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ILLINOIS DEPARTMENT OF CORRECTIONS

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ADULT INSTITUTION CLASSIFICATION

Part I - Design
Part II - Validation

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BUREAU OF POLICY DEVELOPMENT

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Adult Institution Classification: Design and Validation Report

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I. INTRODUCTION

A. Nature of the Illinois Adult Institution Population

Many states are beginning to document changes in the nature of their prison population. Not only are numbers of inmates continuing to increase, but sentence lengths seem to be increasing as well. Little real documentation of the changing nature of violence within the institution is available, but there is the belief among many correctional practitioners that the offenders being admitted have committed more serious offenses and are, in fact, more dangerous than in the past. The implications for offender management and potential impact on the prison environment are unknown.

Illinois' prison population is changing. This has been documented through national studies and through the planning, research, and statistical reports of the Department's Bureau of Policy Development. The Abt Report, _American Prisons and Jails, Volume II - Population Trends and Projections_ (1981:38) showed Illinois second (70%) only to Massachusetts (80%) in offenders sentenced to its prisons for violent offenses. (See Figure 1)

Illinois was also one of the first four states in the United States to adopt determinate sentencing. Each year, the Bureau of Policy Development prepares a _Statistical Presentation_, which compares sentences imposed and sentence lengths for indeterminate and determinate sentences. The third annual report, _Statistical Presentation 1981_, shows the changes now occurring in sentence imposed and time served. (See Table 1)

As noted in the Director's letter which accompanied this year's report to the state's judges:

> "Of greater concern to this Department is our ability to anticipate future impacts of determinate sentencing. The Legislature can, and as current proposed Illinois legislation suggests, and as the California experience indicates, the Legislature will increase sentence lengths. Without benefit of any releasing mechanisms, already serious prison crowding conditions will worsen.
>
> Further increases in prison population beyond those currently projected for Illinois must be anticipated, to the extent that legislation is enacted which increases the terms for various offenses, changes the rate at which good time may be earned, or attempts to reduce judicial discretion by probation disqualifiers."

Each year since the implementation of determinate sentencing in Illinois, the average length of stay has been increasing. It is anticipated that this trend will continue, in large part, because of these factors:

1. Increase in Convictions Sentenced to Prison

Reported crime in Illinois increased 38 percent state-wide between 1972-1980 and arrests increased 35 percent, felony dispositions increased 240 percent (Cook 385 percent, downstate 174 percent), convictions increased 301 percent (Cook 528 percent, downstate 164 percent) and

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imprisonments increased 180 percent (Cook 217 percent, downstate 126 percent).

2. Increases in Prison/Center Population

Increases in felony dispositions and convictions with imprisonment have had a tremendous impact on Illinois' prison population. Since 1973, admissions have increased by 141 percent, and since 1974, adult prison/center population increased 129 percent.

Increases in adult prison/center population continues to be the most pressing problem for the Department. To date in FY82, the cumulative total admissions is running 12 percent ahead of FY81 and misdemeanant is up 22 percent, with the heavy intake summer months still ahead. Figure 2 shows Total Intake by Month and Figure 3 shows Cumulative Total Intake for FY81 and FY82. Prison/center population is estimated to exceed 17,438 by 1985.

3. Increase in M and Class X Sentences in the Prison Population

During 1981, by class of crime, murder was 5 percent of admissions, a 4 percent increase over 1980; and Class X was 20 percent of admission, a 23 percent increase over 1980. When prison population is examined, murders are 15 percent of current population and Class X is 35 percent. The average sentence now imposed for murder is 27.5 years and Class X is 10-14 years, depending on the type of offense. Under indeterminate sentencing, minimum prison time for murder average 7 to 9 years; now, it will average 14 years.

4. Increase in the Length of Stay of Prison/Center Population

The magnitude of impact of this shift in the composition of prison population to 50 percent M and Class X becomes significant when length of stay and time served are examined.

The trend of increasing prison admissions began in 1972, several years prior to the inception of determinate sentencing. The impact of determinate sentencing (and a major intent of the legislation) was longer sentence length to inmates committing serious offenses. These inmates are, in fact, now beginning to stay longer, thereby further increasing the total size of the prison population.

A recent analysis showed that of those Class X offenders currently sentenced to the Department of Corrections, 50 percent have served less than two years of their sentences. For murders, 41 percent have served less than three years of their sentences. Table 1 compares indeterminate and determinate sentence length imposed. Because of the longer stays for murder and Class X, the composition of the long term inmate (minimum of 6 years) in IDOC's prison population is expected to increase for several more years.

B. Why Classification Is Becoming More Important in Handling Offenders

With the "get tough" public policy shift seen in determinate sentencing

and sentencing guidelines, and with the erosion of confidence in rehabilitation and treatments, "nothing works" emphasis has shifted to punishment and incapacitation. Goals such as the reduction of disparity with punishment certainty and long term punishment for serious and chronic/habitual offenders now predominate.

Today, subsystem goals compete and are in conflict with each other--and frequently are inconsistent with the broader criminal justice system goal(s). For example, the goal of longer prison stays legislatively mandated in current criminal sentencing codes is in conflict with institutional crowding and the need to get people back out to reduce prison population. Correctional administrators try "early release" of offenders to reduce population pressures, thereby reducing length of stay. Yet, both legislators and administrators often act without benefit of, nor do they set in motion, the forces to eventually generate the type of information which better defines and supports more effective decision-making about whom to incarcerate for long periods and/or whom to release early.

An administrator's own ability to make these decisions and to provide answers to these questions, especially as feedback to the courts and legislature, allows greater influence on shaping policy regarding sentencing legislation, sentencing guidelines, release criteria and supervision guidelines. Within that context, there are some very specific information priorities:

1. Predictive criteria for assessment of high risk of violence and criminal misconduct in the community that guide prison sentencing decisions.

2. Prison classification systems that provide better aggregate sorting of offenders by risk and by available agency resources.

3. Predictive indicators of risk of violence (and high recidivism) that may be used by correctional administrators and parole boards (and the courts) in deciding whom to "early release" because of institutional crowding problems.

4. Improved violence prediction indicators for institution classification/offender management and control.

5. Analytic methods, adaptive to the "real world" (given current criminal justice data constraints/limited resources), yet capable of predictiveness and utility to correctional decision-makers.

6. Greater clarity and consensus of the purpose/and of the goals and objectives of prison classification that guide further classification design and model development efforts.

This kind of information requires better classification systems. Particularly, it requires outcome based information.

Corrections lacks both theory and information by which to properly classify. This leads to overclassifying on risk and crowding of expensive maximum security facilities.

Commitment to developing effective and prescriptive classification systems is to the advantage of correctional agencies. Yet, this approach is both difficult and complex. Prescriptive classification systems must be developed initially and on-going against a data base containing real outcome experience and clinical and actuarial information on the inmate(s) and the institution(s). The system must meet the stringent tests of predictive validation. Without this demand, and the 2 to 3 years required to build such information systems, the recognition of the importance of outcome slips easily from view, i.e., efficiency and work load thinking predominates over effectiveness.

C. Designing the Illinois Adult Institution Classification System

The Illinois Department of Corrections, as part of the design effort in developing its classification system, reviewed most of the available literature on classification in the field. The most pertinent literature is included in the next two sections on theoretical models and concepts. Note also the reference section.

Various other states and the Federal Bureau of Prisons provided detailed documentation on their classification systems. We are particularly indebted to the generous cooperation and information sharing of New York, California, Michigan, Florida, Iowa, the Federal Bureau of Prisons and the National Institute of Corrections. Many of these states' (including Illinois') classification systems are documented in a forthcoming publication by the American Correctional Association. (Editor): Classification As A Management Tool: Theories and Models For Decision-Makers, Summer, 1982.

Legal decisions and consent decrees on classification were also reviewed. The American Civil Liberties Union, National Prison Project (Washington, D.C.) provided us copies of various legal decisions. The most important of the recent opinions is Ramos vs. Lamm (U.S. District Court, Colorado, Civil Action No. 77-K-1093).

The memorandum opinion and order from Ramos vs. Lamm provide some very useful guidance for correctional administrators on the direction and actions of the court (1979: 55-58):

> "While there is no constitutional right to classification as such, a valid classification system provides a reasonable method by which prison officials can protect and afford to inmates other constitutional rights such as safety and medical care. As the District Court said in Palmigiano v. Garrahy, 443 F. Supp. at 965 (footnote omitted):
>
>> Classification is essential to the operation of an orderly and safe prison. It is a prerequisite for the rational allocation of whatever program opportunities exist within the institution. It enables the institution to gauge the proper custody level of an inmate, to identify the inmate's educational vocational and psychological needs, and to separate non-violent inmates from more predatory. These goals are recognized by state law, which provides that classification shall serve a rehabilitative

function. Classification is also indispensible for any coherent future planning.

Accord, Doe v. Lally, 467 F. Supp. 1339, 1353 (D.Md. 1979); Pugh v. Locke, 406 F. Supp. at 324. When a classification system is established; however, its decisions 'cannot be arbitrary, irrational or discriminatory,' Laaman v. Helgemoe, 437 F. Supp. at 318, since inmates are not deprived of all protection of due process and equal protection. See Wolff v. McDonnell, 418 U.S. 539, 555-56 (1974); Lee v. Washington, 390 U.S. 333 (1968) (per curiam); and Pugh v Locke, 406 F. Supp. at 330.[32]

The due process clause of the fourteenth amendment does not itself create a protected interest in the initial assignment of offenders to a particular place of confinement. Such an interest, if it exists, is created by state law. See Meachum v. Fano, 427 U.S. 215, 224-27 (1976); Montanye v. Haymes, 427 U.S. 236, 242-43 (1976). Colorado has enacted a diagnostic and classification program at C.R.S., §17-40-102 (1978). In doing so, the general assembly said:

> The primary function and purpose of the program shall be to provide a diagnostic examination and evaluation of all offenders sentenced by the courts of this state, so that each such offender may be assigned to a correctional institution which has the type of security and, to the extent possible, appropriate programs of education, employment, and treatment available, which are designed to accomplish maximum rehabilitation of such offender and to prepare an offender for placement into as productive an employment as possible following imprisonment.

Id. at 17-40-102(2). All offenders are to be processed through the diagnostic services which have been centralized at the Canon Correctional Facility in order to identify their treatment and employment needs.

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32 cf. Gregg v. Georgia, 428 U.S. 153, 188-89 (1976); Furman v. Georgia, 408 U.S. 238, 242-57, 274-77, 309-10, 312-13, 363-66 (1972) (concurring opinions of Douglas, Brennan, Stewart, White and Marshall, JJ., respectively) (infliction of severe punishment unconstitutional where arbitrary, capricious or discriminatory).

A recommendation is then made as to their place of confinement. See C.R.S. 1973 §§16-11-308 and 17-40-103 (1978). I have held in a somewhat related case that Colorado law and regulation create a protected liberty interest in classification decisions. See Marioneaux v. Colorado State Penitentiary, 456 F. Supp. 1245, 1248 (D. Colo. 1979). Accord, Gurule v. Wilson, Consolidated Civil Action No. 74-A-926 (D. Colo. April 3, 1978).

Cf. Palmigiano v. Garrahy, 443 F. Supp. at 980-82; Anderson v. Redman, 429 F. Supp. 1105, 1121-22 (D. Del. 1977). It is well established that 'due process is flexible and calls for such pro-

cedural protections as the particular situation demands.' Morrissey v. Brewer, 408 U.S. 471, 481 (1972). In according deference to prison officials and accommodating 'institutional needs and objectives and the provisions of the Constitution,' Wolff v. McDonnell, 418 U.S. at 556, due process does not require a hearing at the initial classification stage. See Laaman v. Helgemoe, 437 F. Supp. at 319. Interviews with an inmate must be part of the process, and the statutes require that a requesting inmate generally be shown a copy of the recommendation and receive an explanation. See C.R.S., §§16-11-308(4) and 17-40-103(2) (1978).[33] Due process and equal protection do require that a classification system bear some rational relationship to the object being sought. Defendants have said that a classification system that separates prisoners by 'age, offense, physical aggressiveness or other criteria' is constitutionally valid, citing Goldsby v. Carnes, 365 F. Supp. 395, 402 (W.D.Mo. 1973), modified by consent, 429 F. Supp. 370 (W.D.Mo. 1977). As a general proposition, I agree. There are a number of ways that inmates might be classified in a manner that comports with due process and equal protection. But the evidence in this case raises substantial doubt about the validity of the classification system which defendants have adopted. No acceptable validation study has been performed, and Dr. Eber admits that the predictions are so poor that they should only be used in making initial decisions and then only when no other significant information is available. After that, says Dr. Eber, classification decisions should be based on an inmate's actual behavior.[34]

The basic failure of the diagnostic and case management program at Old Max is that the information is almost meaningless in making facility assignments and in affording inmates the various program opportunities which the diagnostic survey has recommended. The evidence shows that overclassification is the rule, not the exception, and that large numbers of inmates are housed at Old Max even though they have been classified for lesser security

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[33] Due process requires more where disciplinary proceedings are involved, Wolff v. McDonnell, 418 U.S. 539 (1974), or where inmates are regressively classified. Marioneaux v. Colorado State Penitentiary, 465 F. Supp. 1245, 1248 (D. Colo. 1979).

[34] I do not hold that an offender has a protected interest in any particular classification decision. Once a classification procedure is validated in an acceptable manner, individual decisions will not be subject to review except on a showing of abuse or bad faith in its application.

facilities.[35] In fact, actual departmental regulations make the diagnostic recommendation totally irrelevant where, for instance, an inmate has more than six years remaining before parole eligibility.[36] In such cases, the inmate is automatically confined at Old Max. Finally, no matter what rehabilitation or vocational program is recommended, the evidence shows that the diagnostic procedure is mostly in vain, since programs are not in fact available. Though capable of redemption, the classification system is presently unconstitutional."

As part of the Order, the judge set forth several principles including "The Principle of Coherence" (e):

"This principle means that any system of classification, placement and assignment must be clearly understandable, consistently applied and conceptually complete. Methods of validation must be implemented and means of redress for irregularity must be provided." (1979:74)

The NIC principles and the ACA Standards on Classification were also considered in the design process. Table 2 summarizes these principles and the ACA Reception and Classification Standards (Revised), showing their current status in the implementation of the Illinois Adult Institution Classification System. To support its design effort, the Illinois Department also wrote and received grant support from NIC and ILEC/LEAA. This made possible technical consulting support and extensive data collection which aided the initial classification design process. These efforts are detailed in Part II of this report.)

D. Stated Purpose and Goals of the Illinois Classification System

As a first step in the development of a classification system, the purpose of the classification system and its goals and objectives must be clearly delineated.

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[35] Both situations - overclassification and "over-assignment" - are evidenced by the planned capacity at the new maximum security facility of approximately 340 as compared to the present Old Max population of 850 inmates.

[36] Defendants have said that a "variance" from this regulation is possible, but the evidence shows that only a relative handful have been granted.

In Illinois, the purpose of classification included to:

o   Support the goals of the agency of both public safety and humane treatment.

o   Provide information for population management and planning.

o   Provide appropriate distribution of correctional resources against needs, both inmate and agency.

o   Assign proper security and custody supervision/movement levels.

o   Identify required programs and services for programming and budgeting purposes.

Most Departments have high aspirations for a systematic, yet individualized, approach to classification. Conceptualization is generally global rather than comprised of a sequence of logical decision steps leading to a "rational" process. Purpose statements are frequently neither situation-specific nor within the context of available agency resources. Strategies by which they may be accomplished are not clearly prescribed. Further, the operational, program, and administrative needs of the agency are generally not separated from individual inmate needs. In the Illinois design, we have attempted to address both sets of needs in some rational perspective.

A set of goals and objectives for classification in Illinois were established. The four major goals were:

1.   Develop a department-wide system for classification decision-making for adult offenders.

o   Develop an empirically-based classification system.

o   Develop a classification system which is consistent with the twelve (12) Model Principles of NIC and the ACA Standards.

2.   Place inmates in the lowest level security classification while protecting the public safety.

o   Place inmates of like security classifications in similar security level institutions or levels of community supervision.

o   Insure a safe and secure institutional environment through a greater monitoring of maximum security inmates.

o   Provide greatest restraint and supervision of highly violent, high risk, and high recidivists while under community supervision.

o   Provide periodic systematic review of inmates' security classification.

3.   Impact institutional programming through a more effective allocation of resources.

o   Establish procedures for the identification of "special needs."

o   Based on assessment of individual needs, design programs, and services to meet priority needs.

4.   Improve the management and service delivery of the Department through the use of classification designation.

o   Monitor the success/failure of classification designation.

o   Monitor classification designation by classifying unit and classifying counselor.

o   Monitor service delivery for "special needs" group.

o   Monitor identification and handling of dangerous inmates.

o   Monitor inmates initiated action, grievances or litigation, objecting to classification decisions.

Figure 4 shows the relationship between the Human Services Planning Process required by State Statute and Offender Information/Classification Analysis which serves to inform the Planning and Policy Development processes of IDOC.

FIGURE 1   Percentage of Inmates Serving Sentences for Violent Crimes in
Federal and State Adult Correctional Facilities by Region
March 31, 1978

Not :   About 47 percent of all state prisoners incarcerated in 1978 were convicted on violent crimes. Illinois
was _second_ in the nation, with 70% of its state prisoners convicted of violent crimes. In only 15 states
does the number of violent offenders rise above half the inmate count.

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FIGURE 2

ADULT INSTITUTIONS: FY 82 VS FY 81 <BY MONTH>
TOTAL INTAKE

FISCAL YEAR 1982   FISCAL YEAR 1981
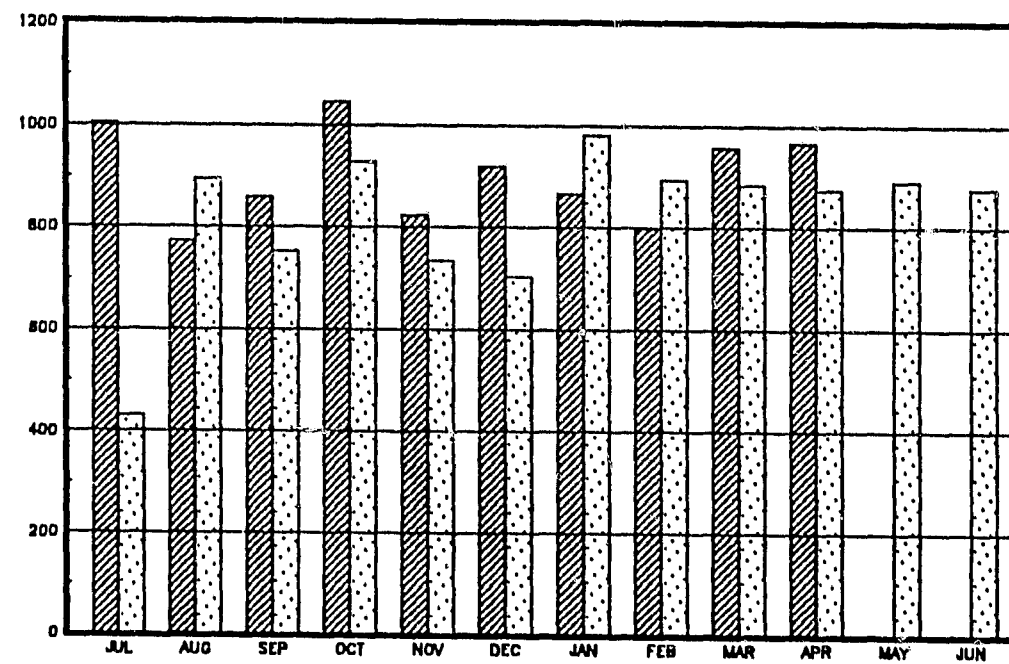
(TOTAL INTAKE INCLUDES: INTAKE FROM COURT, COMM CTRS. & COMM SUPERVISION)
SOURCE: MONTHLY POPULATION SUMMARY   PREPARED BY: P L A N N I N G   05/82

FIGURE 3

ADULT INSTITUTIONS: FY 82 VS FY 81 (BY MONTH)

CUMULATIVE TOTAL INTAKE

FISCAL YEAR 1982   FISCAL YEAR 1981
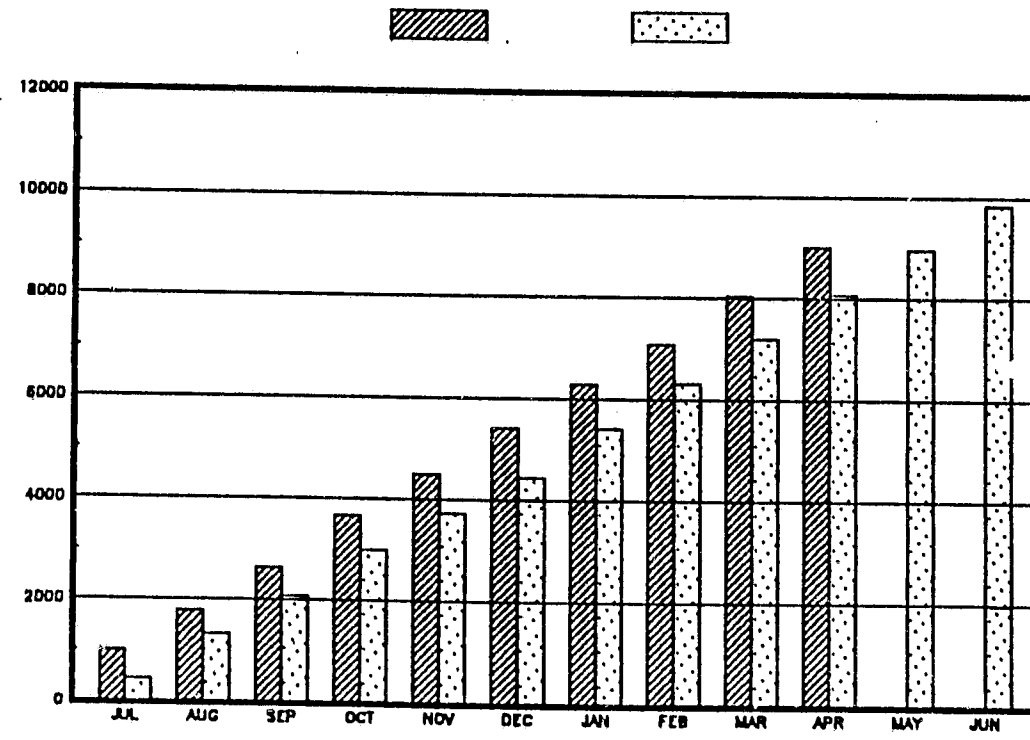
(TOTAL INTAKE INCLUDES: INTAKE FROM COURT, COMM CTRS, & COMM SUPERVISION)

SOURCE: MONTHLY POPULATION SUMMARY   PREPARED BY: P L A N N I N G   05/82

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FIGURE 4

IDOC PLANNING PROCESS - FY83

IDOC/HSP PERFORMANCE REPORTS
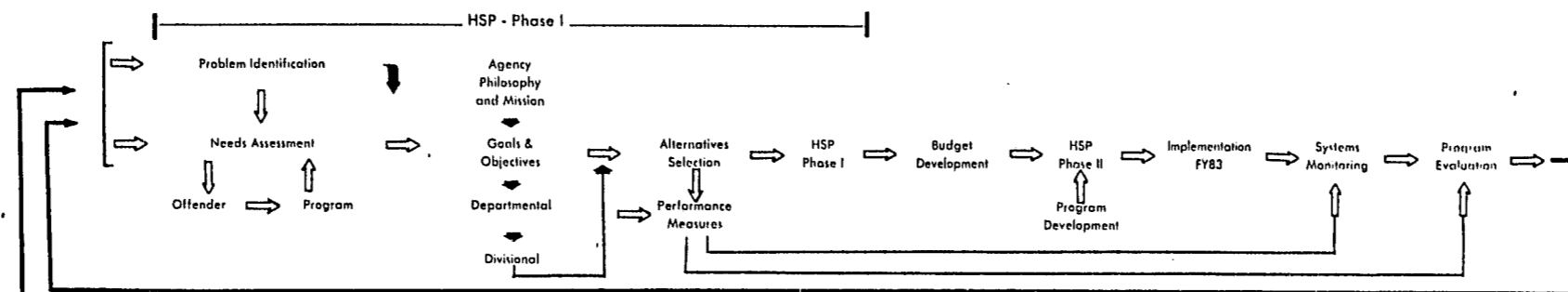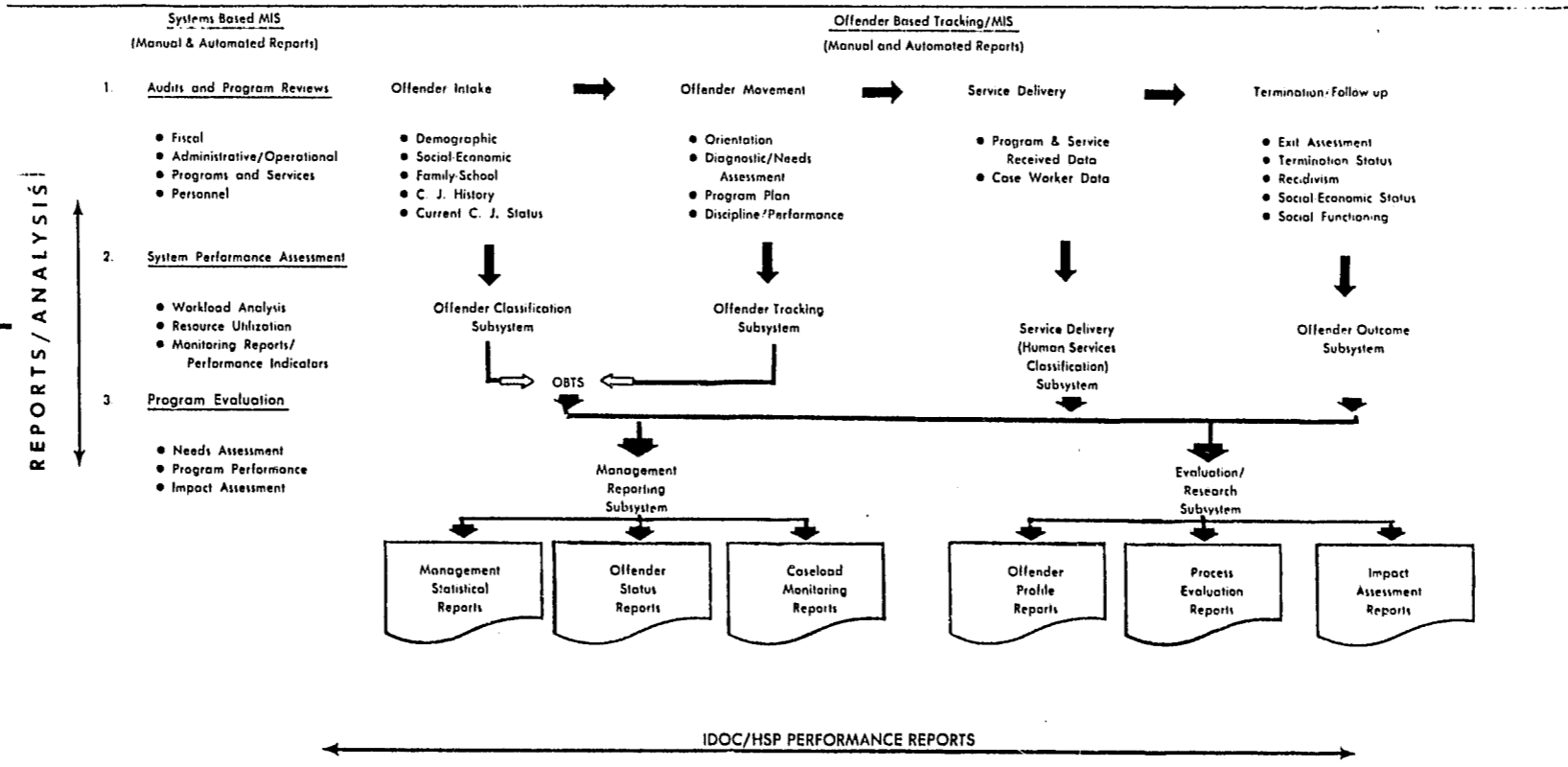
TABLE 1

ILLINOIS SENTENCING PRACTICES COMPARISON
INDETERMINATE/DETERMINATE
(ALL SENTENCES REPORTED IN YEARS)

OFFENSE/CLASS	INDETERMINATE SENTENCE (1977-1978)	AVERAGE MINIMUM	AVERAGE MAXIMUM	SHORTEST MINIMUM	LONGEST MAXIMUM	DETERMINATE SENTENCE (1981)	AVERAGE SENTENCE	SHORTEST	LONGEST
Murder (M)	Death or imprisonment: Minimum: 14 years Maximum: No Limit	39.2	81.7	14.0	1,000.0	Death or imprisonment: Minimum: 20 years Maximum: 40 years	27.5	20.0	40.0
Rape (X)		9.9	20.7	1.0	600.0		12.0	6.0	30.0
Attempted Murder (X)	No Sanction	9.8	20.8	1.0	100.0	Imprisonment: Minimum: 6 years	14.3	6.0	30.0
Armed Robbery (X)		6.0	11.6	1.0	200.0	Maximum: 30 years	10.2	6.0	30.0
Other Class X		7.7	16.2	1.0	200.0		12.4	6.0	30.0
Class 1	Imprisonment: Minimum: 4 years Maximum: No Limit	7.4	14.8	1.0	200.0	Imprisonment: Minimum: 4 years Maximum: 15 years	7.5	4.0	15.0
Voluntary Manslaughter (2)		3.3	11.7	1.0	20.0		5.2	3.0	7.0
Robbery (2)	Imprisonment: Minimum: 1 year Maximum: 20 years	1.8	5.2	1.0	25.0	Imprisonment: Minimum: 3 years	4.0	3.0	7.0
Burglary (2)		1.6	4.9	1.0	50.0	Maximum: 7 years	3.9	3.0	7.0
Other Class 2		1.8	5.4	1.0	20.0		3.9	3.0	7.0
Aggravated Battery (3)		2.6	7.3	1.0	600.0		3.3	2.0	5.0
Theft (3)	Imprisonment: Minimum: 1 year Maximum: 10 years	1.4	3.9	1.0	20.0	Imprisonment: Minimum: 2 years Maximum: 5 years	2.7	2.0	5.0
Forgery (3)		1.5	4.8	1.0	10.0		2.9	2.0	5.0
Unlawful Use of Weapons (3)		1.6	4.0	1.0	18.0		2.8	2.0	5.0
Other Class 3		2.2	6.0	1.0	150.0		2.6	2.0	5.0
Class 4	Imprisonment: Minimum: 1 year Maximum: 3 years	1.4	3.3	1.0	24.0	Imprisonment: Minimum: 1 year Maximum: 3 years	2.1	1.0	3.0
Misdemeanors	Imprisonment: Class A: Up to 1 year Class B: Up to 6 months Class C: Up to 30 days	.69		.08	1.0	Imprisonment Class A: Up to 1 year Class B: Up to 6 months Class C: Up to 30 days	.72	.05	1.0

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Table 2   REQUIREMENTS OF THE CLASSIFICATION SYSTEM AND THEIR
CURRENT STATUS

Requirements NIC Principles (ACA Standard)	Status
1. Goals and Objectives For Corrections and Classification (ACA 4399)	Completed (See Chapter 1 of this report).
2. Detailed, written manual of Classification Policy and and Procedures. (ACA 4400, 4401, 4403, 4408, 4410)	Completed Users Manuals of Procedures for initial security assessment for males and females completed. See also Users Guide. Administrative Directives Revised.
3-4. Planning and Validation of Classification Instruments. (objective and reliable; high quality standardized data)	Completed. Modification to CIMIS for standardized and improved quality of data. See Part II of this Report, and Users Guide.
5. Clear guidelines on discretion of staff making classification decisions.	Completed. See Users Manual and Users Guide.
6. Provision for reclassification on risk and reassessment of need. (ACA 4404, 4405)	Reclassification on risk completed for females. For males reanalysis and evaluation of "reclass" instrument is underway Reassessment of special need will be done by clinical staff.
7. Case management provisions for case monitoring, match offenders with programs.	Written into case management standards for Clinical and Program Services. Certain requirements are now automated as part of the CIMIS redesign/classification special file.
8. Use of least restrictive security level necessary for protection of public and operational security.	As a design criterion of the classification system, more bed space had been reclassified to medium security from maximum. Bedspace is a constraint. Tracking for proper placement is made by the Transfer Coordinator. At reclass, effort is also made to move the individual to a proper security level institution.

9-10. Offender has involvement
in classification process
(ACA 4406, 4407)

This ACA standard is currently being procedurally addressed by each R & C Center. Through interaction with the counselor at reception, and within the first 180 days to 1 year, everyone is eligible to request a reclassification.

11-12. Provision to continually
evaluate and improve the
effectiveness classifica-
tion process.

Monitoring of the classification system is conducted through the Transfer Coordinator's Office, the Assistant Director of the Adult Division with the Program Wardens and the Wardens' monthly report. The staff of Research and Evaluation, along with Information Services routinely monitor the classification instruments' performance and produce special reports to the Executive Staff on the classification system.

II.   THEORETICAL MODELS FOR OFFENDER CLASSIFICAION

A.   State of the Art in Correctional Classification

During the past fifty years, enormous amounts of time, money and effort have been channeled into constructing typologies for the classification of offenders. These typologies fall into three basic types: for criminology research, for offender treatment, and for criminal justice system use in offender processing.

The proliferation of classificatory methods within the field of research criminology is awesome, ranging from sociological systems (e.g., Schrag, 1969; Sykes, 1958; Garabedian, 1964) through psychiatric/social interaction systems (e.g., Jenkins and Hewitt, 1944; Shafer, 1969; Ferdinand, 1966; Warren, 1966; Jesness, 1974) to behavioral and physiological structures (e.g., Kulik, Stein, and Sarbin, 1968, Hartigan and Gibbons, 1969; McCaghy et al, 1976). Some research taxonomies have focused on particular crimes such as homicide (e.g., Megargee, 1966; Blackburn, 1971), runaway youth (Brennan, 1980), theft, violence and drug abuse (Sanders, 1972).

Brennan states that descriptive taxonomies have either been ignored or have not been well done (Opp, 1973; Kornfeld, 1975; Hodd and Sparks, 1970; Gibbons, 1975), and that all-inclusive explanatory taxonomies (e.g., Ferdinand, 1966) suffer from oversimplification.

Classification systems concerning the treatment of offenders also exist in large numbers (Bottoms, 1973; Gibbons, 1975; Kornfeld, 1975; Quay, 1975), but have failed to be utilized by criminal justice institutions despite their being desperately needed (Glaser, 1974; Warren, 1971). This is largely due to differential meanings for the word "treatment" and to controversy surrounding the relation of offender categories to differential treatment methods. (Kornfeld, 1975; Hood and Sparks, 1970.)

The criminal justice system, per se, has its own method of classification used for decision-making at various points in processing offenders. These methods are frequently aimed at management processes for the institution. Brennan claims "most traditional classification systems are based on custodial issues, escape risks, violence classifications, work assignments, segregation for preventing contamination of one type of offender by another, availability of facilities, etc." (Brennan, 1980; 40.) There are purely predictive classifications, such as Mountbatten's (1966) classification for prison security, and there are systems for classifying recidivism (e.g., Kornfeld, 1975; Hood and Sparks, 1970). Others exist for categorizing sentencing and adjudication procedures.

All these classification typologies have failed to provide useful means for identifying, grouping, and treating criminals, because there is no solid, reliable, and verifiable theoretical framework surrounding these typologies. Each of the three types and each of the styles of categorization within the three types has been criticized and/or invalidated through the years. As Brennan writes:

- California 1-level systems: "All of this literature exemplifies the on-going controversy which exists concerning the validity and reliability of this taxonomy system." (Brennan 1980:33)

- Behavioral, physiological systems: "Once again there is controversy over the usefulness of these approaches." (Brennan, 1980:33)

- Descriptive taxonomies: "Most investigators continue to blur and undermine the epidemiological purpose by creating typologies which inextricably mingle descriptive, prescriptive, and theoretical elements; they do not see that one necessarily precedes the others." (Brennan, 1980:35) "Careful and systematic descriptive research is a prerequisite to good explanatory and theoretical work." (Brennan, 1980:55)

- Explanatory classification systems: "Most explanatory typology research has been methodologically and conceptually weak." (Brennan, 1980:37)

- Evaluating research to create good treatment classifications: "Correctional evaluation...should attempt to explain why particular types of programs should have any impact on particular types of clients." (Glaser, 1977:37) "The heterogeneous mix encountered in particular treatment settings is entirely inappropriate for the development of unambiguous relevant treatment propositions." (Brennan, 1980:38) "The inconclusiveness and related methodological confusions could be among the reasons why many prisons have felt that classification makes little difference in treatment decisions and has indeed limited their possibilities for rehabilitation." (Kornfeld, 1975:40)

- Classification systems of all types: (citing McKinney, 1970) "...types and typologies are ubiquitous...everybody uses them, but almost no one pays any attention to the nature of their construction." "Classification systems are employed pervasively...yet, appropriateness of their methodology remains generally suspect." (Brennan, 1980:61) A commentary by Hans Toch (1981) presents the dimmer viewpoint with respect to the current state of prison classification: "Prisons today are mostly in crisis, in the sense that they are over-populated and understaffed. With some exceptions, prison systems assign inmates on the basis of space available, or squeezable into. As inmates arrive, they are placed into slightly warm beds that have just been vacated; the richness of data in their folders--including MMPI profiles, vocational aptitude scores and clinical assessments--becomes understandably inconsequential. I exclude criminal history from this recitation, because this variable mostly bears on security or custody grading. Such sorting always remains a priority, because it is seen as a survival issue by prison staff. But security/custody classification is system-oriented rather than person oriented, and carries few psychological implications. A state with 75% maximum security spaces will tend to classify

75% of its intake population as maximum security, to reduce its risk to a minimum. The classification problem is to reliably sort offenders with the most impressive offense records to reach the system's threshold level. Reforms consist of changing this threshold level, which presupposes a prior change in the ratio of available space at various security levels. The process is homeostatic, and the classifier is usually a cog in the hemostat, and no more. (Toch, 1981:4)

B. Lack of Theoretical Framework For Institution Classification

1. Behavioral Assessment in Classification

Faced with this bleak picture of classification schemes presented in the literature, where might one begin to build a truly useful system for current needs? Much is known and/or theorized about violent offenders. Alexander (1981:13) has stated that "the phenomenon of the 'dangerous' man is central to the work of classification analysts." Surprisingly few behavior classifications exist in criminology (Brennan, 1980:33), and there is concern as to whether this approach has sufficient validity to warrant serious attention (Clements, 1980:18):

"In recent times, correctional managers have been especially drawn to classification devices or techniques that purport to predict escape proneness and violence potential. As has been stressed elsewhere (Clements, 1980b), our ability to predict such low base-rate behaviors, especially from personality profiles, is meager to say the least. This criticism is not new (see Megargee, 1970, 1976; Monahan, 1976). Our hit-rate for such predictions hovers around chance. The pressure in corrections pushes us toward overprediction. In using psychological tests, we seem all too willing to accept the thinnest of evidence in making assertions about who is a risk.

Much of the invalidity of our so-called predictors derives from the singular focus on intra-individual variables to the exclusion of environmental factors. The network of factors that determines a person's eventual "adjustment" in a particular prison setting or program is certainly far broader than what is revealed by a demographic or personality profile. If behavior is a composite function of the unique individuals, the environmental setting, and the interaction between the two (see Endler and Magnusson, 1976), it is little wonder that person-centered predictions which ignore the other elements of the equation are so frequently inaccurate." (Clements, 1980:23)

The National Institute of Corrections Survey of States reported in their Model Classification Report (Brad Fisher, et.al., 1981:20) this picture of the current situation in prison violence assessment:

"None of the respondents denied that prisoners' potential danger to themselves or others was an important factor in classification decisions. Eighty-four percent (N=21) of the states responding to this section of the survey reported that they employed a procedure, formal or informal, for assessing dangerousness. How-

ever, the procedures employed tended to be vaguely defined. Only 10 percent (N=2) of the reporting states described a formal method of predicting dangerousness. Nineteen percent (N=4) of the states reported a formal method which included subjective components (similar to the quasi-objective classification procedures described earlier). The majority (71 percent; N-15) of the states used informal and subjective means for predicting dangerousness. No information was available regarding the relative success of the methods mentioned." Author's comment: "Although prisoners' danger potential was considered important and was said to be assessed, few officials could tell how the assessment was accomplished. Their responses may be examined by the fact, discussed elsewhere in the report, that no consistently valid procedure for assessing dangerousness exists. The recurring conclusion of this report applies here: more research is necessary in order to correct the problem."

2. Concepts of Instability and Violence

Since the early 1960's, many "clinical" classification systems have been proposed, primarily for juvenile offenders (Megargee and Bohn, 1979; Gaensbauer and Lazerwitz, 1979). However, application of predictor variables identified by nine major studies and by clinical recommendations to the court to records of juveniles has revealed no significant relationship to subsequent dangerous behavior (Schlesinger, 1978). No independent sample validation was conducted in studies by Bender (1959), Cowden (1966), Hellman and Blackman (1966), Glueck and Glueck (1967), Guze, Goodwin, and Crane (1970), von Hirsch (1972), Wenk and Emrich (1972), Justice, Justice, and Kraft (1974), and Sendi and Blomgren (1975). The limitations of clinical predictions of dangerousness have also been explored by Kozol, Boucher, and Garofalo (1972), by Cocozza and Steadman (1974, 1976), and most recently by Monahan (1977, 1981). Monahan (1981) provides a particularly cogent summary of why clinical classification of offenders (particularly of those offenders who behave violently) is either not predictive, over-predictive, or minimally and sporadically predictive:

"In the process of predicting violent behavior, clinicians appear prone to several types of systematic error, including vagueness as to what is being predicted, lack of attention to base rates of violent behavior, reliance on erroneous predictor items, and a failure to take into account information regarding the environment in which the individual is to function."

On the other hand, there have been numerous studies of predictors of criminal behavior, in particular of "recidivism", at least since Burgess (1928). Studies of parole prediction have consistently found a relationship between indicators of instability (school, employment, military, marital) and parole success. This extensive literature has been reviewed by Mannheim and Wilkins (1955) and by Simon (1971). Instability also has been linked in various studies to outcome in mental illness and alcoholism (Gibbs, 1977; Ziegler and Phillips, 1960) as have the relevant predictors: age at onset, intelligence, education compelted, occupation, employment stability, and marital status (married). Generally the body

of literature supports the relationship, the younger the age of onset of instability, the poorer the prognosis.

Pritchard (1979) summarized a sample of 71 such studies using 177 different groups, based primarily on "actuarial" predictors. He concluded that a combination of such items as an offense of auto theft, the presence of prior convictions, stability of employment, age at first arrest (and others) should account for a major portion of variance for large groups of offenders regardless of jurisdiction.

In short, much continues to be made of the distinction between "clinical" and "statistical" methods, a distinction described concisely by Meehl (1954):

"The mechanical combining of information for classification purposes, and the resultant probability figures, which is an empirically determined relative frequency, are the characteristics that define the actuarial or statistical type of prediction. Alternatively, we may proceed on what seems, at least, to be a very different pattern. On the basis of interview impressions, other data from the history of the same type as in the first sort of prediction, we formulate, as in psychiatric staff conference, some psychological hypotheses regarding the structure and dynamics of this particular individual....This type of procedure has been loosely called the clinical or case study method of prediction."

That this distinction between prediction methods using different data and different approaches need not continue to be a source of apparently unresolvable conflict and controversy and poor predictive classification is explicated by Monahan (1981):

"In practice, clinical and actuarial approaches function very differently. Yet it is important to keep in mind that they are merely ends of continua regarding the collection of data and methods for transforming the data into predictions. Almost all data have some subjective element to them...and there are identifiable commonalities in the "intuitive" clinical decision rules."

Statistical analyses of violent behavior (see, for example, Monahan discussing Pritchard) have yielded such useful factors as past violence, age, sex, race, socio-economic-status, and opiate or alcohol abuse. Estimated IQ, residential mobility, and marital status, but not mental illness in the absence of a history of violent behavior, also appear to be related to violent behavior. Despite these encouraging "findings" of statistical predictability, Monahan nonetheless pleads for: 1) clinical approaches when dealing with rare events not anticipatable by statistical analyses, and 2) the "pressing" need in the field of violence prediction for the inclusion of situational variables. He suggests that three of Moos' (1972:3) ways of conceptualizing human environments (and Moos' scales for measuring these) - personal characteristics of milieu inhabitants, functional or reinforcement properties of environments, and psycho-social characteristics and organizational climate - to be used in addition to dispositional variables in prediction strategies. ("It is the interaction of dispositional and situational variables that holds the greatest promise for improved predictive accuracy.") As Monahan noted

in a previous publication on violent juvenile behavior (1977), the findings of prediction research should reinforce "the rehabilitative ideal," in that such findings should provide critical, pivotal information for <u>both dispositional and intervention decisions</u>.

3. Concept of Institutional Environment

The ability of the correctional system to respond to inmates generally and to maladjusted behaviors specifically is through the correctional environment. For the institutional environment, the critical factors available are the physical restraint, supervision capability, and available programs and services.

Little is really known about the effects of the correctional environment on inmate behavior. John Flanagan makes this point with regard to overcrowding in the prison environment. "There is little evidence on the interactions of these principles with one another, with prisons as a specific environment, or with different types of offenders." (Flanagan, 1976:1) He goes on to suggest that "the current crowding magnifies the need for good classification systems...to separate the more violent and exploitive inmate." (Flanagan 1976:2)

What can classification tell us about how to identify and sort the offender(s) who will be highly violent or unstable in the correctional environment? Should long-term offenders be separated out? Could long-term inmates be better housed in maximum (as is traditional) or medium/minimum security institutions?

Flanagan suggests that:

"....less aggressive residents could adjust to crowding better than the more aggressive residents. This would suggest that the medium and minimum security facilities should bear proportionately more of the crowding burden than should the maximum security facilities. However, this is likely to be in conflict with the desire to protect the model programs, which are usually in the medium and minimum security facilities." (Flanagan, 1976:5)

Timothy Flanagan looked at the relationship between conduct and prison disciplinary dispositions, pointing out that "decisions made within prisons have not been adequately examined."

Flanagan used the following disciplinary infractional categories:

- Refusal to Obey Order
- Institutional Movement Violations
- Fighting/Assault
- Contraband
- Institutional Order Violations
- Violations Against Staff
- All Other Infractions

He found that, "...although knowledge of inmate characteristics and institutional factors may contribute some influence to the prediction of the <u>level</u> of prison misconduct, these variables do not distinguish the

<u>types</u> of misconduct in which the inmates are involved." (Flanagan, T. 1980:11)

A study by Rand (1978), <u>The Prison Experience of Career Criminals</u>," provides additional insight on the subject of inmate behavior in institution. Two of the study's major research questions are of interest here:

- What proportion of inmates receive disciplinary infractions? With what frequency and severity do such infractions occur?

- What inmate characteristics are associated with disciplinary infractions?

Inmate behaviors in three states were examined: California, Michigan and Texas. The types of infractions were examined. Table 3 shows the breakout of Illinois Department of Corrections infractions into adjustment and danger tickets, ordered by clinical and security staff from most to least serious. (See also Figure 7.) The infractions for the Rand study were grouped as follows:

- Administrative
- Contraband
- Threat
- Violence Without Injury
- Minor Injury
- Major Injury
- Escape

The Rand study found in their examination of the relationship between inmate characteristics and the frequency and severity of infractions that:

"....inmate age was a characteristic significantly associated with the severity of infractions in all states. Inmates in their early twenties accounted for a greater number of serious infractions than did any other age goup. Infractions declined dramatically with age, so that by age 30 they seldom occurred, and were less serious. Escape attempt was the only type of infraction that tended to increase with age. . . In examining the combined effects of prison work and treatment programs, we found that larger decreases in infractions were obtained by a change in prison work status than by merely increasing treatment program participation. However, best results were achieved by providing both treatment participation and a work assignment." (Honig, Executive Summary, 1978:XV)

As the Rand study notes, some inmates may commit a few serious infractions while others may commit several minor ones. Inmates in each group represent different management concerns for correctional administration. To address this issue, the Rand analysis created a weighted infraction score: "We believe that weighting infractions by their severity represents an advancement over counting as equivalent all types of negative inmate conduct." (Honig, 1978:68) (Tickets were also weighted by Illinois study. This is described in Part II - The initial validation section.)

One of the most comprehensive reviews of prison adjustment literature was prepared as part of its Classification Improvement Project by the New York Department of Correctional Services. The working paper entitled, Adjustment to Prison - A Review of Inmate Characteristics Associated With Misconduct, Victimization and Self-Injury in Confinement, (Chapman and Alexander, 1981:1), reviewed over thirty-five studies spanning twenty-five years of research "on the relationship between pre-incarceration characteristics of inmates and three types of prison behavior: institutional misconduct, victimization by other inmates, and inmate self-injury."

A variety of inmate characteristics were examined to discover what association any have with the three types of prison behaviors. The analysis included demographic, criminal history, social, and psychological factors.

The New York review of research on institution misconduct covered twenty-eight studies. Several studies with large samples are included: Megargee, 1979, N=1124; Davis, 1971, N=2203; NYDOC, 1979, N=1127; Edinger, 1979, N=2063; Johnson, 1966, N=2265. Of the large samples, many gathered information on institution rule violation by actually collecting official records of rule violations (Megargee, 1979; Edinger, 1979; and Johnson, 1966), but only one had a sample, which included several facilities ranging from maximum to minimum (Johnson, 1966). The New York State sample (1979) used assaultive incidents reported against staff and inmates from thirty-two prisons.

Generally, the findings from the research studies showed that preincarceration factors are weak predictors of institution misconduct. Still, some general tendencies in the various studies consistently recur between certain preincarceration factors and subsequent prison behavior. The variables frequently found to be associated with institution misconduct were age, marital status, job stability, juvenile record, time served, and attitudinal factors. The variables, which consistently showed no association, included I.Q., military history, grade level achieved, frequency of adult arrests and convictions. Other characteristics, such as home life conditions, ethnicity, prior incarcerations, commitment offense type, and sentence length, had inconsistent results.

The fact that preincarceration variables do not emerge as either strong or consistent (with age as the exception) determinants of institutional misconduct led the New York study to agree with Flanagan:

> "The factors that come into play to determine the extent of involvement in prison disciplinary matters clearly go beyond the demographic characteristics of the inmate. The inmate's record of disciplinary infractions is a product of his/her prior conditioning and experiences, the dimensions in which the prisoner finds himself and his/her reaction to that situation, as well as the reaction of correctional officials to the prisoner." (1979:150)

In summary, some findings are apparent from the review of studies on institutional misconduct:

- Several characteristics do discriminate high and low rate offenders at statistically significant levels,

- Several of the characteristics are consistently related to institutional misconduct in the same manner across multiple studies:

  - age/the younger, the greater the association with misconduct,

  - never married inmates are more frequent violators of rules than inmates who are married or who have been married in the past,

  - unemployed prior to arrest are found to violate rules more often,

  - convictions for violent personal crimes other than homicide (e.g. robbery, rape, felony sex offenses, assault, kidnapping) more frequently violate institution rules than do inmates of other types of offenses.

- When the variables, which show association with institution misconduct, are examined, they support the supposition that the amount of commitment inmates have on the outside to conventional "life styles", the less likely they are to be disciplinary problems. The association for in-prison variables is analogous: "The more an inmate has at stake (or stands to lose) during his confinement (e.g., a job, desirable housing, involvement in a treatment program, nearness to parole board hearing), the less likely is it that the will acquire disciplinary infractions." (Chapman and Alexander, 1981:80)

- Several areas with inconclusive results require further research. The association between violent commitment offense and assault in prison is mixed, and the association between prior convictions and "institution misconduct needs further investigation--by the type of prior criminal history, frequency, age of onset and institution misconduct."

Some of the limitations of the reviewed research are also discussed. Improvement in the knowledge of prison behavior requires that other types of information besides preincarceration characteristics of inmates be considered (p. 79). One issue raised is that the basis for most analyses involved comparisons of inmates who frequently violated prison regulations with those who did not. "...looking at the frequency of rule violations, which lumps together several different types of behavior under the concept of institutional adjustment, limits our understanding of inmate behavior in the prison." (Chapman and Alexander, 1981:4) Different types of behaviors may engender different responses from staff. Different types of inmates may have different types of "misconduct behaviors." It is suggested that a "more concise understanding of institution misconduct would be to distinguish the frequency of rule violations from the serious users of rule violation." (Chapman and

Alexander, 1981:4) Further, citing the results of the Wolf, Freinek and Shafer study (1966) that the inmate who commits extremely serious rule violations is also a frequent rule violator, but that there are also many inmates who frequently break rules but are not serious rule violators, the New York Review states, "Our understanding of institutional misconduct or of security risk would be improved if types of misbehavior (or various types of misbehaving inmates) were examined separately." (1981:5) (Note that most of these reported analyses used linear regression.)

Another issue is that the interaction of preincarceration characteristics of inmates with "environmental factors" is an important area for more research work. Among these environmental factors are:

- characteristics of institutions (e.g., age, size, spatial layout, security level, population density),

- characteristics of the general inmate population (e.g., percent violent offenders, percent long-termers, percent over age 30),

- administrative variables (e.g., inmate-staff ratio, formal and informal policies of the superintendent and his staff),

- characteristics of the staff (e.g., years of experience, age, ethnic ratios),

- the nature and variety of prison programs offered, and the percent of inmates involved in these programs or who work at jobs in the institution (p. 79).

One of the limitations of using officially recorded rule violations as an index of institutional adjustment is that they "reflect the behavior of officials as well as offenders" (Jensen, 1977:560). Officers bring a set of background characteristics and predispositions to the prison setting just as inmates do.

Some would argue that there may be "an operating bias on the part of criminal justice officials toward those with certain social and physical characteristics" (Poole and Regoli, 1980:931). There may be differences between officers in the rate at which they issue misbehavior reports. Also, there may be characteristics of the officer staff in general or of particular officers that affect the occurrence of institutional misconduct and whether or not a misbehavior report will be recorded. These factors need to be considered. (Chapman and Alexander, 1981:88-89)

III.   COMBINING CONCEPTS FOR NEW DIRECTIONS

"If a correctional system did employ valid and comprehensive classification procedures, basing them on the principle of selecting the least restrictive alternative appropriate, it could come nearer to assigning and planning for inmates in a way that balanced security concerns with other needs. Special groups, such as the mentally disabled (or the long term offender), would be more readily identified. Moreover, with a comprehensive classification system, the valuable information needed to plan programs could be collected." (Clements, 1982:79-80)

Right now, the need is to collect information, systematically, and in some orderly fashion against a set of research questions derived from a conceptual framework.

"....a good classification policy need not depend on any alliance with ideals of treatment or rehabilitation. Rather it is the management potential that I have emphasized--the allocation and planning of resources. We must move away from current models, which are so heavily based on meager resources and invalid predictors. The alternative is to open up the system so that the placement and movement of inmates are controlled more by systematic decision making than by the limitation of an overtaxed system." (Clements, 1982:81)

Combining the tracking information required to implement, monitor, validate (against outcome) and maintain a good classification system with multivariate statistical (pattern recognition) procedures should lead to more valid predictors, better correctional decision-making, and more effective population management/interventions. In reality, the main hope, and the major R & D function within corrections, is improved classification, offender (outcome) tracking information systems, and statistical techniques.

But, how do we get from the current situation to an improved classification methodology? The literature does contain several pointers for beginning to develop a conceptual framework for classification.

Monahan (1981) encourages the use of clinical classifications of offenders who behave violently, recognizing the lacks in framework which persist. Hood and Sparks (1970) suggest ways to efficiently categorize violent offenders by identifying habitual/persistent types vs. occasional/once-only offenders. Toch and Clements offer some specific suggestions:

- "....classification in practice always implies predictions about the way people will adjust to environments, and....this context must be made explicit for benefit of classification consumers. Neither "dynamic" nor actuarial classifications are independent or self-sufficient. The former help me to understand my clients but not to anticipate what they will do. The latter may predict, but do not tell me why the person does what, which makes it hard to affect or modify behavior." (Toch 1976:7-8)

o "Offender classification, like any taxonomic system, is based on the. premise that there are wide differences among prisoners, but also that there are similar subgroups within the inmate population....Historically, taxonomic systems for offenders have embraced anywhere from three to a dozen or more subdivisions. The matter of how to subdivide is more controversial. While virtually anyone could reliably sort offenders based on length of sentences, age, gender, or number of prior convictions, it takes a bit more sophistication to slice the offender population into categories built on personality traits or behavioral risk factors." (Clements, 1980:17, 18)

o Toch (1977) has reasoned that in addition to considering custody and programmatic needs, we would do well to match offenders to various living conditions that promote adjustment. He arrived at eight environmental features for which inmates may express varying degrees of preference (freedom, activity, social stimulation, feedback, support, structure, safety, and privacy). Interestingly, these factors are similar to the ones developed by Moos (1975), who devised a way of measuring correctional environments. If subenvironments or units within the prison emphasize different social/organizational approaches to management, we should attempt to place offenders in those settings that maximize the maintenance of psychological equilibrium. As Toch suggests, "Classification is not a one-dimensional decision about individuals, but rather a transactional decision about persons and environments." (Clements, 1980:27-28)

Flanagan points out that there are two types of offender misbehavior of concern to correctional administrators: adjustment (instability) and violence. Illinois has borrowed heavily from Flanagan's paper, which is included in the forthcoming ACA book: Classification As A Management Tool: Theories and Models For Decision-Makers. (Summer, 1982).

A. Concepts of Instability and Violence

Correctional classification systems are concerned with two types of malajusted behaviors: instability and violence. There already exist extensive empirical generalizations regarding "instability" (immaturity, impulsiveness, disruptive, hedonistic behaviors). However, as previously documented, empirical theories are still emerging regarding violence, and there exist no broad summation concepts on this subject. A framework for linking the two types of behaviors is only beginning to emerge. One model treats the two behavioral factors as independent and uncorrelated, although interactive with two types of correctional environments: community (work release and parole supervision) and institutions.

As Flanagan (1981) points out, since the 1800's a consensus has evolved "that prisons are to be classified on two dimensions," i.e., "for the purpose of physical restraint and level of supervision" (p. 9). Table 3 shows these relationships. (See also Figure 11)

TABLE 3: CORRECTIONAL ENVIRONMENTS

	Institution	Community
Decisions:	Placement Release (Transfers)	Supervision Discharge
Behaviors of Concern:		Violence & Instability
Correctional Responses:	Level of Restraint Level of Supervision	Level of Constraint Level of Supervision

Figure 5 displays the interactive relationship between the three factors of concern in correctional classification and decision-making:

● The environment - community or institution.
● The inmate behaviors - instability and violence.
● The correctional response - restraint, supervision and programs.

1. Need For Restraint

In the correctional institution environment, the ability to restraint (confine) an inmate through the manipulation of the physical environment is a primary means of control of inmates.

The criterion/definition of need for restraint in a classification system is based primarily on current and past history of violent behavior, including types, degree, and circumstances of the violent behavior. A set of assumptions in the use/need for restraint includes a belief that criminal history is a fair type of evidence. (However, violence in-community may not result in violence in-institution.) Where there is a history of repeated or wanton violence, that history has been considered an acceptable standard for placing the individual in a secure facility (without the requirement of statistical proof that there will be a repeat of the behavior):

"Statistical and other evidence will, however, be used as a basis for classification to less secure facilities.... In general, the presumption is that the offender is capable of doing what (s)he was convicted of doing and is classified accordingly, but the presumption can be overcome by affirmative evidence of low risk." (Flanagan, 1981:17)

It is possible to arrange in some rank-ordered manner categories of violent behavior. This continuum would range from:

● None,
● Situation offense,
● Occurred in effecting of fleeing from the crime (not to include unresisting or fleeing victim, personal revenge),
● Escape (attempt),

- Predatory violence (terrorism, gangs, enforcer, for hire, extortion, intimidation),
- Extreme violence (use of shotguns, explosives, fire bombs, arson),
- Bizarre/gratuitous (home invasion injury, injury to unresisting or fleeing victim, torture, violence to animals or against particularly defenseless persons--children, elderly, disabled).

2. Need for Supervision

The other variable within the institution environment which may be manipulated is supervision through staffing levels, patterns, and through the types/number of programs and services. Supervision is the variable which most strongly interacts with situational behavior in-institution.

A great deal of evidence has been accumulated on the relationship between instability and general (societal) rule misconduct, criminality and recidivism. As noted previously, the relevant predictors have been generally established for the community:

- Grades completed/IQ, (mixed)
- Military record, (mixed)
- Employment history,
- Marital history/status,
- Age of onset of criminality,
- Extent, type (auto, burglary/theft) and frequency of criminal activity.

B. Approaches To Developing Classification Systems: Descriptive and Prescriptive:

"Inductive reasoning must be conducted in a language and be based upon some experience; and the key lies in the relation between the language and the experience. The justification of induction is an evolutionary principle indicating that inductive science is at the same time both descriptive and predictive. The predictive quality of scientific explanation is the necessary attendent to the descriptive quality." (Christensen, 1964:ix)

Essentially, three approaches appear to be consciously taken by agencies in developing classification decision guidelines: "descriptive," "pre-scriptive," or "Christensen's." The "choice" depends upon many factors, including available technical and fiscal resources, the "current climate" in the public sector and the legislature, and the administrative philosophy and operational goals of the implementing agency.

The "descriptive" approach codifies and formalizes the current decision patterns within the organization. Little change occurs in the way things are done, but criteria become more explicit, procedures more standard-ized, and activities more closely monitored. An example of the support-ing rationale for this approach usually follows this line of agreement:

"The way we, in this agency, do things is already pretty good (process gives the guidelines the validity they need), and we really do know the best way for us to conduct our business (guide-lines should be based on the knowledge and experience of staff who do this operationally every day); besides, the body of know-ledge is inconsistent and "experts" do not yet have enough pre-dictors, methods or other information to offer any really better solutions."

The "prescriptive" approach is more difficult and more complex. It requires that the agency and the Director and Executive Staff take a serious and considerable look at some very important questions:

- Are persons with requisite technical skills available to the Department, either internally or externally?

- Do data bases currently exist or does the agency have the resources to develop, simultaneously with a classification system, the necessary data base for pre-postdictive purposes?

- Do there exist within the agency a few professionals who have knowledge and skills combined with agency and practice wisdom and who have attempted with at least some success to "do it?"

- How able is the agency to absorb, adapt, and cope with potent-ially radical change in policy and procedure and possible redeployment of the resources?

- Are there systems in existence anywhere in the country with possible transferability to the agency?

- Is there a recognized need, strong commitment, and support by the Director, top management, and critical administrative staff for the design and implementation of a classification system?

For a variety of reasons, most states (and the NIC in its model develop-ment effort) have chosen what they see as a "descriptive" route in the classification design process, e.g., Florida, New York, and the Federal Bureau of Prisons. States such as California and Illinois have moved toward a "descriptive/prescriptive" approach (with instrument validation) in the development of their classification systems. Such systems must be built against a large base of real outcome experience that meets the tests of predictive validity.)

One of the important recent discussions on the guideline development is by Zimmerman and Miller (1981). They point out that to get to meaning-ful guidelines, there must be more than empirical modeling of the past. Meaningful changes to the guidelines require construction that is grounded in normative decision procedures:

"The descriptive/prescriptive distinction is meaningful when refer-ring to the process ("IDOC's") by which sentencing guidelines are constructed. Descriptively oriented efforts emphasize developing guidelines that model past sentencing behavior as closely as pos-sible. Issues relating to the predictive efficiency of guidelines dominate policy board and staff concerns when the accurate char-

acterization of past sentencing behavior is the prime goal of a sentencing. guideline effort. The behavior is the descriptive orientation in the policy board that tells its research staff to develop sentencing guidelines that accurately reflect historical practice. The staff then "empirically" develops a set of guidelines that are maximally efficient predictors of sentencing behavior and the policy board ratifies the guidelines as reflecting their policy. Ex post facto approval is guaranteed to minimize inputs by the policy board and effectively limit their control over the guidelines' operation. And believing that maximally descriptive empirically based sentencing guidelines are value-free scientific projections is folly.

The emphasis on normatively developed guidelines has to be on developing procedures for maximizing normative inputs by the policy board. Data about prior sentencing practices provide useful information for making policy decision, but issues relating to guideline "fit" and predictive efficiency are not terribly important. Decisions about what variables to include and how they should be weighted, on the other hand, are critically important in constructing normative sentencing guidelines. For example, a policy board may on principle decide that juvenile court adjudications are not a proper determinant of sentences and thereby exclude juvenile records from being used as a guideline variable despite the information that is lost thereby.

In reality, the choice is not descriptive or prescriptive guidelines, but where along the descriptive/prescriptive continuum guideline constructions should take place. This decision is in large part responsible to how much change is desired in sentencing practices in the jurisdiction. In making the choice the policy board is also defining the role of the research staff in guideline development, and the more empirically prescriptive the final product, the more control the staff has over the development process. Given the choices, more prescriptive guidelines seem better both in terms of what they are trying to do and in the way they are constructed." (Zimmerman and Miller, 1981: 77-78)

Zimmerman and Miller also review the issues and choices among the methods for constructing guidelines. Important here is the concern with "how information items ought to relate to one another to determine offender groupings." (1981:79)

Major methods that have been used for combining information in guidelines are additive methods, decision-tree methods, clinical, pattern and grids. The method by which information is combined is an important policy decision. This decision requires "an integration of technical-qualitative issues and normative judgments." (Zimmerman and Miller, 1981:81)

Almost nowhere in the literature is there a discussion of some of the types of problems that must be anticipated and handled as part of the prescriptive guidelines design and implementation process.

C.   Data Reliability Concerns

Gathering data for the development of the prescriptive instruments is the first problem to be faced by research staff. The reliability of data is an on-going problem, even when manually collected from the case file, as with the Gottfredson analysis (and with the Illinois Postdictive and Prisoner Review Board Data Bases).

Not enough has been written about the data reliability problems faced in doing good initial classification, or reclassification for that matter. Further, there seems to be little recognition in the literature of the deterioration of the quality, consistency, and timeliness of information available to criminal justice decision-makers in the last two decades. This problem is partially a result of increases in the amount of information we now try to capture, and the gaps which occur from our failure to on-goingly capture the same data in the same way, due to the technical and personnel support problems associated with the transition from manual to computerized record systems, and declining fiscal priority to this area. With initial classification, the type and consistent availability of information which arrives with the inmate, to a large extent at least for new felony admissions, determines/limits the design of classification procedures. Community agencies place a much higher priority on "getting the body to corrections" than in seeing to it that proper information for classification and case management accompany the inmate. For this reason, recently some states have passed very stringent laws on the documents and information required by a Department of Corrections before they will accept a sentenced offender. Suffice it to simply note here that even the initiated researcher can be naive in his/her estimation of the problems to be faced in data collection:

- locating and retrieving data (time and cost)
- inaccuracy and gaps in the data
- skill level required of staff in applying standard definitions consistently in gathering and interpreting the data.

Counseling (clinical) staff, used to relying on their subjective opinions, are frequently suspicious of "statistics." Often, there is fear by counseling staff of "making decisions based on computer developed measures and procedures rather than individual judgment or past practice." In many cases, the collective wisdom runs counterintuitively to some of the statistical findings. Frequently, extensive training and feedback against outcome are necessary to overcome these biases.

Past education, training, experience, and supervision of classification personnel also affect their ability to adapt to changes and new techniques. Often counselors hired first at the Reception Center are underexperienced for the types and levels of evaluation required of them.

Further, staff must appreciate that classification is an on-going, evolutionary process. They will always be required to adapt and change as more is learned from classification "how to better classify offenders." Otherwise, the adaptive response of staff to reform is to gradually "subvert practice back to the ways of the old system, or business as usual." Effective procedures and monitoring systems must be devised that prevent practitioners, consciously or unconsciously, from "circum-

venting controls on their discretion by revising their behavior to achieve their traditional ends in new ways." (Cohen and Tonry, 1981:29)

D. **Analytical Techniques in the Development of Classification Methodologies**

In 1979, the National Institute of Corrections commissioned a study, "Screening for Risk: A Comparison of Methods" by Don Gottfredson and Stephen Gottfredson.

> "Problems of behavioral prediction are both practical and methodological. Major methodological concerns of behavioral prediction can be classified into five general areas: (1) the relative efficiency of clinical versus statistical methods of prediction; (2) the relative efficiency of different statistical approaches; (3) the base rate problem; (4) the criterion problem and (5) cross-validation of prediction measures." (Gottfredson & Gottfredson, Project Summary, 1979:vi-vii)

1. **Base Rate Consideration**

With regard to the base note problem (defined as the relative frequency of occurrence of the event in the population of interest), the operational utility of a predictive instrument "must demonstrate predictive power better than that which would result from simple use of the base rate alone." (Gottfredson and Gottfredson, 1979:xiii)

2. **Necessity of Cross-Validation**

The value of the prediction instrument must perform well by being able to detect and provide estimation of relations across a sample of similar subjects. Some assurance is required that the instrument is not built against some individual characteristics of a particular sample. The approach used to address this problem, frequently called cross-validation, is to randomly divide the sample into two groups. One group, called the training sample (or construction sample) is used to build the prediction instrument. The instrument is then applied to the second or test group. The predictive accuracy of the instrument is then evaluated in this subsequent application. The shrinkage problem is noted: "Apparent 'loss' of predictive power from the construction to the validation sample....results, in large part from the overfilling of the device or equation on the construction sample." (Gottfredson and Gottfredson, 1979:x) More robust methods have less "shrinkage" in cross validation. (Note: Part II, I-E for the results of the Illinois Instrument Cross-Validation.)

3. **Classification Outcome Criterion**

Defining success and failure and measuring outcome is perhaps the most important area for real validation of a classification instrument. The definitions of parole success and failure are better defined than outcome criterion for in-institution success and failure. Figure 10 shows the relationship between many of the independent variables (risk indicators) and environment characteristics thought to be associated with in-institution behaviors. The classification/population management factors of concern include types of tickets, transfers and status changes, and administrative concerns. For Illinois, the outcome measures for the Institution Classification System (against initial security level and placement) are the type and rate of ticket accumulation (against the base rate and the weighted score) for adjustment and violence, escape attempts and negative transfers. The larger goal is not just the evaluative assessment of inmate behavior but the institutional environment interacting with the inmate population, and of the effects of the administration's management strategy upon its population. Appendix B contains the assessment instruments used to gather information on all adult institutions. Findings of this survey were used to establish the security level of each institution. Program factors and other information are tracked routinely through the Wardens' Monthly Report. The same measures will be used to monitor the institutional environment in future validation studies.

Brennan offers advice on setting up data analyses to build interactive-behaviorly-based classification systems:

> "When the criterion variable is a rankable or categorical variable, a cross-tabulation with the classification (cluster memberships) can provide a great deal of information. Clusters may have to be artificially merged to provide meaningful categories for cross-tabulation.

> The most important substantive results of this prediction study may be the identification of two clusters in the data which could provide meaningful characteristic profiles of murderers and violence offenders.

> Suggestions for future studies of this type:

> - Secure samples with larger numbers of violent offenders and murderers. (In cooperation with the Prisoner Review Board, IDOC is currently examining a data base - with indicators specifically collected in a format compatible to the IDOC Postdictive data base of nearly 400 murders. This analysis looks at murders through institution and post-incarceration/community supervison behaviors. See Fowler, Rans, and Miller Report to the Illinois Prisoner Review Board: "Murder Release Criterion Study," July, 1982)

> - Secure more precise _behavioral_ descriptions of the subjects, offenses; i.e., better criterion measures.

- When establishing the predictive classification, utilize comparisons of several (not just one or two) K-levels or levels of the tree.

Validation using a second set of randomly selected observations on which to test the clustering and predictions derived from the first set of observations is a rigorous and necessary process. The results of deriving predictions and testing them on the same data set unnecessarily inflates the experimenter's confidence in the results. Much could doubtless be gained, rather than simply reclustering on the second data set, from trying a number of cluster _assignment_ procedures. The preliminary results of our current inquiry would certainly suggest that further investigations of predicting from empirical classifications would be a worthwhile enterprise." (Brennan, 1980:612)

Thus, it seems clear that despite the lack of readily usable models and well-developed theoretical constructs, there are ways to identify and classify criminals prone to use violence in effecting crimes, and ways to identify and classify offenders who may act violently during incarceration.

4. Comparative Performances of Several Statistical Methodologies for Predictive Utility

The Gottfredsons' study asked this question: "Which of the available methods can provide the best information for purposes for screening for risk?"

The methods reviewed included:

- linear additive methods/multiple regression

- configural models/Burgess

- predictive attribute analysis

- association analysis

- multidimensional contingency (logit) analysis

With regard to the predictive utility of the five methods, no clear advantage was found in any method. Further, prediction success of any of the methods for instrument development was "at best modest."

Comparisons were also made of any differences that the devices may have in classifying the same individual. The intercorrelations for the device were quite high (except for association analysis).

The primary finding based on the analysis was that: "given the types, level and sophistication of available data and outcome criteria, no one methodology for developing operationally useful statistical decision-making aids provides an advantage over the others considered." However, the selection of the criterion/dependent variable is of significance to examination of methods. Studies of this type quite typically employ a

criterion such as that decided upon here--that is, a simple dichotomous "good/bad," "success/failure" measure. Such a decision has serious statistical implications. Restriction of range restricts or constraints coefficients of relation. Further, one might well suggest that this particular range restriction is artificial--as it presumes that there are no "degrees" of success or failure. Given a more sophisticated outcome measure, our results could well have been different." (Gottfredson and Gottfredson, 1979:31)

For its initial validation effort, Illinois used tickets associated with misconduct. There were over 13,000 tickets in the data base. Tickets were further subdivided into two groups - adjustment and dangerousness. For the two dependent variables, the ticket groups were rank ordered from most to least serious and then weighted. The re-validation effort also addressed the need to improve the institution behavior outcome measures, including examination of the association of negative transfers to higher security level institutions and time spent in segregation with in-institution violence and adjustment.

IV. ILLINOIS ADULT INSTITUTION CLASSIFICATION

One of the historical problems with classification design has been the failure to articulate clearly the constraints on the design--at implementation and longer term. The concerns break into two sets of considerations.

A. Design Considerations

The various theoretical assumptions, concepts, and constraints described previously in this paper became the framework for the initial design of the Illinois Adult Insititution Classification System. Technical consultants and research project staff recognized several general considerations either as parameters, as constraints, or as both on the design process. Based on past experience with the successes and failures of classification, we adopted the rule of parsimony. Where classification has tried "to do it all up front", reception-classification systems have generally failed to perform to expectations. Decisions at one level have not been accepted, followed-up or implemented by another level. Reception centers are designed to determine institutional placement and to match classification of prisoners to classification of prisons, not to make specific decisions for each institution. Thus we "decided":

1. Security/risk designation levels are the primary purpose of initial classification. After placement at the appropriate security level institution, it is the responsibility of institutional staff to assign a custody level within that institution.

2. Critical needs (medical, mental health, mental retardation) are also of concern at initial classification. After placement, program needs are considered and assignment made by the institution against available resources: vocational, education, and work.

3. Programatically, if a classification system functions effectively for both "public" and inmates, given current correctional scenarios for the 1980's, that classification system will first sort for "system" needs (agency resources and aggregate groups), then for individual needs (institution and inmate).

Two levels of decision-making for classification result:

System Level	Individual Institutional Level
Security Designation	Custody Assignment
Critical Needs Assessment	Program/Work Assignment
Initial Placement Assignment	Housing Assignment
	On-going Service Delivery for Basic Care

We also recognized that, in reality, some decisions are at least potentially more effectively made by those who are operationally accountable for day-to-day management of those decisions; e.g., custody, work, housing, and program assignment are better left to the placement institution.

Clearly, we also made a distinction between risk and need assessment. Risk assessment has to do with dimensions of behavior with which we have been to date most concerned - stability and violence. Its "system" purpose is to estimate the necessary allocation of resources (both in facilities and staff supervision) to incarcerate individuals while addressing the major correctional goals of safety (public, staff, inmate) and basic care. The role that "needs" plays in behaviors within the institution has never been adequately determined, nor its effect on restraint and supervision requirements. However, this does not mean that any agency may ethically or legally exempt itself from the resource/ strategy/management issues implied or found in the delivery of basic services to the inmate population.

Finally, we realized that while it is important to have a conceptual model, it will always be necessary, given the complexity of human nature, to make judgments on case-by-case bases. In our model and as the procedures are implemented (see User's Guide by Joyce Crawford, 1982) indicate we identified not only two, but three major areas that any classification system must address: risk, need, and administrative concerns. They, in turn, relate to the three major functional areas within a Department of Corrections: operations, programs, and administration. Their relationship is interactive:

Risk ⟷ Needs ⟷ Administrative Concerns
↕ ↕ ↕
Operations ⟷ Programs ⟷ Administration
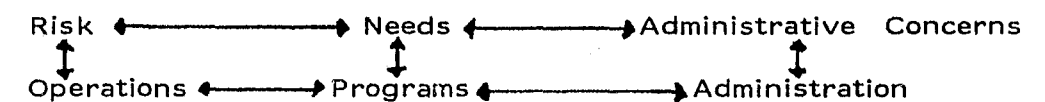
Not until a classification system is able to address all three areas and provide _interactive_ statistical information between, and to all three major functions, does it really relate to the Director's and the Agency's requirements to develop, to implement, and to manage effectively against policy and strategy:

1. Risk and the Nature of the Classification Process in Operation

Classification is a continuous decision making, planning and evaluation process. The nature of inmate populations changes over time. Classification can be an efficient means by which an agency can recognize, track, and adapt to changes in its population--the basis for multi-year program and operations planning.

Instrument precision must always be improved. The interaction of research analysis and information processing with the classification decisions, classification monitoring procedure and outcome tracking/ validation requirements must lead to improved precision in the instruments and the measures/types of information use to make institution classification decisions.

Without agency understanding that implementation involves iteration and maintenance of such a process, the system will begin to drift, and there will be regression to the laissez-faire state of fixed or purely subjective classification decisions.

As was noted in the introduction, the purpose of classification is the proper placement of inmates to support the goals of corrections. For Illinois, the primary purpose of classification is:

- Safety of society (through perimeter - holding security)

- Safety of inmates and staff (through internal security)

The secondary purpose is:

- Welfare of inmates (through appropriate programs)

- Maximization of increasingly scarce public resources

- Rational planning and budgeting

The current classification process achieves the goals of classification through the classification of inmates on their capacity for violence and instability and by the correctional institution(s) environmental response capability. (A further step will classify "behaviors" X "responses.")

2. Risk and the Dimensions of Violence

IDOC classifies inmates not on violence, but on the dimensions of violence:

(1) Capacity for Dangerousness
(2) Capacity for Instability/Adjustment
(3) Needs (Critical and 'Nice to Have')
(4) Administrative/Policy Considerations

The basic inmate behavior scheme represents the <u>interactions</u> between the behaviors of instability and dangerousness.

This interaction can be generally represented as shown in Figure 6. Figure 7 shows the Instability and Violence Behavioral Continua for the Institutional Environments in Illinois - as they have been rank-ordered (from both research available and experience) by staff from most serious to least serious for tickets.

3. Risk and Environmental Response

As has been noted previously, the correctional response to dangerousness is physical restraint, and the response to instability is supervision and structured programs. Figure 8 shows the inmate behaviors' scheme expressed in terms of appropriate response for institutions.

The most important components of this response are the supervisory levels/patterns/climate of the agency institutions and the structure of programs. Figure 9 shows hypothesized interaction of the inmate behavior with the correctional environment. Essentially, it assumes, the individual inmate's past-life experiences, perceptions and self-evaluation, combined with his and other inmates' attitudes about prison, and this prison in particular, interact with the institutional environment, leading to greater or lesser likelihood of certain behaviors. The factors in the

institutional environment, especially the program and service opportunities and barriers, combined with staff responsiveness to inmate needs (problem resolution, conflict reduction and accurate, timely feedback) have a great effect on the institution climate and inmate attitudes; and ultimately, all of these factors are assumed to interact with the individual inmate's capacity for violence and instability.

4. Structured Programs

Further considerations here included individual needs (health, mental health, education, vocation, protective custody, etc.) and administrative and policy considerations. Among the most important of these are statutory requirements (length of sentence) and physical plant crowding, staff quality and quantity, and special program availability. Institutions of a given security level do not have (and probably should not have) identical program capabilities.

5. Special Needs

The ideal Corrections budget allocation and human services plan would provide an array of services and programs geared not only toward incapacitation but also toward rehabilitation at all levels of "need", physical, vocational-educational, and psychosocial. However, public "just deserts" sentiment, decreasing fiscal resources, current capacity constraints, determinate sentencing impacts, and spiraling commitment rates combine to militate against the general provision of special services to match individual needs. Nonetheless, statutory requirements, accreditation standards, and proliferating court actions insist on basic care for diagnosed and/or discernible need. Placements, therefore, must be made not only in regard to appropriate "Security Level" but also in regard to whether one institution can better serve than another because in a particular case it can provide programs or services that others of comparable "security" do not have.

The problems in building a classification tool that captures "Special Needs" are many; for example:

1. Evidence of need may not be available or may be insufficient, ambiguous, or contradictory.

2. Classification personnel may lack appropriate credentials and/or training to assess or "diagnose."

3. "Needs" are infinite; resources are finite.

Because standards of humaneness, law, and good correctional administration nevertheless require consideration of need, this IDOC instrument "trades-off" assessment expertise for historical evidence and diagnostic referral. Thus, this "Initial Special Needs" tool asks the counselor to supplement his/her own experience, observation, and training with historical records, client self-reports, and referral diagnoses in whatever measure each of these is available/useful.

Such an instrument is not a "scale". What it provides is a "tag" that triggers both special placement considerations and monitoring "flags" at reclassification. Thus, "reclass" at the programmatic level is not merely a security-level check but also, and at best, primarily, a case - and program - management monitor of current needs, current resources, and whether or not needed service has been delivered.

In summary, IDOC "Special Needs" indicators are considered diagnostic only when used by qualified professionals (medical, mental health, and psychiatric, for example); generally, "Needs" indicators are intended to assure 1) the most appropriate placement available and 2) the most appropriate case management within institution that program resources permit. (See Appendix for Forms.)

6. Administrative Factors

"Administrative Factors" have in common with "Security" indicators, operational considerations and with "Needs" indicators, program concerns; these factors involve "risk" issues on the one hand and "vulnerability" issues on the other. They are, however, unlike the former two sets of factors which are geared, respectively, to operational and programmatic effectiveness. Administrative factors are efficiency concerns; that is, they try to address internal management problems of an operational nature by calling attention to possible special problem area when evidence suggests that those might arise in regard to a given offender or group of offenders. A look at these factors suggests their lack of subtlety and precision, but it also suggest why they must be formally addressed during the classification process. (See Appendix for Forms.)

7. Placement Decisions

B. Evaluation Considerations

1. Criteria

If a classification system must meet these criteria of "rationality":

- to match available resources with inmates,

- to reflect a reasonable consensus on uses and purposes of the system,

- to provide conceptual linkage and distinction between operations, programs, and administration within the classification assessment and decision process for balance between public and inmate needs,

- to develop an empirically-valid classification system with predictive ability to sort serious, high-risk offenders from low-risk offenders,

- to meet operational requirements of parsimony, effectiveness, and efficiency,

- to contain rules and controls over the classification process itself to prevent "lack of bed spaces," supervision caseload, and other crises from "driving the system."

2. Evaluation Guidelines

In summary, a classification design must be carefully evaluated after implementation. Assessing the design in terms of general criteria must occur:

- Completeness
- Clear operational appropriateness
- Environmental features
- Reliability
- Validity
- Adaptive/dynamic capability
- Economy
- Linkages to treatment and intervention
- Control for bias
- Multidimensionality
- Flexibility for data collection

More specifically, questions for which a classification process must routinely be evaluated include:

1) What sort of institution would be appropriate for a specific inmate? (security designation)

2) Which inmates within a specific institution can receive what type(s) of assignment (custody status)?

3) What programs are appropriate (treatment and intervention)?

4) Who should be moved to lesser security levels and custody statuses?

5) Who should be released? and when?

6) Under what circumstances should they be released to the community?

Another set of evaluation considerations, summarized as a series of specific questions, may also be used as a means to ensure a rational classification system:

- How good is the predictive validity?

- How explicit are the guidelines for the assessment and assignment of new cases?

- How good is the reliability?

- How many cases are misclassified? too high? too low?

- How many cases are not classified at all?

- How related is the classification system to actual "criminal" behavior in the institution? community?

- How clear are the conceptual properties of the classification system, e.g., danger and adjustment? other?

- Is the system too simple or too complex?

- What misunderstandings or misuses are occurring with the classification system?

- What kinds of changes are needed?

- Are the goals of classification coming into conflict with other agency goals and needs?

Classification at IDOC is intended to provide information <u>and</u> process for:

- Consistent rationale for decision-making
- Aggregate sorting of offender population
- Population status monitoring
- Budgeting
- Planning and operating
  - Facilities
  - Programs

Currently, the Illinois Department of Corrections Bureau of Policy Development and the three operating division (Adult Institutions, Community Services, and Juveniles) have implemented new classification systems. Each classification system, its development, and analysis have reports published by the Bureau of Policy Development. This report has pertained only to the classification effort within adult institutions.

During the next year, several priority objectives have been identified. Departmental classification efforts will concentrate on improvements in these areas:

(1) Better measures of environment.
(2) Better measures of clinical variables.
(3) Better monitoring of case management related to special needs/ improvement.
(4) Refinement of definitions and measurable descriptions of adjustment and dangerousness (See, for example, Early Release Risk/Needs Matrix, Figure 12).
(5) A better model linking the two types of behavior (adjustment and violence) with each other and with those factors in the institution environment (and community) which serve as the greatest negative precipitators of these behaviors.
(6) Linking institution and community classification systems for better correctional decision-making. Figure 11 shows the relationships between classification decision objectives/types of decisions.

Brennan aptly comments (1980:6-7):

"A useful way, therefore, of evaluating classification schemes is to examine the level of coherence or justification for the selection of classification variables. At one extreme, variables are chosen on hunch, intuition, or some other relatively implicit reason. At the other they may be explicitly specified by implication from a clearly developed theory. The ad hoc, ill-defined or theoretical approach has a number of serious problems, including: high likelihood of spurious findings, inefficiency, a confusing proliferation of taxonomic systems, and endless disagreements and non-conveyance of findings. Hood and Sparks (1970) indicate that in criminology, the great majority of empirically constructed taxonomies have been based upon a relatively theoretical specification of classificatory variables. Toulmin (1953) and Enc (1976) both eloquently argue for the mutual development of theories and classifications, each stressing the value of classificatory observations being influenced and controlled by reference to theoretical positions. The relatively poor state of theory development in criminology unfortunately provides inadequate guidance at the present time. We would argue that the theoretical approach to the selection of classificatory variables should be avoided. <u>The status and future development of empirical criminological classification would be enhanced by greater attention to the theoretical coherence of the classification variables in relation to the purposes of classification.</u>" (underlining is our emphasis.)

FIGURE 5 Relationships Between "Certain" Behaviors, Environments and Correctional Responses
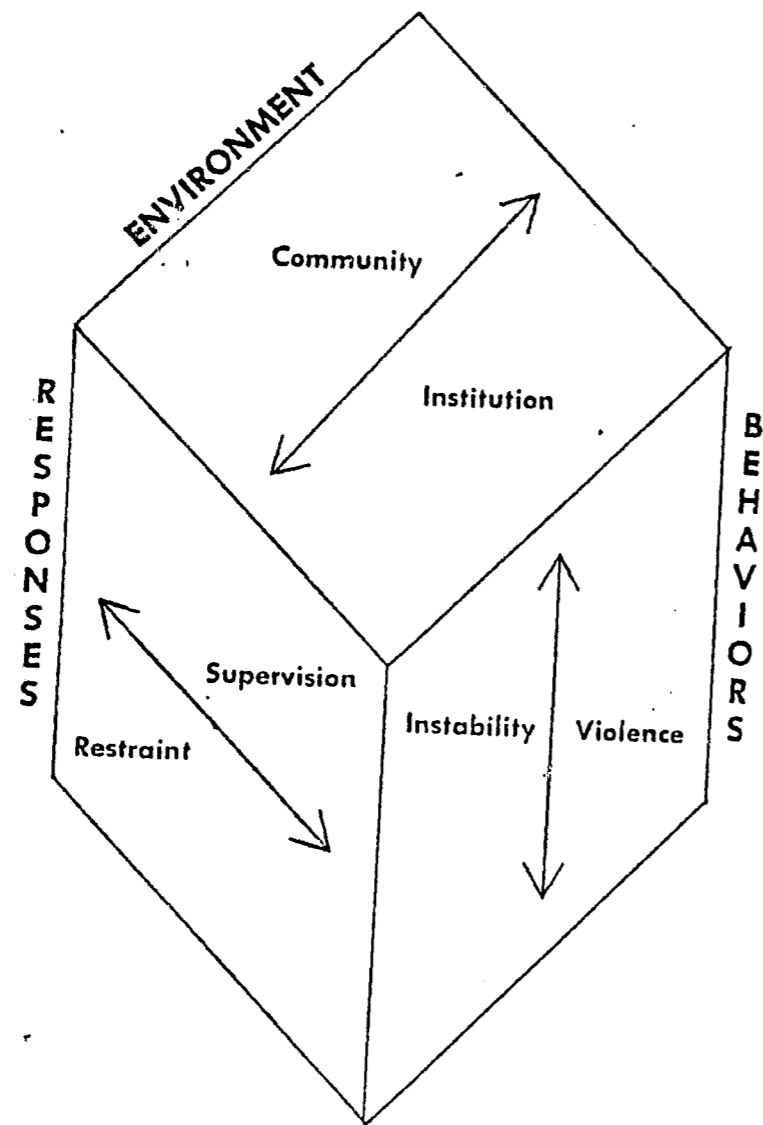
Figure 6 Relationship Between Violent and Dangerous Behavior

FIGURE 7 Instability and Violence Behavioral Continuums for the Institutional Environment

Figure 8: Matrix Relationship Between Level of Physical Restraint and Level of Supervision/Structured Programs.

INSTABILITY

		VIOLENCE

Escape — Escape
Attempted Escape

Assaults and Dangerous Disturbances

Murder
Attempted Murder
Rape
Assault
Dangerous Disturbance
Arson
Gang

Theft and Sexual Misconduct

Gang Activity
Bribery
Drugs
Forgery
Theft
Vol. Sex

Fighting — Fight

Rule Violations

Disobey Order
Insolence
Gambling
Unauthorized Movement and Property
Abuse Privilege

Intimidation and Threats

Contraband
Threat
Petty Theft

Non-Assaultive

Minor Rule Violation

LEVEL OF PHYSICAL RESTRAINT

LEVEL OF SUPERVISION/ STRUCTURED PROGRAMS

	LOW	MEDIUM	HIGH
LOW			
MEDIUM			
HIGH			

FIGURE 9

Security Designation/Risk	Classification/Population Management Factors	Risk Indicators (Initial and Re-Class)

Ticket Violations/Adjustment
Escape
Violence/Assaults

Classification/Population Management Factors:

Violence
Repeated Violations
Escape

Negative Transfer
Segregation
Drop in Grade
Loss of Good Time

Administrative Concerns
Institution (1st Placement)
Security Level (1st Placement)
Placement Transfers

Risk Indicators (Initial and Re-Class):

Offense (Current)
Gang Activities
Sentence Imposed
Race
County
Age at first arrest
Prior Convictions (#, Type)
Performance Supervision
   (type, outcome)
Institutional Performance
Time to Release
Current Dangerousness
Past Dangerousness
Drug/Alcohol Use
Marital Status
Employment
Height
Weight
Sex
Other Social/Clinical Indicators

Environmental Characteristics

Physical Indicators/Security Restraints
Supervision Indicators/Staffing
Program Component Indicators
Climate Indicators

FIGURE 10

Interaction of Inmate Behavior with the Correctional Environment

Accurate Information Available in the Environment

Past Life Experiences/ Perceptions Self-Evaluation

Attitudes About Prison and "This Prison"

Individual Inmate

Environmental Climate (Opportunities/and Barriers) and Staff/ Inmate Expectations

Feedback by Correctional Staff

Behaviors

Stability

Instability/ Violence

FIGURE 11 CORRECTIONAL CLASSIFICATION DECISIONS: TYPES AND JUNCTURES

DECISION JUNCTURES

RECEPTION

- Security Classification
- Institution Assignment
- Needs Specification
  - Medical
  - Psychiatric
  - Other

INSTITUTION

- Housing Assignment
- Program Assessment/Assignment
- Custody Level Reassessment/Reassignment
- Transfers

RELEASE

Community Centers
- Screening
- Assignment

Community Supervision
- Case Management
- Levels of Supervision
- Needs

COMMUNITY

Centers
- Programs
- Supervision Levels
- Case Management Assessments

Supervision
- Case Management
  - Supervision Level
  - Reassignment
  - Termination
  - Revocation
  - Needs Assessment
  - Service Delivery
  - Reassessment

DECISION TYPES

(Illinois Department of Corrections)
Policy Development Division
(10-79)

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FIGURE 12. MATRIX CALCULATION

	RISK SCORES			
	Low 0-6	Low Medium 7-15	High Medium 16-18	High 19-38
NEEDS Low 0-13	Low	Low Medium	High Medium	High
Low Medium 14-18	Low	Low Medium	High Medium	High
High Medium 19-28	Low Medium	High Medium	High Medium	High
SCORE High 29-48	High Medium	High Medium	High	High

Directions:

1. Circle correct Risk Score Heading

2. Circle correct Needs Score Heading

3. Circle the combined Risk-Needs Matrix Box Level

Circle One	Matrix Level	IDOC % Successful
1	Low - Candidate for forced release.	95%
2	Low Medium - Candidate for work release.	80%
3	High Medium - Institutional stay until completion of sentence.	35%
4	High - Institutional stay until completion of sentence.	14%

From: Early Release Risk/Needs Evaluation
Illinois Department of Corrections 7/13/82

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FIGURE 11   CORRECTIONAL CLASSIFICATION DECISIONS: TYPES AND JUNCTURES

DECISION JUNCTURES

| | RECEPTION | INSTITUTION | RELEASE | COMMUNITY |

DECISION TYPES

RECEPTION

Security
Classification

⬇

Institution
Assignment

⬆

Needs Specification
— Medical
— Psychiatric
— Other

INSTITUTION

- Housing
  Assignment

- Program
  Assessment/
  Assignment

- Custody Level
  Reassessment/
  Reassignment

- Transfers

RELEASE

Community
Centers

- Screening
- Assignment

Community
Supervision

- Case Management
  Levels of Supervision

- Needs

COMMUNITY

Centers

- Programs

- Supervision
  Levels

- Case Management
  Assessments

Supervision

- Case Management
  — Supervision Level
    — Reassignment
    — Termination
    — Revocation
- Needs Assessment
  — Service Delivery
  — Reassessment

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FIGURE 12.   MATRIX CALCULATION

RISK SCORES

NEEDS SCORE	Low 0-6	Low Medium 7-15	High Medium 16-18	High 19-38
Low 0-13	Low	Low Medium	High Medium	High
Low Medium 14-18	Low	Low Medium	High Medium	High
High Medium 19-28	Low Medium	High Medium	High Medium	High
High 29-48	High Medium	High Medium	High	High

Directions:

1. Circle correct Risk Score Heading

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From: Early Release Risk/Needs Evaluation
       Illinois Department of Corrections 7/13/82

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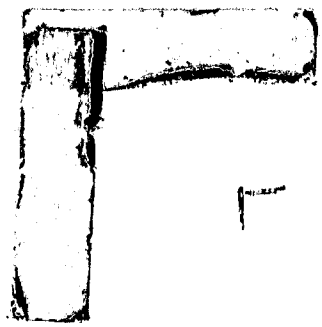
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Adult Institution Classification:

Part II

Validation Reports

I. INITIAL VALIDATION AND ANALYSIS FOR DEVELOPMENT OF THE MALE CLASSIFICATION INSTRUMENT

Illinois has approached classification from a research and development perspective. A postdictive study was designed to build and test a classification instrument and assess its impact prior to actual implementation. This was accomplished by drawing a sampling of inmates who were released to supervision from November 1980 through July 1981. For this sample, data was collected from master files on current and prior offense history, supervision history, demographic characteristics, special needs and administrative concerns, institutional movements, security changes, special housing assignments, and institutional behaviors. (See Appendix for the actual data collection instrument).

Analysis of this data base yielded the current Illinois Classification System. We were able to develop a system based on data from our population, test the predictiveness of the instrument, and identify the impacts that different cutting points would have on the distribution of the institutional population prior to the implementation of the instrument. The methods, analysis, and results of these activities are described in the pages which follow.

A. The Sample

1. Procedures

The project staff felt that a sample of 1,500 to 2,000 subjects would serve as a solid data base. This would yield a 10% sample of the institutional population. The sample was stratified by offense class to achieve a proportional distribution of offenses in the population. Random subsamples were then taken from each stratum and joined to form the total sample. In the first step, a file of offenders released between 11/1/80 and 5/31/81, plus additional murderers, was created. The first step was to create the following subfiles:

Class M	237
Class X	762
Class 1	198
Class 2	2,373
Class 3	1,221
Class 4	299
Misdemeanants	331
Others*	34

*("Others" means cases which could not be easily classified. Since the number is small, they were ignored).

In the second step, separate files were created for each of the subfiles. In the third step, offenders were randomly sampled from each class according to the distribution of classes in prisons on December 31, 1980. Since the required sample size was 2,000, the following numbers for each class were needed:

Class M	322	(all 237 were
		therefore included)
Class X	730	
Class 1	82	
Class 2	622	
Class 3	192	
Class 4	22	
Class 5	24	

Data collection began in June 1981 by 14 research assistants. Each assistant was assigned to an institution and given cases for which to collect information. All the data were obtained from the master file and collected on the coding instrument contained in the Appendix. Several checks for verification and accuracy was made throughout the data collection process. These procedures yielded a total sample of 1,479 cases.

2. Profile of the Sample

The analysis of the male postdictive sample was performed on 1,479 cases. Of the 1,479 total cases, 63.8% were black, 32.6% white, and 3.5% hispanic or other.

The breakdown by county indicates, as one would expect, that Cook County was the largest, with 62.1%. next was St. Clair with 2.7%, Madison, Sangamon, and Winnebago with 2.0% each, and Peoria and Champaign counties with 1.7% and 1.6% respectively. All other counties accounted for 26.0% of the total.

Data were provided on two variables related to the committing offense. Commitment offense types indicated a breakdown made up primarily of property crimes with 58.7% and crimes against the person with 32.3%. Drug or alcohol related offenses contributed 2.9% to the total, with 6.2% falling into the "all other" category. Of the 1,479 cases, 31.7% were Class X, 29.5% Class 2, and 17.9% Class M. 14.8% of the total was Class 3 with Class 4 providing 1.7% of the sample, misdemeanors 1.9%, and finally Class 1 with 2.5%. (See Figure 1). It is clear from the data on commiting offense class that the sample adequately represents the heavier population within Illinois.

The age of the offender is, as one would expect, skewed toward the younger age groups with 20 to 24 and 25 to 29 contributing 28.3% and 32.4% respectively. The 30 to 34 age bracket makes up 19.3% of the total, 35 to 39 with 7.8%, 40 to 44 with 5.1%, 45 to 49 with 3.4%, and finally 50 and older contributing 3.7% to the total. (See Figure 2).

The data on the minimum sentence being served for the sample again point to the heavier population. 21.6% of the total cases are serving 6 to 10 years, with 12.8% serving more than 10 years. 8.1% of the total have minimum sentences of 5 years, and 17.6% of the cases have 4 year minimum sentences. The last three categories are 20.6% of the cases with three years, 15.9% with 1 to 2 years and finally 3.4% with less than 1 year as a minimum sentence. (See Figure 3.)

The type of supervision was also examined for the postdictive sample and three major categories were present. No record of supervision contributes 33.1%, while adult probation and adult parole contributed 28.2% and 23.5% to the total. Bond as a form of supervision made up 8.5% of the total, with juvenile supervision accounting for 1.0%, and institutional supervision at 1.4%. Supervision status on the remaining 4.3% of the cases was unknown. (See Figure 4.)

A related variable to type of supervision is the outcome of supervision. The two major categories were no record of outcome with 33.0% and unknown with 28.6%. The reason for such large categories that provide little, if any, information is that supervision outcome is seldom indicated on rap sheets, and is difficult to find within a resident's master file. The outcome new offense/supervision terminated made up 16.1% of the total with technical violations accounting for 7.7%. (See Figure 5.)

The employment history variable was again dominated by two categories, partial with 41.5% and unemployed with 27.9%. Full-time employment prior to admission was indicated in 15.3% of the cases and part-time in 8.5%. Unknown employment status accounted for 6.8% of the total.
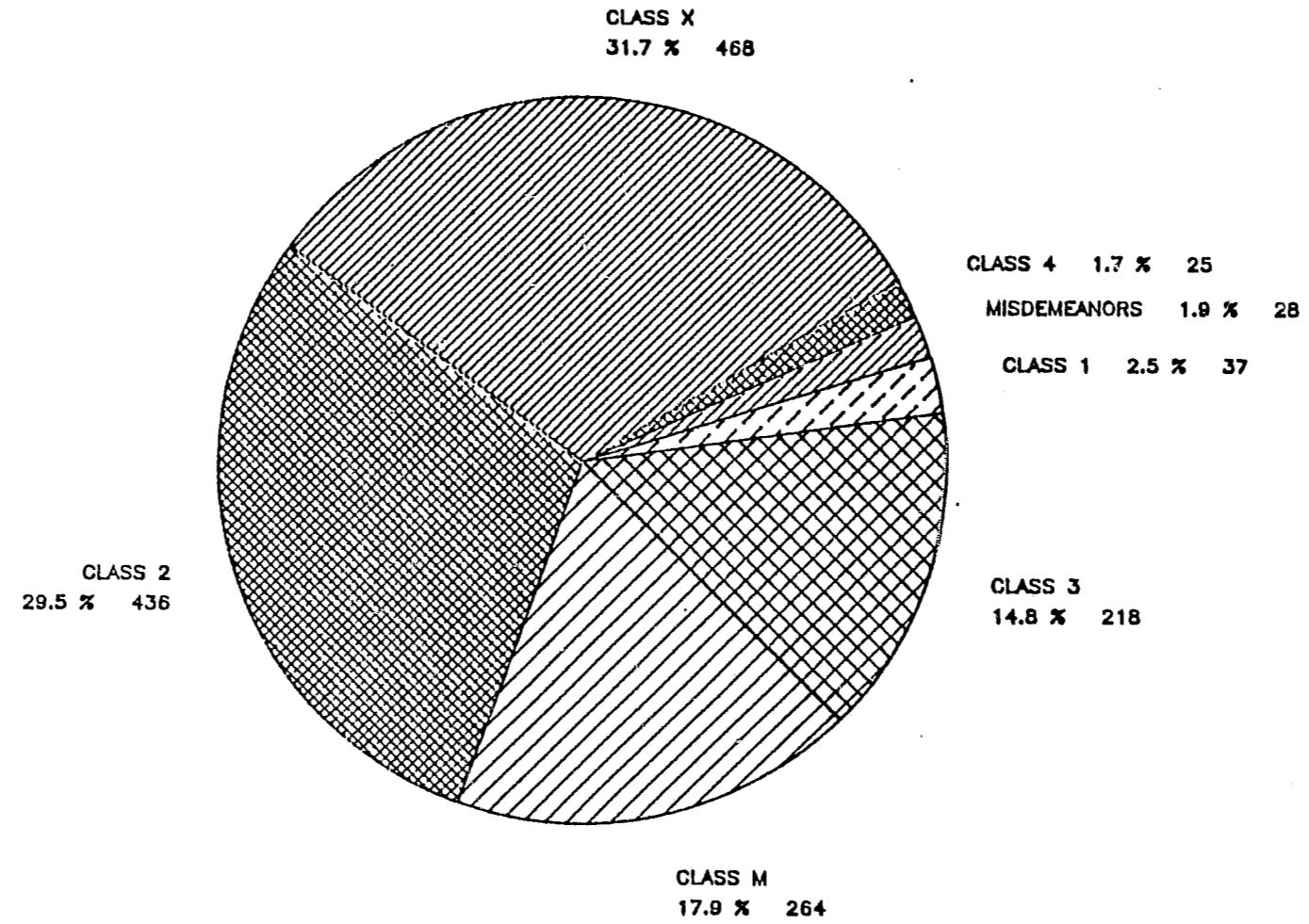
Marital status also followed the same breakdown pattern as the preceding two variables. Never married accounted for 45.0% of the total cases, with married at 25.1%. Formerly married made up 13.0%, common-law with 8.2%, and single/undistinguished with 7.4%. The marital status in the remaining 1.3% of the cases was unknown.

A set of variables presents information on administrative concerns or special needs within this sample population. 513 cases had special needs concerns. Of these 513, 49.1% indicated a special need surrounding drug abuse, with 25.0% related to alcohol abuse, and 12.7% involving mental health. In 9.4% of the cases there was an indication of a medical special need, with mental retardation and the other category, each making up 1.9% of the total.

FIGURE 1

POST—DICTIVE CLASSIFICATION STUDY
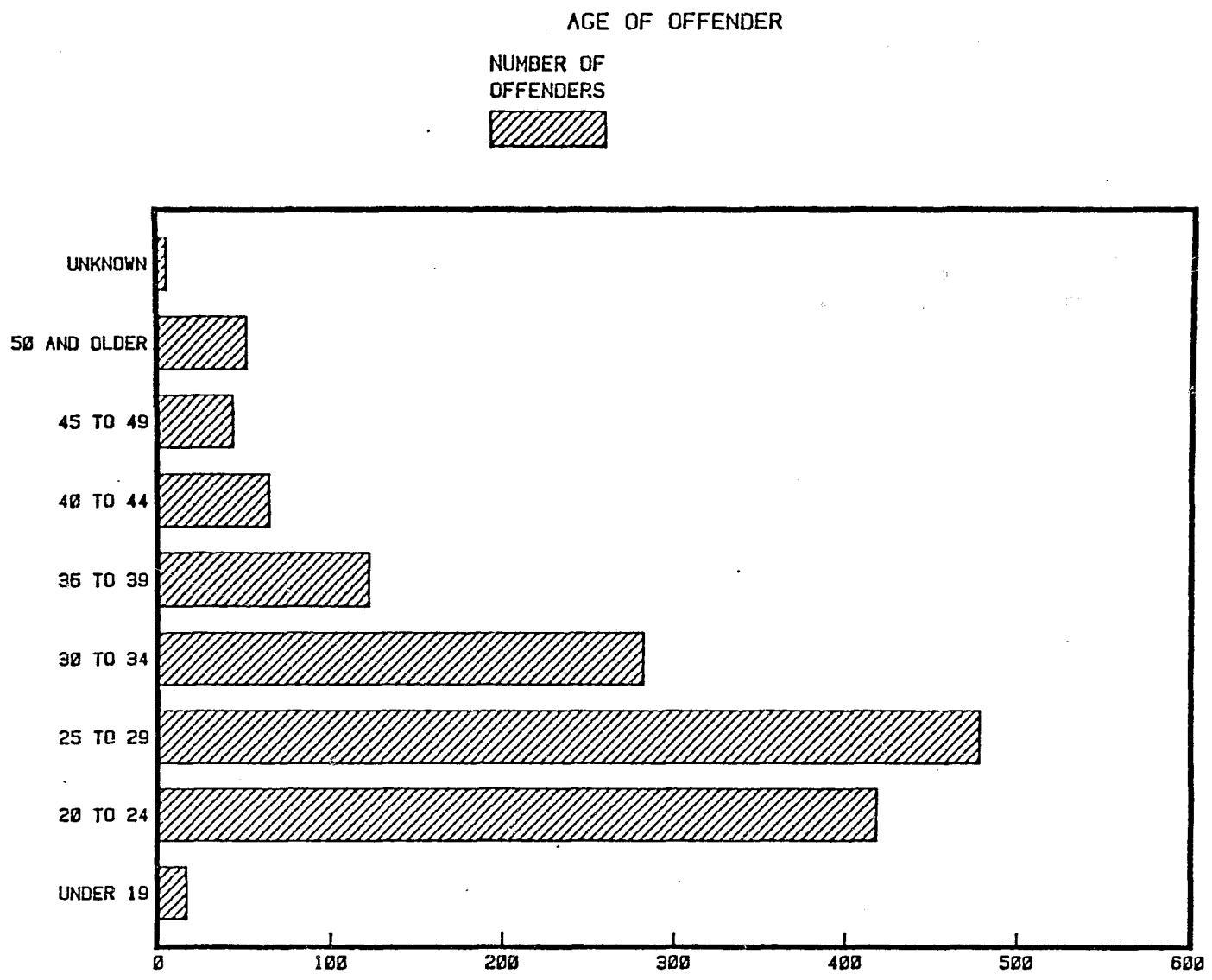
COMMITMENT OFFENSE CLASS

CLASS X
31.7 %   468

CLASS 4   1.7 %   25

MISDEMEANORS   1.9 %   28

CLASS 1   2.5 %   37

CLASS 2
29.5 %   436

CLASS 3
14.8 %   218

CLASS M
17.9 %   264

TOTAL KNOWN CASES = 1476
PREPARED BY: PLANNING/POLICY DEVELOPMENT

FIGURE 2

POST-DICTIVE CLASSIFICATION STUDY
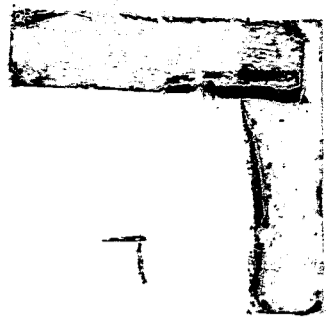
AGE OF OFFENDER

NUMBER OF
OFFENDERS

PREPARED BY: PLANNING/POLICY DEVELOPMENT

FIGURE 3

POST-DICTIVE CLASSIFICATION STUDY

MINIMUM SENTENCE FOR CURRENT OFFENSE

MINIMUM SENTENCE
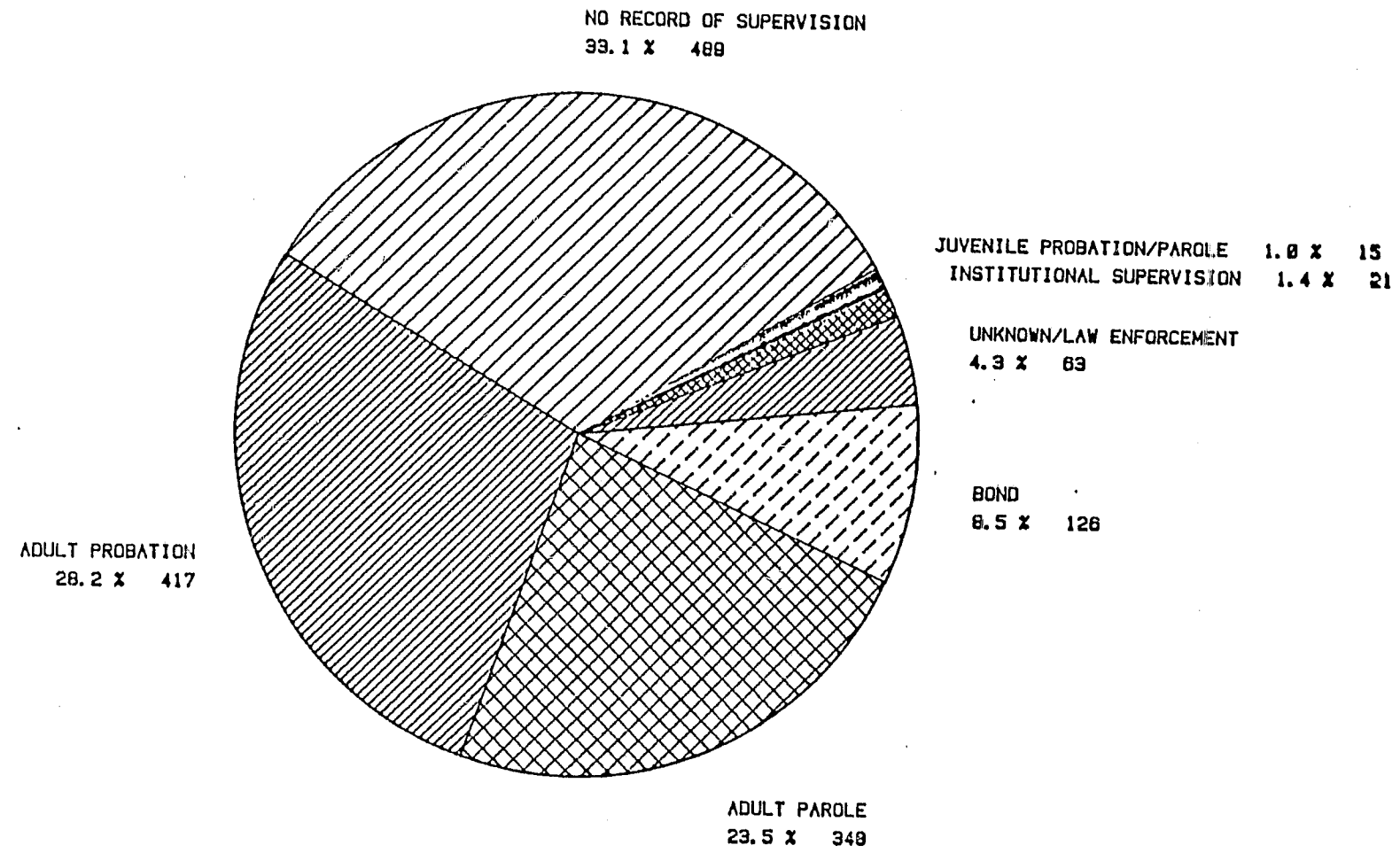IN YEARS
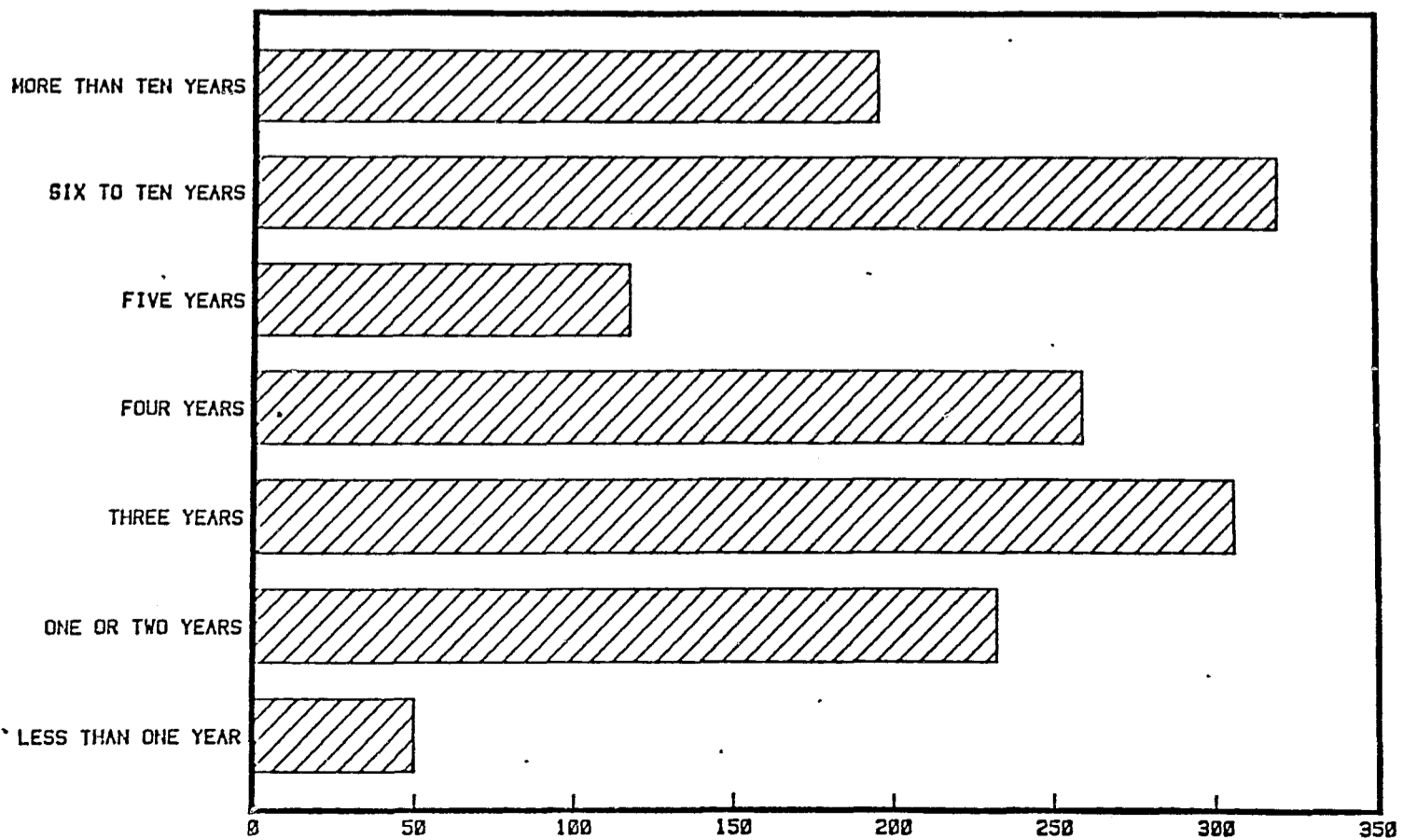
TOTAL CASES = 1479

PREPARED BY: PLANNING/POLICY DEVELOPMENT

FIGURE 3

POST-DICTIVE CLASSIFICATION STUDY

MINIMUM SENTENCE FOR CURRENT OFFENSE

MINIMUM SENTENCE
IN YEARS
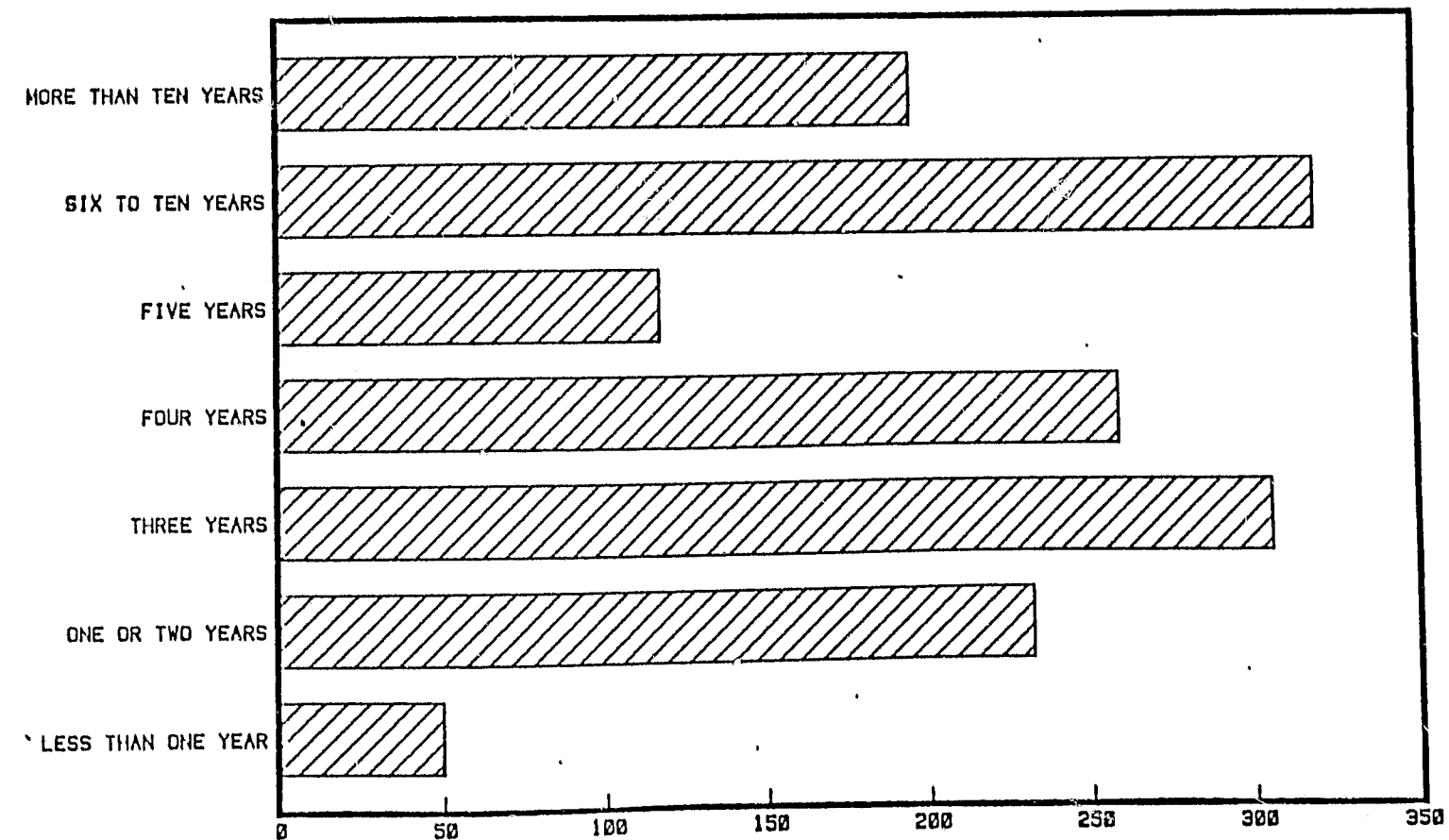
TOTAL CASES = 1479

PREPARED BY: PLANNING/POLICY DEVELOPMENT

FIGURE 4

POST-DICTIVE CLASSIFICATION STUDY

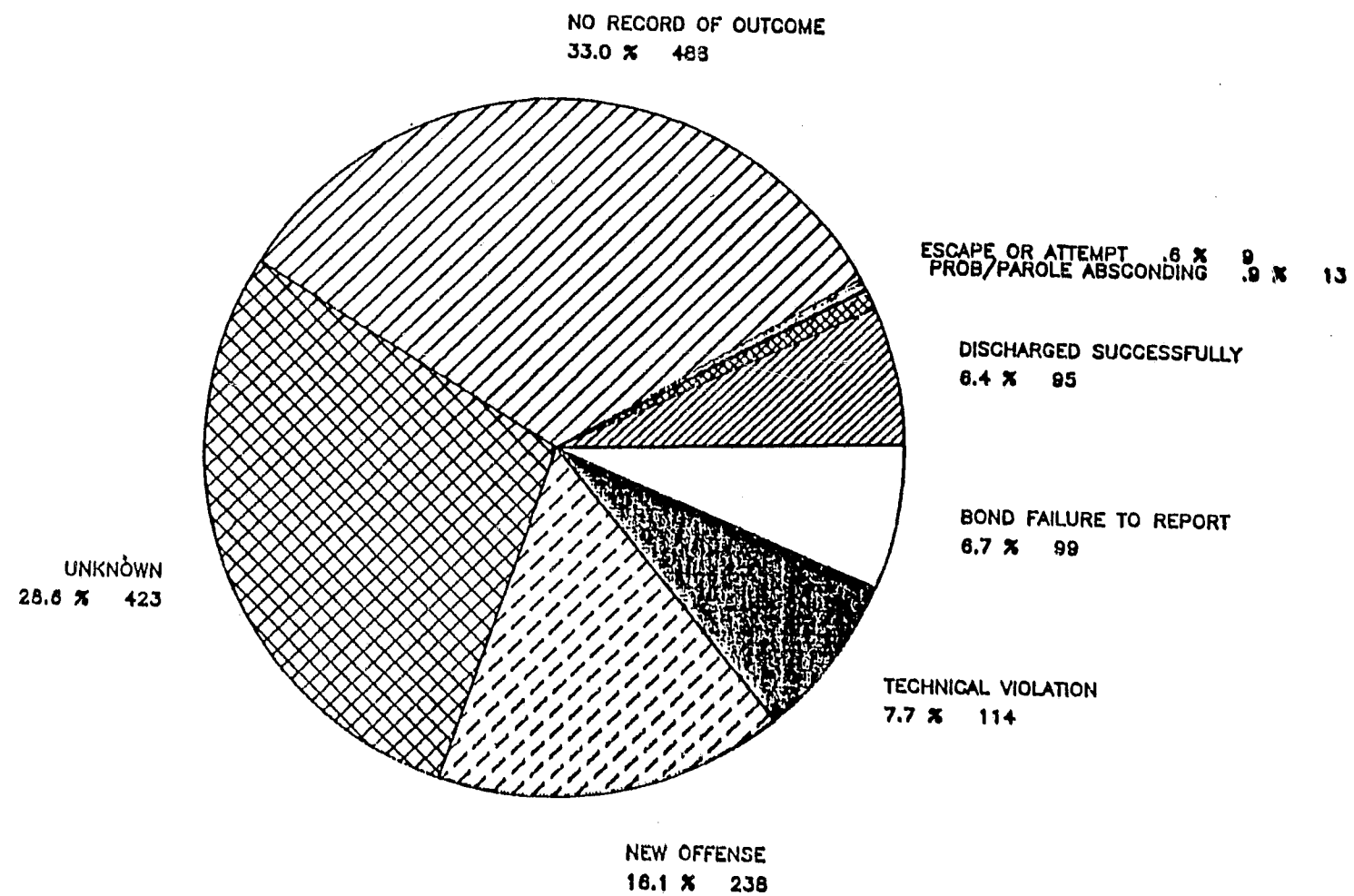## TYPE OF SUPERVISION FOR THE TOTAL POPULATION

NO RECORD OF SUPERVISION
33.1 % 489

JUVENILE PROBATION/PAROLE 1.0 % 15
INSTITUTIONAL SUPERVISION 1.4 % 21

UNKNOWN/LAW ENFORCEMENT
4.3 % 63

BOND
8.5 % 126

ADULT PROBATION
28.2 % 417

ADULT PAROLE
23.5 % 348

TOTAL CASES = 1479
PREPARED BY: PLANNING/POLICY DEVELOPMENT

FIGURE 5

POST—DICTIVE CLASSIFICATION STUDY

TYPE OF OUTCOME FOR SUPERVISION FOR THE TOTAL POPULATION

NO RECORD OF OUTCOME
33.0 %   488

ESCAPE OR ATTEMPT   .6 %   9
PROB/PAROLE ABSCONDING   .9 %   13

DISCHARGED SUCCESSFULLY
6.4 %   95

BOND FAILURE TO REPORT
6.7 %   99

UNKNOWN
28.6 %   423

TECHNICAL VIOLATION
7.7 %   114

NEW OFFENSE
16.1 %   238

TOTAL CASES = 1479
PREPARED BY: PLANNING/POLICY DEVELOPMENT

80

Out of the total sample of 1,479, 241 cases involved an administrative concern with 33.6% of the 241 cases involved in a separation case/known enemy. 29.0% involved organized crime or gang affiliations, and 17.4% relating to an unspecified protective custody need. The remaining categories each contained small percentages with detainees accounting for 5.8%, protective custody/gang with 4.6%, and protective custody/sex with 2.5%. All others accounted for 7.1%.

Of particular interest are the number of danger and adjustment tickets in the sample. For 1,479 cases there are 13,685 tickets given, 5.6% for danger tickets and 94.6% for adjustment. Breaking out the danger tickets, 36.6% were for arson, gang activity, and fighting, 32.8% were for violent offenses, and 30.6% were for threat, contraband, and petty theft. The adjustment tickets broke out as follows: rule violations 93.9%, other crimes 6.1%, and 9 escapes for less than 1%. Ticket data are detailed in the next section.

It is this sample and its data that lead to the development of the initial classification instrument. The total sample was split into construction and validation groups. The construction sample was used to build the instrument, which was then tested against the validation sample. Steps in the development of the instrument involved the defining of the dependent variable, identifying predictor variables, building an instrument, and testing its effectiveness. These steps are outlined below:

B.   Building the Dependent Outcome Variable

An implicit, if not explicit, component of any classification system is an attempt to predict an inmate's behavior while confined in a correctional institution. Therefore, the dependent variable in the Adult Classification System is behavior in the institution. The behavior could vary from adjusted/acceptable to maladjusted/unacceptable. One indicator of how well a resident adapts to institutional life is the kinds and numbers of tickets he receives during his incarceration.

Ticket information was collected on the sample of 1,479. Figures 9 and 10 are graphic representation of inmates receiving zero to fifty tickets. Of the sample, 13% received no tickets during their stay. Tickets were coded into adjustment and dangerous categories. Dangerous tickets were for behaviors which demonstrated force or threat of force on staff or fellow residents. Tickets for causing death by negligence or murder, involvement in dangerous disturbances, assault, forced sexual misconduct, arson, fighting, pressuring others to engage in gang activities, intimidation or threats, possession of dangerous contraband, and damage to property were combined to measure the presence of dangerous behavior. Adjustment tickets were for escape, bribery/blackmail, unauthorized sexual misconduct, gang activity, drugs, violation of rules, damage to property, forgery, theft, unauthorized property, insolence, creating a hazard, and abuse of privileges. Thus, the dependent variable was split into one indicator for dangerous behavior, and a second indicator for adjustment problem behavior. Figures 6 through 10 portray the distribution of tickets by type.

1. Measures for Dangerousness

Conceptually, dangerous/violent behavior within the institutions refers to those actions by inmates which jeopardize the health and safety of other inmates and/or staff. One attempt to operationalize the concept is to measure the tickets received by an inmate by number and type. Table 1 identifies those tickets coded as dangerous and their frequency in the sample.

Table 1 is the frequency of institutional behaviors as measured by tickets. Seventy-two percent of the sample received no tickets for dangerous behaviors, 16% received one ticket, and 12% received more than one ticket. One inmate received 16 tickets coded as dangerous.

The variable DNG is the total number of dangerous tickets received by an inmate. The computational formula is:

$$DNG = BH03 + BH04 + BH05 + BH06 + BH07 + BH08 + BH09 + BH10 + BH11$$

where BH03 . . . BH11 refers to the categories in Table 1 and is the number of tickets for each category earned by the inmate.

Because the number of tickets earned may be a function of length of time spent in the institutional setting, a rate measure was developed. The dangerous rate formula is:

$$DNGRATE = (DNG/STAY)*100$$

where:

DNGRATE is the dangerous ticket rate.
DNG is the number of dangerous tickets.
STAY is the length of time served in years.

This measure creates a comparable indicator between subjects by controlling for time.

The final derived dangerous dependent (ticket) variable is a weighted measure. Conceptually, some dangerous tickets are more serious than others. Therefore, certain tickets should be weighted heavier to account for the serious nature of the violation. Weighted measures were constructed by using an expert committee consisting of Clinical Supervisors, Captains, and Majors from the 13 institutions. These people ranked the tickets in order of seriousness. Finally, each were scaled by their inverse standard deviation with modifications so no one component would dominate the entire measure.

The base for the dangerous index was taken to be "fighting" because it had the highest mean reflecting the greatest frequency and thus can be expected to be more stable statistically than other ticket types. A series of adjustments were made to the weights to ensure that no single component over-weights the scale. After the final adjustment, the simple correlation between tickets and index is given below:

Table 2 CORRELATION MATRIX FOR DANGEROUS TICKET RATE AND THE DANGEROUS INDEX

RT03 Dang. Dist.	RT04 Assault	RT05 Rape	RT06 Arson	RT07 Fight	RT08 Gang	RT09 Threat	RT10 Contraband	RT11 Property
.664	.752	.257	.162	.242	.003	.16300	.116	.235

In the multiple regression (Summary given in Table 3) for items that built the index, assault entered first and gang activity entered last.

Table 3 SUMMARY TABLE MULTIPLE REGRESSION DEPENDENT VARIABLE . . DANGERX

VARIABLE	MULTIPLE R	R SQUARE	RSQ CHANGE	SIMPLE R	B	BETA
RT04	.78407	.61477	.61477	.78407	10.00000	.69725
RT03	.95903	.91973	.30497	.65372	7.000001	.52697
RT05	.97973	.95988	.04015	.21978	20.00000	.20324
RT07	.98835	.97684	.01696	.21854	1.000000	.12842
RT09	.99582	.99165	.01481	.13914	5.000000	.11010
RT10	.99796	.99593	.00428	.15052	.7999999	.06942
RT11	.99974	.99947	.00354	.10056	.9000001	.05927
RT08	.99996	.99991	.00044	.22633	.7000005	.02186
(CONSTANT)	1.00000	1.00000	.00009	.00144	2.000000	.00948
					-.5545545E-08	

The result of these computations was the formula:

$$DANGERX = (30*RT02) + (20*RT05) + (08*RT04) + (06*RT03) + (5*RT06) + (2*RT08) + RT07 + (.9*RT10) + (.8*RT09) + (.7*RT11)$$

where:

DANGERX is the Dangerous Index; RT02 . . . RT11 is the number of tickets in each category divided by length of stay; and the constants are the assigned weights.

The three measures DNG, DNGRATE and DANGERX were designed to be indicators of dangerous behaviors of inmates within the institution. One would, perhaps, expect that there be some degree of relationship between the three. That is, if an inmate scored high on DNG, it should correlate with his DNGRATE and DANGERX scores. To determine if this is in fact accurate, a Pearson correlation was computed for the three measures. The results are given in Table 4.

Table 4 PEARSON CORRELATIONS FOR THE DANGEROUS DEPENDENT VARIABLES

	DNG	DNGRATE	DANGERX
DNG	1.00	.6422	.5758
DNGRATE	.6422	1.000	.7544
DANGERX	.5758	.7544	1.000

N=1479

The strongest correlation is between DNGRATE and DANGERX. This is due to the fact that DANGERX is computed using rates for each ticket. The DANGERX variable was used as the dependent/outcome variable for the dangerous scale.

2. Measures for Adjustment

The same procedures were used to develop the adjustment measures. Only 13% of the sample did not receive an adjustment ticket, while 14% received over 21 such tickets. Table 1 identifies those tickets coded as adjustment and their frequency in the sample.

Total adjustment tickets were computed by:

$$ADT = BH12 + BH13 + BH14 + BH15 + BH16 + BH17 + BH18 + BH19 +$$
$$BH20 + BH21 + BH22 + BH23 + BH24 + BH25 + BH26 + BH27 +$$
$$BH28 + BH29 + BH30 + BH31.$$

where:

BH12 . . . BH31 refers to the number of tickets an inmate received for each category.

Adjustment ticket rate was computed by the same method as dangerous ticket rate.

$$ADTRATE = (ADT/STAY)*100$$

where:

ADTRATE is adjustment ticket rate.
ADT is total number of adjustment tickets earned.
STAY is the time served in years.

Again, adjustment tickets vary by seriousness. Using the same procedures as for the dangerous index, and adjustment index was built. The index was constructed to account for both the ticket rate and the seriousness of the ticket. Weights were assigned according to the inverse standard deviation and then adjusted to reduce the single impact of any one ticket.

84

The correlation matrix for the adjustment items against adjustment index is given in the table below:

Table 5 CORRELATION MATRIX FOR ADJUSTMENT ITEMS

RT12 Escape	RT13 Bribery	RT14 Sex	RT15 Gang	RT16 Drugs	RT17 Damage	RT18 Forgery
.414	.123	.005	.494	.287	.033	.079

RT19 Money	RT20 Theft	RT21 Property	RT22 Insolence	RT23 Move	RT24 Money	RT25 Lying
.050	.581	.188	.257	.226	.006	.564

RT26 Gambling	RT27 Disobeying	RT28 Identify	RT29 Violate Rules	RT30 Hazard	RT31 Abuse Privil.
.012	.342	.557	.201	.019	.018

85

In the regression, tickets for theft entered first and abuse of privileges entered last. See Table 6 for the Regression Summary Table.

The formula for the adjustment index is

$$MALADJX = (100*RT12) + (30*RT15) + (25*(RT13 + RT18)) + (20*(RT16 + RT18 + RT20 + RT25)) + (10*RT24) + (5*RT17) + (2*RT14) + RT27 + (.9*RT22) + (.7*(RT17 + RT26)) + (.6*(RT23 + RT27 + RT30 + RT31)).$$

Where:

MALADJX is the Adjustment index; RT12 . . .RT31 is the number of tickets for each category divided by length of stay; the constants are the assigned weights.

TABLE 6

SUMMARY TABLE MULTIPLE REGRESSION

(DEPENDENT VARIABLE. . MALADJX)

VARIABLE	MULTIPLE R	R SQUARE	RSQ CHANGE	SIMPLE R	B	BETA
RT20	.58154	.33819	.33819	.58154	20.00000	.38687
RT25	.73913	.54631	.20812	.51639	20.00000	.35978
RT12	.84002	.70564	.15933	.41350	100.00000	.40315
RT15	.91675	.84043	.13479	.49360	30.00000	.26703
RT16	.95819	.91812	.07769	.28689	20.00000	.27015
RT28	.97480	.95023	.03211	.55670	25.00001	.21390
RT13	.98364	.96755	.01732	.12306	25.00000	.12878
RT27	.99124	.98256	.01501	.34187	1.000000	.09378
RT29	.99493	.98988	.00732	.20086	.6000001	.05845
RT22	.99686	.99373	.00385	.25661	.9000000	.05489
RT18	.99826	.99653	.00279	.07868	20.00000	.05289
RT23	.99923	.99847	.00195	.22626	.6000000	.04378
RT21	.99954	.99908	.00061	.18768	.6000000	.02593
RT19	.99983	.99965	.00058	.03961	5.000000	.02585
RT14	.99988	.99977	.00011	.00478	2.000000	.00962
RT26	.99991	.99982	.00006	.01168	.7000000	.00728
RT24	.99994	.99988	.00006	-.00614	9.999999	.00770
RT30	.99997	.99993	.00005	.01860	.5999998	.00729
RT17	.99999	.99998	.00004	.03273	.6999996	.00663
RT31	1.00000	1.00000	.00002	.01801	.5999999	.00497
(CONSTANT)					.31268878-08	

Correlations between the three adjustment measures are given in Table 7.

TABLE 7

### PEARSON CORRELATIONS FOR THE ADJUSTMENT DEPENDENT VARIABLES

	ADT	ADTRATE	MALADJX
ADT	1.000	.5042	.2509
ADTRATE	.5042	1.000	.5215
MALADJX	.2509	.5215	1.000

N=1479

The correlations between the three adjustment dependent variables are lower than for the dangerous dependent variables. This may be because inmates tended to have greater numbers of less serious adjustment tickets. The weights, in effect, reduce the impact of the more numerous, but less serious adjustment tickets. The MALADJX measure was used as the dependent/outcome variable for building the adjustment scale on the classification instrument.

FIGURE 6

POST—DICTIVE CLASSIFICATION STUDY

NUMBER AND PERCENTAGE OF ADJUSTMENT AND DANGER TICKETS

DANGER TICKETS
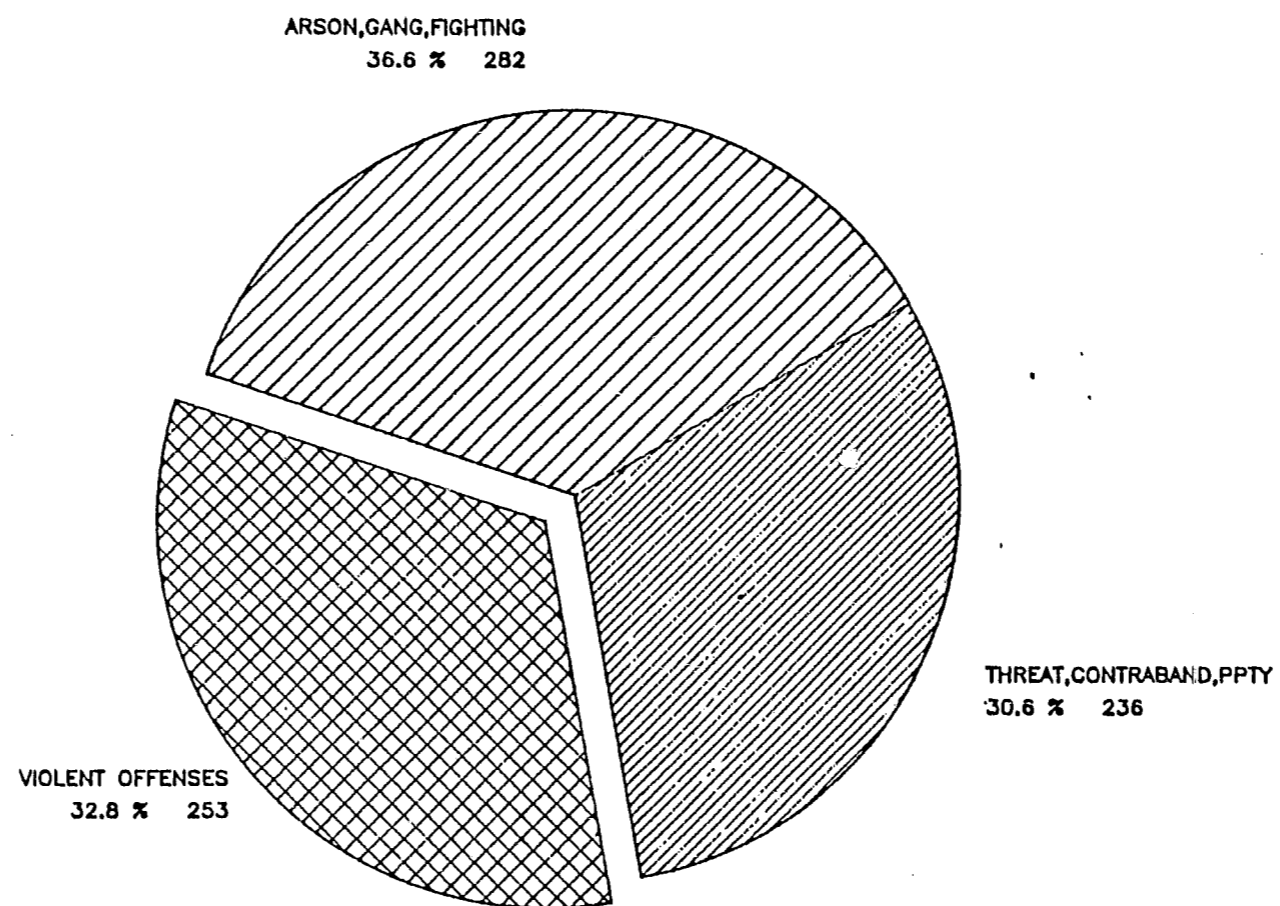5.6 %   771

ADJUSTMENT TICKETS
94.4 %   12914
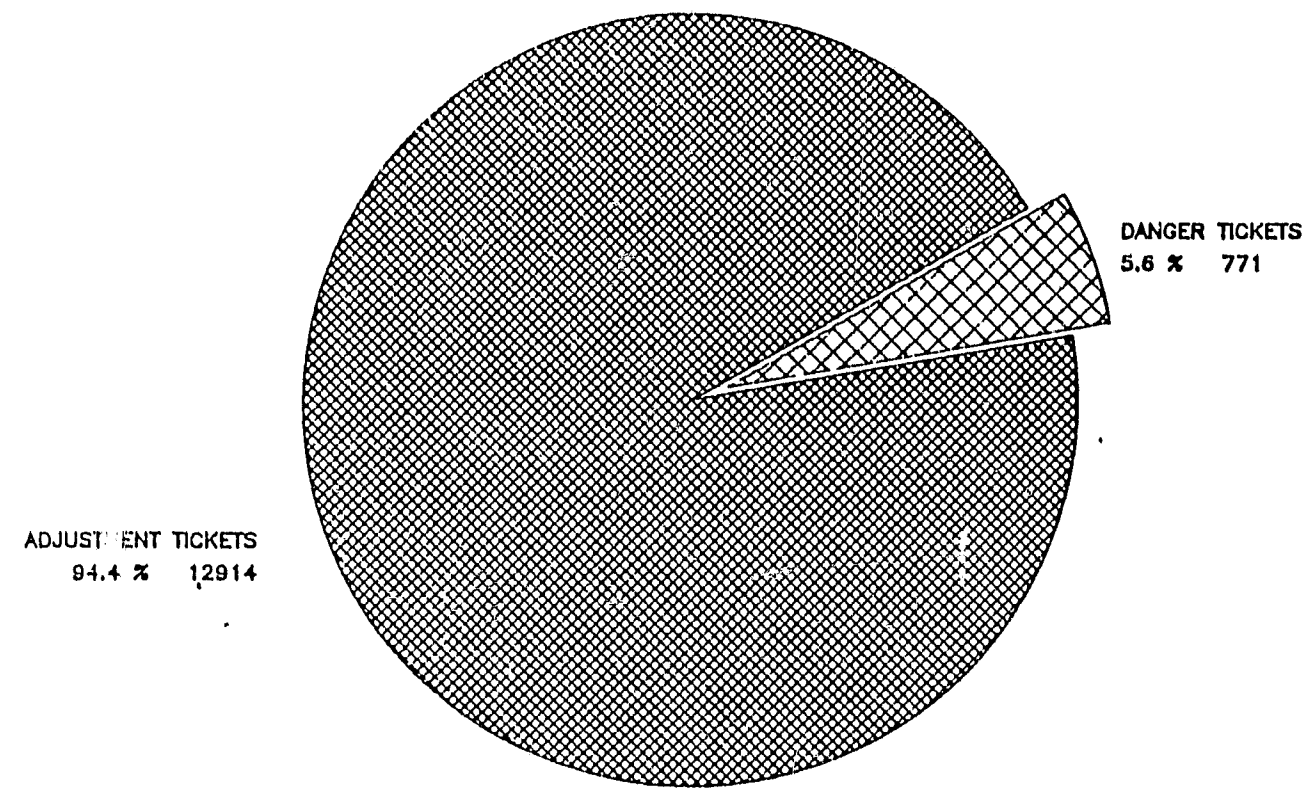
TOTAL CASES = 1479 TOTAL TICKETS = 13,717 TOTAL UNKNOWN TYPE OF TICKET = 32
PREPARED BY: PLANNING / POLICY DEVELOPMENT

FIGURE 7

POST—DICTIVE CLASSIFICATION STUDY

## NUMBER AND PERCENTAGE OF DANGER TICKETS BY OFFENSE CATEGORIES

ARSON,GANG,FIGHTING
36.6 %   282

THREAT,CONTRABAND,PPTY
30.6 %   236

VIOLENT OFFENSES
32.8 %   253

TOTAL CASES = 1479 TOTAL NUMBER OF DANGER TICKETS = 771 TOTAL TICKETS = 13,717
PREPARED BY: PLANNING/ POLICY DEVELOPMENT

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FIGURE 8

POST-DICTIVE CLASSIFICATION STUDY

NUMBER AND PERCENTAGE OF ADJUSTMENT TICKETS BY OFFENSE CATEGORY

OTHER CRIMES=826 ESCAPE=9
6.1 %   835

RULES VIOLATIONS
93.9 %   12914
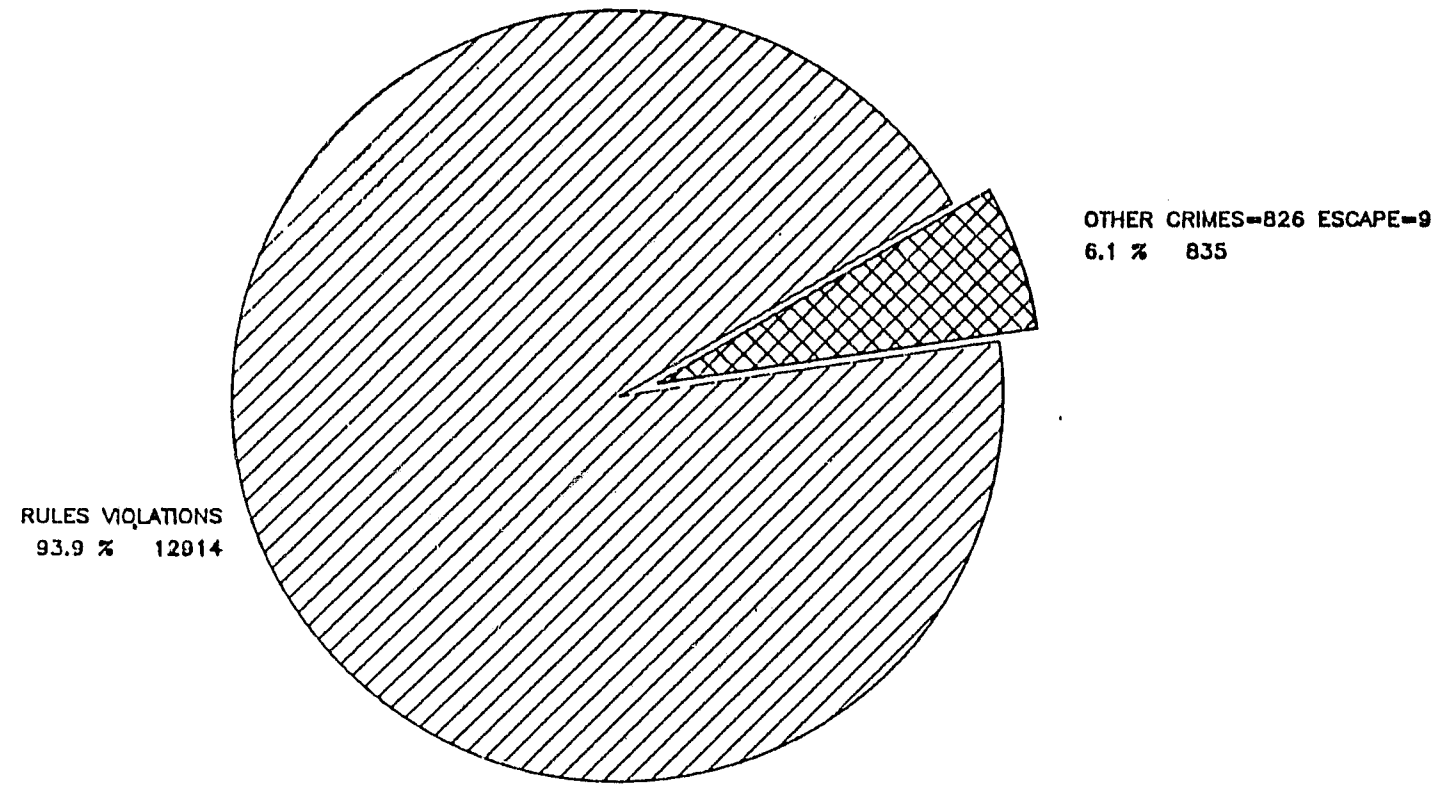
TOTAL CASES = 1479 TOTAL ADJUSTMENT TICKETS = 12,914 TOTAL TICKETS = 13,717
PREPARED BY: PLANNING/ POLICY DEVELOPMENT

FIGURE 9

POST—DICTIVE CLASSIFICATION STUDY

NUMBER OF PEOPLE IN EACH TICKET CATEGORY

RESIDENTS

PREPARED BY: PLANNING / POLICY DEVELOPMENT
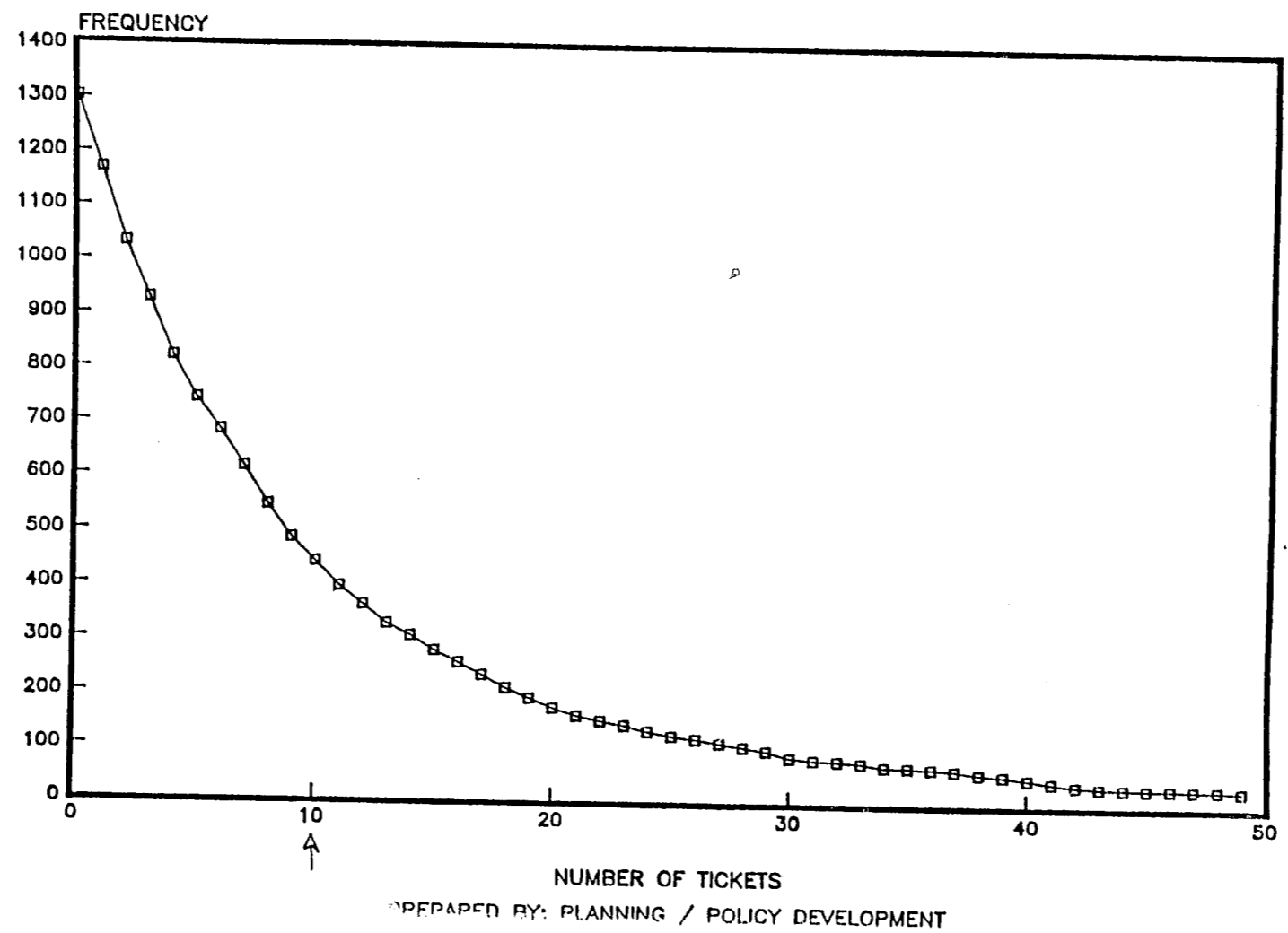
FIGURE 10

POST–DICTIVE CLASSIFICATION STUDY

NUMBER OF PEOPLE DROPPED FROM EACH TICKET LEVEL

DROP

— — ◇ — —
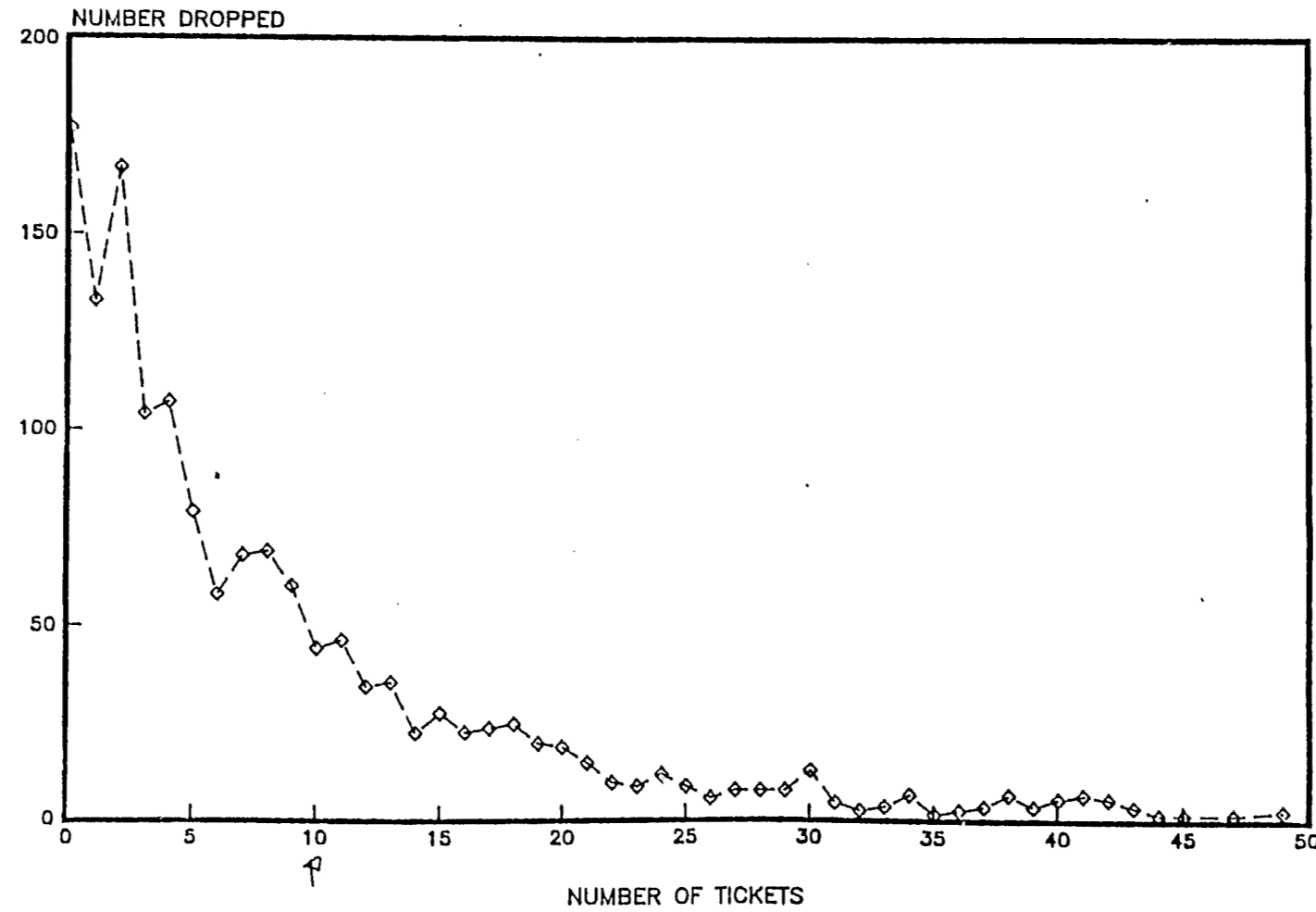
NUMBER OF TICKETS

PREPARED BY: PLANNING / POLICY DEVELOPMENT

TABLE 1

FREQUENCY OF INSTITUTIONAL BEHAVIORS AS MEASURED BY TICKETS

	NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES

DANGEROUS BEHAVIOR
CODE DESCRIPTION

		NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
03	Dangerous Disturbances	0	1,407	95.1%
	Causing, directing or	1	60	4.1%
	participating in action	2	8	.5%
	which may seriously	3	3	.2%
	disrupt or endanger the	4	1	.1%
	institution, persons or	TOTAL	1,479	100.0%
	property, including the			
	taking or holding of			
	hostages by force or			
	threat of force.			
04	Assaulting Any Person	0	1,379	93.2%
	Causing a person or an	1	84	5.7%
	object to come into	2	10	.7%
	contact with another	3	3	.2%
	person in an offensive,	4	1	.1%
	provacative, or	5	1	.1%
	injurious manner, or	8	1	.1%
	fighting with a weapon.	TOTAL	1,479	100.0%
05	Sexual Misconduct-Forced	0	1,471	99.5%
	Engaging in sexual inter-	1	8	.5%
	course, deviate sexual	TOTAL	1,479	100.0%
	conduct or fondling or			
	touching done to sexually			
	arouse with an animal or			
	against the will of or			
	without the consent of			
	the other person or persons.			
06	Arson	0	1,461	98.8%
	Setting fire in any	1	13	.9%
	part of the institution	2	4	.3%
	or its grounds.	4	1	.1%
		TOTAL	1,479	100.0%

DANGEROUS BEHAVIOR
CODE DESCRIPTION

Code	Description	NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
07	Fighting	0	1,280	86.5%
	Unauthorized fighting	1	144	9.7%
	with another consenting	2	42	2.8%
	person, which is not	3	7	.5%
	likely to cause serious	4	3	.2%
	bodily injury to one or	5	2	.1%
	the other, and which	10	1	.1%
	does not involve the	TOTAL	1,479	100.0%
	use of a weapon.			
08	Gang Activity-Pressuring	0	1,478	99.9%
	Others	1	1	.1%
	Pressuring others to engage	TOTAL	1,479	100.0%
	in gang activities.			
09	Intimidation Or Threats	0	1,384	93.6%
	Expressing by words, actions	1	71	4.8%
	or other behavior, an intent	2	17	1.1%
	to injure any person which	3	6	.4%
	creates the the reasonable	4	1	.1%
	belief that physical,	TOTAL	1,479	100.0%
	monetary, or economic			
	harm to that person or			
	to another will result.			
10	Dangerous Contraband	0	1,401	94.7%
	Possessing, manufacturing,	1	71	4.8%
	introducing or using,	2	6	.4%
	without authorizaton,	3	1	.1%
	any explosive, acid,	TOTAL	1,479	100.0%

caustic, material for
incendiary devices,
ammunition, dangerous,
chemical, escape material,
knife, sharpened instrument,
gun, firearm, razor, glass,
bludgeon, brass knuckles
or any other dangerous
or deadly weapon character.

ADJUSTMENT BEHAVIOR
CODE DESCRIPTION

Code	Description	NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
11	Damage Or Misuse Of	0	1,463	98.9%
	Property (Over $50	1	12	.8%
	Destroying or damaging	2	2	.1%
	or removing State property,	3	1	.1%
	property of another person	4	1	.1%
	including the obstruction	TOTAL	1,479	100.0%
	of locks or security devices.			
	DNG=BH03 + BH04 + BH05 +	0	1,061	71.7%
	BH06 + BH07 + BH08 + BH09 +	1	244	16.5%
	BH10 + BH11	2	108	7.3%
		3	26	1.8%
		4	11	.7%
		5	13	.9%
		6	7	.5%
		7	4	.3%
		8	2	.1%
		9	1	.1%
		12	1	.1%
		16	1	.1%
		TOTAL	1,479	100.0%
12	Escape	0	1,470	99.4%
	Leaving or failing to	1	9	.6%
	return to lawful custody	TOTAL	1,479	100.0%
	without authorization,			
	including the failure to			
	return from furlough			
	within 2 hours of the			
	designated time.			
13	Bribery & Blackmail	0	1,475	99.7%
	Demanding or receiving	1	3	.2%
	anything of value in	2	1	.1%
	exchange for protection,	TOTAL	1,479	100.0%

to avoid bodily injury,
or under duress or pressure.
Giving or receiving
money or anything of
value to bring dangerous
contraband or a controlled
substance into the
institution, to violate
state or federal law or
to commit any act
prohibited under this
regulation.

	NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES

ADJUSTMENT BEHAVIOR
CODE   DESCRIPTION

14   **Sexual Misconduct-Unauthorized** Voluntarily engaging in sexual intercourse, deviate sexual conduct or fondling, or touching done to sexually arouse either or both persons.

	0	1,460	98.7%
	1	14	.9%
	2	4	.3%
	4	1	.1%
	TOTAL	1,479	100.0%

15   **Gang Activity** Engaging in gang activities or meetings, displaying, wearing or using gang insignia, or giving gang signs.

	0	1,470	99.4%
	1	8	.5%
	2	1	.1%
	TOTAL	1,479	100.0%

16   **Drugs and Drug Paraphernalia** Possessing, manufacturing, introducing, selling, supplying to others, or receiving alcohol, any intoxicant, inhalant, narcotic, syringe, needle, controlled substance or marijuana, or being under the influence of any of the above substances. This section includes medication misuse, e.g., the possession or use of unauthorized amounts of prescribed medication, or selling or supplying prescribed medication to others.

	0	1,343	90.8%
	1	115	7.8%
	2	18	1.2%
	3	1	.1%
	4	2	.1%
	TOTAL	1,479	100.0%

17   **Damage Or Misuse of Property (under $50)** Destroying, damaging, removing, altering, tampering with, or otherwise misusing state property, or property of another person, including the obstruction of locks or security devices.

	0	1,391	94.1%
	1	76	5.1%
	2-7	12	.9%
	TOTAL	1,479	100.0%

	NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES

ADJUSTMENT BEHAVIOR
CODE   DESCRIPTION

18   **Forgery** Forging, counterfeiting or reproducing without authorization, any document, article of identification, money, security or official paper.

	0	1,458	98.6%
	1	21	1.4%
	TOTAL	1,479	100.0%

19   **Possession Of Money** Possessing or causing to be brought into the institution, United States coin or currency, or a negotiable instrument.

	0	1,449	98.0%
	1	29	2.0%
	2	1	.1%
	TOTAL	1,479	100.0%

20   **Theft** Taking property belonging to another person or the institution without the owner's authorization.

	0	1,265	85.5%
	1	168	11.4%
	2	37	2.5%
	3	7	.5%
	4-6	2	.2%
	TOTAL	1,479	100.0%

21   **Unauthorized Property** Possessing, giving, loaning or receiving or using property which an inmate has no authorization or permit to have or to receive and which was not issued to him through regular procedures, including the unauthorized possession of food or clothing, or the possession of property in excess of that which is authorized by the institution.

	0	897	60.6%
	1	318	21.5%
	2	127	8.6%
	3	66	4.5%
	4	39	2.6%
	5-9	31	2.0%
	TOTAL	1,479	100.0%

22   **Insolence** Talking, touching, gesturing, or other behavior which harasses, annoys, or shows disrespect.

	0	889	60.1%
	1	260	17.6%
	2	130	8.8%
	3	92	6.2%
	4	40	2.7%
	5	23	1.6%
	6-17	(45)	3.0%
	TOTAL	1,479	100.0%

	NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES

ADJUSTMENT BEHAVIOR
CODE   DESCRIPTION

23   Unauthorized Movement
Being anywhere without authorization, or being absent from where required to be.

NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
0	725	49.0%
1	283	19.1%
2	161	10.9%
3	98	6.6%
4	61	4.1%
5	43	2.9%
6	21	1.4%
7	30	2.0%
8-29	57	3.8%
TOTAL	1,479	100.0%

24   Transfer Of Funds
Causing money to be transferred from one trust fund to another or through outside sources to the account of another inmate.

NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
0	1,476	99.8%
1	3	.2%
TOTAL	1,479	100.0%

25   Giving False Information To An Employee
Lying or knowingly provide false information to an employee.

NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
0	1,261	85.3%
1	178	12.0%
2	30	2.0%
3-6	10	.7%
TOTAL	1,479	100.0%

26   Gambling
Operating or playing a game of chance or skill for anything of value, making bet upon the outcome of any event, or possessing any gambling device. This section does not include the participation in a lottery or contest conducted by the United States, the State of Illinois, or any local governmental unit in this state, as authorized by the institution.

NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
0	1,459	98.6%
1	17	1.1%
2	3	.2%
TOTAL	1,479	100.0%

ADJUSTMENT BEHAVIOR
CODE   DESCRIPTION

27   Disobeying A Direct Order
Willfully refusing to comply with an order, including the refusal to participate in testing for drug abuse and refusing to perform or accept a work assignment or refusing to accept a housing assignment.

NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
0	574	38.8%
1	294	19.9%
2	173	11.7%
3	126	8.5%
4	67	4.5%
5	50	3.4%
6	42	2.8%
7	36	2.4%
8	24	1.6%
9	24	1.6%
10	16	1.1%
11	53	3.6%
TOTAL	1,479	100.0%

28   Concealment Of Identity
Wearing a disguise or mask, impersonating another, or otherwise concealing one's identity.

NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
0	1,459	98.6%
1	19	1.3%
2	1	.1%
TOTAL	1,479	100.0%

29   Violation Of Rules
Willingly disobeying any rules of the facility.

NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
0	568	38.4%
1	314	21.2%
2	169	11.4%
3	120	8.1%
4	73	4.9%
5	66	4.5%
6	38	2.6%
7	26	1.8%
8	19	1.3%
9	12	.8%
10	13	.9%
11	9	.6%
12	20	1.4%
13	4	.3%
14	3	.2%
15	4	.3%
16	4	.3%
17	2	.1%
18	3	.2%
19	4	.3%
20	1	.1%
21	1	.1%
23	1	.1%
25	1	.1%

ADJUSTMENT BEHAVIOR CODE DESCRIPTION	NUMBER OF TICKETS	NUMBER OF CASES	PERCENTAGE OF CASES
	26	1	.1%
	32	1	.1%
	34	1	.1%
	37	1	.1%
	TOTAL	1,479	100.0%
30 Creating A Health, Fire	0	1,393	94.2%
Or Safety Hazard	1	68	4.6%
Smoking in unauthorized	2	14	.9%
area, tatooing, ear	3	1	.1%
piercing, or disregarding	4	2	.1%
basic hygiene of person	5	1	.1%
or cell.	TOTAL	1,479	100.0%
31 Abuse of Privileges	0	1,395	94.3%
Violating any rule regarding	1	63	4.3%
visits, mail, the library,	2	13	.9%
or telephone. However, if	3	5	.3%
the conduct also	4	1	.1%
constitutes a criminal	5	1	.1%
offense under federal or	6	1	.1%
state law, an inmate may	TOTAL	1,479	100.0%
be charged under S 501.			
ADJ=BH12 + BH13 + BH14 + BH15 +	0	193	13.0%
BH16 + BH17 + BH18 + BH19 +	1	130	8.8%
BH20 + BH21 + BH22 + BH23 +	2	136	9.2%
BH24 + BH25 + BH26 + BH27 +	3	118	8.0%
BH28 + BH29 + BH30 + BH31.	4	104	7.0%
	5	77	5.2%
	6	60	4.1%
	7	75	5.1%
	8	67	4.5%
	9	65	4.4%
	10	40	2.7%
	11	43	2.9%
	12	35	2.4%
	14	18	1.2%
	15	41	2.8%
	16	18	1.2%
	17	19	1.3%
	18	20	1.4%
	19	21	1.4%
	20	10	.7%
	21-50	207	14.0%
	TOTAL	1,479	100.0%

C. Identifying Predictors of Institutional Behaviors

In developing a classification instrument for initial placement, one is restricted to using information that can be obtained within the first ten days of admission. Because of this limitation, initial classification must be based on criminal history (convictions, supervision), demographic (race, age, etc.), and social history (employment, marital status) data. Studies have indicated that such variables tend to correlate poorly with institutional behavior. However, again, we can only begin by using the best available data, especially for new admission with no prior incarceration performance/behavior available for classification.

The first step in identifying potential items for the dangerous and adjustment scale was to group independent variables into meaningful categories. The independent variables included conviction history, supervision history, race, employment, marital status, and age. Convictions were grouped into eight categories: drug/alcohol, burglary/theft, reckless conduct, escape, sexual violence, current offense seriousness (as measured by degree of violence), weapons, and damage to property. Supervision history was coded as successful, technical violations, new offenses, escape and no supervision. The dependent variables were DANGER (weighted dangerous tickets) and MALADJ (weighted adjustment tickets).

Pearson correlations and multiple regressions were performed to aid in the identification of predictor variables.

Both dependent variables correlated negatively with most total conviction counts, indicating a tendency for convictions to decline with age. Similarly, both MALADJ and DANGER were negatively correlated to age at first conviction and age at current admission. MALADJ was negatively correlated to expected length of stay, while DANGER was not correlated to expected length of stay.

Offense convictions were measured in both total counts and conviction rate. Conviction rate was computed by:

CONVICTION RATE = TOTAL NUMBER OF COUNTS/(AGE AT ADMISSION-14)

Fourteen is subtracted from the current age because juvenile research suggests that it is the average age for first arrest. Therefore, the conviction rate measures the number of convictions divided by the amount of time at risk. More positive correlations occurred with the conviction rates than with the total counts. This supports the hypothesis that it is the conviction rate rather than a straight count of convictions that is of importance.

The highest individual correlates between convictions and DANGER, in order, were rate of prior convictions for reckless conduct, current offense seriousness, escape, and burglary/theft. For MALADJ the highest individual offense correlates, in order, were rate of convictions for burglary/theft, current offense seriousness, and total prior conviction rate. All individual correlates coefficients for the offense variables were .1, with the highest correlation between burglary/theft rate and MALADJ at .16.

Current offense seriousness, which measures the degree of violence involved in the current offense, correlated positively with DANGER and negatively with MALADJ. This finding suggests that those inmates convicted of violent crimes are dangerous, but adjust well to institutional life.

Age correlated negatively with both dependent measures and were the strongest single correlations. Age at admission tended to correlate better than either age at first arrest or age at first conviction. The correlation coefficient for age at admission with DANGER was -.1433, while with MALADJ -.2715.

Correlation coefficients were also completed between the outcome variables and social history variables. Marital status at admission was only weakly related to dangerousness during time served. Common-law married had less propensity of being high dangerousness, singles had greater prospensity. Persons never married, have somewhat greater adjustment problem than persons who are or have been married. Full-time employment prior to admission resulted in about half the level of highly dangerous behavior during time served, compared to other states of employment. Regarding supervision outcome, there were more high dangerousness associated with technical violators, least among dischargees, and escapees and new offenses falling between the two. Race is unrelated to adjustment problem rate.

A multiple regression was run with all the variables entered as possible predictors against the DANGER and MALADJ variables. The variables included offense counts and rates, current offense seriousness, age at current admission, age at first arrest and age at first conviction.

For DANGER, the first variable entered was age at admission with multiple R of .1269. Second was the conviction rate for disorderly conduct offenses, current offense seriousness, and conviction count for disorderly conduct offense. The fifth variable entered was conviction rate for burglary/theft and sixth, the conviction rate for escape. Also entered were conviction rates for damage to property, prior convictions, and violence. None of these, however, significantly improved the explanation in variance. The multiple R for the regression equation with the first six variables was .1993.

Conceptually, the offense variables identified are reasonable. One would expect that disorderly conduct, escape, and seriousness of offense to be predictors of institutional dangerousness. It is interesting that the conviction rate for violent offenses entered ninth and only produced a R square change of .00140. Thus, violence in the community does not help predict violence/dangerousness in the institution. The multiple regression summary table for DANGER is provided in Table 8.

TABLE 8

MULTIPLE REGRESSION SUMMARY TABLE FOR DANGER

VARIABLE	MULTIPLE R	R^2	R^2 CHANGE	SIMPLE R
Age at Admission	.12692	.01611	.01611	-.12692
Disorderly Conduct Rate	.16637	.02768	.01157	.11195
Current Offense Seriousness	.18201	.03313	.00545	.06645
Number of Disorderly Convictions	.19168	.03674	.00361	.05170
Burglary/Theft Rate	.19600	.03842	.00168	.04497
Damage to Property Rate	.20228	.04092	.00120	.02385
Prior Conviction Rate	.20497	.04201	.00109	.05170
Violence Rate	.20835	.04341	.00140	.01848
Convictions For Damage To Property	.20850	.04347	.00006	.01195

The same group of variables were set as potential predictors for MALADJ multiple regression. The first variable entered was prior conviction rate with a multiple R of .17728, followed by age at admission. Entered third was the rate for burglary/theft, then the number of convictions for burglary/theft. Fifth was the conviction rate for drug/alcohol, followed by supervision outcome. The last four variables, rate for weapons, counts on drug/alcohol, disorderly conduct rate and rate for violence, did not significantly improve the R square. The Summary Table is given in Table 9.

TABLE 9

MULTIPLE REGRESSION SUMMARY TABLE FOR MALADJ

VARIABLE	MULTIPLE R	R^2	R^2 CHANGE	SIMPLE R
Prior Rate	.17728	.03143	.03143	.17728
Age At Admission	.20624	.04253	.01111	-.14164
Burglary/Theft Rate	.22077	.04874	.00621	.17059
Burglary/Theft Convictions	.22844	.05219	.00345	.06711
Drug/Alcohol Rate	.23161	.05364	.00145	.04148
Supervision Outcome	.23447	.05498	.00134	-.00604
Weapon Rate	.23519	.05552	.00020	.00983
Disorderly Rate	.23573	.05557	.00005	.04232
Violence Rate	.23578	.05559	.00002	.04522

The multiple R for the equation with the first six variables was .23447. Variables entered first suggest that those individuals who have problems adjusting to community life, as indicated by prior conviction rate, and drug/alcohol conviction rate, will be more likely to have problems adjusting to institutional life. It is interesting to note that DANGER and MALADJ are explained by different sets of conviction variables. This suggests that the dangerous inmate is indeed different than the maladjusted inmates.

Overall, more variance can be explained in the adjustment variable than the dangerous variable. Knowledge about conviction history explains 2% of the variance in dangerous behaviors and 5% in adjustment behaviors. The low explanation of variance could be due to the differences in the environmental context. Community life and institutional life are very different. Indeed, how an individual behaves in one context may not be expected to correlate with his behaviors in the other environment. Another confounding problem is the low base rate for the outcome variables, especially DANGER.

D. Building the Classification Instrument

The classification instrument was built by using the better offense variable predictors for each index along with personal history variables (marital, employment, age). The instrument consists of two separate, additive scores: dangerousness score and adjustment score. Each is designed to aid in the prediction of the associated institutional behavior. Both scales were built and tested through SPSS computer programs.

1. Dangerous Score

Using the same coding as with the multiple regression, reckless conduct rate, escape rate and burglary/theft rate were selected for inclusion in the instrument. These were the first offense variables entered in the regression. Associated with each offense variable is a weight. The weight was used to build a numerical scale. Weights were adjusted proportionally to provide the most simplistic model while insuring that no item overweights the entire scale. The weights correspond to the variables entrance in the multiple regression. Scores given for current offense seriousness, technical violation, and employment credit were similarly adjusted. These variables are treated as a dichotomy. A score was given if the admitted person possessed the characteristic, a zero first if not. The final result of these activities is shown in Table 10 which outlines the steps in the computer program to build the instrument. These steps correspond with the actual instrument. (See the Appendix.)

Dangerous scale has a Pearson correlation coefficient with the age at admission of -.7526, disorderly rate .4613, burglary/theft rate .3460, and escape rate .2754. Age at admission, consequently is the single most influential factor in determining the dangerous score. The dangerous scale has a Pearson coefficient of .1680 with DANGER.

TABLE 10

DANGEROUSNESS INDEX SCORING PROCEDURE (15 STEPS)

1. Age at current admission (yrs) _____

2. Exposure (subtract 14 yrs from #1) _____

3. Total number convictions for conduct _____

4. Total number convictions for escape _____

5. Total number convictions for burglary/theft _____

6. Age score (subtract #1 from 70 yrs.) _____

7. Reckless conduct score (multiply 80 times #3,
     then divide by #2) _____

8. Escape score (multiply 40 times #4,
     then divide by #2) _____

9. Burglary/theft score (multiply 30 times #5,
     then divide by #2) _____

10. Current offense type score (enter 10 if violence
     against person, otherwise 0 _____

11. Current offense seriousness score (enter 10 if 5 or
     higher otherwise 0) _____

12. Prior supervision outcome score (enter 10 if technical
     violation, otherwise 0) _____

13. Subtotal (add #6 + #7 + #8 + #9 + #10 + #11 + 12) _____

14. Employment credit (enter 10 if full employment,
     otherwise 0) _____

15. DANGEROUSNESS INDEX (subtract #14 from #13) _____

HIGH, dangerousness index is more than 76

MEDIUM, Dangerousness index is 47-76

LOW, dangerousness index is less than 47

2. Adjustment Score

Variables selected for the adjustment scale were age, total prior conviction rate, burglary/theft conviction rate, drug/alcohol conviction rate, marital, and employment. Again, these were the variables identified as being the best predictors for adjustment behaviors.

Weights for the offense variables were adjusted in a similar process as for the dangerousness. Current offense type, marital scores and employment credit were treated as dichotomies. Table 11 outlines the scoring procedure for the adjustment scale. (See Appendix for the actual instrument).

Age at admission has a Pearson coefficient of -.8412 with the adjustment scale. The coefficient for adjustment scale with prior conviction rate is .6023, burglary/theft rate .5434, and with drug/alcohol rate -.0223. The adjustment scale correlates with MALADJ (weighted adjustment ticket scale) at .1913. As with the dangerous scale, age is strongest variable in the adjustment scale.

3. Cut-Off Points

Through the adjustment of cut-off points, the sorting of inmates into various security level institutions occurs. The decision rules for cut-offs focused on both how well they sort the sample and limitations imposed by the location of available beds. The new scales sort fewer people into high security and more into low security. As Tables 12 indicate, essentially we could double the number of low classifications and cut the number of high classifications in half and still maintain a low rate of later upward reclassification for subsequent behavior. Thus, the new classification instrument allowed placement of more inmates in lower security without increasing ticket rates.

The actual male classification instrument and explanation is provided in the Appendix.

TABLE 11

ADJUSTMENT INDEX SCORING PROCEDURE (14 STEPS)

1. Age at current admission (yrs) _____

2. Exposure (subtract 14 yrs from #1) _____

3. Total number convictions (including current) _____

4. Total number convictions for drugs/alcohol _____

5. Total number convictions by burglary/theft _____

6. Age score (subtract #1 from 70 yrs.) _____

7. Total convictions score (multiply 40 times 3,
    then divide by #2) _____

8. Drug/alcohol score (multiply 30 times #4,
    then divide by #2) _____

9. Burglary/theft score (multiply 10 times 5,
    then divide by #2) _____

10. Current offense type score (enter 5 if burglary/theft
    or escape, otherwise 0) _____

11. Marital score (enter 5 if never married, otherwise 0) _____

12. Subtotal (add #6 + #7 + #8 + #9 + #10 + #11) _____

13. Employment credit (enter 10 if full employment,
    otherwise 0) _____

14. ADJUSTMENT INDEX (subtract #13 from #12) _____

HIGH, adjustment index is greater than 76

MEDIUM, adjustment index is 45-75

LOW, adjustment index is less than 45

TABLES 12

FINAL RESULT ON TEST SAMPLE - ADJUSTMENT

		Initial Security Classification Actually Given by Current System			
		Low	Medium	High	Total
	Low	20	212	54	286
Level of Maladjustment Subsequently Exhibited by Tickets	Medium	6	82	13	101
	High	2	75	19	96
	Total	28	369	86	483

		New Adjustment Index Based Only on Information Available at Time of Initial Classification			
		Low	Medium	High	Total
	Low	63	202	22	287
Level of Maladjustment Subsequently Exhibited by Tickets	Medium	8	85	8	101
	High	3	77	16	96
	Total	74	364	46	484

FINAL RESULT ON TEST SAMPLE - DANGEROUSNESS

Initial Security Classification
Actually Given by Current System

		Low	Medium	High	Total
		Low	Medium	High	Total
	Low	23	298	63	384
Level of Dangerousness of Behavior Subsequently Exhibited by Tickets	Medium	4	52	17	73
	High	1	19	6	26
	Total	28	369	86	483

New Dangerousness Index Based Only on
Information Available at Time of Initial Classification

		Low	Medium	High	Total
	Low	77	283	25	385
Level of Dangerousness of Behavior Subsequently Exhibited by Tickets	Medium	4	60	9	73
	High	6	19	1	26
	Total	87	362	35	484

II. FINDINGS AND FUTURE DIRECTIONS

A. Findings

Generally, these initial findings are consistent with the observations presented in Part I.

Here are some of the similarities and differences:

Similarities

- Pre-incarceration factors are weak predictors of institutional misconduct.

- Age is the best predictor of institutional conduct. The younger the inmate, the more likely he/she is to receive tickets.

- Marital status and job stability are also related to institutional misconduct.

Differences

- Conviction rates are better predictors than a straight conviction count.

- There is a real distinction between the dangerous inmate and the rule violator.

- Those inmates convicted of violent crimes are dangerous but adjust well to institutional life.

These factors were found to have the greatest association between danger and adjustment for pre-incarceration and in-institution behaviors:

Dangerous Index

Key elements (in order of importance, most important and first):

1. Age at current admission) Older means
2. Age at first conviction) Less dangerous
   (from criminal history)
3. Total conviction rate (# convictions))
   $$\frac{\text{(# convictions)}}{\text{(Age} - 14)}$$)
4. Rate of convictions for reclass conduct) higher means
5. Rate of convictions for violence) more dangerous
   against person)
6. Rate of convictions for burglary/theft)
7. Number of convictions for reckless)
   conduct)

8. Crime seriousness measure)
   (current offense))
9. Technical violation raises dangerousness)
10. Full-time employment lowers dangerousness)

Adjustment Index

Key elements:

1. Age at current admission   ) older means
2. Age at first conviction   ) maladjustment
3. Total conviction rate   )
4. Rate of convictions for burglary/thef) higher means
5. Rate of convictions for violence   ) more-malad-
   against person   ) justment
6. Never married raises maladjustment)
7. Full-time employment lowers maladjustment)

Pre-incarceration factors are not strong predictors - but they are a place to start. And consistently applied, are better than the subjective judgement of the Counselor or assessment of risk. The role of the Counselor is to go beyond the indicators to the exception - where the risk is likely to be greater or less than would be expected, given the instrument risk assessment.

The first step is collection of information - the next step is better descriptions by looking at the outcome and beyond.

The Illinois Adult Institution Classification Design is consistent with the Rand Study:

> "We recommend that the corrections system continue its policy of utilizing criminal history information in determining initial custody rating and, as time passes, allowing placement and privileges to be governed by institution behaviors." (Honig, 1980:XVII)

Reclassification monitors ticket behavior and in-institution program and work performance. The juncture of concern is movement into the community. Here the factors of concern shift from in-institution to in-community indicators for risk assessment. These factors are currently being examined. See also, Fowler and Jones, "Initial Validation Report of the Case Classification System," (1982); and Rans, Fowler, and Miller, "Murder Release Criterion Study, (1982).

B. Future Directions

The initial validation effort was "a beginning." Experience with the initial instrument have identified areas of concern and future directions for inquiry. Two actions are currently underway:

- Further analysis of the Post-dictive data base to learn more about the environmental/other questions raised by the literature and by IDOC staff.

- Refinements and simplification of the initial classification instrument.

As part of the initial classification instrument/procedure refinement, a distinction is evolving between new admittees (with no prior record of in-institution behavior) and those who are being reincarcerated either for a new sentence or a technical violation.

Part I notes that Illinois has been involved with the design and implementation of several classification efforts.

The Illinois classification systems (Adult Institution and Community Case Classification and Juvenile) have been designed to improve our knowledge of risk of adjustment and violence in-institution and in-community. Such questions as these are the type Illinois hopes to address in the next two to five years:

- How are community and prison violence related?

- What is the progression and pattern of development of juvenile and adult violence?

- How does the extent and type of prison misconduct vary over the time of the sentence? Are there differences by the length of sentence in rate and seriousness of tickets, segregation time, and negative transfers?

- How do prison environment and types of inmates interact to produce high (or low) levels of violence? (Environmental factors include housing arrangements, population density, staff orientation, security measures, program, service and recreation facilities.)

- What is the transition with regard to risk and need from the institution environment to the community environment?

- What information should an institution classification system provide to a community supervision classification system-and-what information should the community supervision classification system provide to the institution classification system to improve the ability to classify and manage the recidivist offender?

- How do recidivists differ in their institution adjustment and violent behaviors? Are there

differences in this and their prior incarceration in ticket rate and seriousness, segregation time, and negative transfers?

A separate Revalidation Report on improvements to the Adult Institution Initial Classification Instruments will be prepared Fall, 1982.

APPENDIX A

CIMIS   ILLINOIS DEPARTMENT OF CORRECTIONS
                 CORRECTIONAL INSTITUTION MANAGEMENT INFORMATION SYSTEM

RUN DATE: 05/18/82   RECEPTION CLASSIFICATION REPORT # 6
                              JOLIET BRANCH   (03)   IDOC NUMBER: N21234
NAME: DOE, JOHN
                                                           EVALUATION DATE: _____

                        *** SECURITY DESIGNATION ***
****
ADJUSTMENT SCORE

                                    70 . 00

    AGE AT CURRENT ADMISSION   - .
    (SUBTRACT CURRENT AGE FROM 70) ===============   ____ . ____ (A)

1A. AGE SCORE   ____ . ____   (ENTER AT A)

    AGE AT CURRENT ADMISSION   ____ . ____

    (SUBTRACT 14 FROM CURRENT AGE) - 14 . 00
                                    ===============

1B. AGE AT ADMISSION SCORE   ____ . ____   (ENTER IN SPACES UNDER
                                                    COLUMN B FOR 2, 3, 4)

SEE CODE SHEET B FOR 2-5

                        # CONVICTIONS X WT/ (__COLUMN B__)_____

2. NUMBER OF CONVICTIONS   ____ X 40/ ____ . ____ = ____ . ____ (B)
    (INCLUDING CURRENT)

3. NUMBER OF CONVICTIONS   ____ X 30/ ____ . ____ = ____ . ____ (C)
    FOR DRUGS/ALCOHOL

4. NUMBER OF CONVICTIONS   ____ X 10/ ____ . ____ = ____ . ____ (D)
    FOR BURGLARY/THEFT

5. CURRENT OFFENSE TYPE
    ENTER 5 AT (E) IF BURGLARY/THEFT OR ESCAPE,   ____ . ____ (E)
    OTHERWISE ENTER 0 (ZERO) AT (E)

6. MARITAL SCORE
    ENTER 5 AT (F) IF NEVER MARRIED,   ____ . ____ (F)
    OTHERWISE ENTER 0 (ZERO) AT (F)
****

7. ADD A THROUGH F   ENTER SUM ____ . ____ (G)

8. EMPLOYMENT CREDIT
    ENTER 10 AT (H) IF FULLY EMPLOYED,   ____ . ____ (H)
    OTHERWISE ENTER 0 (ZERO) AT (H)
****

9. TOTAL ADJUSTMENT SCORE
    (SUBTRACT H FROM G, ENTER DIFFERENCE AT I)   ____ . ____ (I)

RUN DATE: 05/18/82   RECEPTION CLASSIFICATION REPORT # 6
JULIET BRANCH   (03)
NAME: DOE, JOHN   IDOC NUMBER: N21234

****

DANGEROUS SCORE   70 . 00

AGE AT CURRENT ADMISSION   - .   ____ . ____ (A)
(SUBTRACT CURRENT AGE FROM 70)   ===============

10A. AGE SCORE   ____ . ____ (ENTER AT A)

AGE AT CURRENT ADMISSION   ____ . ____

(SUBTRACT 14 FROM CURRENT AGE)   - 14 . 00
                      ===============

10B. AGE AT ADMISSION SCORE   ____ . ____ (ENTER IN SPACES UNDER
                                COLUMN B FOR 11, 12, 13)

SEE CODE SHEET B FOR 11-14

        # CONVICTIONS X WT/ (COLUMN B)

11. NUMBER OF CONVICTIONS   ____ X 80/ ____ . ____ = ____ . ____ (B)
     RECKLESS CONDUCT

12. NUMBER OF CONVICTIONS   ____ X 40/ ____ . ____ = ____ . ____ (C)
     FOR ESCAPE

13. NUMBER OF CONVICTIONS   ____ X 30/ ____ . ____ = ____ . ____ (D)
     FOR BURGLARY/THEFT

14. CURRENT OFFENSE TYPE
     ENTER 10 AT (E) IF VIOLENCE AGAINST PERSON,   ____ . ____ (E)
     OTHERWISE ENTER 0 (ZERO) AT (E)

15. CURRENT OFFENSE SERIOUSNESS
     ENTER 10 AT (F) IF 5 OR HIGHER FROM CODE SHEET C,   ____ . ____ (F)
     OTHERWISE ENTER 0 (ZERO) AT (F)

16. PRIOR SUPERVISION OUTCOME
     ENTER 10 AT (G) IF TECHNICAL VIOLATION,   ____ . ____ (G)
     OTHERWISE ENTER 0 (ZERO) AT (G)

****

RUN DATE: 05/18/82   RECEPTION CLASSIFICATION REPORT # 6
JULIET BRANCH   (03)
NAME: DOE, JOHN   IDOC NUMBER: N21234

****

17. ADD A THROUGH G   ADD A,B,C,D,E,F,G   ENTER SUM ____ . ____ (H)

18. EMPLOYMENT CREDIT
     ENTER 10 AT (I) IF FULLY EMPLOYED,   ____ . ____ (I)
     OTHERWISE ENTER 0 (ZERO) AT (I)

19. TOTAL DANGEROUS SCORE
     (SUBTRACT I FROM H, ENTER DIFFERENCE AT J)   ____ . ____ (J)

****

*** INITIAL SECURITY DESIGNATION ***

****

20. ADJUSTMENT SCORE RANGE   21. DANGEROUS SCORE RANGE

    6 = LOW 0-44   6 = LOW 0-46
    3 = MODERATE 45-75   ____(A)   3 = MODERATE 47-75   ____(B)
    1 = HIGH 76+   1 = HIGH 76+

22. SECURITY LEVEL DESIGNATION
     (SEE CODE SHEET D)   ____(C)

****

23. COUNSELOR'S COMMENTS:

****

24. COUNSELOR'S SIGNATURE AND DATE: _____
                                 SIGNATURE   CODE   DATE

25. R & C SUPERVISOR'S REVIEW: _____
                           INITIALS

****

RUN DATE: 05/18/82   RECEPTION CLASSIFICATION REPORT # 6
                 JULIET BRANCH   (03)
NAME: DOE, JOHN   IDOC NUMBER: N21234

*** PLACEMENT CONCERNS ***

****

1. CRITICAL SPECIAL NEEDS REQUIRING PLACEMENT CONSIDERATION: _____(A)
   A.   NONE...ENTER 0
   B.   MEDICAL PLACEMENT...................................ENTER 1
   C.   MENTAL HEALTH PLACEMENT.............................ENTER 2
   D.   PHYSICAL IMPAIRMENT.................................ENTER 3
   E.   OTHER SPECIAL NEED WHICH AFFECTS PLACEMENT..ENTER 4
       (MUST DOCUMENT IN SUMMARY REPORT)

****

2. ADMINISTRATIVE CONCERNS REQUIRING PLACEMENT CONSIDERATIONS: ___ - ___ - ___
                                       (B)   (C)   (D)
   A.   NONE..ENTER 0
   B.   KEEP SEPARATE FROM..................................ENTER 1
   C.   KNOWN GANG AFFILIATION..............................ENTER 2
   D.   MAJOR CRIMINAL CHARGES PENDING......................ENTER 3
   E.   PROTECTIVE CUSTODY/SAFEKEEPING......................ENTER 4
   F.   THREAT TO INSTITUTION SECURITY......................ENTER 5
   G.   UNDERRATED SECURITY DESIGNATION SCORE...............ENTER 6
   H.   OTHER ADMINISTRATIVE CONCERN........................ENTER 7
       (MUST DOCUMENT IN SUMMARY REPORT)

****

3. SECURITY LEVEL RECOMMENDATIONS:
      SECURITY LEVEL FROM 22 (C)   _____(E)

      R & C RECOMMENDED CHANGE OF SECURITY LEVEL (COMMENT AT 5)   _____(F)

****

4. EXPLANATION OF CLASSIFICATION ACTION: _____(G) _____(H) _____(I)

   A.   SECURITY LEVEL - TOO HIGH...............................ENTER 1
   B.   SECURITY LEVEL - TOO LOW................................ENTER 2
   C.   ADMINISTRATIVE CONCERNS REQUIRES
         SPECIAL PLACEMENT...................................ENTER 3
   D.   CRITICAL NEEDS REQUIRES SPECIAL PLACEMENT...............ENTER 4
   E.   INITIAL SECURITY LEVEL RAISED DUE TO INSTITUTION
         DISCIPLINARY ACTION DURING RECEPTION................ENTER 5

****

5. WRITTEN EXPLANATION OF DISAGREEMENT:

COUNSELOR'S SIGNATURE _____   CODE _____

RUN DATE: 05/18/82   RECEPTION CLASSIFICATION REPORT # 6
                 JULIET BRANCH   (03)
NAME: DOE, JOHN   IDOC NUMBER: N21234

****

6. PLACEMENT RECOMMENDATIONS: INSTITUTION
   RANK ORDER OF RECOMMENDED INSTITUTION PLACEMENT   CODE

   #1   _____   _____(J)

   #2   _____   _____(K)

   #3   _____   _____(L)

   _____(M)   _____(N)
    COUNSELOR'S SIGNATURE   CODE   R & C SUPERVISOR'S SIGNATURE

****

TRANSFER COORDINATOR'S ACTION: _____(A)

    1 = CONCURS   2 = DOES NOT CONCUR

INSTITUTIONAL PLACEMENT   _____   _____(B)
                                                      CODE

EXPLANATION OR SEE ATTACHED MEMO _____(C)

APPENDIX B

ILLINOIS DEPARTMENT OF CORRECTIONS

MEMORANDUM

Date: September 22, 1981

To: Wardens

From: Laurel L. Rans, Deputy Director
Bureau of Policy Development

Subject: INSTITUTIONAL SECURITY DESIGNATION SURVEY

With the concurrence of Deputy Director Meyer, the attached materials are forwarded to your attention for your perusal and completion. This survey will identify existing security constraints and allow for policy formulation of institutional security designations.

It is requested that this survey packet be completed and returned to my attention by October 2, 1981.

If you have any questions, call 217/522-2666, extension 6502, J. William Gilbert.

Laurel L. Rans, Deputy Director
Bureau of Policy Development

LLR/JWG/jc

cc: Director Lane
Dep. Director Meyer

STATE OF ILLINOIS-DEPARTMENT OF CORRECTIONS

Institutional Security Designation Survey

PURPOSE: to survey institutional security designations by institutional
physical restraints and correctional officer supervision
practices.

INSTRUCTIONS

1. This survey is to be completed on each institutional component
as indicated below:

- Centralia
- Dwight
- East Moline
- Joliet/R&C Annex
- Logan/Work Camp
- Menard/Special Unit/Farm
- Menard Psych.
- Pontiac/Medium Security Unit
- Sheridan
- Stateville/MSU
- Vandalia/Work Camp
- Vienna/Work Camp

2. The Identifying Data Sheet is to be completed for each insti-
tutional component per attached instructions.

3. The Institutional Security Designation Survey Sheets are to be
completed per attached instructions.

4. Enclose and date most current plot map for each institutional com-
ponent.

IDENTIFYING DATA

- Institution/Institutional
  Component _____

- Institution Security Level _____

- Inmate Security Levels _____

- Special Designations
  (i.e., Youthful Offender Program)_____

- Current Rated Capacity _____

- Inmate Population
  (Date of Survey) _____

- Assignments
  (Institutional Composition)

Assignments	Total # Assignments	Total # Assigned	White	Black	Hispanic	Other
1. Academic						
2. Vocational						
3. Hospital						
4. Mental Health						
5. Industries						
6. Work						
7. Unassigned						
8. Protective Custody						
9. Segregation						
10. Death Row						
11. Farm						
12. Public Work Crews						
13. Work Camps						
14. R&C Status						

IDENTIFYING DATA SHEET INSTRUCTIONS

- **Institution/Institutional Component**: Enter the name of the institution or institutional component that is being surveyed.

- **Institutional Security Level**: Enter the current security level designation, (maximum, medium or minimum).

- **Inmate Security Levels**: Enter inmate security levels of inmates that can be assigned.

- **Special Designations**: Enter any special institutional designation currently in use. For example, R&C Center, Death Row, Youthful Offender Program, etc.

- **Current Rated Capacity**: Enter currently designated IDOC rated capacity for this institution/institutional component.

- **Inmate Population**: Enter population on date of survey.

- **Assignments (Institutional Composition)**: By assignment category listed below, enter the total number assignments, the total number inmates assigned, and a breakout of those assigned by race: white, black, hispanic and other.

  1. **Academic**: refers to primary inmate assignment as a student in academic programs such as Adult Basic Education, G.E.D., College, etc.

  2. **Vocational**: refers to primary inmate assignment as a student in vocational program.

  3. **Hospital**: refers to inmate assignment as a patient in an institutional hospital

  4. **Mental Health**: refers to inmate assignment as a result of specific psychiatric reference.

  5. **Industries**: refers to inmate assignment on industrial payroll.

  6. **Work**: refers to all other inmate assignments in which inmate does some type of work.

  7. **Unassigned**: refers to inmate assignment in which inmate has no specific work or program assignment.

  8. **Protective Custody**: refers to inmate assignment.

  9. **Segregation**: refers to inmate assignment as a result of pending/disciplinary action.

  10. **Death Row**: refers to inmate assignment of those inmates under sentence of death.

INSTITUTIONAL SECURITY DESIGNATION SURVEY

Institution: _____   Date: _____

I. PHYSICAL RESTRAINTS

A. PERIMETER SECURITY:

1. Type of Perimeter				2. Guard Towers										3. Spot-lights	4. Auotmatic Alarm	
	(Type)	(Height)	(Covering)	(# of)	(Manned-Armed) 7-3	3-11	11-7	(Manned-Unarmed) 7-3	3-11	11-7	(Unmanned) 7-3	3-11	11-7	(# of)	(# of)	(Type)
☐ Wall ___		___	___	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	___
☐ Double Fence ___		___	___	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	___
☐ Single Fence ___		___	___	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	___
☐ Psychological (Fixed Boundaries)														☐	☐	

B. ON GROUNDS FACILITY SECURITY:

1. Inter-Fencing and Gates Monitoring Movement ☐	2. Fenced Yard Areas ☐	3. Inter-Institutional Guard Towers ☐	4. Secure Armory ☐

5. Type Units	6. Locked Units		7. Type of Lock		
	(Manned Post)	(*Unmanned Post)	(Barred Door w/Lock Insert)	(Barred Door/Padlock)	(Padlock)
☐ Housing	☐	☐	☐	☐	☐
☐ Program	☐	☐	☐	☐	☐
☐ Work	☐	☐	☐	☐	☐
☐ Other	☐	☐	☐	☐	☐

C. HOUSING UNIT SECURITY:

1. Type of Housing			2. Barred Windows	3. Locking Procedures			4. Gun Tower										
	(Tiers/Floor)	(Wings)		(Officer)	(Automatic)	(Inmate/	(# of) Own Key	(Manned-Armed) 7-3	3-11	11-7	(Manned-Unarmed) 7-3	3-11	11-7	(Unmanned) 7-3	3-11	11-7	
☐ Cells	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	
☐ Single																	
☐ Double																	
☐ Multi																	
☐ Rooms	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	
☐ Single																	
☐ Double																	
☐ Multi																	
☐ Dormitory	☐	☐	☐	☐	☐	☐	☐										

II. CORRECTIONAL OFFICER SUPERVISION

A. SECURITY STAFFING:

1. Security Staff as of 8/31/81

Security Staff	TOTAL	7 a.m. — 3 p.m.	3 p.m. — 11 p.m.	11 p.m. — 7 a.m.	Other
C.O. Trainee					
C.O.					
Sergeant					
Lieutenant					
Captain					
Major					
TOTAL					

B. SECURITY SURVEILLANCE:

1. Staff Supervision				2. % Population In Planned Program Movement	3. Inmate Counts		4. General Population Inmate Movement			
(Shift)	(Manned Security Camera)	(Roving Patrol)	(Fire Watch)		(Physical)	(Paper)	(Free Flow/Flow)	(Lines)	(Pass/Timed Ticket)	(Escort)
7 a.m. — 3 p.m.	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
3 p.m. — 11 p.m.	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐
11 p.m. — 7 a.m.	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

5. Security Shakedown					6. % Special Population
(Type of)	(Daily)	(Weekly)	(Frequency) (Monthly)	(Annually)	
☐ Entry/Exit of Each Unit	☐	☐	☐	☐	_____ Segregation
☐ Frisk Search	☐	☐	☐	☐	_____ Protective Custody
☐ Metal Detector	☐	☐	☐	☐	_____ Death Row
☐ Cell Search	☐	☐	☐	☐	_____ R & C
☐ Canine Unit	☐	☐	☐	☐	
☐ Institution Lockup	☐	☐	☐	☐	

_____
Staff Member Completing Survey

_____
Warden

I. Physical Restraints

A. Perimeter Security: refers to the boundaries of the institutional setting such as a wall, fence, or fixed boundary which the inmate is not permitted to cross. (This does not refer to the boundaries of total acreage of institutional grounds).

1. Type of Perimeter: Enter in the appropriate box of perimeter listings a "Y" for yes, or "N" for no as it applies to your institution. In some instances one or more combinations might apply. Psychological (Fixed Boundaries) refers to those institutions which have neither a wall or fence. For each perimeter listing with a "Y", write in the particular type height, and specific covering, such as consatine wise, of perimeter.

2. Guard Towers: Consistent with your entry in question number one, enter in the box the total number of perimeter security guard towers. Then distinguish the utilization of each guard tower by entering the total of guard towers which are manned-armed, manned-unarmed, and unmanned by shift. For example, if you have 5 total guard towers, and they are continuously manned with armed guards you would enter:

(# of)	(Manned-Armed) 7-3	3-11	11-7	(Manned-Unarmed) 7-3	3-11	11-7	(Unmanned) 7-3	3-11	11-7
5	5	5	5	0	0	0	0	0	0

3. Spotlights: Consistent with your entry in question number one, enter in the total number of spotlights used to illuminate security perimeter.

4. Automatic Alarm: Consistent with your entry in question number one, enter in the box the total number of automatic alarms that is set off if someone tries to cross through, under, or over boundaries of the institutional perimeter. Write in the type of security alarm.

B. On Grounds Facility Security: refers to institutional grounds within the perimeter security in which inmate movement takes place.

1. Inter-Fencing and Gates Monitoring Movement: Enter in the box the total number of such gates and fences which are strategically located independent of housing or work units, and yard areas to monitor inmate movement.

2. Fenced Yard Areas: Enter in the box the total number of yard areas specifically coordoned off by fence, wall, or building so as to restrict movement from the yard areas.

3. Inter-Institutional Guard Towers: Enter in the box the total number of guard towers located within the institutional grounds which monitor inmate movement between buildings.

4. Secure Armory: Enter in the box a "Y" for yes or "N" for no as it applies to having the armory entrance secured by a solid or barred door with double lock insert to control area where weapons and keys are kept.

5. Type Units: Enter in the appropriate box the total number of units primarily defined as:

   • Housing-buildings in which inmates are confined or reside.

   • Program-buildings in which recreational, school, and religious activities take place.

   • Work-buildings in which work activities take place such as machine shops, industries, commissary, maintenance and yard areas, etc.

   • Other-buildings not defined as above.

6. Locked Units: Consistent with your entry in question number five, enter in the appropriate box the total number of locked units which are a manned post and those which are an unmanned post.

7. Type of Lock: Consistent with your entry in question number five, enter in the appropriate box the total number of locked units which are secured with a barred door with lock insert, barred door with padlock and a padlock.

C. Housing Unit Security: Refers to general population housing units only.

   1. Type of Housing: Enter in the appropriate box a "Y" for yes, or "N" for no, which appropriately describes units in which inmates are housed. For each "Y" response, write in number of tiers/floors of largest unit, and the number of wings of building of the largest units.

   2. Barred Windows: Consistent with your entry in question number one, enter in a "Y" for yes, or "N" for no for those units having barred windows.

   3. Locking Procedures: Consistent with your entry in question number one, write in a "Y" for yes, or "N" for no, if entrance to inmates living quarters are secured by officer with keys, an automatic locking system or by the inmate with his own key.

4. Gun Tower: Consistent with your entry in question number one, enter in the appropriate box the number of gun towers in the living units. Then distinguish utilization of each gun tower by entering the total number of gun towers which are manned-armed, manned-unarmed, and unmanned by shift. Refer to A-2 for previous example.

II. Correctional Officer Supervision

A. Security Staffing:

   1. Security Staff: Write in security staffing patterns by security positions and by shifts.

B. Security Surveilance:

   1. Staff Supervision: By shift, enter in the appropriate box the number of manned security cameras, roving patrols and fire watch.

   2. % Population in Planned Program Movement: Consistent with the shift breakdown in question number one, write in the % of inmate population whom will move to and from work program assignments for that shift.

   3. Inmate Counts: Consistent with the shift breakdown in question number one, enter in the appropriate box the total number of physical (body) and paper (numbers) counts for that shift.

   4. General Population Inmate Movement: Consistent with the shift breakdown in question number one, enter a "Y" for yes, or "N" for no as it applies to inmate movement of the general population.

   5. Security Shakedown: Enter in the appropriate box a "Y" for yes, or "N" for no, as it applies to security shakedowns at your institution. For each response indicate the frequency of such shakedowns by entering a "Y" for yes, or "N" for no as it applies to your institution.

   6. % Special Population: Write in the percentage of your population that falls in the category of:

      • Segregation
      • Protective Custody
      • Death Row
      • Reception and Classification

III. Signature Block: Staff member completing survey is to sign name, and warden as verifying authority will sign and date completion of survey.

APPENDIX C

Date Completed: _____

Institution: _____

Coded By: _____

Inmate Name _____   Case ID# □-□□□□□
                (Last)   (First)   (M)

Sex □   Race □   Date of Birth □□ - □□ - □□ Height □□□ Weight □□□
1 = Male   1 = White   4 = Hispanic   8 = Don't know   YR YR   MO MO   DA DA
2 = Female   2 = Black   5 = Amer. Asiatic
8 = Don't know 3 = Amer. Indian 6 = Other

A. ADMISSION DATE □□ - □□ - □□   B. READMISSION DATE □□ - □□ - □□   MARITAL STATUS □   EMPLOYMENT HISTORY □
                  YR YR MO MO DA DA   YR YR MO MO DA DA   1 = Married   3 = Never Married 1 = Full Time 3 = Partial   5 = Home-
                                                                             2 = Common Law 4 = Former Married 2 = Part Time 4 = Unemployed maker
                                                                             8 = Don't Know   5 = Single, undis- 8 = Don't Know
                                                                                                tinguished

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CURRENT OFFENSE

COUNTY (CODE I)		OFFENSE (CODE II)	COUNTS		Min.									Max.							
	0 = Act				Y	Y	Y	Mo	Mo	Da	Da	Da	Y	Y	Y	Mo	Mo	Da	Da	Da
	1 = Attempt																				
	2 = Solic																				
	3 = Comp																				

□□□   □□□   □   □□□□□□□   □□□□□□□□

CURRENT DANGEROUSNESS CODE   Counts   Sentence — Minimum*   Sentence — Maximum*

□□   1 = 1   Determinate, enter sentence   Determinate, enter all zeros
Code Sheet XI   2 = 2   (Det. Life, enter "99" in Mo. column)   Misdemeanant, enter all zeros
         3 = 3   (Det. Death, enter "88" in Mo. column)   Indeterminate, enter maximum sentence
         4 = 4   (Det. Indefinite, enter "77" in Mo. column)   (Ind. Life, enter "99" in Mo. column)
         5 = 5 and over   Misdemeanant, enter sentence   (Ind. Indefinite, other "77" in Mo. column)
         8 = Don't know   Indeterminate, enter minimum sentence   Old Definite
                 Old Definite, enter all zeros

□□

ADDITIONAL CURRENT OFFENSES

□□□   □□□□   □   □□□□□□□   □□□□□□□□

□□□   □□□□   □   □□□□□□□   □□□□□□□□

□ # of Misd. over 3   □ # of Felonies over 3   □□

7/13/01

Case ID# : □-,□□□□□,

PRIOR OFFENSE DATA

Institution Discharged or Released From _____

Date Discharged or Released: _____

SID # □□□□□□□
(if no official document, enter SID #)

Rap Sheet : □
1 = FBI   4 = Statement of Facts
2 = State   5 = PSI
3 = Chicago   6 = No official document

Search Previous Commitment : □

Previous Commitment Date
,□□-□□-□□,
YR YR MO MO DA DA Other

INSTITUTION: _____   OFFENSE: _____   Previous I.D. #'s   A.□□□□□□   B.□□□□□□

FIRST ARREST

OFFENSE	COUNTS	ARREST DATE	DISPOSITION CODE
,,□□□□,,	,□	,,□□-□□-□□	,□□,,
		Y Y Mo Mo Da Da	

PRIOR CONVICTIONS ONLY

OFFENSE (CODE #)	COUNTS	ARREST DATE	DISPOSITION CODE
		YR YR MO MO DA DA	
,,□□□□,,	,□	,,□□-□□-□□	,□□,,
,□□□□,,	,□	,,□□-□□-□□	,□□,,
,,□□□□,,	,□	,,□□-□□-□□	,□□,,
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,□□□□,,	,□	,,□□-□□-□□	,□□,,

Counts
1 = 1
2 = 2
3 = 3
4 = 4
5 = 5 and over

Dispositions
1 = Not guilty

2 = Dismissed
3 = SOL, Nolle Pros (no decision)
4 = Restitution

5 = Fine
6 = Cond. Disch
7 = Probation

8 = Periodic Imprisonment
9 = Jail Sentence
10 = Prison Sentence

11 = Supervision
88 = Don't Know

,□□,

Case ID# □-□□□□□.

Date						Type of Post Supervision	Outcome	Type of Supervision	Outcome
YR	YR	MO	MO	DA	DA				

, □ □ - □ □ - □ □ ₁₃   ₁₃ □   ₁₄ □□ ₁₅

₁₆ □ □ - □ □ - □ □ ₂₁   ₂₂ □   ₂₃ □□ ₂₄

₂₅ □ □ - □ □ - □ □ ₂₆   ₂₇ □   ₃₂ □□ ₃₃

Type of Supervision
1 = No record of supervision
2 = Bond
3 = Juv. Prob.
4 = Adult Prob.
5 = Juv. Par.
6 = Adult Parole
7 = Law Enfor. Sup.
8 = Don't Know
9 = Institution Supervision

Outcome
01 = Discharged Successfully
02 = Tech Violation, Continued or Resumed (Brought in on Tech and determined at hearing that no violation occurred ;
03 = New Offense: Continued or Resumed (Individual on supervision committed an offense, convicted of charge, and sentence to continue already existing supervision)
04 = Tech Violation: Supervision revoked or terminated
05 = New Offense, Supervision is revoked or terminated
06 = Bond: Failure to report or appear
07 = Bond: Conviction on bond jumping or fleeing
08 = Probation and Parole absconding
09 = Fleeing Law Enforcement Supervision
10 = Jail Escape or Attempt
11 = Prison Escape or Attempt
12 = Work Release Walk Away
88 = Don't Know

Supervision status in excess of 3 ₃₄ □

□ Check to indicate review completed but no entries

SPECIAL NEEDS AND ADMINISTRATIVE CONCERNS

DATE IDENTIFIED						TYPE (Code VII)	HOW DOCUMENTED (Code VIII)	SUBSEQUENT ACTION (Code IX)	HOW DOCUMENTED (Code VIII)
YR	YR	MO	MO	DA	DA				

₃₅ □ □ - □ □ - □ □ ₄₀   ₄₁ □□ ₄₂   ₄₃ □□ ₄₄   ₄₅ □□ ₄₆   ₄₇ □□ ₄₈

₄₉ □ □ - □ □ - □ □ ₅₄   ₅₅ □□ ₅₆   ₅₇ □□ ₅₈   ₅₉ □□ ₆₀   ₆₁ □□ ₆₂

SPECIAL NEEDS ADM. CONCERNS OVER 2

₆₃ □□ ₆₄   ₇₂ □□ ₈₀

CODE SHEET VII: TYPE OF ADMINISTRATIVE/SPECIAL CONCERNS

SPECIAL NEEDS
01 = Medical
02 = Mental Health
03 = Mental Retardation
04 = Drug Abuse
05 = Alcohol Abuse
06 = Other

ADMINISTRATIVE CONCERNS
11 = Statutory Requirements
12 = Detainers (Class M, X or 1)
13 = Detainers (less than Class 1)
14 = Treat or Prison Security
15 = Organized Crime/Gang Membership/Gang Leadership
16 = Separation Cases/Known Enemies
17 = Protective Custody/Unspecified
18 = Other
19 = Separation Case/Gang Rivalry
20 = Protective Custody/Sexual Pressuring
21 = Protective Custody/Gang Related

CODE SHEET VIII: HOW DOCUMENTED
01 = IDOC Counselor's Report/PCR/Supplemental PCR
02 = IDOC Psychologist's Report
03 = IDOC Psychiatrist's Report
04 = IDOC Medical Report or Physician's Report
06 = Transfer Coordinator's Memorandum
07 = Institutional Memorandum or other Institutional Files
09 = Institutional Inquiry Board
10 = Grievance Document (Resident)
11 = Internal Investigations
13 = Other
88 = Don't Know

CODE SHEET IX: SUBSEQUENT ACTION
01 = Condition Corrected
02 = Condition Under Treatment
03 = Condition Scheduled for Correction
04 = Condition No Longer Represents a Problem
05 = No Action Taken
06 = Other
88 = Don't Know

Case ID # ☐ - ☐☐☐☐☐ .

Page 4

INSTITUTIONAL MOVEMENT				SECURITY				SPECIAL HOUSING		
Incarcent Code III)	Date	Reason for Change (Code VI)	Institution (Code III)	Date	Level 2 = Max. 3 = Close 4 = Med. 5 = Min. S. 6 = Min. 7 = Comm	Institution (Code III)	Date	Assign. Type 07 = Srg 10 = PC		

| | YR YR MO MO DA DA | | | YR YR MO MO DA DA | | | YR YR MO MO DA DA | |

Security Change over 10 ☐   ☐ 6 ☐
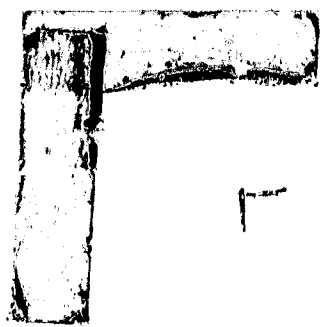
Special Housing over 10 ☐   ☐ 7 ☐

PROCEDURES FOR 'SEARCH PREVIOUS RECORDS'

1. Collect completed key punch forms from Mary Rose.

2. Sort and separate those forms where the second page has been checked to indicate there has been a previous commitment. Place in "DATA FORMS AWAITING PROCESSING" in the "Search Previous Records Storage Box".

3. File the other completed (keypunch completed but not search for previous record indicated) data collection forms. a)first mark upper right hand corner to indicate that keypunch has been completed on that data collection form. File by institution and then by IDOC number in the storage box for data forms.

HOW TO PROCESS "SEARCH PREVIOUS COMMITMENTS"

4. Take the data collection forms with indication for "search previous record" from the section of the Search Previous Records Storage Box" which is labelled "DATA FORMS AWAITING PROCESSING". Make out a "SEARCH PREVIOUS RECORD DATA COLLECTION FORM (SPR Form)". Store these forms in the file pocket designated "SPR FORMS AWAITING MICROFILM SEARCH AND CODING". Store DATA FORMS by institution + IDOC number.

5. Take filled in SPR Forms to the Mircrofilm Center, retrieve records, and code the form. If microfilm center does not have the record, file the SPR FORM and the associated DATA COLLECTION FORM (stapled together) in the section called, "NO MICROFILM RECORD, AWAITING FURTHER ACTION".

6. Coded SPR FORMS should be given to Mary Rose for key punching.

7. When SPR FORMS have been keypunched and are returned from Mary Rose, find the associated DATA COLLECTION FORM (from the sections filed by institution + IDCC number) and staple the two forms together and refile under the institution/IDOC number storage pockets.

END