



**THE THIRD ANNUAL REPORT TO THE LEGISLATURE:
SHOCK INCARCERATION IN NEW YORK STATE**

JANUARY 1991

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GOVERNOR**

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EXECUTIVE SUMMARY

When the Legislature decided to create a program of Shock Incarceration in New York, they provided a mandate to the Department of Correctional Services to operationalize a plan which would meet certain specific criteria. Additionally, the Division of Parole felt that it was necessary to create a special supervision program for Shock Incarceration parolees, designed to build upon the intensity of programming which began at the institutional level. The result has been a joint program designed to meet the legislative intent.

Specifically, the legislation required that a program of rigorous physical activity, intensive regimentation, discipline and drug rehabilitation be created. It also required that this would be a six month program which would prepare successful participants for early parole release consideration. Additionally, the legislation required that special facilities be designed to house this program and that a process be created to select legally eligible inmates for participation.

The Division of Parole created a new supervision program utilizing reduced caseloads for Shock parole supervision. This allows for increased contacts between the parole officer and parolees, including; increased home visits, curfew checks and random drug testing. Additionally, Parole responded by establishing contracts with community service agencies to provide programming related to employment, education, relapse-prevention counseling and Network.

The Legislature also required that an ongoing evaluation of Shock Incarceration be conducted to assure its programmatic objectives were being met while assessing the impact of Shock. As part of an ongoing cooperative relationship between the Department of Correctional Services and the Division of Parole, this report explores the degree to which this legislative intent has been achieved.

This report is an evaluation designed to assess the impact of Shock Incarceration. In brief, it indicates that DOCS and Parole have cooperated to create an institutional and after care program which responds to the requests and concerns of the Legislature.

This evaluation documents the creation of a rigorous multi-treatment program that emphasizes discipline, academic education, substance abuse treatment and education, with group and individual counseling, all within a military structure. It points out that after screening 13,008 legally eligible inmates between July 1987 and October 1990, 5,898 inmate volunteers were sent to one of five Shock Facilities. Of these 5,898 volunteers who were

sent to Shock, 2,783 graduated and were granted an early release to parole supervision. The evaluation also notes that the Shock Incarceration program in New York State differs substantially from similar programs in other states. Although some states provide portions of the program components available in New York, no state that we have surveyed developed a Shock Incarceration program with the extensive levels of treatment provided by New York. Additionally, it should be noted that New York is running the largest Shock Incarceration program in the United States.

The report also discusses the impact of Shock Incarceration as it pertains to program costs, inmate educational achievement, inmate disciplinary activity, parole release decision-making, and community reintegration.

Pertinent findings indicate that Shock Incarceration is the only program where inmates can be granted a release to parole prior to their parole eligibility date. Thus, savings were realized by releasing Shock graduates an average of 9 months prior to completion of their court determined minimum period of incarceration. For the first 2,783 releases, these savings amounted to an estimated \$49.3 million in operating costs plus \$80.3 million of avoided capital construction costs. This is a total savings of \$129.6 million.

Additionally, despite their short period of incarceration an analysis of the educational information indicated that Shock inmates have made academic progress.

Evidence also suggests that due to the rigorous yet therapeutic nature of the program, fewer minor misbehavior reports have been written at the Shock Facilities compared to Camps and small medium security facilities.

The evaluation documents the consistent release practices of the Parole Board. Between April and September of 1990, the Board conducted 1,060 release consideration interviews for Shock Incarceration inmates. Throughout that time period, the release rate at Shock Incarceration Facilities has been 99%.

The confidence with which the Parole Board has responded to the program has benefited the state by assuring that all Shock graduates who are deemed suitable for release, have been released on their earliest possible release date.

The report illustrates the Division of Parole's efforts to maintain intensive supervision objectives established for the first six months of Shock Parole supervision. An analysis conducted during the current fiscal year indicates that parole officers have attained or exceeded the contact expectations established for Shock supervision in virtually every area.

Evidence also suggests that the program continues to impact upon the positive reintegration potential of Shock parolees. Returned urinalysis results indicate, that for the first six-months of fiscal year 1990-91 (April through September), New York City Shock parolees maintained abstinence from the use of illegal narcotics in 90% of the tests administered; in upstate areas, the rate is 95%.

CONCLUSION

The findings of this report indicate that the Shock Incarceration program has been able to achieve its legislative mandate of treating and releasing specially selected state prisoners earlier than their court determined minimum period of incarceration, without compromising the community protection rights of the citizenry.

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ACQUISITIONS

THE THIRD ANNUAL REPORT TO THE LEGISLATURE:

**SHOCK INCARCERATION IN NEW YORK STATE:
THE CORRECTIONS EXPERIENCE**

JANUARY 1991

**DIVISION OF PROGRAM PLANNING,
RESEARCH AND EVALUATION**

**SHOCK INCARCERATION: THE CORRECTIONS EXPERIENCE
THE THIRD ANNUAL REPORT TO THE LEGISLATURE**

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SHOCK EVALUATION HIGHLIGHTS

LEGISLATIVE BACKGROUND

Shock Incarceration in New York State was established by enabling Legislation in July 1987.

Legislative restrictions were placed on the age, offense type, time to Parole Eligibility, and prior prison sentences of Shock candidates. The Legislature has expanded the age of eligibility to include inmates who are between the ages of 16 and 29.

Monterey Shock Incarceration Correctional Facility (SICF) received its first inmates on September 10, 1987.

Summit SICF received its first inmates on April 12, 1988.

The first platoon of female Shock inmates were received at Summit SICF on December 12, 1988.

Moriah SICF received its first platoon on March 28, 1989.

Butler SICF received its first platoon on June 27, 1989.

Lakeview SICF received its first inmates on September 11, 1989.

New York State has the largest Shock Incarceration Program in the nation with an annual maximum capacity of 3,000 individuals - involving two six-month cycles of 1,500 inmates, plus 250 beds dedicated to orientation and screening.

**NEW YORK SHOCK INCARCERATION PROGRAM:
ITS HISTORY AND STRUCTURE**

New York's Shock Incarceration Program has historical roots in the militarization of the Elmira Reformatory in 1888.

New York is one of 14 states with a Shock Incarceration Program.

According to estimates from the National Institute of Justice (NIJ), within the next few years, over 50% of the state correctional jurisdictions may have boot camp prisons for adult offenders.

New York State DOCS is nationally recognized for the staff training component of its Shock Incarceration Program and has provided training and technical assistance to New York City and Los Angeles County to help them begin Shock programs. States, such as Connecticut and Maryland, have sent representatives to Shock training at Lakeview SICF.

The period of incarceration for New York Shock facilities is one of the longest in the country at 180 days.

New York Shock eligible inmates are not placed in the program by the Courts. Instead, they are sent to Shock facilities by DOCS as one of many treatment plans for inmates.

The goals of the program are twofold: The first is to treat and release specially selected state prisoners earlier than their court mandated minimum period of incarceration without compromising the community protection rights of the citizenry, while the second is to reduce the demand for bedspace.

New York's Shock Incarceration Program places great importance on being structured as a therapeutic community, due to its foundation in the Network and Alcohol and Substance Abuse Treatment programs.

An underlying basis for the Network philosophy is the theoretical model of the causes of delinquency known as "control theory" which proposes that non-conformity is a product of the failure of the social bond. The assumption made by Shock is that inmates entering DOCS are individuals whose bond to society is weakened or broken, and exposure to the program will help restore this bond.

Due to the documented substance abuse histories of the majority of Program participants, a major emphasis has been placed on substance abuse treatment within this community.

As a result of Shock programs such as ours, the National Drug Control Strategy recommended that boot camps be used as an alternative sanction for drug offenders.

Shock in New York State is a two phase Program involving both institutional treatment and intensive parole supervision for graduates.

New York's Shock Incarceration Program is a rigorous multi-treatment Program which emphasizes discipline, academic education, substance abuse treatment and education, with group and individual counseling, all within a military structure.

SCREENING OF LEGALLY ELIGIBLE INMATES

From the inception of the Program in July 1987 through September 11, 1989, the selection, review, and orientation of Shock eligible inmates was the responsibility of the DOCS reception centers.

A single staging facility for male Shock eligible commitments was begun at Lakeview with the goal of increasing the percentage of eligible commitments approved for the program and lowering the number of early dropouts among the inmates sent to the Program due to improved orientation and screening.

A similar plan was developed for Shock eligible women to be screened and oriented at Summit SICF in March 1990.

Since the last Report to the Legislature, the approval rates for both male and female eligible inmates have improved. As a result of the introduction of a dedicated screening and orientation process occurring at both Summit SICF and Lakeview SICF, the proportion of inmates refusing the program has declined.

There were 13,008 Shock eligible inmates reviewed for Shock participation between July 13, 1987 and October 19, 1990. Of this group, a total of 5,898 inmates were sent to the Program.

The overall approval rate for these eligible inmates since the beginning of the Program was 47.0%. The approval rate for women considered for the Program was lower than that for men due to higher rates of refusals and medical disqualifications.

Since Lakeview began screening and orienting all male Shock eligible inmates on September 11, 1989, they have processed 5,627 inmates. Over a quarter of this group were 26-29 years old. These older inmates (both male and female) have become known as "Shock B" inmates because of their unique status.

The approval rate for 16-25 year olds sent to Lakeview was 65.0%, while the approval rate for the "Shock B" inmates was lower at 37.3%. This lower approval rate for older inmates was primarily due to higher proportions of refusals, medical and psychiatric denials, more extensive criminal histories, and judge denials.

As of October 19, 1990, there were 5,898 inmates sent to Shock facilities. As of that date, 1,967 were removed from the program and 1,090 inmates were active in the program. The remaining 2,841 inmates had graduated from Shock, but not all of them were released to parole supervision. Of these 2,841 graduates, 149 were "Shock B" inmates who owed time on their one year obligation and were sent to work release

facilities. Of the 149 "Shock B" inmates sent to work release, 91 were eventually released to parole supervision as of October 19, 1990. Thus, only 2,783 of the 2,841 Shock graduates during this period of time were released to parole supervision.

Through October 19, 1990, the overall dropout rate from the Program was 40.9%, and these dropouts spent an average of 46.7 days in the Program before leaving.

In comparison to last year, the proportion of inmates removed for disciplinary reasons this year (34.9%) was down, while the proportion of those removed due to unsatisfactory program adjustment this year (23.4%) has increased.

Since Shock began, the average monthly number of eligible inmates has grown from 76 in the third quarter of 1987 to 465 in the third quarter of 1990. Additionally, the monthly average number of inmates "released" from Shock has increased from 23 in the first quarter of 1988 to 164 in the third quarter of 1990.

FISCAL ANALYSIS OF SHOCK INCARCERATION

The calculation of savings as a result of the Shock Program comes from two distinct sources: The first area of savings occurs as a result of not having to provide for the care and custody of these inmates for the duration of their full sentences. The second computed saving comes from the capital construction costs avoided for those inmates who would have had to serve their full sentences.

For every 100 Shock inmates released, it is estimated that the Department saves \$1.77 million, which it otherwise would have had to expend for the care and custody of these inmates. Thus, for the first 2,783 releases from Shock, as of October 19, 1990, there was an estimated savings in program costs of \$49.30 million.

For the first 2,783 Shock releases, the Department saved an estimated 1,214 beds which translates into a cost avoidance of \$80.35 million for capital construction.

For the first 2,783 releases from Shock, as of October 19, 1990, the Department saved an estimated \$129.65 million in both operating and capital costs.

The daily expense of housing inmates at a Shock Facility was more expensive than the cost of housing them at either Medium Security Facilities or Camps, because all inmates in Shock are fully programmed and additional staff is needed to provide the level of supervision necessary to run a rigorous program.

DESCRIPTIVE INFORMATION ON SHOCK INMATES

Due to restrictions on the inmate eligibility for Shock based on age, time to parole eligibility, and crime type, the typical Shock inmate differs from the typical inmate under custody at Camps or Medium Security prisons.

In general, Shock inmates were younger and were committed more often for drug crimes. Beyond this, the pattern of differences varies depending upon whether the contrast was between Shock inmates and Minimum security inmates or between Shock inmates and Medium security inmates.

In comparison to the snapshot of characteristics taken last year, this year's Shock inmates were older at Reception and had longer times to parole eligibility at Reception. The proportion of Shock inmates with a 12th grade education or higher has also increased. This is a reflection of the "Shock B" population being a larger part of the Program.

Some changes of importance were noted for the women in Shock between this year and last. There was a smaller proportion of Hispanic women and larger proportions of white and black women in the program. The proportion of women convicted from New York City was lower as was the proportion of women being convicted of drug offenses. This coincided with a decrease in the proportion of women admitting to the use of drugs and an increase in the proportion of women with scores on the Michigan Alcohol Screening Test (MAST) at the time of admission indicating alcohol abuse. The last notable difference was in the sharp increase in the proportion of women who were classified as Medium security level inmates.

A review of the attributes of Shock inmates by gender shows that there are some statistically significant differences between the characteristics of men and women in the program. The women are older, more frequently committed for drug crimes, more frequently second felony offenders, more often from New York City, less likely to report prior drug use, more often minimum security inmates, and coming to DOCS with more jail time. Additionally, women are more often Hispanic and fewer of them are white or black.

Due to the restrictive eligibility criteria which allows only young, non-violent offenders into the program, the majority of inmates in the program (71.7% of the men and 90.3% of the women) have been convicted of drug offenses. A high proportion (i.e., 74.2% of the men and 69.6% of the women) also reported that they had used drugs prior to their commitment to DOCS custody.

EDUCATIONAL ACHIEVEMENT IN SHOCK INCARCERATION

This section analyzes both the Math and Reading Tests of Adult Basic Education (TABE) scores for 891 Shock graduates between April 1, 1989 and March 31, 1990, who had been given at least two achievement tests.

The average change in math scores for inmates during this time period was an increase of 1.2 grade levels after six months of education. The overall change in reading scores was an increase of .6 of one grade level after six months of education.

Of the graduates who did increase their math scores during their six months in Shock, 63.0% increased them by two or more grades, while 19.0% increased them by four grades or more.

Of the graduates who did increase their reading scores during their six months in Shock, 61.2% increased them by two or more grades, while 8.0% increased them four grades or more.

Despite the fact that the size of the average inmate population at Shock was 1.2 times smaller than that of the Minimums, the Shock facilities screened 4.1 times as many inmates for GED testing, tested 3.2 times as many inmates in relation to inmates at the four comparison Camps and Lyon Mountain combined. Most importantly, Shock inmates earned over 2.6 times as many GED's in relation to inmates at the four comparison Camps and Lyon Mountain combined.

Despite the fact that the average inmate population of the six medium security facilities was 4.0 times greater than that of the Shock facilities, they screened only 1.3 times as many inmates, tested the same number of inmates for the GED, and only eleven more inmates earned GED's in comparison to those inmates of the five Shock facilities.

Despite the short amount of time that inmates are being educated at the five Shock facilities, the proportion of inmates passing the GED in FY 1989-1990 has been comparable to that of the six medium security facilities and the Department overall.

DISCIPLINARY PROCESS AT SHOCK INCARCERATION

During FY 1989-1990, only a small proportion of inmates in the Shock Program got involved in misbehaviors, and those who did commit infractions typically got involved in only one incident. The data also indicates that most misbehaviors were at the less serious Tier II level.

Program graduates who broke the rules were involved in less serious disciplinary activity than the inmates who commit offenses and were removed from the program. Among the comparison facilities, Medium Security facilities had the highest rate of misbehaviors, Tier I and Tier II hearings per 1,000 inmates, while Shock facilities had the highest rate of Tier III hearings per 1,000 inmates.

Over 77% of the inmates involved in Tier III misbehaviors (the most serious type of misbehavior) were removed from the program prior to graduation.

UNUSUAL INCIDENTS (UI's) AT SHOCK FACILITIES

An examination of the rate of UI's per 1,000 inmates indicates the average rate of reported incidents at the Shock facilities was higher than the rate of UI's at the comparison facilities.

Three incident types were examined in order to understand the relationship between incidents and program issues. They include contraband, assaults on staff, and assaults on inmates.

Contraband: In FY 1989-1990, only 2.7% (N=2) of the 75 UI's reported from Shock facilities were listed as contraband. In contrast, contraband incidents comprised 10.6% (N=7) of the Minimum/Camp facilities UI's and 14.2% (N=33) of the Medium security facilities UI's.

Staff Assaults: While the proportion of staff assault incidents at Shock was substantially higher than those which occurred at the comparison facilities, the proportion of incidents where staff incurred injury was somewhat lower than at Minimum or Medium security facilities. This may be an indication that the threshold of what is reported as a staff assault at Shock may not be as high as it is at other DOCS facilities.

Almost 60% of the staff assault incidents at Shock facilities occurred within the first two weeks of an inmate being in the program (i.e., zero-weeks - the initial period of Shock indoctrination), while almost 87% occurred within the first month of an inmate arriving at Shock. Most importantly, all 37 inmates involved as assailants in these incidents were removed from Shock as a result of their actions.

Inmate Assaults: In FY 1989-90, 2.7% of the reported UI's at Shock facilities were for assaults on inmates. No injuries were reported in these incidents. In the minimum security facilities, 12.1% of the reported UI's were for assaults on inmates. No injuries were reported as a result of these altercations. In the medium security facilities, 16.3% of the reported UI's were for assaults on inmates. Injuries occurred in 18.4% of those incidents.

RESEARCH FINDINGS

This section presents the results of three significant research efforts designed to better understand the effects of the Shock program. The research included:

1. A survey of judicial attitudes towards Shock, consisting of responses from 105 judges from throughout New York State;
2. A multi-site study of Shock Incarceration sponsored by the National Institute of Justice including the results of a survey of changes in the attitudes of 73 inmates who have gone through the program in contrast to attitude changes among a comparison group of 72 Shock similar inmates who did not go through the program;
3. A development of a typology of Shock failures reporting on the results of the administration of a detailed questionnaire to 61 Shock failures. The survey collected data on demographics, legal variables, Shock Incarceration activities, attitudes about Shock Incarceration, problems in Shock Incarceration, family related questions, their neighborhoods, and their feelings about being reincarcerated.

FOLLOW-UP STUDY

In August 1990, a follow-up study of Shock graduates released between March 1988 and March 1989 was published. In that study the return rates of the Shock graduates were compared to the return rates of two groups of Shock similar inmates.

When the data is weighted to account for the varying amount of exposure in the community, Shock graduates returned to DOCS at a rate of 30.6%, while pre-Shock releases returned at a rate of 33.0% and the "Considered for Shock" group had a rate of return of 41.4%.

Within the first 12 months of parole supervision, 16.4% of Shock graduates return to DOCS custody. For pre-Shock releases, 18.8% returned within 12 months, while the "Considered for Shock" group returned 25.5% in the first year.

Using an 18 month exposure to parole supervision criteria, 34.6% of the Shock graduates returned to DOCS compared to 34.7% of the pre-Shock group and 41.5% of the "Considered for Shock" group.

As a compliment to the Department's return to custody research, the Division of Parole examines parole outcome measures on this group of Shock graduates and the two comparison groups which were constructed for this study. As a result a more detailed

analysis of the same inmate groups will be available. In this report, and in all future program evaluations, both agencies will use the same comparison groups and follow-up procedures.

To date, it appears Shock has met its Legislative mandate to have its successful participants spend less time incarcerated and without compromising the community protection rights of the citizenry.

LEGISLATIVE BACKGROUND

Legislative History

New York State's Shock Incarceration Program was established by enabling legislation in July 1987 (Chapter 261 of the Laws of New York, 1987).

The expressed purpose of the Omnibus Bill that included this program was "to enable the State to protect the public safety by combining the surety of imprisonment with opportunities for the timely release of inmates who have demonstrated their readiness for return to society."

With respect to the Shock Incarceration Program, the Legislative Bill specifically stated:

Certain young inmates will benefit from a special six-month program of intensive incarceration. Such incarceration should be provided to carefully selected inmates committed to the State Department of Correctional Services who are in need of substance abuse treatment and rehabilitation. An alternative form of incarceration stressing a highly structured and regimented routine, which will include extensive discipline, considerable physical work and exercise and intensive drug rehabilitation therapy, is needed to build character, instill a sense of maturity and responsibility and promote a positive self-image for these offenders so that they will be able to return to society as law-abiding citizens.

Pursuant to this legislation, the Department amended Title 9 NYCCR by adding Part 1800 which provided the rules which govern the Shock Incarceration Program.

Currently, the Department has established five Shock facilities under this legislation and these administrative regulations.

The 250 bed facility at Monterey received its first platoon of inmates on September 10, 1987. The 250 bed Shock facility at Summit received its first platoon of inmates on April 12, 1988. A portion of the Summit Shock Incarceration Facility houses the Department's program component for female inmates, which was initiated in December 1988 and has capacity for 150 women. The 250 bed Shock Facility at Moriah received its

first platoon on March 28, 1989, while the 250 bed Shock facility at Butler received its first platoon on June 27, 1989.

Due to the rapid expansion of the program, the Department made a very important decision to create the 750 bed Lakeview Shock Incarceration Correctional Facility (SICF). Lakeview serves as a 250 bed orientation and screening facility for all male Shock eligible inmates while also housing two, 250 bed Shock Programs. Lakeview received its first inmates on September 11, 1989.

In total, New York State operates the largest Shock Incarceration Program in the nation with an annual maximum capacity of 3,000 individuals - involving two six-month cycles of 1,500 inmates, plus 250 beds dedicated to orientation and screening.

Eligibility Criteria

The substantial growth of the Shock Program in New York was the result of changes which were made in the eligibility criteria by the Legislature. These changes have expanded the pool of Shock eligible inmates by raising the upper age limit for inclusion. At first, in 1987, the age of an eligible inmate was determined to be up to, but not including, 24 years of age at admission. Then, on April 24, 1988, the Legislature amended the eligibility criteria to include inmates who were up to, but not including, 26 years of age at admission.

On July 23, 1989, the Legislature amended the eligibility criteria once again to include 26 through 29 year old inmates. The inmates who were in this new age group had to meet some additional "tests" in order to qualify for Shock eligibility.

At present, the Legislative criteria for inmate eligibility for Shock are a person identified at reception, sentenced to an indeterminate term of imprisonment, who has not reached the age of 30 years, who will become eligible for release on parole within three years and who was between the ages of 16 and 30 years at the time of commission of the crime.

Notwithstanding the foregoing, no person who is convicted of any of the following crimes shall be deemed eligible to participate in this program:

- a) A violent felony offense as defined in Article 70 of the Penal Law;
- b) An A-1 felony offense;

- c) Manslaughter in the second degree or Criminally Negligent Homicide as defined in Article 125 of the Penal Law;
- d) Rape in the second degree, Rape in the third degree, Sodomy in the third degree, Attempted Sexual Abuse in the first degree, Attempted Rape in the second degree as defined in Articles 110 and 130 of the Penal Law;
- e) Any Escape or Absconding Offense as defined in Article 205 of the Penal Law.

These inmates must also receive both physical and psychological clearances to participate in the program. Inmates are not considered eligible to participate if, prior to their present sentence, they have been convicted of a felony upon which an indeterminate sentence was imposed.

As mentioned previously, the older inmates have to meet three additional eligibility criteria. These criteria make it mandatory that these inmates: (a) have their anticipated participation in Shock reviewed by their sentencing judges who must not object to their participation and anticipated early release, (b) have not been convicted of a Shock ineligible offense, and (c) spend at least one year incarcerated (including jail time, time in reception, and time in Shock) prior to receiving a Certificate of Earned Eligibility and release to parole supervision.

In addition to the legislatively mandated criteria for exclusion, the Department has created various suitability criteria which further restrict program participation. These suitability criteria impose restrictions based on the medical, psychiatric, security classification, or criminal histories of otherwise legally eligible inmates. Additionally, those inmates whose outstanding warrants, disciplinary records, or whose alien status have made them a security risk would also be screened from participation. After screening for suitability, inmates then have to volunteer for the program.

Thus, the enabling legislation establishing Shock Incarceration and the Department's suitability criteria specifically defines the attributes of inmates who could be considered for Shock participation.

The four major criteria restrict age (with a desire to have a program for younger inmates), offense type (with a desire to eliminate violent offenders, sex offenders and escape risks from the program), time to Parole Eligibility (with the intent of setting a limit on the time reduction benefits available to

a successful participant and to further assure that these inmates have not been the perpetrators of serious crimes), and prohibit prior service of an indeterminate sentence (to assure that these inmates are first time commitments).

Since Shock inmates are to be released prior to serving their judicially mandated minimum sentences, efforts have been made by both the Legislature and Department of Correctional Services (DOCS) to carefully restrict the eligibility criteria. The purpose of these restrictions has been to ensure that those inmates who could benefit the most from this program would be allowed to participate, while those inmates who posed a risk to society would be excluded.

NEW YORK STATE SHOCK INCARCERATION:
ITS HISTORY, STRUCTURE AND GOALS

Origins of Shock Incarceration

The common wisdom about Shock Incarceration Programs nationally is that they began in 1983 in Georgia and Oklahoma (Dale Parent 1988; Shock Incarceration Programs, Address to the American Correctional Association Winter Conference, Phoenix, AZ). In fact, there is some historical precedent for Shock Incarceration that was part of New York's Elmira Reformatory in 1888.

When Elmira was established in 1876, it was designed to house younger inmates who were convicted of first felonies and were given an indeterminate sentence. "In line with its reformatory purpose, Elmira offered manual training to inmates who were to learn marketable, honest skills in building part of the institution and making several products." (Beverly Smith "Military Training at New York's Elmira Reformatory, 1888 - 1920" Federal Probation, March 1988, p. 34.)

Through the passage of a variety of anti-inmate labor laws in the early 1880's, New York's inmate labor system was deemed to be illegal. In trying to find other ways of keeping inmates occupied and trained, Zebulon Brockway decided in 1888 that military training would be a useful substitute:

The training was instituted to meet an emergency, but survived long after the short lived trouble. The military organization permeated almost every aspect of the institution: schooling, manual training, sports teams, physical training, daily timetables, supervision of inmates, and even parole practices. In short, the training was used to discipline the inmates and organize the institution. (Beverly Smith, "Military Training at New York's Elmira Reformatory 1888 - 1920", Federal Probation, March 1988, p. 33.)

Military discipline was used at Elmira as a vehicle to provide inmates with tools to help them reform. The general belief held by Zebulon Brockway was that:

Military discipline is found to be exceedingly beneficial in inculcating promptness in obedience, attention, and harmony of action with others. It develops the prisoner physically, quickens him mentally and, by making him a part of the disciplinary force, gives him a clearer insight into the meaning and benefits of thorough

discipline. The standard of discipline should be so fixed that each prisoner may know exactly what to expect, and know that his release can only be accomplished by reaching this standard through his own efforts. Having attained this standard he should be released upon parole, to suitable employment, under efficient supervision, for a period of time long enough for him to demonstrate his fitness for an honest life, in society... (Fred Allen, Extracts from Penological Reports and Lectures Written by Members of the Management and Staff of the New York State Reformatory, Elmira, The Summary Press, 1928, p. 120.)

This belief in the reformatory ability of military discipline still exists. The one programmatic feature that all Shock programs nationally have in common is military discipline and training.

New York's Shock Incarceration facilities offer a six-month discipline and treatment-oriented program, where eligible inmates are provided the opportunity to develop life skills which are commonly viewed as being important for successful reintegration into society. The program includes rigorous physical activity, intensive regimentation and discipline, instruction in military bearing, courtesy, drills, physical exercise, Network Community Living Skills, a structured work program, intensified substance abuse and alcohol counseling, and structured educational programming covering materials up to the high school equivalence level.

Inmates participate in structured activities that are designed to prepare them for successful return to society.

Shock Incarceration: A National Perspective

Since our last Legislative Report, there has been an increase in the amount of attention that Shock Programs around the country are receiving. By the beginning of 1990, there were "at least 21 'boot camp' prisons in 14 state correctional systems. Another 13 states were in the process of considering developing such programs. Thus, within the next few years, over 50 percent of the state correctional jurisdictions may have boot camp prisons for adult offenders." (Doris MacKenzie, "Boot Camps: Components, Evaluations, and Empirical Issues," Federal Probation, September 1990, p. 44.)

In addition to the interest expressed by states, various counties have begun developing Shock Programs. New York State DOCS has already provided training and technical assistance to New York City and Los Angeles County to help them get their

Shock Programs off the ground. Other states, such as Connecticut and Maryland, have sent representatives to Shock training at Lakeview SICF.

In 1989, Commissioner Thomas A. Coughlin III and then Parole Chairman Ramon Rodriguez testified before the United States Senate and House Judiciary Committees, who were examining the usefulness of Shock Programs for the Federal Bureau of Prisons and the District of Columbia. As a result of the viability of Shock Programs such as ours, the National Drug Control Strategy, prepared by William Bennett and the White House, recommended that boot camps be used as an alternative sanction for drug offenders. (Hearing Before the Subcommittee on Criminal Justice, Committee on the Judiciary, House of Representatives, 101 Congress, 1st Session, On H.R. 2985, Sentencing Option Act. of 1989, September 14, 1989)

In 1990 Marine Corp Commandant General Gray participated in a graduation ceremony at Summit SICF; the Third Cluster Conference for the National Institute of Justice (NIJ) multi-site evaluation of Shock Programs was held at Lakeview SICF; and Lakeview SICF became the first stand alone, comprehensive Shock facility in the nation to receive accreditation from the American Correctional Association.

Differences in Shock Programs Nationally

With all the attention received by Shock programs in general and by New York State's program in particular, the question of whether these programs are all the same is often raised. We in New York have maintained that these programs differ in their size, length of incarceration, placement authority, program voluntariness (both entering and exiting), facility locations, level of release supervision, and level of commitment to evaluation (see Table 1).

Overall, the picture that arises in regard to these programs is a common core based on the military atmosphere, discipline, youthful offenders, and an alternative to long term incarceration, but here the commonality ends. The differences that do exist in programs might be expected to contribute to differences in self selection effects, net widening, costs, deterrence, or rehabilitation of the offenders. (Doris MacKenzie, "Boot Camps: Components, Evaluations, and Empirical Issues," Federal Probation, September 1990, p. 45)

Based on the Department's review of Shock Programs nationally, the major program components which distinguish the New York State Shock Incarceration Program from similar programs around

the country appears to be its foundation in a therapeutic community approach, known as Network, and its strong emphasis on substance abuse treatment.

When Shock Incarceration was being developed in New York, Commissioner of Correctional Services, Thomas A. Coughlin III, directed that the Network Program be an integral part of this initiative. He stated:

Network has been operating in New York State Correctional Facilities since 1979 and has strengthened our resolve to identify and deal with the special needs of our staff and inmates. It has proven successful in providing an opportunity for positive growth and change. That's what Shock is all about - bridging the external discipline of the military model with an internalized system of positive values.

**The Foundation Of New York State Program:
Therapeutic Community Model**

The New York State Shock Incarceration Program is based on a therapeutic community model known as Network. Network was designed to establish living/learning units within correctional facilities that were supervised and operated by specially trained correction officers and supervisors.

An underlying basis for the Network philosophy is the theoretical model of the causes of delinquency known as "control theory." As part of a group of social and cultural support theories of criminality "control theory" proposes that "non-conformity is a product of the failure of the social bond. Through the attachment of individuals to others, conformity is assured. When such attachments fail to develop or when they are disrupted, the internalization of legitimate norms becomes problematic." (Ron Farrell and Lynn Swigert, Social Deviance, 1975, p. 211)

The main proponent of this control theory of delinquency is Travis Hirschi who asserts that, "delinquent acts result when an individual's bond to society is weak or broken." (Travis Hirschi, Causes of Delinquency, 1969, p. 16) This bond consists of attachment to others, commitment, involvement in conventional activities, and belief in conventional activities. The assumption made by Shock is that inmates entering DOCS are individuals whose bond to society is weakened or broken, and exposure to the program will help restore this bond.

Network: Helping to Restore The Bonds:

Network has been designed to promote positive involvement of inmate participants in an environment which has as its focus their successful reintegration into society.

Members participate in program management to the degree that they demonstrate their capacity to make informed, responsible decisions. The program is designed to be a total learning environment, an approach which fosters involvement, self-direction and individual responsibility. Positive behaviors which support individual and community growth are expected, while negative behaviors are confronted and targeted to be changed.

Network's program objectives have been grouped into three basic areas. In order to make responsible decisions, individuals must consider: 1) their own wants and needs, 2) the effect which they have on others, and 3) the variables of the situations in which they find themselves.

A sense of self-worth and personal pride are the foundation of living a responsible lifestyle. Network environments are structured to foster respect for self and others and to focus on positive self-images. Standards of behavior expected from all community members have been developed, tested and refined by staff and participants.

Orientation to Network includes a review of these standards and a discussion of how they support individuals and the life of the community. Upon admission to Network, each participant is required to make a commitment to his/her own personal goals and to live up to community standards. These standards are reviewed and evaluated regularly in community meetings.

All staff at the Shock facilities are trained in the principles of Network, thus helping to make Shock facilities function in a way which is very similar to the therapeutic community model.

As one British author noted, "The basic idea of the Therapeutic Community is to utilize the interactions which arise between people living closely together as the means of focusing on their behavioral difficulties and emotional problems and to harness the social forces of the group as the medium through which changes can be initiated." (Stuart Whiteley, Dealing with Deviants: The Treatment of Antisocial Behavior, Schocken Books, New York, 1973, p. 33).

As with all communities, there are rules and standards for behavior to which members must adhere. If rule breaking is detected, the community will react.

The pressures of the group, accepting, yet confronting, interpreting, pointing out, suggesting modifications, understanding and facilitating problem solving will be a different reaction from the authoritarian suppression he has hitherto provoked, and he may come to see that for him also there can be the possibility of a shift of behavior roles in this different type of society. If he continues to act out, then the community imposed sanctions mount in parallel with his misdemeanors until it becomes clear that he must change his pattern if he wants to stay or if he wants to continue in his old ways (and he is welcome to do so) -- he must leave. (Stuart Whiteley, Dealing with Deviants: The Treatment of Antisocial Behavior, Schocken Books, New York, 1973, p. 56).

Under the Network design, there are confrontation groups that are used to deal with the negative attitudes of participants. These groups provide clear perspectives on the consequences of dysfunctional behavior, while suggesting positive alternatives to that behavior. Yet, we are cautioned that this only works in the context of a caring community.

Learning experiences are also used in Shock Incarceration to remind both the individuals who receive them and the community as a whole of the need to change bad habits to useful ones. These experiences may consist of physical tasks or a process which serves as a reminder of the consequences associated with a certain behavior.

Thus, the Shock Incarceration process represents a therapeutic environment which is designed to address many of the problems which inmates may have and should not be mistaken for just a "boot camp." In a sense then, New York's Shock Incarceration Program consists of numerous programs that have been used individually in the past and have provided some successes. In fact, multi-treatment programs like New York's Shock Incarceration Program have been viewed as the most successful means of achieving positive changes in inmate behavior. (Paul Gendreau and Robert Ross, "Effective Correctional Treatment: Bibliotherapy for Cynics," Crime and Delinquency, October 1979, p. 485).

In addition to voluntary participation, some of the components of these successful correctional rehabilitation programs include "formal rules, anti-criminal modeling and

reinforcement, problem solving, use of community resources, quality of interpersonal relationships, relapse prevention and self-efficacy, and therapeutic integrity." (Doris MacKenzie, 'Evaluating Shock Incarceration in Louisiana: A Review of the First Year,' 1988, p. 4.) Shock Incarceration in New York State has all of these components as they are used within the framework of the military structure to help turn these inmates into better citizens.

The latest evaluation of the Network Program by DOCS Research staff found that "satisfactory participation in the Network Program is positively related to successful post-release adjustment as measured by return to the Department" (DOCS, Follow-up Study of a Sample of Participants in the Network Program, August 1987, p. iii.) The report found that the actual return rate (24.5%) of the satisfactory program participants was notably less than the projected rate (39.5%) based on the Department's overall return rates.

In light of the theoretical and practical value of Network, it was selected to be a major component of Shock Incarceration in New York State. As adapted for Shock Incarceration, Network creates a therapeutic community which can address many of the needs and problems of Shock inmates, especially drug dependency.

Emphasis on Substance Abuse Services

Within this Network therapeutic community model of the Department's SICFs, an emphasis has been placed on substance abuse treatment due to the documented drug or alcohol abuse histories of the majority of program participants. According to the NIJ Report on Shock Programs nationally, this strong emphasis on alcohol and substance abuse treatment provided within the context of a therapeutic community is unique to New York State:

"SI programs in six states have some form of drug and alcohol treatment, most often based on principles of Alcoholics Anonymous. New York has a more extensive Alcohol and Substance Abuse Treatment (ASAT) program which all inmates with identified drug and alcohol problems must attend. ASAT combines elements of behavioral modification, drug education, and AA/NA philosophies. It includes individual and group counseling and development of individualized treatment plans." (Shock Incarceration: An Overview of Existing Programs, Dale Parent, p. 28, underlining added)

In fact, this quotation describing New York's program was inaccurate - because all Shock inmates, regardless of their substance abuse histories, must attend these classes.

As further evidence of our emphasis on providing substance abuse services in this program, the Department has been awarded a substantial grant from the United States Justice Department to enhance the drug treatment components of Shock.

In contrast to other states, the Shock Incarceration Program run by DOCS is designed to be a treatment-oriented program. For every 500 hours of physical training plus drill and ceremony that has led to the media calling it a "boot camp," Shock in New York also includes 546 hours of the therapeutic approach to treating addiction, based on the Network and the ASAT Programs. It also includes at least 260 mandatory hours of academic education, and 650 hours of hard labor, where inmates work on facility projects, provide community service work, and work on projects in conjunction with the Department of Environmental Conservation. (Statement of Commissioner Thomas A. Coughlin III, New York State Department of Correctional Services, Senate Committee on the Judiciary, July 25, 1989, p. 1.)

The structure of the Department's Shock Incarceration Program was best outlined by the Department's Executive Deputy Commissioner, Philip A. Coombe, Jr., in a presentation to the American Correctional Association in January 1988. In part, his presentation noted:

First and foremost, it is not simply a boot camp. Governor Cuomo does not believe we can turn someone's life around simply by making them do push ups, march in formation, or take orders. The strict physical regimen is a pivotal tool in teaching discipline and respect for individuals as well as teaching them about teamwork and getting along with others. But of equal importance and weight in our program are the components that deal with education, professional and peer counseling plus drug and alcohol therapy. It is the combination of programs that we believe offers young offenders the chance to get their heads on straight and their lives in order. And as part of the shock program, Governor Cuomo mandated that Parole follow inmates closely upon release to see how they perform (underlining added).

It must be made clear at this point that Shock in New York State is a two part program involving both institutional treatment and intensive parole supervision for graduates.

This intensive parole supervision and after-care treatment for Shock graduates is still another key distinction which makes the New York program unique. With the most intensive supervision caseloads in the State, parole officers working in Shock have used community service providers to help in job placement, relapse prevention, and educational achievement for these inmates. During the first six months after inmates graduate, parole staff continue to help maintain the decision-making and conflict resolution counseling which was begun at the facilities.

Recognizing that this transition would be difficult the Division of Parole found it critical to augment the community based services they offer for New York City parolees with program components specifically designed for Shock parolees. The DOP worked with the Fellowship Center, the New York City Episcopal Mission Society, and the Vera Institute to develop and implement relapse prevention, Network and employment programs for Shock parolees. With the utilization of Parole's community based residential programs for housing, the DOP has developed a comprehensive Shock supervision parole program. The report on "after shock" prepared by DOP describes in greater detail the aftercare components which are essential to a successful Shock Program.

Goals of Shock Incarceration

In discussions with other states which have Shock Programs, the goals that have been set vary quite a bit. It is generally believed that the "careful definition of program goals is essential to effective program design. It must precede initial planning, and must inform all stages of decision making as the program progresses." (Shock Incarceration: An Overview of Existing Programs, Dale Parent, p. 11)

Some of the goals which have been cited for Shock Programs in other states include deterrence (which means making the program so unpleasant so as to deter future crime), punishment (which views the program as a proportional punishment more severe than probation and less severe than regular imprisonment), and incapacitation (which uses the program to keep people from committing crime by either long imprisonment or selectively picking lower risk inmates to undergo this intense period of control).

As stated in last year's report to the Legislature, the goals of New York's Shock Program were twofold. The first goal was to reduce the demand for bedspace. The second goal was to treat and release specially selected state prisoners earlier

than their court mandated minimum periods of incarceration without compromising the community protection rights of the citizenry.

In order for Shock to reduce the demand on prison bedspace, the program had to target offenders who would definitely be incarcerated. Thus, in New York the only inmates in the program are those who were sentenced to serve time in a state prison. (This is not always the case in other states where Shock inmates are in the programs as an alternative to being given probation.)

In addition, the length of their imprisonment in Shock had to be substantially less than the prison term which they would have served otherwise.

Any long term reductions in bedspace demand are dependent upon inmates successfully completing the program and keeping their rates of return to DOCS custody consistent with the overall return rate for the Department.

New York has responded to these issues by:

- a) limiting judicial involvement in the decision making process of who goes to Shock, thus assuring that participants would have gone to prison anyway;
- b) creating the program as a back end based operation which is not an alternative to probation but rather a program for incarcerated felons;
- c) creating a treatment oriented program which emphasizes the development of skills designed to lead inmates to successful parole outcomes;
- D) creating a strong intensive Parole Supervision program for Shock graduates that enlists the aid of independent service providers.

It should be clear that these two program goals are related. Saving bedspace and protecting the community from greater risks are best served by these four above-mentioned general responses. With these goals in mind, the remainder of the report examines various aspects of the program and how well the program functions are addressing these general goals.

In summary, this section has outlined some of the key ingredients which have made Shock Incarceration in New York a unique corrections program.

SCREENING OF LEGALLY ELIGIBLE INMATES

Overview Of The Screening Process

From the beginning of Shock, one of the major responsibilities of the Research staff of the Department has been to monitor the screening process used for the selection of Shock inmates. Through this monitoring process, we have been able to identify every Shock eligible inmate upon reception, determine why some entered the program and why others do not; identify those who enter, those who dropped out, and why; identify those who graduated and those who returned to DOCS custody.

This information has provided the Department with a basic understanding of the flow of inmates into Shock and has been used to change the medical screening criteria, conduct population projections, justify program expansion, conduct follow-up studies, and perform cost savings calculations.

Inmate Flow Through The Program: Approval Rates For Eligible Inmates

According to Table 2, there were 13,008 Shock eligible inmates who were reviewed for Shock participation between July 13, 1987 and October 19, 1990. At any given point, these inmates would have been in one of three general statuses. They could have been denied or have refused Shock, they could have been approved for Shock or been sent to the program, or they could still be under review.

Of the inmates whose eligibility was reviewed, a total of 5,898 inmates were sent to the program. The overall approval rate for these eligible inmates since the beginning of the program was 47.0%. The approval rate for women considered for the program was lower than that for men due to higher rates of refusals and medical disqualifications.

Since the last Report to the Legislature, the approval rates for both male and female eligible inmates have improved. As a result of the introduction of a dedicated screening and orientation process occurring at both Summit SICF and Lakeview SICF, the proportion of inmates refusing the program has declined.

Approval Rates For Lakeview

Since Lakeview began screening and orienting all male Shock eligible inmates on September 11, 1989, they have processed 5,627 inmates. Over a quarter of this group were 26-29 years

old. These older inmates (both male and female) have become known as "Shock B" inmates because of their unique status. (see Table 3)

As explained earlier, when the Legislature raised the age of eligibility for Shock in July 1989, they added restrictions to this group of inmates' ability to enter and exit from the program. This included the requirement that the "Shock B" inmates spend at least one year incarcerated prior to receiving a Certificate of Earned Eligibility and release to parole supervision. "Shock B" inmates who still owe time on their one-year sentence after graduation at an SICF are being sent to various work release facilities around the state.

The approval rate for 16-25 year olds sent to Lakeview was 65.0%, while the approval rate for the "Shock B" inmates was somewhat lower at 37.3%. This lower approval rate for older inmates was primarily due to higher proportions of refusals, medical and psychiatric denials, more extensive criminal histories, and judge denials (see Table 3).

Inmates Sent To Shock

Table 4 indicates that as of October 19, 1990, there were 5,898 inmates sent to Shock facilities. As of that date, 1,967 were removed from the program, and 1,090 inmates were active in the program. The remaining 2,841 inmates had graduated from Shock, but not all of them were released to parole supervision. Of these 2,841 graduates, 149 were "Shock B" inmates who owed time on their one year obligation and were sent to work release facilities. Of the 149 "Shock B" inmates sent to work release, 91 were eventually released to parole supervision as of October 19, 1990. Thus, although there were 2,841 Shock graduates during this period of time, there were only 2,783 inmates released to parole supervision.

Through October 19, 1990, the overall dropout rate from the program was 40.9%, and these dropouts spent an average of 46.7 days in the program before leaving. In comparison to last year, this year's dropout rate is higher but the inmates leaving the program are staying eight days longer on average before being removed (see Table 5).

In comparison to last year, the proportion of inmates removed for disciplinary reasons this year (34.9%) was down while the proportion of those removed due to unsatisfactory program adjustment this year (23.4%) has increased. One interpretation of these findings is that the Superintendents Review Committees are doing a better job at removing inmates before they become disciplinary problems. It should also be

noted that the proportion of voluntary removals from the program this year (33.1%) was similar to last year's proportion of voluntary removals (see Table 6).

Since Shock began, the average monthly number of eligible inmates has grown from 76 in the third quarter of 1987 to 465 in the third quarter of 1990. Additionally, the monthly average number of inmates "released" from Shock has increased from 23 in the first quarter of 1988 to 164 in the third quarter of 1990 (see Charts 1 and 2).

FISCAL ANALYSIS OF SHOCK INCARCERATION

Overview

This section of the report is based on information provided by DOCS Budget Analysts for facility expenditures occurring in the 1989-1990 Fiscal Year. In the past two Legislative Reports, we had only reported on the expenditures of Monterey and Summit SICF's in comparison to medium and minimum security facilities. This year we can provide fiscal expenditure data for all five Shock facilities even though two of them (Butler and Lakeview) were in operation for only a portion of the fiscal year. The one concern we had with using Lakeview data is that we were unable to disaggregate the expenditures of Lakeview Shock from Lakeview Reception. As such, the data from Lakeview represents all parts of that facility's operations.

This year we compared the costs of running five Shock facilities with the costs of six Medium Security facilities, five Minimum Security facilities (four Camps and Lyon Mountain).

The number of Medium Security facilities that were selected for use in this report (Altona, Wallkill, Taconic, Watertown, Mid-Orange, and Ogdensburg) was increased. In the last two reports, we only used three medium security facilities to represent the Departments expenditures at that security level. Since the number of Medium Security facilities has grown dramatically, we decided to add three more facilities to make these numbers more representative.

The number of Minimum Security facilities used in the analysis remained the same, but in this report, the data from Lyon Mountain was combined with that of the four Camps. Lyon Mountain was selected because it is a Minimum Security facility without any substantial work release component.

As previously mentioned, the fiscal information used in this section was provided by the DOCS Office of the Budget, while the relevant population figures were calculated from the daily population figures provided by Department's Records and Statistics Office.

The Costs Of Shock - A National Perspective

In a National Institute of Justice report by Dale Parent which provides an overview of Shock Programs nationally, we are provided fiscal information about four of the states which run these programs:

In all four states officials said that the SI program costs for food, clothing and consumables were about the same as for regular prisons. Nonetheless, more intensive demands on custodial and/or rehabilitation staff in many SI programs led to higher daily costs per inmate, as compared with regular prison inmates. (Dale Parent Shock Incarceration: An Overview of Existing Programs, p. 16)

New York is one of six states that have "stand alone" Shock facilities. Other states have Shock Programs operating as part of an existing prison. These states have been able to use the resources of the larger facilities as a way of cutting costs. Although some states provide portions of the program components available in New York, no state that we have surveyed developed a Shock Incarceration Program with the extensive levels of treatment provided by New York. New York's program may be more expensive because most states do not keep Shock inmates incarcerated for as long as New York does.

It should also be mentioned that since many states (i.e., Georgia, South Carolina, Texas, Alabama, Arizona, Michigan and Mississippi) run front end programs (where Shock Incarceration is used as an alternative to probation and judges control which inmates are sent to the program), the reported savings accumulated by releasing inmates early needs to be offset by the inevitable net widening effects of judges' decisions on whom to send. This occurs when convicted offenders, who would not have been incarcerated for their offense, get sentenced to a Shock Program because of its perceived benefits.

One of the stated goals of New York's program is the reduction of demand for bedspace as a way of addressing prison crowding issues in the State. According to MacKenzie and Parent in order for any Shock Program to be successful in this effort it requires:

1. a sufficient number of eligible inmates who are recommended for the program;
2. a large enough number of offenders completing the program;
3. a true reduction in the length of time offenders spend in prison; and,
4. offender participants who are drawn from those who would normally be incarcerated rather than those who would normally be sentenced to probation (or no net widening). (Doris MacKenzie and Dale Parent, Shock Incarceration and Prison Crowding In Louisiana, p 8.)

New York has fulfilled all of these requirements, and as a result, it is acknowledged that, "New York ... may have a large enough number of graduates to have an impact on crowded prisons...this is not the case in most states." (Doris MacKenzie, "Boot Camps: Components, Evaluations, and Empirical Issues," Federal Probation, September 1990, p. 49)

Since our involvement with the multi-site Study of Shock Programs, we have been consulting with both Dale Parent and Doris MacKenzie to develop a comprehensive cost model for Shock in New York State. As of now, the model we are working with represents the initial cost savings of Shock Incarceration. It does not take into consideration the effect of the length of stay for inmates returned to DOCS custody on the initial savings reported here. The delay in including this data is based on the small number of returns who have actually completed their "new sentences" with DOCS. This data will be included into the model in future reports.

Per Diem Program Expenditures For New York

Monterey SICF began operations on September 10, 1987 and did not reach its full capacity of six platoons until February 1, 1988. Summit SICF began operations on April 11, 1988 and did not reach its full capacity of six platoons until October 11, 1988. Moriah SICF received its first platoon on March 28, 1989 and did not reach its full capacity until August 14, 1989. Butler SICF received its first platoon on June 27, 1989 and did not reach its full capacity until September 5, 1989. Finally Lakeview received its first platoon on September 11, 1989 and did not reach its full capacity until April 18, 1990.

Even though all five facilities had been operating during FY 1989-1990, only Monterey and Summit had been fully operational during all 12 months.

This process of not filling a facility with inmates all at once is unique to Shock. Typically, new non-Shock facilities are filled with inmates within a month after they are opened. As a result, the Shock facilities are budgeted as full running facilities even though it usually takes six months to reach their full inmate capacity.

It should be pointed out that all of the Shock facilities have intensive rigorous programs run under strict discipline. Four of the facilities are run in a "camp" setting with no external security perimeter. The fifth facility, Lakeview, is a medium security facility with a perimeter because they are housing inmates who are not just the volunteers who signed up for the program. Program rigor has made it necessary to have inmates transferred out of Shock, either because of their behavior or

because it was too tough for them to complete, thus, it is no surprise that the Shock facilities are not always running at full capacity.

By using actual expenditures for FY 1989-1990, Table 7 shows that the average total per diem cost for Shock was 71.9% higher than that of the average total per diem costs for minimum security facilities and 43.6% higher than the average total per diem costs of the medium security facilities in this study.

Lakeview had the highest average per diem cost due to two factors. The first is that the Lakeview costs include the money which is used to run the non-Shock activities of Lakeview Reception dorms where turnover is constant. The second reason was that Lakeview Shock did not reach its full capacity until the middle of April 1990. Thus, at no point in FY 1989-1990 was Lakeview at its full capacity.

As with last year's fiscal data, the program and support expenditures at the Shock facilities were somewhat higher than that of both the Minimum and Medium security facilities. This is due to the fact that all inmates are fully programmed during their six months in Shock. This is not the case at any of the other comparison facilities where program involvement is optional.

Overall at the Shock facilities, 41% of the inmates have been classified at the Medium Security level at the DOCS reception centers. Since there is no perimeter security at four of the five Shock facilities, the cost for security (primarily additional personnel) was higher than those of the Minimum security facilities or of the Medium Security facilities.

It should be noted that the security staffing levels were also different at Shock because the role of the Drill Instructor was unique to these facilities.

In previous years, we have pointed out that it costs more to feed Shock inmates in comparison to the costs for feeding Minimum or Medium Security inmates. This is because the rigorous nature of the program means that inmates are burning more calories. Additionally, all SICFs have restricted package and commissary privileges; therefore the food provided by the facility is all these inmates have available to them. All their meals are mandatory and the food taken by an inmate must be eaten. This policy eliminates the wasting of food by inmates in the program. This is very different from the food, package, and commissary policies of any other facility administered by DOCS.

The clothing costs at Shock are very similar to those of the Minimums where outdoor work is a mandatory part of their programs. (The clothing and food costs are expenditures which come out of the Support Services part of the facility budget.)

Since the Shock facilities release almost all graduates directly to parole supervision, the costs of release clothing for the program were higher than the costs encumbered by the comparison facilities. None of the comparison facilities has the volume of releases that occur at Shock.

Although the Shock Program stresses hard labor, the wages for inmates at Shock are about the same as for the inmates in any of the comparison facilities. (Both the release clothing and inmate wage dollars are a part of the program service budgets of the facilities.)

It must be remembered that the per diem costs are only part of the fiscal story of the Shock Program, as money is being saved due to the early release of Shock graduates and the program's ability to effect bed savings for the Department. Still, as in the past, the conclusion remains that it is more costly to run Shock facilities on a per diem basis when compared to selected Minimum and Medium Security prisons.

Cost Savings Due to Shock Incarceration

To understand how it is possible to realize savings from Shock Incarceration, we must make it clear that it is the only systemic way in which New York State inmates can be released to parole supervision prior to their Parole Eligibility dates (PE dates). Thus, not only do Shock inmates spend less time incarcerated, but the length of the program allows a bed to be occupied twice a year for a six-month period.

On average, the 2,783 Shock releases would have spent 499.1 days in prison (after their time in reception of 43.3 days) until their Parole Eligibility dates, if the program did not exist. As a result of Shock, these inmate graduates only spent 180 days incarcerated (after their average time in reception of 43.3 days) before they were released. Thus, for each graduate, there was a net saving of 319.1 days or approximately ten and a half months from date of release to his/her PE date.

This net saving per inmate is somewhat larger than last year's savings because a larger proportion of Shock inmates in the program have longer sentences. Additionally, the more efficient processing of inmates at Lakeview and Summit means they are not waiting as long to get into the program. The average time to PE at reception increased from 16.8 months for

Shock males in last year's report to 18.1 months for Shock males this year. Additionally, time in reception has diminished from last year's average of 59.6 days to 43.3 days.

Another factor to be considered is that for all DOCS inmates, the proportion who get released in FY 1989-1990 at their initial parole hearings is 63%, while all Shock graduates have been granted parole releases. Thus, if Shock was not available, we could expect that 63% of the graduates would be released at their Parole Eligibility dates, while 37% would be given additional time (which is estimated to be nine months by those analyzing parole outcomes for Earned Eligibility Program certified inmates).

Using the information from Table 7, we were able to generate a program cost savings figure that resulted from placing an inmate in Shock rather than having to house that inmate at either a Minimum or Medium Security facility. This information is presented in Table 8. Assuming that, on average, all inmates spend the same amount of time in reception, we multiplied the average per diem cost per inmate (for each facility type) by the number of days he/she would be incarcerated.

Thus, even though the cost of providing care and custody for inmates is higher at Shock facilities on a daily basis, the number of days spent under custody by an inmate graduate is substantially less than if that inmate had to serve a full sentence at a Minimum or Medium Security facility.

In fact, for every 100 inmates who graduate from Shock, there is a savings of \$1.08 million because we have housed them for less time. These savings are due to the early release of inmates prior to their Parole Eligibility dates.

Additionally, if Shock was not available, it is estimated that 63 of these 100 inmates would get released at their initial parole hearing through the operation of the Earned Eligibility Program. The other 37 inmates would stay incarcerated for an average of nine months. The Department estimates the annual operational and administrative costs per inmate at \$25,000. Therefore, 9 months, or three-quarters of a year of incarceration costs \$18,750. For our purposes, that is an additional savings of \$693,750 for the 37 inmates in post-PE savings.

So, for every 100 Shock graduates, it is estimated that the Department saves \$1.77 million, which it otherwise would have had to expend for the care and custody of these inmates.

Thus, for the first 2,783 releases from Shock, as of October 19, 1990, there was an estimated savings in program costs of \$49.30 million.

Capital Savings: Bed Savings And Associated Costs

An additional set of savings from Shock Incarceration, separate from the operating costs, are the bed savings, which translate into the capital construction costs avoided as a result of not having to house Shock graduates.

If we examine the distribution of the time owed by inmates who graduated Shock, we can determine at any given point how many of these inmates would still need to be housed if Shock were not in existence. Based on these calculations in Table 9 for graduates as of October 19, 1990, there were 1,462 inmates who would have to be housed if Shock were not available.

The cost of constructing these 1,462 beds would be based on portions of the estimated costs for building both Medium and Minimum Security facilities. At present, a 750 bed Medium Security facility would cost approximately \$64.95 million while a 250 bed Minimum Security would cost approximately \$13 million. By using our breakdown in the security classification of Shock inmates, 41% of the 1,462 inmates (or 599) would be Medium Security inmates while the remaining 863 inmates would be of Minimum security classification.

Using the amount of \$86,600 as the cost of one medium bed and \$52,000 as the cost of one Camp bed, our capital costs involved in housing these 1,462 inmates would amount to:

\$ 86,600.00	X	599	=	\$51,909,772
\$ 52,000.00	X	863	=	\$44,854,160
		1,462	=	\$96,763,932

This \$96.76 million is what the Department has saved by not having to build space for these Shock releases.

This estimated bed savings does not take into account the fact that a certain portion of Shock beds are vacant because the program structure has not backfilled platoons when inmates were removed from the program. On average, since the start of the program, the number of vacant beds has been calculated at 248 for Shock facilities. These 248 beds would be filled if the Shock Program did not exist. Thus, they must be subtracted from the 1,462 bed savings for a total bed saving of 1,214.

This adjustment reduces the dollar savings to \$80.35 million, a more accurate representation of the construction avoided because of the Shock Incarceration Program.

By using these figures, the savings to date for the 2,783 releases are equal to \$129.65 million, which includes savings in the provision of care and custody and savings in the cost of capital construction.

In summary, the Shock Incarceration Program is capable of reducing the demand for bedspace and saving the State money, despite the fact that it is expensive to provide this intense level of programming.

DESCRIPTIVE INFORMATION ON SHOCK INMATES

Who Gets Sent To Shock: In Comparison To Other Prisoners

This section briefly reviews the demographic and legal characteristics of inmates who have been sent to Shock facilities in contrast to inmates being housed at the same selected Minimum and Medium Security facilities used in the previous section. The data is based upon a computer file describing inmates who were under custody on November 10, 1990.

Due to the fact that there are restrictions on the characteristics of Shock eligible inmates based on age, time to parole eligibility, and crime type, the typical Shock inmate differs from much of the under custody population.

Table 10 shows that of the 24 demographic and legal characteristics used in this comparison both the males and the females in Shock differed significantly from their counterparts in Minimums in 12 of the categories. There were even more significant differences between Shock inmates and the inmates housed at the comparison medium security facilities. In general Shock inmates were younger and were committed more often for drug crimes. Beyond this, the pattern of differences varies depending upon whether the contrast was between Shock inmates and Minimum security inmates or between Shock inmates and Medium security inmates. For example, Shock inmates have longer to spend than Camps/Minimum security inmates in prison until their PE dates but have less time to their PE dates when they are compared to Medium security inmates.

Who Gets Sent To Shock: In Comparison To Last Year

In comparison to the snapshot of characteristics taken last year, the current population of Shock inmates differs for both men and women in the program in some significant ways. This year's Shock inmates were older at Reception and had longer time to parole eligibility at Reception. This was most likely due to the increase in the age of Shock eligibility which occurred in July of 1989, and to the fact that a higher proportion of Second Felony offenders have entered the program. The data in Table 10 also shows that the proportion of Shock inmates with a 12th grade education or higher has increased.

Some changes of importance were noted for the women in Shock between this year and last. Overall, there was a smaller proportion of Hispanic women and larger proportions of white and black women in the program. The proportion of women

convicted from New York City was lower as was the proportion of women being convicted of drug offenses. This coincided with a decrease in the proportion of women admitting to the use of drugs and an increase in the proportion of women with alcoholic trait MAST scores. The last notable difference was in the sharp increase in the proportion of women who were classified as Medium security level inmates.

A review of the attributes of Shock inmates by gender shows that there are some real differences between the characteristics of men and women in the program. The women are older, more frequently committed for drug crimes, more frequently second felony offenders, more often from New York City, less likely to report prior drug use, are more often minimum security inmates and came to DOCS with more jail time. Additionally, women are more often Hispanic and fewer of them are white or black.

As the parameters of the eligibility and suitability criteria change, the portrait of the typical Shock inmate also appears to be changing. It has yet to be seen if these shifts in the characteristics of the Shock population will necessitate alterations in the delivery of programs to inmates in Shock, but one area the Department is placing more emphasis on is the enhancement of drug treatment components of the program.

Due to the restrictive eligibility criteria which allows only young, non-violent offenders into the program, the majority of inmates in the program (71.7% of the men and 90.3% of the women) have been convicted of drug offenses. A high proportion (i.e., 74.2% of the men and 69.6% of the women) also reported that they had been using drugs prior to their commitment to DOCS custody.

As inmates with drug related crimes constitute an overwhelming majority of the Shock population, steps have been taken to strengthen the delivery of drug treatment to them.

Illustrative Case Histories: Drug Abusers In The Program

The typical Shock inmate has had some criminal history which either directly involved sale or possession of a controlled substance or was designed to gain money in order to support his/her drug dependency. Two case histories of Shock inmates are presented to exemplify these issues:

The first case describes a 21 year old male from New York City whose instant offense involves the sale and possession of crack. He is an admitted drug abuser and addict.

This inmate is a high school drop-out, and his work history has been very unstable. His adult criminal record began in 1983 at age 16. He has eight prior arrests resulting in two prior felony convictions. His criminal pattern involved drug-related crimes or robbery offenses designed to gain money to support his drug abuse. Throughout his history of drug abuse, he has been intermittently enrolled in a variety of drug treatment programs, none of which he has completed. In fact, he was enrolled in a treatment program at the time of his arrest for the instant offense.

The second case describes a 24 year old woman from New York City whose instant offense involves the sale of crack.

She had been a drug abuser since age 19 and a crack user since age 22. The instant offense represents her third felony arrest and first felony conviction. She had previously been arrested for Petty Larceny and Prostitution which were reportedly committed for monetary gain in order to supply her drug habit. She has two sons from two different men and neither child was in her custody. Her last boyfriend was abusive and compelled her to engage in a variety of criminal activity in order to support both of their crack habits. She has had difficulty in maintaining any legitimate employment because of her drug dependency and was being maintained on public assistance. She was sentenced to probation for the instant offense and was allowed to enroll in a residential alternative to incarceration. Ten days after she completed this program, however, she was rearrested on drug related charges and sentenced to prison.

To respond to the needs of drug offenders such as these two inmates, each of the Department's Shock facilities has made a significant staffing commitment to drug abuse services and all inmates are required to attend three to five hours of drug counseling per week while in a Shock facility.

As expressed in the Mission Statement of the Department's Division of Alcohol and Substance Abuse Services, the objective of its substance abuse services is:

To prepare chemically dependent inmates for return to the community and to reduce recidivism, the DOCS' Alcohol and Substance Abuse Program assists participants by providing education and counseling

focused on continued abstinence from all mood altering substances and participation in self-help groups based on the 12 Step approach.

It should again be noted that the Department has been awarded a significant Federal grant to help enhance the drug treatment components of Shock.

EDUCATIONAL ACHIEVEMENT IN SHOCK INCARCERATION

Overview of Educational Components

One of the central concerns of the Shock Incarceration Program is the educational achievement of inmates during their imprisonment. At Shock facilities, education is mandatory for all inmates as they must spend at least 12 hours in class each week. The education program is geared toward trying to enhance the verbal, math, reading, and writing skills of all inmates and to provide the opportunity of GED testing for those inmates who are prepared for this exam.

This educational emphasis for inmates is not a policy unique to Shock, as DOCS has an extensive educational program providing a range of academic education for inmates without high school diplomas. They include Adult Basic Education (ABE) programs in Spanish and English for those who function below the fifth grade level, English as a Second Language (ESL) for inmates of limited English proficiency, and GED classes in Spanish and English for inmates functioning above the fifth grade level.

Initial program placement is based on the results of standardized achievement tests administered upon intake as part of the reception/classification process. Achievement tests are subsequently administered to inmates participating in academic programs to measure progress and to determine eligibility for placement in more advanced level classes.

Formerly, the Department used the California Achievement Tests as the standardized measure but has switched to the Test of Adult Basic Education (TABE) exam.

The demographic data on Shock inmates presented in Table 10 shows that as compared to those inmates of the Mediums and the Minimums both Shock male and female inmates are still significantly younger at admission. Yet since the increase in the age of eligibility the average Shock inmate in November 1990 was older by over a year in comparison to the average Shock inmate of November 1989. As a result, the clear difference that we saw in educational achievement between Shock and non-Shock inmates at reception has diminished slightly. The Shock males and females in comparison to Medium security inmates are still less likely to have completed the 12th grade.

These associations are important as they relate to the ability of the Shock Incarceration program to prepare inmates to take and pass the GED. Since a higher percentage of Shock

inmates lack a high school diploma at intake than the inmates at the Medium security facilities, GED preparation is particularly important at Shock facilities.

Although attaining a GED while in Shock is a desirable goal for all graduates, we must realize that Shock inmates only have six months to do so, and education is only one of many required Shock program components. It is also important to note that Shock inmates start with lower levels of achievement and must show greater improvement in order to be prepared for GED testing.

The significance of having a GED cannot be overstated as a worthwhile personal accomplishment. Data from the Bureau of Justice Statistics and New York State DOCS indicate that higher amounts of prior education or the completion of a GED while in prison, are related to lower recidivism rates. (See Allen J. Beck and Bernard Shipley Recidivism of Prisoners Released in 1983, U.S. Department of Justice, Bureau of Justice Statistics, March 1989 p.5 and New York State DOCS Follow-up Study of A Sample of Offenders Who Earned High School Equivalency Diplomas While Incarcerated, New York State DOCS, Division of Program Planning, Research and Evaluation, July 1989).

TABE Testing

Testing for achievement levels is a valuable diagnostic tool which can be used to match educational programs with skill levels. This testing is even more valuable when it is done longitudinally so changes in achievement levels can be assessed. As such, the Department has stressed the value of at least two tests for each inmate completing Shock. The changes in these scores can then be considered as one measure of the effects of Shock on inmates in the program.

This section analyzes both the Math and Reading TABE scores for 891 Shock graduates between April 1, 1989 and March 31, 1990 who had been given at least two achievement tests. This group constituted almost 84% of the 1,065 inmates who graduated from Shock facilities during that period. It must be pointed out that the typical interval between testing varied from six months (for those who were not tested when they arrived at a Shock facility and whose scores at reception were used) to four months (for those who were tested upon their arrival at a Shock facility).

Math Scores: The average initial math score for these Shock graduates was 7.3. Additionally, only 20.2% (N=161) of the inmates had initial math scores of 9.0 or higher. In

contrast, the average final math score was 8.5. Additionally, 34.5% (N=314) of the inmates had final math scores of 9.0 or higher.

Thus, the overall average change in math scores for inmates during this time period was an increase of 1.2 grade levels.

It should be noted that not all these graduates had increases in their math levels over the course of the six months. In fact, 12.2% (N=56) had declines in their scores, while 24.0% (N=213) had no changes in their scores. Yet, in six months, 63.8% (N=567) of the Shock graduates had increased their math scores by one grade or more.

Of the 567 who did increase their math scores, 63.0% (N=357) increased them by two or more grades, while 19.0% (N=108) increased them by four grades or more during their six months in Shock.

Reading Scores: The average initial reading score for these Shock graduates was 8.0. Additionally, 41.5% (N=367) had initial reading scores of 9.0 or higher. In contrast, the average final reading score was 8.6. Additionally, 43.7% (N=387) had final reading scores of 9.0 or higher.

Thus, the overall change in reading scores was an increase of .6 of one grade level. As with the math scores, not all graduates had reading score increases while in Shock. In fact, 18.8% (N=166) had declines in their scores, while 31.8% (N=283) had no changes in their scores. Still, in six months, 49.3% (N=436) of the Shock graduates increased their reading scores by one grade or more.

Of the 436 who did increase their scores, 61.2% (N=267) had increases of at least two or more grades, while 8.0% (N=35) increased their reading scores by at least four or more grades during their six months in Shock.

These results for graduating inmates in FY 1989-1990 show that there has been a slight decline in the improvements of the reading and math scores of inmates in the program as compared to those of the graduating inmates examined in last year's report (March 1988 through November 1989 graduates).

Still, the TABE test results show some very positive accomplishments for Shock inmates during a six month period, but changes in TABE levels do not automatically mean that it will be easier for an inmate to obtain a GED.

GED Testing

As with previous reports, we have been provided GED test results for all DOCS facilities by the Division of Education. This year we will examine the GED information for FY 1989-1990.

It should be noted that the average population figures for Lakeview SICF which were used in Table 11 do not reflect the inmates kept in Lakeview Reception dorms. This is because the inmates in those dorms are not tested for the GED during their stay at Lakeview.

During FY 1989-1990, inmates were being screened and tested for GED's at all five of the Shock facilities. Since the growth of the program, it was decided to add three additional medium security facilities to the comparison group in order to make it more representative.

Despite the fact that the size of the average inmate population at Shock was 1.2 times smaller than that of the Minimums, the Shock facilities screened 4.1 times as many inmates for GED testing, and tested 3.2 times as many inmates as the four comparison Camps and Lyon Mountain combined. Most importantly Shock inmates earned over 2.6 times as many GED's in relation to inmates at the four comparison Camps and Lyon Mountain combined (see Table 11).

Additionally, despite the fact that the average inmate population of the six medium security facilities was 4.0 times greater than that of the Shock facilities, they screened only 1.3 times as many inmates, tested the same number of inmates for the GED, and obtained only eleven more GED's for inmates than the five Shock facilities (see Table 11).

The comparably high level of GED screening/testing at Shock facilities can be viewed as being the result of the priority assigned to education programs at these facilities and the positive impact of the mandatory education and no transfer policies of the Shock Program.

Despite the short amount of time that inmates are being educated at the five Shock facilities, the proportion of inmates passing the GED in FY 1989-1990 has been comparable to that of the six medium security facilities and the Department overall (see Table 11).

GED And TABE Scores

In last year's report, we discussed a memorandum from the Director of Education at Monterey referencing the relationship between TABE scores and GED success. The memorandum indicated that no inmate with a TABE Reading score of 9.0 or below and a TABE Math score of 8.0 or below had ever passed a GED exam at his facility.

Last year we offered some support for this observation by examining the average TABE Reading and Math entry and exit scores for inmates who were eligible to take the GED at Shock facilities. What we found was that there was a strong association between GED success and higher entry and exit TABE scores for both Math and Reading.

The data was again examined for FY 1989-1990 and the results (presented below) are the same.

What this suggests is that although the majority of Shock inmates make improvements in their achievement levels while in Shock, their ability to pass a GED will be somewhat dependent upon the skills which they bring with them. As such, it may be unrealistic to expect that someone with sixth grade skills will be prepared to take a GED test and pass it within six months.

TABLE 12

ASSOCIATION BETWEEN AVERAGE TABE ENTRY AND EXIT SCORES AND GED STATUS FY 1989-1990

<u>TABE Test</u>	<u>GED STATUS</u>			
	(N=199) <u>Had One</u>	(N=127) <u>Took And Passed</u>	(N=174) <u>Took And Failed</u>	(N=339) <u>Did Not Take</u>
Math In	9.5	8.2	6.8	6.0
Math Out	10.8	10.2	8.2	6.6
Read In	10.7	10.3	7.9	5.7
Read Out	11.4	11.0	8.6	6.1

DISCIPLINARY PROCESS AT SHOCK INCARCERATION

Overview Of The Disciplinary Process

The enabling Legislation for Shock Incarceration indicated that the program should stress "a highly structured and regimented routine, which will include extensive discipline, considerable physical work and exercise and intensive drug rehabilitation therapy."

As a result, DOCS created a program where the participating inmates were constantly being supervised, evaluated and pushed to make changes in both their behavior and attitude. This is not a new concept in corrections, yet it has been the most publicized aspect of the program. It may be more important to point out that even though inmates volunteered for this program, once these relatively young inmates arrived at a Shock facility, not all of them reacted positively to either the program goals or the means of achieving these goals.

For the first time in many of their lives, limits had been placed on the behavior of these volunteers. Many had joined the Shock Program initially because all they heard was that after six months, they would be back on the streets. However, the reality of the program was that, in return for this early release, they would be pushed harder than they had ever been pushed before to make positive changes in their lives. Because of the program rigor, many did not get to finish the program.

Those inmates who realized that the program was too tough for them left voluntarily. The earlier referenced Tables 4 through 6 show that of the 1,967 inmates who had been transferred from the program through October 19, 1990, 33.1% (N=652) left voluntarily. On average, these inmates decided to do so within 18 days of their arrival.

Most of the inmates who left the program prematurely did so because of disciplinary problems, and they constituted 34.9% (N=687) of the inmates who were transferred out. On average, it took close to six weeks for them to leave. This group consisted of: (a) inmates who were chronic problems who continually violated the rules of the program; (b) inmates who wanted to leave the program, but not willing to admit defeat, decided to take some action and get themselves transferred out; and (c) inmates who may not have been in trouble previously, but who got involved in a particularly blatant display of disregard for staff, peers, or the rules of the program.

It should be noted that in comparison to last year the proportion of inmates leaving the program for disciplinary reasons has been declining while the number of inmates being removed for unsatisfactory program adjustment has shown a dramatic increase. This may be due to the fact that the inmate evaluations are being reviewed more closely by the Superintendent's Review Committees and actions are being taken to remove marginal or problem inmates prior to their involvement in any misbehaviors.

The strict discipline and high level of supervision provided at Shock are part of the general treatment plan of the program. They also constitute part of the security of these facilities, the majority of which do not have perimeter security or secure areas of confinement for disruptive inmates. As a result, when problem inmates disrupt the security of the facility, they have typically been transferred out. It should be re-emphasized that 41% of these Shock inmates did receive a Medium Security designation at DOCS reception.

The three Tier disciplinary process that is used in all facilities is also used at Shock facilities, but it is not used as a measure of first resort to help adjust an inmate's behavior. Instead, the "learning experience" has been used most often as a way to make disruptive inmates aware that their negative habits are undesirable actions in the Shock community. These experiences have been designed to be continual reminders to all inmates that it is necessary to change bad habits into useful ones because there are consequences for such disruptive behavior both in and out of prison.

Shock inmates receive a variety of informal counseling from security and civilian personnel at the facility prior to being given a misbehavior report. Disciplinary reports have also been used in conjunction with learning experiences as these experiences may be the resulting disposition for a misbehavior.

As a result of the stricter regimen and the variety of ways inmates have reacted to the program, we have seen that there are more serious disciplinary reports handed out at the Shock facilities than at our comparison facilities.

Disciplinary Activity At The Shock Facilities

As with last year's report, we have made an effort to automate disciplinary data for all inmates who have gone to Shock facilities. In this process, we have relied on data from the facilities, as we have requested copies of all Tier II and

Tier III disciplinary reports (which are the most serious misbehaviors) as they occur. The information presented in Tables 13 through 15 represents data from that effort. During FY 1989-1990, the facilities sent us 538 Tier II reports and 332 Tier III reports. As in the past our use of a manual collection and coding process with these reports is designed to provide us with more detail than is currently available with any automated system.

Table 16 is constructed from information on facility disciplinary activity for all the comparison facilities used in this study from the office of the Director of Special Housing. In future studies, we plan to be able to rely on data from the automated disciplinary system which became operational in all DOCS facilities statewide in January 1990.

The data on disciplinary activity in Tables 13 through 15 indicate the following:

(a) Less than a third (29.7%) of inmates in the Shock program were involved in disciplinary activity involving Tier II or Tier III hearings.

(b) Of the 584 inmates with Tier II or III reports, 69.2% were involved in one incident while the remaining 30.8% were involved in more than one incident.

(c) These 584 inmates were involved in 870 Tier II or Tier III misbehaviors.

(d) Of the 870 misbehaviors, the majority (61.8%) were of the Tier II level.

(e) Of the 1,065 "graduates" from Shock during FY 1989-1990, 214 (or 20.1%) were involved in Tier II misbehaviors while 44 (4.1%) were involved in Tier III misbehaviors. These 258 inmates were responsible for 354 misbehaviors, the majority of which (79.4%) were of the Tier II level.

(f) Of the 903 inmates removed from the Shock program during FY 1989-1990, 154 (or 17.1%) were involved in Tier II misbehaviors while 172 (or 19.0%) were involved in incidents at the Tier III level. These 326 inmates were responsible for 516 misbehaviors, the majority of which (50.2%) were of the Tier III level.

(g) A comparison of the types of misbehaviors among graduates and program transfers shows that graduates were more often involved in inmate fights, refusals to follow orders, and disruptive behavior, while program transfers were more often involved in staff assaults, verbal abuse of staff, and acting out after being fed up with the program.

In summary, these data show that less than one-in-three inmates in the Shock Program gets involved in misbehaviors and those who do, typically get involved in only one incident. These data also indicate that most misbehaviors are at the less serious Tier II level. Additionally, program graduates who misbehave are more likely to be involved in less serious disciplinary activity than the inmates who commit offenses and are transferred from the program.

Disciplinary Activity - An Inter-Facility Comparison

Table 16 compared the disciplinary activity at the five Shock facilities with that of the four Camps plus Lyon Mountain and six Medium Security facilities. By examining Table 16 the following observations can be made from this year's data:

1. There was a great deal of variation in the rates of misbehavior reports even among facilities of the same security level.
2. When variation in population sizes was taken into account, the rate of misbehaviors per 1,000 inmates at the Minimum security facilities was 1.5 times greater than at the Shock facilities while the rate at the Medium Security facilities was 2.5 times greater than at the Shock facilities.
3. When variation in population sizes was taken into account, the rate of Tier I hearings per 1,000 inmates at the Minimum security facilities were 3.7 times greater than at the Shock facilities while the rate at the Medium Security facilities was 6.5 times greater than at the Shock facilities.
4. When variation in population sizes was taken into account, the rate of Tier II hearings per 1,000 inmates at the Minimum security facilities was 1.2 times greater than at the Shock facilities while the rate at the Medium Security facilities was 2.2 times greater than at the Shock facilities.

5. When variation in population sizes was taken into account, the rate of Tier III hearings per 1,000 inmates at the Minimum security facilities was 1.3 times less than at the Shock facilities while the rate at the Medium Security facilities was 1.4 times less than at the Shock facilities.

Thus, Mediums had the highest rate of misbehaviors, Tier I and Tier II hearings per 1,000 inmates, while Shock facilities had the highest rate of Tier III hearings per 1,000 inmates.

Two possible reasons for this variation in the number and type of misbehavior reports being filed at these facilities are either that the inmate populations differed a great deal (even from one Camp to another Camp) or that the disciplinary processes at these facilities vary a great deal both procedurally and in their reporting threshold.

One conclusion that can be drawn from this information is consistent with our understanding of a regimented program like Shock. That is, in this program, inmates are more heavily supervised and yet there is little reliance on the Tier I process as problems at this level are handled by staff on the scene with learning experiences. Inmates who do not gain from these experiences will quickly have their cases escalated to hearings at higher Tiers. One way of interpreting some of the data presented earlier in Table 14 is that of the 332 incidents involving Tier III activity, 78.0% (N=259) occurred among inmates who were removed from the program.

One point that needs to be reiterated is that even though all the inmates sent to Shock willingly volunteered for this program once they arrived, not all willingly followed the rules and regulations. When it was possible, the staff at Shock facilities worked with inmates in order to get them to develop appropriate behaviors and attitudes. Not only would this help inmates get through the program, but this would also help them get through the rigors of life upon release. Most inmates did conform and learn from their mistakes, but there were those who did not, and Shock could not help them. As one Facility Counselor aptly said, "it is not their time to change."

Strict and consistent discipline in Shock facilities is very important to the running of these programs. In writing about the discipline in Shock programs nationally, Dale Parent concluded:

"The programs we observed varied in the consistency with which rules were enforced. Where rules were less consistently enforced, it appeared inmates

were more prone to test the limits of enforcement. Confrontations with staff seemed more numerous and overall tension levels seemed higher. Where rule enforcement was consistent, inmates seemed less prone to test their limits, confrontations were less evident, and tension levels seemed lower...In terms of molding offender behavior, consistency and accountability in expulsion practices are important factors. The offender learns that his or her actions have clear, well defined consequences: that appropriate self control will be rewarded and inappropriate behavior punished." (Dale Parent - Shock Incarceration: An Overview of Existing Programs pp. 25-26.)

UNUSUAL INCIDENTS AT SHOCK FACILITIES

Overview of Unusual Incident Activity

The relationship between misbehavior reports and Unusual Incidents has not been studied in any great detail. We do know that not all misbehavior incidents rise to the level of an Unusual Incident, but as the number of Tier III misbehavior reports increases, so will the number of Unusual Incidents (UI's).

If this is the case, then we can expect that there would be more UI's reported from Shock facilities than from any of our comparison prisons. However, the more interesting question would be whether the types of incidents at Shock facilities were different from the UI's reported from the comparison facilities.

In the last Legislative Report we presented information indicating that the type of UI's occurring at Shock facilities differed somewhat from the UI's reported at our comparison prisons. This was not surprising since the correctional philosophy of the Shock Program is different from all other DOCS prisons as are the expectations of the inmates and staff who are there.

It cannot be stressed enough that the Shock Incarceration Program has strict discipline as its basis. It can safely be said that the threshold of what constitutes an infraction or a breach of rules in Shock is lower than at other facilities. This is designed to insure that inmates participate at all times in all aspects of the program.

Over time staff who work in the Shock facilities become accustomed to the new standards of inmate behavior. Incidents involving breeches of the rules which might not have been considered a reportable event at another facility become reportable in Shock.

Lakeview Reception:

As previously stated, the information in some sections of this Report contains data from both the Lakeview Shock units and the Reception portion of Lakeview. Specifically, for the information presented on misbehaviors and fiscal expenditures it was not possible to separate the activity occurring at these two separate areas of the prison.

However, the automated UI system does have the ability to breakout the number of incidents occurring at Lakeview Shock from those occurring at Lakeview Reception. As such we have included only the UI information from Lakeview Shock in this section of the report.

The reason this distinction may be important is that Lakeview Reception serves as the screening and diagnostic facility for all Shock eligible males. As such they receive all male inmates who have eligible crimes, sentences, and ages. The reception dorms at Lakeview house inmates awaiting screening and orientation, eligible older volunteers waiting for their sentencing Judge to approve their participation, inmates who have been denied access to Shock, inmates who refuse to go to Shock, and inmates who have been removed from Shock. Additionally, the Lakeview Reception beds contain 32 Special Housing Unit cells where inmates with disciplinary problems are sent prior to their being shipped to another non-Shock facility.

For those inmates who are waiting to go to Shock there is a new platoon started every week and their wait in Reception is often short. They will not usually get involved in trouble which could jeopardize their status. This is also true for those inmates awaiting a Judge's approval.

Rate of UI's Per 1,000 Inmates:

An examination of the overall rate of UI's per 1,000 inmates in Table 17 indicates the average rate of reported incidents at the Shock facilities was, as expected, higher than the rate of UI's at the comparison facilities. Since not all incident types represent negative behavior by inmates (such as staff misbehaviors and accidents), the report will examine some specific incident types in order to understand more about the nature of the Shock program.

Unusual Incident Types:

Given the nature of the Shock program, we expect to see differences in the frequency of the occurrence of certain Unusual Incident types. Three incident types will be examined here in order to understand the relationship between incidents and program issues. They include contraband, assaults on staff, and assaults on inmates.

Contraband: In a tightly regimented program such as Shock where there are limits on visits and no packages from home the possibility of the introduction of "external" contraband into the facility and into the hands of inmates is greatly reduced.

Yet, contraband also consists of inmates possessing items from the facility which they should not possess (multiple bars of soap, razor blades, homemade booze, homemade weapons) and since the level of supervision is designed to be higher at Shock facilities the existence of prison based contraband should also be minimal.

In FY 1989-1990 only 2.7% (N=2) of the 75 UI's reported from Shock facilities were listed as contraband. In contrast, contraband incidents comprised 10.6% (N=7) of the Minimum/Camp facilities UI's, and 14.2% (N=33) of the Medium security facilities UI's.

Staff Assaults: Incidents of inmates assaulting staff accounted for almost half of the UI's reported at Shock (49.3%). A review of Table 18 shows that injury occurred to staff in 29.7% of these incidents.

In the Minimum/Camp facilities staff assaults constituted only 9.1% of their Unusual incidents, but injury to staff occurred 33.3% of the time.

In the Medium security facilities staff assaults comprised 9.0% of the reported UI's and injury to staff occurred in 38.1% of those incidents.

Thus, while the proportion of staff assault incidents at Shock was substantially higher than those which occurred at the comparison facilities the proportion of incidents where staff incurred injury was somewhat lower than at Minimum or Medium security facilities. This may be an indication that the threshold of what is reported as a staff assault at Shock may not be as high as it is with other DOCS facilities.

It should also be noted that 59.5% (N=22) of these incidents occurred within the first two weeks of an inmate being in the Program (i.e., zero-weeks - the initial period of Shock indoctrination), while 86.5% (N=32) occurred within the first month of an inmate arriving at Shock. Most importantly, all 37 inmates involved as assailants in these incidents were removed from Shock as a result of their actions.

Inmate Assaults: One of the primary concerns in the operation of any correctional facility is the ability to provide inmates with a safe environment to live. One measure of the relative safety of that environment is the number of reported incidents of assaults on inmates which occur there.

In FY 1989-90 2.7% (N=2) of the reported UI's at Shock facilities were for assaults on inmates and injuries were reported in neither incident.

In the minimum security facilities 12.1% (N=8) of the reported UI's were for assaults on inmates and no injuries were reported as a result of these altercations.

In the medium security facilities 16.3% (N=38) of the reported UI's were for assaults on inmates and injuries occurred in 18.4% (N=7) of those incidents.

Quick reviews of either the number or rate of UI's provides little understanding of what actually occurs at a facility. At best, UI's are a crude barometer of the atmosphere of a facility. However, the numbers may be influenced by many factors (such as reporting differences) unrelated to the stability of a facility. To understand the circumstances under which UI's occur they must be studied more closely.

PERSPECTIVES OF SHOCK: A QUALITATIVE APPROACH
CASE HISTORY SUMMARIES

Overview

In the first Report To the Legislature we examined some of the attitudes of both Shock staff and inmates towards the program. Last year the emphasis was on the examination of attitudes of inmates who completed Shock and were released to parole including those who had failed and those who had succeeded. In this year's report we would like to focus on observations about the effectiveness of the New York State Shock Incarceration Program from a variety of perspectives.

As we have previously mentioned, Shock Incarceration consists of two distinct components; the institutional phase run by DOCS, and the aftercare phase run by DOP. To a large extent, these two phases complement each other as DOCS and Parole staff work together to prepare inmates for successful reintegration into the community. The efforts by both agencies, with the assistance of a variety of community service providers, have been effective in helping most graduates make a successful transition. Yet despite all efforts, some graduates do fail and return to DOCS custody. A detailed examination of a sample of Shock failures is presented in another section of this report.

In the past we have pointed out that the Shock inmates are younger, admit to drug and alcohol abuse, have been convicted of a drug related crime, and are committed from the New York City boroughs. Additionally, they come to DOCS custody with reading and math skills which are, on average, below the eighth grade level. As Parole staff has observed, "This profile indicates that Shock parolees are a population in need. Their youth, lack of education, and substance-abuse histories place them at a high risk of failure."

In addition to their high risk characteristics, DOCS and DOP have identified the circumstances to which these inmates are paroled as being difficult environments and living situations which help contribute to relapse and failure.

The next few pages present some views of the Program and its effectiveness in addressing these problems as seen by inmates who completed the institutional phase of Shock and others.

What Makes Shock Different:

Anyone who has been to a Shock facility in New York immediately recognizes that this is not corrections as usual. Both the staff and the inmates look very different from the staff and inmates at other non-Shock facilities.

This difference apparently impressed a Corrections Officer working at the Downstate Correctional facility who wrote to the Superintendent of Moriah SICF on March 7, 1990. The C.O. related the following information about his first meeting of a Shock inmate assigned to Moriah who was in transit at Downstate due to a pending court case in New York City:

When I had completed the count I called Mr. ----- from his cell. As soon as he reached me he immediately came to the position of attention. I will tell you the truth I had him stand there at attention until I had a complete overall look at him. I examined his pressed and creased clothing and his shined boots. I checked everything. I was impressed...As we talked ... he expressed the empty feeling he was experiencing being away from Moriah.

The CO was so impressed by this young man and how different he was from the typical inmate that he allowed this Shock participant to run three question and answer periods with Shock eligible inmates from Downstate. "Everything went well. He left such an impression on these inmates it was fantastic."

The other people who have noticed this difference are the Shock inmates who have been removed from the Program either because of their disruptive behavior or because they did not put any effort into achieving the Program goals.

In an open, undated letter to the Superintendent of Summit and to the women of her former platoon, one program dropout wrote:

Well, I'm here at Albion and I miss shock so much. I don't like it at all here but I'm making the best of it... My message to all of you is stay focused, don't get into any trouble. The chance shock is giving you, you won't get nowhere else... I lost out and regret it so much I still take heed to the tools Shock has given me. I use them daily. There is plenty of "stinkin thinkin" here but I stay away from it. ----- is here too. She is very hurt to leave Shock. When she seen me she started to cry. I seen in her eyes the same hurt I felt and still do.

Listen up ladies Shock is no joke...Use all the tools cause each and everyone is precious. I blew it by losing focus and not believing.

In a letter dated January 8, 1990, a program dropout from Lakeview wrote the following from his new medium security facility to the Superintendent at Lakeview.

I wish I was still at Lakeview because over here they don't care for you, and they don't want to help you in anyway. At least in Lakeview they try to get you in shape and good health. The food is awful over here. In Lakeview the food is always fresh and the place is much more cleaner, and they dress you better and care how you look, and you become a more respectful person.... Shock was the best thing that happened.

The basis for these feelings of regret about being removed from the program were discussed by Shock graduates in last year's report to the legislature.

Shock was a safe place to be. I wasn't worried about fights, or about my property or about any homosexual stuff. I felt safe going to bed at night, and it wasn't just the staff who protected us, it was the other inmates looking out for you. They treated us like people there not just criminals. (Interview #2 Shock Graduate 8/20/89).

Due to the strong emphasis on community, there is a certain amount of bonding that occurs between platoon members. After all, these are the people with whom they eat, sleep, shower, learn and show their weaknesses and vulnerabilities for six months. Not all platoon members made it, and it is the belief of those graduates who were interviewed that these drop-outs were not motivated or they were rebelling against the program, and were generally bringing the whole platoon down. In contrast, their views of their fellow graduates were remarkably positive. When asked about the inmates in his platoon, one graduate exclaimed,

They were my brothers, we went through hell and back together. We shared a lot of emotions, a lot of good times, and a lot of bad times together. In fact when we all showed up to our first day at the parole office in Manhattan, I was so happy to see these guys and introduced them to my brother. Even

the guys who used to argue a lot in the dorm were happy to see each other. (Interview #1 Shock Inmate 7/21/89).

The word of the benefits of Shock has reached other non-eligible inmates in DOCS facilities who have also expressed an interest in the program. In this letter to the Director of Shock Development on February 14, 1990 an inmate writes,

I've read so much about the program and I feel it would help me prepare myself for society once I'm released. Even to just participate in the program under a volunteer basis and not be released after the end of six months would be fine.

There are numerous testimonials about the Shock Program from inmates who were about to graduate. Most indicated that their lives had changed. They felt good about themselves, they could relate to their families better, and they could face challenges and succeed. Additionally, they felt they had the discipline and self control which would be necessary to stay drug and alcohol free.

One inmate from Monterey summed up the Shock experience of many in a letter to the Superintendent:

I would like to start off by thanking you for a second chance at life. The reason I say life is because if I had sat in prison I would have either wound up dead, or just rotted and my mind and body would have gone to waste worse than it was when I was abusing alcohol. I have gained a lot of knowledge from the staff here, some of which my parents tried to instill in me and some which was foreign. I now have self control, self discipline, I learned to think before I speak or act. I have also become more responsible for myself, I have learned to look within myself and find my faults. All of the staff here is really great, it was like a family I never had as a child....." (Inmate letter Dated 3/9/89.)

There are critics of the Program who indicate that these types of testimonials from inmates going through Shock are just the result of a Program philosophy that appears to resemble cult-like brainwashing in nature. In his column on Moriah SICF appearing in the Philadelphia Inquirer Henry Bryan disagreed with these critics and stated:

The difference is that inmates are encouraged to stop putting their lives in the hands of other people, such as drug dealers, police officers, prosecutors, judges and jailers. Instead they learn to take control of their lives through physical conditioning, healthy habits, stress relief, time management, problem solving, developing compassion for a larger community and a revelatory self-esteem. (Henry Bryan, Philadelphia Inquirer, April 8, 1990)."

Women In Shock

On May 22, 1990, the Village Voice, an alternative weekly newspaper in New York City, published an article by Jan Hoffman entitled "Shock Sisters." This critical view of women in Shock in New York State had some insightful passages and stories to tell and some of that article is presented here.

One issue raised by the article was the way that Shock deals with the self-esteem of women in the program.

... many of the female inmates are victims of domestic violence, with low self-esteem. "We ask them at the beginning to say one good thing about themselves," remarks an Officer at Summit Shock, "and most of them can't." (Village Voice, "Shock Sisters," p. 37).

This was revealed in a statement made to the Village Voice by Lisa Diaz. "The best part of the program was at Network, when I found out how important was my life. I had thought I was nobody. At Shock I felt real safe." (Village Voice, "Shock Sisters," p.41.)

The article was very informative in the description it provided of the problems of two women who returned home after graduating from Summit SICF.

Sharon Taylor was a 26 year old cocaine dealer whose math TABE scores increased by three years while she was in Shock and as a result she received the certificate for Most Improved Inmate (female) in her platoon. Because she successfully completed Shock she was released from DOCS custody five months earlier than her initial parole eligibility date.

Sharon Taylor, normally a serene, good humored woman, was struggling to keep up her spirits. Although she was going to Narcotics Anonymous meetings four and five times a week, she missed the support of her shock sisters, and was disheartened

that despite her associate's degree in accounting, no one would give her even a receptionist's job. "My brother says, 'Don't tell people you were in jail!' And I said to him, 'Why should I be ashamed? I earned my freedom! I earned my Most Improved Certificate and the right to carry the platoon leaders flag! I'm proud of myself!' "

But by the second month, she was working 70 hours a week at two jobs --clerking at a convenience store and word processing for an accountant. She was going to NA meetings twice a week and her parole officer had excused her from curfew. "I realized that my old group of friends all got high, and so the hardest part is meeting new people... At Shock all they can do is offer you the tools --it's up to you to take them". ...This fall she'll begin classes at Monroe Community College, majoring in business administration. (Village Voice, "Shock Sisters," p. 41)

The second story is of Yolanda Johnson a 24 year old, who was a convicted \$ 1,000 a day crack dealer and user from East New York. She indicated in the article that she entered the Shock Program to cut her sentence by nine months so that she could get back quicker to her one year old son. Yolanda was described as having a very hard time with the program, being rebellious until she had four months left and was in danger of being removed. Then she began thinking about the Program more seriously.

It got real bad. But then I began thinking, 'Hey, I've been at Shock too long to get thrown out now.' And slowly the program started building up. Network, drug and alcohol counseling, I was going to school. 'Look at the good in a bad situation,' they would say. 'When you do push-ups you're making your body strong.' I learned about stress, about how to communicate. They said it was a chance to change my life. Well I thought about that...So time came about...Some people it takes a feather, some a nudge, and okay, some a Mack truck. (Village Voice, "Shock Sisters," p.39)

Not only did she get released nine months earlier than her initial parole eligibility date but Yolanda also earned her GED while at Summit SICF.

Although only making \$140 per week while on parole, "She intends to stay straight--indeed she 's just been hired as a group leader for the shock parolees' weekly Network meeting..." (Village Voice, "Shock Sisters," p. 41)

Yet, the article indicates that the temptation for Yolanda's relapse is also part of her life back in New York City.

The other night in the project, a guy ran into her and immediately started digging in his pocket. "I said, 'I don't smoke no more.' So he said, 'Wha'? Baby! This used to be your shit!" "And I said to him, real loud, 'What part didn't you understand? The 'I DON'T' or the 'SMOKE NO MORE?' And he backed right up and said, 'Uh oh baby,' and he flew away." She smiles slyly. "I got that from Summit Shock." (Village Voice, "Shock Sisters," p. 41)

The women with children appear to be especially thankful for their early release and after having gone through the Program they see themselves as being able to be better mothers to their children. In a letter to staff at Summit dated June 8, 1990 one graduate writes.

Thanks to shock I'm now learning how to deal with my problems and not use any substances, to avoid them. It's hard out here being that I have to start all over from scratch, but you know it's worth every struggle I go through to make it work for me. My son has gotten so big. I cried when I first saw him and the good part about it is he came to me with open arms and he says he still loves me...I know I can't bring back yesterdays but I sure as hell can do my best to make up for not being there for him.

Life On The Streets

When asked about their feelings after graduation there was a mixed reaction of joy at having completed this Program and the dread of having to return to a hostile environment. The transition back to the streets for many was a difficult process. Not only have we "shocked" these inmates going into the program, we also "shocked" them when they leave.

The Shock graduates have been described by Division of Parole staff and service providers as being a more motivated group of inmates whose needs for services and support appear to be greater than the typical parolee.

During Congressional Hearings held in Washington in September 1989 on the viability of Shock programs for the Federal Bureau of Prisons, two New York State Shock graduates were allowed to testify before Congress. During those Hearings both Ernest

Crespo and Mario Laboy were introduced to Congress by Doug Millar, Parole's area supervisor for the Aftershock Program in New York City.

According to Mr. Millar, "Mario was released to the neighborhood work program, which is the subsidized work program that all (Shock) parolees in New York (City) are released to, and so impressed them that they hired him as a full-time staff member, and he works in the customer relations area, working with contractors and so on." (House Judiciary Hearing on H.R. 2985, pp. 51-52.)

In his testimony Mr. Laboy made the following observations about Shock and his key to success while on parole.

I wanted to speak about a couple of things, one being that the program really works. It is not about being military, it not about being a soldier...The program, in essence, is really about rehabilitation, therapy, and trying to deal with our problem, which is an addiction. They help us realize that there is a problem that must be addressed and not procrastinate. There is alot of drug counseling, there is school, which in a regular prison, it is up to you to decide whether you want to do that or not...The whole concept is about teamwork, it is about getting ahead and feeling good about what you are doing, feeling confident that you can do something on a sober level, that you don't need drugs to feel like Superman, to carry the world not by yourself but with the help of others, and that is what that is all about. (House Judiciary Hearing on H.R. 2985, pp. 52-53)

Mr. Crespo revealed that during his time on Parole he relapsed but had the foresight to take responsibility and seek help.

After I completed shock, I started working as a dental technician, which is my profession, and I did it for a year, and then I got into my head that I was well; I tended to forget what I learned over there; I relapsed. I got into Promesa...another drug treatment program--and over there I reinforced all the things that I learned in shock...In my case, I see that I was kind of responsible to choose before it got worse, my relapse, to choose to go to another program. I made that decision myself, and with the help of my parole it was approved. (House Judiciary Hearing on H.R. 2985, p.52)

Staying Drug Free

Despite the difficult conditions which await many of these inmates upon their return to the community most are applying the lessons of Shock.

Combatting the urge and temptation of returning to drug use while on parole appears to be a common theme among the graduates. The graduates who are successful seem to have three attributes which help them to stay straight. A genuine commitment to change, a support structure of concerned family and friends, and the willingness to use the relapse prevention and drug treatment resources available to them. The following letters address this issue quite convincingly and are a testimony to the renewed spirits of their authors.

I never thought I'd miss Summit, but I can honestly say I do. The day we got off the bus at 42nd St. we were so frightened. Nothing has changed out here, except us. I stay away from negative people like they taught me there in ASAT. Change people, places and things. It works. (Letter to Summit Superintendent on January 27, 1990).

I've been home 11 months and 19 days drug free and alcohol free! I still go to 4 or 5 N.A. meetings a week, the Fellowship Center at least once a week. Without the outside help it wouldn't be possible to lead a productive life ... Thanks to Shock, N.A. , and the Fellowship Center I plan on starting at John Jay College of Criminal Justice in February. (Letter to Summit Staff December 24, 1989).

In the street it's bad and if I had not learned self control I would have been right back in jail. Everywhere I go I see people selling drugs. Just the other day one of the girls that left Summit camp seen me going home and she stop me and asked me if I wanted to get high. I said no and walked away from her. So you know if you really want to stay clean use your five steps of decision making. Its all up to you if you want to stay clean... About NA, it works. Just yesterday I went to a meeting and you be surprised all the support your get. (Open Letter to inmates at Summit June 18, 1990).

This letter dated May 22, 1989 was sent to the ASAT Director at Summit by a graduate who wanted to report on his progress at staying clean and sober.

I'm making NA meetings everyday. I really like it. Sometimes I get the urge to get high but something in me says no, and believe it or not I like being clean... remember you always said the real test was out here. Well you were right. Nothing's easy out here and nothings changed - only me. Everything else is the same. I really see things different now, and most of all I have that sense of worth again. I'm working now and my family is happy.

For those who recognized the benefits of the Program and learned its lessons about substance abuse there is only praise for Shock. This is shown in the following letters to staff and inmates at Summit SICF.

-- I miss being at Summit and I wish I could be back there under different circumstances. The stuff I learned there was priceless and it's going to stay with me for the rest of my life....I'm a manager of a grocery store, making good money and I owe it all to you and Summit. It's a whole new life for me to be drug free. (December 26, 1989)

I know you've heard 1000 times that what you are taught in Network and A.S.A.T. helps you in the streets. I'm writing to let you know that's not a story, it's reality... I want to thank you for opening my eyes to recovery. (March 17, 1990).

You're probably going to say that I don't owe anyone, but I feel that I should thank you and staff for caring for us and taking time out for us. I've noticed that it's not just your job, that there's a heart in all you caring people. (August 8, 1990).

A number of graduates write to tell how the lessons of Shock have contributed to their making a life for themselves outside prison. These writings are not dramatic in nature, but point out that the Program has many facets which are appreciated by those who go through and graduate from it.

My son is fine. He is calling me mommy and everything. I am missing Summit so much. Yea, even I find it hard to believe but its true...I am giving thought to returning to school since I have my GED, college is a possibility. If you could see me now you would be proud of me. I'm writing to thank you and tell you what Shock does for people is a blessing, look at me. (April 23, 1990).

Shock taught me to push on and not give up. After 2 weeks of unsatisfactory job interviews and me wanting to slack and say forget it, I got a decent job with an accounting firm as a word processor...my point is I didn't give up. (March 8, 1990).

I am a full time student at Marist through the transition program. The classes are tougher than I remembered them being. Perhaps because I never applied myself the way I am now. I never miss a class, spend hours in the library, study 4-6 hours a night on weekdays and about 10 more on the weekends. But it's certainly paying off. Not only are my grades all A's, I'm learning, and that feels wonderful. (February 14, 1990)

I'd like to share with you how Shock has taught me to be the best that I can be. For one, the discipline of the exercise and the consistent time management allows me to pull myself out of bed, be dressed and ready in about 45 minutes, arriving on time for work at 8:45 am... Number two is the understanding of the staff... What was effective for me was the honesty of the confrontations, the attentive staff that guided me through my long journey, and the belief in myself to realize that I was given a second chance thanks to Shock, an opportunity to admit my mistake and strive to learn from it and carry on. (October 11, 1990).

One of the most dramatic letters to be received so far is the letter that comes from a female graduate who appeared to be just hanging on to a clean and sober existence on the street. This letter dated June 27, 1989 was written as an open letter to the Staff and inmates at Summit.

"It's crazy out here. I understand why we went through the things we did. If it wasn't for Shock I would have come back and did the same, get high, sell drugs. I'm still getting up at 5:00 and doing P.T. and eating good. It's hard in New York... but they gave me something at Shock that would always stay with me and that is the tools. We need them out here because everywhere I go there are drugs, people looking bad and smelling bad... I go to N.A. meeting and to the Fellowship every week... I am trying I am doing my best and I feel good about myself... I will stay strong out here I have to. My son's are so big and yes we do P.T. together at the park... I have seen some of the

1st platoon... one of them came up to me... I told him he should look in the mirror and see himself because he is not the person I once knew. He walked away. They picked him up last night. He's in jail. I cry."

Summary

Few who go through this intensive six month Program are unaffected by it. The letters presented above are designed to give the reader a sense of what the Program has meant to some of the people exposed to it. It is designed to put some voices to the numbers which we routinely display in this report and its purpose is designed to be informational.

RESEARCH FINDINGS

As a result of our continuing desire to understand and improve the Shock Incarceration Program in New York State, there are a number of long term research efforts in which we are engaged.

The results of this future research will provide a richer understanding of the effects of this Program while allowing us to make program modifications that can enhance Program effectiveness.

This section of the Report provides preliminary data on three of our efforts where some data is available.

1. Survey Of Judicial Attitudes Towards Shock

As a result of the amended legislation of July 23, 1989, Shock eligibility was extended to inmates in the 26 to 29 year old range with the restriction that they must receive approval for Shock participation from their sentencing judge. Prior to this amendment, the Legislature had allowed the Executive Branch to unilaterally supersede decisions of the Judicial Branch when it came to the placement of Shock eligible inmates. Specifically, the Commission of DOCS could "alter" the Court set parole eligibility date of a sentenced felon by up to two and one-half years. The amendment created the Shock "B" pool of inmates. For this "B" group the Department was to work in conjunction with the judiciary to decide which inmates would benefit most from participation in the Shock Incarceration Program.

In December 1989, DOCS Research staff, with the assistance of the Office of Court Administration Research Office, distributed a survey to County and Supreme Court judges empowered to sentence convicted felons. The purpose of the survey was twofold. First, it was designed to inform the judges about the change in legislation and about their involvement in the decision process. Second, it was designed to measure the amount of information the judges possessed about the Shock Program while soliciting their opinions about how the Program was operating.

The survey was distributed to 369 County and Supreme Court judges throughout the state. Overall, 105 judges responded. The response rate ranged from a low rate of 16% in the New York City counties to a high of 63% in the upstate rural counties.

The highlights of the survey's findings are:

A. Only one out of every six responding judges felt adequately informed about Shock in September 1987. Two out of five, however, did feel adequately informed at the time the survey was administered.

B. Of the 81 judges who stated an opinion, 29 (36%) felt that Shock Incarceration should operate without an upper-end age limit. Twenty-six judges (32%) felt the present 30 years old age limit was the most appropriate cap, while 25 judges (31%) thought a lower age limit would be best for the program.

C. Only five judges reported sentencing convicted young, non-violent felons to prison rather than jail or probation because of Shock, another 15 judges meted out shorter sentences to assure Shock eligibility for convicted, non-violent felons.

D. On the other hand, five judges sentenced individuals convicted for Shock eligible crimes to longer terms of incarceration specifically to preclude the individual from participating in the Shock Program.

E. Only 27% of the respondents acknowledged that their opinion about Shock had changed since the start of the program. However, 82% of those who experienced a change noted it as a change for the better.

F. Judges cited most often discipline, structure and rehabilitation as the aspects of the Program they like the most.

G. Judges disliked the fact that inmates with "second felony offender" statuses are eligible. Judges also stated they desired having more of a voice in the selection of eligible inmates for the Shock Program.

The most encouraging aspect of the survey was that 94% of the respondents indicated that they wanted more data about Shock and they are willing to participate in future surveys. When the Commissioner mailed the results of the survey to the participating judges, he included the Executive Summary and Highlights of last year's Report to the Legislature.

2. Multi-Site Study Of Shock Incarceration

In March 1989, our Department was notified of its selection to participate in a multi-site study of Shock Incarceration Programs by NIJ. By agreeing to participate in this study, the Department committed itself to examine various aspects of

the Program and to report this information to the grant coordinator, Dr. Doris MacKenzie of Louisiana State University.

Both DOCS and DOP have been participating in the study and have been in contact with the staff of the other six states involved in this study.

The most comprehensive effort that we have agreed to undertake is a survey of changes in the attitudes of inmates who have gone through the Program in contrast to attitude changes among a comparison group of Shock similar inmates who did not go through the program.

NIJ SURVEY FROM THE NEW YORK STATE
DEPARTMENT OF CORRECTIONAL SERVICES

As a result of our involvement with the multi-site study of Shock programs sponsored by the NIJ we were requested in our Fall 1989 cluster conference in Washington D.C. to administer a questionnaire which would capture both inmate self report personal histories and inmate self report attitudes. A standardized version of these questionnaires was received for distribution in October 1989 from NIJ.

To adhere to the data collection requirements of surveying two sample groups, one of 100 inmates entering the Shock Program and one of 100 inmates from a corresponding comparison group of general custody inmates, we examined our flow of Shock eligible inmates and determined that Lakeview would be the natural point for this data collection.

Since all male Shock eligible inmates are sent to Lakeview for screening and orientation we felt that it would be best to survey all inmates who arrived at the facility before they were selected, or refused participation, or were disqualified from participation. Since we have an approximate acceptance rate of 65% for inmates sent to Lakeview, we felt that the surveyed inmates would naturally disaggregate into one of the two groups of interest. By using the selection process at Lakeview as a way to "randomize" the creation of these two groups we felt that we would be better able to get attitudinal data prior to any declaration of program status.

Understandably, this process of group selection does not create matched samples. The inmates who are sent to the Shock Program in New York must meet a set of Legislatively mandated "eligibility" criteria as well as a set of Departmental "suitability" criteria.

The process of group selection that was used allowed us to create a comparison group which was legally eligible for Shock based on their crime type, time to parole eligibility, prior indeterminate sentence status, and age. Yet, the only "suitability" criterion that was guaranteed to be similar between the groups was their level of security classification (as maximum security inmates are not permitted to participate in Shock) and lack of psychiatric and medical disabilities that would prevent their participation. These otherwise legally eligible inmates are held at the DOCS' Reception Centers and are then sent on to general custody housing units.

Since other suitability criteria are used as part of the selection process to restrict program access (such as, criminal history or outstanding warrants) the inmates in the comparison group were going to include inmates deemed "unsuitable" for Shock participation.

In fact, only inmates who refused Shock could be used to create a comparison group whose eligibility and suitability statuses were similar to Shock inmates. Typically, these refusers constitute only 25% of the inmates who do not go to the program. Although refusers are present in the comparison group, it is not expected that there will be enough of them in this survey to form their own comparison group. Since randomized assignment to the program is not possible, the two groups are not as similar as we would want them to be, thus, creating additional variation that may account for any intergroup differences that are discovered.

Data Collection:

Due to the need to have assurances from the authors of the Jessness scales about copyright issues, it was not until April 1990 that this agency was able to implement the data collection process at Lakeview. Research staff were able to administer the first 90 surveys at Lakeview over a three day period with the assistance of Drill Instructor William Wright. These initial surveys were not conducted as group directed interviews and a number of issues arose as the inmates completed them in their dorms with Research staff present to answer any questions they had. During this period we discovered that inmates were having some problems filling out the instrument. These problems resulted from:

1. difficulties in following the skip patterns
2. no Spanish version of the survey available for monolingual inmates or those with poor english skills
3. the use of some difficult vocabulary in the survey (i.e., overbearing)
4. inmate suspicions about the personal history

questions, particularly those pertaining to drug use.

Due to these problems it appeared that the average length of time it took an inmate to complete the survey was 35 minutes. Since participation in the survey was voluntary these problems worked to diminish the response rate for completing the survey to approximately 60%.

To alleviate these problems the ensuing forms were completed by inmates in the reception dorm as a group directed by the Sergeant and a C.O. from that dorm. This way all inmates were directed through the survey and problems in understanding the instrument were addressed immediately. This process was considered to be the least disruptive to both dorm and facility operations. After some discussion and "training" of the dorm staff on the administration of the survey and the potential problem areas, blank survey forms were left with the facility and it was requested that that an additional 400 surveys be completed by Shock eligible inmates.

It was determined that it would be necessary to have at least 500 completed surveys in order to meet our obligation to sample 100 inmates who went to Shock and to sample 100 similar inmates who did not go to the program. The large sample size was necessary in order to account for attrition in either group. Since we know that approximately 35% of the inmates who enter Shock do not complete the program it was necessary to "oversample" the Shock attendees. Additionally, we were concerned about our ability to contact and get responses from the non-Shock inmates at the second time point for the longitudinal portion of the survey.

PLANS FOR TESTING AT TIME POINT TWO

When inmates volunteered to participate in the survey they were informed that they would be re-examined at some point in the future to see if there were any changes in their attitudes. This answered the question why the form asked for identifying information (i.e., name and DIN) since they had been told that the survey was to be anonymous.

Since we have a data base file of all the respondents, we will be able to track their custody status and find their location in the system at any point in time. In September 1990, the first group of follow-up attitude surveys was distributed to all the responding inmates.

It is anticipated that the process of collecting data from the graduating Shock inmates will be less complicated than for the non-participants in Shock as the graduates and staff have typically been more receptive to our data collection efforts.

PRELIMINARY FINDINGS: Differences In Inmate Attitudes

As of October 30, 1990 a total of 463 Shock eligible inmates were surveyed at least once at Lakeview SICF, these surveys were administered over a seven month period. Of these 463 inmates, 145 completed a second survey at least five months after their initial participation. **At this time, findings about differences among the inmate attitudes are preliminary in nature, but there are some interesting observations which are worth noting.**

Of the 145 inmates who have responded twice to the survey 73 (or 50.3%) were at Shock facilities at the time of their second response while 72 (or 49.7%) were at other non-Shock DOCS facilities.

According to MacKenzie who has written about the results of this survey as it was administered in the Shock Program run by the Louisiana Department of Corrections,

...successful adjustment outside of prisons has been found to be associated with increases in prosocial attitudes during periods of incarceration (Cullen & Gendreau, 1989). A change toward more prosocial attitudes may be particularly important if the changes that occur during Shock incarceration are to be continued after release... (Doris Mackenzie et. al., An Evaluation of Shock Incarceration in Louisiana, p. 75.)

MacKenzie selected the Jesness Inventory to measure the prosocial attitudes of offenders and a subscale of the Jesness Inventory was administered to New York State inmates as part of our obligation to NIJ.

These scales were developed by Jesness to be used with adolescents, however, subsequent research has found that they can be successfully used with adults. The scales were designed to be indexes to measure tendencies predictive of social and personality problems and, in particular, to distinguish delinquents from others in a wide variety of settings. They were specifically designed to be valid measures of short time changes in attitudes.

(Doris MacKenzie and James Shaw, Inmates Adjustment and Change During Shock Incarceration: The Impact of Correctional Boot Camp Programs, p.14.)

In addition to the 30 true/false questions which comprised this Jesness subscale, twelve additional Likert scale questions addressing inmate attitudes towards the value of their incarceration experience were also administered.

Prosocial Scales Time Point One:

An analysis of the initial Jesness scale responses showed that non-Shock inmates had stronger levels of prosocial attitudes than did those inmates who were sent to Shock. Of the 30 questions there were differences of 20% or more for 13 of them between the answers of the two inmate groups. For example, the question "Police usually treat you dirty" received a "false" response 32.4% of the time from inmates going to Shock and 68.5% of the time from inmates not going to Shock.

This finding was contrary to the research from Louisiana where inmates who went to the Shock Program were "less alienated, socially maladjusted, and aggressive in comparison to the prison sample when they were in the diagnostic center." (Doris Mackenzie et. al., An Evaluation of Shock Incarceration in Louisiana, p. 75.)

Prosocial Scales Time Point Two:

On the second administration of the Jesness questions, the attitudes of the inmates in Shock changes to become more prosocial than their non-Shock counterparts. At this second time point there were only five questions where there were differences of 20% or more between the responses of the inmates in the two groups. In fact, the data indicate that after five to six months in prison the non-Shock inmates became less prosocial in their attitudes, while the Shock inmates became more prosocial.

This again differs from the Louisiana data where "three months later both samples became less alienated and more socially adjusted." (Doris Mackenzie et. al., An Evaluation of Shock Incarceration in Louisiana, p. 75.)

Our findings differ from those of Louisiana in that both their Shock and comparison inmates started with prosocial attitudes at Time Point One and at Time Point Two inmates in both groups indicated that their positive attitudes had grown. It is clear that those who stayed in the Louisiana Program had more prosocial attitudes before they were sent there. In writing about this observation MacKenzie states:

The differences between the incarcerated and the Shock samples suggest the possibility that these groups differed even before they were chosen for the shock program. Decision makers who selected

offenders for the program may have recognized subtle differences in offenders and given priority to those who were more prosocial. (Doris Mackenzie et. al., An Evaluation of Shock Incarceration in Louisiana, p. 76.)

In our study the attitudes of our Shock group underwent a significant positive transition over time and we hypothesize that this is due to program participation. If our Shock inmates had initially been more prosocial than their non-Shock counterparts, the question of whether program exposure had any effect could be raised. In Louisiana this reality had to be considered:

One possibility is that this change would have happened without any influence from the program. From this perspective these offenders were in the process of changing and would continue with or without shock incarceration. The self selection through voluntary participation may be an important component of the program. That is, those offenders who are ready to change or are already beginning to be come more prosocial in their attitudes may be able to learn (or do) what is required of them to stay in the program.

(Doris Mackenzie et. al., An Evaluation of Shock Incarceration in Louisiana, p. 77.)

Attitudes About the Prison Experience:

In addition to the Jesness subscale measuring prosocial attitudes a series of twelve additional questions were used to assess the inmate's perception of their prison experience. The belief here was that inmates going through Shock would have a more positive incarceration experience than those inmates who went to a regular facility. "This would be in direct contrast to findings from previous studies of attitudes in which offenders became more anti-staff with increased time in prison." (Doris Mackenzie et. al., An Evaluation of Shock Incarceration in Louisiana, p. 73, citing Goodstein & Wright 1989.)

Prison Attitudes: Time Point One

The responses of the inmates eventually going to Shock at the first survey indicated that they were slightly more positive about their prison experience than inmates who would eventually not go to a Shock facility. This finding differed from that of Louisiana's where non-Shock inmates began with

slightly more positive attitudes about prison than non-Shock inmates. (Doris Mackenzie et. al., An Evaluation of Shock Incarceration in Louisiana, p. 83)

Prison Attitudes: Time Point Two

As hypothesized, the real differences in attitudes about their incarceration experience occurred at the second survey. The Shock inmates more positive about their prison experiences when compared to the non-Shock inmates.

This finding was comparable to the Louisiana survey results and MacKenzie again offers an interesting explanation for these differences.

This change to more positive attitudes reflects a general trend that was expected in the shock inmates, a trend towards more prosocial attitudes. Not only were the offenders expected to become more positive towards the program but they were also expected to generally become more positive in their attitudes towards other people and to society in general. There are several reasons for expecting a positive change in the offenders who remain in the program. First, in programs such as Louisiana's, in which participation is voluntary, offenders have elected to complete a difficult program. Thus, in some sense, it might be expected that they have come to believe in the program.

There are also some components of the program that might be expected to bring about this change. For one, the program may take advantage of the disruption and stress experienced early during incarceration. Zamble and Porporino (1988) argue this time period may be when the offender is particularly vulnerable and susceptible to outside influences. In fact during the early period of time in prison when they reported high levels of emotional discomfort, the offenders in the Zamble and Porporino (1988) study also expressed a desire to change their lives and take advantage of new opportunities. With time in the regular prisons this desire for change, like the symptoms of stress, declined. Programs such as shock incarceration which begin early in the offenders career in prison may take advantage of this opportunity to change the offender. (Doris Mackenzie et. al., An Evaluation of Shock Incarceration in Louisiana, p. 74)

It should also be noted that a high proportion of shock inmates either very strongly agreed or very strongly disagreed about issues raised in these twelve questions. This indicated a high level of positive enthusiasm about the program. At Time Point Two over 70% of the Shock inmates strongly agreed or disagreed with eight of the twelve questions while the non-Shock inmates never exhibited that high level of strong feelings on any of the twelve survey questions.

From this preliminary analysis of some early data it may be possible to conclude that the Shock experience in New York State can have a positive effect on inmates' attitudes and perceptions about themselves and their prison experiences. This intervention, which many believe to be a better way for inmates to do their prison time, might be having the desired effect. The anecdotal information about how shock has changed its participants appears to have gained some empirical support with this data.

Our continued involvement in the multi-site study will be important to our ability to understand the differences between New York and other states while providing our state with the national recognition and prestige it deserves.

3. Development Of A Typology Of Shock Failures And Successes

Although there is a great deal of anecdotal information about why Shock inmates have done well or have marginal adjustments to parole supervision, a more systematic approach to developing a typology of successes and failures is needed. This typology would be used to determine if certain attributes or combinations of attributes are shared by inmates who have (a) returned to DOCS custody or (b) have remained under parole supervision without any violations for over 12 months. The typology will examine what parts of the Shock process were important to staying out and what parts may have contributed to failure in the program.

In order to develop a survey instrument to capture information relevant to this typology development, interviews have been conducted with graduates who have been returned to DOCS custody. Once the instrument has been created it will be piloted to determine if the results are reliable and valid.

In the Summer of 1990, three graduate students from the School of Criminal Justice at the State University of New York were hired to help develop and administer a survey instrument that would be delivered to Shock graduates who had returned to DOCS custody. The resulting instrument was a very detailed 34 page

questionnaire collecting data on demographics, legal variables, Shock Incarceration activities, attitudes about Shock Incarceration, problems in Shock Incarceration, family related questions, their neighborhoods and their feelings about being reincarcerated. The survey consisted of over 180 questions and took each respondent close to 90 minutes to complete. The survey instrument was pretested on five volunteer inmates and the resulting feedback allowed us to eliminate some questions that appeared to be redundant.

The inmates selected for interviewing were chosen from those who were reincarcerated at Medium Security facilities around New York State. The inmates were asked to volunteer to tell their stories and of the 75 inmates chosen to participate 61 volunteered.

With the cooperation of the Division of Parole, the survey instrument will be used to interview inmates considered Shock successes.

BJA TYPOLOGY SURVEY: SHOCK FAILURES

The following descriptive information is reported from the 61 Shock graduates who had been returned to DOCS custody. Some of the answers provided by our respondents may provide clues in our understanding of what systematically went wrong for these program graduates and why they were returned to custody. More important this information when contrasted with data from the "successes" will confirm problem areas that can put certain inmates at risk for failure and allow us to concentrate more on those areas which might need remediation. In any event this data is preliminary in nature and will need to be examined further in contrast to the responses of the inmates who are deemed to be successful.

EDUCATION

A large majority of the 61 returnees did not have a high school diploma or a GED before they entered Shock. For those who had no diploma, over half tested for the GED while in shock. Of these, nearly half passed the GED. The majority of those who took the GED and passed reported they felt good about themselves, they were proud, and they felt a real sense of achievement. Most who took and failed the GED felt disappointed yet said they would do better next time.

EMPLOYMENT

Prior to Shock, 53 of the 61 respondents were employed prior to coming to Shock, 12 of them as "drug dealers." Most others indicated that they worked in more traditional jobs such as construction or non-skilled positions. The majority of those employed worked full-time and had been employed for two years or less. After Shock the majority of these returnees indicated that the program had changed their attitudes towards legitimate work as many now felt the "need to work" and that working was not all that bad as it helped to teach discipline and responsibility.

CRIMINAL HISTORY/DRUG USE

When asked their age at first arrest, the median age of the returnees was 16 years old with a range of 12 to 24 years old. Over 80% had been convicted of some other offense prior to the crime which they committed to get into Shock. The majority indicated that they had not been in a juvenile correctional facility. Of those who were in a juvenile facility the median age of entry was 14.5 years, and spent less than a year there. At the time of the offense which brought them to Shock a small percentage reported using alcohol two hours before committing the crime. Of this group most indicated that they were "a little drunk" or "very drunk." About half of the sample had reported using drugs two hours before committing their crime; marijuana, cocaine, crack and heroin were the drugs of choice.

FAMILY/FRIENDS/DRUGS

Of those surveyed, the majority were the first in their family to be convicted of a felony. Of those who did have a family member convicted of a felony, it was most often their brother, and that person was punished by being sent to prison. The returnees indicated that a large majority of their friends had been convicted of a felony. After Shock, the majority of those surveyed indicated that they no longer hung around with these friends. The reason for this was that their friends were still involved in crime and as a Shock graduate they wanted to avoid the negative influence of these friends. Half had family members with substance abuse problems and most often that person was either their father or brother. The drug of choice for these relatives was either alcohol or crack.

A large majority did not have any substance abuse treatment prior to Shock. Those who did get treatment received it at various community rehabilitation centers between the ages of 14 and 17.

REASONS FOR GOING TO SHOCK

Those who volunteered for shock did so for many reasons, but three distinct reasons stood out: to receive a shorter sentence, to return to family members faster, and to change themselves. Some also indicated that they volunteered for the structure and discipline, to overcome a drug problem, or because they thought it would be easy. The majority reported having no troubles adjusting to shock. Those who had trouble adjusting blamed it on their problems with the physical training, and difficulty in following authority figures.

OVERALL FEELINGS TOWARD SHOCK

The overall feeling that these returnees had towards Shock was that it was harder or much harder than they had expected. In examining the individual components of the program, the majority of these returnees indicated that the most difficult parts of the program were physical training, learning experiences, Network, and their evaluations. The majority also felt that ASAT, education, workcrews, and Drill and Ceremony were the least difficult parts of the program.

When asked if the various parts of the program were helpful upon their release a large majority believed that Physical Training, ASAT, education, Network, workcrews, and the evaluations were helpful to them. The learning experiences along with Drill and Ceremony were not seen as being helpful.

When asked about the helpfulness and fairness of Shock staff a large majority of respondents felt the D.I.'s were both helpful and fair. This was the same case with the C.O.'s, counselors, teachers, Captains, Superintendents, and crew officers.

A large majority of respondents felt that Shock was a valuable experience. When asked in what ways they thought the program was valuable a majority found Shock helpful for relapse prevention, building self worth, providing decision making skills, achieving goals, understanding behavioral consequences, strengthening family and community ties. Most had indicated that the program helped them to stay alcohol and drug free.

When asked if they felt safe while they were in the program a large majority indicated that they felt safe in Shock, safer than they did in county jail or in a juvenile correctional facility (if they had been there). While in the program, a small number of respondents reported fighting with other inmates or being assaulted by others while in Shock. No one

reported being in a fight with staff nor did they assault any staff member. Curiously, six of the returnees reported that they were assaulted by staff.

The majority of those surveyed did receive a learning experience while in Shock, but also indicated that that they did not get any disciplinary reports, marginal letters, or have to report to a Superintendent Committee. Most indicated that they would recommend Shock to other inmates because they felt that it had improved their lives, helped them to learn some discipline, and that it was a positive environment where change could occur.

When asked if they would have been better off if they had not gone to Shock 73.8% indicated no. This was due to the fact they felt they would not have learned anything of value in a Medium security facility. When asked if Shock had changed them none indicated that they were worse off because of the experience. All of those surveyed said they learned from Shock. The most common lessons involved self respect, responsibility, and self control.

When they were asked to comment on the length of the program there was an even split among respondents in believing that it was either too short or that it was just right. None felt that the program length was too long.

COMMUNITY AND FAMILY

Over 80% of the returnees surveyed were from N.Y.C., specifically Brooklyn, Bronx, and Manhattan. The majority lived in areas of the City that are described as economically depressed. The majority of respondents indicated that they had been living with four or fewer people. Most often they lived with their mother or girlfriend and a brother or a sister. In the first month of their parole they indicated that once again lived in the same areas of N.Y.C. and with the same number of people in their households.

When asked to describe the neighborhood that they most recently lived, the portrait was one of neighborhoods where there was almost full occupancy and few homeless or graffiti ridden buildings. Yet, these were also described as high crime areas where much public drinking and drug use occurred and unemployment was high. Most described these neighborhoods as bad environments and others expressing an opinion were ambivalent about their communities.

Approximately half stated that it was hard to stay out of trouble in their neighborhood because it was a high crime area with much peer pressure and too much temptation. Those who

said they could remain trouble free indicated that they just had to "mind their own business." The majority reported that, given the choice, they would not prefer to live in these neighborhoods.

FAMILY CONTACTS WHILE IN SHOCK

All returnees reported that they called home while participating in the Shock program. Most frequently they called their mother or girlfriend over eleven times. A majority received more than eleven letters from home, and once again most often from their girlfriends and mothers. Almost 60% of these returnees did not receive any visitors while they were at Shock. Those who did get visitors saw their mothers or girlfriends six times or less. Only one-third had guests attend their graduation and usually it was their mothers.

TIME TO FAILURE

One concern of ours in the interviewing of Shock failures was to get a feel for when things began to start deteriorating for them. When they were asked if they had ever been fired from a job while on parole only 12% indicated that had and within 10 weeks of their release from DOCS. When asked if they had ever quit a drug treatment program while on parole 33% had said that they had and within eight weeks of their initial parole.

While on parole 57% indicated that they used alcohol starting sometime within the first eight weeks. Additionally, 59% also indicated that they used drugs on parole (such as marijuana, crack, cocaine and heroin) half of who began after eight weeks on parole.

The Shock and after Shock experience did not effect the attitudes of these inmates towards alcohol but three-quarters felt Shock changed their feelings about drugs. They now believed that drug abuse will destroy lives both physically and emotionally.

RETURN TO DOCS

All of those surveyed were sent back to DOCS while under parole supervision. Half were sent back to custody within 19 weeks of their release from DOCS. The majority (69%) were sent back as a result of a new crime while the remaining inmates indicated that they were sent back for use of drugs, dirty urine, or because they failed to report to their P.O.

The majority indicated that they had not been drinking or using drugs within two hours of committing the crime that sent them back.

CURRENT PRISONS EXPERIENCE

A majority saw their current prison experience as being very different from Shock. The returnees noticed differences because of the negative attitudes of staff, the negative environment, and lack of structure in their current facilities. A large majority (77%) felt less safe in their new prison than they were in Shock. This was due to a perception of violence in medium security facilities and to the fact that no one cares or talks openly. A large majority also felt less rapport with staff, resulting from the perception that no one cared about them and that there was no one there to help. When asked if they would care to return to a Shock facility 62% said they would, in order to perfect some of the things that they missed the first time around and to be in a positive environment in which to make these changes.

The majority say Shock has value for someone in prison. Most notably Shock gives someone a better outlook than would prison. The vast majority say they will do things differently when they get back out. They indicated that they would move from the areas where they lived, stay off drugs, and find work.

Conclusion

As this section has indicated, the Department has dedicated significant resources to evaluating and understanding the dynamics of this unique program. As the program has grown, so has the general level of interest. Inquiries about Shock routinely come from other jurisdictions who are interested in replicating our effort. The program has also been the target of a great deal of media attention. As the model Shock Program for the country, we are making every effort to explore our program as carefully as possible so we can both enhance its operations and fully explain its benefits.

RETURN TO CUSTODY DATA

In August 1990, a Follow-up study of Shock graduates released between March 1988 and March 1989 was published. Since August we have worked with the Division of Parole staff who have provided parole outcome measures on this group of graduates and the two comparison groups which were constructed for that study. As a result of DOP's cooperation a more detailed analysis of the same inmate groups will be available from both agencies. In this report, and in all future program evaluations, both agencies will use the same comparison groups and follow-up procedures.

This section presents the August 1990 Follow-Up study in its entirety. Some minor modifications have been made to the numbers as a result of extensive review by DOCS and Parole staff. These modifications in no way alter the substance of the report as it was originally presented.

FOLLOW-UP STUDY OF SHOCK GRADUATES

BACKGROUND. The Division of Program Planning, Research and Evaluation of DOCS has been examining the return rates of inmates released from custody for many years. As part of the Department follow-up of inmates who participated in a variety of treatment programs, this report examines the return rates of Shock graduates who have been released to Parole for at least one year. This measure of recidivism has been used to evaluate the success of a number of DOCS programs such as ASAT and Network and is being used to evaluate the Shock Incarceration Program.

Program Description. New York State's Shock Incarceration Program was established by enabling Legislation in July 1987. The Legislative initiative allowed the New York State Department of Correctional Services (DOCS) to create a special six-month rigorous, multi-treatment Program for select young offenders. The program emphasizes discipline, substance abuse education and treatment, with group and individual counseling, as well as academic education, all within a military structure. The Legislature placed restrictions on the age, offense type, time to parole eligibility and prior prison sentences of inmates who would be eligible for this program. The program is voluntary and inmates who participate can reduce their minimum period of incarceration by as much as 30 months.

When inmates successfully complete their imprisonment in Shock Incarceration, they are eligible for release to intensive parole supervision.

Program Objective. As stated in the 1990 Report to the Legislature, the goals of New York State's Shock Program were twofold. The first goal was to reduce the demand for bedspace. The second goal was to treat and release specially selected state prisoners earlier than their court mandated minimum periods of incarceration without compromising the community protection rights of the citizenry.

This report continues the Department's examination of the ability of the program to meet the second of these two goals.

In May and September 1989, the Department issued two follow-up studies of Shock Incarceration graduates. These reports indicated that despite being incarcerated for shorter periods of time, Shock graduates did not return more frequently to DOCS custody when compared to a similar group of inmates who served at least their minimum sentence.

Follow-Up Procedure. It is the Department's standard policy that a minimum follow-up period of 12 months be required for a valid analysis based on return rates.

This study reports on the return to custody status as of March 1990 for Shock graduates released between March 1988 and March 1989. This insures that there have been at least 12 months of follow-up for each graduate.

During the period March 1988 through March 1989, there were 581 Shock graduates. The majority (N=411) of these inmates were released from Monterey's first 14 graduating platoons, while 170 were released from the first five platoons to graduate from Summit.

COMPARISON GROUPS. In order to assess the return rates for these Shock graduates, a key issue was the selection of appropriate comparison groups. In developing comparison groups, it was our intention to find inmates whose legal and demographic characteristics would have made them eligible for the program even though they did not attend. In a sense, we wanted to focus on the effect that this unique incarceration and parole experience has had on Shock graduates in comparison to inmates who appeared to be similar upon their reception to DOCS custody, yet who did not complete Shock. Thus, it was important to limit as much as possible the amount of variation between these groups to only their prison and parole experience.

Pre-Shock Comparison Group. In the previous two reports, only one comparison group was available. It consisted of a group of inmates who were incarcerated prior to the existence of the Shock Program and whose characteristics would have made them

eligible for program participation. However, the number of inmates being released in this comparison group will be diminishing over time. Therefore, the construction of a second comparison group was crucial.

Eligible Inmates "Considered" for Shock But Not Sent. The next logical comparison group to use was the legally eligible inmates who were sentenced to DOCS custody after July 13, 1987, who were screened for Shock participation, and who did not enter the Shock Program. At this time, a sufficient sample of these individuals who were considered for Shock participation have been released and are living once again in their communities for adequate time to permit follow-up research. This group of inmates will grow in number over time as more of them are released through the parole process after completing their court mandated minimum sentences.

Once identified, the groups for study were selected by ensuring their comparability to the Shock graduates. As stated earlier, the period of this study included inmates who had been released between March 1988 and March 1989. During that period, the eligibility for Shock admission criteria was altered to include inmates who had not yet reached 26 years of age. This change in criteria affected the inmates released between December 1988 and March 1989 and is reflected in the comparison groups used in this study.

Additionally, the comparison groups consisted of inmates who had completed their minimum sentences and were released as a result of a parole board hearing or were conditionally released during the target study period.

Like the Shock graduates, the inmates in the comparison group were convicted of non-violent, Shock eligible crimes, who at the time of their admission were required to serve between 6 and 36 months before parole eligibility, whose most serious prior sentence did not include prison incarceration for a non-youthful offender crime, and who were not classified at admission as maximum security inmates.

Since women were not among the first 581 graduates of the Shock Program, they were not included in the comparison groups.

When these selection criteria were applied to the comparison groups, there were 786 inmates in the "pre-Shock" group and 145 in the group "considered" for Shock, who were released between March 1988 and March 1989.

HOW SIMILAR ARE THE SHOCK GRADUATES TO THE COMPARISON GROUPS?

To examine the similarity of the comparison groups to the Shock graduates, the average age, region of commitment and proportion of those incarcerated for drug offenses were examined.

Age. Shock graduates were slightly younger at the time of admission than their counterparts in either comparison group at 20.4 years. The average age of the group considered for Shock was 20.5 years while the average age for the pre-Shock inmates was 20.7 years.

Region of Commitment. The inmates "considered" for Shock were the most likely to be committed from the New York City counties (75.2%). The pre-Shock comparison group of inmates were the least likely to be committed from the New York City counties (68.1%). Of the Shock graduates, 70.1% were from New York City (see Table 19).

Drug Commitments. The proportion of inmates committed for drug offenses among Shock graduates (60.2%) and inmates considered for Shock (58.6%) were approximately the same, while only 46.4% of the pre-Shock comparison group were committed for drug offenses. The main reason for this difference is most of the pre-Shock group pre-dated law enforcement's "War on Drugs" since these individuals entered DOCS from 1984 through early 1987.

Based on this information, it is apparent that the inmates considered for Shock were more similar to the Shock graduates than were the inmates in the pre-Shock comparison group.

RETURN RATES. The analysis of return rates in this study is presented in three parts: (1) an examination of the overall raw data; (2) weighting the data by calculating the expected return rates for Shock graduates based on the raw data for the comparison groups; and (3) return rates for the groups for comparable periods of time at risk on the streets.

Raw Data. Table 20 presents the raw data that was used for this study. It shows the number of inmates released between March 1988 and March 1989 in each of the three release groups, as well as the number and type of returns to custody through March 1990 for each release group. Overall, the table shows that the return rate for Shock graduates was lower than for either of the comparison groups. This was also true for both types of return: new crimes and returned parole violators (RPV's).

Weighted Data. In order to adequately analyze the data, it was important to recognize the disparity in the sizes of the three groups and to reconcile the fact that over time the pre-Shock group will be decreasing while the size of the other two groups will be growing. As a result, we found it necessary to normalize these differences. Instead of simply making calculations on the raw numbers themselves, a set of expected return rates among graduates was calculated using the data for each comparison group.

Table 21 presents the overall expected return to custody analysis, while Table 22 presents this analysis for inmates returned as RPV's. Table 23 presents the analysis for inmates returned with new crimes.

The three tables which utilize the information from Table 20 allow a comparison of the actual return to custody activity of the Shock graduates in relation to what their expected return to custody activity would have been if the Shock graduates were "acting like" the inmates in the two comparison groups.

Tables 21 through 23 and their statistical significance tests (see Table 25) indicate that the differences in the return to custody activity between the Shock graduates and the pre-Shock comparison group were not significant.

However, the differences observed between the Shock graduates and the group of inmates considered for Shock were found to be statistically significant. This means that the lower return rate of Shock graduates probably did not occur by chance alone.

Tables 20 through 23 reflect return to custody activity for all inmates in the three comparison groups who had been released between March 1988 and March 1989. Thus, the time at risk for these inmates ranged between 12 and 24 months. All of the inmates had been out of prison for at least 12 months, but only inmates released in March 1988 had been out for 24 months.

It is important to note that return rates are based upon the number of study group members returned to DOCS's custody within the study period, either as new commitments or parole violators. Parolees may be discharged from supervision at different times throughout the follow-up period. Shock parolees have the potential to spend more time under supervision before discharge as a result of their earlier release, and therefore their time at risk for return as a parole violator will be greater than that of comparison group parolees. However, all study group members are at risk to

return as new commitments throughout the entire follow-up period, although the return may occur following their discharge from parole supervision.

Time at Risk. In order to control for length of exposure, Table 24 was created to show the return rates for inmates with 12 months exposure and for inmates with 18 months of exposure. The 12 month exposure analysis reviewed the experience of all the inmates in the study, however, only returns to DOCS that occurred within the first 12 months after release were considered. The 18 month exposure analysis enumerated inmates released between March 1988 and September 1988 who were returned to DOCS within 18 months of their release.

Table 24 shows that among the inmates in the 12 month exposure group, Shock graduates were the least likely to return to custody, while the group of inmates considered for Shock were the most likely to return. An analysis of the differences between the return rates of Shock graduates and the pre-Shock comparison group appeared to be non-substantial, while the differences in the return rates between Shock graduates and inmates considered for Shock was significant.

An examination of the 18 month exposure group shows that Shock graduates were again the least likely to return to custody while inmates considered for Shock were the most likely to return. A chi-square analysis showed that these observed differences were not statistically significant and could have occurred by chance alone.

The analysis of the return to custody data indicates that on a percentage basis, Shock graduates are coming back less frequently than are inmates who were in either comparison group. Yet, it should be noted that the differences between Shock graduates and pre-Shock inmates were statistically non-significant, while the differences between Shock graduates and inmates considered for Shock reached statistical significance in the 12 month analysis only.

LENGTH OF INCARCERATION. Table 26 shows that, on average, the pre-Shock comparison group served more than twice as much time under custody as did the Shock graduates, while the inmates considered for Shock spent four more months incarcerated than their Shock counterparts. It is expected that as the size of the group of inmates considered for Shock grows, their average time under custody will increase. This is because in order to qualify for eligibility in this sample, they had to have been incarcerated only since July 13, 1987, the date when the search for inmates to be considered for Shock began. As a

result, many of the inmates in this comparison group were serving relatively short sentences in order to be released during the comparison months in question.

CONCLUSION. A consistent theme emerging from our analysis of the return rates of Shock graduates, shows that despite being incarcerated for shorter periods of time, the Shock graduates appear to be returning at a rate similar to a carefully selected, comparable group of inmates.

The implications of these findings are important when considering that because Shock graduates spend less time incarcerated, the cost of housing them in a Shock facility is substantially less than the cost of housing them until the expiration of their minimum sentence in either a Camp or Medium security prison. As of October 19, 1990, the estimated cost savings and cost avoidance for the Department has been estimated to be \$129,646,288. (see Table 8).

While this analysis is based upon the limited number of Shock graduates who have been in the community for one year or more, the findings appear to be consistent with the goals of Shock and the conclusions presented in last year's report to the Legislature, which stated:

The Shock Incarceration Program has been able to achieve its Legislative mandate of treating and releasing specially selected state prisoners earlier than their court determined minimum period of incarceration, without compromising the community protection rights of the citizenry.

FUTURE RESEARCH. Future studies will introduce a third comparison group, inmates who went to Shock facilities but who did not complete the program. At the present time, the number of individuals in this group who have been exposed to parole supervision for at least 12 months is too small to provide any valid comparisons. However, this group may prove to be the most valuable comparison since they presumably shared the same motivational factors at the commencement of their incarceration as did the graduates.

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TABLE 1. CHARACTERISTICS OF SHOCK INCARCERATION PROGRAMS, JANUARY 1990

STATE	YEAR PROGRAM BEGAN	NUMBER OF SITES	NUMBER OF PARTICIPANTS	AVERAGE NUMBER OF DAYS SERVED	PLACEMENT AUTHORITY	VOLUNTARY ENTRY	VOLUNTARY DROPOUT	LOCATED IN LARGER PRISON	RELEASE SUPERVISION
ALABAMA	1988	1	127	90	Judge	No	Yes	Yes	Regular
ARIZONA	1988	1	150	120	Judge	Yes	No	Yes	Varies
FLORIDA	1987	1	100	90	Judge	No	No	Yes	Moderate
GEORGIA	1983	2	250	90	Judge	Yes	No	Yes	Varies
IDAHO	1989	1	154	120	Judge	No	Yes	No	Varies
LOUISIANA	1987	1	88	120	Corrections Dept/Judge	Yes	Yes	Yes	Intensive
MICHIGAN	1988	1	120	120	Judge	Yes	No	No	Intensive
MISSISSIPPI	1985	2	240	110	Judge	No	Yes	Yes	Regular
NEW YORK	1987	5	1,602	180	Corrections Department	Yes	Yes	No	Intensive
N. CAROLINA	1989	1	54	93	Parole Commission	Yes	Yes	No	Varies
OKLAHOMA	1984	1	150	90	Corrections Department	No	No	Yes	Varies
S. CAROLINA	1987	2	111	90	Judge	Yes	Yes	Yes	Varies
TENNESSEE	1989	1	42	120	Corrections Department	Yes	No	No	Varies
TEXAS	1989	1	200 (Capacity)	90	Corrections	No	No	No	Varies

TABLE 2

**DISTRIBUTION OF THE STATUS OF SHOCK ELIGIBLE
INMATES BY GENDER
JULY 13, 1987 TO OCTOBER 19, 1990**

	ALL		FEMALES		MALE	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	13,008	100.0%	1,111	100.0%	11,897	100.0%
SENT TO SHOCK	5,898	45.3%	361	32.5%	5,537	46.5%
APPROVED FOR SHOCK	40	0.3%	14	1.3%	26	0.2%
REFUSED	1,737	13.4%	222	20.0%	1,515	12.7%
DISQUALIFIED	4,965	38.2%	409	36.8%	4,556	38.3%
MEDICAL/PSYCH	1,688	13.0%	234	21.1%	1,454	12.2%
PENDING CHARGES	620	4.8%	12	1.1%	608	5.1%
CRIM. HIST	1,029	7.9%	42	3.8%	987	8.3%
FORIEGN BORN	387	3.0%	10	0.9%	377	3.2%
JUDGE REFUSE	112	0.9%	12	1.1%	100	0.8%
EARLY PE DATE	409	3.1%	65	5.9%	344	2.9%
MAX SECURITY	197	1.5%	5	0.5%	192	1.6%
DISCIPLINARY	97	0.7%	12	1.1%	85	0.7%
PUBLIC RISK	213	1.6%	6	0.5%	207	1.7%
MOVED W/O PAPER	131	1.0%	10	0.9%	121	1.0%
ZERO WEEK DROP-OUT	34	0.3%	0	0.0%	34	0.3%
OTHER	48	0.4%	1	0.1%	47	0.4%
PENDING	368	2.8%	105	9.5%	263	2.2%
APPROVAL RATE	47.0%		37.3%		47.8%	

TABLE 3

DISTRIBUTION OF THE STATUS OF MALE INMATES
SENT TO LAKEVIEW BY AGE GROUP
SEPTEMBER 11, 1989 TO OCTOBER 19, 1990

	TOTAL LAKEVIEW		16-25 YR		26-29 YR	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	5627	100.0%	4064	100.0%	1563	100.0%
SENT TO SHOCK	3,140	55.8%	2,586	63.6%	554	35.4%
APPROVED FOR SHOCK	24	0.4%	18	0.4%	6	0.4%
REFUSED	576	10.2%	271	6.7%	305	19.5%
DISQUALIFIED	1,768	31.4%	1,133	27.9%	635	40.6%
MEDICAL/PSYCH	588	10.4%	367	9.0%	221	14.1%
PENDING CHARGES	270	4.8%	193	4.7%	77	4.9%
CRIM. HIST	519	9.2%	333	8.2%	186	11.9%
FOREIGN BORN	6	0.1%	3	0.1%	3	0.2%
JUDGE REFUSE	86	1.5%	0	0.0%	86	5.5%
EARLY PE DATE	93	1.7%	60	1.5%	33	2.1%
MAXIMUM SECURITY	8	0.1%	7	0.2%	1	0.1%
DISCIPLINARY	34	0.6%	25	0.6%	9	0.6%
PUBLIC RISK	103	1.8%	93	2.3%	10	0.6%
MOVED W/O PAPER	27	0.5%	21	0.5%	6	0.4%
ZERO WEEK DROP-OUT	34	0.6%	31	0.8%	3	0.2%
OTHER	0	0.0%	0	0.0%	0	0.0%
PENDING	119	2.1%	56	1.4%	63	4.0%
APPROVAL RATE	57.4%		65.0%		37.3%	

TABLE 4

STATUS OF INMATES SENT TO SHOCK
 SEPTEMBER 11, 1987 TO OCTOBER 19, 1990

	MONTEREY	SUMMIT MALE	SUMMIT FEMALE	MORIAH	BUTLER	LAKEVIEW	TOTAL
FROM RECEPTION(+)	1,761	993	361	881	842	1,060	5,898
TRAN TO OTHERS(-)	81	44	0	15	15	2	157
TRAN FROM OTHERS(+)	7	2	0	44	45	59	157
GRADUATES(-)	857	563	162	379	352	379	2,692
GRADS TO WR (-)	21	15	12	39	21	41	149
TRAN OUT(-)	619	314	128	302	271	333	1,967
PAROLE FROM WR	12	12	11	22	8	26	91
IN PROGRAM	190	59	59	190	228	364	1,090
DISCIPLINARY	237	155	54	96	91	54	687
VOLUNTARY	217	90	49	121	88	87	652
MEDICAL	25	5	5	10	11	16	72
UNSAT PROG ADJUST	113	50	13	60	67	157	460
INELIGIBLE	17	9	6	10	7	10	59
ALIENS	8	1	0	2	4	0	15
SECURITY RISK	2	4	0	1	2	0	9
OUT TO COURT	0	0	0	0	1	0	1
OTHER REASONS	0	0	1	2	0	9	12
TOTAL	619	314	128	302	271	333	1,967

TABLE 5

AVERAGE NUMBER OF DAYS AT SHOCK FACILITIES
FOR INMATES WHO GRADUATED OR WERE
REMOVED FROM SHOCK AS OF OCTOBER 19, 1990

<u>REASON FOR LEAVING</u>	<u>AVG NUMBER OF DAYS</u>	<u>NUMBER OF INMATES</u>
GRADUATES	180	2,841
DISCIPLINARY	4.8	687
VOLUNTARY	18.1	652
MEDICAL	38.4	72
UNSAT. PROG. ADJUST.	95.9	460
INELGIBLE	36.0	59
FOREIGN BORN	97.0	15
SECURITY RISK	106.4	9
OUT TO COURT	64.0	1
OTHER REASONS	64.2	12
TOTAL	46.7	1,967

TABLE 7

COMPARISON COSTS FOR SELECTED FACILITIES BASED ON DATA
 PROVIDED BY DOCS BUDGET FOR FY 1989-1990

FACILITY	POP	TOTAL SPENT		PROGRAMS SPENT		SUPPORT SPENT		SECURITY SPENT		FOOD SERVICES		CLOTHING		RELEASE	
		PER INMATE	PER DAY	PER INMATE	PER DAY	PER INMATE	PER DAY	PER INMATE	PER DAY	PER INMATE	PER DAY	PER INMATE	PER DAY	PER INMATE	PER DAY
MONTEREY SICF	178	\$76.89	\$10.31	\$19.00	\$47.58	\$2.85	\$0.77	\$0.36	\$1.02						
SUMMIT SICF	213	\$66.60	\$8.78	\$17.38	\$40.45	\$3.26	\$0.57	\$0.30	\$0.95						
MORIAH SICF	165	\$76.58	\$7.72	\$20.02	\$48.85	\$2.97	\$0.90	\$0.19	\$0.92						
BUTLER SICF	200	\$78.28	\$9.33	\$24.25	\$44.70	\$3.63	\$0.87	\$0.44	\$0.97						
LAKEVIEW	427	\$91.53	\$12.08	\$28.18	\$51.27	\$3.33	\$2.23	\$0.29	\$0.56						
SHOCK AVG	237	\$80.52	\$10.15	\$23.05	\$47.92	\$3.25	\$1.30	\$0.31	\$0.82						
PHARSALIA	258	\$44.03	\$6.12	\$13.22	\$24.69	\$2.15	\$0.34	\$0.00	\$0.95						
BEACON	282	\$42.14	\$5.71	\$11.03	\$25.41	\$2.52	\$0.33	\$0.11	\$1.03						
GABRIELS	298	\$45.56	\$5.71	\$12.82	\$27.04	\$1.74	\$0.31	\$0.08	\$1.00						
GEORGETOWN	253	\$43.83	\$5.62	\$11.66	\$26.55	\$2.31	\$0.13	\$0.00	\$0.84						
LYON MT	151	\$68.05	\$7.92	\$16.26	\$43.87	\$1.79	\$0.13	\$0.14	\$1.06						
MINIMUM AVG	248	\$46.85	\$6.04	\$12.68	\$28.13	\$2.12	\$0.26	\$0.06	\$0.97						
TACONIC	426	\$60.96	\$9.26	\$18.55	\$33.15	\$1.18	\$0.17	\$0.02	\$0.83						
WALKILL	622	\$56.48	\$9.23	\$17.87	\$29.38	\$1.01	\$0.21	\$0.04	\$0.89						
ALTONA	522	\$60.70	\$8.92	\$15.92	\$35.86	\$1.54	\$0.15	\$0.06	\$0.77						
OGDENSBURG	733	\$55.47	\$8.75	\$13.57	\$33.15	\$1.73	\$0.23	\$0.06	\$0.75						
WATERTOWN	813	\$49.98	\$8.08	\$13.38	\$28.52	\$1.78	\$0.14	\$0.06	\$0.69						
MIDORANGE	922	\$56.79	\$8.47	\$13.92	\$34.40	\$1.53	\$0.12	\$0.05	\$0.86						
MEDIUM AVG	673	\$56.07	\$8.70	\$15.10	\$32.27	\$1.50	\$0.17	\$0.05	\$0.80						

TABLE 8

CALCULATIONS USED IN DETERMINING SAVINGS
2,783 RELEASES OCTOBER 19, 1990

TYPE OF FACILITY	AVG COST PER DAY PER INMATE	AVG DAYS TO PE TO PE MINUS TIME IN RECPT	COST PER DAY MULTIPLIED BY DAYS TO PE
SHOCK	\$80.52	180	\$14,493.60
CAMP	\$46.85	499.1	\$23,382.84
MEDIUM	\$56.07	499.1	\$27,984.54
FOR EACH 100 INMATES SENT TO SHOCK THE COST WOULD BE \$14,493.60 MULTIPLIED BY 100 OR			\$1,449,360.00
IF SHOCK WERE NOT AVAILABLE 59% WOULD GO TO CAMPS AND 41% WOULD GO TO MEDIUM SECURITY FACILITIES			
THE COST OF HOUSING THESE INMATES WOULD BE \$23,382.84 MULTIPLIED BY 59 INMATES OR			\$1,379,587.27
PLUS \$27,984.54 MULTIPLIED BY 41 INMATES OR \$1,147,366.02 FOR A TOTAL OF			\$2,526,953.28
TO CALCULATE THE SAVINGS FOR THESE 100 INMATES TO THEIR PAROLE ELIGIBILITY DATE BY SENDING THEM TO A SHOCK FACILITY WE MUST SUBTRACT \$1,449,360.00 FROM			\$2,526,953.28
FOR A TOTAL OF			\$1,077,593.28

SAVINGS POST PE DATE

INMATES EQUAL	37
MONTHS SAVED	9
ANNUAL COSTS	\$25,000.00
SAVE PER INMATE	\$18,750.00
TOTAL SAVINGS	\$693,750.00

SAVINGS IN CARE AND CUSTODY \$1,771,343.28

CAPITAL CONSTRUCTION SAVINGS

COSTS FOR CONSTRUCTION OF 750 BED MEDIUM SECURITY PRISON		\$64,950,000.00
COSTS FOR CONSTRUCTION OF 250 BED CAMP		\$13,000,000.00
NUMBER OF BEDS SAVED BY SHOCK W/O VACANCIES		1462
NUMBER OF MEDIUM SECURITY INMATES		599
NUMBER OF CAMP INMATES		863
COST OF ONE MEDIUM BED		\$86,600.00
COST OF ONE CAMP BED		\$52,000.00
COSTS FOR HOUSING MEDIUM INMATES	599	\$51,909,772.00
COSTS FOR HOUSING MINIMUM INMATES	863	\$44,854,160.00
SUBTOTAL: GROSS SAVINGS FOR EARLY RELEASES		\$96,763,932.00
SAVINGS FOR LOSS FOR	248 VACANCIES 101.68 MEDIUM VACANCIES 146.32 CAMP VACANCIES	\$16,414,128.00 \$2,805,488.00 \$7,608,640.00
OPERATIONAL SAVINGS FOR	2,783 GRADUATES	\$49,296,483.54
CAPITAL SAVINGS FOR	2,783 GRADUATES	\$80,349,804.00
TOTAL SAVINGS FOR	2,783 GRADUATES	\$129,646,287.54

1,214 BEDS \$80,349,804.00

TABLE 9

SHOCK BED SAVINGS

MONTH	SHOCK RLSES	REACHED PE FACTOR	REACHED PE 10/19/90	EEP RELEASE	WOULD HAVE BEEN RELEASED UNDER EEP
3-5/88	86	1.0000	86	0.9885	85
JUN 88	56	0.9950	56	0.9870	55
JUL 88	29	0.9828	29	0.9861	28
AUG 88	1	0.9686	1	0.9847	1
SEP 88	62	0.9522	59	0.9838	58
OCT 88	59	0.9354	55	0.9777	54
NOV 88	28	0.9205	26	0.9731	25
DEC 88	112	0.9048	101	0.9680	98
JAN 89	57	0.8880	51	0.9680	49
FEB 89	37	0.8734	32	0.9663	31
MAR 89	56	0.8585	48	0.9643	46
APR 89	69	0.8405	58	0.9617	56
MAY 89	33	0.8245	27	0.9535	26
JUN 89	107	0.8088	87	0.9466	82
JUL 89	64	0.7851	50	0.9348	47
AUG 89	48	0.7484	36	0.9290	33
SEP 89	78	0.7128	56	0.9204	51
OCT 89	111	0.6746	75	0.9103	68
NOV 89	85	0.6333	54	0.8748	47
DEC 89	108	0.5996	65	0.8544	55
JAN 90	110	0.5572	61	0.8192	50
FEB 90	90	0.5048	45	0.7993	36
MAR 90	156	0.4589	72	0.7548	54
APR 90	173	0.4099	71	0.7349	52
MAY 90	168	0.3637	61	0.6782	41
JUN 90	157	0.3113	49	0.6613	32
JUL 90	162	0.2409	39	0.6418	25
AUG 90	175	0.1702	30	0.6306	19
SEP 90	140	0.0990	14	0.6306	9
OCT 90	166	0.0543	9	0.6306	6
TOTAL	2,783		1,501		1,321
PE NOT REACHED		1,282			
NOT RELEASED THROUGH PAROLE OR CR					180
BED SAVINGS AS OF OCT. 19, 1990					1,462

TABLE 10

PROPORTIONAL DISTRIBUTIONS AND AVERAGES OF SHOCK INMATES AND FOUR COMPARISON GROUPS OF INMATES
ON DEMOGRAPHIC AND LEGAL VARIABLES USING THE UNDERCUSTODY POPULATION AS OF NOVEMBER 10, 1990

CHARACTERISTICS	SHOCK	CAMP	LYON	MEDIUM	SHOCK	CAMP	MEDIUM
	MALES N=1,040	MALES N=1,088	MOUNT N=160	MALES N=3,027	FEMALES N=113	FEMALES N=156	FEMALES N=1,313
Percent 21 Years or Older	61.8%	84.9%*	83.1%*	86.9%*	84.1%	89.1%**	90.1%**
Percent Time to PE 13 mo. Plus	66.6%	64.6%	80.6%*	86.9%*	78.8%	70.5%**	79.5%
Percent Alcoholic MAST Scores	20.8%	24.5%	19.0%	24.2%	20.2%	20.5%	26.0%**
Percent Drug Offenders	71.7%	54.0%*	71.9%	39.8%*	90.3%	75.0%**	66.6%**
Percent Drug Use	74.2%	87.9%*	82.7%*	83.1%*	69.6%	71.1%	66.0%
Percent 2ND Felony Offenders	44.7%	55.1%*	70.6%*	60.9%*	63.1%	55.1%**	53.2%**
Percent White Inmates	14.2%	18.4%	11.3%	14.1%	9.7%	13.5%	11.9%
Percent Black Inmates	49.5%	48.3%	53.1%	49.4%	39.8%	47.4%**	47.9%**
Percent Hispanic Inmates	34.5%	32.4%	35.6%	35.7%	49.6%	37.8%**	39.0%**
Percent N.Y. City Commitments	65.2%	67.9%	66.9%	78.3%*	72.6%	68.6%	71.0%
Percent Medium Security	41.7%	0.3%*	0.0%*	96.4%*	32.8%	0.0%**	59.5%**
Percent Minimum Security	58.3%	99.7%*	100.0%*	3.6%*	67.2%	100.0%**	40.5%**
Percent Education Thru 9th Grade	33.6%	33.9%	28.8%*	33.3%	40.2%	38.7%	35.0%
Percent With 12th Grade Plus	27.2%	34.4%*	28.8%	36.8%*	26.2%	22.7%	29.9%**
Average Aggregate Min. Sent.	21.6 MO	20.9 MO	27.6 MO*	41.6 MO*	22.4 MO	20.0 MO**	30.3 MO**
Average Aggregate Max. Sent.	62.3 MO	49.8 MO*	65.3	101.9 MO*	68.9 MO	48.2 MO**	85.9**
Average Prior Felony Arrests	2.0	2.8*	2.9*	3.0*	1.8	2.1	2.1
Average Prior Felony Convictions	.6	1.0*	1.2*	1.2*	.7	.8	.8
Average Age at Recep.	23.7 YRS	29.6 YRS*	28.6 YRS*	30.3 YRS*	25.1 YRS	30.2 YRS**	30.4 YRS**
Average Time PE At Recep.	18.1 MO	16.8 MO*	23.1 MO*	35.9 MO*	18.6 MO	16.0 MO**	24.9 MO**
Average Educational Level	10.2 GR	10.3 GR	10.5 GR	10.3 GR	10.3 GR	9.9 GR	10.1 GR
Average Jail Time At Recep.	106 days	125 days*	138 days*	174 days*	119 days	121 days	165 days**
Average TABE Reading Scores	7.7	7.6	7.7	7.9	7.1	6.7	6.9
Average TABE Math Scores	6.4	6.4	6.3	6.6	6.3	5.9	5.9

* INDICATES A SIGNIFICANT DIFFERENCE BETWEEN SHOCK MALES AND OTHER MALE COMPARISON GROUPS AT .05 LEVEL

** INDICATES A SIGNIFICANT DIFFERENCE BETWEEN SHOCK FEMALES AND OTHER FEMALE COMPARISON GROUPS AT .05 LEVEL

TABLE 11
RESULTS OF GED TESTING
FY 1989-1990

FACILITY	AVERAGE NUMBER INMATES	TESTS GIVEN	INMATES SCREENED	INMATES TESTED	INMATES PER TEST	INMATES PASSING	PERCENT OF INMATES WHO TESTED FOR GED	PERCENT OF INMATES PASSING THE GED TEST
MONTEREY SICF	178	5	371	154	30.8	83	41.5%	53.9%
SUMMIT SICF	213	6	326	186	31.0	67	57.1%	36.0%
MORIAH SICF	165	5	190	116	23.2	37	61.1%	31.9%
BUTLER SICF	200	3	117	88	29.3	47	75.2%	53.4%
LAKEVIEW SICF**	252	2	135	84	42.0	59	62.2%	70.2%
SHOCK DATA	1,008	21	1,139	628	29.9	293	55.1%	46.7%
CAMP PHARSALIA	258	3	82	35	11.7	20	42.7%	57.1%
CAMP BEACON	282	0	0	0	0.0	0	0.0%	0.0%
CAMP GABRIELS	298	3	60	54	18.0	30	90.0%	55.6%
CAMP GEORGETOWN	253	4	95	78	19.5	40	82.1%	51.3%
LYON MT	151	4	42	28	7.0	22	66.7%	78.6%
CAMP DATA	1,242	14	279	195	13.9	112	69.9%	57.4%
TACONIC	426	3	309	105	35.0	42	34.0%	40.0%
WALLKILL	622	3	153	56	18.7	20	36.6%	35.7%
ALTONA	522	3	97	51	17.0	33	52.6%	64.7%
OGDENSBURG	733	3	333	174	58.0	74	52.3%	42.5%
WATERTOWN	813	3	333	162	54.0	98	48.6%	60.5%
MID-ORANGE	922	3	235	81	27.0	37	34.5%	45.7%
MEDIUM DATA	4,038	18	1,460	629	34.9	304	43.1%	48.3%
DOCS TOTAL		185	11,732	5,835	31.5	2,917	49.7%	50.0%

**LAKEVIEW POPULATION DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS

TABLE 13

DISTRIBUTION OF DISCIPLINARY ACTIVITY
 PROVIDED BY SHOCK FACILITIES FY 89-90

NUMBER OF REPORTS	NUMBER OF INMATES	TOTAL REPORTS FOR INMATES
0	1384	0
1	404	404
2	110	220
3	47	141
4	14	56
5	6	30
6	2	12
7	1	7
TOTAL	1968	870

TABLE 14

DISTRIBUTION OF DISCIPLINARY ACTIVITY
 PROVIDED BY SHOCK FACILITIES BY TIER TYPE FOR
 GRADUATES AND INMATE TRANSFERS FROM THE PROGRAM
 FY 89-90

DISCIPLINE TYPE	GRADUATES				TRANSFERS				TOTAL			
	INMATES		REPORTS		INMATES		REPORTS		INMATES		REPORTS	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
NONE	807	75.8%	0	0.0%	577	63.9%	0	0.0%	1384	70.3%	0	0.0%
TIER II	214	20.1%	281	79.4%	154	17.1%	257	49.8%	368	18.7%	538	61.8%
TIER III	44	4.1%	73	20.6%	172	19.0%	259	50.2%	216	11.0%	332	38.2%
TOTAL	1065	100.0%	354	100.0%	903	100.0%	516	100.0%	1968	100.0%	870	100.0%

TABLE 15

MOST SERIOUS MISBEHAVIOR TYPE BY INMATE EXIT STATUS
FY 1989-1990

DISCIPLINARY CHARGE	GRADUATES		TRANSFERS		TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
INMATE FIGHTS	49	19.0%	39	12.0%	88	15.1%
STAFF ASSAULTS	3	1.2%	36	11.0%	39	6.7%
VERBAL ABUSE	21	8.1%	41	12.6%	62	10.6%
FED UP W/ PROGRAM	20	7.8%	81	24.8%	101	17.3%
REFUSE ORDERS	93	36.0%	94	28.8%	187	32.0%
DISRUPT BEHAVIOR	38	14.7%	18	5.5%	56	9.6%
CONTRABAND	3	1.2%	4	1.2%	7	1.2%
THEFT	4	1.6%	6	1.8%	10	1.7%
LYING	13	5.0%	7	2.1%	20	3.4%
OTHER	14	5.4%	0	0.0%	14	2.4%
TOTAL	258	100.0%	326	100.0%	584	100.0%

TABLE 16

DISCIPLINARY DATA FY 89-90

FACILITY	AVG POP	AVERAGE MONTHLY MISB REPORTS	AVERAGE MONTHLY TIER 1	AVERAGE MONTHLY TIER 2	AVERAGE MONTHLY TIER 3	MISB RATE PER 1000 INMATES	TIER 1 RATE PER 1000 INMATES	TIER 2 RATE PER 1000 INMATES	TIER 3 RATE PER 1000 INMATES
MONTEREY SICF	178	25.3	5.3	11.0	6.0	142.1	29.8	61.8	33.7
SUMMIT SICF	213	45.3	15.4	24.2	6.3	212.7	72.3	113.6	29.6
MORIAH SICF	165	30.7	1.3	21.5	4.9	186.1	7.9	130.3	29.7
BUTLER SICF	200	16.9	1.0	8.3	7.6	84.5	5.0	41.5	38.0
LAKEVIEW SICF	427	84.9	9.6	37.4	20.3	198.8	22.5	87.6	47.5
SHOCK AVG	237	49.7	7.4	23.9	11.3	164.8	27.5	87.0	35.7
CAMP PHARSALIA	258	47.4	14.4	23.3	4.4	183.7	55.8	90.3	17.1
CAMP BEACON	282	71.3	41.4	15.0	8.3	252.8	146.8	53.2	29.4
CAMP GABRIELS	298	66.9	27.8	34.5	10.8	224.5	93.3	115.8	36.2
CAMP GEORGETOWN	253	69.6	23.5	39.0	5.6	275.1	92.9	154.2	22.1
LYON MT	157	31.1	14.3	11.1	0.8	198.1	91.1	70.7	5.1
CAMP AVG	248	59.9	25.5	25.7	6.6	242.0	103.2	104.0	26.7
TACONIC	426	116.4	22.3	72.3	12.5	273.2	52.3	169.7	29.3
WALKILL	622	168.0	68.1	78.6	12.9	270.1	109.5	126.4	20.7
ALTONA	522	197.8	76.3	104.8	19.2	378.9	146.2	200.8	36.8
OGDENSBURG	733	266.0	119.9	128.9	9.2	362.9	163.6	175.9	12.6
WATERTOWN	813	370.0	179.8	158.9	14.3	455.1	221.2	195.4	17.6
MID-ORANGE	922	222.5	97.4	99.1	17.7	241.3	105.6	107.5	19.2
MEDIUM AVG	572	237.3	102.9	111.3	14.4	414.9	179.9	194.6	25.1

TABLE 17

UNUSUAL INCIDENTS OCCURRING IN FY 1989-1990

FACILITY	AVG NUMBER INMATES	NUMBER OF UP'S	RATE OF UP'		INMATE DEATHS	ESCAPES	FIRES	SUICIDE ATTEMPT	CONTRA- BAND	ACCIDNT	TEMP REL	DISRUPT BEHAV	OTHE	TOTAL
			PER 1,000 INMATES	STAFF INMAT ASSLTS ASHLT										
MONTEREY SICF	178	5	28.1	1	0	0	2	0	0	2	0	0	0	5
SUMMIT SICF	213	9	42.3	3	1	0	0	0	1	1	0	1	2	9
MORIAH SICF	165	23	139.4	17	0	0	0	0	0	5	0	0	1	23
BUTLER SICF	200	12	60.0	6	1	0	1	1	1	1	0	1	0	12
LAKEVIEW SICF**	252	26	103.2	10	0	0	0	0	0	9	0	1	6	26
SHOCK DATA	1,008	75	74.4	37	2	0	3	1	2	18	0	3	9	75
PHARSALIA	258	10	38.8	0	2	0	0	1	2	2	1	0	2	10
BEACON	282	24	85.1	1	2	0	1	0	3	5	2	3	1	19
GABRIELS	298	13	43.6	2	2	0	1	0	0	4	2	0	2	13
GEORGETOWN	253	13	51.4	3	1	1	1	0	2	3	1	0	6	18
LYON MOUNTAIN	151	6	39.7	0	1	1	0	1	0	1	0	0	2	6
MINIMUM DATA	1,242	66	53.1	6	8	2	3	2	1	7	15	6	3	66
TACONIC	426	36	84.5	4	4	3	0	0	12	4	6	0	2	36
WALKILL	622	32	51.4	2	6	3	0	4	0	9	4	0	1	32
ALTONA	522	31	59.4	4	8	0	0	1	2	2	3	1	4	31
OGDENSBURG	733	21	28.6	4	1	2	0	2	2	1	0	1	6	21
WATERTOWN	813	42	51.7	6	7	1	0	0	5	3	9	0	3	42
MID-ORANGE	922	71	77.0	1	12	3	1	21	0	13	3	2	4	71
MEDIUM DATA	4,038	233	57.7	21	38	12	1	28	21	33	26	3	15	233

SHADED AREAS INDICATE THAT DATA IN COLUMN WAS AVERAGED NOT SUMMED
 **LAKEVIEW POPULATION DATA DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS

TABLE 18

UI STAFF AND INMATES ASSAULTS
FISCAL YEAR 1989-1990

FACILITY	NUMBER OF U'S	STAFF ASSLTS	WITH INJURY	PERCENT	INMATE ASSLTS	WITH INJURY	PERCENT
MONTEREY SICF	5	1	0	0.0%	0	0	0.0%
SUMMIT SICF	9	3	2	66.7%	1	0	0.0%
MORIAH SICF	23	17	3	17.6%	0	0	0.0%
BUTLER SICF	12	6	3	50.0%	1	0	0.0%
LAKEVIEW SICF**	26	10	3	30.0%	0	0	0.0%
SHOCK DATA	75	37	11	29.7%	2	0	0.0%
PHARSALIA	10	0	0	0.0%	2	0	0.0%
BEACON	24	1	0	0.0%	2	0	0.0%
GABRIELS	13	2	1	50.0%	2	0	0.0%
GEORGETOWN	13	3	1	33.3%	1	0	0.0%
LYON MOUNTAIN	6	0	0	0.0%	1	0	0.0%
MINIMUM DATA	66	6	2	33.3%	8	0	0.0%
TACONIC	36	4	0	0.0%	4	4	100.0%
WALKILL	32	2	2	100.0%	6	0	0.0%
ALTONA	31	4	4	100.0%	8	2	25.0%
OGDENSBURG	21	4	0	0.0%	1	0	0.0%
WATERTOWN	42	6	2	33.3%	7	0	0.0%
MID-ORANGE	71	1	0	0.0%	12	1	8.3%
MEDIUM DATA	233	21	8	38.1%	38	7	18.4%

*LAKEVIEW POPULATION DATA DOES NOT CONTAIN LAKEVIEW RECEPTION DORMS

TABLE 19

PROPORTION OF DRUG OFFENDERS FROM NEW YORK CITY
FOR GRADUATES AND COMPARISON GROUPS

SHOCK GRADUATES

DRUG CRIME	NYC	%	NON-NYC	%	TOTAL	%
YES	281	69.0%	69	39.7%	350	60.2%
NO	126	31.0%	105	60.3%	231	39.8%
TOTAL	407 70.1%	100.0%	174	100.0%	581	100.0%

PRE-SHOCK COMPARISON GROUP

DRUG CRIME	NYC	%	NON-NYC	%	TOTAL	%
YES	285	53.3%	80	31.9%	365	46.4%
NO	250	46.7%	171	68.1%	421	53.6%
TOTAL	535 68.1%	100.0%	251	100.0%	786	100.0%

INMATES CONSIDERED FOR SHOCK

DRUG CRIME	NYC	%	NON-NYC	%	TOTAL	%
YES	68	62.4%	17	47.2%	85	58.6%
NO	41	37.6%	19	52.8%	60	41.4%
TOTAL	109 75.2%	100.0%	36	100.0%	145	100.0%

TABLE 20

RAW DATA FOR RETURN TO CUSTODY STUDY: GRADUATES VS COMPARISON GROUPS

COMPARISON GROUP OF PRE-SHOCK ELIGIBLES

TIME PERIOD	CASES	RETURNS	PERCENT RETURNS	RPV	PERCENT OF TOTAL	NEW CRIMES	PERCENT OF TOTAL
MAR-APR 88	176	80	45.5%	49	27.8%	31	17.6%
MAY-JUN 88	124	48	38.7%	30	24.2%	18	14.5%
JUL-AUG 88	133	52	39.1%	35	26.3%	17	12.8%
SEP-OCT 88	114	45	39.5%	28	24.6%	17	14.9%
NOV-DEC 88	86	26	30.2%	19	22.1%	7	8.1%
JAN-MAR 89	153	30	19.6%	13	8.5%	17	11.1%
TOTAL	786	281	35.8%	174	22.1%	107	13.6%

SHOCK GRADUATES

TIME PERIOD	CASES	RETURNS	PERCENT RETURNS	RPV	PERCENT OF TOTAL	NEW CRIMES	PERCENT OF TOTAL
MAR-APR 88	86	38	44.2%	26	30.2%	12	14.0%
MAY-JUN 88	56	21	37.5%	9	16.1%	12	21.4%
JUL-AUG 88	29	14	48.3%	8	27.6%	6	20.7%
SEP-OCT 88	122	39	32.0%	27	22.1%	12	9.8%
NOV-DEC 88	140	37	26.4%	24	17.1%	13	9.3%
JAN-MAR 89	148	29	19.6%	14	9.5%	15	10.1%
TOTAL	581	178	30.6%	108	18.6%	70	12.0%

INMATES CONSIDERED ELIGIBLE FOR SHOCK

TIME PERIOD	CASES	RETURNS	PERCENT RETURNS	RPV	PERCENT OF TOTAL	NEW CRIMES	PERCENT OF TOTAL
MAR-APR 88	6	4	66.7%	3	50.0%	1	16.7%
MAY-JUN 88	12	6	50.0%	2	16.7%	4	33.3%
JUL-AUG 88	32	18	56.3%	8	25.0%	10	31.3%
SEP-OCT 88	31	9	29.0%	6	19.4%	3	9.7%
NOV-DEC 88	31	14	45.2%	10	32.3%	4	12.9%
JAN-MAR 89	33	9	27.3%	4	12.1%	5	15.2%
TOTAL	145	60	41.4%	33	22.8%	27	18.6%

TABLE 21

*EXPECTED RETURNS TO CUSTODY
BASED ON PRE-SHOCK COMPARISON GROUP*

	SHOCK GRADS	EXPECTED PERCENT OF RETURNS	EXPECTED NUMBER OF RETURNS	ACTUAL NUMBER OF RETURNS	ACTUAL PERCENT OF RETURNS
MAR-APR 88	86	45.5%	39.1	38	44.2%
MAY-JUN 88	56	38.7%	21.7	21	37.5%
JUL-AUG 88	29	39.1%	11.3	14	48.3%
SEP-OCT 88	122	39.5%	48.2	39	32.0%
NOV-DEC 88	140	30.2%	42.3	37	26.4%
JAN-MAR 89	148	19.6%	29.0	29	19.6%
TOTAL	581	33.0%	191.6	178	30.6%

*EXPECTED RETURNS TO CUSTODY
BASED ON GROUP OF INMATES CONSIDERED*

	SHOCK GRADS	EXPECTED PERCENT OF RETURNS	EXPECTED NUMBER OF RETURNS	ACTUAL NUMBER OF RETURNS	ACTUAL PERCENT OF RETURNS
MAR-APR 88	86	66.7%	57.4	38	44.2%
MAY-JUN 88	56	50.0%	28.0	21	37.5%
JUL-AUG 88	29	56.3%	16.3	14	48.3%
SEP-OCT 88	122	29.0%	35.4	39	32.0%
NOV-DEC 88	140	45.2%	63.3	37	26.4%
JAN-MAR 89	148	27.3%	40.4	29	19.6%
TOTAL	581	41.4%	240.8	178	30.6%

TABLE 22

*EXPECTED NUMBER OF NEW CRIMES
BASED ON PRE-SHOCK COMPARISON GROUP*

	SHOCK GRADS	EXPECTED PERCENT OF NEW CRIMES	EXPECTED NUMBER OF NEW CRIMES	ACTUAL NUMBER OF NEW CRIMES	ACTUAL PERCENT OF NEW CRIMES
MAR-APR 88	86	17.6%	15.1	12	14.0%
MAY-JUN 88	56	14.5%	8.1	12	21.4%
JUL-AUG 88	29	12.8%	3.7	6	20.7%
SEP-OCT 88	122	14.9%	18.2	12	9.8%
NOV-DEC 88	140	8.1%	11.3	13	9.3%
JAN-MAR 89	148	11.1%	16.4	15	10.1%
TOTAL	581	12.6%	73.0	70	12.0%

*EXPECTED NUMBER OF NEW CRIMES
BASED ON GROUP OF INMATES CONSIDERED*

	SHOCK GRADS	EXPECTED PERCENT OF NEW CRIMES	EXPECTED NUMBER OF NEW CRIMES	ACTUAL NUMBER OF NEW CRIMES	ACTUAL PERCENT OF NEW CRIMES
MAR-APR 88	86	16.7%	14.3	12	14.0%
MAY-JUN 88	56	33.3%	18.7	12	21.4%
JUL-AUG 88	29	31.3%	9.1	6	20.7%
SEP-OCT 88	122	9.7%	11.8	12	9.8%
NOV-DEC 88	140	12.9%	18.1	13	9.3%
JAN-MAR 89	148	15.2%	22.5	15	10.1%
TOTAL	581	16.3%	94.4	70	12.0%

TABLE 23

*EXPECTED RETURNED PAROLE VIOLATORS
BASED ON PRE-SHOCK COMPARISON GROUP*

	SHOCK GRADS	EXPECTED PERCENT OF RPV'S	EXPECTED NUMBER OF RPV'S	ACTUAL NUMBER OF RPV'S	ACTUAL PERCENT OF RPV'S
MAR-APR 88	86	27.8%	23.9	26	30.2%
MAY-JUN 88	56	24.2%	13.5	9	16.1%
JUL-AUG 88	29	26.3%	7.6	8	27.6%
SEP-OCT 88	122	24.6%	30.0	27	22.1%
NOV-DEC 88	140	22.1%	30.9	24	17.1%
JAN-MAR 89	148	8.5%	12.6	14	9.5%
TOTAL	581	20.4%	118.6	108	18.6%

*EXPECTED RETURNED PAROLE VIOLATORS
BASED ON GROUP OF INMATES CONSIDERED*

	SHOCK GRADS	EXPECTED PERCENT OF RPV'S	EXPECTED NUMBER OF RPV'S	ACTUAL NUMBER OF RPV'S	ACTUAL PERCENT OF RPV'S
MAR-APR 88	86	50.0%	43.0	26	30.2%
MAY-JUN 88	56	16.7%	9.3	9	16.1%
JUL-AUG 88	29	25.0%	7.3	8	27.6%
SEP-OCT 88	122	19.4%	23.6	27	22.1%
NOV-DEC 88	140	32.3%	45.2	24	17.1%
JAN-MAR 89	148	12.1%	17.9	14	9.5%
TOTAL	581	25.2%	146.3	108	18.6%

TABLE 24

RETURN TO CUSTODY DATA FOR GRADUATES VERSUS COMPARISON GROUPS
USING BOTH 12 MONTH AND 18 MONTH EXPOSURES

TIME OF RELEASE	GROUP	<u>12 MONTH EXPOSURE</u>							<u>18 MONTH EXPOSURE</u>						
		# OF CASES	% OF RETURNS	NEW TOTAL	% OF CRIMES	% OF TOTAL	% OF RPV	% OF TOTAL	# OF CASES	% OF RETURNS	NEW TOTAL	% OF CRIMES	% OF TOTAL	% OF RPV	% OF TOTAL
3/88-9/88	SHOCK	234	46	19.7%	20	8.5%	26	11.1%	234	81	34.6%	34	14.5%	47	20.1%
	PRE-SHOCK	496	98	19.8%	35	7.1%	63	12.7%	496	172	34.7%	69	13.9%	103	20.8%
	CONSIDERED FOR SHOCK	65	19	29.2%	10	15.4%	9	13.8%	65	27	41.5%	15	23.1%	12	18.5%
10/88-3/89	SHOCK	347	49	14.1%	20	5.8%	29	8.4%	This group of releases has not yet had 18 months exposure to Parole Supervision as of March 31, 1990.						
	PRE-SHOCK	290	50	17.2%	20	6.9%	30	10.3%							
	CONSIDERED FOR SHOCK	80	18	22.5%	8	10.0%	10	12.5%							
TOTAL	SHOCK	581	95	16.4%	40	6.9%	55	9.5%	234	81	34.6%	34	14.5%	47	20.1%
	PRE-SHOCK	786	148	18.8%	55	7.0%	93	11.8%	496	172	34.7%	69	13.9%	103	20.8%
	CONSIDERED FOR SHOCK	145	37	25.5%	18	12.4%	19	13.1%	65	27	41.5%	15	23.1%	12	18.5%

TABLE 25

**TABLE OF CHI-SQUARE SIGNIFICANCE RESULTS FOR
SHOCK GRADUATES IN RELATION TO THE TWO COMPARISON GROUPS
ON VARIOUS ISSUES IN THIS RETURN TO CUSTODY STUDY.
(SIGNIFICANCE IS ACHIEVED AT THE .05 LEVEL)**

<u>ISSUE DESCRIPTION</u>	<u>PRE-SHOCK VS. SHOCK GRADUATES</u>	<u>CONSIDERED FOR SHOCK VS. SHOCK GRADUATES</u>
1. OVERALL RETURN RATES	NOT SIGNIFICANT	SIGNIFICANT
2. RETURN RATES FOR NEW CRIME VIOLATORS	NOT SIGNIFICANT	SIGNIFICANT
3. RETURN RATES FOR RETURN PAROLE VIOLATORS	NOT SIGNIFICANT	SIGNIFICANT
4. OVERALL RETURN RATES FOR ALL INMATES EXPOSED FOR 12 MONTHS	NOT SIGNIFICANT	SIGNIFICANT
5. RETURNS RATES FOR RETURN PAROLE VIOLATORS EXPOSED FOR 12 MONTHS	NOT SIGNIFICANT	SIGNIFICANT
6. RETURNS RATES FOR NEW CRIME VIOLATORS EXPOSED FOR 12 MONTHS	NOT SIGNIFICANT	SIGNIFICANT
7. OVERALL RETURN RATES FOR ALL INMATES EXPOSED FOR 18 MONTHS	NOT SIGNIFICANT	NOT SIGNIFICANT
8. RETURNS RATES FOR RETURN PAROLE VIOLATORS EXPOSED FOR 18 MONTHS	NOT SIGNIFICANT	NOT SIGNIFICANT
9. RETURNS RATES FOR NEW CRIME VIOLATORS EXPOSED FOR 18 MONTHS	NOT SIGNIFICANT	NOT SIGNIFICANT

TABLE 26

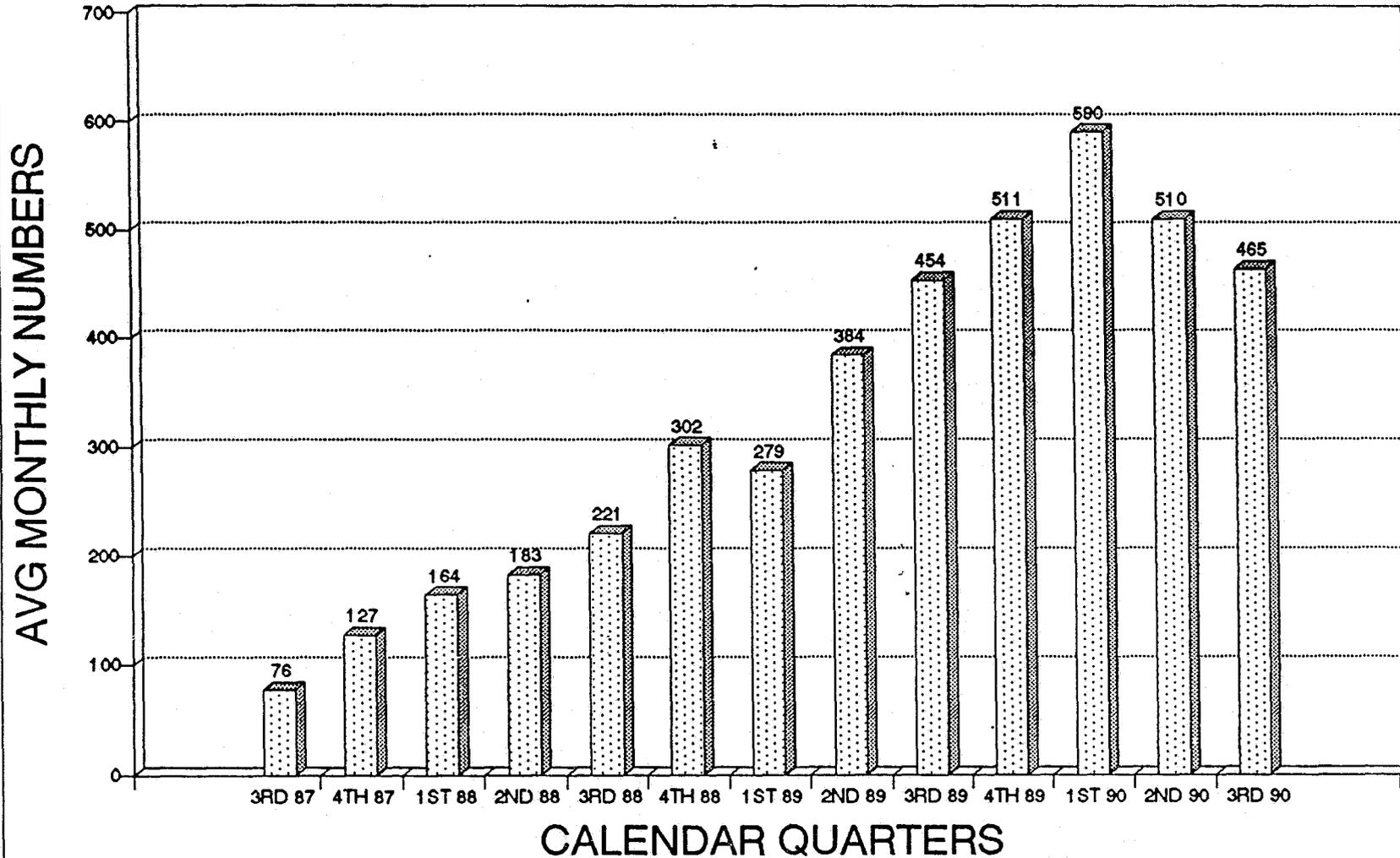
MONTHS INCARCERATED IN DOCS FACILITIES FROM RECEPTION TO RELEASE

SHOCK	NUMBER	<i>581</i>
	AVERAGE MOS.	<i>8</i>
PRE-SHOCK	NUMBER	<i>786</i>
	AVERAGE MOS.	<i>19</i>
CONSIDERED	NUMBER	<i>145</i>
	AVERAGE MOS.	<i>12</i>

DOCS SHOCK ELIGIBLE INMATES

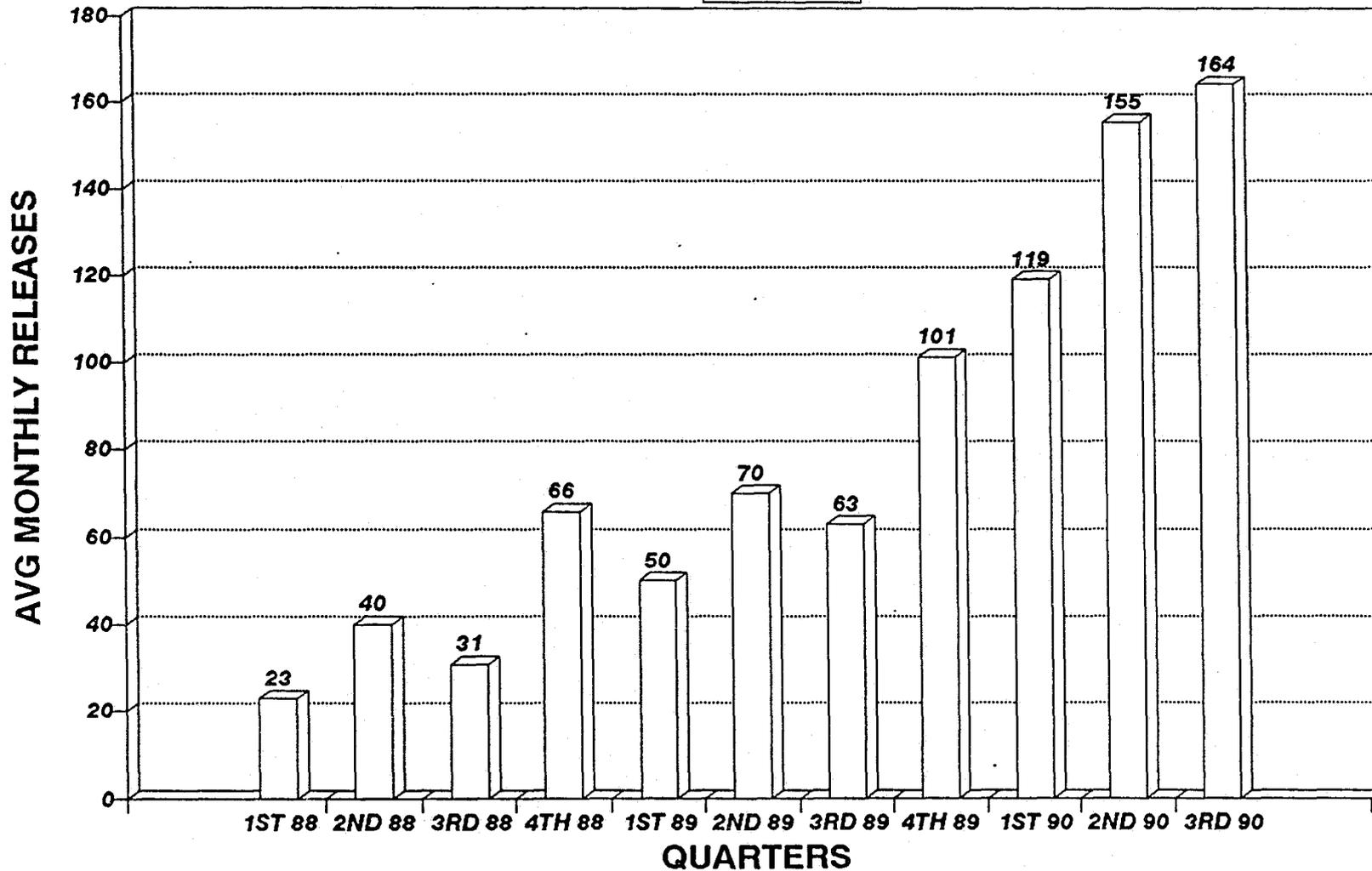
MONTHLY AVERAGE BY CALENDAR QUARTER

CHART 1



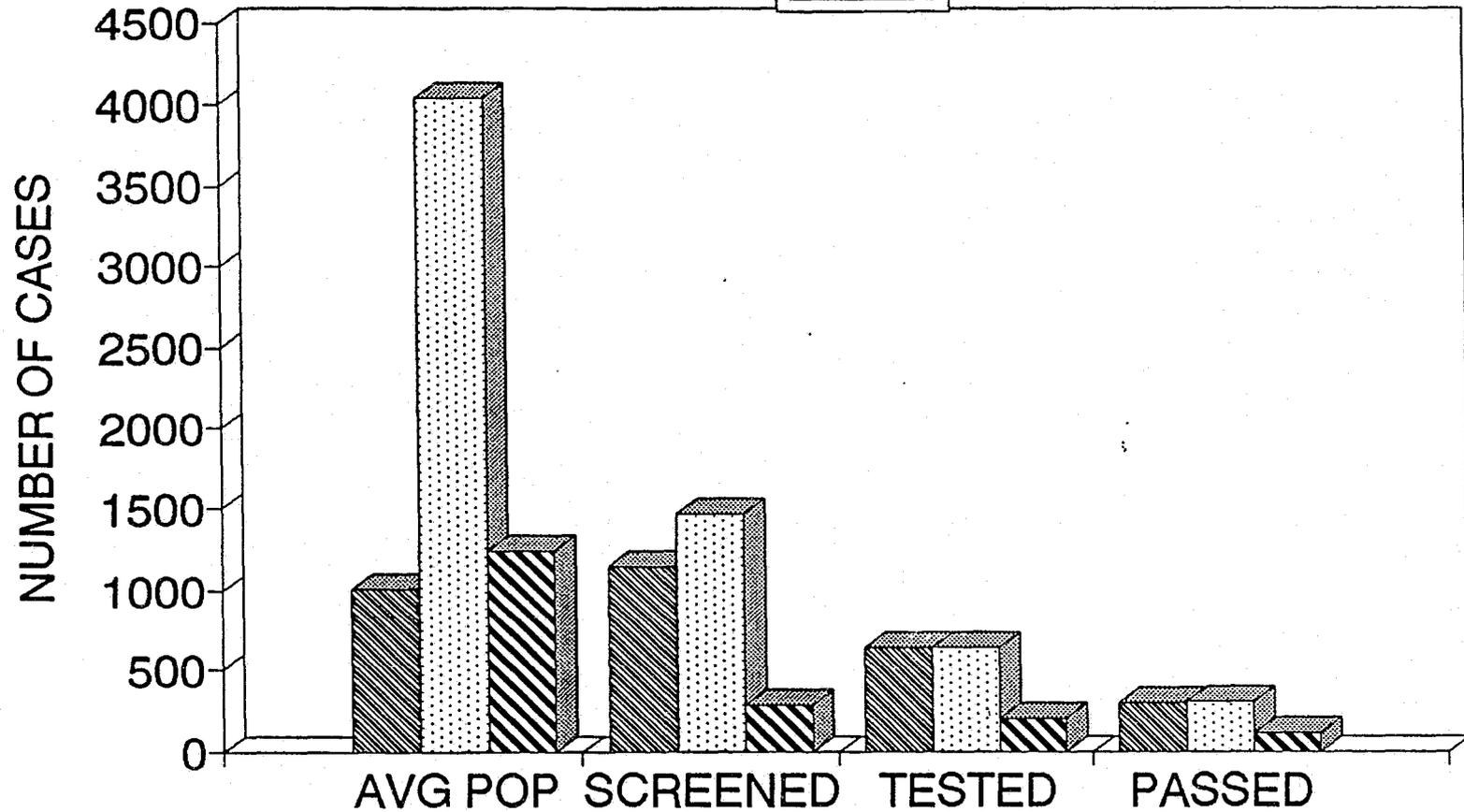
MONTHLY AVERAGE NUMBER SHOCK RELEASES BY CALENDAR QUARTER

CHART 2



AVERAGE GED ACTIVITY FY 1989-1990 SHOCK VS CAMPS AND MEDIUMS

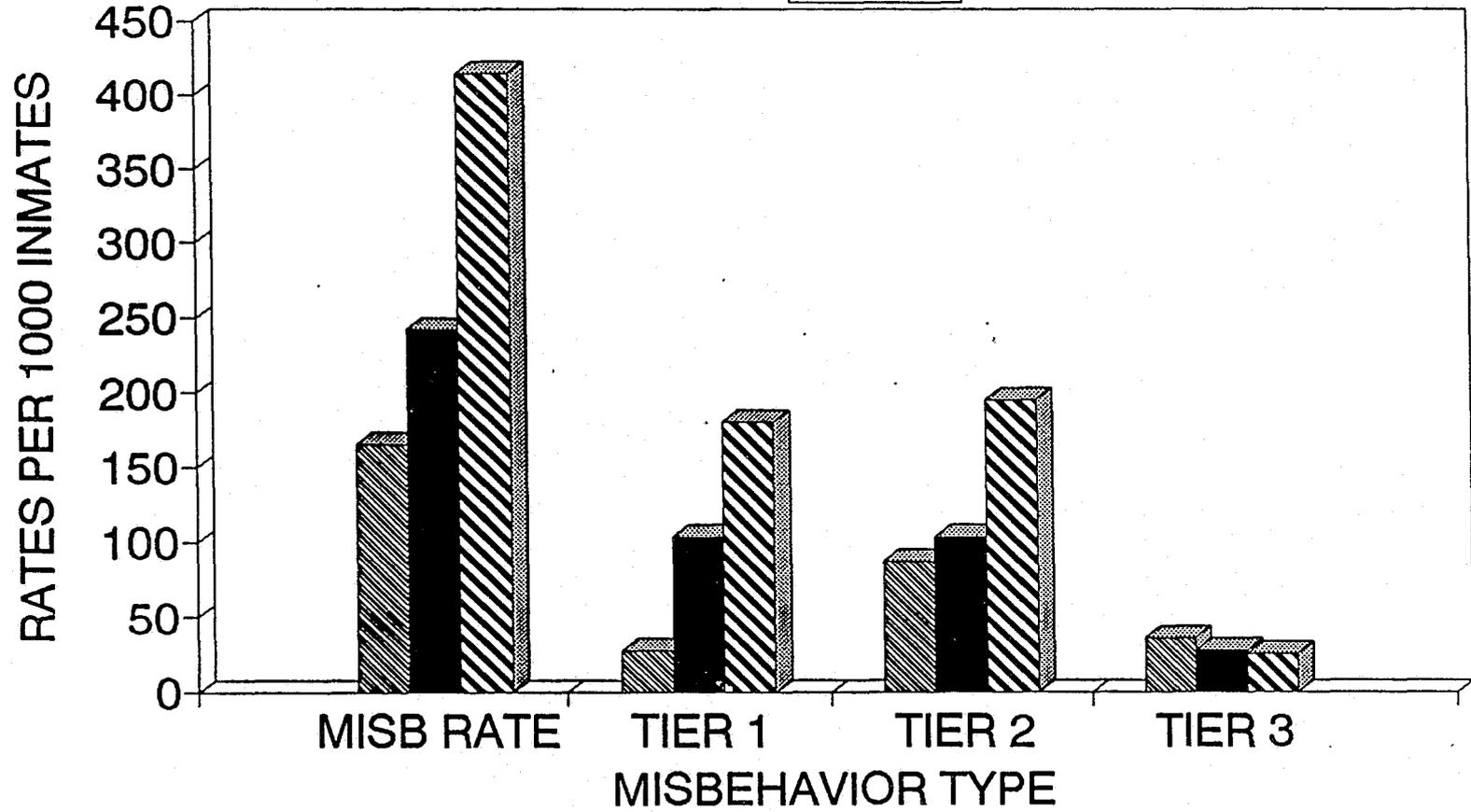
CHART 3



SHOCK MEDIUMS CAMPS

RATES OF MISBEHAVIORS PER 1,000 INMATES SHOCK VS COMPARISON FACILITIES FY89-90

CHART 4

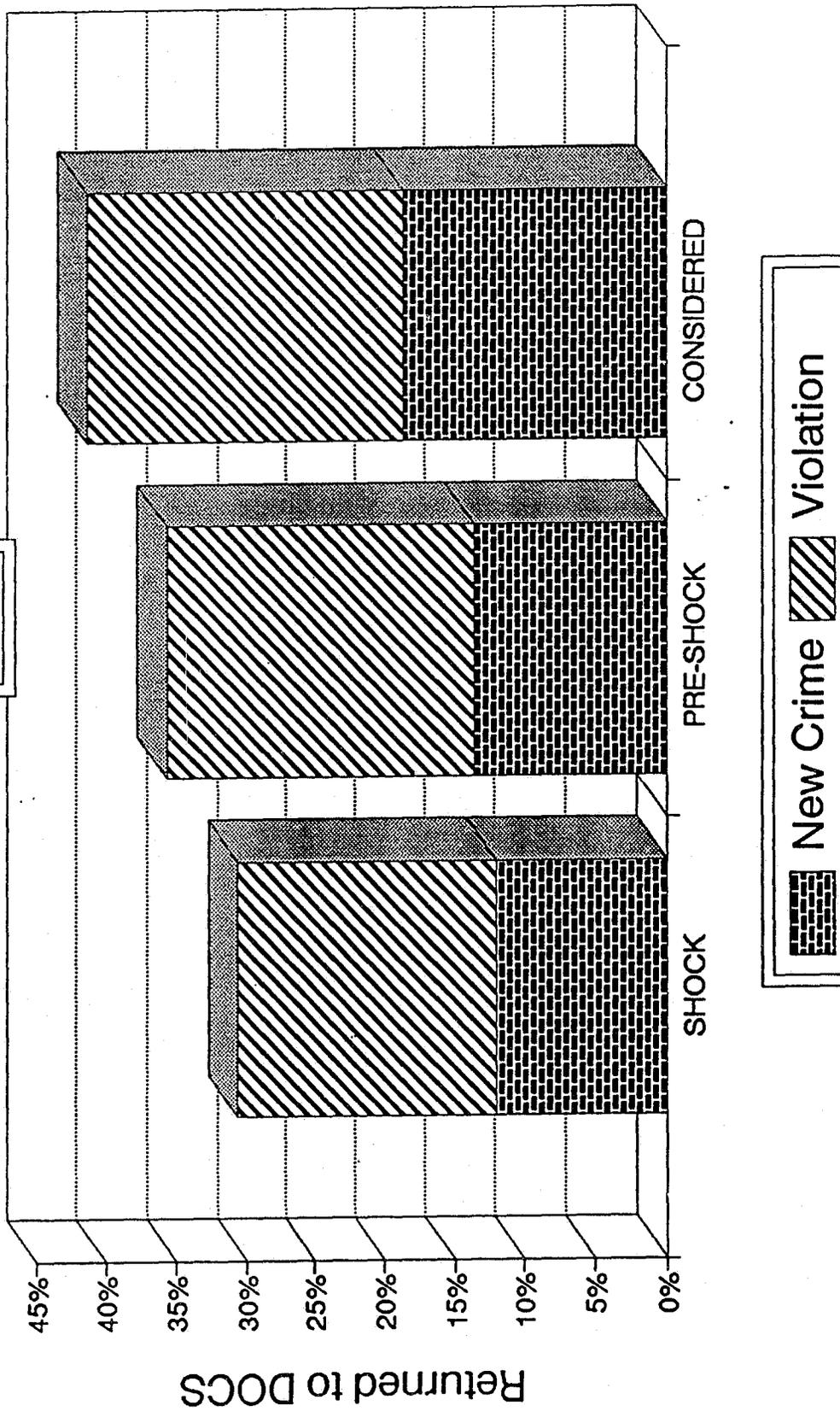


SHOCK CAMPS MEDIUMS

Returns to DOCS : Raw Data

Shock Grads vs. Comparison Groups

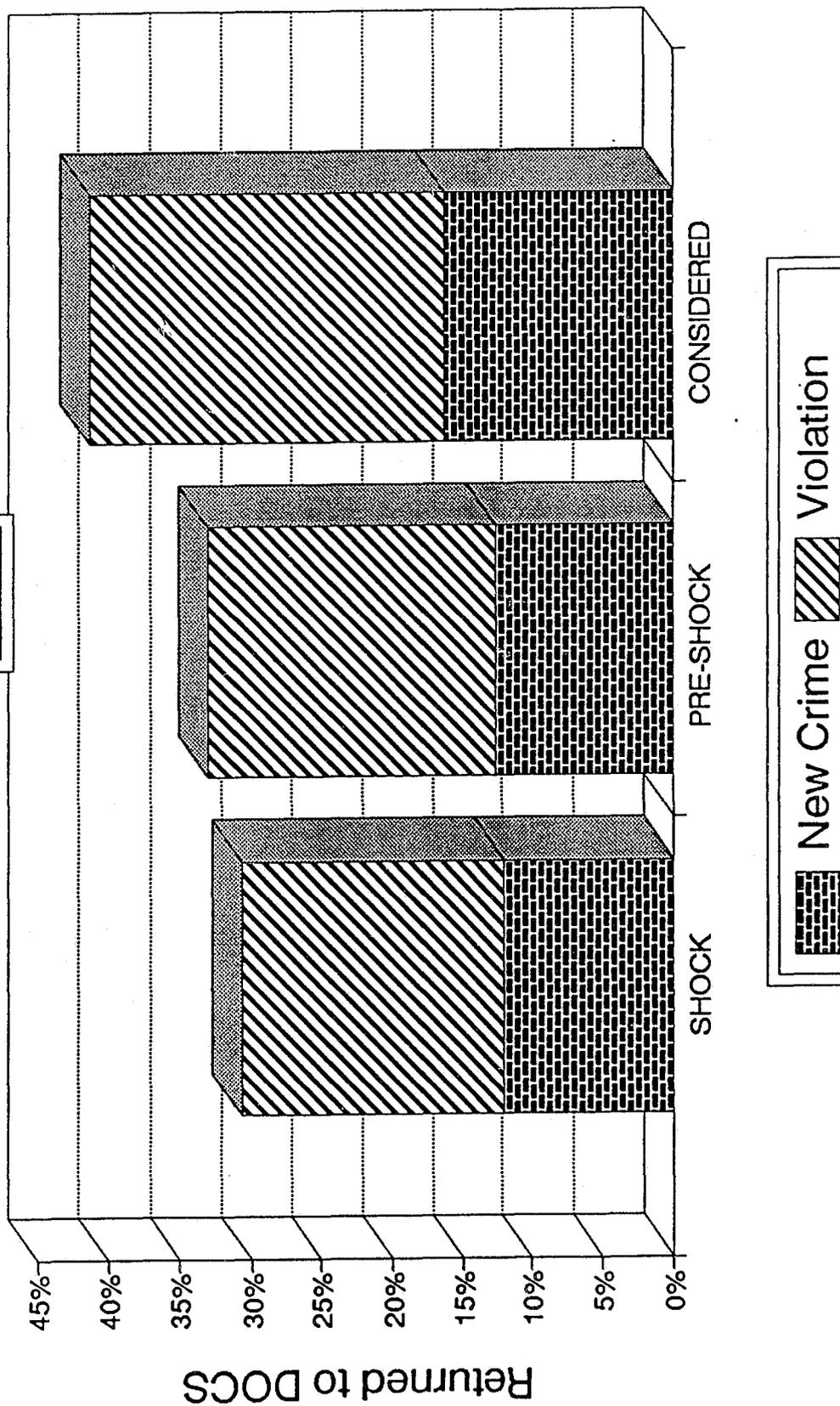
CHART 5



Returns to DOCS : Weighted Data

Shock Grads vs. Comparison Groups

CHART 6

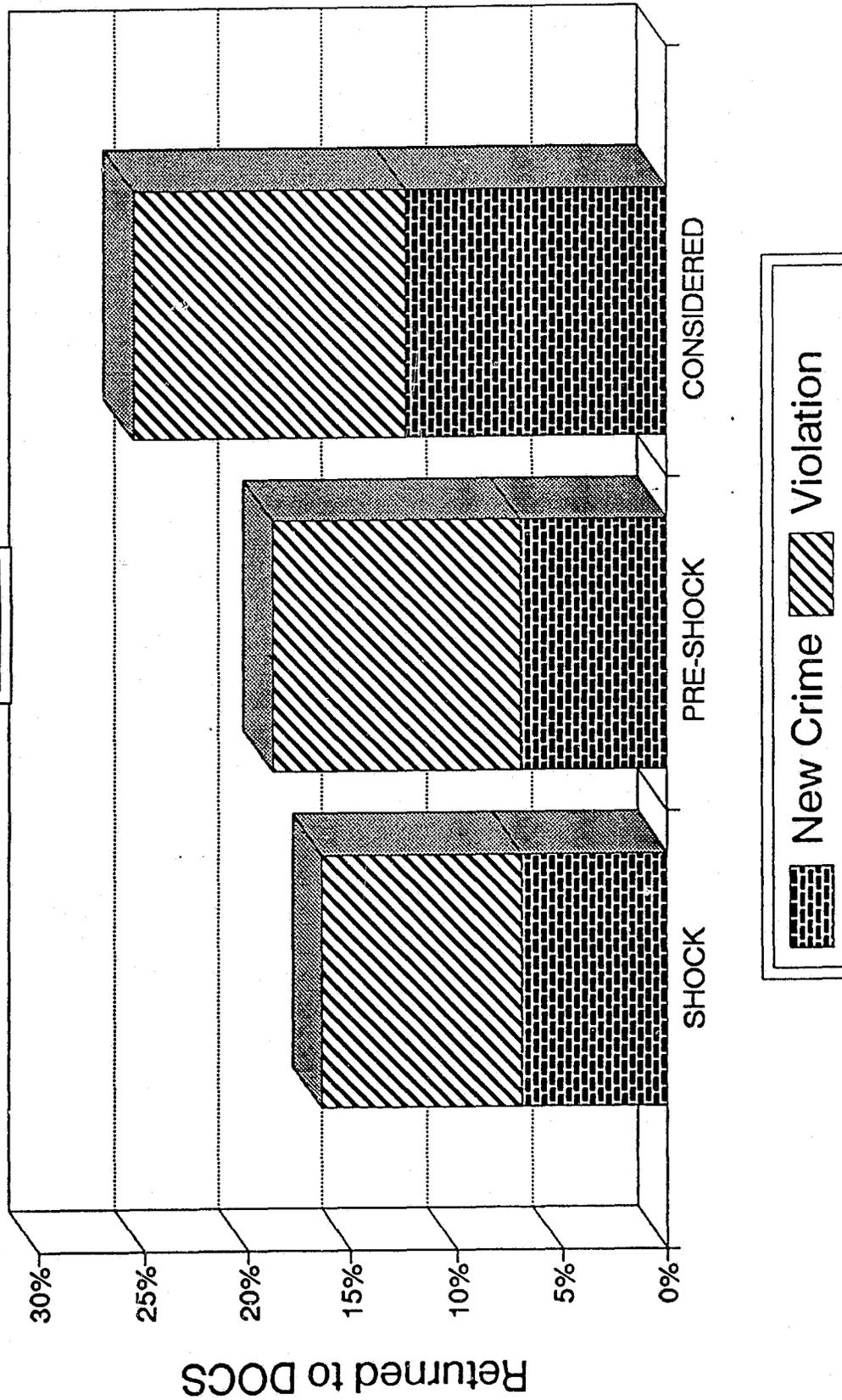


New Crime Violation

Returns to DOCS : 12 Months at Risk

Shock Grads vs. Comparison Groups

CHART 7

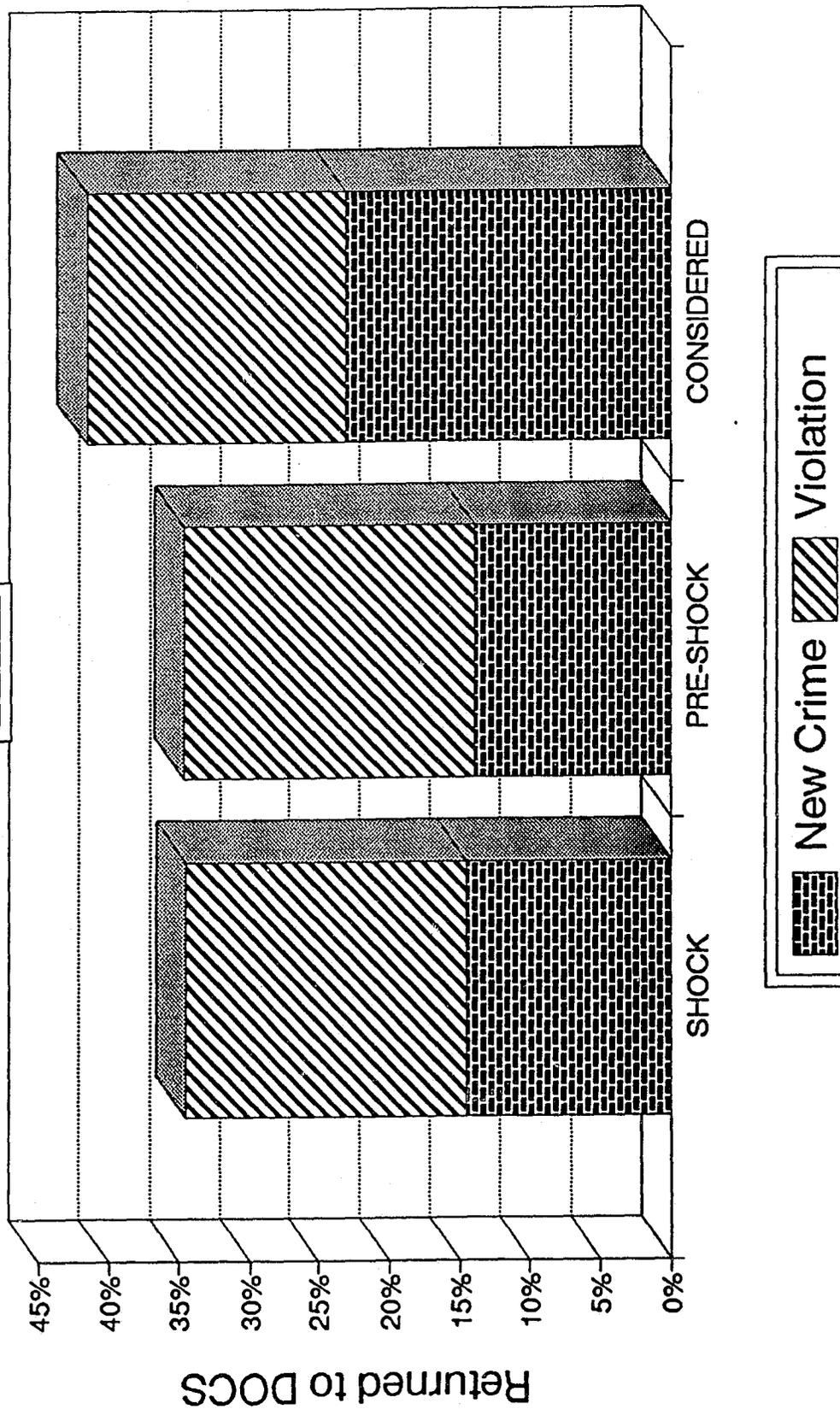


New Crime Violation

Returns to DOCS : 18 Months at Risk

Shock Grads vs. Comparison Groups

CHART 8



NEW YORK STATE DIVISION OF PAROLE
SHOCK PAROLE SUPERVISION PROGRAM

JANUARY 1991 LEGISLATIVE REPORT

Mario M. Cuomo
Governor

Raul Russi
Chairman

OFFICE OF POLICY ANALYSIS AND INFORMATION
JANUARY 1991

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INTRODUCTION

The careful and continuous evaluation of Shock Parole Supervision is important so that policy makers will have access to information which allows them to assess the program's impact. This report, the fourth comprehensive evaluation of Shock Parole, provides a detailed description of each of the major components of this important supervision initiative, and provides an in-depth and personal look at the relapse-prevention component of the program through the eyes of a group of Shock parolees.

The report also provides detailed information regarding Parole Board activity at Shock Incarceration Correctional Facilities for the first six months of fiscal year 1990-91. Information regarding the number of releases to parole supervision from the onset of the program through September 30, 1990 is provided. An examination of contacts achieved by parole officers in relation to the Shock Parole supervision objectives for the first six months of fiscal year 1990-91 has also been included.

The report concludes with a comparison analysis between a group of Shock parolees and two separate groups of non-Shock parolees who were released between March of 1988 and March of 1989. Parolees from each group were followed for one full year from release; outcome measures are reported within a section entitled Community Success. Executive Highlights, which include the important findings of the report, can be found on the next three pages.

EXECUTIVE HIGHLIGHTS

SHOCK INCARCERATION IN NEW YORK STATE

The focus of the Shock Incarceration program is to provide carefully selected young inmates the benefit of a special, highly structured six-month program of intensive incarceration.

The program was designed to allow offenders to be released from prison after six months without compromising community safety.

SHOCK PAROLE IN NEW YORK STATE

Through September 30, 1990 there had been a total of 2,593 releases to parole supervision from Shock Incarceration Correctional Facilities.

The focus of Shock supervision is to provide a continuum of services from the institution and continuing throughout the parolees' supervision experience.

Shock parolees are young offenders with many needs. They lack education, employment and vocational skills. Many return to environments which are not always conducive to successful reintegration. Therefore, the Division of Parole has created a program designed to meet their specific needs.

The Shock supervision program is a statewide effort, however, the Division has concentrated its resources for this initiative in New York City where approximately two-thirds of the Shock parolees reside.

In New York City:

- . Special teams of two parole officers supervise 30 Shock parolees in a program designed to enhance the parolee's potential for community reintegration by providing more interaction between parole officers and clients.
- . Priority has been placed on enrollment of Shock parolees in community-relevant services which provide educational and vocational training, increased employment opportunities, relapse-prevention counseling and Network.

Outside New York City:

- . Shock parolees have been supervised at a ratio of one parole officer for every 15 Shock parolees. In comparison, other offenders released to Parole supervision in New York State are supervised at a ratio of one parole officer for every 38 parolees.

PAROLE BOARD ACTIVITY

The Parole Board's consistent release practices are key to the success of the Shock Incarceration program.

Between April 1 and September 30, 1990, the total number of interviews in which the Board granted release to Shock inmates is 1,050. The release rate for Shock inmates is 99%.

SHOCK PAROLE IN THE COMMUNITY

Ratios for the first six months of fiscal year 1990-91, indicate that New York City Shock Parole staff have continued to meet or exceed the supervision objectives established for the program in virtually every category.

The Division has contracted for specialized vocational and employment services from the VERA Institute of Justice's Vocational Development Program (VDP) and Neighborhood Work Project (NWP) as well as relapse-prevention services from the Fellowship Center in New York City.

Between April and September of 1990, VDP enrolled 538 (98%) of the 568 Shock parolees referred for employment services; 92% of VDP's total placement outcomes during this time period involved Shock parolees. The average wage for Shock parolees placed by VDP remained above \$5.00 per hour for this period.

During this time period, NWP registered 499 Shock parolees who worked on 721 different job sites throughout New York City, including eight sites for the New York City Department of General Services and 10 sites for the Corcraft Division of DOCS.

The Fellowship Center provided 573 group meetings and 968 individual sessions to assist Shock parolees between April and September 1990.

Urinalysis test results from New York City Shock parolees indicate a 90% rate of abstinence from drug usage; in upstate areas the rate is 95%.

COMMUNITY SUCCESS

In past program evaluations, DOCS and Parole employed different follow-up methods and comparison groups in evaluating Shock inmates and parolees. In this report, and in all future program evaluations, both agencies will use the same comparison groups and follow-up procedures.

There is a greater difference between return rates for Shock and non-Shock parolees following the first 12 months in the community than after 18 months. The Division found that when Shock and

non-Shock groups are followed for time periods in excess of one year, discharges from parole supervision among the comparison group members may effect long-term return to custody analyses.

For all the Shock parolees released between March 1988 and March 1989, 84% remained under community supervision after one year, compared to 81% of a group of pre-Shock offenders and only 75% of a group of considered-for-Shock offenders.

Shock parolees were the least likely of all the groups studied to return to prison within their first year of release. Of those returned with new felony convictions, the considered group was the most likely to return for a drug crime. And Shock parolees were less likely than a pre-Shock group, but more likely than a considered-for-Shock group, to have been returned for property crimes.

An analysis of the behavior patterns of parole rule violators indicates that Shock parolees were more likely than comparison group parolees to experience problems associated with drug abuse.

The lowest level of violation activity within each group occurred after the sixth month of Parole supervision. However, Shock parolees were the least likely of all the groups to violate beyond six months. Thereby indicating, that the six months of Shock supervision has been helpful in preparing Shock parolees for a successful transition to a Differential Supervision caseload.

OVERVIEW OF
SHOCK PAROLE IN NEW YORK STATE

Shock Incarceration has become a viable alternative to traditional imprisonment for young adult offenders. Many states currently operate Shock Incarceration programs and others continue to develop them. Our experience with Shock Incarceration in New York State has been very favorable. Evaluation results have indicated that the program is able to save the state considerable cell space without posing an increased risk to the community.

Despite an ambitious construction program begun in 1983 and expanded in 1985, the prison system in 1987 was operating at 109% of capacity and growing. In July of 1987, the New York State Legislature amended the Correction Law and Penal Law and thereby established the Shock Incarceration Program. The focus of Article 26-A of the Correction Law was to provide carefully selected young inmates the benefit of a special, highly structured six-month program of intensive incarceration which would augment prison construction. Enactment of this legislation provided the State an alternative form of incarceration with novel programming and release criteria that would allow the state to meet its statutory obligation to house persons sentenced to a prison term while simultaneously conserving cell space.

Since the implementation of Shock Incarceration, the Legislature has expanded the program-eligibility criteria twice, providing additional inmates within the state prison system an opportunity to participate. The Division of Parole has responded accordingly, working to assure that inmates released from the Shock Incarceration program continue receiving the services necessary to help them succeed.

The New York State Shock Incarceration program remains the largest in the country. It is one of only a few Shock programs nationwide to employ the use of intensive post-release supervision of releasees in the community. During this report period, through the end of September 1990, for the first six months following their release, the Division of Parole supervised Shock offenders at a ratio of 1 parole officer for every 15 Shock parolees throughout the state. In New York City, where the concentration of Shock parolees is greatest, two parole officers work as a team and have the supervision responsibility for 30 Shock parolees. Other offenders initially released to parole supervision in our state are supervised at a ratio of 1 parole officer for every 38 parolees.

Shock Supervision seeks to provide a continuum of services throughout the duration of the parolees' Shock supervision experience. The goal of the program is to continue the intensity

of supervision begun during incarceration and to provide opportunities and programs in the community that will enhance the parolee's potential for a successful reintegration.

Shock graduates have had an opportunity to participate in what may be the most meaningful period of incarceration offered in state prison. Yet, despite some of the positive changes Shock inmates may have experienced at the institutional level, many of them return home to find that the environments they left have not gotten better; often they have grown worse.

Shock parolees are, for the most part, from low-income families. Those who live in New York City live in areas where drug activity and street violence are commonplace. Most of them are resigned to staying there since they lack the financial resources necessary to relocate. In addition, they often return to dysfunctional families who are unable to provide them with the support they need to make a successful transition into society. Discussions with parole officers and relapse-prevention specialists working with the Division indicate that many of the Shock parolees who were drug abusers were raised in environments where parents or siblings were also substance abusers.

Shock parolees are young offenders, the majority of whom are single, minority males. Nearly half of the Shock parolees are Black, 34% are Hispanic, 17% are White and 1% are other ethnic/racial groups. Most (83%) have had problems with substance abuse involving primarily crack and cocaine; many have also had problems associated with alcohol abuse (48%).

The majority (77%) reside in New York City and on Long Island and have lived there most of their lives. Over three-fourths have attended high school, but about one-fifth have only a grade-school education. Only 4% have attended college.

Their criminal histories reveal that they are primarily drug offenders. Crime of conviction data indicate that 69% were sentenced for drug crimes, 17% for property crimes, 8% as Youthful Offenders and 6% for other crimes.

This profile describes a population in need. Experts in the field of relapse prevention counseling and Community Network professionals agree that Shock parolees' youth, lack of education and substance-abuse histories place them at a high risk of failure.

THE PAROLE PROGRAM

The Division's community supervision plan for Shock offenders is the most comprehensive program of its kind in the country. Pre-release planning begins early, and officers work closely with the inmate and the inmate's family to develop a sound residence and employment program prior to release. Family support is viewed as critical to the success of this program, and parole officers encourage family involvement. Parole officers also work closely with Department of Correctional Services' staff, participating in the staff training with DOCS' personnel and at the graduation ceremonies at the Shock Facilities. This comprehensive approach reinforces for the offender the Division's commitment to their successful reintegration. The likelihood of success is enhanced by promoting a greater level of involvement between parole officers, parolees and the parolees' families.

The Shock supervision program is a statewide effort. However, the Division has concentrated most of its resources for this initiative in New York City where approximately two-thirds of the Shock parolees reside. The development of unique program elements in this urban area has enabled the Division to deliver specialized services to the greatest number of Shock parolees. Shock supervision objectives differ somewhat for parolees supervised in upstate areas, primarily as a result of their greater geographic dispersion.

Shock supervision objectives include enrollment of parolees in an academic or vocational program within two weeks of release, and employment, at least part-time, within one week of release. Supervision objectives are demanding and include mandatory substance-abuse counseling, curfew checks, and frequent, random urinalysis testing. Community protection is assured by providing more contacts between officers and clients.

The Division has developed a number of community-based services for Shock parolees in New York City to supplement our supervision effort. Specialized employment and vocational services have been established through a contract with VERA Institute's Neighborhood Work Project (NWP) and Vocational Development Program (VDP). The Network program, which is seeking dollars for expansion, reinforces the principles of positive decision-making learned at the facilities. It has been developed in conjunction with the Episcopal Mission Society in New York City. Relapse-prevention services have been provided through a contract with New York City's Fellowship Center. Relapse prevention is considered the most integral component of this program's success and the Division has emphasized the weekly meetings for Shock offenders in a unique program which includes individual and group counseling. A more detailed description of each component of our New York City Shock endeavor follows.

Parole Officer Teams - Enhanced Services Delivery

At the inception of Shock parole supervision, the Division realized it was necessary to establish a unique method of parole supervision, one that would provide a greater level of contact between the officer, the client, and the client's family. Moreover, it had to allow more time for service intervention and casework activity. Work toward achieving the objectives of this supervision plan began in March of 1988 with the creation of a specialized unit within the Division's New York City Manhattan I bureau.

As the number of graduates from the Shock Incarceration program increased, the Division created the Manhattan V bureau in July of 1989 to exclusively supervise Shock parolees who reside in New York City. Since that time, the bureau has been expanded in response to the growing number of releases from the Shock Incarceration program. Current staffing within the bureau includes a Bureau Chief, six senior parole officers and forty-four officers comprising twenty-two teams.

For the first six months after release, Shock parolees in New York City are supervised by teams of two officers who are usually assigned to cover specific neighborhoods or police precincts in order to enhance supervision efficiency.

Teamwork has resulted in a more dynamic approach to parole casework. Parolees become familiar with both parole officers and the officers, in turn, are aware of the needs of each of the parolees; they know their families and employers. Teamwork is essential to the parolee's success and officers work together to assure that the parolee is adjusting satisfactorily. Unlike other caseload efforts where one officer is responsible for a caseload, these officers do their field work together. They conduct home visits, employment visits and curfew checks as a team, and are able to draw upon each other's experiences and special talents.

New parole officers feel that they have learned the job faster since most of them were teamed with a more experienced colleague. Families and service providers also like the concept. Parents have remarked to Parole staff that they appreciate the increased attention that Shock parole officers give their children. They feel that their sons and daughters are being supervised closely by competent professionals. Service providers have indicated that because of the team concept, the Shock staff are easier to reach than other parole officers, which allows them more opportunities to discuss each case with the officers.

The Vocational Development Program (VDP) - The World Of Work

On the morning of their first full day of release from prison, Shock parolees in New York City must report to their parole officer at our office in downtown Manhattan. After they are given orientation about what is expected of them in the community, they attend their first session at the VERA Institute's Vocational Development Program (VDP). Under a contract with the Division, VDP provides services such as job placement, employment counseling, and vocational testing. These services are supplemented by a vocational training component which assists parolees who lack the skills to be immediately placed in private-sector employment.

At VDP, the Shock parolees begin their orientation to the "world of work." Using a three-step process, they are taught to secure permanent, meaningful employment. The initial step includes an Orientation class where each parolee registers and learns more about the program. The second step is a four-day Life Skills training class which addresses topics such as: "Who I am and Where I Want to Go," "Application Forms and Resumes," "Effective Interviews," and "Keeping a Job; Strategies that Help." The final step is an Intake class where each Shock parolee is officially enrolled and assigned a personal job developer. These job developers work with each parolee to help them secure a permanent job.

Staff at VDP work closely with Parole staff to help ensure a smooth transition for Shock releases and other parolees from the institution into the labor force. During the time period April 1, 1990 through September 30, 1990, the Division of Parole referred 568 Shock parolees to VDP. Of this number, 538 (95%) enrolled in the program. VDP reported 542 placements for Shock parolees during this time period. This number exceeds the total enrolled because it includes referrals from previous months and some parolees may be placed more than once. During this time period, there was a total of 588 Shock and non-Shock placements outcomes. Three-fourths (77%) were considered positive. Positive outcomes are any job, training, or educational placements obtained through VDP or through the parolee's own efforts. Shock parolees were placed in occupations such as: construction workers, printers, landscapers, electricians, porters drivers, stock clerks, and general helpers. The average wage for Shock parolees placed by VDP remained above \$5.00 per hour for the entire period.

The work of the VERA Institute has been essential to the success of the program. VDP's staff have worked hard to provide more than just jobs for Shock parolees immediately after release. Support services are also available once the Shock parolee is placed in a job. One example is the evening Alumni Meetings which are designed to allow Shock participants to express their concerns regarding issues both on and off the job.

The staff at VDP have developed unique programming techniques specifically for Shock parolees which capitalize on the spirit and motivation they exhibit upon release. At the completion of each work session, the Shock parolees conduct a community meeting. These meetings are modeled after those conducted in the Shock facilities, where the parolees learned how to discuss the problems they were experiencing and the progress they made. The community meeting always ends with a cadence, a song that the parolees learned at the facility. This brings the platoon together and lifts their spirits before they are dismissed from class. Counselors at VDP have also developed a glossary of "Shock jargon" so that job developers will become familiar with the vernacular of the Shock parolees. VDP feels that this helps promote communication and bonding between the Shock parolees and their staff.

Over this six-month time period, VDP has reported a number of success stories. The following is a typical example:

M.S., whose parents were substance abusers, began using and selling drugs at age 14. By the time he was 17, he realized that he had no future in the streets and enlisted in the Army. Although successful in the Service, he was unable to stop his drug use. He resigned when he realized that he would not be able to pass his re-enlistment physical.

As a result of his work experience in the Service, M.S. was able to get a civilian job. He became a husband and a father but, unfortunately, continued to use drugs. Arrested at his mother's house, M.S. chose Shock despite the fact that it only cut 29 days off his minimum sentence. He wanted to change his life and he felt Shock would give him that chance.

When M.S. came to VDP, it was apparent that he was proud of his accomplishments at the Shock Camp and the GED which he acquired there. He told his job developer that while his short-term interest was in learning the printing trade, his long-term goal was to attend college and become a counselor.

Within the next three weeks, his job developer was able to place him in an on-the-job training slot with a referral to a printing firm. Even though he had no experience in this field, his enthusiasm and motivation to learn was apparent to the employer who agreed to train him.

While his short-term ambition was being realized, M.S. felt the need to take the initial steps necessary to become a counselor. He obtained a weekend job through his own efforts as an intake/receptionist in a therapeutic community where he had an opportunity to interact with the residents. He also returned to VDP frequently, urging incoming Shock platoons to use VDP's services as he had done and described his career after Shock.

M.S. has completed the on-the-job contract and has been employed at the printing company for over one year. He is also making plans to enter college at night in order to achieve his long-range goal to become a counselor. VDP has found that many private employers, after they see the work and motivation of Shock graduates such as M.S., request only Shock graduates for workers, indicating an acceptance of the program in the community.

The Neighborhood Work Project (NWP) - Guaranteed Jobs

Some parolees are able to secure employment prior to their release from prison; some are immediately employable and secure permanent employment either on their own or through the Vocational Development Program soon after release. Others are not as fortunate. For those who do not have jobs immediately after release, the Division has contracted with the Neighborhood Work Project (NWP) to provide immediate temporary employment (up to a total of 75 days), thereby providing the Shock population immediate earnings and a guaranteed job, as well as an opportunity to build self-respect and reinforce the discipline of a routinized employment experience. NWP is a program of the VERA Institute of Justice operating in the Metro I and Metro II Regions of New York City that only hires ex-offenders, newly released parolees who have been under supervision for less than 60 days and the homeless.

At NWP, Shock parolees are given jobs in the construction field which generally involve hard work and include building demolition and rehabilitation. They work four days a week, are paid daily and earn an average salary of \$33.20 per day. On the fifth day of the work week, the Shock parolees are involved in securing permanent, full-time employment with assistance from the Vocational Development Program. This process is but one example of the overall coordination of efforts which help to promote the positive reintegration of Shock parolees.

From April 1, 1990 through September 30, 1990, NWP registered 499 Shock parolees. These Shock parolees, along with other project participants, worked on 721 job sites throughout New York City, including eight sites for the New York City Department of General Services and 10 sites for the Corcraft Division of New York State Department of Correctional Services. In addition to the on-the-job skills taught at NWP, participants were also offered advanced training and a career opportunity through NWP's Supervisor-in-Training Program.

Feedback from the staff at NWP has indicated that the Shock program has been successful. Supervisors and administrators feel that the Shock parolees, unlike many other offenders released from prison, "are ready to work upon release." Many of the Shock parolees successfully transition from the temporary work of the Neighborhood Work Project to permanent jobs.

The Fellowship Center - Relapse-Prevention Counseling

The Fellowship Center is one of the most crucial community-based agencies utilized by the New York State Division of Parole's Shock program. Established in 1958, the center introduced the concept of Alcohol and Substance Abuse Treatment (ASAT) to the Department of Correctional Services in 1975, and in 1977 conducted the first joint training session between Corrections and Parole about relapse-prevention counseling. There are other programs which offer similar services, though no other program parallels Fellowship's combination of experience with offenders, training and aftercare.

Offenders who are released from Shock Incarceration facilities have many needs. All are young adults, 83% percent have a history of drug abuse, and 48 percent have problems associated with alcohol abuse. The majority (69%) were sentenced for drug-related crimes involving either the use or sale of a controlled substance. The proliferation and use of crack and cocaine among young offenders in New York City has reached epidemic proportions. Cocaine was the drug of choice among Shock parolees before they went to Shock. Therefore, it is imperative we provide services in the community designed to prevent their relapse.

The Division initially contracted for services from the Fellowship Center for Shock parolees in December 1988, although since the implementation of the Shock supervision program, the Fellowship Center had assisted the Division in providing services for New York City-based Shock parolees without charge. From April 1, 1990 through September 30, 1990, Fellowship provided 573 group meetings and 968 individual sessions to assist Shock parolees. This support has contributed to the success of the program by assisting these young people in the community.

The Fellowship Center addresses the most critical need of these offenders - addiction. The counseling provided by this agency goes beyond the traditional Narcotics Anonymous (NA) and Alcoholics Anonymous approach where individuals participate at community meetings and discuss their substance-abuse problems. Fellowship developed a unique program which combines the strategies of self-help groups with interpersonal counseling techniques which stress accountability, discipline and self-control. As a result, parolees are taught the importance of responsible living, how to deal with stress, and how to solve problems caused by stressful situations without the use of chemicals.

Fellowship has taught us that for many, addiction is the root of criminality, and that by maintaining their abstinence, these young offenders are more likely to be successful under supervision, and to experience stable home lives and increased employment opportunities. At Fellowship, parolees learn to be

comfortable with themselves. They learn how to be positive and trusting instead of negative, protective and defensive. This allows them to become contributors to the communities in which they live.

Community Network Program - Positive Directions

Network's goal is to provide a total learning environment which fosters involvement, self-direction and individual responsibility. It is a program designed to promote positive involvement of participants in an environment which focuses on successful reintegration into society. Members participate in program management as they demonstrate their capacity to make informed, responsible decisions.

Network plays a pivotal role in the institutional Shock program. Therefore, it has been incorporated into the Shock Parole program. Each week, for a period of three months after release, Shock parolees participate in Network sessions sponsored by the New York City Episcopal Mission Society and provided voluntarily to the Division. Episcopal Mission Society staff, who have been trained in the Network concept and skills, conduct the sessions for each graduating platoon. The meetings are conducted at four sites: one each in Brooklyn and Long Island City, and two locations in Manhattan. Parole officers attend these meetings.

The Community Network Program (CNP) helps the Division capitalize on the relationships of Shock parolees with their peer group. Staff at CNP have indicated to the Division that for most of these young people, the peer group is the most influential factor in their lives. Parole officers are readily accepted into the program by the parolees. The officers sit in the group and give feedback, which is accepted by the parolees. The program is divided into the Threshold Decision-Making model, Community Meetings, Three-Part Meetings and Clearings.

The Threshold Decision-Making model teaches the Shock parolees a daily life-management process. Through this process, the parolee learns how to make responsible decisions without over-reacting to real life situations. Parolees are taught that by using a five-step method, they can resolve their day-to-day problems without conflict. The model tells them to examine the situation they are in, to know what they want to do, to expand their possibilities, to evaluate their options, and to decide and act.

Community meetings serve as a vehicle through which the parolee learns from his/her peer group. Discussions involve confrontations with peers who provide feedback to individuals experiencing problems. The meetings follow a general format which includes an explanation of how things are, or how they seem within the group. This is called GENERAL SPIRIT. Next, the

group moves into a REGRESSION mode, a time for individuals to admit their indiscretions. This results in confrontational feedback from peer-group members and leads to an admission and acknowledgement of poor behavior on the part of the individual, who learns from the experience. The next section is called PULL-UPS. Pull-ups are a time for individuals to question others who may not be performing up to their potential, and a time for peer-group members to submit their ideas for what works for them in similar situations. After this, parolees report their PROGRESS and group members applaud individual achievements. The community meeting always closes with a FINAL WORD which is a word submitted by parolees which they feel is appropriate to describe relevant situations. Peer-group members are allowed to explain what they feel the word means and how it is relevant for them. At Network meetings, parolees begin to realize that they each have problems, but that many of their situations are similar. They learn that problems can be overcome with the help of others.

The Three-Part Meetings help to build the parolee's self-esteem by allowing the parolee to brag about an accomplishment, to discuss a distressing occurrence and to talk about his or her future directions. By talking about their accomplishments, the parolees are able to express something good about themselves. In sharing distress, they are able to discuss issues that are bothering them, and by talking about their future directions, they learn how to plan for those situations that have caused them distress. As such, the three-part meeting gives the parolee a "formula" for problem solving.

Finally, parolees are encouraged to release any feelings they may have, positive or negative, which helps them to CLEAR themselves of feelings that may hinder their progress, and allows them to promote their progress or the progress of another.

It is the feeling of the Division and the Episcopal Mission Society that the Community Network Program helps Shock parolees transition from the structured therapeutic environment to the community, where they often lack the emotional support they received in the Shock facilities.

Part of the Division's on-going evaluation of Shock Incarceration and Shock Parole is designed to present a qualitative, as well as a quantitative look at some of the aspects that contribute to parolee success and failure. For this report the Division was able to interview a group of Shock parolees who were casually selected during a recent report day at the 80 Centre Street Office in downtown Manhattan. On this given report day, a total of five male Shock parolees talked about their ability to stay drug free upon returning home. Time constraints prohibited staff from interviewing more parolees and it would have been preferable to have included some women among the respondents. However, no female parolees were available at the time of the interviews.

PAROLEE PERCEPTIONS

When the parolees were asked what drugs they had abused prior to incarceration, the most common responses were crack, alcohol, cocaine, and heroin. The frequency of getting high ranged from daily, to a couple of times a week, to "everyday on the hour." Several of the interviewees indicated that they were high during the commission of the crime for which they went to prison and others remembered being intoxicated at the time of arrest.

Although all of the parolees stated they felt that their families have supported them despite their addiction and incarceration, several of their responses indicated that in some cases, more than just support was needed. For example, one parolee indicated that his family "didn't appreciate the fact that I was using and could not understand the reason for my problem." He felt that because he was from a "good family," his family members couldn't relate to his needs as an addict. Another parolee indicated that he hid his addiction "out of respect for the family," while another stated, "my family knew I was going bad, but stuck by my side when I went to prison."

All of the Shock parolees responded in the affirmative when asked whether they had friends who were users, although most no longer considered these past acquaintances as friends. One of the interviewees observed, "If I start hanging around with the same people in the same places, I might get into the same bad habits that got me incarcerated." A second parolee no longer considers any of his past acquaintances as friends because, "none of them visited me in jail; friendship means more than just getting high together." Still, one parolee considers substance abusers as friends because he believes that it is up to the individual to abstain from drugs and that it "doesn't matter who you are with if you decide you are going to get high."

Similar responses were articulated by parolees when asked if they considered any known drug dealers as friends. One of the interviewees said that he now realizes that drugs are killing all the young people and he wondered how "they (drug dealers) would like it if someone was selling to their kids." Other reasons suggested for not considering dealers as friends included the belief that these "people were only in it for themselves" and that "hanging around these home boys would get me put back in jail." Interestingly, some of the interviewees identified circumstances where they would consider a person involved in the sale of a controlled substance as a friend. One of the parolees claimed that a dealer friend "chases me away from the street corner because I am doing so good without crack." A second participant said that it is all right to "just hang out or borrow money as long as he (drug dealer) doesn't try to get you to use."

Individual Pressures

For some parolees, substance abuse within their own household can become a stumbling block to recovery, but for others it becomes a poignant reminder of what drugs have done to their lives. One Shock parolee said that he uses his father's alcoholism as a reason to stay clean because, as he says, "alcohol killed my father."

Many of the Shock parolees responded positively when asked whether they have always been doing well in recovery since returning from the Shock correctional facility. One parolee observed, "As long as I don't have anything in my system I feel great." However, others have found the transition from the Shock facility to the community very difficult. Some parolees indicated that they have "considered using again."

When asked whether they ever felt like getting high or drunk, parolees responded "never," "everyday," and "I felt like using for about the first week after getting out of prison." One parolee indicated that he felt like getting high when "I get down because I don't have any money," while another thinks about using drugs when he has "a pocket full of money." The former comment is further evidence of the daily stress these young men face in trying to abstain from drug abuse, while the latter illustrates the point that a successful recovery has to come from the individual.

Most of the parolees who were interviewed said that they have not used any drugs since they have been released back into the community. However, an examination of the case folders revealed that some of these young men were less than truthful during the interview. For example, urinalysis results from one of the parolees who claimed abstinence because he "had learned from his mistakes" and "didn't want to blow a second chance" indicated the presence of morphine on two of three occasions. One young man also said that he used drugs again as a test to "see if it (crack) would put me in the same situation where I needed to use it every day." Although the case folder check confirmed this claim, one should view this situation as an example of a high-risk behavior that can result in the parolee relapsing back to substance abuse. All of the interviewees indicated that they now find themselves resisting the idea of getting high. A few of these men said they would "walk away from the situation," while another parolee said that "if I get that thought, I will call my friends, girlfriend, sponsor, or start playing with video games."

When the parolees were asked to describe what they think has most affected their own recovery, the group offered several explanations. For example, one of the interviewees said that life's daily stress "draws you towards drugs." Three of the others identified various family members as the most positive

aspect in their recovery. One of the young men said, "I hurt my grandmother so much and she doesn't deserve this. Everyone (in the family) works so hard and sometimes I feel like an extra couch in the apartment."

All of the interviewees felt that their quality of life has improved since they stopped using. One of the parolees remarked, "You have feelings now instead of constantly thinking about drugs. I got a library card, I draw, and do my nephew's homework...drugs cause you to miss so much." Another young man observed, "I view myself as a better person and so does the rest of the world." However, a third parolee was not quite as optimistic. He suggested that a drug-free existence "has its ups and downs. When you have a job it is great, but I don't have a job and I want to buy my girlfriend something for Christmas. It would be so easy to go to the corner and make a quick buck, but I don't."

An important understanding which could be found from the parolee responses to questions concerning relapse prevention is their belief that a person must have the inner desire to become and remain drug free. As one parolee said, the desire to remain clean "has to come from inside and has to be coming out of you." Another remarked, "You have to accept help and open-up your heart." A third believes that the individual must "keep focused and know what you want in a positive way."

The Importance of Maintaining a Relapse Prevention Program

Almost all of the parolees indicated that they would not have attended the Fellowship Center had it not been required by their parole officers. One remarked, "I didn't need it and I thought that I could control the addiction on my own." Another repeated the same sentiment that was so prevalent in the responses concerning the parolee's personal relapse prevention approach, "the meetings (Fellowship) help, but you have to want to help yourself. It doesn't help just by being told." One parolee who claimed that he would have attended Fellowship without a direct order from his parole officer said he "would have showed up out of curiosity."

In talking to these young men, it became apparent that the Fellowship Center provides a forum for communication. For example, one of the young men commented that the Fellowship Center provides him the opportunity to "open up and talk about my problem instead of keeping it in and affecting me more." Another said that the counselors at the Center have an open mind and "will tell you what is right and wrong without yelling at you," while still others felt that the most important aspect of the Fellowship program was "talking to peers and sharing experiences."

Every one of the interviewees felt that their parole officers had helped in their recovery process. There appeared to be a general consensus that if you were "straight up with the parole officer, he or she would be straight up with you" and that the officers "are always on top of you to make sure you do what you are supposed to do." Making sure that parolees are doing what they are supposed to do has contributed to the community success of the Shock parolees.

THE DIVISION'S EFFORT

Shock Incarceration in New York State has expanded considerably since legislatively authorized in 1987. Several changes, in conjunction with the consistent release practices of the Parole Board, have resulted in substantial increases of Shock graduates to parole supervision. Throughout this period of expansion and transition, the Division of Parole has kept pace with changes in the program, allocating increased resources and staff to this intensive supervision program. Parole officers involved with the Shock program have participated in joint training with Department of Correctional Services staff at Shock Incarceration Correctional Facilities. In addition, Division staff have worked collaboratively with DOCS' program evaluation staff to assure that each agency's monitoring efforts have remained consistent. This process has culminated in this report, in which, for the first time, both DOCS and Parole are using the same comparison group and follow-up methods to assess program outcome.

In evaluating community-based programs, a reliable transfer of information from field units and independent service providers to the evaluator is essential. Knowing this, Policy Analysis staff established linkages with the Shock supervision unit in New York City and the community-based agencies to assure that monitoring and report instruments were in place and available for the Division. Staff conduct site visits to assure that the monitoring process remains consistent and to discuss program developments with program administrators and service providers.

Parole staff supervising Shock parolees within the community are required to submit reports on a monthly basis which outline the number of contacts they have made and the nature of those contacts with each Shock parolee under supervision. This allows the Division to assess the effectiveness of the Shock supervision initiative, providing valuable information on the intensive supervision of these young offenders.

Through this process, the Division is able to provide the statistical information necessary for policy makers to make informed, responsible decisions regarding the program's impact and effectiveness. Detailed information regarding Parole Board activity at Shock Incarceration Facilities and parole officer response to the supervision objectives for the first six months of fiscal year 1990-91 is included in the following pages.

PAROLE BOARD ACTIVITY

The Board's consistent release practices are key to the success of the Shock Incarceration program. Since implementation, release decisions rendered by the Parole Board to Shock Incarceration inmates have been extremely consistent, resulting in a release rate at initial interviews of 99%. An overview of Parole Board activity for the current fiscal year is included in Table 1.

From April 1, 1990 through September 30, 1990 the Parole Board conducted a total of 1,060 initial and reappearance interviews at Shock Incarceration Correctional facilities. The Board granted release in 1,050 and denied release in only two. A total of eight of the initial interviews were postponed to allow the inmate a sufficient amount of time to complete the six-month program.

**Table 1 Summary of Total Parole Board Interviews
 at Shock Incarceration Facilities
 April 1 through September 30, 1990**

Total Interviews	Granted Release		Postponed for Completion		Denied	
1,060	1,050	99%	8	1%	2	<1%

Parole Board panels for Shock inmates are conducted as close to the actual release date as possible to help alleviate some of the tension and anxiety that Shock inmates experience just prior to release.

The figures in Table 2 reflect the number of Shock parolees released to parole supervision from State correctional facilities from the onset of the program through September 30, 1990. Although not displayed by platoon within the table, a total of 98 different Shock platoons have been released to parole supervision through the end of September, 1990. Fourteen were platoons of female parolees and 84 were platoons of male parolees; females constitute 5% of all the Shock releases.

Table 2

Releases to Parole Supervision
By Facility

March 1988 Through September 1990

Release Facility	First Platoon Released	Total Released	Percent Of All Releases
Monterey	Mar - 1988	812	31%
Summit - Male	Oct - 1988	542	21%
Summit - Female	June - 1989	144	5%
Moriah	Sept - 1989	341	13%
Lakeview - Shock	Sept - 1989	353	14%
Butler/Wolcott	Oct - 1989	352	14%
Other Facilities	-----	49	2%
Total	-----	2,593	100%

As the table indicates, Monterey has been in operation the longest of all the Shock facilities and has the largest number of graduates. The second largest number of graduates has come from Summit-Male, followed by Lakeview, Butler, Moriah and Summit-Female. A total of 49 parolees have been released from other, non-Shock facilities. Most are Shock B parolees who must serve one year prior to release.

supervision whose supervision status was intensive at the end of each month. Parolees who were discharged, violated or otherwise became inactive during the month are not included. This method of analysis presents an aggregate measure of contacts achieved as opposed to a case-by-case analysis.

The Shock Supervision Program was designed to promote more involvement between the officer and the parolee. For example, home visits are one of the most integral components of parole supervision. Visiting the parolee at home allows the officer the opportunity to sit and talk with the parolee in an environment in which the client is comfortable. The parole officer can assess the living arrangements of the parolee which may hinder or promote reintegration. Conducting home visits when parolees are not at home is also important. This allows the parole officer the opportunity to discuss the parolee's adjustment with family members who may be more candid about some topics in the parolee's absence.

Under Shock Supervision, the expectations include a minimum of two home visits per month, one of which is expected to be a "positive" home visit (a visit in which the parolee is at home). During the six-month study period, parole officers supervising Shock parolees in New York City exceeded the minimum expected by 19% in this critical area. In addition, the number of positive home visits conducted was 60% greater than expected.

Employment and program verifications allow the officer to assess the parolees' efforts in seeking and maintaining a job, as well as their participation in programming designed to promote reintegration such as mandatory relapse-prevention counseling.

In New York City, the Division has established dedicated services for Shock parolees in the areas of employment, vocational training, relapse-prevention counseling and Network. Expectations include a minimum of two employment or program verifications per month. In this area, where the majority of the Shock parolees reside, parole officers conducted 35% more verifications than expected.

Case conferences between parole officers and their supervisors provide an opportunity for both the officer and senior parole officers to review each parolee's progress, to discuss problem areas and possible intervention strategies. Under Shock supervision, case conference expectations include four meetings per month. Within the first six months of the current fiscal year, New York City Shock staff exceeded the number expected by 42%.

Urinalysis testing is done randomly on Shock parolees with a known history of drug use or on those suspected of current usage. It is a therapeutic tool designed to determine if parolees are following their release plans, and serves as an indicator to

parole officers that parolees may be having difficulty adjusting and require intervention. New York City Shock Parole staff conducted over two tests per month on parolees between April first and September 30th of this year. Test results indicated that for 90% (3,458 out of 3,847) of the tests with available outcome information, parolees had abstained from the use of illegal narcotics.

Curfew checks are a surveillance measure and reinforce successful community-living habits among parolees, such as, the importance of being home at night so that they can get to work on time the next morning. During the year, parole officers sometimes lift the curfew requirements of parolees who have adjusted satisfactorily to the parole program. Parole officers did, however, conduct over one curfew check per month for their active Shock cases during the first six months of the current fiscal year in New York City. Results indicate that in 89% of the cases where outcomes were reported (708 out of 797), the parolee was found to be at home.

In upstate areas, where the concentration of Shock parolees is not great enough to justify dedicated services, parole officers are also asked to increase productivity with Shock parolees, and the upstate areas have reported curfew and urinalysis results that are similar to those reported in New York City. Between April and September 1990, the abstinence rate of Shock parolees in upstate areas was 95% and curfew checks indicated that parolees were found to be at home 84% of the time, based on the results which were received.

However, in many of the upstate offices, the large geographic areas that parole staff are responsible for sometimes preclude them from attaining the ratio of contacts noted within the New York City Shock Unit. As a result, the combined ratio for upstate areas is often lower than that of Manhattan V.

These results indicate that the Division has been able to sustain an intensive supervision program for Shock parolees and Parole staff have been able to achieve or exceed the contact objectives established for Shock Parole supervision. As the information in the following pages will illustrate, these efforts have translated into a successful transition to the community for the majority of the Shock parolee population.

COMMUNITY SUCCESS

Despite a shorter period of incarceration, Shock graduates are expected to adjust to the community similarly to other young, offenders who do not go to the program.

Evaluation efforts to date have indicated that the program has been able to achieve these goals. In January of 1989, a joint report conducted by the Department of Correctional Services and the Division of Parole was submitted to the Legislature. The report indicated that the program had resulted in considerable cell savings to the Department of Correctional Services and that Shock parolees were adjusting to the community at rates comparable to several other groups of non-Shock parolees.

In August of 1989, the Division of Parole and the Department of Correctional Services released separate follow-up studies on the first six Shock Incarceration platoons released to the community. The Division of Parole's report looked at several aspects of community adjustment including return rates, whereas the Department's report primarily analyzed return rates and cell savings. Both agencies arrived at similar conclusions: results indicated that although Shock parolees had served less time, their return rates were similar to those of non-Shock parolees.

Again, in January of 1990 the Division and the Department collaborated on the Second Joint Report submitted to the Legislature. Research findings indicated that Shock parolees were performing as well as, and in some instances, surpassing the institutional and community performances of non-Shock parolees.

In past program evaluations, the Department of Correctional Services and the Division of Parole employed different follow-up methods and comparison groups in evaluating Shock inmates and parolees. These differing strategies were the product of the Division's attempt to generate preliminary recidivism information in a short time frame. Even though similar conclusions have been reached, the use of differing methods resulted in significant variances in the comparison groups used by the two agencies.

To address this issue, the Department's Program Evaluation staff and the Division's Policy Analysis staff have worked to develop a unified and comprehensive strategy for this evaluation. Beginning with this report, both agencies will utilize the same comparison groups and follow-up procedures.

The Department has included within this report a follow-up study on Shock and non-Shock offenders. All participants were followed for a time period of 12 months, and some were followed for a period of 18 months from release. In both instances the number of returns to prison were analyzed.

In this analysis, the Department was able to present information relating to the return rates of the respective groups. The Division will present additional information for each group, which explores in greater detail, the nature of the parolees' behavior which led to their return to prison. This additional information may provide policy makers with insight into the problems experienced by offenders released from state prison, and in particular, the differences in behavior noted between Shock and comparable groups of non-Shock parolees.

It should be noted that when the Shock and non-Shock groups are followed for time periods in excess of one year, discharges from parole supervision among the comparison group parolees are considerably higher than discharges among the Shock group because Shock parolees are under supervision for a longer period of time. While this time under-supervision difference is not directly related to Shock parolees' chances of returning to prison with a new felony conviction, it will heighten their chances of returning as parole rule violators in relation to the comparison group parolees if they are followed for time periods that exceed one year. Therefore, in presenting information on returns for Shock and non-Shock parolees, the Division's analysis will feature information on parolees within each group who were returned within the first year of release.

Follow-Up Procedure

The methodology used by the Division is the same as that utilized by the Department. A group of Shock and non-Shock parolees who were released to parole supervision between March of 1988 and March of 1989 were followed for one full year from release to determine how many within each group returned to the Department's custody within 12 months.

Comparison Groups

The Division is now using the same comparison groups as the Department. Non-Shock parolees are divided into two distinct categories, pre-Shock offenders and offenders considered for Shock. The pre-Shock group is comprised of offenders who were incarcerated prior to the existence of the Shock program whose characteristics would have made them eligible for program participation. The "considered" group is comprised of offenders who were sentenced to DOCS custody after July 13, 1987, who were screened for Shock participation, and who did not enter the Shock program. Selection of the comparison group offenders was executed by DOCS Program Evaluation staff, who transferred the information to the Division's Policy Analysis staff.

The comparison group parolees, like the Shock parolees, were all convicted of Shock-eligible non-Violent Felony Offenses, and at the time of their admission to the Department's custody were required to serve between six and 36 months before parole eligibility. None of the comparison group parolees had been previously incarcerated in a state correctional facility for a non-youthful offender crime and none were classified upon admission to DOCS as maximum security risk inmates.

Since there were no women among the Shock parolees selected for this study, female offenders were not included in the comparison group.

The application of these selection criteria resulted in the following number of parolees to be included in the study: 581 Shock parolees, 786 pre-Shock parolees and 145 considered for Shock parolees.

It should be noted, that despite comparability with regard to offense severity, the Shock parolees were more likely than the non-Shock parolees in either group to have been convicted of a drug crime. Sixty percent of the Shock parolees were convicted of drug-related crimes, compared to 59% of the considered group and only 46% of the pre-Shock group. Although this factor alone may not influence outcome measures, the community success information which follows indicates that it may be an influential factor regarding the graduates' tendencies toward specific types of behavior upon release.

Results

Table 4 illustrates the differences in return rates between Shock and non-Shock parolees within one year of release. As the data indicate, Shock parolees were more likely than either the pre-Shock or the considered group, to be successful within their first year. Eighty-four percent of the Shock parolees remained under community supervision after one year compared to 81% of the pre-Shock parolees and only 75% of the considered-for-Shock parolees.

TABLE 4 REASONS FOR RETURN
PAROLEES RETURNED WITHIN ONE YEAR

GROUP	RELEASES	TOTAL RETURNS		RULE VIOLATOR RETURNS		NEW CRIME RETURNS	
		NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
SHOCK	581	95	16%	55	9%	40	7%
PRE-SHOCK	786	148	19%	93	12%	55	7%
CONSIDERED	145	37	25%	19	13%	18	12%

The Shock Incarceration Program provides inmates with an unprecedented opportunity to obtain parole release after only six months of imprisonment, regardless of the length of the minimum period of incarceration imposed by the courts. Recognizing this, the Parole Board believes that the penalty for violating the conditions of release should be severe.

The Parole Board's policy states that individuals who violate the conditions of release and are ordered returned to prison under the Shock Program shall be reincarcerated for at least a period of time equal to the minimum period of incarceration; the six months the inmate spent in the Shock Incarceration Facility will not be considered. The Board believes that this penalty is commensurate with the extraordinary benefit conferred upon the offender and that it creates a substantial incentive for them to conform to the conditions of the Shock Program.

Rule violations are less prevalent among Shock parolees; only nine percent of the Shock parolees were returned as rule violators within one year, compared to 12% of the pre-Shock group and 13% of the "considered" group. Shock parolees were also less likely than the "considered" group to have returned with a new felony conviction (7% compared to 12%). Although return rates for new crimes were similar among the Shock and pre-Shock group, a closer examination of the types of crimes for which the returns occurred presents a more complete picture.

Returns for New Crimes

Table 5 presents information on the most serious conviction crimes leading to violators' return for new crimes from each group. Members of the returned "considered" group were far more likely to be returned for drug sales or possession crimes. Nearly three-fourths (72%) of the "considered" group new crime returns were for drug crimes, in comparison to 53 percent of the Shock new crime returns and 35 percent of the pre-Shock new crime returns.

Shock parolees returned for new crimes were less likely than the pre-Shock group new crime returns, but more likely than the "considered" group new crime returns to have been returned for property crimes. Eighteen percent of each of the Shock and pre-Shock group new crime returns were for burglary, while 6 percent of the "considered" group new crime returns were for this crime.

If the hearing officer finds that there is a preponderance of evidence to sustain the charges, he or she must submit a Decision Notice to a member of the Parole Board. This finding of fact contains the hearing officer's analysis and recommendations. The hearing officer can make one of three recommendations:

1. Revoke and restore to supervision,
2. Revoke and restore to a transitional facility,
or
3. Revoke and return to prison.

A Parole Board member will then review the final decision and either affirm the hearing officer's recommendation or modify the officer's decision in favor of another.

This process assures that the Division is able to perform its community protection function and, at the same time, assures that the rights of parolees are maintained. The elements of due process also assure that parolees are not returned to prison arbitrarily.

Upon initiation of the violation process, a parolee may be charged with many violations of parole. However, it is the number of sustained charges which provides the most accurate description of the underlying behavior which was believed to have led to the violation. This analysis examines only the charges which were sustained at the final violation hearing.

Number of Sustained Charges

The fifty-five Shock parolees returned as rule violators had a total of 172 charges sustained against them as a result of final violation proceedings, an average of about 3 charges each. The returned pre-Shock rule violators (n=93) had a total of 239 charges sustained, and the returned "considered" group (n=19) had 50 charges sustained, approximately two and one-half charges per parolee in each group.

Behavior Patterns

An important indicator of the nature of the parolees' behavior is the type of violation for which they were charged. Appendix-A contains a listing of the rules of parole supervision. This information will be useful in determining the extent of the charges for which Shock and comparison group rule violators are being returned to prison.

The types of behavior that lead to technical violations can be broken down into three basic categories: Absconding, Drug Abuse, and Law Enforcement Contact. Parolees who are returned on technical violations have committed infractions that encompass at least one of these three categories; some have committed infractions that encompass more than one category. Using these three categories, a behavior pattern for the rule violators has been developed.

All of the Shock and non-Shock parolees who were returned for technical violations have been categorized based upon their behavior patterns. These behavior patterns are illustrated in Table 6.

TABLE 6 BEHAVIOR PATTERNS OF RULE VIOLATORS
PAROLEES RETURNED WITHIN ONE YEAR

BEHAVIOR PATTERN	GROUP					
	SHOCK		PRE-SHOCK		CONSIDERED	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
ABSCONDING						
Absconding Only	7	13%	20	22%	3	16%
Absconding & Drugs	18	32%	18	19%	1	6%
Absconding & L.E. Contact	2	4%	18	19%	2	10%
Absconding & Drugs & L.E.	5	9%	6	7%	3	16%
Absconding Total	32	58%	62	67%	9	48%
DRUG ABUSE						
Drugs Only	14	26%	13	14%	6	32%
Drugs & L.E. Contact	4	7%	7	7%	2	10%
Drug Total	18	33%	20	21%	8	42%
LAW ENFORCEMENT CONTACT	5	9%	11	12%	2	10%
TOTALS	55	100%	93	100%	19	100%

The Shock parolees were the most likely of all the groups to become involved with drugs. Three-out-of-four had sustained charges which indicated that they had reverted to drug abuse or had engaged in the sale of illegal narcotics, whereas less than two-thirds of the considered group and less than half of the pre-Shock group had sustained drug-related charges.

The Shock parolees were the least likely of the groups to have absconded-only and the least likely to have absconded and experienced law enforcement contact only. The Shock parolees were, however, the most likely to have a combination of charges indicating absconding and drug involvement.

The Division considers absconding a serious offense as it undermines the essence of parole, which is supervision. Absconding means that a parolee has ended contact with his or her parole officer. Contact with the parole officer is essential, not only so that the officer can monitor the parolee's activities, but also so that the parolees' problems can be uncovered and addressed. By absconding, parolees interrupt the Division's attempt to provide services, thereby thwarting the community protection process.

The reasons that a parolee might abscond are many, but as the figures indicate, absconding among Shock parolees appears to be related to a reversion to drugs. Seventy-two percent of the Shock absconders were also involved with the use or sale of illegal narcotics compared to 39% of the pre-Shock group and 44% of the considered-for-Shock group. A parolee who has been using drugs is likely to try to avoid contact with his or her parole officer, therefore the parolee discontinues reporting, stops attending treatment programs and severs ties to the community.

Shock parolees were the least likely of the groups to have sustained charges relating to law enforcement contact only. Nine percent of the Shock rule violators fell into this category compared to 12% and 10% respectively of the pre-Shock and considered-for-Shock parolees.

The considered-for-Shock parolees, the group who among those returned for new felony convictions were the most likely to be returned for new drug crimes, was also the most likely parolee group to have charges sustained against them indicating drug use/sales (absent absconding). Forty-two percent of the "considered" rule violators had drug, or drug and law enforcement charges sustained (absent absconding), compared to 33% of the Shock parolees and 21% of the pre-Shock group.

These findings reinforce earlier research efforts which indicated that drug involvement among Shock parolees is a problem. Shock parolees are more likely than non-Shock parolees to become involved with drugs after release. In addition, the fact that Shock parolees appear less likely than comparison group parolees to commit new crimes after release, indicates that relapse prevention in the community and ASAT in the institutional programs must remain a major focus of Shock Incarceration and Shock Parole.

Time To Delinquent Behavior

The return rates of Shock and non-Shock parolees within one year of release provide benchmarks upon which the program can be evaluated. However, of additional import is the amount of clean street time between the parolee's release date and the date on which the parolee begins to show signs of having problems adjusting to the community.

The figures in Table 7 present the amount of time from release date to delinquency date for Shock and comparison group parolees who were returned within the first year of release. Details on rule violators and those returned with new felony convictions are presented separately.

TABLE 7

TIME FROM RELEASE TO DELINQUENCY
RETURNS WITHIN ONE YEAR

GROUP	0-3 MONTHS		4-6 MONTHS		AFTER 6 MONTHS		TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
SHOCK								
Rule Violator	36	66%	15	27%	4	7%	55	100%
New Crime	21	53%	15	37%	4	10%	40	100%
Shock Total	57	60%	30	32%	8	8%	95	100%
PRE-SHOCK								
Rule Violator	53	57%	30	32%	10	11%	93	100%
New Crime	21	38%	19	35%	15	27%	55	100%
Pre. Total	74	50%	49	33%	25	17%	148	100%
CONSIDERED								
Rule Violator	11	58%	7	37%	1	5%	19	100%
New Crime	12	66%	3	17%	3	17%	18	100%
Cons. Total	23	62%	10	27%	4	11%	37	100%

The information in Table 7 indicates that similar proportions within the Shock group and the considered-for-Shock group violated within the first three months of release. This finding is noteworthy in view of the fact that the Department has also indicated that the Shock group appears to be more similar to the "considered" group than the pre-Shock group.

For all the groups, the proportion of violation activity which occurred between the fourth and sixth month was relatively similar. And the lowest level of violation activity within each group occurred after the sixth month of parole supervision. However, the Shock parolees were the least likely of all the groups to violate beyond six months, thereby indicating that the six months of intensive Shock supervision has been helpful in preparing Shock parolees for a successful transition to a Differential Supervision caseload.

SUMMARY AND CONCLUSIONS

An analysis of the community success rates of Shock parolees seems to indicate that they are more likely to be successful at the end of one year than are the comparison group offenders. For those who do violate parole, the violation activity of Shock graduates is most like that of the considered-for-Shock parolees, except in the area of new criminal activity, where the "considered" group was found to be more likely to have been returned for a drug crime. For those who were returned as technical violators, the Shock parolees were more likely than the non-Shock parolees to have charges sustained indicating the use or sale of illegal narcotics. It should be noted that the Shock parolees had proportionately more drug offenders among them than

either of the groups of non-Shock parolees. This difference, coupled with the increased use of urinalysis testing within the Shock Supervision Program, may have an effect on the detection of drug-related behavior on the part of the Shock parolees.

FUTURE DIRECTIONS

New York's Shock Incarceration program offers the combination of a structured, yet therapeutic, institutional program and a comprehensive aftercare component. It has become a program which other states have expressed an interest in emulating.

The Parole component of Shock Incarceration is the most comprehensive aftercare program for Shock offenders in the United States. The program continues to receive considerable media attention and has been cited by the National Institute of Corrections as a model which other states may wish to replicate.

As part of the national interest in Shock Incarceration, the Division of Parole has continued, along with the Department of Correctional Services, to participate in a National Evaluation of Shock Incarceration sponsored by the National Institute of Justice. Representatives from the Division's Office of Policy Analysis and Information are working with DOCS' Program Evaluation staff on a longitudinal study to assess the impact of Shock Incarceration and Shock Parole in New York State. The Division's effort will concentrate on the community supervision experiences of Shock parolees. Results of the study will be reported to Dr. Doris MacKenzie of Louisiana State University, a visiting scientist for NIJ and the grant's coordinator. Preliminary results are expected in April of 1991.

In addition, the Division will also be working with DOCS staff to administer a Shock Typology Survey Instrument to Shock parolees who have been successful in the community. This survey will provide additional information to augment that which has already been collected by the Department on Shock parolees who have returned to custody. This information will be helpful in determining why some Shock parolees are successful while others are not.

APPENDIX - A

RELEASE AGREEMENT RULES

<u>RULE</u>	<u>MEANING</u>
1	I will proceed directly to the area to which I have been released, and within twenty-four hours of my release, make my arrival report to the Office of the Division of Parole unless other instructions are designated on my release agreement.
2	I will make office and/or written reports as directed.
3	I will not leave the State of New York or any other State to which I am released or transferred, or any area defined in writing by my Parole Officer without permission.
4	I will permit my Parole Officer to visit me at my residence and/or place of employment and I will permit the search and inspection of my person, residence and property. I will discuss any proposed changes in my residence, employment or program status with my Parole Officer. I understand that I have an immediate and continuing duty to notify my Parole Officer of any changes in my residence, employment or program status when circumstances beyond my control make prior discussion impossible.
5	I will reply promptly, fully and truthfully to any inquiry of, or communication by, my Parole Officer or other representative of the Division of Parole.
6	I will notify my Parole Officer immediately any time I am in contact with, or arrested by, any law enforcement agency. I understand that I have a continuing duty to notify my Parole Officer of each contact or arrest.
7	I will not be in the company of, or fraternize with, any person I know to have a criminal record or whom I know to have been adjudicated a Youthful Offender except for accidental encounters in public places, work, school or in any other instances with the permission of my Parole Officer.
8	I will not behave in such a manner as to violate the provisions of any law to which I am subject which provide for a penalty of imprisonment, nor will my behavior threaten the safety or well-being of myself or others.

RELEASE AGREEMENT RULES

RULE

MEANING

- 9 I will not own, possess, or purchase any shotgun, rifle or firearm of any type without the written permission of my Parole Officer. I will not own, possess or purchase any deadly weapon as defined in the Penal Law or any dangerous knife, dirk, razor, stiletto, or imitation pistol. In addition, I will not own, possess or purchase any instrument readily capable of causing physical injury without a satisfactory explanation for ownership, possession or purchase.
- 10 In the event that I leave the jurisdiction of the State of New York, I hereby waive my right to resist extradition to the State of New York from any state in the Union and from any territory or country outside the United States. This waiver shall be in full force and effect until I am discharged from Parole or Conditional Release. I fully understand that I have the right under the Constitution of the United States and under law to contest an effort to extradite me from another state and return me to New York, and I freely and knowingly waive this right as a condition of my parole or Conditional Release.
- 11 I will not use or possess any drug paraphernalia or use or possess any controlled substance without proper medical authorization.
- 12 Special Conditions: (As mandated by Parole Board)
- 13 I will fully comply with the instructions of my Parole Officer and obey such special additional written conditions as he, a Member of the Board of Parole or an authorized representative of the Division of Parole, may impose.