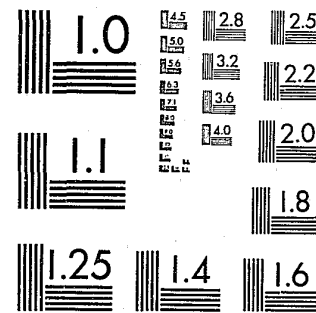


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United States Department of Justice
Washington, D. C. 20531

Parole Board Decision-Making Process
and Information Needs

U.S. Department of Justice
National Institute of Justice

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Department of Health and Social Services
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DOCUMENT DIGEST

Department of Health
and Social Services

Document Title: Parole Board Decision-Making Process and
Information Needs

This Digest summarizes the above document dated: November 1980

The impetus for this document comes from the Secretary of the Department of Health and Social Services and the Chairman of the Parole Board. Both were interested in addressing major policy and procedural issues regarding the way the Department administers its paroling authority. This document is one product of a larger effort initiated by the Parole Board Chairman to develop, recommend and consider changes in the existing system. The focus of this report is on the Parole Board decision-making process and information needs.

This document reviews the current decision-making process leading to a defer or recommendation for parole from prison. The report presents an information feedback model which would combine Parole Board members' professional experience with data-based feedback and analysis.

Currently, the parole decision-making process is based on Parole Board members using their professional experience to make an assessment of an inmate's potential for parole success. A 1976 Legislative Audit Bureau report indicated a need for the Parole Board to increase collection and analysis of significant data on the effect of board activities. The report recommended that if the effectiveness of current parole practices is to be measured, a comprehensive system for collection and analysis of parole data needs to be developed.

This report describes a process for using data based on actual parole outcomes to supplement the current decision-making process. A model is presented which would provide feedback to the board on a continuous basis. Data requirements and sources for information on parole decision-making and feedback are detailed and the feasibility of accessing the data are explored. Also examined are the data requirements for management, in order to monitor the effects of the current decision-making process and any changes that might be implemented.

PREFACE

When he hired a new Parole Board Chairman in the Spring of 1980, Donald Percy, Secretary of the Department of Health and Social Services, was interested in examining existing paroling policies and procedures to suggest changes for improvement in the administration of the paroling process. He assigned the new Chairman, Fred Hinickle, to lead such an effort.

Mr Hinickle commissioned a workgroup to assist in developing and recommending changes. The workgroup included representatives from the Division of Corrections, Management Services, and Policy and Budget, the Secretary's Office, the Department of Justice, and the Parole Board itself.

This report is one part of the overall effort initiated by the Parole Board Chairman to consider methods for modifying and improving the existing system by which the Department of Health and Social Services administers the paroling authority. This report, after presentation to Mr. Hinickle, will become part of his briefing for the Secretary and relevant findings and recommendations will be incorporated in a major report produced by the Chairman, summarizing the efforts of the workgroup.

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I. Introduction

The Parole Board is an administrative board which is responsible for reviewing and recommending (to the Department of Health and Social Services' Secretary) the parolability of adult offenders incarcerated in state correctional facilities.

The Board is comprised of eight members in the classified civil service system and one chairperson, appointed by the Secretary of the Department of Health and Social Services, outside the classified civil service system. The Board is attached to the Office of the Secretary of the Department of Health and Social Services.

In Wisconsin, as well as many other states, indeterminate sentencing is the form of sentencing used to decide length of incarceration for convicted offenders.

Section 973.01(1)(a), Wis. Statutes, provides for indeterminate sentencing:

973.01 INDETERMINATE SENTENCE:.... (1) (a) If imprisonment in the Wisconsin state prisons for a term of years is imposed, the court may fix a term less than the prescribed maximum. The form of such sentence shall be substantially as follows: "You are hereby sentenced to the Wisconsin state prison for an indeterminate term of not more than ... (the maximum as fixed by the court) years".

Under section 973.01(1)(b), Wis. Statutes, this sentence is set by the court for a maximum term and the inmate is subject to release by way of parole or pardon at some point prior to completion of the maximum sentence.

If a resident is not released by the Parole Board, he may still be released prior to serving the maximum sentence upon reaching his mandatory release (MR) date. This date is determined by subtracting good time credit earned from the maximum sentence imposed by the court. Section 53.11 Wisconsin Statute provides that "each inmate who shall conduct himself in a proper manner and perform all duties required of him shall receive the following good time credit:"

<u>Year of Sentence</u>	<u>Good Time Credit</u>
1st year	1 month
2nd year	2 months
3rd year	3 months
4th year	4 months
5th year	5 months
every year thereafter	6 months

Residents (except those serving life sentences), may also earn industrial good time credit which is provided for under Section 53.12 Wisconsin Statutes:

. . . every inmate whose diligence in labor or study surpasses the general average is entitled to a diminution of time at the rate of one day for each six days during which he shows such diligence.

Parole eligibility is provided for in Section 57.06(1)(a), Wis. Stats. According to this section, an inmate who has served at least one year is eligible for parole after having served one-half of the minimum term prescribed by statute for

the offense or after having served 20 years of a life term less good time credit. If there is no minimum sentence set by statute, then Edelman v State, 62 Wis. 2d 613, (1974), holds that the minimum sentence is one year and the inmate is eligible for parole after six months.

Although eligibility for parole is set by state statute, it does not necessarily mean that a resident will be released on parole. It simply means that, as of the eligibility date, the Parole Board may use its discretion in recommending how long the resident will remain in prison. The Board will either defer parole or recommend a grant. If a decision is made to defer parole, a new eligibility date is set. The Parole Board's recommendations for parole go to the Secretary of the Department of Health and Social Services for approval.

Currently the parole decision-making process leading to a recommendation appears to be highly individualized, with each board member relying on his subjective judgement and selective experience to ensure fair and consistent decisions.

A 1976 Legislative Audit Bureau report indicated a need for the Parole Board to increase collection and analysis of significant data on the effect of board activities. The report recommended that if the effectiveness of current parole practice is to be measured, a comprehensive system for collection and analysis of parole data needs to be developed.

The primary objective of this study, as requested by the Parole Board Chairman, is to outline a system for collecting, analyzing and interpreting data relative to parole board activities and decisions.

This project is not concerned with attempts to predict the parole outcomes for individual offenders but rather to provide feedback on parole outcome for groups of offenders in relation to the incidence of recidivism.

Since parole decision-making involves the use of professional experience and judgements based on factual data about inmates and policy considerations, the board needs to be informed of the results of their decisions. Collection, assessment and feedback of information can assist in the improvement and refinement of parole decision-making and policy development. In addition, subsequent feedback can alert the board as to the impact of procedural or policy changes they may make.

Section II describes the current case review and decision-making process.

Section III describes methods for providing feedback to Board members on parole outcomes, data requirements and sources, methods of obtaining and disseminating data, and the data requirements for management. Section IV summarizes major findings in the report and recommends action to be taken.

II. Current Case Review Process

Approximately two months before an inmate either reaches his initial eligibility date for parole, or reaches his subsequent eligibility date received from a previous defer, a three member panel of the Parole Board will review his case.

Review of the case consists of:

1. examination of the inmate's case file
2. personal interview held with the inmate at the correctional facility
3. discussion, consideration and deliberation of the case by board members in absence of the inmate
4. informing the inmate of the decision

In calendar year 1979 the parole board conducted 3,124 reviews, of which 300 (9.6%) resulted in a recommendation for parole. Reviews resulting in parole deferrals were for various lengths of time ranging from 1-24 months (see Table I).

Table I
Parole Board Decision Patterns
CY 1979

Deferrals (in months)						Max* Discharge	Parole Grants		Total
1-2	3-9	10-11	12	24	MR		Regular	Guidelines	
237 7.6%	320 10.2%	84 2.7%	1209 38.7%	265 8.5%	695 22.2%	14 0.4%	252 8.1%	48 1.5%	3124 100%

* Maximum Discharge is discharge at completion of the full sentence imposed by the court.

Source: Parole Board Files

In general, the varying lengths of deferrals are given for the following reasons.

- 1 - 2 mo. - For informational purposes, e.g., critical information essential to the decision making process is missing, or the inmate is unavailable for the interview (is in court, segregation or at the hospital, etc.)
- 3 - 9 mo.* - Parole appears reasonable next time the inmate appears before the board. Often this deferral is given so that an inmate can complete a program.
- 10 - 11 mo.* - The Board acknowledges gains that the inmate has made but does not imply that parole is probable at the next hearing. The institutions consider parole deferral patterns when making reductions in security settings. Deferral of less than 12 months often makes an inmate eligible for certain programs, especially work release. This allows the board to examine the inmate in a reduced security setting.
- 12 &/or 24 mo. - The inmate has not served enough time on his sentence, or has made few if any gains (i.e., involved himself in programs or work), or has many conduct reports, (especially major ones) since his last parole appearance.
- MR - Mandatory release date. Computed as sentence length minus good time credit.

* With deferrals less than 12 months the board sometimes gives the defer by splitting in half the difference in time left to serve to MR.

A. Examination of the Inmate's Case File

The first phase of the review process is an examination of the inmate's case file. Two files are kept on each inmate. One file is kept at the Central Records Unit, Division of Corrections, in Madison and the other file is kept at the institution in which the inmate currently resides. The file kept at the institution includes the most current and extensive information available on an inmate. Both files are examined during the review process. Review of both files allows the panel members to divide the material among themselves, thus allowing all members an opportunity to review the information about an inmate.

Documentation in the files is placed either on the left or right hand side of the file as it is added. All information concerning parole is kept on the left side of the file, (see Table II).

Table II

Documentation in Files

left side of the file contains:	right side of the file contains:
1. notice of parole board interview received by the inmate	1. social service chronological history recording
2. parole planning sheet filled out by the inmate	2. program review report
3. parole planning information reviewed by the institution social worker.	3. conduct reports
4. notice of the parole hearing sent to judges and District Attorneys	4. work reports
5. letters from judges and district attorneys containing recommendations on whether or not to parole an inmate	5. notice of work/study release, placement or removal
6. notification of detainer and acknowledgement of speedy trial	6. approval of resident for work/study program
7. waiver of parole consideration	7. letters written by inmate
8. previous parole board decisions (PB3) given to inmate	8. commendation report from institution staff members
9. previous parole board decisions (C7) not available to inmate	9. Intra Division Communication - such as amendment of sentence
10. Assessment and Evaluation forms filled out when the inmate enters prison at the beginning of his sentence - contains staffing decisions, guidance counselor report, security coordinator report, voc-rehabilitation counselor report, social worker report, vocational evaluation, lab summary, test results, face sheet	10. investigation requests
11. assessment and evaluation report completed by parole board member	11. pre-sentence or social report
12. U.S. Dept. of Justice, Federal Bureau of Investigation - arrest charges and disposition	12. requested information from non-Division of Corrections sources
13. photo of inmate	13. investigation materials
	14. probation report
	15. juvenile case material
	16. medical information
	17. approved visitors sheet
	18. court documents

At first glance it may appear difficult to extract information from an inmate's file, but one quickly becomes familiar with what each form contains and where to look for pertinent information. No file, of all that were reviewed, contained every form and document listed in Table II; occasionally forms were missing. However, all case files contain the majority of the information listed. The total number of documents contained in the case files gives some idea of the amount of information accumulated in the files and of the work involved in preparing for a parole decision.

B. Personal Interview With the Inmate

A panel of three Parole Board members and the inmate are present at the interview. All interviews are tape recorded. On a rotating basis one of the three panel members will lead the interview with the inmate. When the inmate enters the room he is greeted by the member who will conduct the interview, is introduced to the other two members and is asked if he has received notice of the parole hearing.

The tone of the interviews observed by the author of this report tended to be informal and clinical rather than formal or court-like. The board members, having discussed the case among themselves during the case file review, use the interview to question the inmate on several areas: 1) the inmate's prison record; 2) circumstances about the crime and sentencing; 3) personal and social history; 4) prior criminal record; and 5) parole plans. Whatever the topic, board members seem to scrutinize the inmate for indications of the inmate's willingness to face any problems he has and personal changes he has made. These areas are not addressed in order of discussion nor importance. Not all areas are covered at every interview.

The emphasis or importance given to each of these areas varies from case to case. In general, it also varies depending upon how much of the sentence has been served. If the inmate is in the beginning of his sentence, more emphasis is placed on his offense. If he is in the middle of this sentence, emphasis is placed on institutional adjustment and programming needs. If he is near the end of serving his sentence, most emphasis is placed on the parole plan. This emphasis is placed on different factors throughout the sentence and seems to assist in the inmate's movement through the correctional system by providing the inmate direction in the best use of his time while incarcerated. It also prepares an inmate for his eventual return to the community, whether he is released on parole or is a mandatory release, by helping the inmate focus on preparation for release.

Each of the five areas which may be discussed during the interview is addressed more thoroughly below.

1. Prison Record

The inmate is asked to explain what he has been doing since the board last saw him or, when the interview is a first appearance, what he has been doing since he entered prison. Questions are asked about what programs the inmate has been participating in - school, work or counseling. He is also asked how he has been spending his free time. If the inmate's case file shows that he has received any conduct reports, he is asked to explain what happened, how it happened and what disciplinary actions were taken.

2. Circumstances about the Crime and Sentencing

The inmate is asked questions, in some detail, about the facts of his crime. These questions are pursued in more detail when the hearing is a first appearance. If the inmate's answers do not match the reports in the file, he is asked further questions. Many offenders who come before the board have been imprisoned after plea bargaining, and in these cases, questioning the individual about the crime appears to be an attempt on the part of the board members to find out just how dangerous the person is.

Length of sentence imposed by the court, mandatory release (MR) date and, if applicable, county jail credit time that would modify the MR date are discussed with the inmate. This is done in order to verify the file and make sure that the inmate understands his sentence structure (i.e. the maximum length of time that he would spend in prison and circumstances that could modify that length of time).

3. Personal and Social History

Parole Board members ask about the contact and the nature of the relationships an inmate has with his family (spouse, parents, siblings, children). The inmate is also asked questions about former residences, jobs he has held in the past, education and training he has received and his social contacts in the community.

4. Prior Criminal Record

An inmate's prior criminal record is regarded as an indicator of potential parole success. Inmates are asked questions concerning how they have changed and since they had not been able to stay free of crime in the past, how they plan to do so this time. The inmate is also asked questions as to "what went wrong on previous probation and parole experiences."

5. Parole Plans

This area is discussed most thoroughly as an inmate approaches his mandatory release date or the end of his sentence. The inmate is asked to describe his parole plan in detail - job prospects, transportation to work, living arrangements, school plans, social life, financial situation (money saved or benefits he will receive such as Veterans or Social Security). He is also asked how he plans to stay out of crime in the future.

The personal interview is one of the few opportunities that the inmate has to actively participate in the parole process. The inmate's participation serves as an important check and clarification on the information contained in his file.

C. Pre-Decision Conference of Board Members

At the end of the interview the inmate is asked to leave the room for a few minutes while his case is discussed by the panel members and a decision is reached.

Normally, the three members attempt to reach a unanimous agreement on the decision. If unanimous agreement is not reached on assaultive cases, the case is taken to the full board for decision. In most of the cases observed by the author, the decision to grant or defer parole seemed to be reached fairly quickly. Most of the discussion centered around how long a deferral should be if the final decision was to defer. Occasionally, board members were in great disagreement about whether to grant or defer a case. In most of these cases, a member would request to have the case examined before the full board rather than continue the discussion.

After the decision is reached, the parole decision sheet (PB-3) is filled out which explains the decision reached and states the reasons for the deferral if parole was not granted. The members' comments on the case and reasons for the deferral are also dictated and later typed onto the C7 parole form retained in the inmate's file (see Appendix for PB-3 and C-7 forms).

D. Informing the Inmate of the Decision

The inmate is called back into the room and is informed of the decision that has been reached. The inmate receives a copy of the parole decision (form PB-3) and is told if he has been recommended for a grant or given a deferral and the length and reasons for the deferral. When a decision was to defer parole, the board explains to the inmate how he could improve his parolability in the future. Suggestions are made as to work, education or counseling programs that members think would be beneficial for the inmate. These suggestions are recorded on the C7 parole decision form.

If no decision was reached and the case goes before the full board, the procedure is described to the inmate and he is told when he can expect a decision.

Before leaving the room the inmate is asked if he has any further questions about the decision.

The next part of this report, Section III, describes a process for using data on actual parole outcomes, to supplement the case review process discussed in this section. Part A describes methods for providing feedback to Parole Board members on outcomes of parole decisions. Part B describes in greater detail the data requirements and sources for parole decision-making and feedback. Part C explores the feasibility of accessing these data, including a discussion of costs and time frames. Finally, Part D examines the data required for management.

III. Feedback and Information System

Section II described the process Parole Board members go through in reviewing a case and making a parole decision. Case reviews and decisions are based on members using their professional experience to make an assessment of an inmate's potential for parole success. Section III will discuss a means for combining this professional experience with data-based feedback and analysis.

A. Methods for Providing Feedback to Parole Board Members on Parole Decision

Outcomes

Based on the information about inmates in their case files, and the personal impressions made during the interview process, Parole Board members must make two decisions: 1) who to release on parole and, 2) when to release on parole. These decisions are based on information gathered about an inmate in several areas - presenting offense, prior criminal record, institutional behavior, personal and social history, parole plan and changes in attitude and behavior. These two decisions of who and when are also based on an assessment of risk, i.e., the likelihood that a paroled offender will commit a new offense or otherwise violate the conditions of parole, and an assessment of whether the inmate has served enough time for the offense committed and has made progress in prison programs.

The decision of who to release is largely determined by an assessment of whether an inmate, if paroled, will likely commit a new crime or violate the rules of parole and thus return to prison.

In addition, as Board members decide to release an inmate on discretionary parole they also decide when, short of mandatory release (MR), is the best point in time to release the inmate from prison. Board members continuously struggle with subjective questions such as, "How long shall an individual be punished for his crime?" or "What is the minimum amount of time a person should serve?"

Parole selection policy must balance these aspects of the decision. Releasing inmates who commit new crimes or violate parole results in negative publicity concerning the correctional and parole system, financial costs of apprehending and processing violators for reimprisonment, and grief to individuals against whom additional crimes may have been perpetrated. Not releasing inmates who would have been successful on parole results in substantial financial costs of incarceration compared to community supervision, the community burden of supporting the inmates' dependents, the continued separation of families, and the danger that continued incarceration will further reduce the inmates' chances of favorable outcome when eventually released.

1. The Current System

Currently, the Parole Board makes parole decisions on a case by case basis. Members often receive information informally on individuals who violate parole and return to prison; or they become aware of an offender's return when he appears for a future parole hearing. On an individual basis, Board members also contact parole agents to check how

offenders, about whom they are particularly concerned, are functioning on parole. There is no information on those offenders who complete parole without violation, however. Nor is there feedback on how these two groups of individuals differ from one another.

The following diagram illustrates the current system for getting information to Parole Board members.

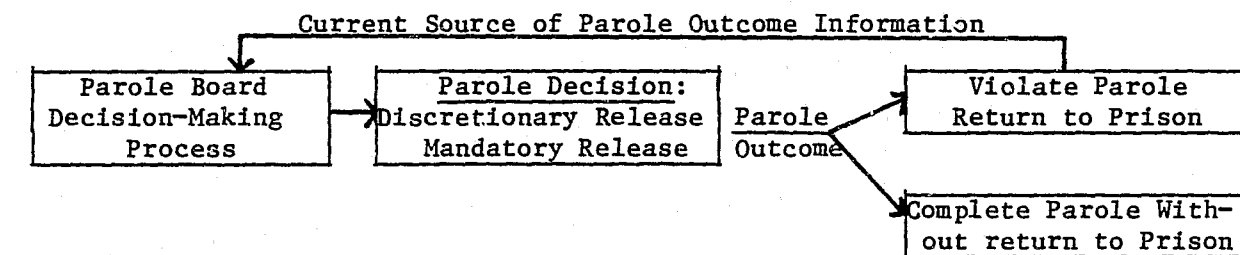


Figure 1. Current Source of Parole Outcome Information

The Parole Board decides to release an inmate or to allow him to remain in prison until his MR date. The result of both discretionary release and mandate release is some kind of outcome: either a return to prison or a successful discharge from supervision. The diagram shows that the Parole Board has knowledge only of offenders who return to prison.

Over the past few years the number of individuals released on discretionary parole has decreased, while the number of individuals released on mandatory release have increased (see Table III). For instance, from 1970 to 1977, between 72-83% of inmates released from prison were released on discretionary parole each year, and between 17-28% were released at MR each year. In 1978 and 1979, however, the proportions shifted dramatically, so that in 1979 half of the inmates released were discretionary releases and half were MRs.

TABLE III

Releases from Prison
1970-1979

	70	71	72	73	74	75	76	77	78	79
Discretionary Parole	1001 (72%)	1175 (75%)	1225 (83%)	792 (78%)	672 (73%)	845 (75%)	1076 (81%)	1050 (73%)	766 (60%)	691 (51%)
Mandatory Release	380 (28%)	396 (25%)	247 (17%)	229 (22%)	249 (27%)	284 (25%)	251 (19%)	379 (27%)	513 (40%)	662 (49%)
TOTAL	1381 (100%)	1571 (100%)	1472 (100%)	1021 (100%)	921 (100%)	1129 (100%)	1327 (100%)	1429 (100%)	1279 (100%)	1353 (100%)

Board members have perceived changes in the inmate population over the years which might account for this shift in releases from discretionary to MR. They have mentioned that in the past more individuals were coming to prison because of writing worthless checks, non-support of family, and alcoholism. They indicate that they are now seeing an increase in inmates entering prison who are more assaultive, involved in armed robberies, have multiple offenses, are involved in drugs and have less education. Also, they indicate that it appears that more inmates have been given a chance on probation before being committed to correctional institutions and perhaps have longer offense histories. These questions need to be examined further to determine if the inmate population has indeed changed over the years in a manner that might explain changes in Parole Board decision-making behavior.

On the other hand, there may be other factors operating to cause this shift. Without speculating on these other factors, it is nonetheless possible that there are individuals who could have been released earlier and successfully completed parole. In addition, there probably are characteristics that can assist in the identification of these individuals as well as those most likely to return to prison. Knowledge of these characteristics would help the Parole Board make the best parole decision about individual offenders.

2. Alternative System: " Information Feedback Model"

By using an information system that examines parole outcome, the Parole Board could examine and compare characteristics of those individuals released on discretionary parole or mandatory release who 1) violate parole and return to prison and 2) complete parole without returning to prison. The following model depicts the feedback that an information feedback system could provide.

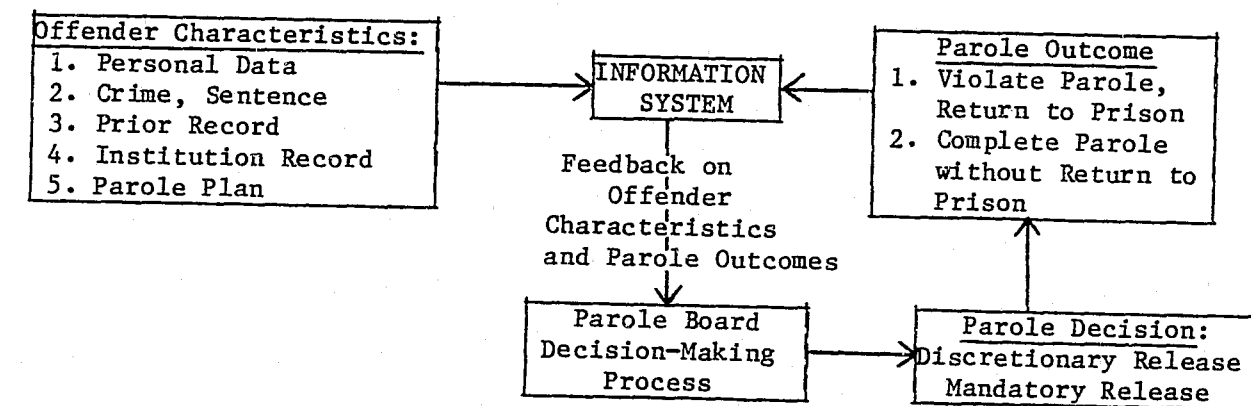


Figure 2. Information Feedback Model

Data on characteristics of all offenders released from prison is entered into an information system. When the parole outcome is determined, that information is also entered into the system, combined with data on characteristics, and provided as feedback to Parole Board members. Parole Board members then have knowledge about the characteristics of each offender group: those who return to prison and those who do not. This knowledge, applied during the parole decision-making process, should help improve decisions, and therefore, parole outcomes, by providing objective data on offenders most likely to return to prison or stay on parole.

Besides assisting in the decision of who to release, the information system should also assist in the decision of when to release.

Characteristics that are associated with individuals who are good risks (do not return to prison) need to be identified as well as the percent of their sentence they are serving and the average amount of time served. Then the Board could decide to release inmates who are identified with these characteristics a little earlier and with greater confidence than they are currently. The reverse is also true. That is, offenders who have characteristics associated with poor risks may be retained in prison longer. Finally, the board can receive continuous feedback on the parole outcomes of all these individuals in order to evaluate these decisions.

Part B, which follows this section, describes in greater detail the data requirements for an Information Feedback system, and identifies sources of these data. In addition, several examples are provided to help clarify how the model would work.

3. Information Feedback System Compared to the Guideline System

Many states, and the Federal Parole Board, have gone to a system of parole guidelines to assist them in determining who to release and when. Guidelines are applied when inmates enter prison. They provide a recommended range of time of incarceration for inmates with particular offense severity scores and particular parole prognosis (risk) scores. The range of months of incarceration are designed to allow paroling authorities a limited amount of discretion to reward or punish offenders for their institutional behavior. At six month intervals the Board is given feedback on the median time served by offenders for the previous six months so that the guidelines can be revised.

The guideline system is subject to certain limitations, however. Used to set an inmate's term in advance, heavy emphasis is placed on the seriousness of the offense and an inmate's prior criminal and work record. Institutional behavior and progress modifies the term set at the beginning only to a limited extent. Other factors are not taken into consideration at all such as:

1. parole plan
2. attitude of community about the offender
3. recommendations from the judges and district attorney as to the timing of parole.

The Information Feedback Model offers an alternative to both the current system and a guideline system. It is a more flexible system than guidelines that allows input on all factors. The knowledge from the feedback can be applied all along the inmate's period of incarceration at any decision point. In addition, it supplements the Parole Board members' professional judgement with data on parole outcomes obtained from the information system.

Thus, the Information Feedback Model supplements Parole Board members' professional experience and judgement with data on the outcomes of parole decisions and relies on increased awareness of the effects of those decisions to improve the decision-making process.

B. Data Requirements and Sources of Data for Parole Decision-Making and the Information Feedback Model

1. The Data Requirements

Table IV on the following pages shows the data elements, or variables, that seem to be considered by the Parole Board members during the case review process. The data elements are grouped according to the case review categories discussed in Section I: 1) Personal and Social Data, 2) Circumstances Surrounding the Crime; Sentence, 3) Prior Record, 4) Institution Record and 5) Parole Plan. An additional section, Parole Outcome, lists data relevant to parole termination and a final section lists miscellaneous items. The table shows the source document for the data element if it is currently in one of the Division of Correction's information subsystems. If the data is considered by the Parole Board in making its decision, but is not available in an information subsystem, then it is marked "Unavailable."

In addition, the table indicates the point in time at which the data is collected, e.g., admission or release from prison, and admission to or termination from parole.

TABLE IV. Data for Parole Decision-Making and the Information Feedback Model, and Data Sources

Data Elements by Parole Board Case Review Process Category	Point in Time Data is Obtained				Source ¹
	Prison Admission	Prison Release	Parole Admission	Parole Termination	
I. <u>Personal & Social Data</u>					
A. Age		*			C-12
B. Race ²	*				C-12
C. Sex ²	*				C-12
D. County of Commitment	*				C-12
E. % Time Employed 12 mo. Prior to Incarceration			*		C-502
F. # Address Changes 12 mo. Prior to Incarceration			*		C-502
G. Alcohol Usage Prior to Incarceration			*		C-502
H. Drug Usage Prior to Incarceration			*		C-502
I. Attitude			*		C-502
J. Last Grade Completed			*		C-502
K. Family Relationships					Not Avail
II. <u>Circumstances Surrounding the Crime; Sentence</u>					
A. Offense (#1)	*				C-12
B. Assaultive Nature of This Offense	*				IAS
C. Length of Sentence	*				C-12
D. MR Date		*			C-357
E. % and Amount of Sentence Served		*			C-357
F. Offense and Sentence Is a Result of Plea Bargaining					Not Avail
III. <u>Prior Record</u>					
A. Age at First Conviction			*		C-502
B. # Previous Misdemeanor Probations			*		C-502c
C. # Previous Felony Probations			*		C-502c
D. # of Probation Revocations					
E. # Times Previously Released on Parole			*		C-502c
F. # Parole Revocations					

¹C-356, C-357: From the Inmate Accounting System (IAS)
C-502, C-502a, C-502c, C-503b, C-503c: From the Case Classification System (CCS)
C-12: Master File Card
C-426: Institution Disciplinary Reporting System (IDRS)

²Race and Sex are not used for decision-making but are important demographic variables that should be examined.

Point in Time Data is Obtained					
Data Elements by Parole Board Case Review Process Category	Prison		Parole		Source 1
	Admission	Release	Admission	Termination	
H. Convictions or Juvenile Adjudications for: ³					
1. Burglary, Auto theft or Robbery			*		C-502
2. Worthless Checks or Forgery			*		C-502
I. # of Prior Incarcerations for 1 yr In a Federal or State Institution			*		C-502c
IV. Institution Record					
A. # Conduct Reports		*			C-426
B. # Disciplinary Hearing		*			C-426
C. # Times in Segregation		*			C-426
D. # Times Injury or Weapon Involved in Conduct Report		*			C-426
E. Participation in Ed. Program: Adult Basic		*			C-357
Ed. High School Program,		*			C-357
GED or HED Program,		*			C-357
Vocational or Apprenticeship Program,		*			C-357
College Course, #		*			C-357
College Credits		*			C-357
F. Participation in Work Release		*			C-357
G. # Weeks on Work Release		*			C-357
H. Study Release		*			C-357
I. # Weeks on Study Release		*			C-357
J. Alcohol or Drug Program Participation		*			C-357
K. Participation in Psychotherapy or Counseling					Not Avail
L. # Family Visits					Not Avail
M. # Transfers		*			Movement System IAS
N. # Transfers from Minimum to Maximum		*			Movement System IAS

³This is used by the Case Classification System in the assessment of client risk. Convictions for these offenses are associated with high rates of recidivism.

Point in Time Data is Obtained					
Data Elements by Parole Board Case Review Process Category	Prison		Parole		Source 1
	Admission	Release	Admission	Termination	
V. Parole Plans					
A. Living Arrangements			*		C-502c
B. Payments Received (SSI, etc.)			*		C-502c
C. Savings (e.g., from Work Release)			*		Not Avail
D. # Dependents			*		C-502c
E. Job Prospects			*		Not Avail
F. School Plans			*		Not Avail
VI. Parole Outcome					
A. Type of Termination				*	C-503b
B. Reason for Revocation				*	C-503b
C. # Address Changes in Past 12 mo. on Parole				*	C-5-3b
D. % Times Employed on Parole				*	C-503b
E. Amount of Time Employed at Termination				*	C-503b
F. Living Arrangements at Termination				*	C-503b
G. Payments Received				*	C-503b
VII. Miscellaneous					
A. Recommendations from the Judge and District Attorney to the Timing of Parole					Not Avail
B. Attitude of the Community about the Offender					Not Avail

2. Data Sources

The majority of these data elements are available from two subsystems: the Case Classification Subsystem (CCS), and the Institutional Accounting Subsystem (AIS).

a. Case Classification Subsystem (CCS)

In Wisconsin, the Case Classification Subsystem, used by the Bureau of Community Corrections, is a comprehensive classification process which assesses clients according to their need for services and risk of continued unlawful activity. The client is assigned to a level of supervision, high, medium or low, based on his risk and need. It has been in place, statewide, since the Fall of 1977.

This information subsystem contains data collected on probationers and parolees from agency staff at admission and at termination, and from the courts at admission. The subsystem is designed so that, for each offender at the time of admission to probation or parole, a comprehensive client profile is completed. The profile includes demographic data, offense history, sentence information, needs and risk data, and referral information. Data collected at termination is then merged with admission data providing a before/after record for each client. Data collected at termination includes needs and risk, termination type, new offense data, and information regarding the use of community resources. A six month update of social data and client needs has just been instituted and will soon be merged into the subsystem.

The Risk Assessment Scale, filled out at admission and termination has proven to be a predictor of future criminal activity. Table V is based on the first termination documents received which could be matched with risk scores at admission and illustrates a strong correlation between revocations and initial risk assessment scores. These data include both probation and parole cases.

TABLE V

Revocation Rate by Initial Risk Assessment Scores
For Individuals on Probation and Parole

INITIAL RISK SCORE*	NUMBER ASSESSED	NUMBER REVOKED	REVOCATION RATE
0-3	543	5	0.92%
4-7	1,124	28	2.49%
8-9	492	28	5.69%
10-11	387	38	9.82%
12-24	432	54	12.50%
15-19	498	78	15.66%
20-24	362	94	25.97%
25-29	252	94	37.30%
30 and Above	141	60	42.55%
Total Sample	4,231	479	11.32%

*Scores were aggregated (for this presentation) to the point where an additional increment in risk scores was accompanied by a significant increase in the revocation rate. The 15 points assigned to assaultive offenders were not included in risk scale computations because this item is not predictive of continued criminal activity.

Source: The Wisconsin Case Classification/Staff Deployment Project, Report #14 - a two-year follow-up; Division of Corrections, DH&SS; July 1979.

By utilizing cutoff points of scores of 8 and 15, a 1.98% of low risk clients (0-7 points), 9.15% of moderate risk clients (8-14 points), and 26% of high risk clients (15 and above points) were revoked.

b. Institution Accounting Subsystem (IAS)

The IAS provides research and statistical information used in program planning. It includes four sub-systems: adult movements, adult movement supplements, juvenile movements, and juvenile movement supplements. Reports are produced monthly.

Movements (permanent and temporary admissions to and releases from institutions) are reported on a Daily Population Report completed in each institution and mailed to the Office of Systems and Evaluation. Supplementary data (socio-economic, offense, sentence, and prior records) are reported on a separate form for each admission and release. The release report also includes a skeletal summary of program involvement during the entire institution stay. The adult subsystem is currently being expanded under a federal OBSCIS (Offender-Based State Corrections Information System) grant to include more detailed sentence and offense data, more up-to-date coding of socio-economic data, sentence modifications, and program review updates to socio-economic data.

Data elements concerning disciplinary action are contained in another subsystem called the Institution Disciplinary Reporting System.

c. Institution Disciplinary Reporting Subsystem (IDRS)

This subsystem provides information on disciplinary actions involving confinement, contraband violations, incidents of misconduct, institutional rule infractions, disciplinary hearings and dispositions. Information is used for security monitoring, research,

program evaluation and responses to inquiries. One disciplinary form is completed for each conduct report handled even if multiple reports are handled at the same hearing.

3. Types of Release and Outcome Data

Parole Board members will need feedback on the outcomes of parole decisions in order to improve the decision-making process. As mentioned in Part A, which described the Information Feedback Model, feedback on two groups of offenders will be needed: those released on discretionary parole and those who are mandatory releases. These two groups can be broken down further into those with positive parole outcomes and those who were returned to prison. The matrix below describes this relationship.

Outcome	<u>Type of Release</u>			
	MR		DR	
	#	%	#	%
Returned to Prison				
Not Returned to Prison				

Furthermore, there are two relevant timeframes for obtaining these data. The first relates to the question: "What is the status of offenders released in the past twelve months?" Many, if not most of these offenders, will still be on parole supervision unless they have been revoked.

The most timely source for this information is the Inmate Accounting Subsystem, which can identify releases from prison by whether they were paroled or reached MR. It also records information on readmissions to prison. Since the IAS does not include many of the characteristics of interest to parole decision-making, its use as discussed above will be

most important for short-term monitoring. The IAS and the CCS would need to be merged to obtain more complete data on inmate characteristics and outcomes. These and similar problems of feasibility and access are discussed in Part C.

On the other hand, for other questions which are discussed in more detail below, data should be obtained on large groups of closed cases, in other words, cases which are no longer active in the field. The best source for this information is the Case Classification Subsystem which contains records of parolees from admission to field supervision to termination from field supervision. It also records whether that termination was a discharge or a revocation. This termination record would contain the additional outcome data listed in Table IV (Page 24). (Case Classification staff currently update their system to include completed, or closed, cases.)

4. Using the Information Feedback Model to Improve Parole Decision-Making

In order to make data on outcomes relevant for decision-making, outcome data must be related somehow to the information the Parole Board members consider at the time they make a parole decision. Section II of this report described the case review process, including the hearing interview, during which Parole Board members consider an enormous amount of information about the inmate. Table IV identified the information, or data elements, the Parole Board considers during the case review process. It also identified the source of the information if it is currently contained in a DOC information subsystem. Now we want to relate this

information, which is known to Parole Board members when they decide to release or defer, to parole outcome data. The question Parole Board members want to be able to answer during a parole hearing is: "What actually happens to other inmates with characteristics like these when they are paroled?"

The table below juxtaposes some relevant information on parole outcomes with certain inmate characteristics known at the time of release. The purpose of arraying the data in this fashion is to start to determine which characteristics seem to be most closely associated with either returns to prison or positive parole outcomes.

TABLE VI

Inmate Characteristics Known at the Time of Release, and Parole Outcomes

Characteristics	Successfully ¹ Discharged		Returned to Prison			
	#	%	Rules Viol.		New Offense	
			#	%	#	%
Age at release						
18-21						
22-24						
25-27						
28-30						
over 30						
% Time Employed Prior to Incarceration:						
60% or more						
40-50%						
Under 40%						
Alcohol Usage Problems Prior to Incarceration:						
No interference with functioning						
Occasional abuse, some disruption of functioning						
Frequent abuse, serious disruption; needs treatment						
Offense:						
Burglary						
Robbery						
Other property						
Assaults						
Sexual Assaults						
Other Sex Offenses						
Drug Offense						
Other Offense						
% of Sentence Served:						
75-100%						
50-74%						
25-49%						
0-24%						
Average Time Served						
# Prior Probation/Parole Revocations:						
None						
One or More						

¹A similar table could be developed for offenders released at a more recent point in time. Since some cases would still be open, the heading would read: "Discharged Successfully, or Still on Parole." Of course, these two groups could be listed separately, too.

Characteristics	Successfully ¹ Discharged		Returned to Prison			
	#	%	Rules Viol.		New Offense	
			#	%	#	%
Participation in Work Release:						
Participated						
Did not participate						
Number of Weeks of Participation in Work Release:						
0-12 weeks						
13-24 weeks						
25-51 weeks						
52 or more weeks						
# Transfers						
None						
1-3						
4-7						
8-10						
Living Arrangement on Release:						
Alone						
With Spouse						
With Children						
With Parent						
With Sibling						
With Friend						
Other						

We might expect that a larger proportion of people in specific offense categories have returned to prison than in other offense categories, or that people over a certain age are likely to remain on parole. The data would be used to verify what in the past have been hunches. A profile of each release group, those returned to prison and those still on parole or successfully discharged will be developed.

At first the characteristics may be fairly general, e.g., offenders with a certain history of parole revocations, in certain offense categories, or in a certain age group tend to return to prison within the first six months after release, while offenders in other offense categories, age groups or with different revocation history tend to remain on parole.

Over time, the data will be used to refine the descriptions of these two groups. For instance, there probably is interaction between several variables, and some of these configurations of variables may be more or less strongly associated with positive parole outcomes.

As the descriptions of the two release groups are provided to Parole Board members and updated and refined every six months, the members can use the descriptions in assessing the risk in releasing a particular individual. There now seems to be a trend toward not releasing inmates on parole but rather allowing a growing proportion of them to remain in prison until their MR date. This may be due to the fact that many inmates are indeed poor parole risks, e.g., they committed more severe crimes and have poor parole records. In any case, the impact on the Parole Board is that the exercise of discretionary parole is occurring less and less frequently. The advantage of a feedback system based on actual parole outcomes is that the Parole Board members will be able to know more about the inmates who are potentially good risks and can be released early. The emphasis here is on finding the best point at which to release.

Currently, Parole Board members use their experience and professional judgement to make parole decisions. Feedback on the accuracy of these decisions is obtained informally or when an inmate who returned to prison reappears before the Board. Furthermore, this type of feedback gives Parole Board members no information on offenders who do not return to prison.

The feedback system being proposed here will supplement the Parole Board's professional judgement with data based on actual parole outcomes. It is not a substitute for Parole Board decision-making but helps inform the decision by telling the Parole Board members which inmate characteristics are most likely to be associated with returns to prison or positive parole outcomes.

5. How the Case Classification Risk Scale Could be Used

Some information about the relationship between risk and returns to prison is already known. The Case Classification Subsystem assumes risk at admission to parole (the equivalent to release from prison) in order to assign the parolee to a level of supervision. The higher the risk score, the more supervision the parolee receives. However, analysis of risk scale data can be useful for Parole Board decision-making as well.

Listed below are the items contained in the Case Classification Assessment of Client Risk.

Number of address changes in last twelve months (prior to incarceration)
Percentage of time employed in last twelve months (prior to incarceration)
Alcohol Usage Problems (prior to incarceration)
Other Drug Usage Problems (prior to incarceration)
Attitude

Age at first conviction

Number of prior periods of probation/parole supervision

Number of prior probation/parole revocations

Number of prior felony convictions

Convictions or juvenile adjudications for: 1) burglary, theft,
auto theft or robbery, 2) worthless checks or forgery

Conviction or juvenile adjudication for assaultive offense within
last five years

A weight is assigned to the answer for each of the above items (see Appendix for more details) and the numbers are added to obtain the total risk score.

There are two ways to approach the use of Case Classification data. One is for Parole Board members to complete the risk scale themselves for individuals who appear before them. The second is to break down the risk scale into its component parts to determine which specific factors and scores are associated with parolees who return to prison and which specific factors and scores are associated with parolees who do not return to prison. This latter approach is similar to the methods listed above in starting to describe the characteristics of returnees and non-returnees. Of course, it is also possible that the total risk rather than any component of the scale is more associated with parole outcome.

C. Methods of Obtaining and Disseminating Aggregate Data: Problems, Current Plans, Costs

Section III. B described the three Division of Corrections subsystems that contain many of the sources of data for a parole decision-making and Information Feedback Model. This section describes the methods for obtaining and disseminating the aggregate data for an Information Feedback system.

1. The Current System

Currently, there is no method to obtain the information needed for the Information Feedback Model. As mentioned in Section III. B, the DOC information system contains all the data elements needed to analyze parole outcome. The problem is that the data elements needed are in three different subsystems. These subsystems are considered stand-alone systems because the handling of input/output documents, file modifications and file maintenance are done independently of each other and each subsystem contains its own identifying information (name and number). Because of this, it is impossible to get a composite picture of an inmate and his experience while incarcerated and on parole in the community.

The Institutional Accounting Subsystem (IAS) contains information needed about an offender's experience in the institution (i.e. % sentence served, MR date, program participation, movement from one institution to another etc.). The Institution Disciplinary Reporting Subsystem (IDRS) contains information on conduct reports, rule

violations and disciplinary hearings. The Case Classification Subsystem (CCS) contains information needed about an offender's experience on parole (i.e. living arrangement, employment, type of termination, length of time on parole, need and risk scores etc.). The IAS and CCS both contain information on demographic variables, prior criminal record, offense and sentence.

2. A Total System Needs To Be Developed

In order to obtain information for the Feedback Model, the Division of Corrections three subsystems (IAS, IDRS and CCS) need to be combined, thus creating one system. The most immediately accessible method to create this system would require creating a historical file. Since the information from the three subsystems are currently on three different computer tapes, creating a historical file would require merging these three tapes to create one new tape. By creating this new tape a composite picture of an inmate from admission to prison and through the parole term could be obtained.

Since 1965 several assessments of the Corrections information system have been done. All assessments have shown the need for an integrated computerized data processing system. DOC is now in the process of developing a Corrections Integrated Program Information System (CIPIS). CIPIS will incorporate all of the present and potential computer applications within the Division into one organized, integrated and compatible data base. Data will be primarily offender based, i.e.

most input data will be about individual offenders. CIPIS will track all adult offenders from admission to institutions or probation until their discharge from supervision. The DOC Information Systems plan is to have CIPIS functioning in 1985. The Division of Corrections Information Systems Plan states that by January of 1982 the Institutional Accounting Subsystem and Corrections Institution Caseload would be integrated; and by June 30, 1982 the Case Classification and Probation and Parole Subsystems would be integrated. By 1985 the Institutional Accounting Subsystem, Institution Disciplinary Reporting Subsystem, Case Classification Subsystem, Corrections Institution Caseload Subsystem, Probation and Parole Subsystem, Corrections Foster Care Subsystem and Adult Jail Information Subsystem and the various manual systems will be merged.

The Parole Board therefore has two choices:

- 1) wait until 1985 for CIPIS to be completed, or
- 2) create a historical file of the information they need from the three subsystems.

3. Creation of a Historical File

Three steps are necessary to create a historical file: 1) code the information needed, 2) convert coded data to "machine readable" format (key punching) and, 3) write a computer program that would transfer the information onto a tape. This would require merging the IAS, IDRS and CCS to form a historical file. The first two steps are already completed. Data is coded and keypunched on a routine basis for DOC's

IAS, IDRS and CCS subsystems. To complete the third step would require that a computer programmer spend 6-8 months writing a program to merge the tapes from the three subsystems. The Office of Information Systems (OIS) has programmers that have the capability of writing the program. The costs of having a programming analyst write the computer program would be \$24.39/hr., as indicated in an OIS October 13, 1980 memo to Area Managers and Department of Health and Social Services Users. An alternative to using OIS programmers would be to hire a consultant (outside the department) to do the programming. The University of Wisconsin and Madison Area Computing Center have many programmers capable of creating a historical file. The only other costs involved with creating a historical file would be computer costs. The computer cost cannot be estimated at this time, but would depend on the complexity of developing the historical file and the skills of the programmer.

Once the historical file is created, the only costs the Parole Board would incur would be the costs of accessing the data from the file. It is estimated that this would cost about \$5.00 a run and that an average 5 runs would be needed a week for a total weekly cost of \$25.00 and a yearly cost of \$1,300.00 (this is based on the overnight/weekend priority rate for OIS). This assumes that the Parole Board obtains a Research/Planning Analyst to submit the runs and analyze the data.

If the Parole Board Chairman decides that he wants to create the historical file now rather than waiting 5-6 years until CIPIS is functioning and he wants to use OIS to do the programming, he would

need to discuss this with the Secretary of the Department of Health and Social Services and the Director of the Office of Information Systems (OIS). If the determination is that creating this historical file is high priority, OIS would need to assign a staff programmer to the project (if the assigned programmer were to be taken off assignments for developing CIPIS, the development of CIPIS would further be delayed).

4. Need For A Research/Planning Analyst

Generally, the Parole Board does not have the resources for accessing, analyzing and interpreting data in relation to Parole Board activities, nor do they have the time to devote to this work. The Board also lacks the expertise to implement and maintain an information feedback system.

A Research/Planning Analyst would need to be hired by the Board to extract the data from the information system and feed it back in a usable form to the Board on a routine basis.

If a Research/Planning Analyst were hired he could:

1. assist the board in identifying key issues to be addressed and formulate research questions to be asked, (i.e., What characteristics are associated with those parolees who complete parole without returning to prison?).

2. determine what information should be examined and what comparisons should be made.
3. process the data.
4. analyze the data by breaking down cases into groups, making comparisons and looking for relationships among variables of interest.
5. produce conclusions about issues and research questions.
6. feed the findings back to the Board.
7. assist the Board in making recommendations for future decisions.

5. Conclusion

The ability to obtain and disseminate the aggregate data for the Information Feedback system do not currently exist. In order to obtain the information for the system, the Division of Correction's three subsystems (IAS, IDRS, and CCS) need to be merged, creating one system. The most immediately accessible method to create this system would require creating a historical file. Creating the file would require that a programming analyst spend 6-8 months writing a computer program. The Office of Information Systems (OIS), University of Wisconsin and Madison Area Computing Center all have programming analysts capable of creating a historical file. By creating this file a composite picture

of inmates from admission to prison and through the parole term could be obtained. The information obtained from the historical file could be shared by the Parole Board and the Division of Corrections for planning and evaluation purposes.

The Parole Board does not have the resources for accessing, analyzing and interpreting the data relative to Parole Board activities. The Parole Board needs to hire a Research Planning Analyst to implement and maintain an information feedback system.

D. Data Requirements for Management

There are two areas of relevant management information for the Parole Board which are discussed below. One relates to monitoring the effects of changes in the decision-making process as presented in this paper. The other area relates to monitoring organizational changes as recommended in Gebeyehu Ejigu's report, "The Wisconsin Parole Board: A Management Review of Its Organization Operating Procedure and Decision Patterns."

1. Data to Monitor Changes In The Parole Board Decision-Making Process

Both this report and the one prepared by Mr. Ejigu indicate that the Parole Board appears to be exercising its discretionary power to release inmates on parole less often and more cautiously, e.g. closer to MR, over time. Following is a list of observations about Parole Board decision-making behavior made in these two reports.

1. The proportion of discretionary releases to mandatory releases has shifted from an average 72% discretionary releases per year and 28% mandatory releases per year to about fifty-fifty, (See Table III).
2. In CY 1979, about 70% of inmates interviewed by the Board who were in minimum security or a pre-release center were deferred parole.¹
3. A sample of inmates released on discretionary parole during the first six months of 1980 served nearly 80% of their mandatory prison term before being released on parole.²

The primary issues which face the Parole Board in its decision-making process are who to release and when. This involves both an assessment of risk and a judgement of whether the inmate has served an appropriate amount of time in prison. The evidence shows that Parole Board members are deciding to release fewer inmates, even when they are in minimum security, and are releasing them close to their MR dates.

This paper recommended using an information feedback system which would enhance the Parole Board members' ability to exercise discretion by providing data on characteristics of inmates who are proven to be good risks as well as those who actually return to prison.

¹See page 35 of Mr. Ejigu's report.

²See page 20 of Mr. Ejigu's report.

If the Information Feedback Model is implemented, the Parole Board Chairman will need to monitor the effects of the changes in Board decision-making. The information system would aid members in increasing the span of their discretion. As a result, the effects of changes might possibly include:

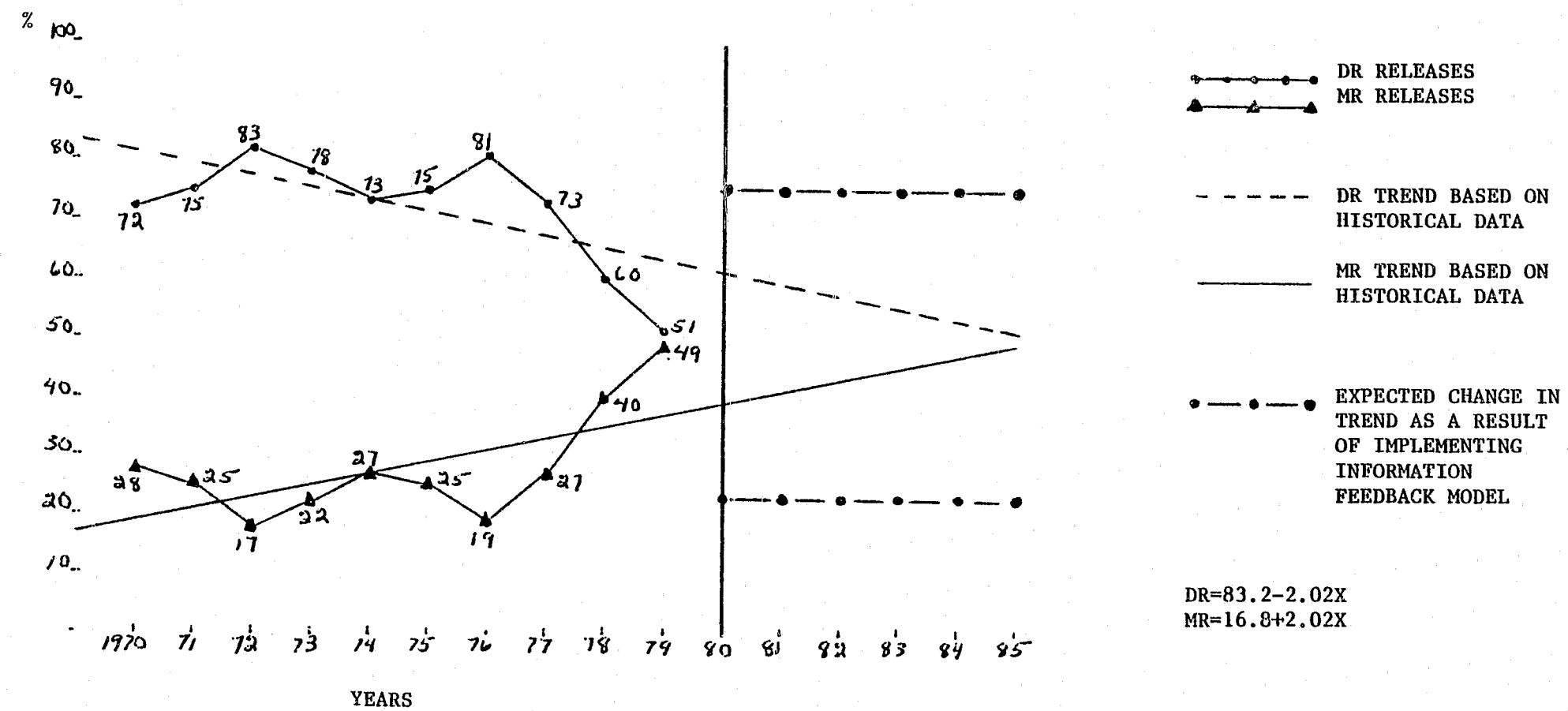
1. Increasing discretionary releases as a percent of all releases.
2. Increasing distance between discretionary release date and MR date.
3. Increasing percent of discretionary releases from minimum security facilities and pre-release centers.

These expected effects of changes in the Board's decision-making process must be accompanied by data on parole outcomes:

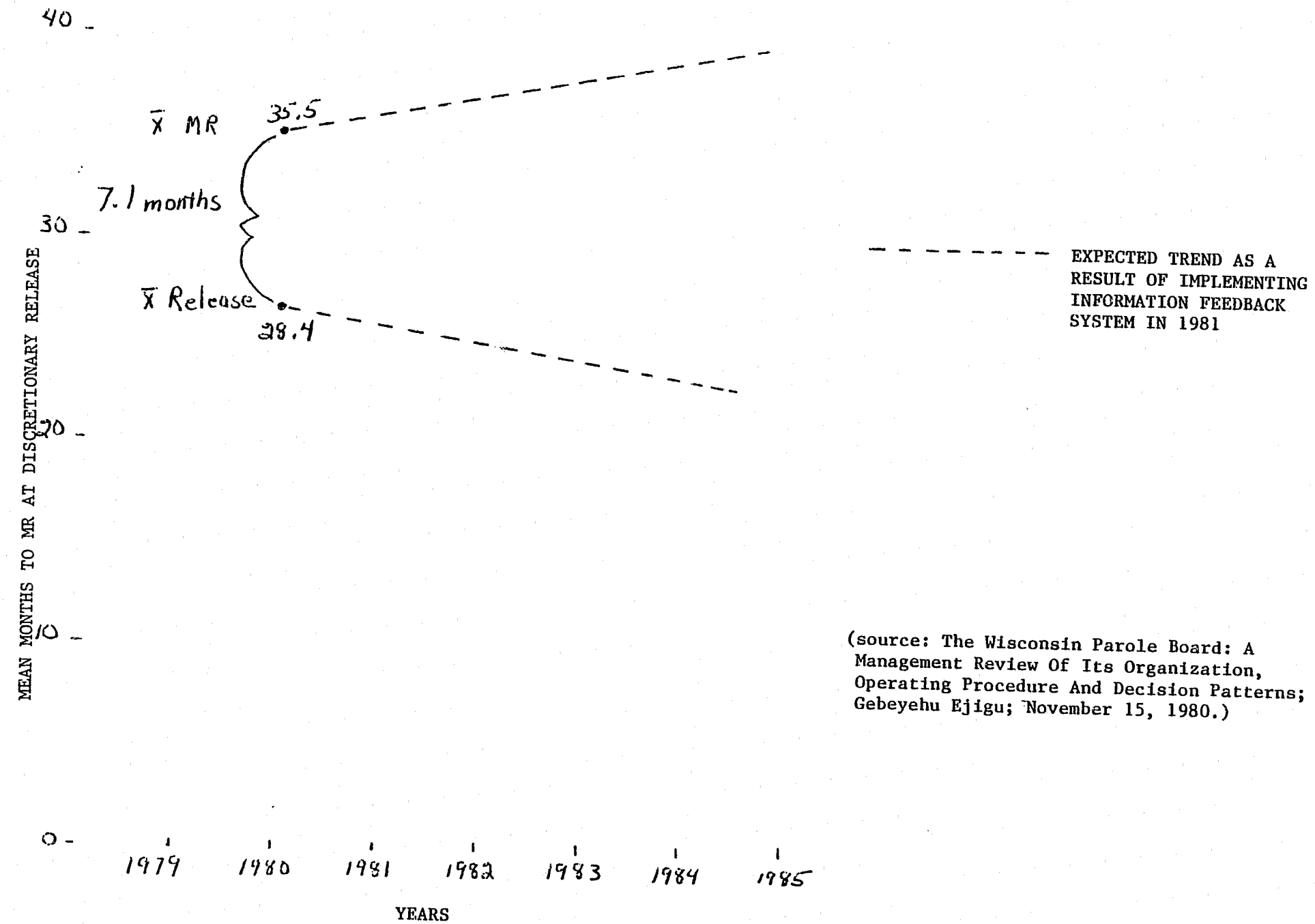
4. No change in recidivism rates for discretionary and mandatory releases; or reduced recidivism rates for all releases.

Graphs on the following pages show examples of monitoring reports for each of these expected efforts. Where historical data are known, they are shown on the graphs (Source: Offenders Admitted To Wisconsin Adult Correctional Institutions Trend Data For Calendar Years 1970 Through 1979. Division of Corrections). Dashed lines show illustrations (not necessarily expectations) of what the effects of changes in Parole Board decision-making might be. In some cases a trend line may be shown, too. The trend line indicates the expected outcome in the future if things continue as in the past. The Parole Board Chairman can use these data to determine whether any changes in outcomes and effects actually occur as a result of implementing a change in Parole Board decision-making as of, say, 1981.

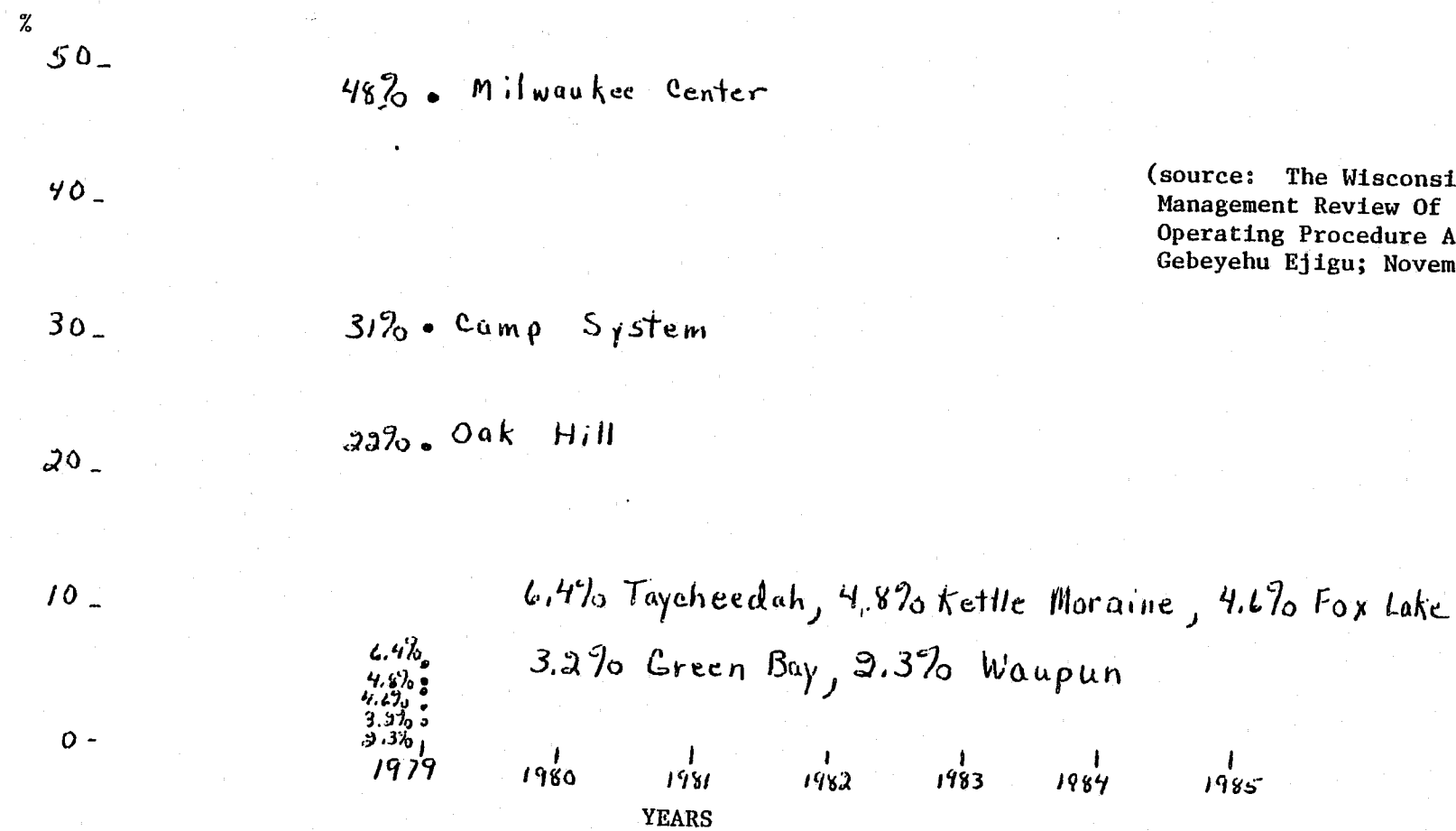
VII DISCRETIONARY AND MANDATORY RELEASES AS A PERCENT OF ALL MANDATORY AND
DISCRETIONARY RELEASES, 1970-1979



VIII AVERAGE DISTANCE, IN MONTHS, BETWEEN DISCRETIONARY RELEASE DATE
AND MANDATORY RELEASE DATE FOR ALL DISCRETIONARY RELEASES

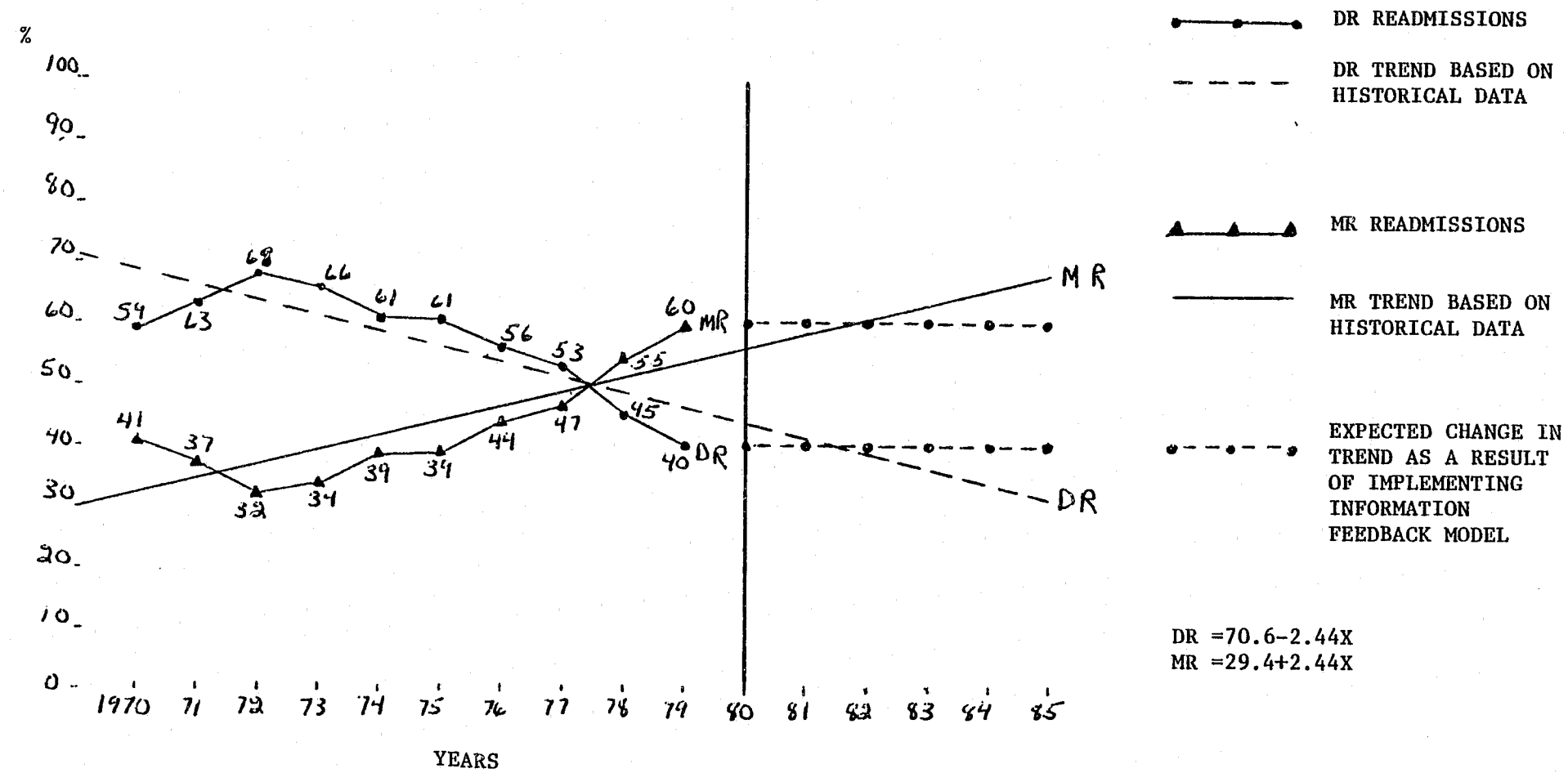


IX DISCRETIONARY RELEASE FROM MINIMUM, MEDIUM AND MAXIMUM SECURITY FACILITIES
AND PRE-RELEASE CENTERS, AS A PERCENT OF FACILITY HEARINGS



(source: The Wisconsin Parole Board: A
Management Review Of Its Organization,
Operating Procedure And Decision Patterns;
Gebeyehu Ejigu; November 15, 1980.)

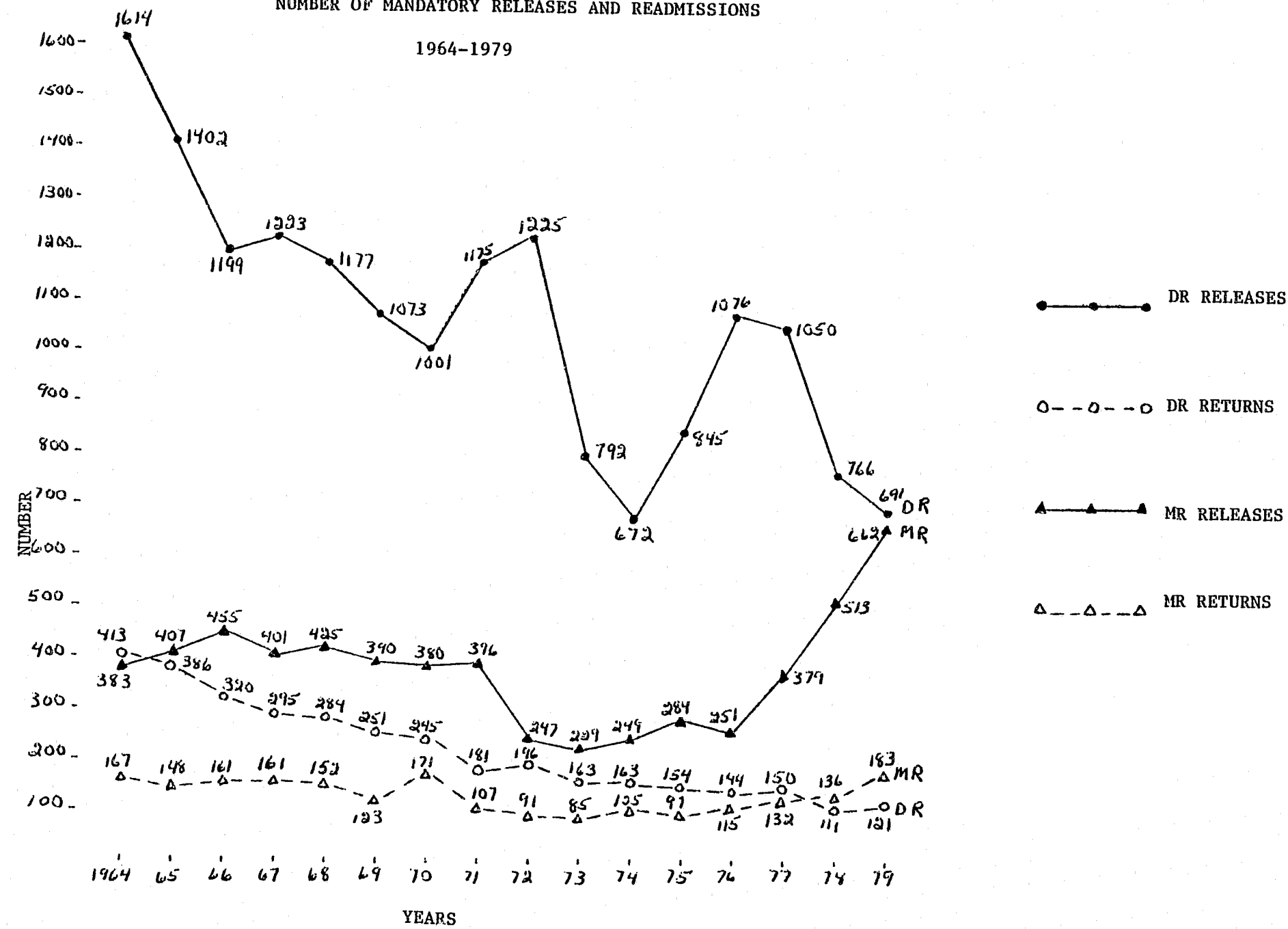
Xa DISCRETIONARY AND MANDATORY RELEASE READMISSIONS TO PRISON
AS A PERCENT OF TOTAL RETURNS, 1970-1979



Xb NUMBER OF DISCRETIONARY RELEASES AND READMISSIONS

NUMBER OF MANDATORY RELEASES AND READMISSIONS

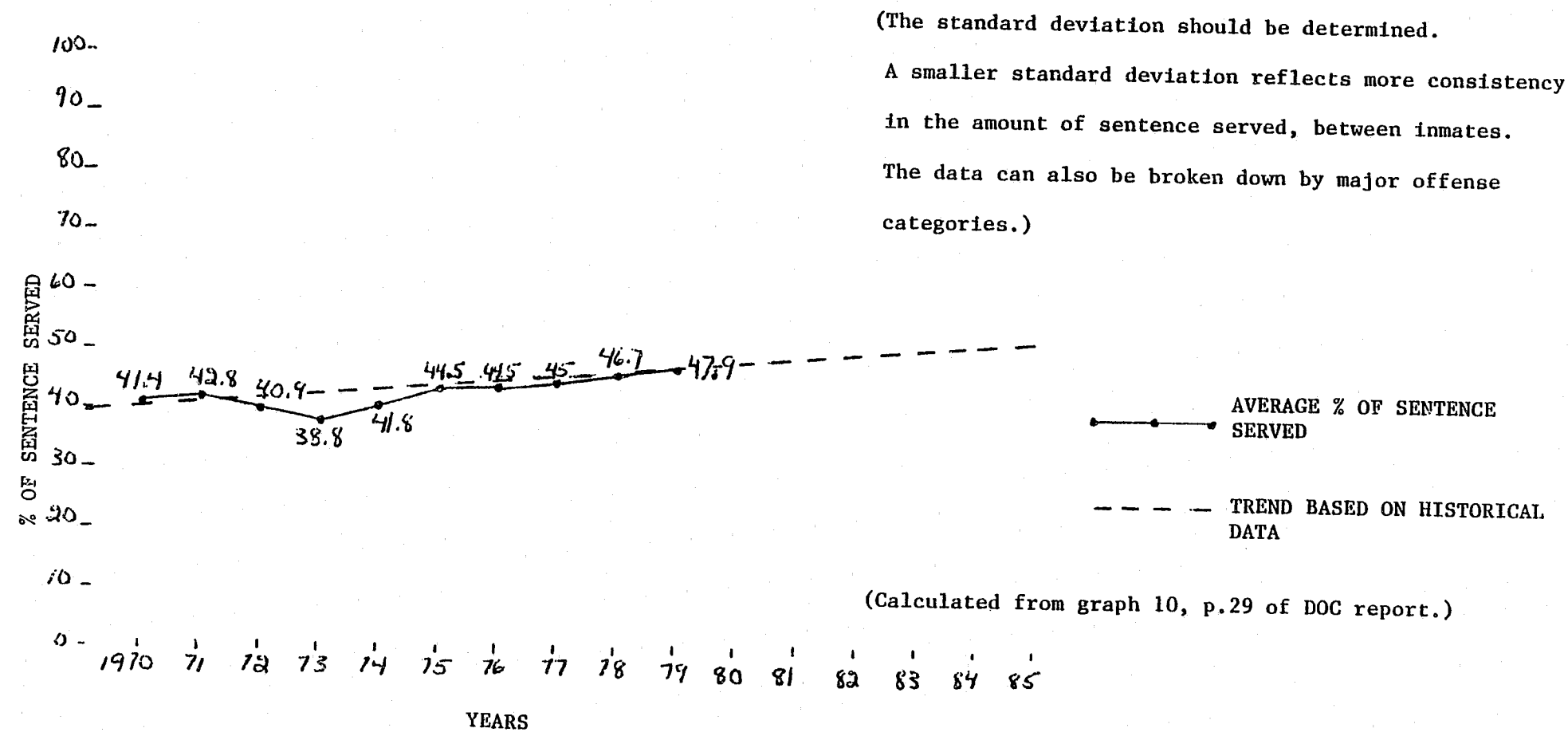
1964-1979



An additional issue raised in both this report and Mr. Ejigu's report is the lack of either minimum sentencing or guidelines to minimum sentencing. In the absence of either legislative or judicial efforts to address this problem, the Parole Board can start to look at the relationship between Parole Board decision-making, sentence length, actual length of stay, and the presenting offense. The Board's goal should be consistency in terms of either the amount of sentence served, regardless of the crime; or the amount of time served, regardless of the sentence length.

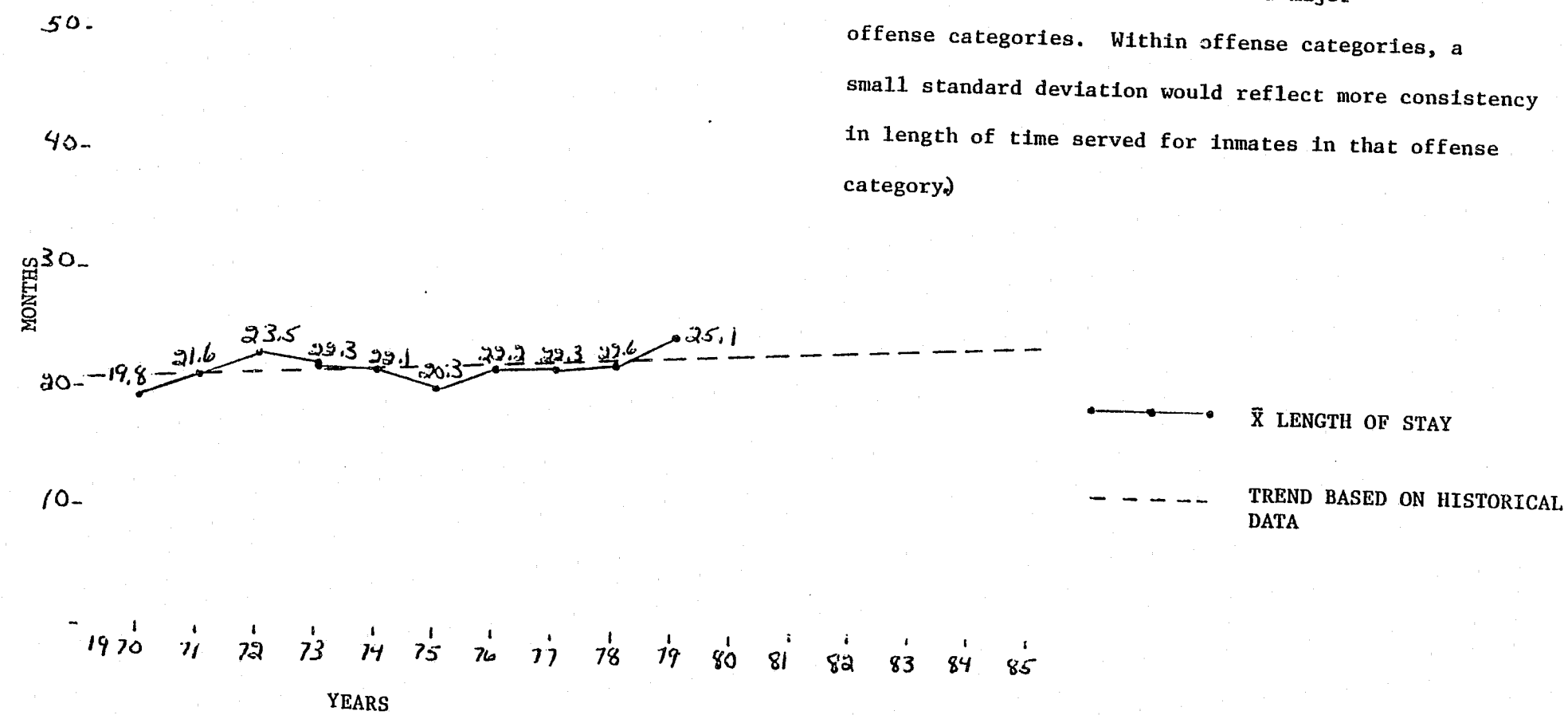
The following tables are examples of such monitoring reports.

XI AVERAGE PERCENT OF SENTENCE SERVED FOR OFFENDERS FIRST RELEASED FROM
WISCONSIN ADULT CORRECTIONAL INSTITUTIONS, 1970-1979



XII AVERAGE LENGTH OF STAY, IN MONTHS, FOR OFFENDERS FIRST RELEASED FROM
WISCONSIN ADULT CORRECTIONAL INSTITUTIONS, 1970-1979

(The data should be broken down for major
offense categories. Within offense categories, a
small standard deviation would reflect more consistency
in length of time served for inmates in that offense
category.)



2. Data to Monitor Changes In Parole Board Organization

Mr. Ejigu's report emphasizes the inefficient use of Parole Board members' time and recommends several changes which would streamline Parole Board operations and improve efficiency. Two major alternatives are suggested, one which would use case aids and one which would reduce the number of Parole Board panel members from three to two. (See Mr. Ejigu's report for more details.) Regardless of which alternative is chosen, the results should be monitored. The following changes in efficiencies should be monitored:

1. Reduced travel time.
2. Reduced office hours.
3. Increased percent of time spent on direct Parole Board activity.
4. Increased percent of time spent on face to face contacts with inmates.
5. Increased grants as a percent of total interviews.

The data in Mr. Ejigu's report on each of these five areas provides a base line against which the effects of organizational change can be measured. A time study and analysis similar to that presented in Mr. Ejigu's report should be repeated one year after any organizational changes are implemented. The Parole Board Chairman can then compare the results of that study with the baseline data available now to determine whether the expected efficiencies from restructuring the Board have, in fact, occurred.

IV. Conclusions and Recommendations

Following is a summary of major findings and observations and the recommended action.

1. The Parole Board considers five major areas of information about inmates during its case review process: 1) Personal and social history data, 2) Circumstances surrounding the crime; sentence, 3) Prior history, 4) Institution record, and 5) Parole Plans. However, the Board has no data on the relationship of these characteristics to parole outcome.

Recommendation: The Parole Board should implement an Information Feedback system to improve parole decision-making. The system would provide data on the relationship between inmate characteristics and parole outcomes. It would supplement Parole Board member's professional judgement with objective data in making the decision about who to release on parole and at what point in the inmate's institution stay.

2. An Information Feedback system for the Parole Board is heavily dependent on the Division of Corrections information subsystems. At this time, these subsystems are stand-alone systems. Three of them need to be merged for an effective Parole Board Information Feedback system. Current plans call for merging of all DOC information subsystems by 1985.

Recommendation: Assuming that the Department Secretary and the Parole Board Chairman agree that merging the three information subsystems is a priority, the Department should decide to contract an outside consultant or assign the job to the Office of Information Systems (OIS), to begin to merge the three subsystems now rather than wait for the complete merger of the DOC information subsystems. Merging the three subsystems could be accomplished during 1981.

3. Generally, the Parole Board members and Chairman are not experienced in using, accessing, analyzing or interpreting data in relation to Parole Board activities, nor do they have the time for this work. They also lack the expertise to implement or maintain an Information Feedback system.

Recommendation: The Parole Board should have a full-time Research/Planning Analyst who would be responsible for implementing and maintaining an information feedback system, providing management reports to the Chairman, and assisting the Parole Board members and Chairman in interpreting the results of data analysis and management reports.

4. The Parole Board's recent decisions indicate a decline in the exercise of their discretion: fewer inmates are being released on discretionary parole and they are serving an average 80% of their prison term to mandatory release. This report has recommended implementing an information feedback system to aid Parole Board members in increasing the span of their exercise of discretion.

In addition, the report by Gebeyehu Ejigu, "The Wisconsin Parole Board: A Management Review of Its Organization, Operating Procedure and Decision Patterns," makes several recommendations regarding streamlining Board operations and using members' time more efficiently.

Recommendation: The Parole Board Chairman should monitor the effects of changes in the decision-making process in order to determine whether the impact of those changes are in the desired direction and occur with unchanged or improved rates of recidivism. He should also monitor effects of changes in the organizational structure to ensure that the impact of those changes are also in the desired direction.

PAROLE DECISION

SCHEDULED HEARING (MO/YR)	INSTITUTION	INMATE NAME	DOC CASE NUMBER
AGENT NUMBER	ACTION TAKEN	DATE ACTION TAKEN	ELIGIBLE ON OR AFTER
REMARKS OR SPECIAL CONDITIONS OF PAROLE			

PAROLE BOARD COMMENTS (IF MORE SPACE IS NEEDED, USE ADDITIONAL SHEETS)

APPENDIX

VOTE	MEMBER'S SIGNATURE	DATE
VOTE	MEMBER'S SIGNATURE	DATE
VOTE	MEMBER'S SIGNATURE	DATE

STATE OF WISCONSIN
DEPARTMENT OF HEALTH AND SOCIAL SERVICES
PAROLE BOARD DECISION

WISCONSIN SUPREME COURT
STATE V. GOULETTE, 65 Wis. 2d 207.

TO: _____
(Name) (Number) (Institution) (Interview Month)

I. **THE PAROLE BOARD DECISION IN YOUR CASE IS:**

- ☐ A. Parole is being recommended to the Secretary to be effective on or about _____.
- ☐ B. Parole is not being recommended at this time.
- ☐ C. Your parole interview is deferred one month due to your unavailability.
- ☐ D. No action.* A decision on your application cannot be finalized at this time because:
- ☐ 1. Parole Board interviewing panel is not in agreement.
- ☐ 2. More information is required.
- ☐ 3. Review by the full Board is necessary.
- ☐ 4. Other: _____

*(You will be notified in writing when a decision is finalized.)

II. **THE REASONS FOR NOT RECOMMENDING PAROLE ARE AS FOLLOWS:**

- ☐ A. In the opinion of the Parole Board, parole at this time would depreciate the seriousness of your criminal behavior because of:
- ☐ 1. Its nature and severity. ☐ 3. The length of your sentence.
- ☐ 2. The attitude of the sentencing court. ☐ 4. The attitude of the district attorney.
- ☐ B. In the opinion of the Parole Board, there is a reasonable probability that you will not comply with the requirements of parole because of:
- ☐ 1. Your unsatisfactory institution adjustment.
- ☐ 2. The inadequacy of your progress in the institution program.
- ☐ 3. Your generally poor attitude.
- ☐ 4. Your record of poor adjustment while under previous supervision.
- ☐ 5. Inadequate parole plan.
- ☐ 6. Other: _____
- ☐ C. In the opinion of the Parole Board, continued confinement is necessary to protect the public from further criminal activity.
- ☐ D. In the opinion of the Parole Board, your particular needs require treatment that cannot be provided adequately or safely outside the setting of a correctional institution.
- ☐ E. Other: _____

III. **THE PAROLE BOARD WILL ACCEPT AND CONSIDER ANY FUTURE APPLICATION YOU SUBMIT AFTER**

(Month) (Year)

IV. **REMARKS:** _____

DEPARTMENT OF HEALTH AND SOCIAL SERVICES
DIVISION OF CORRECTIONS
C-356 (REV. 11/79)

STATE OF WISCONSIN

ADMISSION TO ADULT CORRECTIONAL INSTITUTION
AND SENTENCE CHANGE REPORT

PART 1: ADMISSION DATA - COMPLETE FOR ADMISSIONS ONLY

1 INSTITUTION CODE	2 DATE ADMITTED MONTH DAY YEAR	3 CASE NUMBER	A/Y	4 NAME LAST FIRST MI
5 ADMISSION CODE	6 BIRTH DATE MONTH DAY YEAR	7 AGE ON LAST BIRTHDAY	8 BIRTHPLACE CODE	
SELECT THE APPROPRIATE ANSWER AND CIRCLE THE CORRESPONDING CODE NUMBER.				
9 SEX 1 MALE 2 FEMALE	10 RACE 1 WHITE 2 BLACK 3 AMERICAN INDIAN 4 ASIAN OR PACIFIC ISLANDER 5 OTHER 9 NO DATA	11 ETHNICITY 1 HISPANIC 2 NON-HISPANIC 9 NO DATA	15 PRIOR FELONY CONVICTIONS 1 NONE, ONLY CURRENT 2 ONE 3 TWO 4 THREE 5 FOUR 6 FIVE OR MORE 9 NO DATA	19 TESTED GRADE LEVEL 01 NONE, OR KINDERGARTEN 02 FIRST OR SECOND GRADE 03 THIRD GRADE 04 FOURTH GRADE 05 FIFTH GRADE 06 SIXTH GRADE 07 SEVENTH GRADE 08 EIGHTH GRADE 09 NINTH GRADE 10 TENTH GRADE 11 ELEVENTH GRADE 12 TWELFTH GRADE OR HIGHER 80 NOT TESTED, MEDICAL REASONS 81 NOT TESTED, ILLITERATE 82 NOT TESTED, LANGUAGE OR OTHER BARRIER 99 NO DATA
12 MARITAL STATUS 1 SINGLE, NEVER MARRIED 2 MARRIED 3 COMMON LAW MARRIAGE 4 SEPARATED (FOR REASONS OTHER THAN INCARCERATION) 5 DIVORCED 6 WIDOWED 7 OTHER 9 NO DATA	13 CURRENT DISABILITIES 1 NONE 2 PHYSICAL 3 DEVELOPMENTAL/EMOTIONAL 4 PHYSICAL AND DEVELOPMENTAL/EMOTIONAL 9 NO DATA	14 SERVED IN THE MILITARY 1 YES 2 NO 9 NO DATA	16 PRIOR PENAL INSTITUTION EXPERIENCE 1 NONE, ONLY CURRENT 2 WISCONSIN INSTITUTION 3 INSTITUTION IN OTHER STATE, FEDERAL INSTITUTION, OR MILITARY PRISON 4 OTHER 9 NO DATA	17 JUVENILE CORRECTIONAL INSTITUTION EXPERIENCE 1 YES 2 NO 9 NO DATA
			18 HIGHEST GRADE COMPLETED 01 NONE OR KINDERGARTEN 02 FIRST OR SECOND GRADE 03 THIRD GRADE 04 FOURTH GRADE 05 FIFTH GRADE 06 SIXTH GRADE 07 SEVENTH GRADE 08 EIGHTH GRADE 09 NINTH GRADE 10 TENTH GRADE 11 ELEVENTH GRADE 12 TWELFTH GRADE, NOT HIGH SCHOOL GRADUATE 13 HIGH SCHOOL GRADUATE 14 HED OR GED CERTIFICATE 15 ONE OR TWO YEARS OF COLLEGE, TECHNICAL OR VOCATIONAL SCHOOL 16 THREE YEARS OF COLLEGE 17 B.A., B.S. 18 SOME GRADUATE WORK 19 M.A., M.S. 20 PH.D., M.D., LAW DEGREE, ETC. 98 UNGRADED OR SPECIAL CLASSES 99 NO DATA	20 INTELLIGENCE ESTIMATE 01 VERY SUPERIOR 02 SUPERIOR 03 BRIGHT NORMAL 04 NORMAL 05 DULL NORMAL 06 BORDERLINE 07 DEFECTIVE 80 NOT TESTED, MEDICAL REASONS 81 NOT TESTED, ILLITERATE 82 NOT TESTED, LANGUAGE OR OTHER BARRIER 99 NO DATA
			21 OUTSTANDING DETAINER(S) 1 YES 2 NO 9 NO DATA	
			22 SECURITY CLASSIFICATION 1 MAXIMUM, CLOSE 2 MAXIMUM, GENERAL 3 MEDIUM 4 MEDIUM OUTSIDE, WITH SUPERVISION 5 MINIMUM	

(CONTINUED ON REVERSE SIDE)

Signed: _____
(Date) _____

PAROLE APPLICANT
PAROLE BOARD MEMBER

PART 2: SENTENCE CHANGE DATA - COMPLETE FOR SENTENCE CHANGES ONLY

50 INSTITUTION CODE	51 DATE OF CHANGE MO DAY YR	52 CASE NUMBER A/Y	53 NAME LAST FIRST MI
---------------------	--------------------------------	--------------------	--------------------------

54 TYPE OF SENTENCE CHANGE (CIRCLE APPROPRIATE RESPONSE)

- 1 CORRECTION OF ORIGINALLY-REPORTED SENTENCE STRUCTURE
- 2 MODIFICATION OF EXISTING SENTENCE(S)
- 3 ADDITION OF NEW SENTENCE(S)
- 4 DELETION OF EXISTING SENTENCE(S)
- 5 REVISION OF MAXIMUM DISCHARGE DATE ONLY

PART 3: SENTENCE DATA - COMPLETE FOR ALL ADMISSIONS AND ALL SENTENCE CHANGES

SENTENCE NUMBER	OFFENSE CODE	SENTENCE (CIRCLE APPROPRIATE RESPONSE)	RELATIONSHIP OF SENTENCES (CIRCLE APPROPRIATE RESPONSE)	TERM OF SENTENCE (FOR LIFE ENTER 90 IN BOTH YRS AND MOS)	COUNTY OF COMMITMENT CODE
1	23	24 1 NEW 2 PREVIOUS OR CONTINUING	GOVERNING SENTENCE	25 YRS 26 MOS	27
2	28	29 1 NEW 2 PREVIOUS OR CONTINUING	30 1 CONSECUTIVE TO 1 2 CONCURRENT WITH 1	31 YRS 32 MOS	33
3	34	35 1 NEW 2 PREVIOUS OR CONTINUING	36 1 CONSECUTIVE TO 1 AND 2 2 CONCURRENT WITH 1 AND 2 3 CONSECUTIVE TO 1, CONCURRENT WITH 2 4 CONCURRENT WITH 1, CONSECUTIVE TO 2	37 YRS 38 MOS	39

ADDITIONAL OFFENSE TYPES (ENTER OFFENSE CODES FOR ADDITIONAL OFFENSES ONLY IF OFFENSE IS DIFFERENT THAN SHOWN ABOVE)

40 41 42 43 44

45 ARE THERE ADDITIONAL OFFENSES THAT ARE DIFFERENT FROM CODES SHOWN IN 23, 28, 34, 40, 41, 42, 43 OR 44 ABOVE?
(CIRCLE APPROPRIATE RESPONSE)

1 YES 2 NO

46 ARE THERE ACTIVE SENTENCES OTHER THAN THOSE SHOWN FOR SENTENCE 1, 2 AND 3 ABOVE?
(CIRCLE APPROPRIATE RESPONSE)

1 YES 2 NO

TOTAL LENGTH OF ALL ACTIVE SENTENCES

47 YEARS 48 MONTHS

49 MAXIMUM DISCHARGE DATE

MONTH DAY YEAR

ENTER 900 FOR LIFE

ENTER 90 FOR LIFE

DEPARTMENT OF HEALTH AND SOCIAL SERVICES
DIVISION OF CORRECTIONS
C-357 (REV. 11/79)

STATE OF WISCONSIN

RELEASE FROM ADULT CORRECTIONAL INSTITUTION

1 INSTITUTION CODE	2 DATE RELEASED MONTH DAY YEAR	3 CASE NUMBER A/Y	4 NAME LAST FIRST MI
5 RELEASE CODE	6 MANDATORY RELEASE DATE MONTH DAY YEAR	7 RELEASED ON DETAINER (CIRCLE APPROPRIATE NUMBER) 1 YES 2 NO	
8 MAP CONTRACT RELEASE (CIRCLE APPROPRIATE NUMBER) 1 YES 2 NO		9 INTENDED RESIDENCE CODE	10 AGENT/AREA NUMBER
11 DATE OF LAST NEW ADMISSION MONTH DAY YEAR	12 # OF PAROLES AND MANDATORY RELEASES SINCE LAST NEW ADMISSION	13 TIME SERVED IN INSTITUTION SINCE LAST NEW ADMISSION MONTHS	14 TIME SERVED IN INSTITUTION SINCE MOST RECENT ADMISSION MONTHS

SELECT THE APPROPRIATE ANSWER AND CIRCLE THE COR. RESPONDING CODE NUMBER.

15 ADULT BASIC EDUCATION PROGRAM PARTICIPATION

- 1 PARTICIPATED, PROGRAM COMPLETED
- 2 PARTICIPATED, PROGRAM NOT COMPLETED
- 3 DID NOT PARTICIPATE
- 9 NO DATA

- 1 YES
- 2 NO
- 9 NO DATA

IF YES, ENTER COLLEGE CREDITS EARNED:

(26)

16 HIGH SCHOOL PROGRAM PARTICIPATION

- 1 PARTICIPATED, DIPLOMA GRANTED
- 2 PARTICIPATED, NO DIPLOMA GRANTED
- 3 DID NOT PARTICIPATE
- 9 NO DATA

27 WORK RELEASE PROGRAM PARTICIPATION

- 1 PARTICIPATED, COMPLETED
- 2 PARTICIPATED, DID NOT COMPLETE
- 3 DID NOT PARTICIPATE
- 9 NO DATA

IF PARTICIPATED, ENTER NUMBER OF WEEKS OF PARTICIPATION:

(28)

17 GED OR HED PROGRAM PARTICIPATION

- 1 TESTED, CERTIFICATE GRANTED
- 2 TESTED, NO CERTIFICATE GRANTED
- 3 COURSE WORK ONLY, NO TESTING
- 4 DID NOT PARTICIPATE
- 9 NO DATA

29 STUDY RELEASE PROGRAM PARTICIPATION

- 1 PARTICIPATED, COMPLETED
- 2 PARTICIPATED, DID NOT COMPLETE
- 3 DID NOT PARTICIPATE
- 9 NO DATA

IF PARTICIPATED, ENTER NUMBER OF WEEKS OF PARTICIPATION:

(30)

18 VOCATIONAL OR APPRENTICESHIP PROGRAM(S) PARTICIPATION

- 1 PARTICIPATED
- 2 DID NOT PARTICIPATE
- 9 NO DATA

IF PARTICIPATED, ENTER PROGRAM CODES:

COMPLETED NOT COMPLETED

(19) (22)

(20) (23)

(21) (24)

31 ALCOHOL OR OTHER DRUG PROGRAM PARTICIPATION

- 1 ALCOHOL RELATED
- 2 OTHER DRUG RELATED
- 3 ALCOHOL AND OTHER DRUG RELATED
- 4 DID NOT PARTICIPATE
- 9 NO DATA

WIS. DEPT. OF HEALTH AND SOCIAL SERVICES
Division of Corrections
Form C-12 (Rev. 3-73)

MASTER FILE CARD

CARD NO.

DIST/AREA		COUNTY OF RESIDENCE		NUMBER	ARMY	NAME	
SEX	RACE	ADDRESS			STATE	DATE OF BIRTH	MARITAL STATUS
COUNTY OF COMMITMENT			COURT		JUDGE		
CONTROL DATE		MR DATE	RELEASED ON PAROLE		TERM EXPIRES	MOVE TYPE	
OFFENSES		CASE TYPE	STATUTES		F/M	TERMS	PROB W/O
1.							
2.							
3.							
4.							
5.							
COURT OBLIGATIONS							
DATE OF TRANSFER		ADDRESS			COUNTY & STATE		DIST/AREA
NAME		TYPE			RECORD DATE		

(LAST NAME FIRST)

Department of Health and Social Services
Division of Corrections
Form C-502 (Rev. 8/79)

ASSESSMENT OF CLIENT RISK

-43-

State of Wisconsin

Client Name		Last	First	MI	Client Number
Probation Control Date or Institution Release Date (Month, Day, Year)		Agent Last Name			Number

Select the appropriate answer and enter the associated weight in the score column. Total all scores to arrive at the risk assessment score.

Number of Address Changes in Last 12 Months: (Prior to incarceration for parolees)	0 None 2 One 3 Two or more	SCORE
Percentage of Time Employed in Last 12 Months: (Prior to incarceration for parolees)	0 60% or more 1 40% - 59% 2 Under 40% 0 Not applicable	
Alcohol Usage Problems: (Prior to incarceration for parolees)	0 No interference with functioning 2 Occasional abuse; some disruption of functioning 4 Frequent abuse; serious disruption; needs treatment	
Other Drug Usage Problems: (Prior to incarceration for parolees)	0 No interference with functioning 1 Occasional abuse; some disruption of functioning 2 Frequent abuse; serious disruption; needs treatment	
Attitude:	0 Motivated to change; receptive to assistance 3 Dependent or unwilling to accept responsibility 5 Rationalizes behavior; negative; not motivated to change	
Age at First Conviction: (or Juvenile Adjudication)	0 24 or older 2 20 - 23 4 19 or younger	
Number of Prior Periods of Probation/Parole Supervision: (Adult or Juvenile)	0 None 4 One or more	
Number of Prior Probation/Parole Revocations: (Adult or Juvenile)	0 None 4 One or more	
Number of Prior Felony Convictions: (or Juvenile Adjudications)	0 None 2 One 4 Two or more	
Convictions or Juvenile Adjudications for: (Select applicable and add for score. Do not exceed a total of 5. Include current offense.)	2 Burglary, theft, auto theft, or robbery 3 Worthless checks or forgery	
Conviction or Juvenile Adjudication for Assaultive Offense within Last Five Years: (An offense which involves the use of a weapon, physical force or the threat of force)	15 Yes 0 No	
TOTAL		

ASSESSMENT OF CLIENT NEEDS

-44-

State of Wisconsin

Client Name Last	First	MI	Client Number
Probation Control Date or Institution Release Date (Month, Day, Year)			Agent Last Name
			Number

Select the appropriate answer and enter the associated weight in the score column. Higher numbers indicate more severe problems. Total all scores. If client is to be referred to a community resource or to clinical services, check appropriate referral box.

ACADEMIC/VOCATIONAL SKILLS

-1 High school or above skill level	0 Adequate skills; able to handle every-day requirements	+2 Low skill level causing minor adjustment problems	+4 Minimal skill level causing serious adjustment problems	REFERRAL	SCORE
				<input type="checkbox"/>	_____

EMPLOYMENT

-1 Satisfactory employment for one year or longer	0 Secure employment; no difficulties reported; or homemaker, student or retired	+3 Unsatisfactory employment; or unemployed but has adequate job skills	+6 Unemployed and virtually unemployable; needs training	REFERRAL	SCORE
				<input type="checkbox"/>	_____

FINANCIAL MANAGEMENT

-1 Long-standing pattern of self-sufficiency; e.g., good credit rating	0 No current difficulties	+3 Situational or minor difficulties	+5 Severe difficulties; may include garnishment, bad checks or bankruptcy	REFERRAL	SCORE
				<input type="checkbox"/>	_____

MARITAL/FAMILY RELATIONSHIPS

-1 Relationships and support exceptionally strong	0 Relatively stable relationships	+3 Some disorganization or stress but potential for improvement	+5 Major disorganization or stress	REFERRAL	SCORE
				<input type="checkbox"/>	_____

COMPANIONS

-1 Good support and influence	0 No adverse relationships	+2 Associations with occasional negative results	+4 Associations almost completely negative	REFERRAL	SCORE
				<input type="checkbox"/>	_____

EMOTIONAL STABILITY

-2 Exceptionally well adjusted; accepts responsibility for actions	0 No symptoms of emotional instability; appropriate emotional responses	+4 Symptoms limit but do not prohibit adequate functioning; e.g., excessive anxiety	+7 Symptoms prohibit adequate functioning; e.g., lashes out or retreats into self	REFERRAL	SCORE
				<input type="checkbox"/>	_____

ALCOHOL USAGE

0 No interference with functioning	+3 Occasional abuse; some disruption of functioning	+6 Frequent abuse; serious disruption; needs treatment	REFERRAL	SCORE
			<input type="checkbox"/>	_____

OTHER DRUG USAGE

0 No interference with functioning	+3 Occasional substance abuse; some disruption of functioning	+5 Frequent substance abuse; serious disruption; needs treatment	REFERRAL	SCORE
			<input type="checkbox"/>	_____

MENTAL ABILITY

0 Able to function independently	+3 Some need for assistance; potential for adequate adjustment; mild retardation	+6 Deficiencies severely limit independent functioning; moderate retardation	REFERRAL	SCORE
			<input type="checkbox"/>	_____

HEALTH

0 Sound physical health; seldom ill	+1 Handicap or illness interferes with functioning on a recurring basis	+2 Serious handicap or chronic illness; needs frequent medical care	REFERRAL	SCORE
			<input type="checkbox"/>	_____

SEXUAL BEHAVIOR

0 No apparent dysfunction	+3 Real or perceived situational or minor problems	+5 Real or perceived chronic or severe problems	REFERRAL	SCORE
			<input type="checkbox"/>	_____

AGENT'S IMPRESSION OF CLIENT'S NEEDS

-1 Minimum	0 Low	+3 Medium	+5 Maximum	REFERRAL	SCORE
				<input type="checkbox"/>	_____

TOTAL

ADMISSION TO ADULT FIELD CASELOAD
CODING SHEET

State of Wisconsin

Client Name (1-20)	Last	First	MI	Client Number (21-27)
Probation Control Date or Institution Release Date (Month, Day, Year)				Agent Last Name
				Number
Facility of Release (Use code from list on back or if Other or Out-of-State, Specify)				

Select the appropriate answer and enter the associated code in the adjacent blank.

ASSIGNED LEVEL OF SUPERVISION:

1 Minimum	(45)
2 Medium	
3 Maximum	

PRIMARY CLIENT MANAGEMENT CLASSIFICATION:

1 Selective Intervention	(46)
2 Casework/Control	
3 Environmental Structuring	
4 Limit Setting	
9 Not Reported	

LIVING ARRANGEMENT:

1 Alone	(47)
2 With Spouse	
3 With Children	
4 With Parent(s)	
5 With Sibling(s)	
6 With Friend(s)	
7 Other	
9 Not Reported	

NUMBER OF DEPENDENTS:

(Enter 99 if Not Reported)

MAKING SUPPORT PAYMENTS:

1 Yes	(50)
2 No	
9 Not Reported	

NEED CHILD CARE:

1 Yes	(51)
2 No	
9 Not Reported	

VETERAN:

1 Yes	(52)
2 No	
9 Not Reported	

AMOUNT OF TIME EMPLOYED:

0 Unemployed and Not Looking	(53)
1 Unemployed and Looking	
2 Full-time (35-40 hrs/wk)	
3 Full-time But Seasonal	
4 Part-time (20-34 hrs/wk)	
5 Part-time (less than 20 hrs/wk)	
6 Student	
7 Homemaker	
8 Not Applicable	
9 Not Reported	

MONTHS AT CURRENT JOB:

(Enter 999 if Not Reported)

JOB CLASSIFICATION:

1 Professional, Technical or Managerial	(54-56)
2 Clerical, Sales, or Service	
3 Farming	
4 Skilled Trade	
5 Semi-skilled Labor	
6 Unskilled Labor	
7 Other	
9 Not Reported	

CURRENT GROSS MONTHLY INCOME:

1 None	(57)
2 \$1 - \$199	
3 \$200 - \$399	
4 \$400 - \$599	
5 \$600 - \$799	
6 \$800 - \$999	
7 \$1000 or more	
9 Not Reported	

IS JOB TRAINING WANTED:

1 Yes	(58)
2 No	
9 Not Reported	

LAST GRADE COMPLETED:

00 None	(59-61)
01-12 (enter specific number)	
13 High School Graduate	
14 Some College	
15 College Graduate	
16 Some Graduate Work	
17 Graduate Degree	
18 Ungraded	
19 Special Education	
20 GED or HED	
21 Tech. or Voc. School	
99 Not Reported	

NUMBER OF PRIOR MISDEMEANOR CONVICTIONS:

(Enter 99 if Not Reported)

NUMBER OF PREVIOUS MISDEMEANOR PROBATIONS:

(Enter 99 if Not Reported)

NUMBER OF PREVIOUS FELONY PROBATIONS:

(Enter 99 if Not Reported)

NUMBER OF TIMES PREVIOUSLY RELEASED ON PAROLE:

(Enter 99 if Not Reported)

NUMBER OF PRIOR INCARCERATIONS FOR ONE YEAR OR LONGER IN A FEDERAL OR STATE INSTITUTION:

(Enter 99 if Not Reported)

PAYMENTS RECEIVED: Yes No Not Reported

Disabled Aid/Worker's Comp. 1 2 9

Social Security (SSI) 1 2 9

VA Benefits 1 2 9

Unemployment Comp. 1 2 9

Other 1 2 9

(110)

(111)

(112)

(113)

(114)

(115)

(116)

(117)

(118)

(119)

(120)

(121)

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(166)

(167)

(168)

(169)

(170)

(171)

(172)

(173)

(174)

(175)

ASSESSMENT OF CLIENT NEEDS
AT TERMINATION

Client Name _____ Client Number _____
Last First MI
Date of Termination _____ Agent Last Name _____ Area Number _____
Month, Day, Year

Select the appropriate answer and enter the associated weight in the score column. Higher numbers indicate more serious problems. Total all scores.

ACADEMIC/VOCATIONAL SKILLS

-1 High school or above skill level	0 Adequate skills; able to handle every-day requirements	2 Low skill level causing minor adjustment problems	4 Minimal skill level causing serious adjustment problems	SCORE _____
-------------------------------------	--	---	---	-------------

EMPLOYMENT

-1 Satisfactory employment for one year or longer	0 Secure employment; no difficulties reported; or homemaker, student or retired	3 Unsatisfactory employment; or unemployed but has adequate job skills	6 Unemployed and virtually unemployable; needs training	SCORE _____
---	---	--	---	-------------

FINANCIAL MANAGEMENT

-1 Long-standing pattern of self-sufficiency; e.g., good credit rating	0 No current difficulties	3 Situational or minor difficulties	5 Severe difficulties; may include garnishment, bad checks or bankruptcy	SCORE _____
--	---------------------------	-------------------------------------	--	-------------

MARITAL/FAMILY RELATIONSHIPS

-1 Relationships and support exceptionally strong	0 Relatively stable relationships	3 Some disorganization or stress but potential for improvement	5 Major disorganization or stress	SCORE _____
---	-----------------------------------	--	-----------------------------------	-------------

COMPANIONS

-1 Good support and influence	0 No adverse relationships	2 Associations with occasional negative results	4 Associations almost completely negative	SCORE _____
-------------------------------	----------------------------	---	---	-------------

EMOTIONAL STABILITY

-2 Exceptionally well adjusted; accepts responsibility for actions	0 No symptoms of emotional instability; appropriate emotional responses	4 Symptoms limit but do not prohibit adequate functioning; e.g., excessive anxiety	7 Symptoms prohibit adequate functioning; e.g., lashes out or retreats into self	SCORE _____
--	---	--	--	-------------

ALCOHOL USAGE

0 No interference with functioning	3 Occasional abuse; some disruption of functioning	6 Frequent abuse; serious disruption; needs treatment	SCORE _____
------------------------------------	--	---	-------------

OTHER DRUG USAGE

0 No interference with functioning	3 Occasional substance abuse; some disruption of functioning	5 Frequent substance abuse; serious disruption; needs treatment	SCORE _____
------------------------------------	--	---	-------------

MENTAL ABILITY

0 Able to function independently	3 Some need for assistance; potential for adequate adjustment	6 Deficiencies severely limit independent functioning	SCORE _____
----------------------------------	---	---	-------------

HEALTH

0 Sound physical health; seldom ill	1 Handicap or illness interferes with functioning on a recurring basis	2 Serious handicap or chronic illness; needs frequent medical care	SCORE _____
-------------------------------------	--	--	-------------

SEXUAL BEHAVIOR

0 No apparent dysfunction	3 Real or perceived situational or minor problems	5 Real or perceived chronic or severe problems	SCORE _____
---------------------------	---	--	-------------

AGENT'S IMPRESSION OF CLIENT'S NEEDS

-1 Minimum	0 Low	3 Medium	5 Maximum	SCORE _____
------------	-------	----------	-----------	-------------

CASE FILE COPY

TOTAL _____

TERMINATION FROM ADULT FIELD CASELOAD
Coding Sheet

Client Name _____ Client Number _____
(1-20) Last First MI (21-27)
Date of Termination _____ Agent Last Name _____ Area Number _____
(28-33) Month, Day, Year (34-37) (46-50)
Date of Birth _____ Facility of Release (See Code List on Back. If Other or Out-of-State, Specify) _____
(38-43) Month, Day, Year (44-45)

Select the appropriate answer and enter the associated code in the adjacent blank.

TYPE OF TERMINATION:

1 Discharge	(51)
2 Early discharge	
3 Closed	
4 Off records	
5 Revocation	
6 Death report	
7 Other	

COUNTY OF RESIDENCE AT TERMINATION:
(See Code List)

(52-53)

ASSIGNED LEVEL OF SUPERVISION
AT TERMINATION:

1 Minimum	(54)
2 Low	
3 Medium	
4 Maximum	
5 Not classified	

NUMBER OF ADDRESS CHANGES IN LAST
12 MONTHS:

0 None	(55)
2 One	
3 Two or more	

PERCENTAGE OF TIME EMPLOYED
DURING SUPERVISION:

0 60% or more	(56)
1 40% - 59%	
2 Under 40%	
3 Not applicable	

RESPONSE TO COURT OR BUREAU-IMPOSED
CONDITIONS:

0 No problems of consequence	(57)
3 Moderate compliance problems	
5 Has been unwilling to comply	

USE OF COMMUNITY RESOURCES:

0 Not needed	(58)
1 Productively utilized	
2 Needed but not available	
3 Utilized but not beneficial	
4 Available but rejected	

PROGNOSIS AS TO COMMITTING FURTHER
OFFENSES WITHIN ONE YEAR OF DISCHARGE:

1 Not applicable (use for client death or revocation)	(59)
2 Not probable	
3 Probable	
4 Highly probable	
9 Not reported	

LIVING ARRANGEMENT AT TERMINATION:

1 Alone	(60)
2 With spouse	
3 With child(ren)	
4 With parent(s)	
5 With sibling(s)	
6 With friend(s)	
7 Other	
9 Not reported	

MARITAL STATUS AT TERMINATION:

1 Single	(61)
2 Married	
3 Divorced or separated	
4 Widowed	
9 Not reported	

AMOUNT OF TIME EMPLOYED AT TERMINATION:

0 Unemployed and not looking	(96)
1 Unemployed and looking	
2 Full-time (35-40 hrs/wk)	
3 Full-time but seasonal	(74)
4 Part-time (20-34 hrs/wk)	
5 Part-time (less than 20 hrs/wk)	
6 Student	
7 Homemaker	
8 Not applicable	
9 Not reported	(97)

GROSS MONTHLY INCOME AT TERMINATION:

1 None	(75)
2 \$1 - \$199	
3 \$200 - \$399	
4 \$400 - \$599	
5 \$600 - \$799	
6 \$800 - \$999	
7 \$1000 or more	(98)
9 Not reported	

LAST GRADE COMPLETED:

0 None	(76-77)
1 -12 (enter specific number)	
13 Some college	
14 College graduate	
15 Some graduate work	
16 Graduate degree	
17 Ungraded	
18 Special education	(99)
19 GED or HED	
20 Tech. or Voc. school	
99 Not reported	

PAYMENTS RECEIVED DURING PERIOD OF
SUPERVISION: (78-85)

	Yes	No	Not rep'd	
Local Relief	1	2	9	(100)
Food Stamps	1	2	9	
A.F.D.C.	1	2	9	
Disabled Aid/ Workmen's Comp.	1	2	9	
Social Security (SSI)	1	2	9	(101)
VA Benefits	1	2	9	
Unemployment Comp.	1	2	9	
Other	1	2	9	(102)

AMOUNT OF PURCHASE OF SERVICES MONEY USED:

1 None	(86)
2 \$1 - \$499	
3 \$500 - \$999	
4 \$1000 or more	

COURT-ORDERED RESTITUTION PAID IN FULL: (Do
not include attorney fees or court costs)

1 Yes	(87)
2 No	
3 Not ordered	

AMOUNT OF COURT-ORDERED RESTITUTION PAID:
(Enter '0' if not ordered)

\$ _____ .00	(104)
(88-91)	

COMPLETE THE ITEMS BELOW IF REVOCATION OCCURRED

DATE OF REVOCATION:

Month, Day, Year
(62-67)

DATE OF VIOLATION:

Month, Day, Year
(68-73)

REASON FOR REVOCATION:

1 Conviction for new offense	(92)
2 Revocation substituted for new conviction	
3 Charged with another offense but not yet convicted	
4 Arrested but not charged	
5 Absconded	
6 Other rules violation	(106)

MOST SERIOUS VIOLATION:
(See code list)

(93-95)	(107)
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CASE FILE COPY

(108-109)

ADULT RISK & NEEDS REASSESSMENT

Client Name	Last	First	MI	Client Number
Probation Control Date or Institution Release Date (Month, Day, Year)	Agent Last Name	Area No.	Date of Evaluation (Month, Day, Year)	

NEEDS

Select the appropriate answer, enter the associated weight in the score column and, if a referral was made, place an "x" in the referral box. Higher numbers indicate more serious problems. Total all scores.

				REFERRAL	SCORE
ACADEMIC/VOCATIONAL SKILLS					
-1 High school or above skill level	0 Adequate skills; able to handle every-day requirements	+2 Low skill level causing minor adjustment problems	+4 Minimal skill level causing serious adjustment problems	<input type="checkbox"/>	_____
EMPLOYMENT					
-1 Satisfactory employment for one year or longer	0 Secure employment; no difficulties reported; or homemaker, student or retired	+3 Unsatisfactory employment; or unemployed but has adequate job skills	+6 Unemployed and virtually unemployable; needs training	<input type="checkbox"/>	_____
FINANCIAL MANAGEMENT					
-1 Long-standing pattern of self-sufficiency; e.g., good credit rating	0 No current difficulties	+3 Situational or minor difficulties	+5 Severe difficulties; may include garnishment, bad checks or bankruptcy	<input type="checkbox"/>	_____
MARITAL/FAMILY RELATIONSHIPS					
-1 Relationships and support exceptionally strong	0 Relatively stable relationships	+3 Some disorganization or stress but potential for improvement	+5 Major disorganization or stress	<input type="checkbox"/>	_____
COMPANIONS					
-1 Good support and influence	0 No adverse relationships	+2 Associations with occasional negative results	+4 Associations almost completely negative	<input type="checkbox"/>	_____
EMOTIONAL STABILITY					
-2 Exceptionally well adjusted; accepts responsibility for actions	0 No symptoms of emotional instability; appropriate emotional responses	+4 Symptoms limit but do not prohibit adequate functioning; e.g., excessive anxiety	+7 Symptoms prohibit adequate functioning; e.g., lashes out or retreats into self	<input type="checkbox"/>	_____
ALCOHOL USAGE					
	0 No interference with functioning	+3 Occasional abuse; some disruption of functioning	+6 Frequent abuse; serious disruption; needs treatment	<input type="checkbox"/>	_____
OTHER DRUG USAGE					
	0 No interference with functioning	+3 Occasional substance abuse; some disruption of functioning	+5 Frequent substance abuse; serious disruption; needs treatment	<input type="checkbox"/>	_____
MENTAL ABILITY					
	0 Able to function independently	+3 Some need for assistance; potential for adequate adjustment, mild retardation	+6 Deficiencies severely limit independent functioning, moderate retardation	<input type="checkbox"/>	_____
HEALTH					
	0 Sound physical health; seldom ill	+1 Handicap or illness interferes with functioning on a recurring basis	+2 Serious handicap or chronic illness; needs frequent medical care	<input type="checkbox"/>	_____
SEXUAL BEHAVIOR					
	0 No apparent dysfunction	+3 Real or perceived situational or minor problems	+5 Real or perceived chronic or severe problems	<input type="checkbox"/>	_____
AGENT'S IMPRESSION OF CLIENT'S NEEDS					
-1 Minimum	0 Low	+3 Medium	+5 Maximum		_____
TOTAL					_____

ADULT RISK & NEEDS REASSESSMENT
CODING SHEET

Client Name	Last	First	MI	Client Number
Probation Control Date or Institution Release Date (Month, Day, Year)	Agent Last Name	Area No.	Date of Evaluation (Month, Day, Year)	

RISK

Select the appropriate answer and enter the associated weight in the score column. Total all scores.

		SCORE
Number of Address Changes in Last 12 Months:	0 None 2 One 3 Two or more	_____
Age at First Conviction: (or Juvenile Adjudication)	0 24 or older 1 20-23 3 19 or younger	_____
Number of Probation/Parole Revocations: (Adult or Juvenile)	0 None 2 One or more	_____
Number of Prior Felony Convictions: (or Juvenile Adjudications)	0 None 1 One 3 Two or more	_____
Convictions or Juvenile Adjudications for: (Select applicable and add for score. Do not exceed a total of 3. Include current offense.)	1 Burglary, theft, auto theft, or robbery 2 Worthless checks or forgery	_____
RATE THE FOLLOWING BASED ON PERIOD SINCE LAST CLASSIFICATION		
Percentage of Time Employed:	0 60% or more 1 40% - 59% 2 Under 40% 0 Not applicable	_____
Alcohol Usage Problems:	0 No interference with functioning 2 Occasional abuse; some disruption of functioning 5 Frequent abuse; serious disruption; needs treatment	_____
Other Drug Usage Problems:	0 No interference with functioning 1 Occasional abuse; some disruption of functioning 2 Frequent abuse; serious disruption; needs treatment	_____
Problems With Current Living Situation:	0 Relatively stable relationships 3 Moderate disorganization or stress 5 Major disorganization or stress	_____
Social Identification:	0 Mainly with non-criminally oriented individuals 3 Mainly with delinquent individuals	_____
Response To Court or Bureau Imposed Conditions:	0 No problems of consequence 3 Moderate compliance problems 5 Has been unwilling to comply	_____
Use of Community Resources:	0 Not needed 0 Productively utilized 2 Needed but not available 3 Utilized but not beneficial 4 Available but rejected	_____
TOTAL		_____

ADULT RISK & NEEDS REASSESSMENT
CODING SHEET

Client Name (1-20)		Last First MI		Client Number (21-27)
Probation Control Date or Institution Release Date (Month, Day, Year) (28-33)		Agent Last Name (34-37)		Area No. (38-42)
Date of Evaluation (Month, Day, Year) (43-48)				

Select the appropriate answer and enter associated code in the adjacent blank.

COUNTY OF RESIDENCE:

(See Code List on back of C-506b)

(49-50)

SUPERVISION LEVEL CURRENTLY ASSIGNED

1. Minimum
2. Medium
3. Maximum
4. Absconder
5. In Custody
9. Not Reported

(51)

(93)

☐

(107)

(118)

IS CLIENT CURRENTLY EMPLOYED:

1. Yes
2. No
3. Not Applicable (Student, Homemaker, etc.)
9. Not Reported

(52)

(94)

☐

(108)

(119)

(95)

☐

(109)

(120)

(96)

☐

(110)

(121)

(97)

☐

(111)

(122)

REFERRAL INFORMATION

If client was referred for any of the following services since the last evaluation, enter in the spaces provided, the appropriate agency code * and the code ** to indicate if the services were received:

	REFERRAL AGENCY CODE		WERE SERVICES RECEIVED CODE	
	= 1	= 2	= 1	= 2
1. Consultation for Case Planning Assistance:	(53)	(54)	(55)	(56)
2. Formal Evaluation (Clinical, Vocational, etc.):	(57)	(58)	(59)	(60)
3. Vocational Training or Job Assistance:	(61)	(62)	(63)	(64)
4. Mental Health Treatment:	(65)	(66)	(67)	(68)
5. Alcohol Treatment:	(69)	(70)	(71)	(72)
6. Drug Treatment:	(73)	(74)	(75)	(76)
7. Developmental Disability Treatment:	(77)	(78)	(79)	(80)
8. Educational Training:	(81)	(82)	(83)	(84)
9. Special Services (Living Arrangement, Money, Food, etc.):	(85)	(86)	(87)	(88)

(89-90)

(91-92)

(98)

☐

(112)

(123)

(99)

☐

(113)

(124)

(100)

☐

(115)

(126)

(101)

☐

(116)

(127)

(102)

☐

(117)

(128)

(103)

(129)

(104)

(130-131)

(105-106)

*AGENCY CODES

- A = Clinical Services (BPR)
B = 51.42 Agency
C = 51.437 Agency
D = DVR
E = State Mental Health Centers
F = Job Service
G = County Welfare Agency
H = District Vocational School

Other (Specify Below)

I. _____

J. _____

K. _____

L. _____

**WERE SERVICES RECEIVED CODES

1 Yes 2 No 9 Not Reported

END