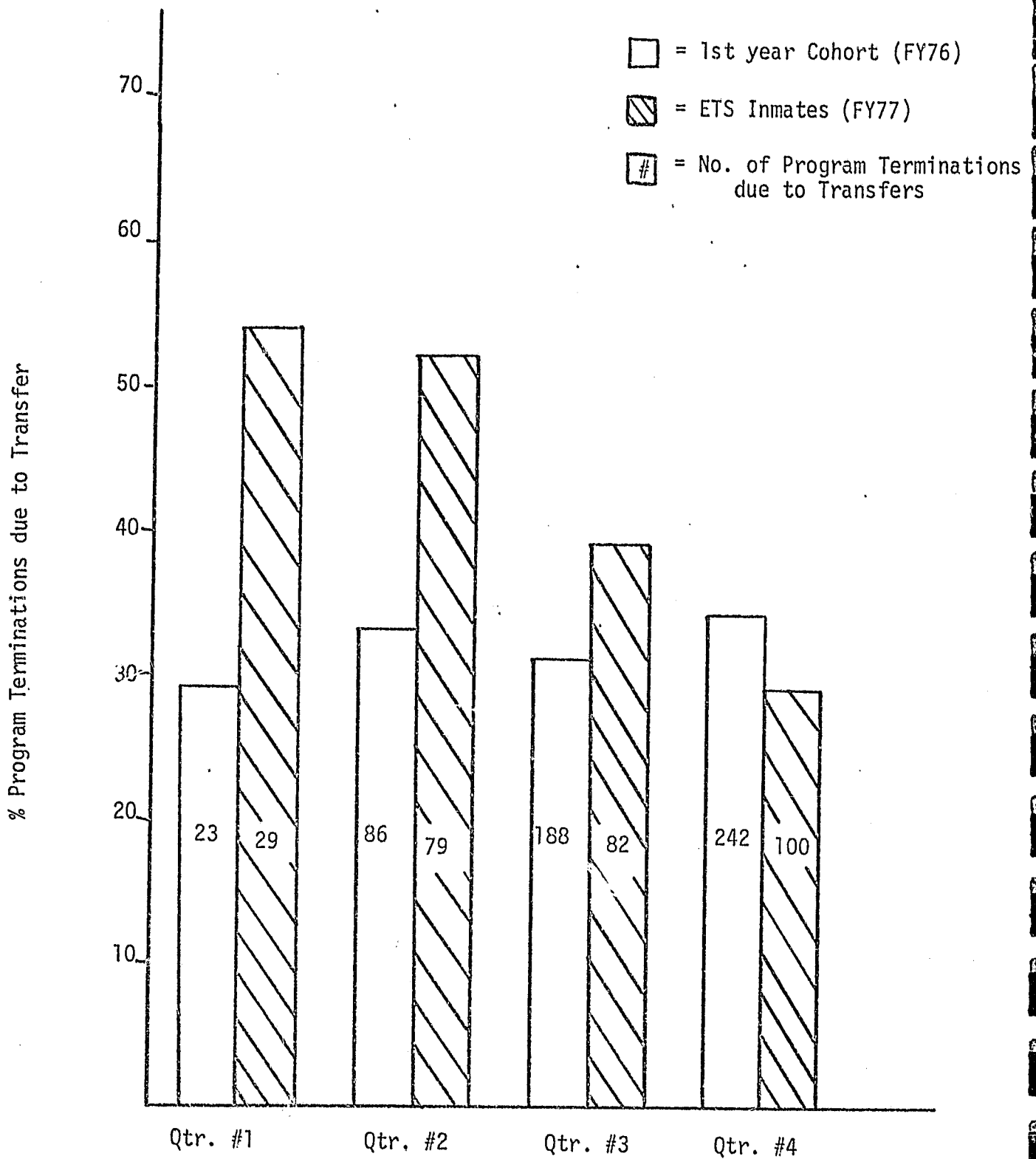


Figure 3. Program Terminations due to Transfer:
Academic Education + 20 Selected Vocational

13.Q ETS PAROLE DOCUMENTATION

Each successive item of documentation in a performance-based model provides one more level of accountability for Departmental management and staff. This documentation is an ongoing record to certify that any significant action taken in relation to the inmate was caused by the inmate's own behavior. The process culminates in the parole decision. Insofar as the information supplied by DOR to the Parole Board is both specific and complete, the Department's responsibility to make performance-based recommendations is discharged.

It is important to note, however, that an inmate's behavior during incarceration forms only a small part of the total data file collected on him by the Parole Board. In many cases his period of incarceration has been minor when compared with the number of years he has spent in free society. Even when this is not the case, among the multitude of influences in an individual's life, it would be difficult at best to determine the relative impact of an institutional experience. The diversity of items present in the Parole Board file attests to the difficulty of this weighting issue: extensive social histories, legal reports of the crime, occasionally an updated case study and, on some inmates, a psychological profile.

The semantics concerning DOR's contribution to the parole process have changed somewhat since the inception of the Earned Time System. While the first formulation of this concept called for DOR to communicate an inmate's parole clearance to the Board, based upon the inmate's performance, a subsequent agreement specified that the Department would formally declare an inmate "deficient" if he did not maintain an acceptable level of performance during his incarceration. Criteria for this assessment were later defined as six months or more in a time out status.

Parole documentation requirements have also evolved and expanded somewhat with ETS implementation. During the first 12 months, institutional staff were required to supply for each inmate due for parole consideration both the Inmate Evaluation form used under the Good Time System and the Parole Review Summary that superseded it under the Earned Time System. The Quarterly Review Summary was also to be included. Recently, however, the requirement for an Inmate Evaluation form on ETS inmates was deleted and only the Parole Review Summary was retained. In addition to the Quarterly Review Summary, a copy of the inmate's Performance Plan is now to be part of the package sent to the Parole Board.

13.1 Completeness of Files

A Parole Review Summary, or an Inmate Evaluation, or both, were present in all 46 of the sampled files. These documents were also present in the five files belonging to inmates who completed their sentences while on parole. Individual percentages are detailed in Table 20 below. Performance Plans were included in 13% or 6 of the sampled files, while a Quarterly Review Summary was included in 24% or 11 files. The relatively small number of Plans at this point is undoubtedly a reflection of their not being requisite information under previous ETS guidelines. The number of Quarterlies may be a function of the short period of time that ETS was implemented prior to these inmates' parole review, or an indication of frequent transfers, resulting in a lack of cumulative information on an inmate at any one institution.

According to a representative of the Board of Pardons and Paroles, it is their understanding that the inmate file forwarded to them for review by institutional personnel is to contain a complete diagnostic package. This would include the ETS Performance Assessment Sheet (i.e., Intake and Extended

Assessments); employment history derived from an interview at the diagnostic point; and a computerized psychological profile. One of the more important other items, according to this spokesperson is the inmate's face sheet. Percentages of these forms present in sampled files are outlined in Table 20.

TABLE 20
DATA PROVIDED TO PAROLE BOARD BY DOR STAFF

<u>DESCRIPTION</u>	<u>NUMBER</u>	<u>% OF TOTAL SAMPLE</u>
Parole Review Summary only	13	28%
Inmate Evaluation only	29	63%
Both a Summary & Evaluation	4	8%
Quarterly Review Summary	11	24%
Performance Plan	6	13%
Face Sheet	43	93%
DOR Case Study	21	46%
Diagnostic Package:		
Complete Performance Assessment	20	44%
Intake Assessment Only	6	13%
Employment Interview Data	16	35%
Computerized Psychological Profile	14	30%

Complete Performance Assessment Sheets were found in 44% or 20 of the sampled files. An additional 13% or 6 contained only the Intake Assessment, representing inmates assigned to a Vocational Rehabilitation counselor's caseload with no requirement for an Extended Assessment. In all, 57% or 26 of the files contained some ETS diagnostic data. This low proportion suggests a need for some clarification as to the exact requisite composition of the data package forwarded to the Parole Board by Departmental staff.

As indicated in Section 13.0 above, the Parole Board file on an inmate includes a number of information items provided by Parole Board staff rather than by Departmental personnel. In order to suggest the frequency of this

CONTINUED

1 OF 2

data, proportions present in sampled files were calculated: Personal History Statement, 93% or 43; Pre-Parole Social, 67% or 31; Pre-Parole Legal, 39% or 18. These items seem to provide an additional dimension to an assessment of the inmate and his performance.

13.2 Quality of Information

Both the Inmate Evaluation and the Parole Review Summary require data entries and assessment notations on the part of the Case Manager and the Warden. Discrete entries by these personnel were tabulated for each of the two forms. On the Parole Review Summary, Case Managers averaged 5.1 comments and Wardens, 2.1; on the Inmate Evaluation, Case Managers averaged 10.4 and Wardens, 2.1. The notably higher mean for Case Managers on the Inmate Evaluation is most likely caused by the presence of an additional section, requiring them to outline the inmate's history of incarceration.

The content of information provided on each of these forms differs considerably. Generally, Case Managers tend to be more specific and seemingly more comprehensive on the Inmate Evaluation than on the Parole Review Summary. Although the Summary allows much more flexibility by simply requiring comment on "inmate's institutional adjustment, staff/peer relationships and...overall performance", the more specific questions on the Inmate Evaluation concerning program involvement and behavior patterns seem to elicit correspondingly more specific responses. Entries on the Summary range from comprehensive evaluative statements to non-specific summaries that might apply equally to any inmate. The specificity of questions on the Evaluation does not elicit the scope found in the best of the Summary entries but, on the other hand, it does not encourage the element of vagueness identified in several other Summaries.

Wardens' observations are similar on both forms. In none of the sampled files did the Warden disagree with the Case Manager. Generally, the Wardens restricted their comments to agreement with the Case Manager and a corresponding assessment of the inmate's potential as a successful parolee. There was approximately a 50% level of correlation between these recommendations and the ultimate decision by the Parole Board.

The mean number of discrete entries in each category of the Quarterly Review Summaries present was 1.4. When a Summary was present, it included information for one quarter; that is, no inmate file sampled contained a Summary that reviewed his progress for longer than one quarter. Again, this may be a function of the recent implementation of ETS.

Generally, Quarterly Review Summaries in the parole review file exhibit most of the same qualities and deficiencies previously discussed in Section 8.4 of this evaluation.

13.3 DOR Deficiency Reports

Only two inmates have been declared "deficient" by DOR thus far. In both cases formal notice of this deficiency was provided to the Parole Board, along with the projected date on which the deficiency would be satisfied.

Both inmates met the deficiency criterion of more than six months in a time-out status. Neither inmate has been granted parole by the Board at this review.

14.0 CONCLUSIONS AND RECOMMENDATIONS

The Earned Time System has now existed as legislation for 15 months. Approximately half of that time was expended in the normal start-up operations of any large program: forms to be printed and disseminated, procedures to be formulated, computer systems to be developed, and staff to be trained. Many state institutions did not receive their first Earned Time inmates until the end of 1976; many county institutions have yet to receive more than 20 Earned Time offenders. All of which is to say that success or even impact is difficult to distinguish at this stage of ETS implementation.

However, the program is being implemented and, as documented by this evaluation, certain processes are being changed--sometimes slowly, sometimes superficially, but changed nonetheless. Institutions have generally built upon what they had already developed, with the result that facilities with a strong, performance-based privilege system in the past have a similar system under ETS; institutions that had evolved a well-documented case history process have simply altered it to meet the new documentation requirements of ETS. Conversely, processes that did not function at certain institutions under Good Time are not functioning at the present under Earned Time.

Without suggesting the existence of a panacea, it would seem that a modicum of direction channeled to specific areas of these processes would result in a greater degree of compliance with ETS procedures and, ultimately, in more effective service delivery to the inmate.

14.1 Case Management Process

14.1.1 Habituality Determination

Timely completion of the Extended Assessment presents a particular problem for those institutions with a diagnostic component, since they must await the inmate's FBI Transcript before classifying him on the participation status form. Yet the question is more than a procedural one. If habituals are defined as those offenders having three or more felony convictions, they have probably been penalized for this pattern by means of a longer sentence.

A further review of the habituality distinction is recommended in order to determine these relative sentence lengths. If they are, in fact, already longer for "habituals," the classifying mechanism should be eliminated to avoid introducing a negative element of double punishment into a basically positive model.

14.1.2 Participation Form

As it is presently interpreted under the Earned Time System, the participation form seems to function mostly as the inmate's verification that ETS tenets have been explained to him. It is unlikely that many inmates will choose to serve straight time, and to date none have. The actual question of participation seems to have more validity as it pertains to the inmate's approval of his Performance Plan and the activities outlined therein.

It would seem advisable, therefore, even if the habituality distinction is retained, to expedite the assessment process by allowing the inmate to sign a participation form based upon a tentative, unofficial determination of the number of his convictions. This number could then be verified

officially at his permanent assignment after receipt of the FBI Transcript.

If the habituality classification is eliminated, and subject to any legal considerations involved, the participation form might be replaced with a simpler one that merely indicates that ETS has been explained to this particular inmate.

14.1.3 Intake and Extended Assessment

The 60-day time limit for Extended Assessment seems to be placing unnecessary constraints upon institutional personnel, as reflected in the 46% recurrence of the "No change" entry. Some preliminary observation period is needed, however, if only to allow the inmate to become better acclimated to the institutional environment before his program needs are assessed. An extension of 30 days, making the Extended Assessment period 90 days long, would allow Case Managers and Activity Supervisors an opportunity to observe the inmate in a more routinized atmosphere. Efforts should be made by managers and staff to adhere to this time limit so that inmates are afforded early access to programs and activities.

14.1.4 Performance Plan

The development of effective Performance Plans seems to be inhibited by several factors at this stage of ETS implementation:

1. Lack of precision on the part of Case Managers in specifying the inmate's needs in terms of the assessment rather than in terms of available programs at that institution;
2. Conflicting practices at several institutions that prescribe a "holding pattern" of up to six months before the inmate is eligible for any programs, despite Plan recommendations;
3. Inability of Case Managers to specify enrollment dates for any inmate; and

4. A pervasive sense of pressure to comply with the ETS 60-day time stricture, often at the expense of counseling sessions with the inmate to explore thoroughly his perceptions of his own needs and objectives.

Much of the first problem regarding the quality of case recording could be addressed through the ongoing training effort. Samples of Plans might be collected from institutions scheduled for ETS training so that specific examples could be cited during classes. Many examples also exist at various institutions of thoughtful, well-developed Plans. These might be identified to the ETS Coordinator to be used as models in his continuing on-site training.

The probationary status practice may warrant some review to determine why it is perceived as vital at some institutions and not at all necessary at others.

A computer-generated list of current enrollments in institutional programs might be used to project openings based upon expected completion dates for inmates. This list may not allow the Case Manager to specify an exact date, but it would provide him with more of a time sense than is presently possible. An update of this kind may also promote more useful Plans, since the Case Manager could recommend to an inmate the substitution of a more accessible activity for one with a long waiting list.

No inherent quality of the case management process seems to prescribe simultaneous completion of the Performance Plan and the Extended Assessment. It is recommended, therefore, that in addition to allowing 30 extra days for Extended Assessment, the Plan development process be redefined as a distinct period of 30 days beyond Extended Assessment. This interpretation would result in a 90-day period for Extended Assessment and a total of 120 days after the inmate's permanent assignment before his Plan would become

due. The additional time may allow for more interaction between the inmate and his Case Manager without diluting the level of staff accountability encouraged by timely completion of the Performance Plan.

14.2 Performance Rating Process

As discussed in Section 9.2.2 above, the frequency of performance rating varies widely across the system. Generally, at institutions where inmate performance is not rated, management has failed to enforce or support this process of the Earned Time System.

14.2.1 Performance Activity Description

In their present form the PAD's have fulfilled a need for a systemwide delineation of all Work, Educational, and Vocational activities. At this point, however, they are not being utilized on a routine basis by institutional staff for purposes of inmate performance rating.

A concerted effort should be encouraged for pertinent program staff to review and standardize these PAD's so that final approval may be designated by Central Office. Their specific use by Activity Supervisors is then recommended as a method of ensuring objectivity in the rating process.

14.2.2 Performance Notice and Performance Exception Report

The PN and PER are the core of the performance rating process. Several observations were made concerning their use:

1. These reports are most often written in terms of specifics delineated in the PAD when the activity is an academic one. Other supervisors seem to phrase their observations in terms of productivity alone.
2. "Unsatisfactory" reports are not being used on a routine basis, and several staff members at different administrative levels suggest replacing them entirely with the Disciplinary Report.

3. Differences in rating frequencies from one supervisor to another were noted by inmates and verified by interviews with staff.

Although productivity is a key concern of any work detail supervisor, further training efforts might be directed at encouraging them to expand their description of excellent performance. The importance of the supervisor's role in the inmate's learning experience deserves constant reiteration.

The "Unsatisfactory" monthly report implies a different deficiency on the part of the inmate and a different way of dealing with it than does the Disciplinary Report. One possible solution to the time problem might be to allow the "Unsatisfactory" to be processed through the Disciplinary Committee in the same manner as the Disciplinary Report. Instead of automatically opting for isolation and resultant time out, however, the Supervisor and the Committee would be encouraged to apply more innovative sanctions. An effort might be made to tailor the discipline to the behavior, so that if an inmate performed poorly on a work detail, for example, he would have to work two hours extra during his own time the next week. The distinction would thus be retained between unacceptable performance and rule infraction.

Variations in individual rating frequencies seem to be compatible with the concept of the Earned Time System as a real world model. Just as in the free world good behavior is not consistently rewarded and variations exist between any two managers, so too in the institution excellent performance as defined by the inmate does not always result in recognition by the supervisor.

It is important to note, however, that with the implementation of ETS, job requirements have changed considerably for many line staff. A well-developed incentive program would provide an added dimension of motivation to these and other staff. The Earned Time System with its innate elements of accountability could easily serve as the foundation for positive reinforcement of staff as well as inmates.

14.3 Privilege System

14.3.1 Standardization of Rewards

The flexibility allowed to each institution in developing its privilege list has resulted in a wide variation not only in type but in number of privileges available. Eight county institutions, for example, offer only two privileges while four state institutions offer fewer than six.

Since most of the privileges included on the ETS master list do not require any special facilities, it is recommended that a minimum number from this list be established for each institution. Such a requirement might be set at five for county camps and at ten for state institutions. This procedure would still permit the development of individualized lists, while increasing the level of standardization, at least between the two different types of institutions. In an effort to ensure that these privileges are, in fact, motivators for inmates, a committee of inmates could be established at each facility to channel inmate recommendations concerning privileges to appropriate administrators.

14.3.2 Equity of Actions

The award of privileges seems to be equitable in terms of race and ability groups across the system. Younger offenders generally receive more privileges, but this higher rate is more a function of the total performance-based orientation of their institutions than of a discriminating action on the part of staff. It may also indicate that an institutional privilege is a more powerful motivator for a younger offender than it is for an older one.

In order to monitor this level of equity, ETS Coordinators or Supervisors might randomly sample privileges on a quarterly basis and compare the privilege mix with an institutional profile. Any radical change from one quarter to the next could then be identified before a problem developed.

14.4 Parole Documentation

The majority of information in the parole review file on each inmate seems to originate at present with the Board of Pardons and Paroles itself. The Performance Plan has only recently been required under ETS procedures, and the inmate generally has not been assigned to an institution for a long enough time to have warranted a Quarterly Review Summary. The Parole Review Summary or Inmate Evaluation is, therefore, the only documentation supplied with any regularity at this point. Since the average number of entries on these forms range from 7 to 12, the scarcity of concrete data items becomes evident. Allowing for the newness of Earned Time System documentation, institutional data about the inmate still leaves a number of questions concerning his performance unanswered.

Many of the problems with parole data supplied by DOR will be solved as ETS is more completely implemented. The Performance Plan, for example, will delineate for the Board exactly what the inmate has agreed to do; and the Quarterlies, as they become more complete, will supply an ongoing history of the inmate's performance under that agreement.

Assuming, however, that information provided to the Board is to enlarge their data base concerning an individual, some clarification seems to be needed as to the exact composition of this information and of the parole criteria to which it must respond.

APPENDIX A
ETS EVALUATION RESEARCH
DESIGN

EARNED TIME SYSTEM EVALUATION DESIGN

January 31, 1977

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INTRODUCTION

Georgia's Earned Time Law became effective on July 1, 1976. This research design represents the first statewide evaluation of the Earned Time System that has replaced "good time" in Georgia's correctional institutions.

The design developed herein identifies the measures to be employed in considering ETS impact in terms of policy objectives. Both quantitative and qualitative measures will be used in order to elucidate process as well as to attain statistical goals.

The implications of the findings are discussed in terms of their potential feedback and recommendation functions.

1.0 HISTORICAL PERSPECTIVE

In his public position paper [Ault, 1975] Dr. Allen Ault, then Commissioner of Georgia's Department of Corrections/Offender Rehabilitation (DCOR), identified three major problems of the Georgia correctional system:

- (1) overcrowding;
- (2) a negative subjective philosophy of corrections; and
- (3) a lack of defined criteria for release on parole.

At the time, Georgia's institutions housed more than 11,000 inmates in facilities designed to hold 4,200. The situation is no better today. The effects of overcrowding are varied: some are manifest; others, implied. Perhaps the most obvious is the simple inability of Georgia's DOOR to provide sufficient housing and food services for so large a volume of people. As this volume increases, the capability to provide both security and meaningful programs diminishes. Simultaneously, as living space per person decreases, the psychological pressures on the individual increase.

The second problem compounds the first: a negative, subjective philosophy of corrections which contributes to an already critical situation -- the "good time" system. Under the tenets of this system an inmate is "given" a block of time at the beginning of his prison sentence, thereby allowing

for his early release. Each time he exhibits a negative behavior or incurs a disciplinary infraction, some of his good time is taken away. However, if he is "good", he can have it restored. The system is negative and inconsistent for both inmate and correctional staff. The inmate is continually losing and regaining prison time based upon observance of some nebulous, unspecified body of performance criteria. The correctional staff, on the other hand, develops an unrealistic feeling of power from their policing activities; unrealistic because they are allowed no meaningful input to the system concerning the inmate's release or non-release.

This subjectivity, in turn, leads to the problem of unspecified criteria for release on parole. Thus, the inmate never really knows precisely what he must do to gain early release from prison on parole.

The Earned Time System (ETS) is an attempt to address these problems.

2.0 PERFORMANCE-BASED MODEL

The Earned Time System (ETS) is a positive, objective system having its base in operant learning principles [Braukmann et al., 1975]. The inmate is viewed, neither through the traditional medical model as a subject to be "cured," nor through a strictly punitive model as an inherently "bad" criminal to be punished. Rather, he is viewed as an individual who has not acquired the basic, interpersonal skills necessary for him to function successfully in the community. An important concept of ETS is the recognition of the individual's right to refuse to participate [Braukmann et al., 1975; Holland, 1975; Silber, 1976; Smith, 1974]. By indicating his choice of participation at the outset of his incarceration, the inmate tacitly assumes responsibility for his own actions and affirms a desire for positive change.

Performance criteria are specified throughout the system; thus, the inmate knows exactly what he must do to complete a certain program; to fulfill a certain work requirement; or to earn release on parole [Fitzgerald, 1974]. These criteria emphasize conventional behavior readily transferable to free society; e.g., punctuality [Braukmann et al., 1975]. After a detailed aptitude and skills assessment [McKee, 1971], he enters into a contingency contract, known as a Performance Plan. As he completes each article of this Plan successfully, he acquires a new skill -- vocational, educational, or interpersonal.

Simultaneously, he is earning time toward his release. As long as his performance and attitude comply with those specified for that activity, he earns a unit of time off the end of his prison term for each day he serves.

More proximate positive reinforcements are also available in the form of institutional privileges earned through an exceptionally high level of performance in an activity [Fitzgerald, 1974]. Conversely, exceptionally poor performance -- not resulting from a lack of skills -- carries a negative sanction which may include removal from an earning status for a specific period of time.

By the time an inmate's case comes up for parole consideration, extensive documentation is available to the Parole Board concerning the inmate's compliance with various articles of his Performance Plan. His positive or negative cumulative behaviors are projected as a major factor in the final parole decision.

3.0 ETS PROCESS

An inmate entering the Georgia Penal System is processed initially at Georgia Diagnostic and Classification Center (GDCC) or at Georgia Women's Correctional Institution (GWCI). This section follows a typical male inmate through orientation and subsequent performance evaluation at his permanent institution. [See Figure 1, Earned Time System: Flow Chart].

During the orientation session audio-visual materials are used to introduce the inmate to the corrections system generally and to the Earned Time System (ETS) specifically. Each inmate is issued a handbook containing functional and organizational information and regulations concerning inmate behavior. In addition, the inmate receives an ETS comic book that graphically illustrates the basic concepts of ETS including the implications of non-participation.

After medical processing the inmate enters the initial interview. The interviewer discusses ETS with the inmate and answers any of his questions. The interviewer initiates a Performance Recording Sheet for inclusion in the inmate's file. Any significant occurrences in the inmate's life during his incarceration, except for diagnostic data, are entered on this sheet.

After the initial interview, the inmate undergoes a battery of psychological and vocational tests. He is then interviewed by a representative of the Department of Labor in order to assess his aptitude and educational preparation for various jobs.

During this time-frame the staff member who will conduct the final interview with this inmate determines his ETS classification by counting the number of felony convictions reported on his FBI transcript. If the inmate has fewer than three felony convictions, he is classified as a "Non-Habitual". If he subsequently agrees to participate in ETS, he earns time at the rate of two days off his prison time for each day served. If the inmate has more than three felony convictions, he is classified as an "Habitual". If he subsequently agrees to participate in ETS, he earns time at the rate of one day off his prison time for each day served.

The inmate is informed of his classification at the final interview. If the inmate feels that he has been classified an Habitual offender based upon incorrect information, the interviewer assists him in completing a "Request for Conviction Verification." This form is submitted to Offender Administration (Central Office) for processing; if the conviction and the classification are, in fact, not valid, the inmate's earning status will be changed retroactively.

At this point of the final interview the inmate decides whether or not to participate in ETS. If he wishes to take part, he signs a "Request to Partipate" form which is included in his file and forwarded to the Classification Committee for processing. If the inmate decides not to participate in ETS, the interviewer again explains the implications of refusal to him:

- 1) A non-participating inmate does not receive earned time credit for jail time.
- 2) A non-participating inmate is not able to earn time off his sentence.
- 3) A non-participating inmate is not able to earn institutional privileges.
- 4) A non-participating inmate may not change his decision whenever he wishes. If he does not request to participate in ETS within six months of his initial decision, he will only be allowed to do so annually from that date. If he delays his decision to participate until after diagnostic intake, he will not receive earned time credit for his jail time or for time spent at the institution up until that point.

If the inmate refuses to change his decision, the interviewer assists him in completing a "Statement of Non-Participation". This form is included in the inmate's file and forwarded to the Classification Committee.

The Classification Committee then meets with the inmate to ascertain his understanding of a non-participation decision. If the Committee agrees that the inmate realizes the consequences of his action and he still refuses to rescind that action, they approve his decision on the Non-Participation form and he is placed in a non-earning status. (If, however, the inmate changes his mind, the Classification Committee initiates and processes a "Request to Participate.") The Classification Committee also enters the inmate's various test scores in the Intake section of the "Performance Assessment Sheet."

After the inmate completes diagnostic processing, he is assigned to a permanent institution. Within five days after his arrival, he is assigned to a Case Manager. The Case

Manager conducts an initial interview to (1) review ETS procedures once again; (2) review and discuss intake information from the diagnostic center with the inmate, noting any possible discrepancies; and (3) discuss needs identified at the diagnostic center and confirm them in combination with the inmate's self-assessment. The Extended Assessment period lasts no less than 30 days and no more than 60 days from the time of the inmate's arrival at his permanent institution.

The Case Manager begins his initial interview by determining the status of the inmate's participation in ETS. If the inmate is a Non-Participant and wishes to retain that status, the assessment process is ended. If he is a Non-Participant and wishes to change his decision, the Case Manager initiates and processes a "Request to Participate." As previously indicated, however, by delaying his participation decision until this point, the inmate has forfeited his right to earned time credit for his jail time or for time spent at the institution until this point.

If the inmate is or becomes an ETS Participant, the Case Manager interviews him further and may make appointments for him with other staff. They, in turn, help the inmate to determine in which programs he should participate; at a later date they may help to develop his Performance Plan.

After the interview with his Case Manager, the inmate is assigned to a work detail. The Case Manager may request a Supervisor's Evaluation from the staff member who supervises

this detail. He then records all input data such as correspondence, test scores, and interview results in the eight areas of the Extended Assessment section of the Performance Assessment Sheet.

The Case Manager draws on this Extended Assessment in developing the inmate's Performance Plan. He discusses the Plan with the inmate, considering any input he might make, and revising the Plan as necessary. The completed Performance Plan specifies to the inmate and to the staff the inmate's needs and objectives and describes the activities in which he agrees to participate in order to meet those needs. The Plan also provides documentation to the Parole Board regarding the inmate's performance. The completed Plan and Extended Assessment are sent to the Classification Committee for approval.

Once the inmate has been assigned to a program or work detail, his performance is evaluated on an exception basis as the behavior occurs. "Exception" refers to either excellent or unsatisfactory behavior. The activity supervisor issues an "Excellent" or "Unsatisfactory" Performance Notice (P.N.) to an inmate based on performance criteria specified in the Performance Activity Description for that activity. If instead of citing the inmate for a performance deficiency, the supervisor cites him for displaying a negative attitude -- as in a case of insubordination -- he initiates a Disciplinary Report and forwards it to the Disciplinary Committee for processing.

At the end of the month the activity supervisor reviews his accumulation of P.N.'s for each inmate and decides if the inmate's cumulative behavior warrants a monthly Performance Exception Report (PER). If the activity supervisor issues an "Excellent" PER on an inmate, the Case Manager meets with the inmate and offers him a privilege from the list of approved institutional privileges. If the activity supervisor issues an "Unsatisfactory" PER on an inmate, the form is processed by the Classification Committee.

The Classification Committee functions in an administrative capacity. After reviewing the PER-U, they may recommend a totally administrative action -- such as a no-fault exit from a program for an inmate not capable of performing in that program. Or they may recommend a disciplinary action and refer the performance report to the Disciplinary Committee. This Committee reviews the PER-U and either declares it null and void or initiates a Disciplinary Report. This latter action results either in imposition of an institutional sanction or placement in "time out," i.e., relegation of the inmate to a non-earning status for a specified period of time. When his "time out" ends, the inmate is returned to the earning continuum and begins to earn time toward his release once again.

It is important to note that a number of these actions may be occurring simultaneously. That is, a inmate may conceivably receive an "Excellent" performance rating in one activity and and "Unsatisfactory" in another. He would, therefore, be rewarded for his positive behavior and sanctioned for his negative behavior.

The Case Manager uses the monthly PER's to document the inmate's behavior on a quarterly basis. When the inmate comes up for parole consideration, the Case Manager incorporates the information from this Quarterly Review Summary into the Parole Review Summary. If the inmate's behavior during his incarceration has been unacceptable, documented through numerous disciplinary reports, he is declared "deficient" on this Summary which is then forwarded to the Parole Board. The Parole Board has agreed "not to release an inmate upon scheduled review, if the Department of Corrections recommends that he not be released based on a lack of agreed upon performance by the inmate and the Department or disciplinary action."

4.0 ORGANIZATIONAL IMPLICATIONS

Georgia's Department of Offender Rehabilitation may be regarded as a large system utilized to process, confine, and, hopefully, rehabilitate those convicted of crimes. Its subunits consist of 53 institutions of various types in addition to a central administrative support component. In considering the success or failure of ETS implementation, it is necessary to observe the system as a whole as well as to focus on specific subunits. From a theoretical and practical perspective, ETS represents an organizational change signifying a new direction in corrections.¹ What are the grounds for expecting success, and how might degree of success be related to systemic properties?

4.1 Organizational Change

A considerable body of theory and research in organizational literature is devoted to the study of organizational change. Some researchers have studied the conditions under which organizations grow and change while others have emphasized the receptivity to specific types of change by organizations and their members. Designs differ as well with some students utilizing case examples while others have sampled a number of organizations for comparative purposes. Results from these approaches suggest variables potentially important to the introduction of any organizational change.

Social psychologists have sensitized practitioners and theorists to important individual sources of resistance to change. Beginning with the seminal Western Electric worker studies, a human relations perspective on organizations has emphasized the importance of attitudes, dispositions, and peer group ties for the acceptance of change.² This research suggests that ETS success may depend, in part, on leadership qualities, conservatism, and the "definition of the situation" held by the personnel involved in implementation. It should be noted, however, that the human relations writings are often criticized for omitting structural and organizational properties in analyses of reactions to change.³

The relation of organizational structure to change has been the subject of another group of researchers who have investigated characteristics associated with "innovative" organizations. Wilson has argued that organizational diversity generates ideas and proposals for change within organizations, but he suggests that the same diversity limits the implementation of any specific one.⁴ This line of reasoning calls our attention to a distinction between invention and implementation. The same organization which spawns new ideas may be unable to install them. Hage and Aiken have found that a high frequency of program changes is associated with decentralization, low procedural formalization, and high complexity.⁵ These are important findings, but are not necessarily applicable to a study of receptivity to a particular change imposed from "outside" organizational boundaries.

The literature may provide additional direction if we consider studies viewing reactions to specific types of change. In this connection, Diamont has suggested that receptivity to change varies depending on whether organizational procedures, goals, or power distributions are the objects of change.⁶ For personnel involved, ETS may represent a change in the institutional goal of custodial care toward that of a contractual working relation. Evan advances the concept of "organizational lag" and states that "administrative innovations in organizations tend to lag behind technical innovations."⁷ Since ETS does represent an entirely new perspective in rehabilitation, it might be expected that implementation will be slower than the introduction of computation equipment and the like.

4.2 ETS As Rational Change

Although studies of organizational change suggest implementation potential for any general innovation, expectations may become more focused by inquiring about the type of change ETS represents. It can be argued that ETS represents an example of rational change. This innovation is consistent with the recent performance emphasis in Georgia's Department of Offender Rehabilitation. The notion of earning time rather than receiving good time off means that accountability reaches the level of the inmate. Ideally, ETS will replace the traditional custodial relationship between inmate and State with one resembling the rational employer-employee association. When time off

depends upon each day's performance, date of release becomes partially controllable by the inmate and subject to calculation. In addition, working for and accumulating days free and Performance Notices have some parallels to the wage in the contemporary economy outside the institution.

The rationality of ETS extends beyond the inmate and has potential organizational manifestations. This becomes evident when organizational effectiveness and efficiency are viewed in light of ETS.⁸ If correctional effectiveness is conceptualized as achieving inmate resocialization, it is possible that the performance emphasis of ETS may facilitate the transition from the institution to society.

From the standpoint of efficiency, ETS promises a number of potential benefits. If inmates are able to leave sooner than previously, there may be a reduction in crowding and in public cost to support the prison population. If the employer-employee relation develops, discipline problems should be reduced. This may result in a decrease in the cost of control and control implements.

Finally, the whole system should become more rational if ETS compels more objective standards and uniform treatment of inmates. These consequences are likely under ideal conditions. It is now necessary to consider the peculiarities of the correctional system in which ETS is being implemented.

4.3 Corrections as a Setting for Rational Change:

Potential and Limits

The uniqueness of the correctional effort makes the introduction of any system-wide change interesting and, to a great degree, unpredictable in its effects. The high degree of procedural standardization and centralization found within institutions in comparison with other types of organizations would suggest that implementation should proceed smoothly. Organizational rationality has frequently been associated with clear-cut, centralized lines of authority and high procedural specification.⁹ In addition, one might expect inmate response to a change which extends the opportunity to affect release time through constructive work to be positive.

Despite these sources of receptivity potential, constraints abound. Although institutions may be centralized and standardized, the system of corrections in Georgia resembles what might be termed a "loosely coupled system"¹⁰ with the state institutions each constituting somewhat distinct entities and the multiple county units prizing a degree of independence from each other, the large state institutions, and the central office support. To some degree it is difficult to apply the label "system" to the State correctional effort or to refer to the Department of Offender Rehabilitation as a single organization. ETS success may vary with institution and institution type.

These structural constraints are matched by an ideological one which is likely to pervade the personnel involved in ETS implementation as well as the inmates themselves. Corrections is steeped in tradition, and a system which breaks with the past is likely to generate opposition. Treating inmates as employees is an idea which may be inconsistent with confinement, dangerousness, and security in the minds of institutional personnel. For the inmate, a change in treatment may be regarded with suspicion.

Other constraints are of a technical nature. Despite the willingness of personnel, they may be unconvinced that the benefits of the system justifying additional counseling, paperwork, and inmate observation.

It would seem, then, that ETS success may be tied to the manner in which the institutions interpret the change and the structural supports available. There remains the question of whether ETS will impede the acquisition and maintenance of system needs or, on the other hand, enhance system viability.

5.0 EVALUATIVE CRITERIA

The measurement of the impact of the Earned Time System involves the collection and analysis of information from a number of areas. This section discusses and details the measures, data collection, and analytic approaches that seem most appropriate. The general approach is based on the assumption that a combination of quantitative and qualitative information will provide the most complete evaluation and will allow for specific, detailed recommendations and assessments.

Tables I and II, developed by DOOR evaluation staff, provide the logical flow from ultimate goals and responsibilities to evaluative criteria and measures. The Evaluative Measures itemized in Column G of Table I will be commented on in turn, followed by discussions of those itemized in Column E of Table II.

5.1 Evaluative Measures From Table I

G1(a) Design Capacity. While no elaboration is needed of the importance of overcrowding in corrections, we must carefully specify the reasons that ETS can be expected to reduce overcrowding. Since actual population and special conditions are directly influenced by the volume of inmates sent to prison, the appropriate comparison measure is time served. For inmates who max-out the savings can be projected as in Tables III and IV. It will be possible to assess the performance level and to project max-out man-years saved or lost under ETS. The Earned Time System will have a positive impact on max-out inmate population to the extent

that it performs at more than a 50% level; this figure can be expressed in terms of number of man-years saved. .

Similar computations will be made for impact of ETS and making parole. The possible impact is significantly greater since the majority of inmates leave via parole. Table V indicates the form in which this information will be presented. (See Evaluative Measures E5 below for further discussion of parole criteria.)

Once both these measures (max-out and parole decisions) are computed, the space saved will be the combination of max-out reduction and earlier parole decisions. Actual increase in space per inmate can then be computed by adding any increase or decrease in inmates sentenced and the length of the sentences.

G1(b) Disciplinary Reports. Crowding is assumed to be related to disciplinary problems, and ETS may influence disciplinary problems in two ways. First, if crowding is reduced, the resulting reduction in stress and tension may lead to fewer disciplinary problems. Second, ETS by placing responsibility on the inmate and providing appropriate reward contingencies may reduce the rates of violence and disciplinary problems. Thus, even though space problems may continue because of increases in sentences, if a positive environment is developed, violence and disciplinary problems may be reduced. The frequent documentation of behavior and increased awareness of the consequences of behavior on the part of the inmate may also result in lower disciplinaries.

Institutions will be examined for variations in disciplinaries, and these rates will be correlated with measures of magnitude,

consistency and equity of ETS. (To be discussed later: See Evaluative Measures E1 and E2 below.)

G2(a) Program Completion Rates. This new direction for Georgia Corrections also assumes that the system will become more responsive to the needs of inmates. Baseline data indicate low program completion rates. The evaluation will assess the successful program termination rate of ETS inmates compared to baseline information. To the extent possible controls will be applied.

G2(b) Completed Case Records. The Earned Time System places a strong stress on identifying the needs of inmates and providing opportunities for change. The evaluation team will sample inmate files at selected institutions to determine the proportion of inmates having completed case records, including the requisite Extended Assessment and Performance Plan. Inmate files will be selected using computer-generated samples from the institutions selected for site visits.

G3 Recidivism Rates. The first-year evaluation cannot assess impact on recidivism, but measures should be made during subsequent years.

5.2 Evaluative Measures From Table II

Prisons are typically highly regimented, often inconsistent systems with little individual or positive attention given to inmates. ETS is designed to reorient Georgia's correctional institutions. The frequent documentation of behavior allows for

accountability measures to be derived.

E1(a) Consistency. This criterion refers to similarity of actions across institutions. Consistency will be measured by ratio of E's to privileges (P). ETS should move toward having similar evaluation criteria, similar privileges, and similar ratios of E to P and U to time-outs. (There should be some variation in privileges given the wide variation in type of institution and inmate populations. However, the more creative privileges and especially ones that provide outside contact are likely to provide real motivation for inmates.)

E1(b) Equity. Equity of ETS will be measured by the consistency within institutions among differing race, special class, age, sex and type of offense categories. The ratio E to P and U to disciplinary, or time-outs should remain constant across categories.

The measures will be computed by requesting that monthly reports be sent to Central Office for a select sample of institutions. Inconsistent institutions will be noted for follow-up examination and possible retraining.

E2(a) Responsiveness. While no system can be fully individualized, it is clear that ETS hopes to increase individualization. The responsiveness of institutions will be measured by the increase in completion of inmate programs (See Evaluative Measure G2(a) above.) Responsiveness is also related to delay between granting of E's, privileges, and usage; and between initial citations for unsatisfactory performance and subsequent disciplinary actions. During site visits estimates of these time lags will be made. The greater the time lag, the less the impact on positive behavior.

E2(b) Appropriateness. The correspondence between Extended Assessment and Performance Plan will be assessed through on-site examination of inmate files. A judgment will be made of appropriateness of placement, given existing programs. Measure will also be made of the proportion of time counselors spend on the new program.

E3(a) Magnitude. Perhaps the greatest danger is that, although the ETS law is passed, the institutions will not use the system, thereby avoiding additional work. The magnitude of ETS will be measured by the frequency that inmates receive E's, U's and privileges.

E3(b) Equilibrium. The measure of magnitude will be refined to show equilibrium by ratio of E/U and ratio of P/Time-outs. Values greater than one will indicate a positive system, and values less than one will indicate a negative system. Institutions that vary from the overall ratios can be identified for more detailed examination. A highly negative system might well need corrective action just as a highly positive system might indicate that supervisors are not properly assigning privileges.

E4(a) Cost Efficiency. The efficiency, or proportion of inmates completing programs has already been discussed: See Evaluative Measure G2 above.

E4(b) Cost Effectiveness. Cost effectiveness will be measured by the placement of inmates after program completion. The higher the ratio of placement/no placement, the more effective the training. Qualitative assessment will also be made of counselors' perceptions of ETS cost and time requirements.

E5 Parole Recommendations. If ETS results in fewer disciplinary reports, more active participation in rehabilitation programs, the assumption of greater responsibility by inmates, and meaningful documentation of behavior, then the average time served before making parole may be reduced. (See Evaluative Measures G1 above.) Empirically, of course, ETS could either increase, decrease, or make no difference in parole decisions, depending in part on changes in behavior of inmates. Four specific evaluation criteria and measures will be generated.

E5(a) Clarity. DOOR will establish procedures for declaring an inmate deficient. The evaluators will examine inmate files to determine if these procedures are being followed. It is noted here that procedures for determination of deficiencies have not been established.

E5(b) Precision. This criterion will be determined by comparison of documentation for ETS inmates with that for Pre-ETS inmates. If the Earned Time Inmates do not have more objective behavioral information, then precision is not evident and an important goal of ETS is not being achieved.

E5(c) Congruence. This criterion is concerned only with the degree of agreement of Parole Board decisions concerning deficiency. If many inmates declared "deficient" by DOOR are being released, then congruence is not evident. There may be circumstances that would lead to "deficient" inmates being paroled but these should occur rarely.

E5(d) Impact. Earned Time inmates who now have behavioral documentation and Extended Assessment Plans in their files may or may not find the Parole Board more willing to grant parole.

Since few deficiencies are likely to be reported, the greatest potential impact of ETS is on general parole decisions. The "E" inmates who are reviewed by the Parole Board will be closely examined for new trends. Even a small reduction in time served before parole can significantly reduce overcrowded conditions.

5.3 Qualitative Evaluation

The question of Earned Time impact and implementation cannot be fully answered by statistical data. A key to any new treatment or procedure in corrections is its interpretation and reception by the inmate as major consumer of the change. Similarly, the interpretation of those staff assigned to carry out the new duties must be considered. Therefore, we propose to collect in-depth interviews with both inmates and those directly involved with implementation.

5.3.1 Inmate Interviews

Inmates develop extensive information on rules and regulations especially related to release and privileges. Since there are two important categories of ETS inmates (Habitual and Non-habitual), both groups will be included. Inmates will be sampled at three times during their sentence: shortly after orientation to ETS; three months after beginning ETS; and at the termination of sentence. We anticipate sampling between three and ten inmates from Georgia State Prison, Georgia Industrial Institute, Georgia Women's Correctional Institution, Stone Mountain Correctional Institution, Georgia Training and Development Center and five other institutions. The following questions will serve as guides for the interviews. They are, of course, subject to modification as needed.

1. What is Earned Time?
2. Do you feel this system differs from the old system in your experience?

3. How does (did) ETS work in your case? (Time out; privileges, etc.)

4. What changes in the Earned Time System would you suggest?

From these responses, we hope to be able to comment from the perspective of the inmate in terms of whether ETS is working, whether it is perceived as "just a trick," and to what degree it needs change.

5.3.2 Staff Interviews

Looking at the other side of the issue, supervisors actually rating inmates will be sampled and interviewed. Three to five supervisors from each institution will be asked the following questions:

1. What are your impressions of ETS as compared with the older system?
2. How do you use ETS?
3. What changes have you noticed?
4. What behaviors result in privileges for inmates?
5. What behaviors result in time-outs?
6. What changes in the Earned Time System would you suggest?

A final source of information is higher level administrative personnel and coordinators. We do not propose a standard set of questions at this level, but plan to discuss ETS informally with wardens, assistants, and coordinators. Information from all staff levels should elicit information on the meaning of ETS as well as its implementation.

The researchers are aware of the problems associated with interview data, but without this subjective evidence to supplement the statistical analysis, few meaningful conclusions are likely to be forthcoming. The independent evaluators will conduct and analyze these interviews. It should be noted that all of the material collected in this fashion will be kept confidential.

5.4 Procedural Implementation

Apart from outcome measures and interview observations, an important aspect of evaluation is implementation. The basic concern here is, "How did it work?" Interviews will provide some implementation information. However, we are specifically concerned with such things as (1) training, (2) materials, (3) coordination. ETS as a major organizational change for a large and diverse organization (DOOR) must be assessed in terms of technical preparation of personnel, availability of supplies and procedures, and organizational clarity.

A specified research design is not applicable to this stage of the evaluation. We propose an examination of organizational structure, training PAD's, and the like. The final report will include a section on implementation problems.

5.5 Policy Recommendations and Evaluation Feedback

This research design will permit the gathering of data for purposes of preliminary ETS evaluation. It is hoped that our study will provide useful feedback. Among the potential results of the evaluation are the following:

1. Overall strengths and weaknesses of the system (ETS).
2. Specific institutions most and least successful in terms of implementation.
3. Technical and procedural recommendations for improvement.
4. Institutional characteristics associated with degree of ETS success or failure.
5. Inmate characteristics associated with receptivity to ETS.

SELECTED ANNOTATED BIBLIOGRAPHY

Ault, Allen L. The Public Position on the Status of the Correctional System.
Atlanta, Georgia: Dept. of Corrections/
Offender Rehabilitation, 1975.

Ault reviews the conditions within Georgia's correctional system from his vantage point as Commissioner, Department of Corrections/Offender Rehabilitation. He discusses the problems of overcrowding and a negative correctional philosophy and then outlines a program -- Operation Performance -- designed to combat those problems. Essentially, this program provides a correctional continuum allowing the offender to pass from intensive supervision on probation or within a prison to maintenance supervision or early termination of the sentence. The inmate determines his own progress by choosing compliance with objectives outlined in a mutual contractual agreement with correctional staff.

Braukmann, Curtis J.; Fixsen, Dean L.; Phillips, Elery L.; Wolf, Montrose M. "Behavioral Approaches to Treatment in the Crime and Delinquency Field." Criminology, Vol. 13, No. 3 (November 1975), 299-331.

The authors review a number of behavior modification programs in the crime and delinquency area which are predicated upon operant learning principles. Generally, these programs utilize contingency consequences to teach pro-social adaptive skills to offenders. In order to safeguard the clients' rights, such programs require voluntary, informed consent and client participation in the program's decision-making process.

The authors suggest continued emphasis on skills that are readily transferable to the natural environment. They also recommend development of effective training procedures for teaching staff these "client-preferred interactions and treatment styles." Finally, they suggest that program evaluation be more systematic and definitive and that "consumer satisfaction" components be included to ensure that clients' needs are being met.

Colman, Capt. Arthur D. and Baker, Jr., Col. Stewart L. "Utilization of an Operant Conditioning Model for the Treatment of Character and Behavior Disorder in a Military Setting." American Journal of Psychiatry, 125:10 (April 1969), 1395-1402.

Fitzgerald, Thomas J. "Contingency Contracting with Juvenile Offenders." Criminology, Vol. 12, No. 2 (August 1974), 241-247.

Fitzgerald reports the results of a project that was to determine whether male juvenile probationers increased their work rate when positive reinforcement contingencies were used in the form of contingency contracts. The contingency contract was defined as "the written specifications of what reinforcers will be given if and when certain behaviors occur."

The results indicate that time off probation is not as reinforcing as the activities that could be "bought" with accumulated points. Fitzgerald speculates that the payoff of time off probation was too far away to act as a reinforcer. Or, possibly, time off probation may not be as reinforcing as was originally assumed.

Friedman, C. Jack and Mann, Fredrica. "Recidivism: the Fallacy of Prediction." International Journal of Offender Therapy and Comparative Criminology, Vol. 20, No. 2 (1976), 153-163.

The authors report results of a study to determine the accuracy with which staff members at a correctional institution predicted recidivism of a group of court-adjudicated delinquents. (Their preliminary literature review turned up only one other such study.)

Two factors emerge as key influences on staff predictions: (1) the level of seriousness and degree of violence of the youth's most serious offense; and (2) the extent to which the youth was liked. The first factor resulted in a negative prediction; the second, in a positive. Overall, however, predictions were only slightly better than chance.

The authors conclude that since discharge decisions rely heavily on staff judgments, "the factors involved in staff decisions need to be specified, systematically evaluated, and tested against recidivist behavior."

Holland, James G. "Behavior Modification for Prisoners, Patients, and other People as a Prescription for the Planned Society." Mexican Journal of Behavior Analysis, Vol. 1, No. 1 (January 1975).

Holland discusses four major objections to the prospect of behavior control: (1) the problem of human rights; (2) the possible exploitative aims of behavior controls; (3) the limitation of individuality; and (4) the effectiveness of behavioral techniques. In his consideration of the second objection he notes that "one who receives professional help is not a true client if he cannot choose to discontinue that 'help'."

The author then reviews several important programs in which some kind of contingency management was attempted. e.g., The Special Treatment and Rehabilitative Training (START) project that took place in a federal prison at Butner, N.C. Holland itemizes the ostensible goals of the experiment and then suggests that START's actual goal was "to make passive nonassertive, depersonalized inmates of the whole institution." The program was discontinued by the courts.

Holland consistently emphasizes the negative aspects of token economy projects, both within institutions and in the free world. He concludes with a suggestion that the best system of behavior change would be controlled by the people who are to undergo that change, rather than by a goal-setting third party.

Jesness, Carl F. "The Impact of Behavior Modification and Transactional Analysis on Institution Social Climate." Journal of Research in Crime and Delinquency (July 1975), 79-91.

McArthur, Virginia. "Inmate Grievance Mechanisms: A Survey of 209 American Prisons." Federal Probation (December 1974), 41-47.

McKee, John M. The Application of Behavior Theory to Correctional Practice. Address to the Annual Conference of the Hawaiian Corrections Association, October 15, 1971. Montgomery, Alabama: Rehabilitation Research Foundation, RRF - 107.

McKee, John M. New Directions in Corrections. Address to the Annual Conference of the Hawaiian Corrections Association, October 14, 1971. Elmore, Alabama: Rehabilitation Research Foundation, RRF - 315-2-72.

McKee offers a number of predictions concerning the development of corrections over the period from 1971 thru 1976. They fall into three main groupings: those dealing with correctional changes which will put more emphasis on the role of the community in correctional reform; those dealing with changes in the physical nature of the institution (i.e., will be limited to less than 400 inmates) and methods of treatment; and those changes in the correctional process which are dependent upon legislative and legal actions. Within the second grouping McKee discusses "performance-contingent parole," a principle that requires "precise specification of behaviors and skills -- developed through an individualized assessment and prescriptive process -- necessary to earn parole." He cites the success of this system as it is practiced at the Karl Holton School for Boys in Stockton, California. He predicts more valid actions by parole boards and a reduction of institutional tensions and disturbances as prisoners come to understand what is specifically expected of them.

Milan, Michael A. and McKee, John M. "The Cellblock Token Economy: Token Reinforcement Procedures in a Maximum Security Correctional Institution for Adult Male Felons." Journal of Applied Behavior Analysis, 3 (Fall, 1976), 253-275.

Ross, Robert R. and McKay, H. Bryan. "A Study of Institutional Treatment Programs." International Journal of Offender Therapy and Comparative Criminology, 1976, Vol. 20, No. 2, 165-173.

The authors report on a long-term treatment-research project undertaken by the Psychology Department of the University of Waterloo (Canada). The project was to "assess the efficacy of behavior modification strategies" in treating a certain group of female adolescent offenders. The program went through numerous phases as the researchers attempted to compensate for unexpected results. The sophisticated token economy program with which they began resulted in more subject behavior problems than evidenced by the control group. During the second phase rewards were contingent only upon performance of specified positive social acts regardless of the offenders' "antisocial behaviors." Even more recidivated from this group than from the Phase I group. In the 3rd stage the token economy was retained but peer training in the token economy was also provided. Recidivism results were similar to those obtained after the first two phases. Finally, the token economy was dropped entirely and subjects were trained in reinforcement therapy principles and persuaded to act as therapists for each other. Recidivism rates dropped significantly. (Recidivism rates for the control

group and then for the 4 phases of the treatment program were 33.3%, 53.3%, 66.6%, 60.0% and 6.6%, respectively.)

Silber, David E. "The Place of Behavior Therapy in Correction".
Crime and Delinquency, April 1976, 211-217.

Silber reviews some of the behavior therapy techniques used to correct antisocial behavior. He considers several aversive conditioning programs carried out through the use of drugs or electric shocks. The results range widely from success to failure.

He then suggests that a higher success rate may result from the use of positive reinforcement to increase appropriate behavior. This modality has the additional advantage of not requiring a staff of highly trained professionals. Line staff, in fact, frequently experience increased morale as they assume this new helping role.

Silber concludes with an enumeration of objections to behavior therapies: e.g., forcible treatment; dehumanization; and lack of sufficient regulations. He discounts them all, however, in favor of this "potentially... safe economical way to... improve the quality of life in our society."

Smith, Alexander B. and Berlin, Louis. "Self-Determination in Welfare and Corrections: Is There a Limit?" Federal Probation, December 1974, 3-7.

Smith considers the amount of self-determination allowed to the "voluntary" client, e.g., a welfare recipient, and the "involuntary" client, e.g., a prisoner. He observes that both classes are forced to submit to the casework process in which a counselor probes intrapsychic areas that may have nothing to do with the client's financial status or his incarceration. Non-submission to this process carries its own punishment: in the former case, loss of welfare benefits; in the latter, non-eligibility for early parole.

He discusses Sociologist Henry Miller's contention that freedom of choice includes freedom to refuse treatment, provided one is willing to accept the consequences. Miller extends this assertion to the situation of the offender -- who should have the right to refuse rehabilitation and simply "do his time."

Smith cites a proposal emanating from the 65th Annual Probation Conference in New York that "the treatment agent encourage the probationer to determine what his needs were... and to bring the offender into contact with the... resources which were designed to satisfy those needs."

Smith, Robert R. "A Survey of Good Time Policies and Practices in American Correctional Agencies." Journal of Criminal Justice, 1975, Vol. 3, 237-242.

Smith reports that more than half (31) of American correctional agencies award good time automatically and take it away for prohibited behavior. Seventeen other agencies award good time contingent upon satisfactory work performance and/or conduct. He includes various other good time tabulations and then recommends that correctional administrators re-evaluate their good time policies and consider a move toward the more positive performance-based model.

Watkins, John C. Changing Inmate Behavior. Address to the Interagency Workshop of the Institute of Contemporary Corrections and Behavioral Sciences, Sam Houston State University, June 1970. Rehabilitation Research Foundation, RRF-104.

Watkins, John C. "Organization of Institutional Resources for Behavior Change: A Model." Paper delivered at the 97th Annual Congress of Corrections, Miami Beach, Florida, August 22, 1967.

Watkins discusses a model predicated on the assumption that offenders, rather than being mentally ill, suffer from a "failure to learn, i.e., internalize the values, norms, and controls of the mainstream of American society." He suggests that the most important "behavior shaper" in such a model is the correctional officer, who relates to the inmate in a non-treatment setting. The officer's role can be reinforced by emphasizing that his contribution is vital to the total program and that he has the power to reward or not reward. The author believes that front line staff, because of the frequency of their interaction with inmates, may influence behavior more than the less frequently seen counselor. This staff must, of course, be taught to reinforce only positive behaviors.

Watkins includes a transfer to special quarters for those inmates who have progressed through various stages of positive behavioral change. These quarters are staffed by a different set of personnel, thereby terminating dependency relationships the inmate may have created within the institution. Watkins suggests that the inmate will then transfer his newly acquired behaviors and independence to life in free society.

Webb, Vincent J.; Hoffman, Dennis E.; Wakefield, William O.;
Snell, Joel. "Recidivism: In Search of a More Comprehensive
Definition." International Journal of Offender Therapy
and Comparative Criminology, 1976, Vol. 20, No. 2, 144-147.

The Authors report that recidivist literature generally accepts a simplistic definition of recidivism -- one which does not allow for the concept of partial success or for more subtle interpretations of "return to prison" statistics. They suggest that the recidivist measure should be supplemented by other criteria. For example, statistics should record the relative severity of the second vs. the first offense. The cumulative time that the individual remained outside a correctional system should be recorded to permit comparison of various treatment programs. Finally, the individual's unemployment time should be measured to indicate any increase in productivity related to treatment programs.

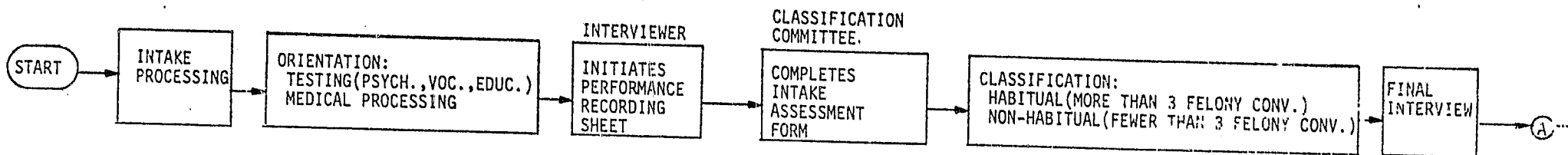


Figure 1. EARNED TIME SYSTEM: FLOW CHART (Sheet 1 of 8)

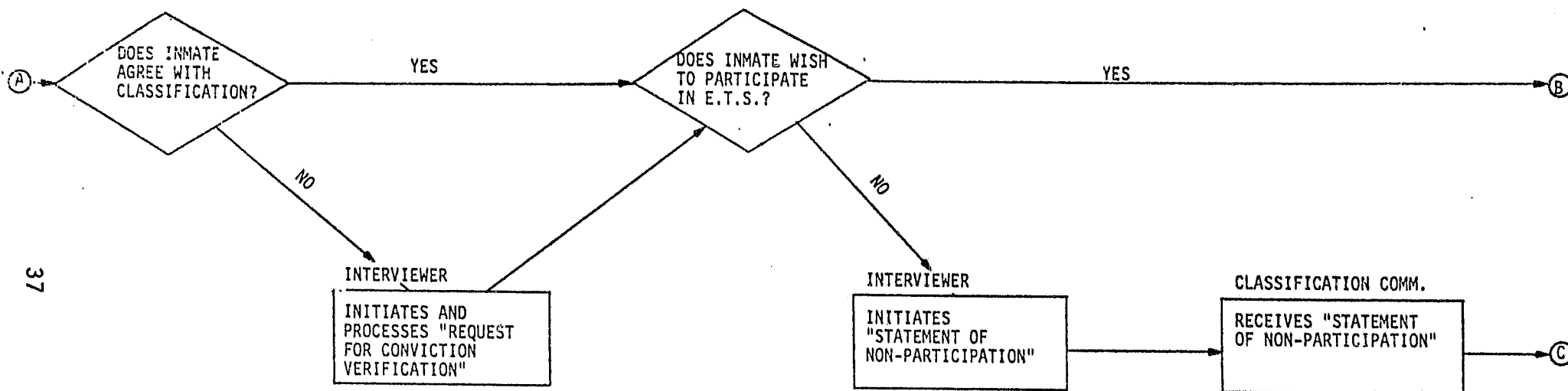


Figure 1. EARNED TIME SYSTEM: FLOW CHART (Sheet 2 of 8)

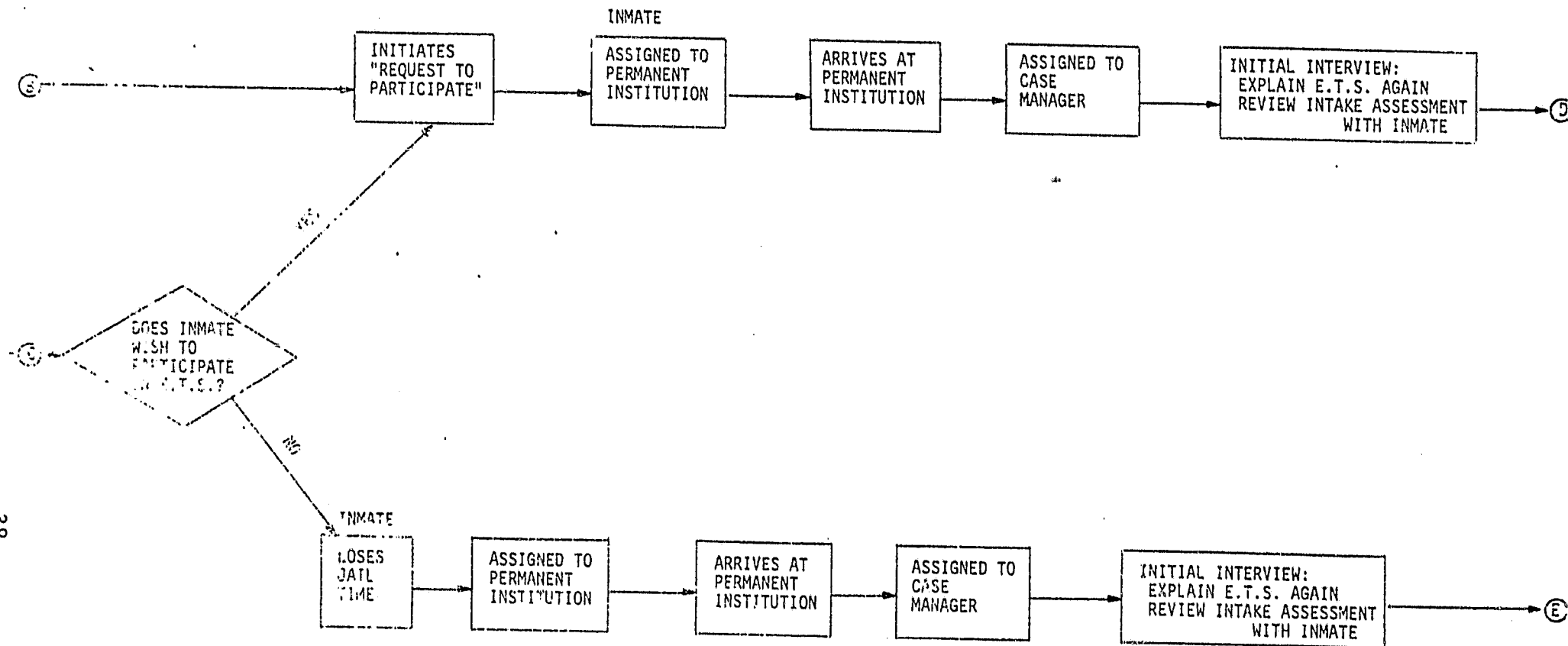


Figure 1. EARNED TIME SYSTEM: FLOW CHART (Sheet 3 of 8)

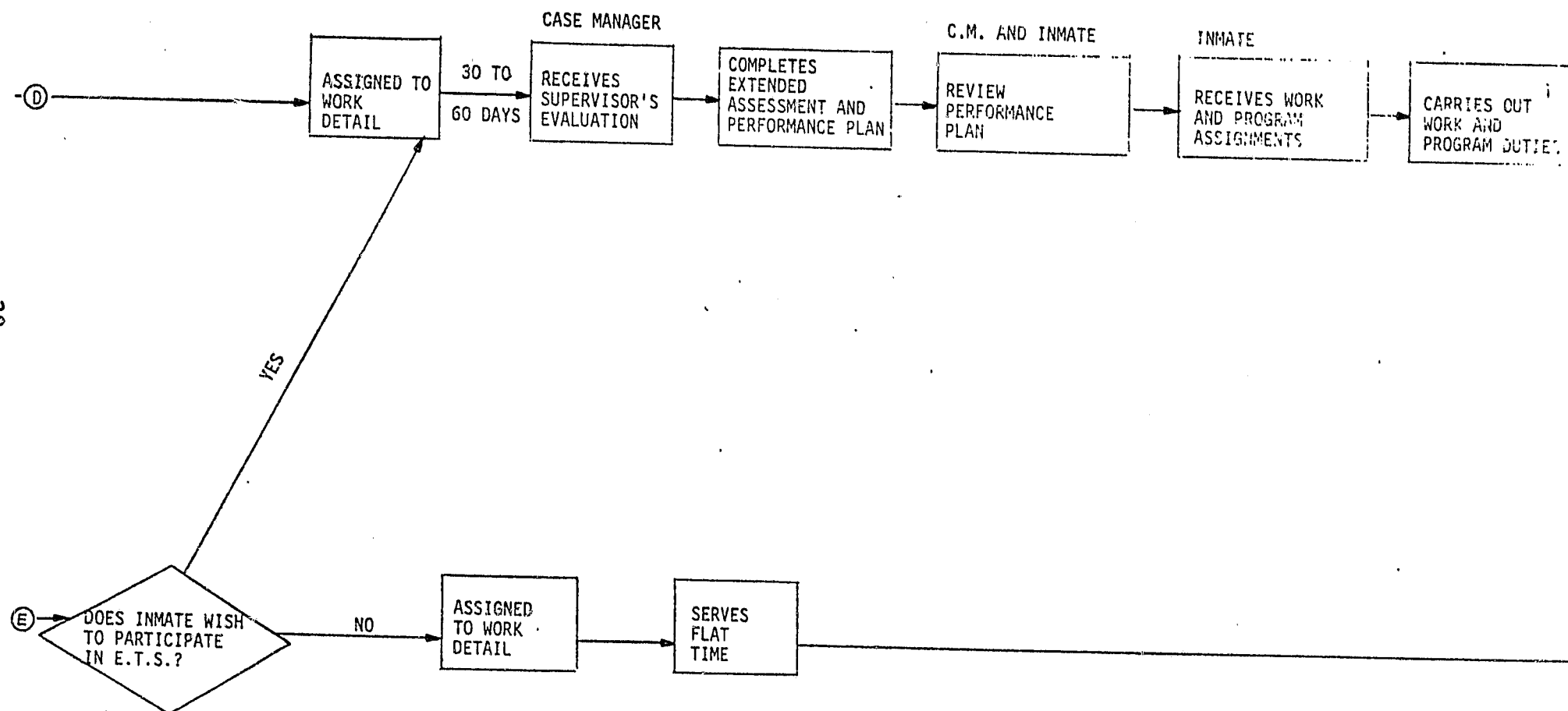


Figure 1. EARNED TIME SYSTEM: FLOW CHART (Sheet 4 of 8)

1 N.B.: THIS IS A CYCLIC PROCESS
INMATE MAY BE ON ANY OF
THESE PERFORMANCE TRACK
SIMULTANEOUSLY.

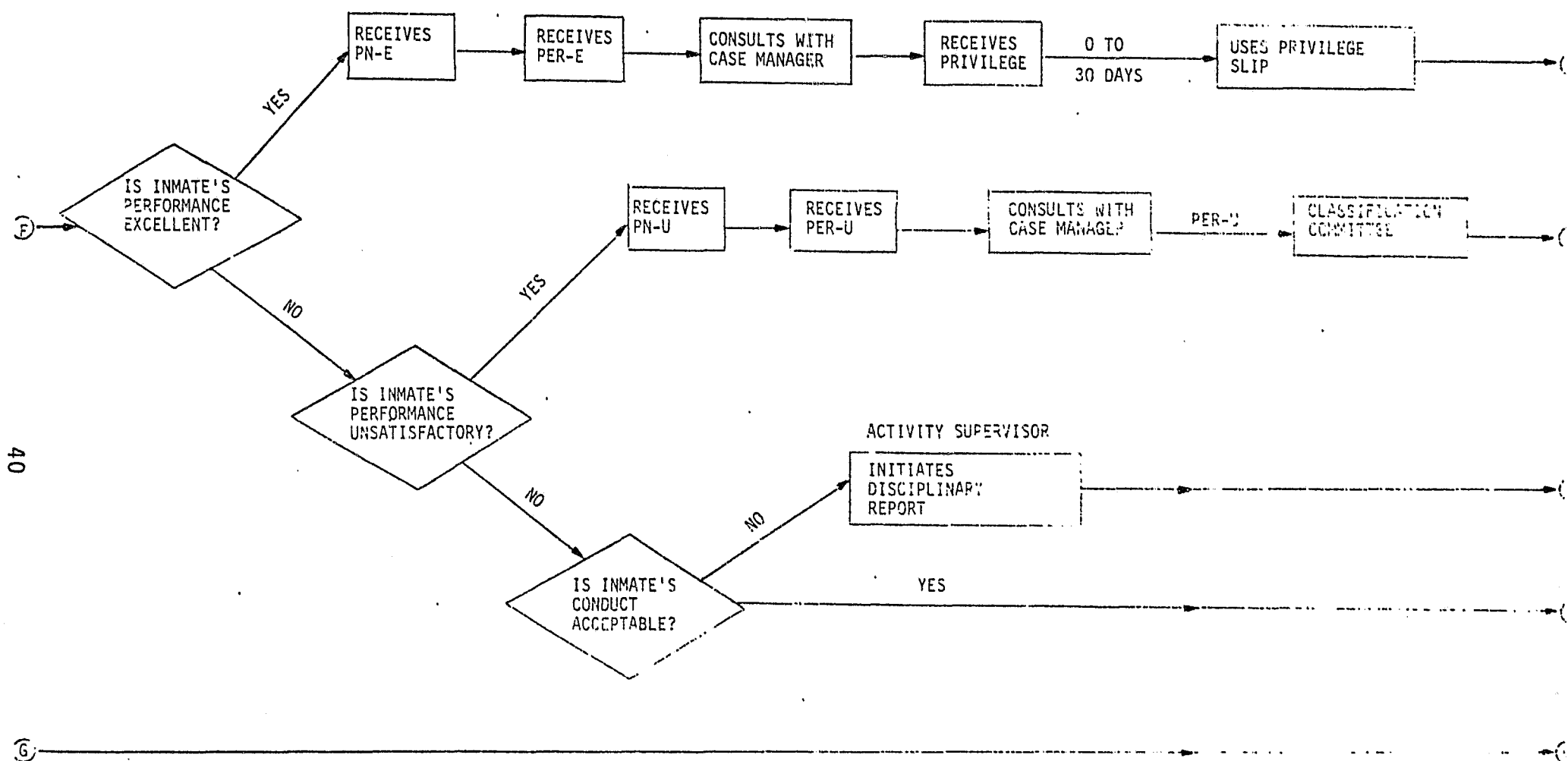


Figure 1. EARNED TIME SYSTEM: FLOW CHART (Sheet 5 of 8)

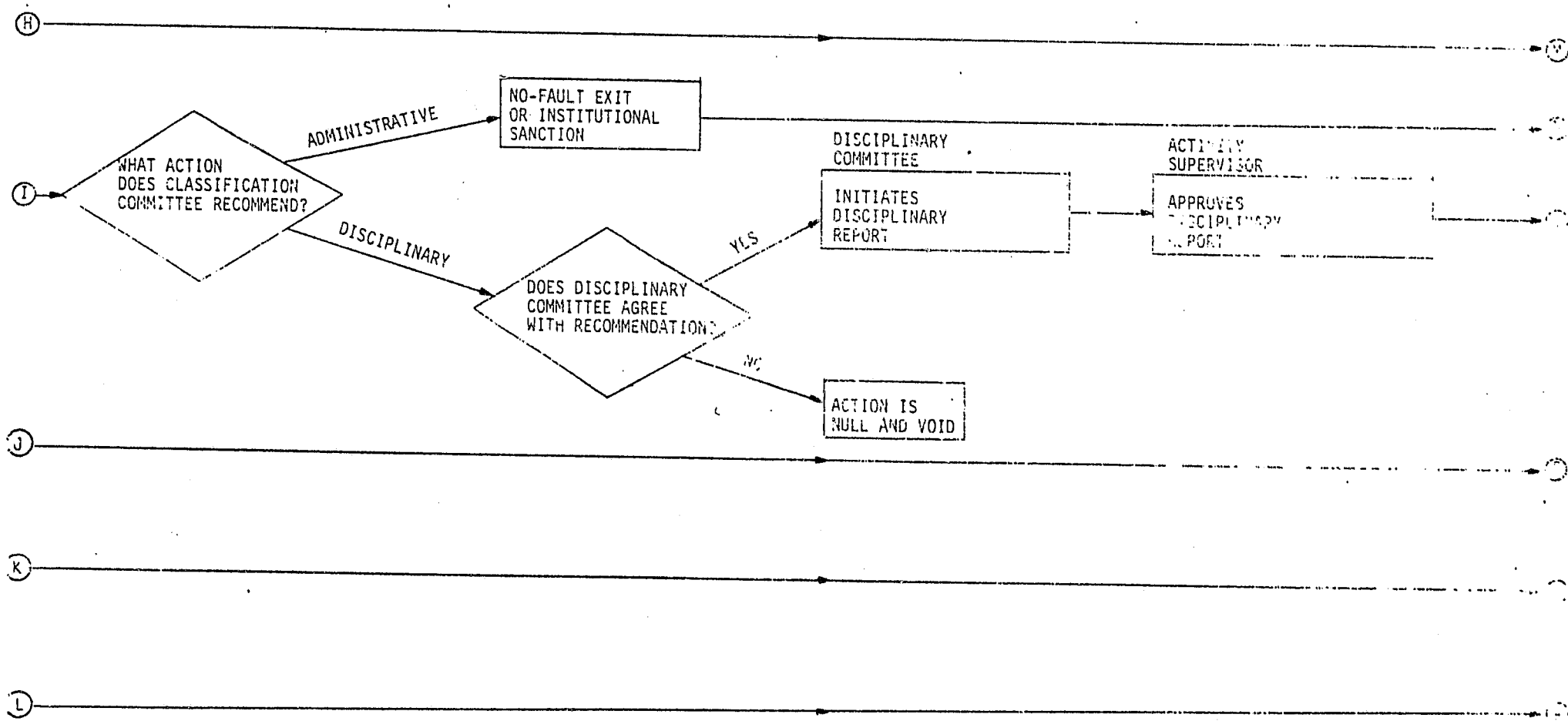


Figure 1. EARNED TIME SYSTEM: FLOW CHART (Sheet 6 of 8)

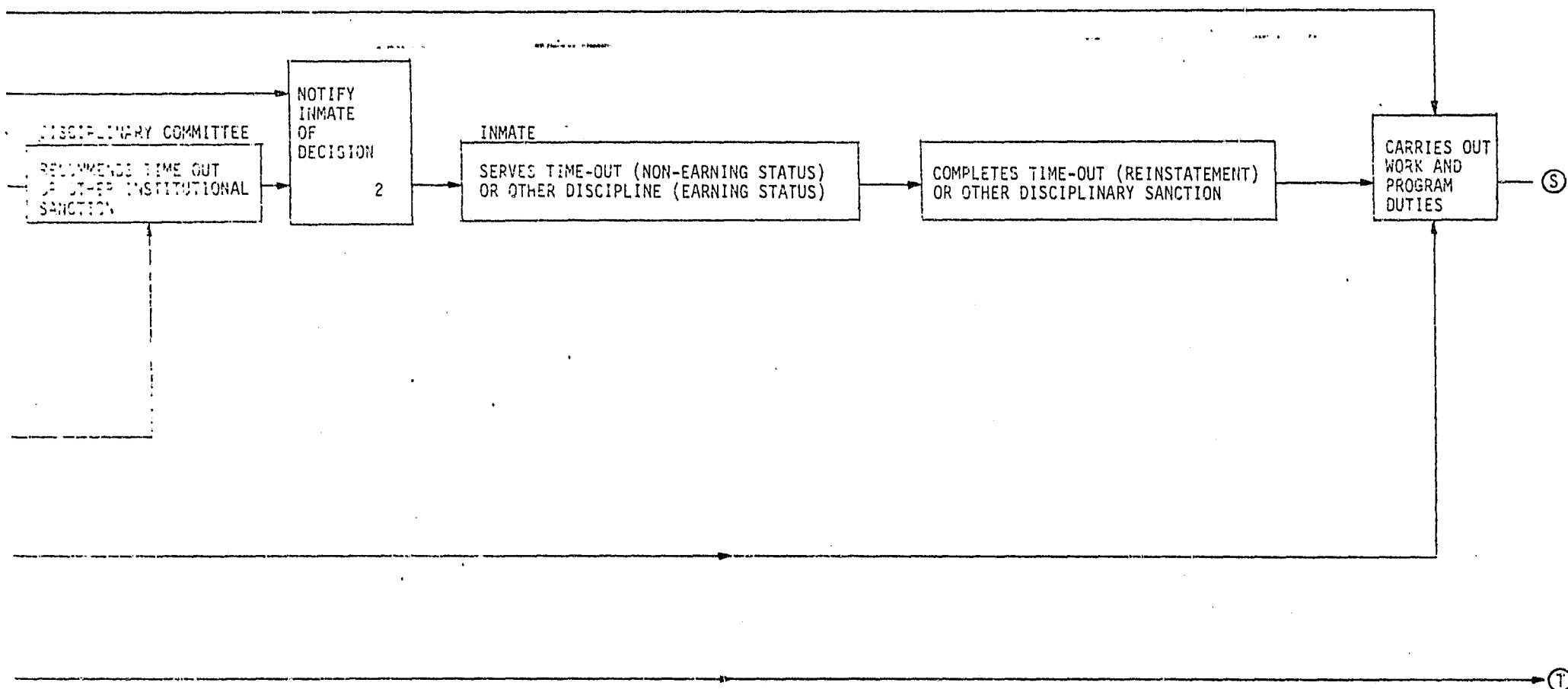


Figure 1. EARNED TIME SYSTEM: FLOW CHART (Sheet 7 of 8)

2 INMATE HAS ACCESS TO
GRIEVANCE PROCEDURE
IF HE DOES NOT AGREE
WITH DECISION.

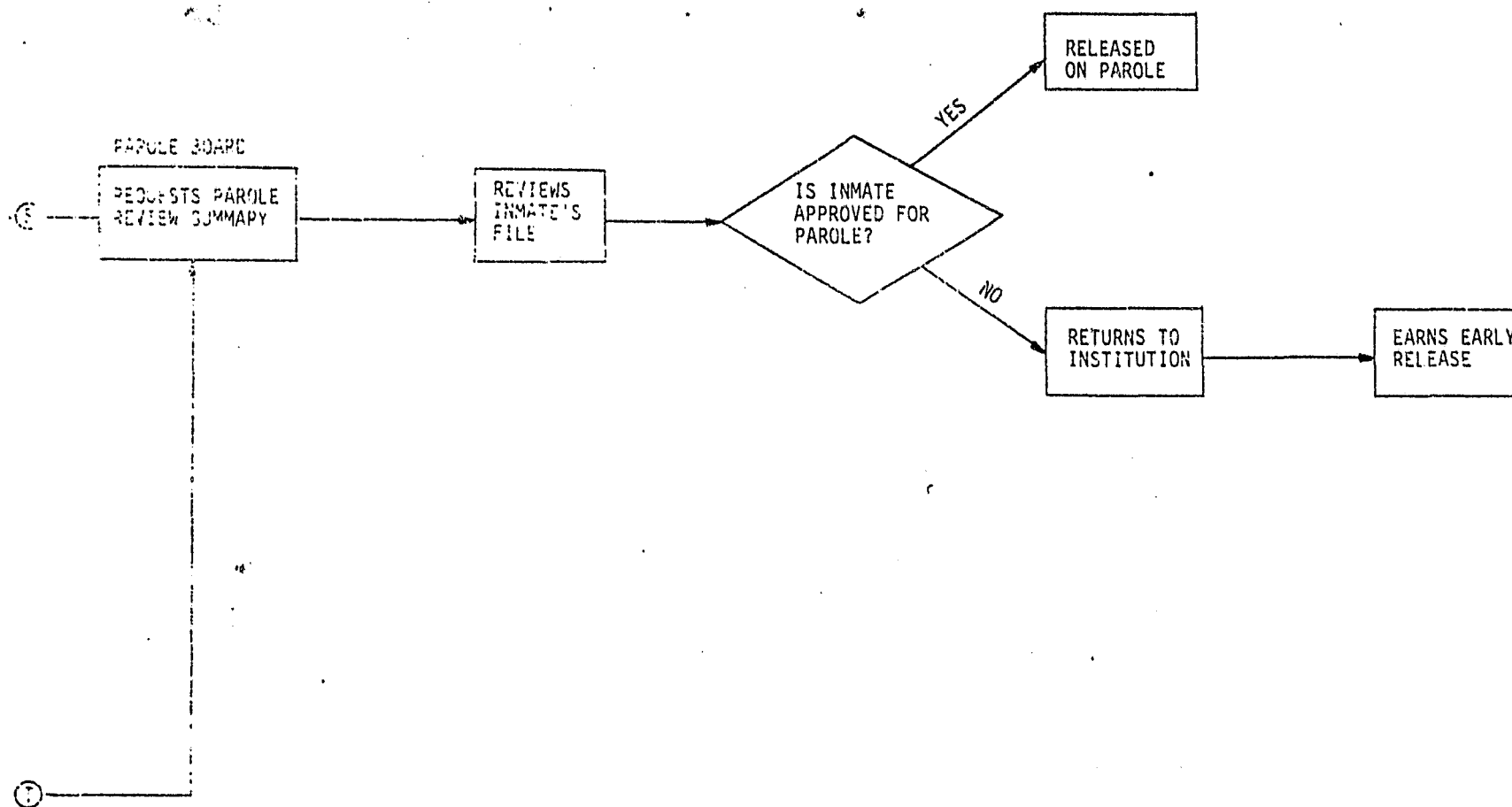


Figure 1. EARNED TIME SYSTEM: FLOW CHART (Sheet 8 of 8)

TABLE I

EVALUATING THE IMPACT OF THE EARNED TIME SYSTEM ON GEORGIA CORRECTIONS

A. PURPOSES	B. SYSTEM PROBLEMS	C. PROBLEM INDICATORS	D. SYSTEM NEEDS	E. CRITERIA	F. STANDARD	G. EVALUATIVE MEASURES
1. To protect public safety (<u>Public Position</u> paper, p.1.)	1. Overcrowding and the potential for violence in prisons (<u>Public Position</u> paper, pp.1,3.) A fundamentally subjective method of parole decision-making. 'See Limited Objective #5, Table II.) The potential for high risk offenders being discharged early under current good time methods. (See System Problem #3 below.)	1. Population greater than design capacity (<u>Public Position</u> paper, p.1.)	1. Alternatives to incarceration (<u>Public Position</u> paper, p.2.) and improved case management and behavioral approaches among staff (PERM Grant, p.18.)	1. Reduction in crowding and violence.	1(a) Designed for 4200 in 1975 (<u>Public Position</u> paper, p.1.) but figure changes each year. ... Percent of design capacity. Square footage per inmate to be at or above 56 (1975 <u>Legislative Fact Book</u> .) (b) Reduction in the rate of disciplinary reports per 1,000 inmates over baseline figure; reduction in violent reports per 1,000 inmates over baseline.	1(a) Percent of design capacity + 195% (1975 baseline, 8200/4200, <u>Public Position</u> paper, p.1.) Square footage per inmate + 56 (1975 baseline, 36 sq.ft. dorm and 42 sq.ft. cell, Evaluation report to the Attorney General.) (b) Rate of overall disciplinary reports and violent disciplinary reports versus 1974 (baseline data = 595 overall and 47 violent, Evaluation working file material.)
2. To provide for a public accounting of the system (<u>Public Position</u> paper, p.1.)	2. A fragmented service delivery process (<u>Six Year Action Plan</u> , pp. 97, 125.)	2. A low rate of successful program terminations (Evaluation working file material.)	2(a) Standards for programs (<u>Six Year Action Plan</u> , p.125.) (b) Improved case management (<u>Six Year Action Plan</u> pp.89-90.)	2(a) Higher successful completion rate. (b) Increased proportion of inmates with plans.	2. Improvement over baseline data each year.	2(a) Rate of successful completions + 19% (1975 baseline data from trends analysis developed by Evaluation and Systems units.) (b) Proportion of inmates with complete case plans and performance records (baseline not available at this time.)
3. To change the current assumptions of rehabilitation (<u>Public Position</u> paper, p.1.)	3. A passive view of the inmate's role and a negative good time system (<u>Public Position</u> paper, pp.2,4.)	3. High recidivism and revocation rates (<u>Public Position</u> paper, p.4; PERM Grant, p.3.)	3. An emphasis on high quality services and an earned time system (PERM Grant, pp.6-9, 12.)	3. Lower recidivism, revocation rates over time.	3. Improvement over baseline data after system redirection.	3. Recidivism rate + 53% (3 yr. tracking period) for 1971 exits (Systems Development Section.) Annual reentry rate for revoked parolees and probationers + 17% (PERM Grant, p.3.)

TABLE II
EVALUATING THE LIMITED OBJECTIVES OF THE EARNED TIME SYSTEM

A. <u>ETS GOAL</u>	B. <u>NEW POLICIES</u>	C. <u>LIMITED OBJECTIVES</u>	D. <u>EVALUATIVE CRITERIA</u>	E. <u>EVALUATIVE MEASURES</u>
1. To provide a positive motivation model and to reward positive behavior.	1(a) Extra privileges are to be awarded for excellent performance. (b) Good time is to be earned through satisfactory and excellent performance.	1(a) To certify a list of extra privileges and to implement a method to insure receipt of earned privileges. (b) To rate performance in goal oriented activities through documentation of observable desire and effort and the achievement of specified outcomes.	1(a) Consistency: the comparability of rewards, procedures, and staff actions among institutions. (b) Equity: the comparability of rewards and staff actions that affect inmates at each institution in terms of age, race, and ability (inmate intelligence).	1(a) Consistency: the statistical comparison of privileges earned, activities certified, and times out among ETS institutions. (b) Equity: the statistical comparison of privileges earned and times out between age, race, and ability groups at each institution (controlling for nature of inmate's offense).
2. To insure individualized attention which supports improved performance.	2(a) Individual plans will assess needs and prescribe activities. Performance documentation will be an integral part of the case record.	2(a) To give preference in consideration of entrance into special programs to inmates with excellent reports in the case record. (b) To increase the relevance of institutional program assignment through the careful matching of activity descriptions to need areas.	2(a) Responsiveness: the adjustment of procedures to new priorities with resulting changes in inmates screened into special programs. (b) Appropriateness: the adjustment of case management procedures and assignment decision-making to the need for correspondence between program goals and inmate needs.	2(a) Responsiveness: verification of procedural change and the case study analysis of client outcomes from excellent records. (b) Appropriateness: a sample analysis of the correspondence between needs documented in records and actual program assignment at institutions.
3. To change a negative (punitive) environment into a positive learning environment.	3(a) Inmates will receive continuous and responsive feedback and will earn as a result of positive behavior. (b) Staff will receive recognition for excellent support of ETS.	3(a) Procedures for earned time award and modified case management will redefine the relationship between inmates and supervisors. (b) Staff will be trained in system requirements and performance rating.	3(a) Magnitude: the impact of ETS on the system in terms of its use in awards and deprivations. (b) Equilibrium: the comparability of rewards and deprivations in ETS performance outcomes.	3(a) Magnitude: the percentage of ETS inmates who receive some exception report over time. (Statistical norm to compare with other behavioral projects.) (b) Equilibrium: extra privileges + times out across the system. (A positive system would be in disequilibrium in favor of excellent behavior awards.)

TABLE II (CONTINUED)

A. ETS GOAL

4. To more effectively use limited resources.

5. To release inmates upon demonstration of responsible potential for community adjustment.

B. NEW POLICIES

4. Effectively utilize the supervisor's knowledge and experience to enhance appropriate assignment/placement.

5. Formal parole deficiency reports will more effectively communicate performance-based recommendations for release.

C. LIMITED OBJECTIVES

4. To provide improved information to enhance Classification Committee actions (plan approval, assignment, transfers, & recommendations for time out).

5. To provide improved information concerning DOR's basis for recommending parole.

D. EVALUATIVE CRITERIA

4(a) Cost Efficiency: the maximization of program investments in terms of successful completions.

(b) Cost Effectiveness: the maximization of program investments in terms of follow-up which facilitates the use of learned skills.

5(a) Clarity: the relationship between documented performance and DOR recommendations.

(b) Precision: the degree of concrete documentation for conclusions about an inmate.

(c) Congruence: the degree of correspondence between DOR recommendations and Parole Board decisions.

(d) Impact: the increase in favorable Parole Board decisions due to additional behavioral data.

E. EVALUATIVE MEASURES

4(a) Cost Efficiency: the statistical comparison of the successful program completion rate of Earned Time and other inmates; the statistical comparison of institutional rates with historical baseline data.

(b) Cost Effectiveness: the statistical comparison (of sample data) of earned release inmates and other offenders (by institution) in terms of referral to jobs or job placement services or placement in subsequent relevant programs or activities.

5(a) Clarity: the statistical description of agreement between performance data and recommendations.

(b) Precision: the statistical comparison of the quantity and completeness of ETS and other inmate data.

(c) Congruence: the degree of statistical correspondence between DOR and Parole Board decisions.

(d) Impact: the degree of Statistical correspondence between Parole Board decisions concerning pre-Earned Time inmates and Earned Time inmates without deficiency reports.

TABLE III

MAXOUT TIMES: GOOD TIME SYSTEM

SENTENCE LENGTH (YEARS)	PREVIOUS EARLIEST MAXOUT (in YEARS)	PREVIOUS ACTUAL MAXOUT	AVERAGE NO. OF INMATE MAXOUTS PER YEAR
1	0.72	0.83	428
2	1.35	1.48	228
3	1.90	2.07	228
4	2.45	2.59	73
5	3.00	3.22	132
6	3.55	3.64	40
7	4.01	4.35	24
8	4.65	4.87	19
9	5.20	5.60	7
10	5.75	6.19	35

Note: Based on 4 1/2 years experience, it appears that ETS will impact favorably on population, unless the overall average performance drops below 50%.

TABLE IV

MAN-YEAR SAVINGS: EARNED TIME SYSTEM

100% PERFORMANCE

SENTENCE LENGTH (YEARS)	EARLIEST MAXOUT	NET DIFFERENCE	ANNUAL POP. SAVINGS (MAN YRS.)
1	.50	.33	141
2	1.00	.48	109
3	1.50	.57	130
4	2.00	.59	43
5	2.50	.72	95
6	3.00	.64	26
7	3.50	.85	20
8	4.00	.87	17
9	4.50	1.10	8
10	5.00	1.19	42
TOTAL DECREASE			631

50% PERFORMANCE

SENTENCE LENGTH (YEARS)	EARNINGS MAXOUT	NET DIFFERENCE	ANNUAL POP. SAVINGS (MAN YRS.)
1	.67	.16	68
2	1.33	.15	34
3	2.00	.07	16
4	2.67	-.08	-6
5	3.33	-.11	-15
6	4.00	-.36	-14
7	4.67	-.31	-3
8	5.34	-.47	-9
9	6.00	-.40	-3
10	6.67	-.48	-16
TOTAL DECREASE			47

90% PERFORMANCE

SENTENCE LENGTH (YEARS)	EARLIEST MAXOUT	NET DIFFERENCE	ANNUAL POP. SAVINGS (MAN YRS.)
1	.53	+.30	128
2	1.05	+.43	98
3	1.58	+.49	112
4	2.10	+.49	36
5	2.63	+.59	78
6	3.16	+.48	19
7	3.68	+.67	16
8	4.21	+.66	13
9	4.73	+.87	6
10	5.26	+.93	33
TOTAL DECREASE			539

TABLE V

MAN-YEAR SAVINGS: ETS AND PAROLE DECISIONS

Sentence Length (Years)	Avg. Time Served: Good Time	Avg. Time Served: ETS	Net Difference
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

N B.: To provide for factors other than length of sentence which influence parole decisions, prior parole decisions will be carefully examined. Many decisions are influenced by criteria impossible to quantify, and it may well be that parole decisions will be little influenced by ETS.

NOTES

1. The Public Position on the Status of the Correctional System of Georgia.
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APPENDIX B
SUPPORTING DATA

TABLE B-2

INMATE POPULATION: COUNTY INSTITUTIONS

<u>DESCRIPTION</u>	<u>ETS</u>	<u>NON-ETS</u>	<u>TOTAL</u>
Active	3670	5113	8783
Felons	3539 (96%)	5092 (99%)	8631 (98%)
Misdemeanants	131 (3.6%)	21 (1%)	152 (1.7%)
White males	1552 (42%)	1724 (34%)	3276 (37%)
Non-white males	1896 (51%)	3208 (63%)	5104 (58%)
White females	76 (2%)	59 (1%)	135 (1.5%)
Non-white females	146 (4%)	122 (2%)	268 (3%)

N.B.: Percentages are proportions of active cases.

TABLE B-3

INMATE POPULATION: COMMUNITY FACILITIES

<u>DESCRIPTION</u>	<u>ETS</u>	<u>NON-ETS</u>	<u>TOTAL</u>
Active	100	214	314
Felons	64 (64%)	146 (68%)	210 (67%)
Misdemeanants	36 (36%)	68 (32%)	104 (33%)
White males	12 (12%)	51 (24%)	63 (20%)
White females	30 (30%)	15 (7%)	45 (14%)
Non-white females	36 (36%)	36 (17%)	72 (23%)

N.B.: Percentages are proportions of active cases.

APPENDIX C
ETS EVALUATION CODING
INSTRUMENTS

TABLE C-1

CODE SHEET FOR INSTITUTIONAL FILE REVIEW

<u>Col. No.</u>	<u>Description</u>
1-3	Institution Code Number
4-11	Inmate's Number
12-31	Inmate's Name Enter last name first
32-33	No. of Disciplinary Reports (from EDP)
34-39	Date inmate assigned to permanent institution
40-41	Inmate's year of birth
42	Inmate's Race/Sex <ul style="list-style-type: none"> 1 = White male 2 = Black male 3 = "Other" male 4 = White female 5 = Black female 6 = "Other" female
43-45	Inmate's I.Q. <ul style="list-style-type: none"> 000 = No I.Q. entry in file
46	Inmate's Classification (from Performance Assessment Sheet or Consent form if no Assessment in file)
47	Participation <ul style="list-style-type: none"> 0 = No form 1 = Request to Participate 2 = Statement of Non-Participation
48-50	Performance Recording Sheet <ul style="list-style-type: none"> Col. 48: + or - Col. 49 & 50: Number of monthly updates in excess of or less than number of months since Plan was signed

48-50
(continued)

+00 = Exact number of updates
since Plan was signed
000 = No form
AAA = Form present; no entries
BBB = No date on Performance Plan
XXX = No Performance Plan to date from

51

Request for Conviction Verification

0 = No form
1 = Form present

52

Response from Central Office to Conviction
Verification Request

0 = No response
1 = Inmate declared Habitual
2 = Inmate declared Non-Habitual

53

Performance Assessment Sheet

0 = No form
1 = Form present

54

Case Manager Checklist

0 = No form
1 = Form present

55

Supervisor's Evaluation

0 = No form
1 = Form present

56-63

Intake Assessment

Col. 56: 0 thru 9 = No. of entries
in 1st category
Col. 57: 0 thru 9 = No. of entries
in 2nd category
Col. 58: 0 thru 9 = No. of entries
in 3rd category

etc. thru 8 columns
(6 or 7 = Complete Medical present)

X = No logical entries possible
(i.e., no Performance Assessment Sheet)

64-71

Extended Assessment

Col. 64: 0 thru 9 = No. of entries
in 1st category
Col. 65: 0 thru 9 = No. of entries
in 2nd category

64-71
(continued)

Col. 66: 0 thru 9 = No. of entries
in 3rd category

etc. thru 8 columns

A = No change from Intake
B = No Extended Assessment
X = No logical entries possible
(i.e., no Performance Assessment Sheet)

72-78

Blank

79-80

Card No: 01

1-3

Institution Code Number

4-11

Inmate's Number

12-19

Performance Plan

Col 12: 0 thru 9 = No. of entries in
1st category of "Needs" column

Col 13: 0 thru 9 = No. of entries in
2nd category of "Needs" column

A = No entry at all
B = No form
C = Information incorrectly entered
as "Need"
0 = No need identified

etc. thru 8 columns

20-27

Correspondence between Intake Assessment &
Extended Assessment

Col. 20: 0 = No correspondence in 1st category
1 = Some correspondence in 1st category
9 = Cannot tell
3 = No form (i.e., Extended Assessment)
A = No change from Intake
B = Information incorrectly placed
on Extended Assessment
X = No logical correspondence possible

etc. thru 8 columns

28-35

Correspondence between Extended Assessment &
"Needs" identified in Performance Plan

28-35
(continued)

Col. 28: 0 = No correspondence in 1st
category
1 = Some correspondence in 1st category
9 = Cannot tell
8 = No entry in "Needs" column
(i.e., "Need" column is blank)
X = No logical correspondence possible
etc. thru 8 columns

36-43

Correspondence between "Needs" & Activities":
Performance Plan

Col. 36: 0 = No correspondence in 1st category
1 = Some correspondence in 1st category
9 = Cannot tell
8 = No entry in "activities" column
(and should
a Need entered)

44-51

Correspondence between "Activities" specified
& actual program Assignment (i.e., "Date"
column)

Col. 44: 0 = No correspondence in 1st category
1 = Some correspondence in 1st category
4 = Cannot tell
5 = Inmate refused to participate
in program suggested
6 = No program available
7 = No program assigned under
"Activities"
8 = Scheduled program assignment
in 1st category, but not yet
enrolled
9 = No date entered in "Date"
column
X = No logical correspondence possible
etc. thru 8 columns

52-57

Approval of Performance Plan by Classification
Committee

000000 = Not signed
MMDDYY = Signed and dated
999999 = Signed but not dated
333333 = No form

58-65

Quarterly Review Summary

Col. 58: 0 thru 9 = No. of entries in
1st category

58-65
(continued)

Col. 59: 0 thru 9 = No. of entries in
2nd category

A = Entry is "No Change"

BBBBBBBB = No form

C = Entry is "N/A"

etc. thru 8 columns

66-78

Blank

79-80

Card Number: 02

TABLE C-2

CODING SHEET FOR PRIVILEGE SLIPS

<u>Col. No.</u>	<u>DESCRIPTION</u>
1-8	Inmate number x = missing data
9-11	First three letters of inmate's last name
12-14	Institution code number
15-20	Date privilege granted: MMDDYY x = missing data
21-22	Privilege code number
23-28	Date privilege awarded x = missing data REFUSD = privilege refused by inmate EXPIRD = privilege expired before redeemed by inmate

END