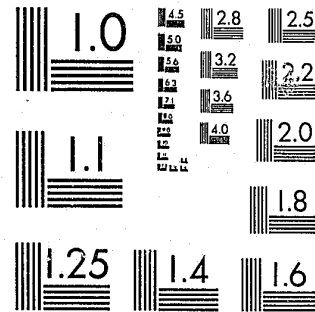


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# Federal Probation

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MARCH 1980

# Federal Probation

A JOURNAL OF CORRECTIONAL PHILOSOPHY AND PRACTICE

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## This Issue in Brief

**An Organization Development Experience in Probation: "Old Dogs" Can Learn New Tricks!**—The Maricopa County Adult Probation Department, Phoenix, Arizona, contracted with Training Associates to provide management and organization development training from March 1978 through February 1979. This article by Gary Graham and Herbert R. Sigurdson discusses problems within the organization which initiated this venture; OD theory is summarized; baseline data is presented; and the OD method used in the project is elaborated upon. Followup change-oriented data is presented at 7- and 12-month intervals.

**The Ex-Offender and the "Monster" Myth.**—A number of authorities have asserted that prisons invariably have a deleterious effect on all who are incarcerated. Using data collected as part of an extensive ongoing study of 1,345 consecutive admissions to the Federal Correctional Institution in Tallahassee, Florida, this study examined this assertion empirically through inmate interviews, comparison of personality tests administered on entering and leaving prison, and post-release recidivism data. Authors Edwin I. Megargee and Barbara Cadow conclude that the popular impression that all inmates emerge from all prisons significantly more disturbed,

**Dealing With the Violent Criminal: What To Do and Say.**—Criminal justice workers are often asked to give advice about how to handle an assault or a mugging attempt by a criminal. William B. Howard argues that the most immediately effective strategy is psychological resistance, and that presenting oneself in a non-critical, nonthreatening fashion will greatly reduce the likelihood of violence.

**General Overview of Capital Punishment as a Legal Sanction.**—In spite of United Nations efforts, capital punishment as an official or unofficial penalty deliberately imposed is becoming more frequent in far too many countries, asserts Professor Manuel López-Rey. There are two main forms of it: judicial death penalty which may be imposed by a subservient judiciary and non-judicial death penalty which may be decided and executed by military, police, and ideological services and organizations. The author concludes that at the end of the 20th century crime and penal sanctions are more and more determined by political regimes.

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All phases of preventive and correctional activities in delinquency and crime come within the fields of interest of FEDERAL PROBATION. The Quarterly wishes to share with its readers all constructively worthwhile points of view and welcomes the contributions of those engaged in the study of juvenile and adult offenders. Federal, state, and local organizations, institutions, and agencies—both public and private—are invited to submit any significant experience and findings related to the prevention and control of delinquency and crime.

Manuscripts (in duplicate), editorial matters, books, and communications should be addressed to FEDERAL PROBATION, Administrative Office of the United States Courts, Washington, D.C. 20544.

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### FEDERAL PROBATION QUARTERLY

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bitter and inclined toward criminal behavior is false.

**The Criminal Personality or Lombroso Revisited.**—This article contends that a relatively recent book, *The Criminal Personality*, is not genuine research, but merely the unsupported views of a psychiatrist (who died several years ago) and a clinical psychologist. O.J. Keller attacks the basic concept of this work, calls attention to numerous contradictions, and criticizes the research as failing to meet the most elementary standards.

**The Salient Factor Score: A Nontechnical Overview.**—The "Salient Factor Score," a predictive device used by the U.S. Parole Commission as an aid in assessing a parole applicant's likelihood of recidivism, is described by Commission researchers, Peter B. Hoffman and Sheldon Adelberg. The relationship found between the predictive score and favorable/unfavorable outcome is shown for two large random samples of released Federal prisoners, totaling 4,646 cases. Use of the "Salient Factor Score" as part of the system of decision guidelines established by the Parole Commission and the relationship of the guideline system to the exercise of discretion in decisionmaking are then discussed.

**Health and High Density Confinement in Jails and Prisons.**—High density confinement in correctional institutions has been the focus of much attention during the past decade, according to Bailus Walker, Jr., and Theodore J. Gordon. This concern has prompted several agencies and organizations to revise old standards or develop new criteria for minimizing the noxious influence of high-density confinement on jail and prison inmates. The application of these criteria and standards has raised at least one fundamental

question: Upon what bases are the standards established? Although there are many possible bases for the establishment of population-density criteria, the extrapolation of available data generated by epidemiological evaluations and medical observations suggests rational bases for controlling population density in jails and prisons.

**The Private Sector in Corrections: Contracting Probation Services from Community Organizations.**—After examination of current practices regarding delivery of correctional services, via purchase-of-services contracts with private sector agencies, an attempt was made to assess one of the Nation's largest private probation programs—Florida's Salvation Army Misdemeanor Probation Program (SAMP). Following analysis of SAMP's fee-financing, structure and clientele, a preliminary assessment of the program's revocation rate (6.3 percent) and cost-effectiveness was undertaken. Author Charles A. Lindquist states that while further evaluation is needed, it was tentatively concluded that several aspects of the program were effective.

**Social Work and Criminal Justice: New Dimensions in Practice.**—One to one counseling of offenders has been devalued partly on the basis of effectiveness studies and partly on the basis of counseling methods which assumed that the primary goal of treatment was the modification of the offender's personality. This article by Gloria Cunningham questions both the effectiveness of effectiveness studies and the need to define "treatment" in such narrow terms. The role of the probation officer is re-examined in the light of evolving views of social work intervention which validate the importance of the broader range of helping services typical of probation supervision.

All the articles appearing in this magazine are regarded as appropriate expressions of ideas worthy of thought but their publication is not to be taken as an endorsement by the editors or the federal probation office of the views set forth. The editors may or may not agree with the articles appearing in the magazine, but believe them in any case to be deserving of consideration.

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## The Salient Factor Score: A Nontechnical Overview

BY PETER B. HOFFMAN, PH.D., AND SHELDON ADELBERG, PH.D.\*

AS AN AID in assessing an offender's likelihood of favorable outcome upon release, the United States Parole Commission uses an actuarial device, termed a "salient factor score." This device, shown in Appendix I, is applied in conjunction with explicit decision guidelines, which articulate commission policy as to the customary range of months to be served before release for cases with specific offense (severity) and offender (parole prognosis) characteristics. The salient factor score concerns the horizontal (parole prognosis) dimension of the guidelines chart, shown in Appendix II. Use of the guidelines system is designed to enhance consistency and fairness in decisionmaking by guiding and structuring the exercise of Parole Commission discretion without removing the opportunity for individual case consideration. Decisions departing from the guidelines are permitted, but specific written reasons for such departure are required in each case.<sup>1</sup>

The most recent revision of the salient factor score became effective in April 1977. This instrument contains seven items that, when added together, provide a score with a range from zero to eleven points: the higher the score, the higher the probability of favorable outcome upon release (i.e., the lower the probability of recidivism). A nontechnical overview of the salient factor score is presented in this article, and its predictive power in relation to two measures of recidivism is examined.<sup>2</sup>

### Selecting the Form of the Predictive Device

Criminal justice research workers have explored various methods of combining individual items of information found associated with recidivism in an effort to increase predictive power. These methods range from the simple additive scoring of predictive items (often referred to in American criminological literature as the Burgess method)<sup>3</sup> to sophisticated mathematical weighting methods made feasible by modern com-

puter technology (e.g., multiple regression analysis, predictive attribute analysis, and association analysis).<sup>4</sup> Interestingly, when predictive devices constructed with different methods are put to the test on validation (the application of the device to a new sample—a sample different from the one used in the construction of the device), devices based upon the simpler additive design appear to predict as well as, and sometimes better than, those constructed by use of mathematically more sophisticated methods.<sup>5</sup> Given this apparent equivalence of predictive power among the various methods, the simplicity and ease of scoring of a Burgess type device commend it for operational use. The salient factor score developed for the Parole Commission is of this type.

### Sample Selection and Criterion Measures

A random sample (N=2,497) of Federal prisoners released in 1970 provided the informational base for the construction of the salient factor score described in this article. An additional random sample (N=2,149) of Federal prisoners released during 1971-72 provided the informational base for validating this device. All three major types of release (parole, mandatory release, and expiration of sentence) are included. Use of a uniform 2-year followup period from date of release for each case, regardless of method of

<sup>1</sup> Regulations governing application of the paroling policy guidelines are found at 28 C.F.R. §§ 220 and 221. For a discussion of the development and use of the guidelines system, see Gottfredson, D.M., Wilkins, L.T., and Hoffman, P.B., *Guidelines for Parole and Sentencing*, Lexington, Mass.: Lexington Books, 1978; and Hoffman, P.B., and Stover, M.A., "Reform in the Determination of Prison Terms: Determinacy, Equity, and the Parole Release Function," *7 Hofstra Law Review* 1, 1978, pp. 89-121.

<sup>2</sup> For a more technical description of the research underlying the development of an earlier version of the salient factor score, see Gottfredson, D.M., Wilkins, L.T., and Hoffman, P.B., Chapter 3, *supra* note 1; see also Hoffman, P.B., Stone-McIntyre, B., and Beck, J.L., "Salient Factor Score and Release Behavior: Three Validation Samples," *2 Law and Human Behavior*, 1, 1978, pp. 47-62.

<sup>3</sup> One of the earliest parole prediction studies was conducted by Elmer Burgess using this method of scoring; see Bruce, A.A., Harbo, A.J., Burgess, E.W., and Landesco, J., *The Workings of the Indeterminate Sentence Law in the Parole System in Illinois*, Springfield, Ill.: Illinois State Board of Parole, 1928, pp. 205-249.

<sup>4</sup> For a review of various methods of constructing prediction devices see Simon, F.H., *Prediction Methods in Criminology*, London: Her Majesty's Stationery Office, 1971; and Gottfredson, D.M., "Assessment and Prediction Methods in Crime and Delinquency," Appendix K in the President's Commission on Law Enforcement and the Administration of Justice, *Task Force Report: Juvenile Delinquency and Youth Crime*, Washington, D.C.: U.S. Government Printing Office, 1967.

<sup>5</sup> See Simon, *supra* note 4; Gottfredson, D.M., Wilkins, L.T., and Hoffman, P.B., Chapters 3 and 5, *supra* note 1; and Gottfredson, S.D., and Gottfredson, D.M., "Screening for Risk: A Comparison of Methods," Final Report (Grant AM-1) to the National Institute of Corrections, August 14, 1979.

release, was made possible through access to F.B.I. "rap sheet" records.<sup>6</sup>

Two criterion measures (measures of recidivism) are used in this article. Criterion Measure I, available for both samples, defines favorable outcome as follows: *no arrest for a new criminal offense resulting in a conviction and commitment of 60 days or more*, no return to prison as a parole/mandatory release violator, and not a parole/mandatory release absconder during the followup period.

Criterion Measure II, available for the validation sample, uses a stricter definition of favorable outcome: *no arrest for a new criminal offense (regardless of disposition)*, no return to prison as a parole/mandatory release violator, and not a parole/mandatory release absconder during the followup period. Table I displays the two criterion measures.

#### *Predictive Items*

Table II shows the association between each of the seven items that comprise the salient factor score and Criterion Measure I for the construction and validation samples combined (N=4,646). As may be readily seen, each of the seven items is found significantly associated with the criterion measure in the expected direction. With reference to the first item (prior convictions), for example, a favorable outcome rate of 87.3 percent is shown for the group of cases with no prior conviction. This rate is 78.2 percent for the group of cases with one prior conviction; 71.9 percent for the group of cases with two or three prior convictions; and 64.1 percent for the group of cases with four or more prior convictions. These relationships are shown for the construction and validation samples separately in Appendix III.

#### *The Predictive Score*

For each of the seven items, a score is assigned. Again using the first item for illustration, cases with no prior conviction are assigned a score of 3 points. Cases with one prior conviction are assigned a score of 2 points; those with two or three prior convictions are assigned a score of 1 point; and those with four or more prior convictions are assigned 0 points. The sum of the scores for the seven items yields the predictive

<sup>6</sup> Since FBI "rap sheet" records for the period under consideration frequently lack dispositional information, the relevant law enforcement and court authorities were contacted, where required, to supplement these records.

<sup>7</sup> In addition, the width of the guideline ranges themselves allow limited discretion.

score. As noted, higher scores indicate a more favorable prognosis (a lower probability of recidivism).

For use with the guideline matrix, the 12 possible scores (11-0) have been collapsed to form four risk categories: very good risk (scores of 11-9); good risk (scores of 8-6); fair risk (scores of 5-4); and poor risk (scores of 3-0). Table III displays outcome by score category, using Criterion Measure I, for the construction, validation, and combined samples. Also shown for each sample is the Mean Cost Rating (MCR), a statistical measure used in criminal justice recidivism research as an indicant of predictive power.

The information provided in Table III clearly indicates that the salient factor score separates parole applicants into four distinguishable risk categories, and that the predictive power of this instrument is maintained when tested on a validation sample.

Table IV displays outcome by score category for the validation sample using both Criterion Measures I and II. As Criterion Measure II provides a stricter definition of favorable outcome, the rates of favorable outcome shown are consistently lower when this measure is used. Nevertheless, the salient factor score continues to clearly distinguish the four risk groups.

#### *Application of the Salient Factor Score*

While the salient factor score provides a convenient method for summarizing our knowledge of the relationship between offender characteristics and likelihood of recidivism, its use in conjunction with a guidelines system does not mean the elimination of clinical judgment. Obviously, no actuarial device can take into account all of the variations in human behavior that may be associated with the presence or absence of recidivism. Thus, provision is made to allow the decisionmakers to override the salient factor score, but only for articulated, written reasons. That is, the application of the salient factor score to individual cases combines the use of an actuarial instrument with the provision for clinical judgment, but focuses such clinical judgment by requiring the decisionmakers to articulate the specific factors considered when a judgment is made to override the prognosis classification of the actuarial score.<sup>7</sup>

At this point, it is appropriate to emphasize the relationship of the "salient factor score" to the "guidelines system." The salient factor score

concerns only the horizontal dimension of the guidelines chart. The vertical dimension of the guidelines chart relates to the seriousness of the prisoner's current offense behavior. Furthermore, the time ranges specified by the guidelines are predicated upon good institutional conduct. Thus, the salient factor score provides an empirical basis for an important dimension of the guidelines, but it is not the only dimension. Consequently, it is not appropriate to use the terms "salient factor score" and "guidelines system" interchangeably.

**A Cautionary Note on Scoring the Salient Factors**

Scoring the salient factors may, at first glance, appear to be a rather simple and rote task. Field experience, however, shows accurate scoring to be considerably more difficult than it appears on the surface. Careful attention to a number of complex rules is required. To facilitate consistent scoring, a guidelines scoring manual<sup>8</sup> has been developed. This manual contains detailed instructions for the computation of the salient factor score items and offense severity ratings, and illustrations of the types of circumstances that may warrant a decision above or below the guidelines.

**REFERENCED NOTES**

1. Alcohol or cigarette tax law violations involving  
<sup>8</sup> *Guideline Application Manual*, Appendix 4 in U.S. Parole Commission Procedures Manual, May 1, 1978 (as revised), Washington, D.C.: U.S. Parole Commission.

\$2,000 or more of evaded tax shall be treated as a property offense (tax evasion).  
 2. Except that automobile theft (not kept more than 72 hours; no substantial damage; and not theft for resale) shall be rated as low severity. Automobile theft involving a value of more than \$19,999 shall be treated as a property offense. In addition, automobile theft involving more than 3 cars, regardless of value, shall be treated as no less than high severity.  
 3. Except that carnal knowledge in which the relationship is clearly voluntary, the victim is not less than 14 years old, and the age difference between offender and victim is less than four years shall be rated as a low severity offense.

**DEFINITIONS**

a. 'Other media of exchange' include, but are not limited to, postage stamps, money orders, or coupons redeemable for cash or goods.  
 b. 'Drugs, other than specifically categorized' include, but are not limited to, the following, listed in ascending order of their perceived severity: amphetamines, hallucinogens, barbiturates, methamphetamines, phenylclidine (PCP). This ordering shall be used as a guide to decision placement within the applicable guideline range (i.e., other aspects being equal, amphetamines will normally be rated towards the bottom of the guideline range and PCP will normally be rated towards the top).  
 c. 'Equivalent amounts' for the cocaine and opiate categories may be computed as follows: 1 gm. of 100% pure is equivalent to 2 gms. of 50% pure and 10 gms. of 10% pure, etc.  
 d. The 'opiate' category includes heroin, morphine, opiate derivatives, and synthetic opiate substitutes.

**GENERAL NOTES**

A. These guidelines are predicated upon good institutional conduct and program performance.  
 B. If an offense behavior is not listed above, the proper category may be obtained by comparing the severity of the offense behavior with those of similar offense behaviors listed.  
 C. If an offense behavior can be classified under more than one category, the most serious applicable category is to be used.  
 D. If an offense behavior involved multiple separate offenses, the severity level may be increased.

TABLE I—Criterion Measures

Outcome is considered *unfavorable* if one or more of the following occur *within two years* of release from prison. If none of the following occur during the two year followup period, outcome is considered favorable.

UNFAVORABLE OUTCOME	
CRITERION MEASURE I	CRITERION MEASURE II
Arrest for a new criminal offense <i>resulting in a conviction and commitment of 60 days or more.</i>	Arrest for a new criminal offense <i>regardless of disposition.</i>
Return to prison as a parole or mandatory release violator.	Return to prison as a parole or mandatory release violator.
Parole or mandatory release violator absconder warrant outstanding.	Parole or mandatory release violator absconder warrant outstanding.
Death while committing a criminal act.	Death while committing a criminal act.
FAVORABLE OUTCOME	
None of the above.	None of the above.

NOTES: 1. Arrests for certain petty offenses such as drunkenness, gambling traffic infractions, and vagrancy are excluded.  
 2. For Criterion I, an arrest during the followup period which results in a commitment of 60 days or more subsequent to the followup period is counted as unfavorable outcome (i.e., the date of arrest—rather than the date of commitment-controls).

**OTHER OFFENSES**

(1) Conspiracy shall be rated for guideline purposes according to the underlying offense behavior if such behavior was consummated. If the offense is unconsummated, the conspiracy will be rated one step below the consummated offense. A consummated offense includes one in which the offender is prevented from completion only because of the intervention of law enforcement officials.  
 (2) Breaking and entering not specifically listed above shall normally be treated as a low moderate severity offense; however, if the monetary loss amounts to \$2,000 or more, the applicable property offense category shall be used. Similarly, if the monetary loss involved in a burglary or breaking and entering (that is listed) constitutes a more serious property offense than the burglary

or breaking and entering itself, the appropriate property offense category shall be used.  
 (3) Manufacturing of synthetic drugs for sale shall be rated as not less than very high severity.  
 (4) Bribery of a public official (offering/accepting/soliciting) or extortion (use of official position) shall be rated as no less than moderate severity for those instances limited in scope (e.g., single instance and amount of bribe/demand less than \$20,000 in value); and shall be rated as no less than high severity in any other case. In the case of a bribe/demand with a value in excess of \$100,000, the applicable property offense category shall apply. The extent to which the criminal conduct involves a breach of the public trust, therefore causing injury beyond that describable by monetary gain, shall be considered as an aggravating factor.  
 (5) Obstructing justice (no physical threat)/perjury

TABLE II—Percent Favorable Outcome By Salient Factor Score Item  
 Criterion Measure I—2-Year Followup  
 Construction and Validation Samples Combined

Scoring Instructions	PERCENT FAVORABLE OUTCOME* (Number of cases)				X <sup>2</sup> (Significance level)
	Score=3	Score=2	Score=1	Score=0	
<i>Item A</i>					
Prior conviction(s)	87.3%	78.2%	71.9%	64.1%	159.3
If none, score=3	(694)	(618)	(1,068)	(2,264)	(p<.0001)
If one, score=2					
If two or three, score=1					
If four or more, score=0					
<i>Item B</i>					
Prior commitment(s)		84.2%	72.0%	60.3%	227.3
If none, score=2		(1,472)	(1,341)	(1,831)	(p<.0001)
If one or two, score=1					
If three or more, score=0					
<i>Item C</i>					
Age at first commitment		85.0%	71.0%	60.3%	173.8
If 26 or older, score=2		(1,065)	(2,278)	(1,803)	(p<.0001)
If 18-25, score=1					
If 17 or younger, score=0					
<i>Item D</i>					
Commitment offense involved auto theft or check(s) (forgery/larceny)		78.0%	60.7%		161.8
If no, score=1		(2,822)	(1,824)		(p<.0001)
If yes, score=0					
<i>Item E</i>					
Ever had parole revoked, or probation violator this time.		77.0%	59.9%		147.4
If no, score=1		(3,074)	(1,572)		(p<.0001)
If yes, score=0					
<i>Item F</i>					
History of opiate dependence		72.9%	63.5%		29.4
If no, score=1		(3,807)	(839)		(p<.0001)
If yes, score=0					
<i>Item G</i>					
Verified employment or full-time school attendance for a total of at least six months during the last two years in the community.		77.5%	65.0%		88.4
If yes, score=1		(2,299)	(2,347)		(p<.0001)
If no, score=0					

\* The percentage favorable outcome for the entire sample is 71.2% (N=4,646).

(in a criminal proceeding) shall be rated in the category of the underlying offense concerned, except that obstructing justice (threat of physical harm) shall be rated as no less than very high severity.

(6) Misprison of Felony shall be rated as moderate severity if the underlying offense is high severity or above. If the underlying offense is moderate severity or less, it shall be rated as low severity.

(7) Harboring a fugitive shall be rated as moderate severity if the underlying offense is high severity or above. If the underlying offense is moderate severity or less, it shall be rated as low severity.

TABLE III—Percent Favorable Outcome By Salient Factor Score Category Criterion Measure I—2-Year Followup

PERCENT FAVORABLE OUTCOME (Number of Cases)			
Salient Factor Score	Construction Sample	Validation Sample	Combined Sample
Very Good [11-9 points]	90.7% (440)	94.5% (379)	92.4% (819)
11	96.6% (87)	97.4% (77)	97.0% (164)
10	91.8% (194)	96.6% (146)	93.8% (340)
9	86.2% (159)	91.0% (156)	88.6% (315)
Good [8-6 points]	75.9% (669)	81.4% (564)	78.4% (1,233)
8	78.2% (206)	84.8% (158)	81.0% (364)
7	74.9% (235)	83.1% (189)	78.5% (424)
6	75.0% (228)	77.4% (217)	76.2% (445)
Fair [5-4 points]	64.4% (660)	68.5% (565)	66.3% (1,225)
5	68.6% (290)	68.0% (247)	68.3% (537)
4	61.1% (370)	68.9% (318)	64.7% (688)
Poor [3-0 points]	55.0% (728)	58.0% (641)	56.4% (1,369)
3	54.4% (310)	59.7% (283)	58.5% (593)
2	54.2% (273)	60.8% (245)	57.3% (518)
1	51.1% (141)	48.5% (99)	50.0% (240)
0	50.0% (4)	42.9% (14)	44.4% (18)
All Scores Combined	69.4% (2,497)	73.3% (2,149)	71.2% (4,646)
Mean Cost* Rating	0.33	0.37	0.35

\* The mean cost rating was computed using the four score categories.

TABLE IV—Percent Favorable Outcome By Salient Factor Score Category Validation Sample—2-Year Followup

PERCENT FAVORABLE OUTCOME		
Score Category (Number of Cases)	Criterion Measure I	Criterion Measure II
Very Good [11-9 points] (N=379)	94.5%	86.5%
Good [8-6 points] (N=564)	81.4%	66.3%
Fair [5-4 points] (N=565)	68.5%	50.1%
Poor [3-0 points] (N=641)	58.0%	39.6%
Score Categories Combined (N=2,149)	73.3%	57.7%
Mean Cost Rating	0.37	0.37

APPENDIX I  
SALIENT FACTOR SCORE

Register Number \_\_\_\_\_ Name \_\_\_\_\_

Item A \_\_\_\_\_

No prior convictions (adult or juvenile)=3  
One prior conviction=2  
Two or three convictions=1  
Four or more prior convictions=0

Item B \_\_\_\_\_

No prior commitments (adult or juvenile)=2  
One or two prior commitments=1  
Three or more prior commitments=0

Item C \_\_\_\_\_

Age at behavior leading to first commitment (adult or juvenile):  
26 or older=2  
18-25=1  
17 or younger=0

\*Item D \_\_\_\_\_

Commitment offense did not involve auto theft or check(s) (forgery/larceny)=1  
Commitment offense involved auto theft [X], or check(s) [Y], or both [Z]=0

\*Item E \_\_\_\_\_

Never had parole revoked or been committed for a new offense while on parole, and not a probation violator this time=1  
Has had parole revoked or been committed for a new offense while on parole [X], or is a probation violator this time [Y], or both [Z]=0

Item F \_\_\_\_\_

No history of heroin or opiate dependence=1  
Otherwise=0

Item G \_\_\_\_\_

Verified employment (or full-time school attendance) for a total of at least 6 months during the last 2 years in the community=1  
Otherwise=0

TOTAL SCORE \_\_\_\_\_

NOTE: For purposes of the Salient Factor Score, an instance of criminal behavior resulting in a judicial determination of guilt or an admission of guilt before a judicial body shall be treated as if a conviction, even if a conviction is not formally entered.

\*NOTE TO EXAMINERS:  
If Item D and/or E is scored 0, place the appropriate letter (X, Y or Z) on the line to the right of the box.

APPENDIX II—ADULT\* Guidelines for Decision-Making  
Revision effective June 1979

[Guidelines for Decision-Making, Customary Total Time to be Served before Release (including jail time)]

OFFENSE CHARACTERISTICS: Severity of Offense Behavior (Examples)	OFFENDER CHARACTERISTICS: Parole Prognosis (Salient Factor Score)			
	Very Good (11 to 9)	Good (8 to 6)	Fair (5 to 4)	Poor (3 to 0)
<b>Low</b>				
Alcohol or Cigarette Law violations, including tax evasion (amount of tax evaded less than \$2,000)				
Gambling law violations (no managerial or proprietary interest)				
Illicit drugs, simple possession Marijuana/hashish, possession with intent to distribute/sale [very small scale (e.g., less than 10 lbs. of marijuana/less than 1 lb. of hashish/less than .01 liter of hash oil)]	=6 months	6-9 months	9-12 months	12-16 months
Property offenses (theft, income tax evasion, or simple possession of stolen property) less than \$2,000				
<b>LOW MODERATE</b>				
Counterfeit currency or other medium of exchange [(passing/possession) less than \$2,000]				
Drugs (other than specifically categorized), possession with intent to distribute/sale [very small scale (e.g., less than 200 doses)]				
Marihuana/hashish, possession with intent to distribute/sale [small scale (e.g., 10-49 lbs. of marihuana/1-4.9 lbs. of hashish/.01-.04 liters of hash oil)]	=8 months	8-12 months	12-16 months	16-22 months
Cocaine, possession with intent to distribute/sale [very small scale (e.g., less than 1 gram of 100% purity, or equivalent amount)]				
Gambling law violation—managerial or proprietary interest in small scale operation [e.g., Sports books (estimated daily gross less than \$5,000); Horse books (estimated daily gross less than \$1,500); Numbers bankers (estimated daily gross less than \$750)]				
Immigration law violations				
Property offenses (forgery/fraud/theft from mail/embezzlement/interstate transportation of stolen or forged securities/receiving stolen property with intent to resell) less than \$2,000				
<b>MODERATE</b>				
Automobile theft (3 cars or less involved and total value does not exceed \$19,999)				
Counterfeit currency or other medium of exchange [(passing/possession) \$2,000—\$19,999]				
Drugs (other than specifically categorized), possession with intent to distribute/sale [small scale (e.g., 200-999 doses)]				
Marihuana/hashish, possession with intent to distribute/sale [medium scale (e.g., 50-199 lbs. of marihuana/5-19.9 lbs. of hashish/.05-.19 liters of hash oil)]				
Cocaine, possession with intent to distribute/sale [small scale (e.g., 1.0-4.9 grams of 100% purity, or equivalent amount)]	10-14 months	14-18 months	18-24 months	24-32 months
Opiates, possession with intent to distribute/sale [evidence of opiate addiction and very small scale (e.g., less than 1.0 grams of 100% pure heroin, or equivalent amount)]				
Firearms Act, possession/purchase/sale (single weapon: not sawed-off shotgun or machine gun)				
Gambling law violations—managerial or proprietary interest in medium scale operations [e.g., Sports books (estimated daily gross \$5,000-\$15,000); Horse books (estimated daily gross \$1,500-\$4,000); Numbers bankers (estimated daily gross \$750-\$2,000)]				
Property offenses (theft/forgery/fraud/embezzlement/interstate transportation of stolen or forged securities/income tax evasion/receiving stolen property) \$2,000-\$19,999				
Smuggling/transporting of alien(s)				
<b>HIGH</b>				
Carnal knowledge				
Counterfeit currency or other medium of exchange [(passing/possession) \$20,000-\$100,000]				
Counterfeiting [manufacturing (amount of counterfeit currency or other medium of exchange involved not exceeding \$100,000)]				
Drugs (other than specifically listed), possession with intent to distribute/sale [medium scale (e.g., 1,000-19,999 doses)]				

	Very Good (11 to 9)	Good (8 to 6)	Fair (5 to 4)	Poor (3 to 0)
<b>HIGH (continued)</b>				
Marihuana/hashish, possession with intent to distribute/sale [large scale (e.g., 200-1,999 lbs. of marihuana/20-199 lbs. of hashish/.20-1.99 liters of hash oil)]				
Cocaine, possession with intent to distribute/sale [medium scale (e.g., 5-99 grams of 100% purity, or equivalent amount)]				
Opiates, possession with intent to distribute/sale [small scale (e.g., less than 5 grams of 100% pure heroin, or equivalent amount) except as described in moderate]	14-20 months	20-26 months	26-34 months	34-44 months
Firearms Act, possession/purchase/sale (sawed-off shotgun(s), machine gun(s), or multiple weapons)				
Gambling law violations—managerial or proprietary interest in large scale operation (e.g., Sports books (estimated daily gross more than \$15,000); Horse books (estimated daily gross more than \$4,000); Numbers bankers (estimated daily gross more than \$2,000)]				
Involuntary manslaughter (e.g., negligent homicide)				
Mann Act (no force—commercial purposes)				
Property offenses (theft/forgery/fraud/embezzlement/interstate transportation of stolen or forged securities/income tax evasion/receiving stolen property) \$20,000-\$100,000				
Threatening communications (e.g., mail/phone)—not for purposes of extortion and no other overt act				
<b>VERY HIGH</b>				
Robbery (1 or 2 instances)				
Breaking and entering—armory with intent to steal weapons				
Breaking and entering/burglary—residence; or breaking and entering of other premises with hostile confrontation with victim				
Counterfeit currency or other medium of exchange [(passing/possession) —more than \$100,000 but not exceeding \$500,000]				
Drugs (other than specifically listed), possession with intent to distribute/sale [large scale (e.g., 20,000 or more doses) except as described in Greatest I]				
Marihuana/hashish, possession with intent to distribute/sale [very large scale (e.g., 2,000 lbs. or more of marihuana/200 lbs. or more of hashish/2 liters or more of hash oil)]	24-36 months	36-48 months	48-60 months	60-72 months
Cocaine, possession with intent to distribute/sale [large scale (e.g., 100 grams or more of 100% purity, or equivalent amount) except as described in Greatest I]				
Opiates, possession with intent to distribute/sale [medium scale or more (e.g., 5 grams or more of 100% pure heroin, or equivalent amount) except as described in Greatest I]				
Extortion [threat of physical harm (to person or property)]				
Explosives, possession/transportation				
Property offenses (theft/forgery/fraud/embezzlement/interstate transportation of stolen or forged securities/income tax evasion/receiving stolen property) more than \$100,000 but not exceeding \$500,000				
<b>GREATEST I</b>				
Aggravated felony (e.g., robbery: weapon fired or injury of a type normally requiring medical attention)				
Arson or explosive detonation [involving potential risk of physical injury to person(s) (e.g., premises occupied or likely to be occupied) —no serious injury occurred]				
Drugs (other than specifically listed), possession with intent to distribute/sale [managerial or proprietary interest and very large scale (e.g., offense involving more than 200,000 doses)]				
Cocaine, possession with intent to distribute/sale [managerial or proprietary interest and very large scale (e.g., offense involving more than 1 kilogram of 100% purity, or equivalent amount)]	40-52 months	52-64 months	64-78 months	78-100 months
Opiates, possession with intent to distribute/sale [managerial or proprietary interest and very large scale (e.g., offense involving more than 50 grams of 100% pure heroin, or equivalent amount)]				
Kidnaping [other than listed in Greatest II; limited duration; and no harm to victim (e.g., kidnaping the driver of a truck during a hijacking, driving to a secluded location, and releasing victim unharmed)]				
Robbery (3 or 4 instances)				
Sex act—force (e.g., forcible rape or Mann Act (force))				
Voluntary manslaughter (unlawful killing of a human being without malice; sudden quarrel or heat of passion)				

	Very Good (11 to 9)	Good (8 to 6)	Fair (5 to 4)	Poor (3 to 0)
<b>GREATEST II</b>				
Murder	52+	64+	78+	100+
Aggravated felony—serious injury (e.g., robbery; injury involving substantial risk of death, or protracted disability, or disfigurement) or extreme cruelty/brutality toward victim	52+	64+	78+	100+
Aircraft hijacking	Specific upper limits are not provided due to the limited number of cases and the extreme variation possible within category.			
Espionage	Specific upper limits are not provided due to the limited number of cases and the extreme variation possible within category.			
Kidnaping (for ransom or terrorism; as hostage; or harm to victim)	Specific upper limits are not provided due to the limited number of cases and the extreme variation possible within category.			
Treason	Specific upper limits are not provided due to the limited number of cases and the extreme variation possible within category.			

\* There is a separate guideline chart for Youth Nara cases (not shown).

APPENDIX III—Percent Favorable Outcome By Salient Factor Score Item  
Criterion Measure I—2-Year Followup Construction and Validation Samples

Scoring Instructions	Sample	PERCENT FAVORABLE OUTCOME* (Number of Cases)				X <sup>2</sup> (Significance level)
		Score=3	Score=2	Score=1	Score=0	
<i>Item A</i>						
Prior conviction(s)	Construction	86.3%	75.3%	69.4%	62.1%	87.7
If none, score=3	Sample	(387)	(352)	(578)	(1,178)	(p<0.0001)
If one, score=2						
If two or three, score=1	Validation	88.6%	82.0%	74.9%	66.2%	75.5
If four or more, score=0	Sample	(307)	(266)	(490)	(1,086)	(p<0.0001)
<i>Item B</i>						
Prior commitment(s)	Construction		81.5%	70.3%	59.2%	102.4
If none, score=2	Sample		(778)	(727)	(990)	(p<0.0001)
If one or two, score=1						
If three or more, score=0	Validation		87.2%	73.8%	61.6%	127.4
	Sample		(694)	(614)	(841)	(p<0.0001)
<i>Item C</i>						
Age at first commitment	Construction		82.5%	69.8%	57.9%	90.4
If 26 or older, score=2	Sample		(577)	(1,217)	(703)	(p<0.0001)
If 18-25, score=1						
If 17 or younger, score=0	Validation		87.9%	72.4%	63.2%	85.2
	Sample		(488)	(1,061)	(600)	(p<0.0001)
<i>Item D</i>						
Commitment offense involved	Construction			76.2%	59.8%	76.6
auto theft or check(s)	Sample			(1,454)	(1,043)	(p<0.0001)
(forgery/larceny)						
If no, score=1	Validation			79.9%	61.8%	82.9
If yes, score=0	Sample			(1,368)	(781)	(p<0.0001)
<i>Item E</i>						
Ever had parole revoked, or	Construction			74.9%	58.9%	67.9
probation violator this time.	Sample			(1,636)	(861)	(p<0.0001)
If no, score=1						
If yes, score=0	Validation			79.4%	61.2%	80.3
	Sample			(1,438)	(711)	(p<0.0001)
<i>Item F</i>						
History of opiate	Construction			71.4%	59.3%	24.1
dependence	Sample			(2,077)	(420)	(p<0.0001)
If no, score=1						
If yes, score=0	Validation			74.7%	67.8%	8.2
	Sample			(1,730)	(419)	(p<0.005)
<i>Item G</i>						
Verified employment or	Construction			75.1%	63.4%	39.9
full-time school attendance	Sample			(1,272)	(1,225)	(p<0.0001)
for a total of at least six	Validation					
months during the last six	Sample			80.5%	66.8%	52.0
years in the community.				(1,027)	(1,122)	(p<0.0001)
If yes, score=1						
If no, score=0						

\*The percentage favorable outcome is 69.4% (N=2,496) for the construction sample, and 73.3% (N=2,149) for the validation sample.

# END