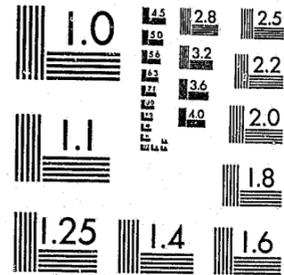


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PREDICTION, AND INCAPACITATION:
ISSUES, AND ANSWERS

An Overview of the Iowa Research
on Recidivism and Violence Prediction,
with Implications for Sentencing and Parole Policy

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NCJRS

NOV 16 1984

ACQUISITIONS

Presented before the session:
"Selective Incapacitation: Methodology and Policy"
Annual Meeting of the American Society of Criminology
Cincinnati, Ohio
November 10, 1984

U.S. Department of Justice
National Institute of Justice

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PREDICTION AND INCAPACITATION:
ISSUES AND ANSWERS

by

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Critics of selective incapacitation and other prediction-based models of sentencing argue that under the current state of the art of prediction, fairness and justice must be sacrificed to achieve even marginal levels of impact on crime rates. Critics of just deserts models, on the other hand, argue that these models offer little in the way of predictive validity, and thus may lead to enhanced victimization. Using the results of a recent study undertaken in Iowa, it is demonstrated that efficient predictions of violence and serious property crime may be obtained within the just deserts framework.

Introduction

In this paper the author attempts to shift debate on the selective incapacitation issue away from a discussion of the 7-factor score proposed by Peter Greenwood of the RAND Corporation and back to the fundamental issue of the identification of "high rate" offenders. It is the author's perception that the entire issue of selective incapacitation has inadvertently been identified with strengths and weaknesses of this scale, which has only a very marginal relationship to the quality research on criminal careers undertaken by RAND (Chaiken and Chaiken, 1982).

The author raises the distinct possibility, based on results obtained with Iowa data, that high rate offenders may be accurately identified with factors oriented more to the desert philosophy of sentencing than has previously been the case. Through the synthesis of more efficient measures of an offender's prior criminal record and drug use history, the author has been able to obtain values of the Mean Cost Rating (MCR) in the neighborhood of .650 to .700 in conjunction with the prediction of violence and serious property crime among released prisoners in Iowa. Further, the experience of the Iowa Board of Parole with the use of the Iowa method of prediction has served to demonstrate that select incapacitation can work in a practical setting.

The Debate on Selective Incapacitation

Recent debate among criminologists has centered around the efficacy of the principle of "selective incapacitation" as advocated by Peter Greenwood of the RAND Corporation (Greenwood, 1982). Greenwood infers a potential for significant reductions in serious crime on a national scale based on self-reports of heavy criminal activity prior to incarceration among so-called "high rate" robbers and burglars incarcerated in Texas, Michigan, and California. From analyses of self-reported data undertaken by colleagues at RAND (Chaiken and Chaiken, 1982a), Greenwood posited a 7-point scale based upon those seven factors which appeared to best separate the high rate offenders in the study sample from medium and low rate counterparts. The scale assigns one point to each of the following indicators of a high rate offender:

- o Prior conviction for the instant offense type
- o Incarcerated more than 50% of preceding two years
- o Conviction before age 16
- o Served time in a state juvenile facility
- o Heroin or barbiturate use in preceding two years
- o Heroin or barbiturate use as a juvenile
- o Employed less than 50% of the preceding two years

Categorizing those scoring four points or more as predicted high rate offenders, he then estimated potential reductions in serious crime to be associated with the extended incarceration of predicted high rate offenders and the earlier release (or more frequent diversion) of predicted lower rate offenders. The suggestion was offered that significant reductions in both serious crime and prison and jail populations could be obtained if judges and other releasing authorities would begin using the 7-point scale, or constructs of similar thrust, in making release decisions.

Since the release of the RAND report in 1982, a number of objections have been raised by academicians concerning perceived weaknesses in the selective incapacitation scenario as outlined by Greenwood (Blackmore, 1983; Cohen, 1983b; von Hirsch, 1984; Gottfredson, 1984; von Hirsch and Gottfredson, 1984). Cohen has summarized the debate on selective incapacitation in a monograph from the National Institute of

Justice (Cohen, 1983a). In a second monograph from NIJ, Greenwood and one of his most vocal critics, Andrew von Hirsch, go one-on-one in a clear and succinct exposition of the fundamental issues at stake.

Cohen itemizes the primary ethical and empirical concerns with the Greenwood proposal as follows (Cohen, 1983a):

Ethical

- o Selective incapacitation would require that certain offenders serve longer periods than other offenders convicted of the same offense (and possibly with the same prior conviction records), which violates the principle that punishment should be deserved and that two persons convicted of the same offense should receive equal punishment. This sets up a potential conflict between the purposes of selective incapacitation and the "just deserts" philosophy of sentencing.
- o It is unfair to punish offenders for suspected future criminal activity, and especially so if those predictions are frequently wrong. Historically, "false positive" rates in prediction studies have fallen in the 50-60% range, which would mean that over half of those incarcerated on the suspicion of future criminal activity would be falsely and unjustly detained on this basis.
- o Many of the items on which predictions are based are of questionable fairness for decision-making purposes, e.g., an emphasis on the juvenile record over the adult record, employment-related data, and other possibly class-based information. This is particularly critical with the 7-factor scale, as three of the seven factors involve strictly juvenile activity, and a fourth employment data.

Empirical

- o The analysis was entirely retrospective, i.e., the predictions were of past rather than future criminal activities. No attempt was made to validate the 7-factor scale as a predictor of future behavior.
- o The scale was not validated on a separate sample of imprisoned offenders, i.e., outside of the sample used to construct the model.
- o The research involved incarcerated offenders only, with no indication given as to how well the scale would work in identifying high rate offenders in the community. This raises the question as to whether or not the 7-factor scale could or should be used in sentencing proceedings.
- o The scale is heavily based on frequently self-reported data such as the juvenile record, drug use history, and employment information, raising the question of the reliability of the scale once implemented.
- o The "false positive" rate for the RAND data was 55%, which fails to improve significantly on prior attempts to predict serious criminal activity. It is not clear that the 7-factor scale offers any additional capability over pre-existing mechanisms for the identification of high rate offenders.

State of the Debate: Where Do We Go from Here?

One thing has become clear from this author's reading of the debate on selective incapacitation, namely that the rules of the game have yet to be properly clarified. In this author's opinion, undue emphasis has been placed on criticisms of the 7-factor score, and not enough emphasis on the original findings of the RAND study.

Perhaps the major contribution of the RAND research on criminal careers, much of which is due to work of the Chaikens (Chaiken and Chaiken, 1982, 1984), is the finding that a vastly disproportionate share of the serious crime reported by convicted robbers and burglars in the three states can be attributed to a relatively small group of offenders reporting exceptionally high rates of a variety of serious crimes. If one examines the distribution of crime rates among members of the RAND inmate sample, one finds that this distribution is extremely skewed. For example, Greenwood comments (Greenwood, 1982, pp. 45-46) that "... incarcerating one robber who is above the 90th percentile (upper 10% of the distribution of reported robbery rates) would prevent more robberies than incarcerating 18 offenders who are below the median for the same period of time (see also Chaiken and Chaiken, 1982)." Limitations of the research design notwithstanding, the RAND study contributes substantially to our knowledge of the actual, potential advantages of selective incapacitation, indicating that the stated goals could be achieved if high rate offenders could be accurately identified.

Unfortunately, the debate has shifted from a discussion of the original research undertaken by the Chaikens, the major implications of findings on the distribution of crime rates, and the general problem of the identification of high rate offenders, to criticisms of the 7-factor score and its limitations. What has been seriously overlooked is that the issue of selective incapacitation and its potential advantages

hinges only very marginally on Greenwood's formulation of this scale. From what is given in the RAND reports, it would appear that very little sophistication went into the derivation of this score, either in terms of the statistical methodology used to isolate and combine the seven predictors, or the ethical concerns involved in synthesizing a mechanism which might stand a chance of implementation.

It occurs to this author that Mr. Greenwood devised the scale principally as a means of illustrating the potential advantages of the approach rather than as a suitable vehicle for achieving those advantages directly. Perhaps, in their eagerness to win support for the general concept, advocates of selective incapacitation have placed too much emphasis on the most tangible aspect of the research, namely the 7-factor score. It should be apparent to anyone who has been involved in research on recidivism prediction, for example, that the 7-factor score represents a relatively "quick and dirty" attempt at a prediction scale, despite the generally high quality research undertaken by the RAND staff. Greenwood's decision to formulate the scale as it is probably derives in part from a perceived need to provide a simple method that could be easily explained to a layman. As it results, this was most likely a miscalculation on his part. It would have been more propitious to undertake a more systematic analysis of the identification problem prior to coming out with a prediction scale. Apparently, recent research by the Chaikens has been directly to this end.

As things stand, criticisms of the 7-factor score have seriously compromised legitimate efforts to clarify the potential advantages of the general principle of selective incapacitation. By offering up a strategy which would require the use of predictions based on data of questionable propriety, e.g., juvenile records and employment information, and which fail to improve on previous attempts at prediction, Greenwood has provided suitable fodder for the retributivists, whose natural inclin-

ation is to eschew predictions of future behavior, not to mention those of questionable fairness.

By identifying the selective incapacitation issue with the 7-factor score, critics have ignored the fact that selective incapacitation is not a new concept. In fact, selective incapacitation has been around as long as public protection has been accepted as a major goal of incarceration. Judges and parole boards at least attempt to estimate the risk of release to the community in sentencing and parole decisions. Further, many previous studies have attempted to formulate statistical devices aimed at predicting which offenders would, or would not, pose a threat to the community if released. If one compares the factors considered in the RAND scale with those incorporated into such devices as the Federal Salient Factor (Hoffman, 1980), the Michigan Risk Screening System (Murphy, 1980), the Iowa Offender Risk Assessment Model (Fischer, 1984a, 1984c), and the Wisconsin model of risk assessment, it becomes apparent that the 7-factor score constitutes little more than a new attempt at a recidivism prediction device, which may add little to our ability to accurately identify high risk offenders. In fact, recent analyses comparing the predictive validity of various prediction models against Iowa recidivism data, show that the 7-factor score exhibits about the same level of accuracy in prediction as several other popular devices (Fischer, 1984c), yet encompasses predictors of more questionable constitution.

In defense of the 7-factor score, the criticism of an unacceptably high level of false positives is largely vacuous, for two reasons. One, Greenwood's definition of "high rate" is, to an extent, arbitrary, the choice being the upper 25% of cases on the individual crime rate scale, and this only among incarcerated robbers and burglars. If the upper 50% had been chosen instead, then the false positive rate

would have been 25% rather than 55%, a much more tolerable level. Secondly, the study, as noted, was limited to incarcerated robbers and burglars, who tend to constitute a very high risk subgroup of the total offender population in this country (even among convicted felons). The upper 50% in crime rate among incarcerated burglars and robbers may well fall totally in the upper 25% in crime rate among all convicted felons. In other words, with a study of greater breadth, Greenwood might have classified high rate robbers and burglars instead as very high rate, and medium rate counterparts instead as high rate. The criticism that false positives are too high with the RAND scale is thus an oversimplification of a more complex statistical question dealing with the distribution of crime rates.

What is sorely needed at this point in the debate on selective incapacitation is to reopen the question of the identification of high rate offenders. If, indeed, this group could be identified accurately and fairly, and in a manner suitable for use by prosecutors, judges, parole boards, etc., then many of the criticisms of selective incapacitation, based on perceptions of weakness in the 7-factor score, could be overcome. For example, if a recidivism prediction device could be formulated, which demonstrated high levels of accuracy in predicting violence and serious property crime by released felons, and which passed the test of fairness, then a mechanism would be available to implement the selective incapacitation philosophy on a broad scale. This could be achieved independent of the type of research undertaken by RAND (self-reported criminal activity), and in fact studies of this thrust have been undertaken (Fischer, 1981, 1984a; Forst, et. al., 1983; Murphy, 1980; Rhodes, 1982; Williams, 1979). However, the policy implications of such research were limited because no assurance could be given that the incapacitation of identified high risk offenders would have a noticeable impact on global crime rates. The most that could be stated in this regard was that recidivism rates could be favorably affected. With the findings of the RAND Corporation, however, we now have some reasonable evidence

that such would be the case, and that selective incapacitation could provide a viable means of further controlling serious crime in this country without expending high sums for new prison and jail construction.

The Research Agenda: Accurate Predictions in a Just Deserts Framework?

In order to formulate predictive criteria which are accurate enough to be useful for the purposes of selective incapacitation, it has often been judged necessary to include information such as employment history and juvenile record factors that tend to violate "just deserts" principles. A clear example is provided by the RAND 7-factor score. The researcher then must face a serious dilemma: to include such marginally admissible factors in an effort to maximize predictive accuracy, and yet risk the wrath of the retributivists, or to exclude such factors, sacrifice predictive validity, and thereby diminish the attractiveness of the model as a predictive mechanism.

In this paper, we wish to illustrate that this state of affairs need not be a fact of life for the serious researcher. In a very real sense, the researcher can "have his cake and eat it too," in that accurate predictions based on primarily desert-oriented criteria may be isolated for purposes of violence and recidivism prediction. This will be demonstrated with data from a study of recidivism among a sample of 1000 offenders released from Iowa prisons during the period 1976-1980 and followed for four years each.

In order to set the stage for a discussion of the Iowa research, it is necessary to first examine the question of the efficiency of predictive instruments. It is vitally important that a mechanism be available to impartially gauge the accuracy of a given predictive instrument and to allow for comparisons among alternative instruments.

Measuring Predictive Efficiency

In situations where the criterion variable is dichotomous, as is the case with the majority of prediction studies in criminal justice, the instrument of choice for measuring predictive efficiency appears to be the Mean Cost Rating (MCR). We will not attempt a detailed explanation of this coefficient, as such has been given elsewhere (Duncan, 1953; Glaser, 1954; Inciardi, 1973). Suffice it to say that MCR varies from 0.00 to 1.00, achieving the lower limit in cases of null prediction (identical distribution of successes and failures across risk levels), and the upper limit in cases of perfect prediction. MCR may be interpreted as the proportional improvement over chance in the predictive efficiency of the device in question. In the case of chance or null prediction, this improvement is 0.00, hence MCR equals 0.00, while in the case of perfect prediction, this improvement is 1.00, hence the value of 1.00 for MCR.

In the case of a dichotomous criterion coupled with a dichotomous predictive scale, it is possible to measure predictive accuracy in terms of the proportion of cases which are correctly classified (i.e., high risk cases which are failures and low risk cases which are successes). This measure has a minimum value which occurs in the situation of null prediction, and which depends on the base rate of the criterion in question. If that base rate is R (proportion failing, for example), then it is straightforward to show that the minimum value of the correct classification measure is $2R^2 - 2R + 1$. It may also be demonstrated that the proportion of correct classification in general (not just for the null prediction) may be calculated alternately as the proportion of correct classification by chance, e.g., $2R^2 - 2R + 1$, plus MCR times one minus the proportion of correct classification by chance. Thus we would have $P = P_C + MCR(1 - P_C)$, where P is the proportion of cases correctly classified, and P_C is the proportion of cases correctly classified by chance.

In the case of a dichotomous criterion, where the predictive scale is multi-levelled (3 or more levels), it is not possible to define the proportion of cases correctly classified. However, it is possible to define what we term the "Rated Accuracy" of the prediction in question as the value derived from the formula $P = P_C + MCR(1 - P_C)$, where P_C is calculated as $2R^2 - 2R + 1$ (R the base rate). For a multi-levelled predictive scale, then, we may calculate the Rated Accuracy of that scale as the "Chance Rated Accuracy" plus MCR times one minus the Chance Rated Accuracy. The Rated Accuracy varies from a minimum value equal to the Chance Rated Accuracy, to a maximum value of 1.00 (in the case of perfect prediction). Of course, Rated Accuracy may be expressed as a percentage. Thus we might refer to a given scale as 90% accurate in predicting violence, for example.*

Historical Levels of Predictive Efficiency

Historically, researchers in criminal justice have been unable to obtain values of MCR exceeding .400 when attempting to predict recidivism and violence. For example, the Federal Salient Factor Score, which forms one dimension of the guideline matrix used by the U.S. Parole Commission, shows values of MCR in the .350 range (Hoffman, 1974; Hoffman, 1980). Also, the violence risk screening device used by the Michigan Department of Corrections shows a value of MCR in the .400 range, when tested against Michigan data. A general rule of thumb, which has not been given in the literature to my knowledge, is that for a device to show any utility for screening purposes, it must show a value of MCR of at least .250, and a value of at least .350 to significantly improve on existing clinical judgments.

Taking .400 as a minimum expectation for MCR with a new device, we might judge our success in formulating that device in terms of the excess of MCR over the "norm"

* In the discussion of the measures of accuracy referred to as "proportion of correct classification" and "Rated Accuracy", it is stated that the minimum value of these measures occurs in the situation of null prediction. Actually, these measures have a minimum value of 0.00, which occurs when prediction is perfect in the negative sense.

of .400.

As an exercise to determine the accuracy of the RAND 7-factor score, we examined the Greenwood data demonstrating the relationship between the predicted and the actual offense rates among the 780 cases in the study sample. To calculate MCR, it was necessary to dichotomize the criterion in question. This was done in two ways, the first grouping the Low and Medium Rate categories into a single category, and the second grouping the Medium and High Rate categories. Using the Greenwood predicted offense categories of 4+ as the predicted High Rate group, 2-3 as the predicted Medium Rate group, and 0-1 as the predicted Low Rate group, it was then straightforward to calculate MCR for each of the two criterion measures (Low/Medium versus High and Low versus Medium/High). For the first categorization, we found a Chance Rated Accuracy of .625, an MCR value of .397, and a Rated Accuracy of .774. With the second categorization, we found a Chance Rated Accuracy of .500, an MCR value of .413, and a Rated Accuracy of .706. Thus, in both cases, we found a value of MCR in the .400 range, indicating a level of predictive accuracy which is not significantly higher than levels previously obtained in other predictive settings.

Climbing Mount Everest: The Search for Improved Predictions

In an effort to improve on the .400 norm for MCR values associated with recidivism prediction, this author began a long-term research project back in 1975 using data on released probationers and parolees in Iowa. With a large data base of over 6400 cases, a variety of alternative measures of probation/parole outcome, and a variety of offender background items to serve as potential predictors, the author and his colleagues at the Iowa Bureau of Correctional Evaluation, and later the Iowa Statistical Analysis Center, devoted over 3000 hours of staff time and over \$300,000 in federal funding to recidivism research over the period 1975-1980.

The end-product of this research was a device termed the Iowa Offender Risk Assessment Scoring System (Fischer, 1980, 1981, 1983a, 1983b). This system, which incorporated both a violence and a general prediction instrument, was validated against a separate sample of 9378 probationers and parolees released in the late seventies. Both the original construction sample data and the validation sample results indicated values of MCR in the range .550 to .650, depending on the criterion measured. Encouraged by these results, the staff began publicizing the new system and perceptions of its potential utility for improving sentencing and parole decisions. As a consequence, the Iowa Board of Parole began using the instrument in April, 1981 in conjunction with a legislative mandate to increase paroles and reduce overcrowding in state prisons without compromising public safety. To further encourage a move in this direction, the General Assembly set a cap on the size of the prison population in Iowa, with most of the responsibility for observing the cap directed to the Board of Parole. In late 1982, the Iowa Statistical Analysis Center completed an evaluation of the first 20 months of experience with the cap and with the use of the risk assessment model by the parole board (Fischer, 1983a).

The evaluation indicated that over the 20-month period, paroles were up by 52%, while the rate of violence among parolees had fallen by 35%. These figures reflected changes from the preceding 21-month period, and indicated that the experience with the cap and the risk assessment model had largely been a successful one. At this point, with release of the evaluation report, the Iowa research began to attract attention from outside observers, including the Bureau of Justice Statistics of the U.S. Department of Justice. In early 1983, BJS signed a cooperative agreement with the Iowa Statistical Analysis Center to streamline the original version of the risk assessment model and to prepare materials suitable for examination by outside jurisdictions interested in testing, validating, and/or implementing the Iowa model.

In conjunction with the decision to promote the model outside the state, it was determined that a new data base should be generated to allow for a more technically precise validation of the original version, and to facilitate the simplification of that version. As a result, a sample of 1000 offenders released from Iowa prisons by parole or expiration of sentence during the years 1976-1980 was selected. This sample was selected randomly, with the one restriction that a case was excluded if a comprehensive pre-sentence investigation was not available in the files of the Iowa Board of Parole. State-level criminal histories were obtained on each of the sample members, and were supplemented by federal histories on a random sub-sample of 200 of the 1000 cases. A four-year follow-up was undertaken in each case, with results coded for inclusion in the data base. All new criminal charges were coded, with months to each new charge and to each new conviction specified. Finally, months until return to prison as a parole violator was included.

Several criterion measures of recidivism were defined for purposes of model refinement. These included a simple dichotomous variable indicating whether or not the offender received a new charge for a violent felony, a weighted measure of all new violent felony charges (reflecting offense severity and time to rearrest), a dichotomous measure indicating a new prison sentence for what we refer to as safety crimes (essentially violent, property, and drug crimes), and a weighted measure of all new safety crimes. Independent variables in the data base (criminal history, drug use history, etc.) were then screened for their relationship to the various criterion measures. In addition to the computer analysis of predictive relationships, a manual analysis was undertaken to identify additional factors that tended to separate recidivists from non-recidivists. To this end, two stacks of cases were examined, one constituting those with either a new violent felony during the follow-up period or with a new prison sentence for a safety crime during that period, with the other including those not satisfying this criterion. A close visual inspection of the criminal

histories of offenders in the two groups led to the identification of 24 "special risk factors," which most efficiently distinguished the two stacks. These factors were separated into two groups, with the Class II factors exhibiting the strongest relationship to recidivism criteria, and Class I factors somewhat less of a relationship.

These factors were as follows:

Class I

- o 1+ Prior Convictions for Felonies Against Persons in Last 5 Years of Street Time
- o 2+ Total Arrests for Felonies Against Persons in Last 3 Years of Street Time
- o 2+ Prior Arrests for Felonies Against Persons in Last 5 Years Street Time
- o 1+ Prior Arrests for Felonies Against Persons in Last Year Street Time
- o 3+ Prior Arrests for Crimes Against Persons in Last 5 Years Street Time
- o 1+ Prior Felony Incarcerations in Last Year Street Time
- o 2+ Prior Incarcerations for Indictable Offenses in Last Year Street Time
- o Current Arrest is at Least Fifth Arrest for Same Type Felony in Last 5 Years Street Time

Class II

- o 4+ Prior Convictions for Felonies Against Persons in Last 20 Years Street Time
- o 3+ Prior Convictions for Felonies Against Persons in Last 10 Years Street Time
- o 2+ Prior Convictions for Felonies Against Persons in Last 5 Years Street Time
- o 1+ Prior Convictions for Felonies Against Persons in Last 2 Years Street Time
- o 4+ Prior Arrests for Felonies Against Persons in Last 10 Years Street Time
- o 3+ Prior Arrests for Felonies Against Persons in Last 7 Years Street Time
- o 2+ Prior Arrests for Felonies Against Persons in Last 5 Years Street Time
- o 1+ Prior Arrests for Felonies Against Persons in Last Year Street Time and 2+ Prior Arrests for Felonies Against Persons in Last 3 Years Street Time
- o 3+ Prior Arrests for Crimes Against Persons in Last 3 Years Street Time
- o Current Convictions for Felony Against Persons and Escape (Prison)
- o 3+ Prior Felony Convictions or Incarcerations in Last 3 Years Street Time
- o 2+ Prior Felony Convictions or Incarcerations in Last 2 Years Street Time
- o Current Conviction is at Least Third Conviction for Same Type Felony in Last 5 Years Street Time
- o Current Conviction is at Least Third Conviction for High Recidivism Offense in Last 5 Years Street Time
- o Current Prison Admission as Release Violator with New Felony Conviction for High Recidivism Offense

From the manual analysis of risk factors and from a subsequent check with computerized data, it was determined that these items constituted highly efficient predictors of serious recidivism and violence in the study sample. It is important to note in this regard that only the first 400 cases (approx.) were examined in the manual analysis, with the idea that the remainder of the data base would be used for validation.

As a second major step in the process of refining the risk assessment model, the 6400 cases in the data base used to construct the original version were re-examined, with the result constituting what we refer to as the 4-Factor Score. This score was the end-product of a configural analysis of four types of proven predictors of recidivism: Current Offense Classification, Substance Abuse Classification, Criminal History, and Age at Conviction or Commitment. Essentially, all possible "configurations" of these four predictors were classified into seven ordered risk categories in a non-additive fashion so as to incorporate observed interactions among predictors, yet not so as to violate the basic monotonicity of the individual predictors. The end-product was observed to demonstrate only marginally less predictive validity on the construction sample than was the case with the original version.

This 4-Factor Score was then validated on the new data base, and was then combined with the Special Risk Factors to arrive at a new model which we refer to as the 1983 Version of the Iowa Risk Assessment Model. This model was then validated with all available data in the new sample, and was heavily publicized during the latter half of 1983 (Fischer, 1983c, 1983d).

The new model was felt to offer a number of advantages not present with the original version, including greater predictive accuracy, a vastly simplified structure, and an emphasis on factors believed to be more acceptable to retributivists. A major change involved the elimination from the predictive structure of various "soft" factors, including marital status, employment status, job skill level, age at first arrest, and a generally heavy emphasis on the juvenile record over the adult record. The publicity on the 1983 Version attracted the attention of authorities in a number of states, with the consequence that the staff received considerable feedback on the utility of the new device. In early 1984, in acknowledgement of a consensus among

observers that the new mechanism was still too complicated to be used reliably, the staff instituted new efforts to further streamline the model. Particularly, an attempt was made to reduce the complication involved in the scoring of special risk factors. To score these factors, it was necessary to visually scan an offender's record, and to thereby identify whether or not any of these special risk factors were present. This involved the mental juggling of a number of factors, including the amount of street time since a previous arrest or conviction.

To circumvent problems of this type, it was decided that a mathematical structure should be substituted for the special factors, to allow a more systematic determination of the recency and seriousness of the prior felony record (the focus of the special factors). Such a mathematical structure was devised by this author without recourse to actual data. Rather a structure was reasoned out that gave proportional weight to prior felony convictions and incarcerations, and to prior arrests for violent felonies, in terms of the seriousness and age of the offenses. A simple seriousness scale for prior felonies was devised, and a function of the $1/(1+x)$ genre selected to damp priors according to age. Further, prior felony convictions were damped according to their age in street time rather than their age in actual time.

Specifically, prior felonies were weighted as follows:

- 80 Murder
- 70 Attempted Murder, Rape, Aggravated Kidnapping, Aggravated Robbery, Aggravated Burglary, Arson of a Dwelling, Selling Narcotics to Minors
- 60 Voluntary Manslaughter, Attempted Rape, Sodomy, Kidnapping, Robbery, Personal Larceny, Felony Assault, Terrorism, Arson
- 50 Involuntary Manslaughter, Attempted Robbery, Extortion, Armed Violence, Escape, Jailbreak
- 40 Aggravated Assault, Attempted Arson, Conspiracy to Commit a Violent Felony
- 30 Burglary, Motor Vehicle Theft, Forgery, Selling Narcotics
- 20 Larceny, Stolen Property, Vandalism, Bad Checks, Fraud, Weapons Offense, Conspiracy to Commit a Non-Violent Offense (above)
- 10 All other offenses (Drunken Driving, Sex Offenses, Selling Non-Narcotics Drugs, Embezzlement, Prostitution, etc.)

To arrive at a single score measuring the extent of prior violence, each prior charge for a violent felony (offenses scoring 40 points or more, except escape or jailbreak) was scored as follows:

$$\frac{24 \times S}{12 + A}$$

S = Severity score for the offense (40, 50, 60, 70, or 80 points)

A = Age of the offense (months from the arrest to the current reference date)

These scores were then added to arrive at a single raw score for prior violence. A computer check then indicated that the best form of coding for this score was as follows:

Highest Risk	91+
High Risk	11-90
Lower Risk	0-10

Next, each prior felony resulting in conviction or incarceration (juvenile or adult) was scored as follows:

$$\frac{24 \times S \times D}{12 + M}$$

S = Severity score (10 to 80)

D = Disposition multiplier (1.25 if committed, and 0.75 if not)

M = Age of conviction or incarceration in street time (time not imprisoned, committed, or jailed for prior felonies between the incident in question and the current reference date)

Such scores were then added across all such prior felonies to arrive at a single raw score for the offender's criminal history. This score was then checked against cases in the computer file, and it was determined that a better predictor could be obtained if this score was divided by a measure of the overall amount of time available for the offender to accumulate the record as it was. To this effect, a quantity termed "Street Time" (distinguished from the street time age of a particular offense) was defined as the number of years of time on the street since the offender turned age 14 (with time incarcerated for felonies excluded as "in-time").

The author determined that the most appropriate vehicle for taking this factor into account was to divide the total raw criminal history score (as defined above) by one-tenth the calculated value of the Street Time variable. With this convention, the end-product of this calculation would correspond to the original value of the score if the offender had exactly 10 years of street time (e.g., if he were exactly age 24 at the current reference date and had no "time in" on prior felonies).

Using the adjusted criminal history score as the final raw score for criminal history, the result was then checked against actual data to arrive at the best grouping of the item:

Highest Risk	140+
High Risk	41-139
Lower Risk	16-40
Lowest Risk	0-15

In addition to the above-named alterations in the scoring of prior record variables, further refinements were made in the scoring of substance abuse history. It was determined from the manual analysis of records that three particular types of drug use history stood out as exceptionally good predictors of serious recidivism and violence:

- o History of PCP Use
- o History of Non-Opiate Injections (e.g., amphetamines, barbiturates, cocaine, or any other substance other than an opiate, injected illicitly)
- o History of Sniffing of Volatile Substances (glue, paint thinner, gasoline, etc.)

A computer check of associations between various types of substance abuse and recidivism yielded the following coding of a substance abuse predictor of recidivism and violence:

Highest Risk	History of PCP Use, Non-Opiate Injections, or Sniffing of Volatile Substance
High Risk	History of Opiate Addiction or Heavy Hallucinogen Use
Lower Risk	History of Other Drug or Alcohol Problem or History of Infrequent Use of Opiates or Hallucinogens
Lowest Risk	No History as Above

In addition to the factors specified above, three other predictors were isolated for incorporation into a further revision of the model:

- o The Street Time Score, independent of the criminal history scoring and coded as follows:

Highest Risk	0-6 Years
High Risk	6-11 Years
Lower Risk	11-14 Years
Lowest Risk	14+ Years

- o Current Incident of Prison Escape, Jailbreak, or Flight (arrest or conviction, with emphasis placed on conviction)
- o The nature of the current arresting or convicting offense:

Highest Risk	Robbery, Personal Theft, Aggravated Burglary Attempted Robbery, Attempted Arson
Higher Risk (Violence)	Murder, Attempted Murder, Manslaughter, Kidnapping Rape, Attempted Rape, Sodomy
Higher Risk (Property)	Burglary, Selling Narcotics, Motor Vehicle Theft Attempted Burglary, Forgery, Bad Checks, Fraud
Middle Risk	Aggravated Assault, Terrorism, Extortion, Armed Violence Conspiracy to Commit Violent Felony, Larceny, Stolen Property
Lower Risk	Vandalism, Weapons Offense, Conspiracy to Commit Non-Violent Felony (above)
Lowest Risk	All Other Offenses

Finally, a factor referred to as the Serious Offender Classification was devised that essentially provides a generalization of the concept of "Violent Offender."

A "Serious Offender" is in essence an individual who shows one or more clear indicator of future violence:

- o Current Conviction for Violent Felony
- o Current Conviction for Escape, Jailbreak, or Flight
- o Prior Conviction for Felony Against Persons in Last 5 Years Street Time
- o Prior Violence Score (raw) of 35 or more
- o Highest Substance Abuse classification (PCP, Non-Opiate injections, or Sniffing)

The Serious Offender Classification was found to best operate in the risk assessment process by singling out potential violent offenders among potential recidivists (if rated as poor general risk and if serious offender, then rated as poor violence risk).

Offender Risk Assessment: The 1984 Version of the Iowa Model

Following the identification of refined predictors as outlined at the end of the previous section, the author undertook a multivariate analysis to arrive at the best possible coding structure for a simplified alternative to the 1983 Version of the risk assessment model. It was determined that the best results could be obtained if the six basic predictors were grouped as follows:

X-Factors: Current Offense Classification
 Prior Violence Score
 Street Time Score

Y-Factors: Criminal History Score
 Current Escape Score
 Substance Abuse Score

This splitting of predictors was chosen to provide the maximum contribution of each individual item to the overall prediction problem. Simple additive and configural methods were used to examine the interrelationships among predictors. In the final analysis, it was decided that the best structure would be one that assigned simple weights to categories of the various predictors, that involved adding the scores of the three X-Factors and the three Y-Factors separately, and that matrixed the X and Y results to allow for incorporation of variable interactions in a relatively orderly manner.

Separate scoring systems were devised for the general recidivism prediction problem and for the violence prediction problem. Finally, the Serious Offender Classification was used to identify poor violence risks among all poor general risks. The structure of the final result appears on the following page. Note The G column of scores refers to the general prediction and V column to the violence prediction.

It will be noted that separate matrices of X and Y scores are used for the general and the violence predictions. In the case of the violence prediction, the violence risk rating appearing to the left of the slash (if indicated) applies to non-serious

OFFENDER RISK ASSESSMENT
 THE IOWA MODEL

<u>G</u>	<u>V</u>	CURRENT OFFENSE SCORE (A)
2	3	Robbery/Attempted Robbery
2	3	Larceny from a Person
2	3	Aggravated Burglary
2	3	Arson/Attempted Arson
1	3	Murder/Attempted Murder
1	3	Manslaughter
1	3	Kidnapping
1	3	Rape/Attempted Rape
1	3	Sodomy
2	1	Burglary/Attempted Burglary
2	1	Selling Narcotics
2	1	Motor Vehicle Theft
2	1	Forgery/Bad Checks/Fraud
1	1	Aggravated Assault/Terrorism
1	1	Extortion
1	1	Going Armed with Intent
1	1	Conspiracy to Commit a Violent Felony
1	1	Larceny/Stolen Property
1	0	Vandalism
1	0	Weapons Offense
1	0	Conspiracy to Commit a Non-Violent Felony (above)
0	0	None of Above

<u>G</u>	<u>V</u>	PRIOR VIOLENCE SCORE (B)
4	5	9+
2	3	11-90
0	0	0-10
<u>G</u>	<u>V</u>	STREET TIME SCORE (C)
3	3	0-6 Years
2	2	6-11 Years
1	1	11-14 Years
0	0	14+ Years

<u>G</u>	<u>V</u>	CRIMINAL HISTORY SCORE (D)
6	6	140+
3	5	41-139
1	1	16-40
0	0	0-15

<u>G</u>	<u>V</u>	CURRENT ESCAPE SCORE (E)
3	4	Convicted
1	2	Arrested/Charged Only
0	0	Not as Above

<u>G</u>	<u>V</u>	SUBSTANCE ABUSE SCORE (F)
5	7	History of PCP Use
5	7	History of Non-Opiate Injections
5	7	History of Sniffing Volatile Substance
4	4	History of Opiate Addiction
3	4	History of Heavy Hallucinogen Use
2	1	History of Drug Problem
1	1	History of Opiate or Hallucinogen Use
1	1	History of Alcohol Problem
0	0	No History as Above

SERIOUS OFFENDER CLASSIFICATION

Yes Current Conviction for Violent Felony
 Yes Current Conviction for Escape/Jailbreak/Flight
 Yes Prior Conviction for Felony Against Persons in Last Five Years Street Time
 Yes Prior Violence Score 35+
 Yes Substance Abuse Score 7
 No No Factor as Above

<u>G</u>	<u>V</u>	
—	—	X-SCORE = A + B + C
—	—	Y-SCORE = D + E + F

GENERAL RISK ASSESSMENT

Y-SCORE	X-SCORE				
	0-1	2-3	4	5	6+
0	E	E	E	E	P
1	E	E	G	G	P
2	E	G	G	P	P
3-4	E	G	P	P	P
5	E	P	P	P	VP
6	P	P	P	P	VP
7	P	P	P	VP	VP
8+	P	P	VP	VP	VP

VIOLENCE RISK ASSESSMENT

(Higher Rating for Serious Offender)

Y-SCORE	X-SCORE						
	0	1-2	3	4-5	6-7	8	9+
0	E	E	E	E	G	G	F/P
1	E	E	E	G	G/F	F/P	F/P
2-3	E	G	G	G	F/P	F/P	F/P
4-6	E	G/F	F	F/P	F/P	F/P	F/VP
7-8	F	F	F/P	F/P	F/P	F/VP	F/VP
9+	F	F	F/P	F/P	F/VP	F/VP	F/VP

E = EXCELLENT G = GOOD F = FAIR P = POOR VP = VERY POOR

offenders, while the rating to the right of the slash applies to serious offenders.

The end-product of the process of risk assessment outlined above consists of two risk assessments yielding ratings as follows:

<u>General Risk</u>		<u>Violence Risk</u>	
VP	Very Poor Risk	VP	Very Poor Risk
P	Poor Risk	P	Poor Risk
G	Good Risk	F	Fair Risk
E	Excellent Risk	G	Good Risk
		E	Excellent Risk

Hypothetically possible combinations of these two ratings are as follows:

VP-VP	Worst Possible Risk
P-VP	
VP-P	
P-P	
G-P	
VP-F	Worst Possible Risk for Non-Serious Offender
P-F	
G-F	
E-F	
P-G	
G-G	
E-G	
G-E	
E-E	Best Possible Risk

As mentioned above, one of the criterion measures examined in conjunction with this study was the event of a new prison sentence for a "safety" crime, i.e., a violent, property, or drug crime (felony). To provide the best possible prediction of this criterion, a Safety Risk Assessment was defined as follows:

Safety Risk

- Very Poor Risk = Very Poor General Risk
- Poor Risk = Poor General Risk and Poor or Very Poor Violence Risk
- Fair Risk = Poor General Risk and Fair or Good Violence Risk or Good General Risk and Poor Violence Risk
- Good Risk = Good General Risk and Fair, Good, or Excellent Violence Risk
- Excellent Risk = Excellent General Risk

Predictive Validity of the 1984 Version

For the purpose of devising the coding mechanism for the 1984 Version of the model as outlined in the previous section, consideration was limited to 814 cases of the total of 1000 available for examination. The remaining 186 cases were held back as a validation sample.

Three criterion measures of recidivism were used to test the predictive validity of the three versions of the Iowa Risk Assessment Model:

Criterion I - A new charge for a violent felony during the four-year follow-up period, where violent felonies include Murder, Attempted Murder, Rape, Attempted Rape, Kidnapping, Robbery, Attempted Robbery, Arson, Attempted Arson, Voluntary Manslaughter, Aggravated Assault, Terrorism, Extortion, Sodomy, Personal Larceny, and Aggravated Burglary

Criterion II - A new prison sentence during the four-year follow-up period for conviction of a new safety crime, where safety crimes include all violent crimes as above, involuntary manslaughter, conspiracy to commit a violent felony, weapons crimes, property crimes, and drug dealing

Criterion III - Satisfies either Criterion I or Criterion II or both

The following provides an overview of predictive validity of the three models for the prediction of the three criterion variables, in terms of the values of MCR:

	<u>Criterion I</u>	<u>Criterion II</u>	<u>Criterion III</u>
1980 Version	.529	.518	.530
1983 Version	.673	.617	.636
1984 Version	.705	.618	.658

The values of MCR given above refer only to the results demonstrated on the 814-case construction sample for the 1984 Version, and thus do not provide a proper validation of that version. The tables on the following two pages provide construction, validation, and combined sample results for the 1984 Version, using first Criterion I (new violence) and then Criterion III (new violence or new sentence for safety crime).

VIOLENCE PREDICTION RESULTS
CONSTRUCTION, VALIDATION, AND COMBINED SAMPLES
THE IOWA MODEL - 1984 VERSION

VIOLENCE RISK LEVEL	NUMBER OF CASES	PROPORTION OF TOTAL	OUTCOME		OUTCOME RATES		PROPORTION OF TOTAL		CUMULATIVE PROPORTION	
			FAVORABLE	NOT FAVORABLE	FAVORABLE	NOT FAVORABLE	FAVORABLE	NOT FAVORABLE	FAVORABLE	NOT FAVORABLE
<u>CONSTRUCTION SAMPLE</u>										
VERY POOR	89	.109	30	59	33.7%	66.3%	.046	.362	.046	.362
POOR	165	.203	96	69	58.2%	41.8%	.147	.423	.194	.785
FAIR	148	.182	127	21	85.8%	14.2%	.195	.129	.389	.914
GOOD	126	.155	117	9	92.9%	7.1%	.180	.055	.568	.969
EXCELLENT	286	.351	281	5	98.2%	1.8%	.432	.031	1.000	1.000
ALL CASES	814	1.000	651	163	80.0%	20.0%	1.000	1.000	---	---
<u>VALIDATION SAMPLE</u>										
VERY POOR	16	.086	8	8	50.0%	50.0%	.052	.242	.052	.242
POOR	39	.210	20	19	51.3%	48.7%	.131	.576	.183	.818
FAIR	34	.183	31	3	91.2%	8.8%	.203	.091	.386	.909
GOOD	35	.188	33	2	94.3%	5.7%	.216	.061	.601	.970
EXCELLENT	62	.333	61	1	98.4%	1.6%	.399	.030	1.000	1.000
ALL CASES	186	1.000	153	33	82.3%	17.7%	1.000	1.000	---	---
<u>COMPOSITE SAMPLE</u>										
VERY POOR	105	.105	38	67	36.2%	63.8%	.047	.342	.047	.342
POOR	204	.204	116	88	56.9%	43.1%	.144	.449	.192	.791
FAIR	182	.182	158	24	86.8%	13.2%	.197	.122	.388	.913
GOOD	161	.161	150	11	93.2%	6.8%	.187	.056	.575	.969
EXCELLENT	348	.348	342	6	98.3%	1.7%	.425	.031	1.000	1.000
ALL CASES	1000	1.000	804	196	80.4%	19.6%	1.000	1.000	---	---

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RECIDIVISM PREDICTION RESULTS
 CONSTRUCTION, VALIDATION, AND COMBINED SAMPLES
 THE IOWA MODEL - 1984 VERSION

SAFETY RISK LEVEL	NUMBER OF CASES	PROPORTION OF TOTAL	OUTCOME		OUTCOME RATES		PROPORTION OF TOTAL		CUMULATIVE PROPORTION	
			FAVORABLE	NOT FAVORABLE	FAVORABLE	NOT FAVORABLE	FAVORABLE	NOT FAVORABLE	FAVORABLE	NOT FAVORABLE
<u>CONSTRUCTION SAMPLE</u>										
VERY POOR	140	.172	30	110	21.4%	78.6%	.058	.370	.058	.370
POOR	127	.156	48	79	37.8%	62.2%	.093	.266	.151	.636
FAIR	120	.147	65	55	54.2%	45.8%	.126	.185	.277	.822
GOOD	153	.188	119	34	77.8%	22.2%	.230	.114	.507	.936
EXCELLENT	274	.337	255	19	93.1%	6.9%	.493	.064	1.000	1.000
ALL CASES	814	1.000	517	297	73.5%	36.5%	1.000	1.000	---	---
<u>VALIDATION SAMPLE</u>										
VERY POOR	18	.097	11	7	61.1%	38.9%	.080	.146	.080	.146
POOR	37	.199	10	27	27.0%	73.0%	.072	.562	.152	.708
FAIR	30	.161	21	9	70.0%	30.0%	.152	.188	.304	.896
GOOD	35	.188	32	3	91.4%	8.6%	.232	.062	.536	.958
EXCELLENT	66	.355	64	2	97.0%	3.0%	.464	.042	1.000	1.000
ALL CASES	186	1.000	138	48	74.2%	25.8%	1.000	1.000	---	---
<u>COMPOSITE SAMPLE</u>										
VERY POOR	158	.158	41	117	25.9%	74.1%	.063	.339	.063	.339
POOR	164	.164	58	106	35.4%	64.6%	.089	.307	.151	.646
FAIR	150	.150	86	64	57.3%	42.7%	.131	.186	.282	.832
GOOD	188	.188	151	37	80.3%	19.7%	.231	.107	.513	.939
EXCELLENT	340	.340	319	21	93.8%	6.2%	.487	.061	1.000	1.000
ALL CASES	1000	1.000	655	345	65.5%	34.5%	1.000	1.000	---	---

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The data given in the preceding tables are sufficient to allow the calculation of MCR in a straightforward fashion. The most direct formula for MCR is as follows (Inciardi, 1973):

$$MCR = \frac{\sum C_i U_{i-1}}{\sum U_i C_{i-1}}$$

where C_i = the cumulative relative frequency of successes at the i th risk level (top down), and

U_i = the cumulative relative frequency of failures at the i th risk level (top down)

Thus, in the two tables, the next to last column of figures would be the C_i 's (C_i the cost of incarcerating offenders at the i th level or higher, i.e., false positives) and the last column the U_i 's (U_i the utility of incarcerating offenders at the i th level or higher, i.e., the true positives).

For the composite sample in the first table, we find:

$$\begin{aligned} MCR &= .047 \times .000 + \\ &.192 \times .342 + \\ &.388 \times .791 + \\ &.575 \times .913 + \\ &1.000 \times .969 - \\ &.342 \times .000 - \\ &.791 \times .047 - \\ &.913 \times .192 - \\ &.969 \times .388 - \\ &1.000 \times .575 \\ &= .704 \end{aligned}$$

Similarly, we find the following values of MCR across the six categories of prediction:

<u>1984 Version</u>	<u>Criterion I</u>	<u>Criterion III</u>
Construction	.705	.658
Validation	.692	.655
Combined	.704	.654

A Comparison of the Predictive Validity of Classification Instruments

To allow the observer an opportunity to place the results of the Iowa research in the proper perspective, we have included data on a comparison of the predictive validity of several risk prediction devices, including:

- o The 1980 Version of the Iowa Risk Assessment Model
- o The 1983 Version of the Iowa Risk Assessment Model
- o The 1984 Version of the Iowa Risk Assessment Model
- o The model developed by William Rhodes of INSLAW
- o The Michigan Risk Screening System (Assaultive and Property Risk)
- o The Federal Salient Factor Score (1981 Version)
- o The RAND 7-Factor Score
- o The Wisconsin Risk Assessment Model
- o The Oregon Criminal History/Risk Assessment

The data indicate the performance of each of these models in predicting the three criterion variables defined above, i.e., Post-Release Violence = Criterion I, New Prison Sentence for a Safety Crime = Criterion II, and Composite Recidivism = Criterion III.

In each case the value of MCR is given, thus facilitating a comparison of models. This we leave to the interested observer.

**COMPARISON OF CLASSIFICATION MODELS
PREDICTION OF VIOLENCE, RECIDIVISM, AND INSTITUTIONAL MISCONDUCT**

IOWA RISK ASSESSMENT - 1984 VERSION

Violence Risk	Total Cases	Post-Release Violence	Safety Risk	Total Cases	New Prison Sentence
Very Poor ..	89	59 66.3%	Very Poor ..	140	96 68.6%
Poor	165	69 41.8%	Poor	127	65 51.2%
Fair	148	21 14.2%	Fair	120	53 44.2%
Good	126	9 7.1%	Good	153	28 18.3%
Excellent ..	286	5 1.8%	Excellent ..	274	15 5.5%

MCR = .705 CPE = 1.201 MCR = .618 CPE = .577

Violence Risk	Total Cases	Composite Recidivism
Very Poor ..	140	110 78.6%
Poor	127	79 62.2%
Fair	120	55 45.8%
Good	153	34 22.2%
Excellent ..	274	19 6.9%

MCR = .658 CPE = .565

Security Risk	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions
Very Poor ..	116	73 62.9%	60.1	4.9
Poor	133	55 41.4%	39.0	2.3
Fair	132	58 43.9%	17.1	2.5
Good	190	52 27.4%	10.1	1.3
Excellent ..	243	37 15.2%	4.2	0.7

MCR = .391 CPE = .850

IOWA RISK ASSESSMENT - 1983 VERSION

Violence Risk	Total Cases	Post-Release Violence	General Risk	Total Cases	New Prison Sentence
Very Poor ..	66	43 65.2%	Very Poor ..	95	66 69.5%
Poor	145	68 46.9%	Fair/Poor ..	251	139 55.4%
Fair	90	22 24.4%	Good	158	30 19.0%
Good	107	13 12.1%	Very Good ..	212	19 9.0%
Very Good ..	308	17 5.5%	Excellent ..	98	3 3.1%
Excellent ..	98	0 0.0%			

MCR = .673 CPE = 1.076 MCR = .617 CPE = .605

Violence Risk	Total Cases	Composite Recidivism
Very Poor ..	95	74 77.9%
Fair/Poor ..	251	157 62.5%
Good	158	37 23.4%
Very Good ..	212	26 12.3%
Excellent ..	98	3 3.1%

MCR = .636 CPE = .542

Security Risk	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions
Very Poor ..	66	45 68.2%	57.0	4.9
Poor	169	73 43.2%	40.1	2.8
Fair	90	40 44.4%	25.3	2.8
Good	253	87 34.4%	16.1	1.6
Excellent ..	236	30 12.7%	2.0	0.6

MCR = .379 CPE = .651

IOWA RISK ASSESSMENT - 1980 VERSION

Violence Risk	Total Cases	Post-Release Violence	General Risk	Total Cases	New Prison Sentence
Very Poor ..	88	49 55.7%	Very Poor ..	146	93 63.7%
Poor	182	62 34.1%	Poor	192	84 43.8%
Good	301	39 13.0%	Fair	156	46 29.5%
Very Good ..	147	11 7.5%	Good	224	30 13.4%
Excellent ..	96	2 2.1%	Excellent ..	96	4 4.2%

MCR = .529 CPE = .671 MCR = .518 CPE = .403

Violence Risk	Total Cases	Composite Recidivism
Very Poor ..	146	105 71.9%
Poor	192	95 49.5%
Fair	156	53 34.0%
Good	224	39 17.4%
Excellent ..	96	5 5.2%

MCR = .530 CPE = .362

Security Risk	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions
Very Poor ..	125	76 60.8%	44.0	3.8
Poor	145	58 40.0%	34.3	2.5
Fair	224	95 42.4%	20.5	2.4
Good	225	40 17.8%	9.9	0.9
Excellent ..	95	6 6.3%	0.6	0.2

MCR = .412 CPE = .431

INSLAW SCALE

Total Score	Total Cases	Post-Release Violence	Total Score	Total Cases	New Prison Sentence
65+	97	45 46.4%	65+	97	65 67.0%
52-64.5	127	50 39.4%	52-64.5	127	67 52.8%
39-51.5	198	43 21.7%	39-51.5	198	74 37.4%
35-38.5	69	8 11.6%	35-38.5	69	17 24.6%
18-34.5	209	14 6.7%	18-34.5	209	30 14.4%
0-17.5	112	3 2.7%	0-17.5	112	4 3.6%

MCR = .526 CPE = .592 MCR = .531 CPE = .413

Total Score	Total Cases	Composite Recidivism
65+	97	71 73.2%
52-64.5	127	75 59.1%
39-51.5	198	88 44.4%
35-38.5	69	20 29.0%
18-34.5	209	37 17.7%
0-17.5	112	6 5.4%

MCR = .537 CPE = .363

Total Score	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions
65+	97	54 55.7%	58.2	3.6
52-64.5	127	65 51.2%	31.2	2.9
39-51.5	198	77 38.9%	26.8	2.5
35-38.5	69	23 33.3%	9.0	1.3
18-34.5	209	50 23.9%	8.3	1.3
0-17.5	112	6 5.4%	0.6	0.2

MCR = .391 CPE = .659

Notes
 1. Post-Release Violence = Rearrest for violent felony during follow-up period (1-year average)
 2. New Prison Sentence = Limited to new convictions for crimes with victims (e.g., not DUI, morals, etc.)
 3. Composite Recidivism = Post-Release Violence or New Prison Sentence
 4. MCR = Mean Cost Rating
 5. CPE = Coefficient of Predictive Efficiency

COMPARISON OF CLASSIFICATION MODELS
PREDICTION OF VIOLENCE, RECIDIVISM, AND INSTITUTIONAL MISCONDUCT
(continued)

MICHIGAN RISK SCREENING

Assaultive/ Property Risk	Total Cases	Post-Release Violence	Assaultive/ Property Risk	Total Cases	New Prison Sentence	Assaultive/ Property Risk	Total Cases	Composite Recidivism			
Very High	53	24	45.3%	High/Very High	280	144	51.4%	High/Very High	280	162	57.9%
High	227	75	33.0%	Middle	152	48	31.6%	Middle	152	57	37.5%
Middle	152	30	19.7%	Low	382	65	17.0%	Low	382	78	20.4%
Low	382	34	8.9%								
MCR = .402 CPE = .370			MCR = .375 CPE = .235			MCR = .382 CPE = .210					

FEDERAL SALIENT FACTOR SCORE - 1981 VERSION

Total Score	Total Cases	Post-Release Violence	Total Score	Total Cases	New Prison Sentence	Total Score	Total Cases	Composite Recidivism	Total Score	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions				
0-2	67	25	37.3%	0-2	67	40	59.7%	0-2	67	44	65.7%	0-2	67	35	52.2%	43.0	3.3
3-6	320	99	30.9%	3-6	320	147	45.9%	3-6	320	167	52.2%	3-6	320	139	43.4%	34.1	2.8
7-8	250	30	12.0%	7-8	250	57	22.8%	7-8	250	67	26.8%	7-8	250	77	30.8%	13.0	1.6
9	109	7	6.4%	9	109	10	9.2%	9	109	15	13.8%	9	109	18	16.5%	2.3	0.7
10	68	2	2.9%	10	68	3	4.4%	10	68	4	5.9%	10	68	6	8.8%	0.9	0.4
MCR = .401 CPE = .353			MCR = .403 CPE = .299			MCR = .440 CPE = .258			MCR = .306 CPE = .458								

RAND 7-FACTOR SCORE

Total Score	Total Cases	Post-Release Violence	Total Score	Total Cases	New Prison Sentence	Total Score	Total Cases	Composite Recidivism	Total Score	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions				
4+	128	52	40.6%	4+	128	78	60.9%	4+	128	88	68.8%	4+	128	70	54.7%	42.4	3.7
3	123	37	30.1%	3	123	56	45.5%	3	123	61	49.6%	3	123	58	47.2%	27.2	2.7
2	149	31	20.8%	2	149	54	36.2%	2	149	64	43.0%	2	149	60	40.3%	33.2	2.4
1	207	28	13.5%	1	207	41	19.8%	1	207	49	23.7%	1	207	59	28.5%	9.4	1.4
0	207	15	7.2%	0	207	28	13.5%	0	207	35	16.9%	0	207	28	13.5%	0.6	0.6
MCR = .399 CPE = .339			MCR = .431 CPE = .288			MCR = .434 CPE = .252			MCR = .369 CPE = .392								

OREGON CRIMINAL HISTORY/RISK ASSESSMENT - 1980 VERSION

Total Score	Total Cases	Post-Release Violence	Total Score	Total Cases	New Prison Sentence	Total Score	Total Cases	Composite Recidivism	Total Score	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions				
0	64	25	39.1%	0-2	227	123	54.2%	0-2	227	134	59.0%	0	64	35	54.7%	44.3	2.8
1-4	356	90	25.3%	3-5	310	96	31.0%	3-5	310	113	36.5%	1-4	356	144	40.4%	27.8	2.4
5-7	254	44	17.3%	6-8	183	36	19.7%	6-8	183	48	26.2%	5-8	300	88	29.3%	15.0	1.8
8-11	140	4	2.9%	9-11	94	2	2.1%	9-11	94	2	2.1%	9-11	94	8	8.5%	1.3	0.4
MCR = .315 CPE = .237			MCR = .416 CPE = .277			MCR = .401 CPE = .226			MCR = .265 CPE = .265								

COMPARISON OF CLASSIFICATION MODELS
PREDICTION OF VIOLENCE, RECIDIVISM, AND INSTITUTIONAL MISCONDUCT
(continued)

WISCONSIN RISK ASSESSMENT

Total Score	Total Cases	Post-Release Violence	Total Score	Total Cases	New Prison Sentence
39+	63	27 42.9%	38+	79	44 55.7%
30-38	171	58 33.9%	31-37	359	146 40.7%
22-29	167	44 26.3%	9-20	280	60 21.4%
12-21	269	26 9.7%	0-8	96	7 7.3%
0-11	144	8 5.6%			

MCR = .434 CPE = .337 MCR = .350 CPE = .199

Total Score	Total Cases	Composite Recidivism
38+	79	48 60.8%
31-37	359	168 46.8%
9-20	280	69 24.6%
0-8	96	12 12.5%

MCR = .345 CPE = .165

Total Score	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions
31+	224	?	37.3	2.9
17-30	326	?	21.3	1.9
0-16	264	?	7.7	1.2

MCR = ? CPE = .286

ILLINOIS DANGEROUSNESS/ADJUSTMENT SCALES

Dang./Adj. Scores	Total Cases	Post-Release Violence	Dang./Adj. Scores	Total Cases	New Prison Sentence
11+/28+	130	59 45.4%	0+/28+	152	93 61.2%
27+/11-27	40	12 30.0%	27+/11-27	40	17 42.5%
Other Scores	364	65 17.9%	0-26/11-27	335	98 29.3%
0-26/0-10	280	27 9.6%	0+/0-10	287	49 17.1%

MCR = .359 CPE = .371 MCR = .370 CPE = .249

Dang./Adj. Scores	Total Cases	Composite Recidivism
0+/28+	152	106 69.7%
27+/11-27	40	19 47.5%
0-26/11-27	335	111 33.1%
0+/0-10	287	61 21.2%

MCR = .375 CPE = .222

Dang./Adj. Scores	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions
27+/28+	31	25 80.6%	101.0	7.4
0-26/28+	121	72 59.5%	49.1	3.8
11+/11-27	242	93 38.4%	19.4	2.0
Other Scores	224	56 25.0%	13.7	1.5
0-10/0-10	196	29 14.8%	2.7	0.6

MCR = .412 CPE = 1.009

FEDERAL PRISON CLASSIFICATION SYSTEM

Total Score	Total Cases	Post-Release Violence
0-6	102	40 39.2%
7-9	91	27 29.7%
10-13	122	32 26.2%
14+	499	64 12.8%

MCR = .302 CPE = .236

Total Score	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions
0-6	102	45 44.1%	38.2	2.7
7-9	91	35 38.5%	35.8	2.7
10-13	122	48 39.3%	26.0	2.5
14+	499	147 29.5%	14.1	1.5

MCR = .125 CPE = .210

NATIONAL INSTITUTE OF CORRECTIONS PRISON CLASSIFICATION SYSTEM

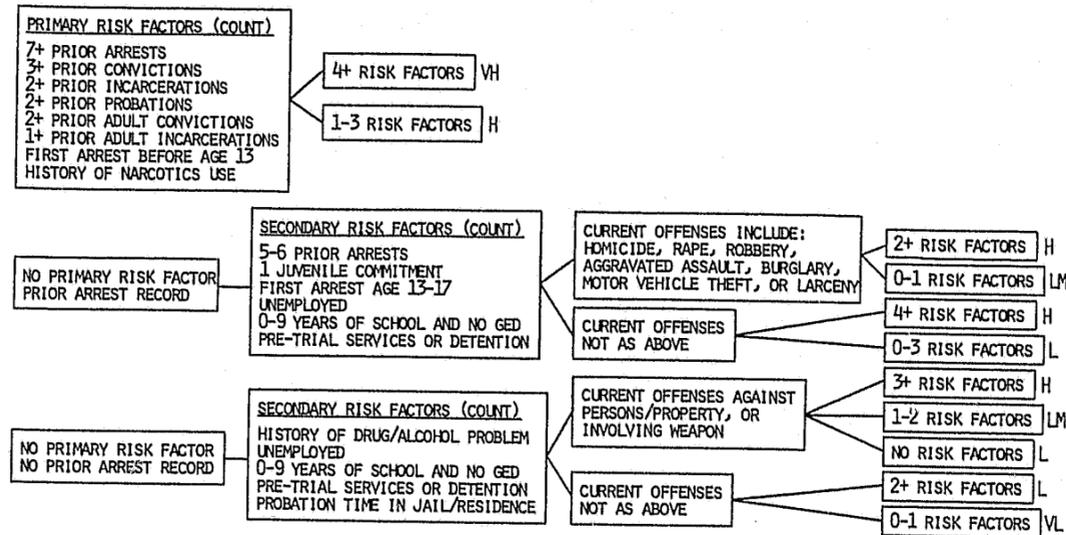
Custody Class	Total Cases	Post-Release Violence
Close	64	23 35.9%
Medium	258	70 27.1%
Minimum	492	70 14.2%

MCR = .233 CPE = .140

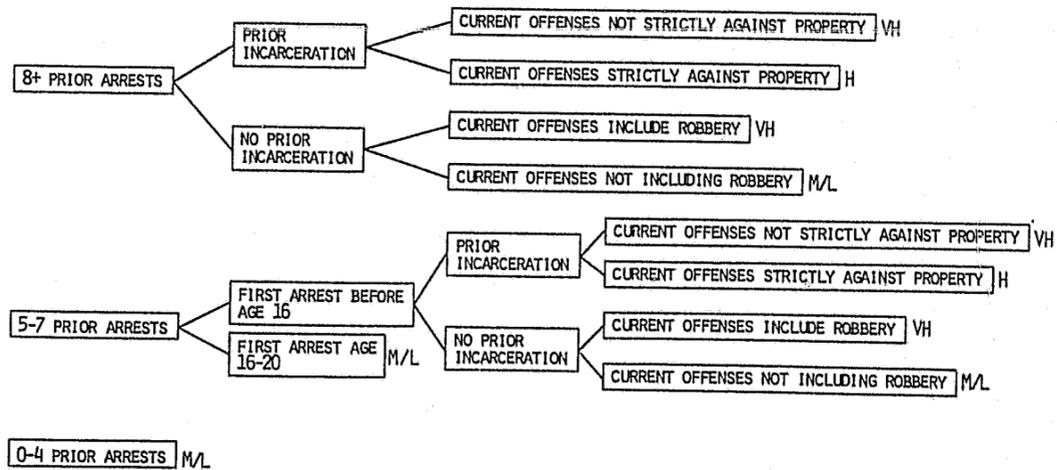
Custody Class	Total Cases	Earned Time Lost?	Earned Time Lost (Days)	Disciplinary Actions
Close	64	28 43.8%	38.6	2.9
Medium	258	108 41.9%	30.6	2.4
Minimum	492	139 28.3%	14.2	1.6

MCR = .152 CPE = .180

OFFENDER RISK ASSESSMENT
STATE OF IOWA
GENERAL RISK OF RECIDIVISM
OFFENDERS CURRENTLY AGE 19



OFFENDER RISK ASSESSMENT
STATE OF IOWA
RISK OF VIOLENCE
OFFENDERS CURRENTLY AGE 18-20



STEP I - 4-FACTOR SCORING

CURRENT OFFENSE CLASSIFICATION (Highest Applicable)	CRIMINAL HISTORY AND AGE AT CONVICTION									
	0-1		2-5		6-10		11-19		20+	
	30+	20-29	30+	20-29	30+	24-29	20-23	30+	24-29	20-29
Substance Abuser III										
Aggravated Assault/Robbery/Escapes	1	2	4	3	3	6	3	6	6	6
Aggravated Burglary	1	2	4	3	3	6	4	5	6	6
Burglary/Motor Vehicle Theft/Forgery/Bad Checks	1	2	4	3	3	6	4	5	6	6
Other Offense Classification	1	2	4	3	3	6	4	5	6	6
Drug or Alcohol Related Offense Only	1	2	4	3	3	6	4	5	6	6
Substance Abuser II										
Aggravated Burglary/Aggravated Assault/Robbery/Escapes	1	2	4	3	3	6	3	5	6	6
Burglary/Motor Vehicle Theft/Forgery/Bad Checks	1	2	4	3	3	6	4	5	6	6
Other Offense Classification	1	2	4	3	3	6	4	5	6	6
Drug or Alcohol Related Offense Only	1	2	4	3	3	6	4	5	6	6
Substance Abuser I										
Robbery/Escapes	1	2	2	1	3	4	2	4	4	6
Aggravated Burglary/Aggravated Assault	1	2	2	1	3	4	2	4	4	6
Burglary/Motor Vehicle Theft/Forgery/Bad Checks	1	2	2	1	3	4	2	4	4	6
Other Offense Classification	1	2	2	1	3	4	2	4	4	6
Drug or Alcohol Related Offense Only	1	2	2	1	3	4	2	3	3	5
Non-Abuser										
Robbery/Escapes	1	1	2	1	3	3	1	3	3	6
Aggravated Burglary/Aggravated Assault	1	1	2	1	3	3	1	3	3	5
Burglary/Motor Vehicle Theft/Forgery/Bad Checks	1	1	2	1	3	3	1	3	3	5
Other Offense Classification	1	1	2	1	3	3	1	3	3	5
Drug or Alcohol Related Offense Only	1	1	2	1	3	3	1	3	3	5

STEP II - OFFENDER TYPING (check applicable categories)

Violent Offender Current Offense Against Persons
 Special Violence Risk Factor (see STEP III)
 Current Sentence for Escape or Jailbreak

First Offender No Prior Felony Arrest or Conviction

Burn-out Not a Violent Offender and Age 50+ at Conviction
 Not a Violent Offender and Age 25-49 at Conviction and 4-Factor Score is 1-4

STEP III - SPECIAL RISK FACTOR SCORING

- Circle
- 1 1+ Prior Convictions for Felonies Against Persons in Last 5 Years Street Time
 - 2 2+ Total Arrests for Felonies Against Persons in Last 3 Years Street Time
 - 3 2+ Prior Arrests for Felonies Against Persons in Last 5 Years Street Time
 - 4 1+ Prior Arrests for Felonies Against Persons in Last Year Street Time
 - 5 3+ Prior Arrests for Crimes Against Persons in Last 5 Years Street Time
 - 6 1+ Prior Felony Incarcerations in Last Year Street Time
 - 7 2+ Prior Incarcerations in Last Year Street Time
 - 8 Current Arrest is at Least Fifth Arrest for Same Type Felony in Last 5 Years Street Time
 - 9 4+ Prior Convictions for Felonies Against Persons in Last 20 Years Street Time
 - 10 3+ Prior Convictions for Felonies Against Persons in Last 10 Years Street Time
 - 11 2+ Prior Convictions for Felonies Against Persons in Last 5 Years Street Time
 - 12 1+ Prior Convictions for Felonies Against Persons in Last 2 Years Street Time
 - 13 4+ Prior Arrests for Felonies Against Persons in Last 10 Years Street Time
 - 14 3+ Prior Arrests for Felonies Against Persons in Last 7 Years Street Time
 - 15 3+ Total Arrests for Felonies Against Persons in Last 5 Years Street Time
 - 16 2+ Prior Arrests for Felonies Against Persons in Last 2 Years Street Time
 - 17 1+ Prior Arrests for Felonies Against Persons in Last Year Street Time and 2+ Prior Arrests for Felonies Against Persons in Last 3 Years Street Time
 - 18 3+ Prior Arrests for Crimes Against Persons in Last 3 Years Street Time
 - 19 Current Convictions for Felony Against Persons and Escape (Prison)
 - 20 3+ Prior Felony Convictions or Incarcerations in Last 3 Years Street Time
 - 21 2+ Prior Felony Convictions or Incarcerations in Last 2 Years Street Time
 - 22 Current Conviction is at Least Third Conviction for Same Type Felony in Last 5 Years Street Time
 - 23 Current Conviction is at Least Third Conviction for High Recidivism Offense in Last 5 Years Street Time
 - 24 Current Prison Admission as Release Violator with New Felony Conviction for High Recidivism Offense

STEP IV - FINAL GENERAL RISK ASSESSMENT

4-Factor Score	Burn-out or First Offender	Special Risk Factors			
		None	Class I Only	Class II	Class III
7	Poor	Poor	Very Poor	Very Poor	Very Poor
6	Good	Poor	Poor	Very Poor	Very Poor
5	Good	Good	Poor	Poor	Very Poor
4	Good	Good	Good	Fair*	Fair
3	Very Good	Very Good	Good	Fair*	Fair
2	Very Good	Very Good	Very Good	Good	Good
1	Excellent	Excellent	Excellent	Excellent	Excellent

STEP V - FINAL VIOLENCE/PROPERTY RISK ASSESSMENT

General Risk Assessment	Violence Risk		Property Risk	
	Violent Offender	Non-Violent Offender	Violent Offender	Non-Violent Offender
Very Poor	Very Poor	Fair	Very Poor	Very Poor
Poor	Poor	Fair	Poor	Poor
Fair	Good	Good	Fair	Fair
Good	Good	Very Good	Good	Good
Very Good	Very Good	Very Good	Excellent	Very Good
Excellent	Excellent	Excellent	Excellent	Excellent

*Code as POOR if current offense is against persons.

IOWA RISK ASSESSMENT - 1980 VERSION
RISK LEVEL DESIGNATIONS

Original Definition		Current Definition		Security Risk
General Risk	Violence Risk	General Risk	Violence Risk	
Super Recidivist	Super Recidivist	Very Poor Risk	Very Poor Risk	Very Poor Risk
Super Recidivist	Ultra-High Risk	Very Poor Risk	Poor Risk	Very Poor Risk
Super Recidivist	Very-High Risk	Very Poor Risk	Poor Risk	Poor Risk
Ultra-High Risk	Super Recidivist	Poor Risk	Poor Risk	Poor Risk
Ultra-High Risk	Ultra-High Risk	Poor Risk	Poor Risk	Poor Risk
	(Violent Offender)			
Ultra-High Risk	Ultra-High Risk	Poor Risk	Good Risk	Fair Risk
	(Non-Violent Offender)			
Ultra-High Risk	Very-High Risk	Poor Risk	Good Risk	Fair Risk
Ultra-High Risk	High Risk	Poor Risk	Good Risk	Fair Risk
Very-High Risk	Ultra-High Risk	Poor Risk	Poor Risk	Poor Risk
Very-High Risk	High-Medium Risk	Fair Risk	Good Risk	Fair Risk
High Risk	Low-Medium Risk	Good Risk	Good Risk	Good Risk
High-Medium Risk	Low-Medium Risk	Good Risk	Very Good Risk	Good Risk
High-Medium Risk	Very-Low Risk	Good Risk	Very Good Risk	Good Risk
Low-Medium Risk	Low-Medium Risk	Good Risk	Very Good Risk	Good Risk
Low-Medium Risk	Very-Low Risk	Good Risk	Very Good Risk	Good Risk
Low Risk	Low Risk	Excellent Risk	Excellent Risk	Excellent Risk
Low Risk	Very-Low Risk	Excellent Risk	Excellent Risk	Excellent Risk
Very-Low Risk	Low Risk	Excellent Risk	Excellent Risk	Excellent Risk
Very-Low Risk	Nil Risk	Excellent Risk	Excellent Risk	Excellent Risk

IOWA RISK ASSESSMENT - 1983 VERSION
SECURITY RISK DESIGNATIONS

General Risk	Violent Offender	Security Risk
Very Poor Risk	Yes	Very Poor Risk
Very Poor Risk	No	Fair Risk
Poor Risk	Yes	Poor Risk
Poor Risk	No	Fair Risk
Fair Risk	Yes	Poor Risk
Fair Risk	No	Good Risk
Good Risk	Yes	Good Risk
Good Risk	No	Good Risk
Very Good Risk	Yes	Good Risk
Very Good Risk	No	Excellent Risk
Excellent Risk	Yes	Excellent Risk
Excellent Risk	No	Excellent Risk

IOWA RISK ASSESSMENT - 1984 VERSION
SECURITY RISK DESIGNATIONS

General Risk	Violence Risk	Security Risk
Very Poor Risk	Very Poor Risk	Very Poor Risk
Very Poor Risk	Poor Risk	Very Poor Risk
Very Poor Risk	Fair Risk	Poor Risk
Poor Risk	Very Poor Risk	Very Poor Risk
Poor Risk	Poor Risk	Poor Risk
Poor Risk	Fair Risk	Fair Risk
Poor Risk	Good Risk	Fair Risk
Good Risk	Poor Risk	Fair Risk
Good Risk	Fair Risk	Good Risk
Good Risk	Good Risk	Good Risk
Good Risk	Excellent Risk	Good Risk
Excellent Risk	Fair Risk	Good Risk
Excellent Risk	Good Risk	Good Risk
Excellent Risk	Excellent Risk	Excellent Risk

Current prison escape scoring deleted to obtain security risk.

INSLAW SCALE

Score and total the following points according to the indicated characteristics:

Heavy use of alcohol + 5
Heroin use +10
Age at time of instant arrest
 Less than 23 +21
 23-27 +14
 28-32 + 7
 33-37 0
 38-42 - 7
 43+ -14
Length of criminal career (since first arrest)
 0-5 years 0
 6-10 years + 1
 11-15 years + 2
 16-20 years + 3
 21+ years + 4
Arrests during last 5 years (score each arrest as indicated)
 Crimes of violence + 4
 Crimes against property + 3
 Sale of drugs + 4
 Other offenses + 2
Longest time served, single term (prior sentence)
 1-5 months + 4
 6-12 months + 9
 13-24 months +18
 25-36 months +27
 37-48 months +36
 49+ months +45
Number of probation sentences (score each as indicated) +1.5
Instant offense was crime of violence + 7
Instant offense was crime labeled "other" -18

Violent crimes include robbery, homicide, assault, sexual assault, kidnapping, and other crimes against persons. "Other" crimes include all crimes other than arson, burglary, larceny, auto theft, fraud, forgery, drug sale or possession, and violent crimes.

FEDERAL SALIENT
FACTOR SCORE
(1981 Version)

Score and total the following points according to the indicated characteristics:

Prior convictions or adjudications (adult or juvenile)
 None +3
 One +2
 Two or Three +1
 Four or More 0
Prior commitments of more than 30 days (adult or juvenile)
 None +2
 One or two +1
 Three or more 0
Age at instant offense*
 26 or older +2
 20-25 +1
 19 or younger 0
Recent commitment free period during last 3 years
 No prior commitment more than 30 days (adult or juvenile), or released to the community at least 3 years before commission of the instant offense +1
 "Otherwise" 0
Probation or parole or confinement escape status this time
 No +1
 Yes 0
Heroin or opiate dependence
 No history +1
 History 0

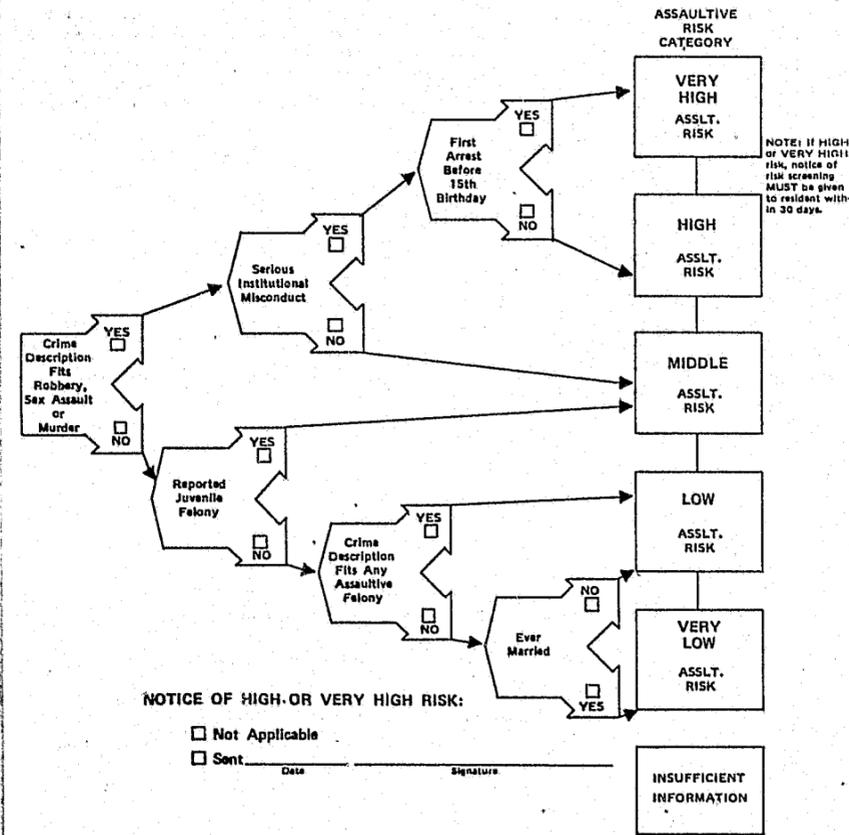
*But if the record shows five or more commitments of more than 30 days, this item is scored "0" regardless of the age at the time of the instant offense.

MICHIGAN DEPARTMENT OF CORRECTIONS
ASSAULTIVE RISK SCREENING SHEET

CSO-352 12/77

RESIDENT'S NAME _____ NUMBER _____
 SCREENED BY _____ LOCATION _____ DATE _____

INSTRUCTIONS: Starting at left, check "yes" or "no" at each item. This directs you to next item. When a risk category is reached at right, circle that category. If information is missing or conflicting, circle insufficient information box and refer to classification director. See definitions on reverse side.

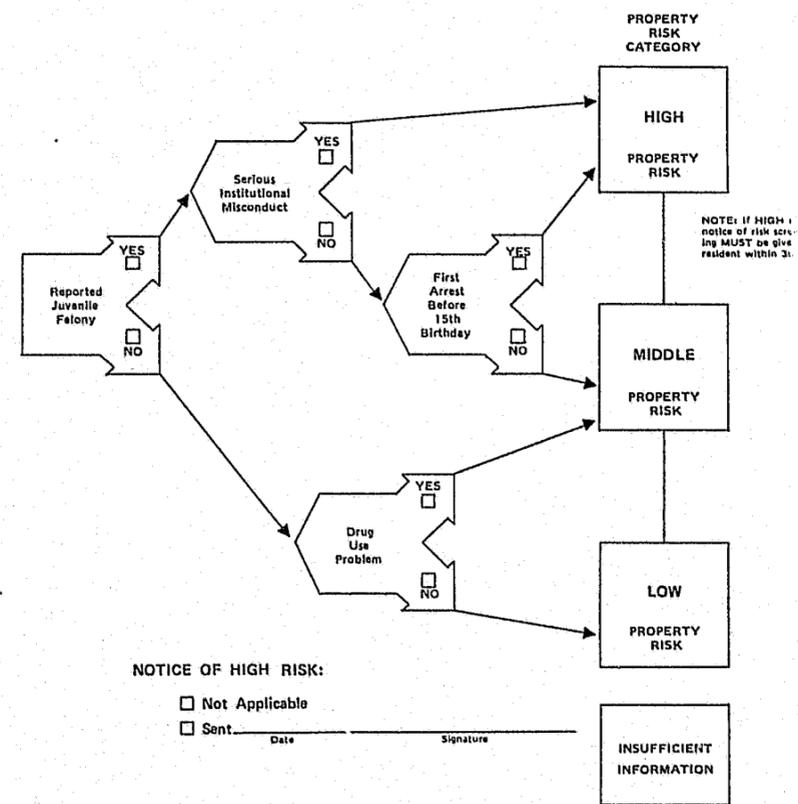


MICHIGAN DEPARTMENT OF CORRECTIONS
PROPERTY RISK SCREENING SHEET

CSO-352 12/77

RESIDENT'S NAME _____ NUMBER _____
 SCREENED BY _____ LOCATION _____ DATE _____

INSTRUCTIONS: Starting at left, check "yes" or "no" at each item. This directs you to next item. When a risk category is reached at right, circle that category. If information is missing or conflicting, circle insufficient information box and refer to classification director. See definitions on reverse side.



MICHIGAN RISK SCREENING

<u>Original Michigan Definition</u> <u>Property</u> <u>Risk</u>	<u>Assaultive</u> <u>Risk</u>	<u>Current Study Definition</u> <u>Assaultive/Property</u> <u>Risk</u>
High Risk	Very High Risk High Risk Middle Risk Low Risk Very Low Risk	Very High Risk Very High Risk High Risk High Risk High Risk
Middle Risk	Very High Risk High Risk Middle Risk Low Risk Very Low Risk	High Risk High Risk Middle Risk Middle Risk Low Risk
Low Risk	Very High Risk High Risk Middle Risk Low Risk Very Low Risk	Middle Risk Middle Risk Low Risk Low Risk Low Risk

ASSESSMENT OF CLIENT RISK

State of Wisconsin

Client's Name _____

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.

		SCORE
Number of Address Changes in Last 12 Months: (Prior to incarceration for parolees)	0 None 2 One 3 Two or more	_____
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		_____

State of Oregon

CRIMINAL HISTORY/RISK ASSESSMENT UNDER RULE 255-35-015

Offense _____

A. No prior felony or misdemeanor convictions as an adult or juvenile.*	3
One prior conviction:	2
Two or three prior convictions:	1
Four or more prior convictions:	0
B. No prior incarcerations (i.e., executed sentences of 90 days or more) as an adult or juvenile:	2
One or two prior incarcerations:	1
Three or more prior incarcerations:	0
C. Age at first commitment of 90 days or more: **	
26 or older:	2
21 to under 26:	1
Under 21:	0
D. Never escaped, failed parole or probation: ***	2
One incident of the above:	1
Any two or more incidents of the above:	0
E. Has no admitted or documented heroin or opiate derivative abuse problem, or has no admitted or documented alcohol problem:	1
One or more of the above:	0
F. Verified period of 3 years conviction free in the community prior to present offense:	1
Otherwise:	0

TOTAL HISTORY/RISK ASSESSMENT SCORE: _____

*Do not count convictions over 20 years old, convictions that have been pardoned, or juvenile or adult "status offenses" (runaway, truancy, incorrigibility, drunk in publ

**If no prior commitment, use age at present conviction.

** Count probation failure only if it resulted from an executed sentence of 90 days or mo count any parole failure, including parole reinstatement under rule 254-175-080.

CRIMINAL HISTORY/RISK ASSESSMENT SCORE: 11-9 EXCELLENT 8-6 GOOD 5-3 FAIR 2-0 POOR

OFFENSE SEVERITY RATING: (All ranges in Categories 1-6 shown in months)

Category	6	6	6-10	12-18
Category 1	6	6	6-10	12-18
Category 2	6	6-10	10-14	16-24
Category 3	6-10	10-14	14-20	22-38
Category 4	10-16	16-22	22-30	32-44
Category 5	16-24	24-36	40-52	56-72
Category 6	30-40	44-56	60-80	90-130
*Category 7				
Subcategory 2	8-10 Yrs	10-13 Yrs	13-16 Yrs	16-20 Yrs
Subcategory 1	10-14 Yrs	14-19 Yrs	19-24 Yrs	24-116

* The Minimum Term for murders committed after December 7, 1978, shall be twenty-five (25) as required by ORS 163.115.

Counselor

Appendix

Analysis of Predictors

POST-RELEASE VIOLENCE
AN ANALYSIS OF PREDICTORS

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>VIOLENCE RISK ASSESSMENT (1984)</u>		
Very Poor	89	66.3%
Poor	165	41.8%
Fair	148	14.2%
Good	126	7.1%
Excellent	286	1.8%
MCR = .705 CPE = 1.201*		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>CURRENT OFFENSE SCORE (A)</u>		
3	245	28.6%
1	438	19.4%
0	131	6.1%
MCR = .232 CPE = .137		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>PRIOR VIOLENCE SCORE (B)</u>		
5	63	65.1%
3	199	29.2%
0	552	11.6%
MCR = .399 CPE = .569		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>STREET TIME SCORE (C)</u>		
3	185	36.2%
2	309	22.3%
1	94	11.7%
0	226	7.1%
MCR = .369 CPE = .291		

*For a discussion of CPE (the Coefficient of Predictive Efficiency) see Fischer, 1984d.

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>CRIMINAL HISTORY SCORE (D)</u>		
6	95	44.2%
5	164	35.4%
1	147	19.0%
0	408	8.6%
MCR = .442 CPE = .457		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>CURRENT ESCAPE SCORE (E)</u>		
4	54	38.9%
2	26	46.2%
0	734	17.7%
MCR = .130 CPE = .125		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>SUBSTANCE ABUSE SCORE (F)</u>		
7	48	52.1%
4	121	30.6%
1	433	17.8%
0	212	11.3%
MCR = .284 CPE = .253		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>CURRENT CONVICTION FOR VIOLENT FELONY</u>		
Yes	231	28.1%
No	583	16.8%
MCR = .144 CPE = .066		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>CURRENT CONVICTION FOR ESCAPE, ETC.</u>		
Yes	54	38.9%
No	760	18.7%
MCR = .078 CPE = .067		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>PRIOR CONVICTION FOR FELONY AGAINST PERSONS IN LAST FIVE YEARS STREET TIME</u>		
Yes	108	43.5%
No	706	16.4%
MCR = .194 CPE = .211		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>PRIOR VIOLENCE SCORE (Raw) = 35+</u>		
Yes	150	50.7%
No	664	13.1%
MCR = .352 CPE = .534		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>SUBSTANCE ABUSE SCORE = 7</u>		
Yes	48	52.1%
No	766	18.0%
MCR = .118 CPE = .162		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>X-SCORE</u>		
9+	62	66.1%
8	39	51.3%
6-7	127	31.5%
4-5	193	17.1%
3	198	9.6%
1-2	140	6.4%
0	55	1.8%
MCR = .552 CPE = .782		

POST-RELEASE VIOLENCE
AN ANALYSIS OF PREDICTORS
(continued)

Y-SCORE	TOTAL CASES	POST-RELEASE VIOLENCE
9+	105	47.6%
7-8	61	37.7%
4-6	205	28.3%
2-3	68	19.1%
1	258	6.6%
0	117	1.7%
MCR = .539		CPE = .613

CURRENT SENTENCE (Years)	TOTAL CASES	POST-RELEASE VIOLENCE
15+	102	22.6%
10-14	305	25.9%
5-9	258	14.7%
0-4	149	15.4%
MCR = .157		CPE = .069

TYPE OF RELEASE	TOTAL CASES	POST-RELEASE VIOLENCE
Discharge	237	23.6%
Parole	577	18.5%
MCR = .066		CPE = .012

TIME SERVED (Years)	TOTAL CASES	POST-RELEASE VIOLENCE
4+	95	33.7%
3-4	78	29.5%
2-3	173	23.7%
1-2	300	15.7%
0-1	168	11.9%
MCR = .248		CPE = .138

CURRENT WORK RELEASES	TOTAL CASES	POST-RELEASE VIOLENCE
2+	31	38.7%
1	334	17.1%
0	449	20.9%
MCR = .028		CPE = .045

MAJOR REPORTS (Misconduct)	TOTAL CASES	POST-RELEASE VIOLENCE
6+	81	49.4%
4-5	53	34.0%
3	63	27.0%
1-2	201	15.5%
0	416	13.7%
MCR = .292		CPE = .324

TIME LOST (Days)	TOTAL CASES	POST-RELEASE VIOLENCE
42+	100	49.0%
14-41	63	34.9%
1-13	112	16.1%
0	539	13.7%
MCR = .303		CPE = .371

CURRENT PRISON ESCAPES	TOTAL CASES	POST-RELEASE VIOLENCE
2+	11	54.5%
1	68	29.4%
0	735	18.6%
MCR = .081		CPE = .062

CURRENT WORK RELEASE REVOCATIONS	TOTAL CASES	POST-RELEASE VIOLENCE
1+	71	26.8%
0	743	19.4%
MCR = .037		CPE = .015

COMMITTING INSTITUTION	TOTAL CASES	POST-RELEASE VIOLENCE
Men's Reform.	472	22.0%
State Peniten.	295	18.6%
Women's Reform.	44	9.1%
MCR = .085		CPE = .026

RELEASING INSTITUTION	TOTAL CASES	POST-RELEASE VIOLENCE
Sec. Med. Fac.	7	42.9%
State Peniten.	152	28.3%
Men's Reform.	131	28.2%
Halfway House	227	18.9%
John Bennett	27	18.5%
Riverview Rel.	204	13.7%
Women's Reform.	26	7.7%
Medium Sec. U.	40	5.0%
MCR = .247		CPE = .131

PRE-COMMITMENT MENTAL HEALTH EVAL.	TOTAL CASES	POST-RELEASE VIOLENCE
Yes	123	22.8%
No	691	19.5%
MCR = .026		CPE = .003

POST-RELEASE VIOLENCE
AN ANALYSIS OF PREDICTORS
(continued)

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>POST-COMMITMENT MENTAL HEALTH EVALUATION (Oakdale)</u>		
Yes	185	23.2%
No	629	19.1%
MCR = .044 CPE = .011		

FINAL OAKDALE EVALUATION

Negative	61	24.6%
Neutral/Posit. 124	124	22.6%

Improvement ..	105	28.6%
No Improvement	39	15.4%

CRIME AGAINST PERSONS

Yes	278	26.3%
No	536	16.8%
MCR = .133 CPE = .055		

CURRENT WEAPON USE

Knife	34	38.2%
Firearm	129	26.4%
Other Weapon	68	20.6%
None	583	17.5%
MCR = .127 CPE = .065		

PLEA BARGAINING

Yes	307	22.8%
No	507	18.3%
MCR = .065 CPE = .012		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>SEX</u>		
Male	767	20.7%
Female	47	8.5%
MCR = .041 CPE = .020		

RACE

American Ind.	12	41.7%
Black	127	38.6%
Hispanic	16	37.5%
White	659	15.6%
MCR = .222 CPE = .206		

PRIOR ESCAPES

2+	41	39.0%
1	95	28.4%
0	678	17.7%
MCR = .125 CPE = .079		

PRIOR PROBATION REVOCATIONS

1+	149	24.2%
0	665	19.1%
MCR = .047 CPE = .013		

PRIOR PAROLE REVOCATIONS

1+	157	31.2%
0	657	17.4%
MCR = .135 CPE = .080		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>PRIOR ADULT COMMITMENTS</u>		
4+	46	21.7%
3	30	23.3%
2	44	25.0%
1	114	23.7%
0	580	18.6%
MCR = .062 CPE = .013		

PRIOR ADULT FELONY CONVICTIONS

4+	83	22.9%
3	58	24.1%
2	91	20.9%
1	209	23.0%
0	373	16.9%
MCR = .089 CPE = .025		

PRIOR ADULT CONVICTIONS

7+	134	24.6%
5-6	80	16.2%
3-4	173	19.1%
1-2	253	22.1%
0	174	16.1%
MCR = .073 CPE = .079		

JUVENILE COMMITMENTS

4+	20	60.0%
3	39	33.3%
2	38	29.0%
1	116	35.3%
0	601	14.3%
MCR = .273 CPE = .272		

POST-RELEASE VIOLENCE
AN ANALYSIS OF PREDICTORS
(continued)

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>JUVENILE FELONY CONVICTIONS</u>		
4+	35	57.1%
3	26	38.5%
2	70	38.6%
1	140	23.6%
0	543	13.4%
MCR = .314 CPE = .329		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>PRIOR COMMITMENTS</u>		
4+	93	33.3%
3	56	23.2%
2	71	31.0%
1	135	24.4%
0	459	13.9%
MCR = .236 CPE = .133		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>PRIOR FELONY CONVICTIONS</u>		
5+	93	34.4%
4	58	25.9%
3	95	30.5%
2	120	26.7%
1	196	15.8%
0	252	9.5%
MCR = .311 CPE = .196		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>PRIOR CONVICTIONS</u>		
8+	161	28.6%
6-7	86	25.6%
4-5	160	21.9%
2-3	201	20.9%
1	107	13.1%

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>PRIOR CONVICTIONS (continued)</u>		
0	99	4.0%
MCR = .243 CPE = .142		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>AGE AT FIRST COMMITMENT</u>		
0-15	120	42.5%
16-19	230	27.4%
20-23	217	15.7%
24-39	210	6.7%
40+	37	2.7%
MCR = .427 CPE = .390		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>AGE AT FIRST CONVICTION</u>		
0-14	150	39.3%
15-16	171	25.7%
17-18	165	20.0%
19-24	235	10.6%
25-29	44	4.5%
30+	48	0.0%
MCR = .243 CPE = .142		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>AGE AT FIRST ARREST</u>		
0-14	253	31.2%
15-16	191	25.1%
17-18	143	13.3%
19-29	184	9.2%
30+	41	0.0%
MCR = .343 CPE = .251		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>MONTHS EMPLOYED LAST TWO YEARS</u>		
0-3	144	34.0%
4-6	116	27.6%
7-12	213	20.7%
13-23	234	15.8%
24	107	1.9%
MCR = .325 CPE = .244		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>PRE-TRIAL CONDITION</u>		
Jail Detention	395	25.3%
Unknown	90	23.3%
Release with		
Services ..	124	15.3%
Bail Bond	153	13.1%
Release on		
Recognizance	52	5.8%
MCR = .205 CPE = .102		

	TOTAL CASES	POST-RELEASE VIOLENCE
<u>CURRENT COMMITMENT TYPE</u>		
Probation Vio-		
lator with		
New Sentence	60	30.0%
Direct Court		
Commitment	506	19.4%
Probation Vio-		
lator with-		
out New		
Sentence	103	15.6%
MCR = .076 CPE = .026		

POST-RELEASE VIOLENCE
 AN ANALYSIS OF PREDICTORS
 (continued)

	<u>TOTAL</u> <u>CASES</u>	<u>POST-RELEASE</u> <u>VIOLENCE</u>
<u>AGE AT CURRENT COMMITMENT</u>		
0-17	15	46.7%
18	59	39.0%
19	63	31.8%
20-23	249	22.5%
24-27	147	16.3%
28+	281	11.7%
MCR = .288 CPE = .197		

<u>AGE AT CURRENT RELEASE</u>		
0-19	28	39.3%
20-24	296	25.0%
25-29	206	20.4%
30+	284	12.7%
MCR = .208 CPE = .105		

RATES OF POST-RELEASE VIOLENCE
RANK ORDERING BY OFFENDER CATEGORY

TOTAL CASES	POST-RELEASE VIOLENCE	OFFENDER CATEGORY	TOTAL CASES	POST-RELEASE VIOLENCE	OFFENDER CATEGORY
89	66.3%	Very Poor Violence Risk (1984)	144	34.0%	0-3 Months Employed Last 2 Years
62	66.1%	X-Score = 9+	95	33.7%	4+ Years Served (Current Sentence)
63	65.1%	Prior Violence Score (B) = 5	193	33.7%	1-3 Juvenile Commitments
20	60.0%	4+ Juvenile Commitments	93	33.3%	4+ Prior Commitments
35	57.1%	4+ Juvenile Felony Convictions	63	31.8%	Age 19 at Current Commitment
11	54.5%	2+ Current Prison Escapes	127	31.5%	X-Score = 6-7
48	52.1%	Substance Abuse Score (F) = 7	157	31.2%	1+ Prior Parole Revocations
39	51.3%	X-Score = 8	253	31.2%	Age 0-14 at First Arrest
150	50.7%	Prior Violence Score (Raw) = 35+	121	30.6%	Substance Abuse Score (F) = 4
81	49.4%	6+ Major Reports (Misconduct)	60	30.0%	Probation Violator with New Sentence
100	49.0%	6+ Weeks Time Lost (Misconduct)	78	29.5%	3-4 Years Served (Current Sentence)
105	47.6%	Y-Score = 9+	68	29.4%	1 Current Prison Escape
15	46.7%	Age 0-17 at Current Commitment	199	29.2%	Prior Violence Score (B) = 3
95	44.2%	Criminal History Score (D) = 6	245	28.6%	Current Offense Score (A) = 3
108	43.5%	Prior Conviction for Felony Agt. Persons in Last 5 Yrs. Street Time	290	28.6%	Released from Maximum Security
120	42.5%	Age 0-15 at First Commitment	161	28.6%	8+ Prior Convictions
165	41.8%	Poor Violence Risk (1984)	95	28.4%	1 Prior Escape
80	41.3%	Current Escape Score (E) = 2+	205	28.3%	Y-Score = 4-6
28	39.3%	Age 0-19 at Current Release	231	28.1%	Current Conviction for Violent Felony
150	39.3%	Age 0-14 at First Conviction	273	27.8%	2-4 Prior Felony Convictions
59	39.0%	Age 18 at Current Commitment	127	27.6%	2-3 Prior Commitments
41	39.0%	2+ Prior Escapes	116	27.6%	4-6 Months Employed Last 2 Years
31	38.7%	2+ Current Work Releases	230	27.4%	Age 16-19 at First Commitment
155	38.7%	Race Non-White	63	27.0%	3 Major Reports (Misconduct)
96	38.5%	2-3 Juvenile Felony Convictions	71	26.8%	1+ Current Work Release Revocations
34	38.2%	Current Use of Knife	129	26.4%	Current Use of Firearm
61	37.7%	Y-Score = 7-8	278	26.3%	Current Offense Against Person(s)
185	36.2%	Street Time Score (C) = 3	171	25.7%	Age 15-16 at First Conviction
164	35.4%	Criminal History Score (D) = 5	86	25.6%	6-7 Prior Convictions
63	34.9%	2-6 Weeks Time Lost (Misconduct)	395	25.3%	Pre-Trial Jail Detention
93	34.4%	5+ Prior Felony Convictions	191	25.1%	Age 15-16 at First Arrest
403	34.2%	Serious Offender (1984)	407	25.1%	Current Sentence 10+ Years
53	34.0%	4-5 Major Reports (Misconduct)	296	25.0%	Age 20-24 at Current Release

RATES OF POST-RELEASE VIOLENCE
RANK ORDERING BY OFFENDER CATEGORY
(continued)

TOTAL CASES	POST-RELEASE VIOLENCE	OFFENDER CATEGORY	TOTAL CASES	POST-RELEASE VIOLENCE	OFFENDER CATEGORY
61	24.6%	Negative Oakdale Evaluation	147	19.0%	Criminal History Score (D) = 1
134	24.6%	7+ Prior Adult Convictions	227	18.9%	Released from Halfway House
135	24.4%	1 Prior Commitment	735	18.6%	No Current Prison Escape
149	24.2%	1+ Prior Probation Revocations	580	18.6%	No Prior Adult Commitment
173	23.7%	2-3 Years Served (Current Sentence)	295	18.6%	Committed to State Penitentiary
237	23.6%	Released by Expiration of Sentence	577	18.5%	Released by Parole
140	23.6%	1 Juvenile Felony Conviction	27	18.5%	Released from John Bennett Corr. Ctr.
234	23.5%	1+ Prior Adult Commitments	507	18.3%	No Plea Bargaining
185	23.2%	1+ Oakdale Evaluations	433	17.8%	Substance Abuse Score (F) = 1
307	22.8%	Current Plea Bargaining	678	17.7%	No Prior Escape
123	22.8%	Pre-Commitment Mental Health Eval.	734	17.7%	Current Escape Score (E) = 0
441	22.7%	1+ Prior Adult Felony Convictions	583	17.5%	No Current Weapon Use
124	22.6%	Positive/Neutral Oakdale Evaluation	657	17.4%	No Prior Parole Revocation
249	22.5%	Age 20-23 at Current Commitment	193	17.1%	X-Score = 4-5
309	22.3%	Street Time Score (C) = 2	334	17.1%	1 Current Work Release
472	22.0%	Committed to Men's Reformatory	373	16.9%	No Prior Adult Felony Conviction
361	21.3%	2-5 Prior Convictions	536	16.8%	Current Offense <u>Not</u> Against Person(s)
506	21.1%	1-6 Prior Adult Convictions	583	16.8%	No Current Conviction for Violent Fel.
449	20.9%	No Current Work Release	706	16.4%	No Prior Conviction for Felony Agt.
213	20.7%	7-12 Months Employed Last 2 Years			Persons in Last 5 Yrs. Street Time
767	20.7%	Male	147	16.3%	Age 24-27 at Current Commitment
68	20.6%	Current Weapon Use (axe, feet, etc.)	174	16.1%	No Prior Adult Conviction
206	20.4%	Age 25-29 at Current Release	157	15.9%	Fair Violence Risk (1984)
165	20.0%	Age 17-18 at First Conviction	196	15.8%	1 Prior Felony Conviction
814	20.0%	ALL OFFENDERS	234	15.8%	13-23 Months Employed Last 2 Years
691	19.5%	No Pre-Commitment Mental Health Eval.	300	15.7%	1-2 Years Served (Current Sentence)
438	19.4%	Current Offense Score (A) = 1	217	15.7%	Age 20-23 at First Commitment
506	19.4%	Direct Court Commitment	103	15.6%	Probation Violator without New Sentence
743	19.4%	No Current Work Release Revocation			Race White
665	19.1%	No Prior Probation Revocation	659	15.6%	Pre-Trial Release with Services
68	19.1%	Y-Score = 2-3	124	15.3%	Current Sentence 0-9 Years
629	19.1%	No Oakdale Evaluation	407	15.0%	

RATES OF POST-RELEASE VIOLENCE
 RANK ORDERING BY OFFENDER CATEGORY
 (continued)

TOTAL CASES	POST-RELEASE VIOLENCE	OFFENDER CATEGORY	TOTAL CASES	POST-RELEASE VIOLENCE	OFFENDER CATEGORY
617	14.3%	0-2 Major Reports (Misconduct)	40	5.0%	Released from Medium Sec. Unit
601	14.3%	No Juvenile Commitment	44	4.5%	Age 25-29 at First Conviction
651	14.1%	0-2 Weeks Time Lost (Misconduct)	99	4.0%	No Prior Conviction
459	13.9%	No Prior Commitment	37	2.7%	Age 40+ at First Commitment
204	13.7%	Released from Riverview Rel. Ctr.	107	1.9%	24 Months Employed Last 2 Years
543	13.4%	No Juvenile Felony Conviction	55	1.8%	X-Score = 0
143	13.3%	Age 17-18 at First Arrest	117	1.7%	Y-Score = 0
107	13.1%	1 Prior Conviction	286	1.7%	Excellent Violence Risk (1984)
153	13.1%	Pre-Trial Release on Bail Bond	41	0.0%	Age 30+ at First Arrest
664	13.1%	Prior Violence Score (Raw) = 0-34	48	0.0%	Age 30+ at First Conviction
284	12.7%	Age 30+ at Current Release			
168	11.9%	0-1 Years Served (Current Sentence)			
281	11.7%	Age 28+ at Current Commitment			
94	11.7%	Street Time Score (C) = 1			
552	11.6%	Prior Violence Score (B) = 0			
212	11.3%	Substance Abuse Score (F) = 0			
235	10.6%	Age 19-24 at First Conviction			
198	9.6%	X-Score = 3			
252	9.5%	No Prior Felony Conviction			
184	9.2%	Age 19-29 at First Arrest			
44	9.1%	Committed to Women's Reformatory			
408	8.6%	Criminal History Score (D) = 0			
47	8.5%	Female			
26	7.7%	Released from Women's Reformatory			
126	7.1%	Good Violence Risk (1984)			
226	7.1%	Street Time Score (C) = 0			
210	6.7%	Age 24-39 at First Commitment			
258	6.6%	Y-Score = 1			
140	6.4%	X-Score = 1-2			
131	6.1%	Current Offense Score (A) = 0			
411	6.1%	Not a Serious Offender			
52	5.8%	Pre-Trial Release on Recognizance			

RECIDIVISM = NEW PRISON SENTENCE*
AN ANALYSIS OF PREDICTORS

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>GENERAL RISK ASSESSMENT (1984)</u>		
Very Poor	140	68.6%
Poor	247	47.8%
Good	153	18.3%
Excellent	274	5.5%
MCR =	.608	CPE = .573

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>CURRENT OFFENSE SCORE (A)</u>		
2	507	40.2%
1	189	21.7%
0	118	10.2%
MCR =	.268	CPE = .135

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>PRIOR VIOLENCE SCORE (B)</u>		
4	63	58.7%
2	199	43.7%
0	552	24.1%
MCR =	.247	CPE = .131

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>STREET TIME SCORE (C)</u>		
3	185	56.2%
2	309	34.0%
1	94	18.1%
0	226	13.7%
MCR =	.397	CPE = .251

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>CRIMINAL HISTORY SCORE (D)</u>		
6	95	67.4%
3	164	50.6%
1	147	32.0%
0	408	15.4%
MCR =	.458	CPE = .354

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>CURRENT ESCAPE SCORE (E)</u>		
3	54	50.0%
1	26	57.7%
0	734	29.3%
MCR =	.095	CPE = .048

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>SUBSTANCE ABUSE SCORE (F)</u>		
5	48	56.2%
4	78	55.1%
3	43	34.9%
2	55	38.2%
1	378	28.0%
0	212	21.2%
MCR =	.255	CPE = .125

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>X-SCORE</u>		
6+	160	60.0%
5	128	51.6%
4	195	28.7%
2-3	216	16.7%
0-1	115	2.6%
MCR =	.493	CPE = .403

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>Y-SCORE</u>		
8+	78	62.8%
7	55	63.6%
6	39	53.8%
5	42	42.9%
3-4	165	46.7%
2	85	25.9%
1	233	11.2%
0	117	7.7%
MCR =	.538	CPE = .444

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>CURRENT SENTENCE (Years)</u>		
15+	102	32.4%
10-14	305	40.0%
5-9	258	22.9%
0-4	149	28.9%
MCR =	.151	CPE = .044

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>TYPE OF RELEASE</u>		
Discharge	237	34.6%
Parole	577	30.3%
MCR =	.041	CPE = .003

	<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>
<u>TIME SERVED (Years)</u>		
4+	95	37.9%
3-4	78	43.6%
2-3	173	34.7%
1-2	300	30.3%
0-1	168	21.4%
MCR =	.161	CPE = .041

*New prison sentence for
"safety" crime.

RECIDIVISM = NEW PRISON SENTENCE
AN ANALYSIS OF PREDICTORS
(continued)

	TOTAL CASES	NEW PRISON SENTENCE
<u>CURRENT WORK RELEASES</u>		
2+	31	54.8%
1	334	29.3%
0	449	31.6%
MCR = .066 CPE = .021		

	TOTAL CASES	NEW PRISON SENTENCE
<u>MAJOR REPORTS (Misconduct)</u>		
5+	99	53.5%
2-4	177	39.5%
1	122	27.0%
0	416	24.3%
MCR = .231 CPE = .101		

	TOTAL CASES	NEW PRISON SENTENCE
<u>TIME LOST (Days)</u>		
21+	136	53.7%
14-20	27	37.0%
1-13	112	27.7%
0	539	26.5%
MCR = .189 CPE = .101		

	TOTAL CASES	NEW PRISON SENTENCE
<u>CURRENT PRISON ESCAPES</u>		
1+	79	44.3%
0	735	30.2%
MCR = .057 CPE = .017		

	TOTAL CASES	NEW PRISON SENTENCE
<u>CURRENT WORK RELEASE REVOCATIONS</u>		
1+	71	46.5%
0	743	30.2%
MCR = .060 CPE = .025		

	TOTAL CASES	NEW PRISON SENTENCE
<u>COMMITTING INSTITUTION</u>		
Men's Reform. 472		35.8%
State Peniten. 298		25.5%
Women's Reform. 44		27.3%
MCR = .104 CPE = .025		

	TOTAL CASES	NEW PRISON SENTENCE
<u>RELEASING INSTITUTION</u>		
Men's Reform. 131		41.2%
State Peniten. 152		37.5%
Women's Reform. 26		34.6%
Riverview Rel. 204		28.9%
Sec. Med. Fac. 7		28.6%
Halfway House 227		28.6%
Medium Sec. U. 40		20.0%
John Bennett 27		11.1%
MCR = .162 CPE = .045		

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRE-COMMITMENT MENTAL HEALTH EVAL.</u>		
Yes	123	29.3%
No	691	32.0%
MCR = .016 CPE = .002		

	TOTAL CASES	NEW PRISON SENTENCE
<u>POST-COMMITMENT MENTAL HEALTH EVALUATION (Oakdale)</u>		
Yes	185	31.4%
No	629	31.6%
MCR = .000 CPE = .000		

	TOTAL CASES	NEW PRISON SENTENCE
<u>FINAL OAKDALE EVALUATION</u>		
Negative	61	31.1%
Neutral/Posit. 124		31.5%

Improvement .. 105		36.2%
No Improvement 39		25.6%

	TOTAL CASES	NEW PRISON SENTENCE
<u>CRIME AGAINST PERSONS</u>		
Yes	278	29.5%
No	536	32.6%
MCR = .033 CPE = .000		

	TOTAL CASES	NEW PRISON SENTENCE
<u>CURRENT WEAPON USE</u>		
Knife	34	41.2%
Firearm	129	32.6%
Other Weapon 68		19.1%
None	583	32.2%
MCR = .039 CPE = .016		

	TOTAL CASES	NEW PRISON SENTENCE
<u>PLEA BARGAINING</u>		
Yes	307	33.9%
No	507	30.2%
MCR = .041 CPE = .005		

	TOTAL CASES	NEW PRISON SENTENCE
<u>SEX</u>		
Male	767	31.9%
Female	47	25.5%
MCR = .016 CPE = .000		

RECIDIVISM = NEW PRISON SENTENCE
AN ANALYSIS OF PREDICTORS
(continued)

	TOTAL CASES	NEW PRISON SENTENCE
<u>RACE</u>		
American Ind.	12	66.7%
Black	127	51.2%
Hispanic	16	25.0%
White	659	27.3%
MCR = .160	CPE = .077	

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRIOR ESCAPES</u>		
1+	136	52.2%
0	678	27.4%
MCR = .161	CPE = .084	

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRIOR PROBATION REVOCATIONS</u>		
1+	149	42.3%
0	665	29.2%
MCR = .091	CPE = .028	

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRIOR PAROLE REVOCATIONS</u>		
1+	157	51.0%
0	657	26.9%
MCR = .173	CPE = .089	

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRIOR ADULT COMMITMENTS</u>		
4+	46	28.3%
3	30	40.0%
2	44	43.2%
1	114	37.7%
0	580	29.3%
MCR = .075	CPE = .013	

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRIOR ADULT FELONY CONVICTIONS</u>		
4+	83	33.7%
3	58	41.4%
2	91	37.4%
1	209	34.9%
0	373	26.3%
MCR = .113	CPE = .022	

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRIOR ADULT CONVICTIONS</u>		
6+	176	36.9%
4-5	111	26.1%
2-3	214	36.5%
1	139	31.6%
0	174	23.6%
MCR = .104	CPE = .019	

	TOTAL CASES	NEW PRISON SENTENCE
<u>JUVENILE COMMITMENTS</u>		
4+	20	75.0%
3	39	56.4%
1-2	154	50.0%
0	601	23.6%
MCR = .277	CPE = .177	

	TOTAL CASES	NEW PRISON SENTENCE
<u>JUVENILE FELONY CONVICTIONS</u>		
4+	35	74.3%
3	26	50.0%
2	70	52.9%
1	140	39.3%
0	543	23.2%
MCR = .288	CPE = .186	

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRIOR COMMITMENTS</u>		
4+	93	46.2%
3	56	48.2%
2	71	49.3%
1	135	37.0%
0	459	22.2%
MCR = .267	CPE = .124	

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRIOR FELONY CONVICTIONS</u>		
6+	64	51.6%
5	29	41.4%
4	58	37.9%
3	95	44.2%
2	120	46.7%
1	196	27.0%
0	252	15.5%
MCR = .331	CPE = .172	

	TOTAL CASES	NEW PRISON SENTENCE
<u>PRIOR CONVICTIONS</u>		
8+	161	41.0%
6-7	86	43.0%
4-5	160	33.8%
2-3	201	36.8%
1	107	17.8%
0	99	7.1%
MCR = .269	CPE = .135	

RECIDIVISM = NEW PRISON SENTENCE
 AN ANALYSIS OF PREDICTORS
 (continued)

	<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>
<u>AGE AT FIRST COMMITMENT</u>		
0-17	220	53.6%
18-21	260	34.6%
22-29	228	17.1%
30+	106	9.4%
MCR = .401 CPE = .256		

	<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>
<u>AGE AT FIRST CONVICTION</u>		
0-14	150	52.0%
15-16	171	41.5%
17-18	165	35.8%
19-20	124	20.2%
21-24	111	17.1%
25-29	44	6.8%
30+	48	2.1%
MCR = .401 CPE = .229		

	<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>
<u>AGE AT FIRST ARREST</u>		
0-14	253	48.6%
15-16	191	36.1%
17-18	143	28.7%
19-20	78	14.1%
21-29	106	12.3%
30+	41	0.0%
MCR = .387 CPE = .228		

	<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>
<u>MONTHS EMPLOYED LAST TWO YEARS</u>		
0-6	260	48.1%
7-12	213	30.9%
13-23	234	23.5%
24	107	10.3%
MCR = .326 CPE = .165		

	<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>
<u>PRE-TRIAL CONDITION</u>		
Unknown	90	46.9%
Jail Detention	395	37.7%
Release with		
Services ..	124	21.0%
Bail Bond	153	20.3%
Release on		
Recognizance ..	52	17.3%
MCR = .218 CPE = .076		

	<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>
<u>CURRENT COMMITMENT TYPE</u>		
Probation Vio-		
lator with		
New Felony ..	100	43.0%
Probation Vio-		
lator with-		
out New ..	82	35.4%
Felony		
Direct Court		
Commitment ..	632	29.3%
MCR = .087 CPE = .023		

	<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>
<u>AGE AT CURRENT COMMITMENT</u>		
0-19	137	53.3%
20-23	249	34.5%
24-27	147	30.6%
28+	281	18.9%
MCR = .290 CPE = .138		

	<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>
<u>AGE AT CURRENT RELEASE</u>		
0-19	28	60.7%
20-24	296	38.2%
25-29	206	34.5%
30+	284	19.7%
MCR = .231 CPE = .098		

RECIDIVISM RATES
RANK ORDERING BY OFFENDER CATEGORY

TOTAL CASES	NEW PRISON SENTENCE	OFFENDER CATEGORY	TOTAL CASES	NEW PRISON SENTENCE	OFFENDER CATEGORY
20	75.0%	4+ Juvenile Commitments	199	43.7%	Prior Violence Score (B) = 2
35	74.3%	4+ Juvenile Felony Convictions	100	43.0%	Probation Violator with New Felony
140	68.6%	Very Poor General Risk (1984)	149	42.3%	1+ Prior Probation Revocations
95	67.4%	Criminal History Score (D) = 6	247	41.7%	6+ Prior Convictions
133	63.2%	Y-Score = 7+	171	41.5%	Age 15-16 at First Conviction
28	60.7%	Age 0-19 at Current Release	34	41.2%	Current Use of Knife
160	60.0%	X-Score = 6+	173	40.5%	3+ Years Served (Current Sentence)
63	58.7%	Prior Violence Score (B) = 4	507	40.2%	Current Offense Score (A) = 2
185	56.2%	Street Time Score (C) = 3	177	39.5%	2-4 Major Reports (Misconduct)
126	55.5%	Substance Abuse Score (F) = 4+	140	39.3%	1 Juvenile Felony Conviction
31	54.8%	2+ Current Work Releases	290	39.0%	Released from Maximum Security
39	53.8%	Y-Score = 6	296	38.2%	Age 20-24 at Current Release
136	53.7%	3+ Weeks Time Lost (Misconduct)	407	38.1%	Current Sentence 10+ Years
220	53.6%	Age 0-17 at First Commitment	395	37.7%	Pre-Trial Jail Detention
99	53.5%	5+ Major Reports (Misconduct)	234	37.2%	1+ Prior Adult Commitments
137	53.3%	Age 0-19 at Current Commitment	27	37.0%	2-3 Weeks Time Lost (Misconduct)
80	52.5%	Current Escape Score (E) = 1+	135	37.0%	1 Prior Commitment
136	52.2%	1+ Prior Escapes	176	36.9%	6+ Prior Adult Convictions
96	52.1%	2-3 Juvenile Felony Convictions	98	36.8%	Substance Abuse Score (F) = 2-3
150	52.0%	Age 0-14 at First Conviction	191	36.1%	Age 15-16 at First Arrest
128	51.6%	X-Score = 5	441	36.0%	1+ Prior Adult Felony Convictions
64	51.6%	6+ Prior Felony Convictions	472	35.8%	Committed to Men's Reformatory
193	51.3%	1-3 Juvenile Commitments	165	35.8%	Age 17-18 at First Conviction
157	51.0%	1+ Prior Parole Revocations	82	35.4%	Probation Violator without New Felony
164	50.6%	Criminal History Score (D) = 3	361	35.4%	2-5 Prior Convictions
155	49.7%	Race Non-White	173	34.7%	2-3 Years Served (Current Sentence)
253	48.6%	Age 0-14 at First Arrest	26	34.6%	Released from Women's Reformatory
260	48.1%	0-6 Months Employed Last 2 Years	237	34.6%	Released by Expiration of Sentence
247	47.8%	Poor General Risk (1984)	260	34.6%	Age 18-21 at First Commitment
220	47.7%	2+ Prior Commitments	249	34.5%	Age 20-23 at Current Commitment
71	46.5%	1+ Current Work Release Revocations	206	34.5%	Age 25-29 at Current Release
207	45.9%	Y-Score = 3-5	309	34.0%	Street Time Score (C) = 2
79	44.3%	1+ Current Prison Escapes			
302	43.7%	2-5 Prior Felony Convictions			

RECIDIVISM RATES
RANK ORDERING BY OFFENDER CATEGORY
(continued)

<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>	<u>OFFENDER</u> <u>CATEGORY</u>	<u>TOTAL</u> <u>CASES</u>	<u>NEW PRISON</u> <u>SENTENCE</u>	<u>OFFENDER</u> <u>CATEGORY</u>
307	33.9%	Plea Bargaining	378	28.0%	Substance Abuse Score (F) = 1
536	32.6%	Current Offense <u>Not</u> Against Person(s)	678	27.4%	No Prior Escape
129	32.6%	Current Use of Firearm	44	27.3%	Committed to Women's Reformatory
464	32.5%	1-5 Prior Adult Convictions	659	27.3%	Race White
583	32.2%	No Current Weapon Use	196	27.0%	1 Prior Felony Conviction
691	32.0%	No Pre-Commitment Mental Health Eval.	657	26.9%	No Prior Parole Revocation
147	32.0%	Criminal History Score (D) = 1	651	26.7%	0-2 Weeks Time Lost (Misconduct)
767	31.9%	Male	373	26.3%	No Prior Adult Felony Conviction
449	31.6%	No Current Work Release	85	25.9%	Y-Score = 2
814	31.6%	ALL OFFENDERS	47	25.5%	Female
629	31.6%	No Oakdale Evaluation	298	25.5%	Committed to State Penitentiary
124	31.5%	Neutral/Positive Oakdale Evaluation	407	25.1%	Current Sentence 0-9 Years
185	31.4%	1+ Oakdale Evaluations	538	24.9%	0-1 Major Reports (Misconduct)
61	31.1%	Negative Oakdale Evaluation	552	24.1%	Prior Violence Score (B) = 0
213	30.9%	7-12 Months Employed Last 2 Years	601	23.6%	No Juvenile Commitment
147	30.6%	Age 24-27 at Current Commitment	174	23.6%	No Prior Adult Conviction
577	30.3%	Released by Parole	234	23.5%	13-23 Months Employed Last 2 Years
300	30.3%	1-2 Years Served (Current Sentence)	543	23.2%	No Juvenile Felony Conviction
507	30.2%	No Plea Bargaining	459	22.2%	No Prior Commitment
735	30.2%	No Current Escape	189	21.7%	Current Offense Score (A) = 1
743	30.2%	No Current Work Release Revocation	168	21.4%	0-1 Years Served (Current Sentence)
278	29.5%	Current Offense Against Person(s)	212	21.2%	Substance Abuse Score (F) = 0
632	29.3%	Direct Court Commitment	124	21.0%	Pre-Trial Release with Services
580	29.3%	No Prior Adult Commitments	153	20.3%	Pre-Trial Release on Bail Bond
123	29.3%	Pre-Commitment Mental Health Eval.	124	20.2%	Age 19-120 at First Conviction
334	29.3%	1 Current Work Release	40	20.0%	Released from Medium Sec. Unit
734	29.3%	Current Escape Score (E) = 0	284	19.7%	Age 30+ at Current Release
665	29.2%	No Prior Probation Revocation	68	19.1%	Current Weapon Use (axe, feet, etc.)
204	28.9%	Released from Riverview Rel. Ctr.	281	18.9%	Age 28+ at Current Commitment
143	28.7%	Age 17-18 at First Arrest	153	18.3%	Good General Risk (1984)
195	28.7%	X-Score = 4	94	18.1%	Street Time Score (C) = 1
227	28.6%	Released from Halfway House	107	17.8%	1 Prior Conviction

RECIDIVISM RATES
 RANK ORDERING BY OFFENDER CATEGORY
 (continued)

<u>TOTAL CASES</u>	<u>NEW PRISON SENTENCE</u>	<u>OFFENDER CATEGORY</u>
52	17.3%	Pre-Trial Release on Recognizance
111	17.1%	Age 21-24 at First Conviction
228	17.1%	Age 22-29 at First Commitment
216	16.7%	X-Score = 2-3
252	15.5%	No Prior Felony Conviction
408	15.4%	Criminal History Score (D) = 0
226	13.7%	Street Time Score (C) = 0
184	13.1%	Age 19-29 at First Arrest
233	11.2%	Y-Score = 1
27	11.1%	Released from John Bennett Corr. Ctr.
107	10.3%	24 Months Employed Last 2 Years
118	10.2%	Current Offense Score (A) = 0
106	9.4%	Age 30+ at First Commitment
117	7.7%	Y-Score = 0
99	7.1%	No Prior Conviction
44	6.8%	Age 25-29 at First Conviction
274	5.5%	Excellent General Risk (1984)
115	2.6%	X-Score = 0-1
48	2.1%	Age 30+ at First Conviction
41	0.0%	Age 30+ at First Arrest

NEW VIOLENT CRIMES
BY RELEASED OFFENDERS IN IOWA

New charges for violent crimes charged against 332 offenders in the combined construction and validation samples of the Iowa recidivism study.

CRIME	TOTAL CHARGES	VIOLENCE RISK ASSESSMENT				
		VERY POOR	POOR	FAIR	GOOD	EXCELLENT
Murder	33	15	17	1	0	0
Attempted Murder	34	7	24	1	2	0
Rape	44	14	22	4	2	2
Attempted Rape	4	1	3	0	0	0
Aggravated Kidnapping	18	5	12	0	1	0
Kidnapping	9	4	3	1	0	1
Aggravated Robbery	171	63	73	27	4	4
Robbery	62	23	23	12	2	2
Aggravated Burglary	27	8	16	1	2	0
Terrorism	13	2	9	0	1	1
Arson	13	2	8	1	0	2
Extortion	9	0	6	2	0	1
Felony Assault	109	24	59	15	7	4
Sodomy	2	0	2	0	0	0
TOTAL	548	168 (30.7%)	277 (50.5%)	65 (11.9%)	21 (3.8%)	17 (3.1%)

OFFENDER RISK ASSESSMENT:
THE IOWA MODEL

1984 VERSION

CODING SPECIFICATIONS

Statistical Analysis Center
Office for Planning and Programming
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April, 1984

DEFINITIONS OF CODING CATEGORIES

The Iowa model of Offender Risk Assessment provides two assessments of risk, one a measure of general risk to society, and the second a measure of the specific risk of new violence. The scoring system uses the same risk factors for assessing the two types of risk, but applies distinct point schedules for these two purposes. On the coding form, the symbol G refers to the General Risk Scoring and the symbol V to the Violence Risk Scoring.

The scoring system is set up to provide two intermediate assessments of risk (both for general and for violence risk), the first referred to as the X-SCORE and the second as the Y-SCORE. The X-SCORE is the sum of the scores from three risk factors: CURRENT OFFENSE, PRIOR VIOLENCE, and STREET TIME, and the Y-SCORE the sum of the scores for three additional factors: CRIMINAL HISTORY, CURRENT ESCAPE, and SUBSTANCE ABUSE. The X-SCORE and Y-SCORE are then matrixed to obtain the final General and Violence Risk Assessments. The final Violence Risk Assessment is based also on what is referred to as the Serious Offender Classification, which identifies offenders who are prone to a higher Violence Risk Assessment.

The following is an item-by-item description of the elements that must be considered to obtain an offender's risk assessment classification.

Current Offense Score

The Current Offense Score (G/V) is the highest score applicable to current arresting (charged) or convicting offenses. Score an offense even if the charge is dropped, dismissed, reduced, or otherwise modified, e.g., score a robbery charge even if the charge is reduced to larceny.

An offense is counted as current if the offender: 1) is currently awaiting adjudication or sentencing for the charge, 2) is currently serving a sentence (prison, jail, probation, parole, etc.) for conviction of the offense, 3) was charged for the offense on or after the date of arrest for any offense satisfying 1) or 2), or 4) was awaiting adjudication or sentencing for the charge at the time of arrest for any current offense. For example, if John Doe is currently convicted of larceny, and in the meantime has been arrested for robbery, then the robbery charge is scored as a current offense. Also, if Sam Smith was awaiting adjudication of a robbery charge when arrested for a current burglary, then the robbery charge is again scored as current.

Prior Violence Score

The Prior Violence Score (G/V) attaches a weight to the offender's history of prior arrests for violent felonies (those listed below). An arrest is scored under this item if the date of arrest was prior to the date of the most recent arrest counted as current according to above definitions. Thus, if the offender was originally convicted of robbery, was placed on probation, was subsequently convicted of larceny, and is now serving time for both offenses (probation revoked), then the robbery charge is scored as prior under this item. Also score any arrest for a violent felony which satisfies the definition of current, but which does not constitute the most recent arrest resulting in a conviction for which the offender is currently sentenced. Thus, if John Doe was originally convicted of larceny, and then was arrested for, but not convicted of, robbery, then the robbery arrest is scored as prior under this item.

For each arrest scored under this item, up to eight separate counts of violent felonies may be scored. Each such count is scored according to the following severity of offense scale, and according to the age of the arrest.

80 Murder	60 Larceny from a Person
70 Attempted Murder	60 Felony Assault
70 Rape	60 Terrorism
70 Kidnapping for Ransom	60 Arson
70 Aggravated Robbery	50 Involuntary Manslaughter
70 Aggravated Burglary	50 Attempted Robbery
70 Arson of a Dwelling	50 Extortion
60 Voluntary Manslaughter	50 Going Armed with Intent
60 Attempted Rape	40 Aggravated Assault
60 Sodomy	40 Attempted Arson
60 Kidnapping	40 Conspiracy to Commit a Violent Felony
60 Robbery	

The age of a prior arrest for a violent felony is scored as the number of months from the arrest in question to the current reference date used for scoring this system. The reference date may be the current arrest date, conviction date, or commitment date, depending on just which stage of the justice system the model is applied to.

For each prior violent felony (count), we then have a severity score S and an age score A. These two scores are combined as follows to arrive at a single age-adjusted severity score S':

$$S' = \frac{24 \times S}{12 + A}$$

S' takes on a maximum value of 2S when A = 0, and decreases to 0 as A grows indefinitely. Note also that S' = S when A = 12, i.e., when the arrest is one year old.

When each prior violent felony is scored as above, the resulting values of S' are added to arrive at a single measure P of the seriousness and recency of the offender's history of violence.

$$P = \text{Sum}(S')$$

Prior Violence Score (raw)

The offender's Prior Violence Score P is then collapsed as follows to obtain the risk assessment scoring for this item:

Prior Violence Scoring		Range of P
<u>G</u>	<u>V</u>	
4	5	91+
2	3	11-90
0	0	0-10

Street Time Score

The Street Time Score (G/V) attaches a weight to the amount of street time that the offender has experienced since turning age 14. First the number of years from age 14 to the current reference date is calculated (to one decimal). Then the total number of years that the offender has been incarcerated (prison, jail, or juvenile) on prior felonies (see specifications for prior felony scoring under the next item) is determined. Finally, the latter is subtracted from the former to obtain the raw street time score T.

The offender's Street Time Score T is then collapsed as follows to obtain the risk assessment scoring for this item:

Street Time Scoring		
G	V	Range of T
3	3	0-6 Years
2	2	6-11 Years
1	1	11-14 Years
0	0	14+ Years

Note In the above scoring, the high end of each range is scored into the subsequent category. Thus 6.0 years of street time is scored as 2/2, while 5.9 is scored as 3/3.

Criminal History Score

In a fashion similar to the Prior Violence Scoring, this item attaches a weight to the offender's history of prior felony convictions and incarcerations. To calculate the raw score for this item, it is necessary to collect information on all prior adult felony convictions, all juvenile felony adjudications, and all returns of release violators (juvenile or adult) upon rearrest for felonies. As indicated, we refer to the target group of such incidents as "prior felony convictions and incarcerations." A felony conviction or incarceration is counted as "prior" for coding under this item if it occurred prior to the most recent felony conviction for which the offender is sentenced. Thus, if the offender is sentenced on two felonies, with convictions occurring on separate dates, then the first of the two is counted as prior for scoring under this item. The one exception to the rule on prior felonies arises in the situation in which the offender receives a new conviction for escape or jailbreak. In this case, the original convicting felony is not counted as prior.

For each felony conviction or incarceration scored under this item, up to eight counts may be scored. Each such count is scored according to the following severity of offense scale, according to the sentence imposed (committed or not), and according to the amount of street time following conviction or incarceration (to the current reference date).

80 Murder	50 Going Armed with Intent
70 Attempted Murder	50 Escape
70 Rape	50 Jailbreak
70 Kidnapping for Ransom	40 Aggravated Assault
70 Aggravated Robbery	40 Attempted Arson
70 Aggravated Burglary	40 Conspiracy to Commit a Violent Felony
70 Arson of a Dwelling	30 Burglary
70 Selling Narcotics to Minors	30 Motor Vehicle Theft
60 Voluntary Manslaughter	30 Forgery
60 Attempted Rape	30 Selling Narcotics (opiates or cocaine)
60 Sodomy	20 Larceny
60 Kidnapping	20 Stolen Property
60 Robbery	20 Vandalism
60 Larceny from a Person	20 Bad Checks/Fraud
60 Felony Assault	20 Weapons Offense
60 Terrorism	20 Conspiracy to Commit a Non-Violent Felony (above)
60 Arson	10 All Other Offenses, e.g., lascivious acts, selling drugs, drunken driving
50 Involuntary Manslaughter	
50 Attempted Robbery	
50 Extortion	

For each individual count, in addition to the severity of offense score S, a disposition multiplier D is assigned, as well as a street time score M. The disposition multiplier takes on the value 1.25 if the disposition of the offense involved commitment to a juvenile or adult institution, and 0.75 otherwise. The street time score M for the count is determined as the number of months of street time from the conviction or incarceration (the latter takes precedence) to the current reference date, where street time is calculated as time not incarcerated as the result of a felony conviction or incarceration. Alternately, this quantity may be calculated as the age of the conviction or incarceration in months, minus the total number of months incarcerated for the indicated offense and all subsequent prior felony convictions and incarcerations (no current incarceration time included). Note that the calculations here overlap those for the previous item (Street Time Score).

If S is the severity of offense score, D the disposition multiplier, and M the number of months of street time following conviction or incarceration, then the adjusted severity score S' for an individual count is calculated as follows:

$$S' = \frac{24 \times S \times D}{12 + M}$$

As with the adjusted severity score for prior violent felonies, S' takes on a maximum value of 2SD when M = 0, and decreases to 0 as M grows indefinitely. Note again that S' = SD when M = 12.

When up to eight counts each for all prior felony convictions and incarcerations are scored as above, the resulting values of S' are added to obtain a single measure C of the volume, seriousness, and recency of the offender's prior felony record.

$$C = \text{Sum}(S')$$

Since this measure of the offender's prior record is associated with the amount of street time available for acquiring such a record, a final adjustment is made to the value C to obtain a measure C' which is independent of street time. To this effect, C is divided by one-tenth the raw Street Time Score T calculated under the previous item.

$$C' = \frac{C}{T/10}$$

The offender's Criminal History Score C' is then collapsed as follows to obtain the risk assessment scoring for this item:

Criminal History Scoring		
G	V	Range of C'
6	6	140+
3	5	41-139
1	1	16-40
0	0	0-15

The above scores are assigned according to the rounded value of C'. Thus, 14.6 is rounded to 15 and the values 1/1 assigned for risk assessment scoring. Note The same rounding convention applies to Prior Violence Scoring.

Current Escape Score

The Current Escape Score (G/V) assigns a score to the fact of the presence of a current arrest or conviction for escape (from prison), jailbreak, or flight (absconding prior to or following conviction or sentencing). A higher score is assigned if the offender was convicted as the result of the escape, etc., while a lower score is assigned if the offender was arrested or charged with escape, etc., but was not convicted of same. An escape should not be counted under this item if the incident was handled administratively without the recording of an arrest on the offender's record.

Substance Abuse Score

The Substance Abuse Score (G/V) is based on information concerning the offender's history of use (abuse) of drugs and alcohol. All types of drugs are considered in the scoring with the exception of cocaine and marijuana (not found to be predictive). All possible sources of information on substance abuse should be consulted in scoring this item, including historical records of treatment, known abuse, etc., self-reporting by the offender, and other documented indications of abuse.

The scoring for this item considers several types of substance abuse, including a history of opiate addiction, a history of problem use of drugs (amphetamines, barbiturates, tranquilizers, etc.), a history of an alcohol problem, a history of heavy use of hallucinogenic drugs (LSD, mescaline, etc.), any history of PCP use, a history of sniffing of glue or any other volatile substance (e.g., lighter fluid, gasoline, etc.), and a history of injecting non-opiate substances (e.g., cocaine, amphetamines, barbiturates, quinine, water, aftershave, etc.). In addition, a simple history of use or experimentation with opiates or hallucinogens is considered (although such receives less weight than other coded drug use). Opiates include heroin, morphine, opium, and other opium derivatives.

Use or abuse need not be current to score under this item. Likewise statements to the effect that the offender has "kicked the habit" with regard to a specific type of abuse should not be considered in scoring this item. The emphasis is again on any history of specific types of substance abuse.

Following the collection of information as described above on the offender's history of substance abuse, the offender's Substance Abuse Score (G/V) is assigned based on the highest applicable category of abuse (highest in order listed on form).

Serious Offender Classification

The Serious Offender Classification is a Yes/No indicator based on the presence or combined absence of any one of five easily identifiable factors of the types previously collected. If any such factor is present, then the offender is classified as a Serious Offender, which makes the assignment of a Poor or Very Poor Violence Risk Rating more likely. Offenders falling in the non-serious category show low rates of violence without regard to appearance of other high risk factors in the record.

The first "special" factor considered under the Serious Offender Classification is "Current Conviction for Violent Felony." This factor refers to the fact that the offender is currently convicted of a crime which is classified as a violent felony in the Prior Violence section of this document. If this instrument is being applied prior to the final adjudication of current charges, then this item is scored according to the nature of the charges still effective as of the date of coding.

The second special factor "Current Conviction for Escape/Jailbreak/Flight" is scored in an identical fashion to the Current Escape Score.

The third special factor "Prior Conviction for Felony Against Persons in Last Five Years of Street Time" is based on the type of information on prior felonies considered in the section on the Criminal History Score. If the offender has a prior conviction for a felony against persons, where the total amount of street time following conviction and up to the current reference date is less than or equal to five years, then this item is scored as yes. Felonies against persons include violent felonies, sex offenses such as lascivious acts and incest, and other crimes in which a person was either threatened or harmed in some way.

The fourth special factor "Prior Violence Score 35+" is based strictly on the size of the raw Prior Violence Score P. If the rounded value of that score is at least 35, then this item is scored as yes.

The fifth and last special factor "Substance Abuse Score 7" is based on the Substance Abuse Scoring section of the risk assessment. If the offender scores 7 under the violence column of the scoring form under the Substance Abuse section, then this item is scored as yes. This occurs if the offender has a history of PCP use, a history of sniffing of a volatile substance, or a history of injecting a non-opiate substance.

The X-Score

The X-Score is an intermediate assessment of risk based on the combination of the first three risk scores, the Current Offense Score (A), the Prior Violence Score (B), and the Street Time Score (C). The X-Score (G/V) is simply the sum $A + B + C$ of these three component scores.

The Y-Score

In a similar fashion to the X-Score, the Y-Score is an intermediate assessment of risk based on the combination of the last three risk scores, the Criminal History Score (D), the Current Escape Score (E), and the Substance Abuse Score (F). The Y-Score (G/V) is, again, simply the sum $D + E + F$ of these three component scores.

General Risk Assessment

The General Risk Assessment is the next to the last step in the risk assessment process, and entails the combination or matrixing of the X and Y-Scores to obtain a single measure of the overall threat to society posed by release of the offender in question. It is obtained by simply consulting the matrix indicated on the form to determine the General Risk Rating (E, G, P, or VP) corresponding to the calculated X and Y-Scores.

Violence Risk Assessment

The Violence Risk Assessment is the final step in the overall procedure, and entails the same process as the General Risk Assessment, only with a separate matrix of X and Y-Scores, and with the additional convention that if the offender is classified as a Serious Offender, then the Risk Rating to the right of the slash (where applicable) is coded. Risk Ratings to the left of the indicated slashes apply to Non-Serious Offenders.

PAROLE GUIDELINES SYSTEM
STATE OF IOWA

Developed and Maintained by:
Statistical Analysis Center
Office for Planning and Programming
State of Iowa

PAROLE GUIDELINES SYSTEM
STATE OF IOWA

OFFENDER NAME _____ NUMBER _____

CURRENT OFFENSES SENTENCE CURRENT OFFENSES SENTENCE

OFFENSE SEVERITY

OFFENDER HISTORY

General Risk Assessment	Violence Risk Assessment
4 Very Poor Risk	8 Very Poor Risk
3 Poor Risk	6 Poor Risk
1 Good Risk	3 Fair Risk
0 Excellent Risk	1 Good Risk
	0 Excellent Risk

TOTAL OFFENSE SEVERITY SCORE

TOTAL OFFENDER HISTORY SCORE

CURRENT MAXIMUM SENTENCE _____ YEARS

SENTENCE EFFECTIVE DATE ____ / ____ / ____

GUIDELINE PERCENTAGE OF SENTENCE TO SERVE _____

BASIC GUIDELINE TERM OF INCARCERATION _____ YEARS _____ MONTHS

MONTH	CURRENT GUIDELINE TERM	ACTUAL TIME SERVED	INDICATION/EVALUATION	DECISION
_____	_____ YRS. _____ MOS.	_____ YRS. _____ MOS.	_____	_____
_____	_____ YRS. _____ MOS.	_____ YRS. _____ MOS.	_____	_____
_____	_____ YRS. _____ MOS.	_____ YRS. _____ MOS.	_____	_____
_____	_____ YRS. _____ MOS.	_____ YRS. _____ MOS.	_____	_____
_____	_____ YRS. _____ MOS.	_____ YRS. _____ MOS.	_____	_____

COMMENTS

PAROLE GUIDELINES SYSTEM
STATE OF IOWA
GUIDELINE MATRIX

OFFENSE SEVERITY SCORE	OFFENDER HISTORY SCORE									
	0	1	2	4	6	7	9	10	11	12
0	10	12	14	18	22	24	28	30	32	34
1	12	14	16	20	24	26	30	32	34	36
2	14	16	18	22	26	28	32	34	36	38
3	16	18	20	24	28	30	34	36	38	40
4	18	20	22	26	30	32	36	38	40	42
5	20	22	24	28	32	34	38	40	42	44
6	22	24	26	30	34	36	40	42	44	46
7	24	26	28	32	36	38	42	44	46	48
8	26	28	30	34	38	40	44	46	48	50
9	28	30	32	36	40	42	46	48	50	50
10	30	32	34	38	42	44	48	50	50	50
11	32	34	36	40	44	46	50	50	50	50
12	34	36	38	42	46	48	50	50	50	50
13	36	38	40	44	48	50	50	50	50	50
14	38	40	42	46	50	50	50	50	50	50
15+	40	42	44	48	50	50	50	50	50	50

Matrix Entry = Percentage of the guideline sentence recommended to serve prior to parole

PAROLE GUIDELINES SYSTEM
STATE OF IOWA
GUIDELINE SENTENCES

Actual Maximum Sentence	Guideline Sentence	Actual Maximum Sentence	Guideline Sentence	Actual Maximum Sentence	Guideline Sentence
1	2	34	22	67	31
2	3	35	22	68	32
3	4	36	22	69	32
4	5	37	23	70	32
5	6	38	23	71	32
6	7	39	23	72	33
7	8	40	24	73	33
8	9	41	24	74	33
9	10	42	24	75	33
10	10	43	25	76	34
11	11	44	25	77	34
12	11	45	25	78	34
13	12	46	26	79	34
14	12	47	26	80	35
15	13	48	26	81	35
16	13	49	27	82	35
17	14	50	27	83	35
18	14	51	27	84	36
19	15	52	28	85	36
20	15	53	28	86	36
21	16	54	28	87	36
22	16	55	28	88	37
23	17	56	29	89	37
24	17	57	29	90	37
25	18	58	29	91	37
26	18	59	29	92	38
27	19	60	30	93	38
28	19	61	30	94	38
29	20	62	30	95	38
30	20	63	30	96	39
31	21	64	31	97	39
32	21	65	31	98	39
33	21	66	31	99	39

CONTINUED

1 OF 2

PAROLE ACTIVITY IN IOWA
FY1977-84

FISCAL YEAR	BEGINNING PRISON POPULATION (A)	PAROLEES RELEASED (B)	PAROLEES RETURNED (C)	PAROLE RELEASE RATE (B/A)	PAROLE RETURN RATE (C/B)
1977	1917	573	130	29.9%	22.7%
1978	2036	540	146	26.5%	27.0%
1979	2109	569	147	27.0%	25.8%
1980	2173	423	124	19.5%	29.3%
1981	2405	501	93	20.8%	18.6%
1982	2610	682	126	26.1%	18.5%
1983	2774	1004	181	36.2%	18.0%
1984	2814	1226	248	43.6%	20.2%

1977-1980 ..	2059 (avg.)	2105	547	25.6%	26.0%
1981-1984 ..	2651 (avg.)	3413	648	32.2%	19.0%
% Change	+28.8%	+62.1%	+18.5%	+25.8%	-26.9%

PAROLE RELEASE RATE = Parolees released during the year as a % of the beginning prison population for the year

PAROLE RETURN RATE = Parolees returned to prison during the year as a % of the total number of parolees released during the year

Source: Bureau of Management Information, Iowa Department of Human Services

Compiled by: Iowa Statistical Analysis Center

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