

TABLE 18

Shrinkage in Percent Improvement
from Development Sample to
Validation Sample, by Predictive
Factors and Type of Recidivism

Type of Recidivism	AID	THAID	BETA	EQUAL
Same Crime	-16.7	-39.9	-22.6	-34.0
Any Felony	-19.8	-9.8	+8.0	+9.3
Any Crime	+1.1	-14.8	-7.0	-7.0
Technical Violation	-10.9	-1.2	-6.0	-10.4
Violent Felony	+5.1	-55.2	+4.7	+2.7
Property Felony	-27.8	-33.6	-6.6	-6.6
Any Recidivism	-0.5	-5.8	-9.2	-9.2

satisfactorily stable, while both the BETA factor and the EQUAL factor are acceptable. All factors pass the stability test for the prediction of recidivism (any type).

Recommendation:

Based upon the objective of selecting a predictive factor which provides an efficient, powerful, and stable discrimination between recidivists and nonrecidivists, tests for these characteristics have been applied to all of the twenty-eight factors derived in this project. Nine factors failed to pass either these or the test of significance.

The remaining factors were then considered in light of the degree to which they demonstrated power (selective efficiency) and stability.

Finally, for recidivism of any type, two factors appeared to be tied, BETA and EQUAL factors. The selection between these factors was based upon the fact that the BETA factor is the simplest.

Table 19 is a presentation of the composite recommendations for predictive factors which provide risk categories for recidivism.

Attachment 3 presents crosstabulations of predictor factors with recidivism, by type of recidivism (Tables 20-47).

Finally, for those in our field who would limit the use of post-commitment data, THE FINDINGS IN THIS PROJECT INDICATE THAT THESE DATA ARE INDEED VALUABLE IN PREDICTION OF SUCCESS UPON RELEASE.

TABLE 19

Recommended Predictive Factors, by Type of Recidivism, with
Efficiency Ratings, Predicted False Positives, and Percent Improvement,
Based on Analysis of Validation Subset

Type of Recidivism	Predictive Factors Recommended	Validation Subset Data Base		
		Efficiency Rating	Predicted False Positives (range)	Percent Improvement
Same Crime	None Recommended	-	-	-
Any Felony	Equal Weight Approach	47.2	10.3%(+2.10)	37.2%
Any Crime	Aid Configural Analysis	56.3	13.6%(+2.28)	30.6%
Technical Violation	Thaid Configural Analysis	73.1	6.3%(+1.79)	37.6%
Violent Felony	Aid Configural Analysis	57.0	2.8%(+1.23)	36.4%
Property Felony	Beta Weight Approach	33.4	9.5%(+1.80)	20.2%
Any Recidivism	Beta Weight Approach	54.3	25.3%(+2.65)	13.1%

Section V

Guidelines Applied to Parolee Group

To give further insight into the applicability of the proposed guidelines, parolees were considered separately in an additional step.

For parolees, as for the total sample, the actual recidivism rates (after 30 months) did not differ greatly from the Development Sample to the Validation Sample. For the same crime they were 6.3 percent and 5.4 percent, respectively. For any felony they were 15.1 percent and 14.2 percent, and for any crime they were 19.6 percent and 17.7 percent. For technical violations they were 13.0 percent and 13.7 percent. Violent felony recidivism was 4.9 percent for the Development Sample parolees and 3.9 percent for the parolees of the Validation Sample. Property felony recidivism was 10.1 percent for the Development Sample parolees and 10.7 percent for the Validation Sample parolees. Recidivism for any reason, Total Recidivism, was 32.7 percent for parolees of the Development Sample and 31.3 percent for the parolee group in the Validation Sample.

The next step was to compare the four predictive factors in terms of percent improvement in the prediction of recidivism. That is, the difference between the percent of total recidivism, minus the percent recidivism of the Low Risk group, divided by total recidivism. This is the same procedure followed in our earlier analysis.

Table 20 is a presentation of these results, using the parolees in the Validation Sample to test the predictive factors. It is of considerable import that the BETA and AID factors again proved to be most powerful overall. THAID, in light of its instability, was rejected, though it did prove powerful in predicting Total Recidivism in this sample. It was not rejected, however,

for Technical Violations, since the alternatives all proved to be insignificant at the .05 level.

TABLE 20

Comparison of Predictive Factors in Terms of Percent Improvement in Recidivism Prediction for the Parolees in The Validation Sample (N=848), with Gammas and Etas, for Each Type of Recidivism

Type of Recidivism	% Im-provement	AID		% Im-provement	THAID		% Im-provement	BETA		% Im-provement	EQUAL	
		Gamma	Eta		Gamma	Eta		Gamma	Eta		Gamma	Eta
Same Crime	11.1%*	.227*	.052*	21.0%	.286	.109	22.2%*	.216*	.055*	25.9%*	.245*	.061*
Any Felony	27.4%	.389	.165	17.7%	.184	.074	36.6%	.412	.188	36.6%	.415	.191
Any Crime	27.1%	.428	.195	30.0%	.343	.171	30.5%	.322	.153	30.5%	.322	.153
Technical Violation	- *	-.080*	-.030*	21.2%	.178	.088	5.8%*	.079*	.027*	11.8%*	.099*	.041*
Violent Felony	64.1%	.503	.159	5.9%*	.144*	.057*	48.7%	.582	.132	48.7%	.597	.211
Property Felony	49.8%	-.023*	.061*	26.5%	.413	.280	27.1%	.332	.135	37.6%	.415	.185
Any Recidivism	16.5%	.278	.187	20.6%	.218	.091	15.7%	.289	.161	15.7%	.289	.161

*Not significant at .05 level.

If the present system of selecting parolees is effective, there should be fewer recidivists among those paroled than among the general population. Furthermore, if the proposed guidelines are effective they should result a smaller percent of "false positives" (recidivists among low risk group) than either the total group or the parolee group. Table 21 enables us to examine these comparative data.

TABLE 21

Comparison of Parolee Group with Total Sample in Terms of Recidivism Rates, Matched with Guideline System

	Total Sample		Parolee Sample		False Positives Among Parolees Guideline System	
	Develop- ment Sample	Vali- dation Sample	Develop- ment Sample	Vali- dation Sample	Develop- ment Sample	Vali- dation Sample
Same Crime	6.1%	6.0%	6.3%	5.4%	None Acceptable	
Any Felony	16.1	16.4	15.1	14.2	10.0	9.0
Any Crime	19.8	19.0	19.6	17.7	13.1	12.9
Technical Violation	11.0	10.2	13.0	13.7	8.6	9.8
Violent Felony	4.9	4.8	4.9	3.9	2.8	1.2
Property Felony	11.2	11.9	10.1	10.7	6.3	7.8
Any Recidivism	30.9	29.1	32.7	31.3	24.4	26.4

Clearly, the parolee group is not significantly different from the total sample in terms of recidivism, with the one exception of technical violations, as expected. The guideline system does reduce the percent recidivism among those identified as "Low Risk". The improvement over the parolee group as a result of the guidelines corresponds closely to the improvement noted earlier, that is, between the total sample and the guidelines. It is greater, of course, for technical violations and total recidivism, since these are effected by the fact of parole.

It should be noted here that informal discussions with the members of the Kentucky Parole Board revealed that they considered all the variables included in the recommended guidelines. What, then, accounts for the difference in the results? One factor may be that the Parole Board included other factors in addition to these. In this way, the final decision may have been clouded by too much information or distorted by faulty assumptions. Another possibility may be that, lacking weights and appropriate configurations for the variables, the Parole Board was not able to structure the information they had. Either possibility could have led to misconceptions regarding risk levels and, ultimately, to less effective decision-making.

Section VI

The project reported upon in the preceding pages was under the direction of James W. Fox, Ph.D., Professor of Correctional Services, Eastern Kentucky University, Richmond, Kentucky, 40475. Questions regarding the project can be addressed to him by mail or by calling (606)622-1388.

The project staff included one part-time secretary, fifteen Record Interviewers, one on-site statistical consultant, and two expert consultants from other campuses. The on-site consultant was Mr. Bruce Lewis. The off-campus consultants were George Bohrnstedt, Ph.D., Indiana University, and Don M. Gottfredson, Ph.D., Rutgers University.

The first month of the project was devoted to establishing the project office, hiring a secretary, setting up a budget system, recruiting Record Interviewers, negotiating with consultants, and other administrative matters.

February, the second month, was devoted to taking the sample, designing the codebook, reviewing the design with the consultants, and employing and training Record Interviewers. A meeting with the Advisory Board took place on February 12.

March through May 31, was the data collection period during which the records were examined, data coded, data were keypunched and verified.

The months of June and July encompassed the period of preliminary data analysis and the initial development of the predictive factors. Dr. Bohrnstedt participated in the study during this period by making specific recommendations for data analysis, all of which were incorporated into the

design. The mid-project report was prepared.

August 1-3 Dr. Gottfredson visited the campus and reviewed the progress of the Project. On August 3 he and Dr. Fox reported to the Advisory Committee on the Project. During the remainder of this month, August, the data analysis proceeded with the preparation of data for the OSIRIS package and the early stages of configuration analyses (MDC and MDSCAL).

The month of September saw the completion of the configuration analysis (CAP) and the AID and THAID configural analyses. Predictive Factors were developed.

The application of the Predictive Factors to the Validation Sample took place in October. Preliminary to this comparative analyses of the two samples were conducted. The last week in October was devoted to the writing of the preliminary report.

During the first two weeks of November the preliminary report was written and reviewed by the Project Monitor, Mrs. Pat Reece, of the Office of Support Services, Kentucky Bureau of Corrections. The report was reviewed by the Advisory Committee during the third week of this month and the fourth week was spent reviewing suggested additions to the report.

The final report was completed during the month of December.

Expenditures: Budgetary expenditures for this project were as follows:

<u>Category</u>	<u>Allocation</u>	<u>Expenditure</u>
Personnel:	\$32,195.00	\$26,367.00
Fringe Benefits:	4,164.00	4,164.00
Travel:	4,690.00	4,000.00
Equipment:	- - -	
Supplies:	407.00	407.00
Contractual	3,820.00	3,020.00
Indirect Costs:	3,526.00	3,526.00

Section VII

The following is a brief review of other research which bears upon issues of importance in this project. The intent is not to present a comprehensive, but rather a representative, coverage of this literature. The reader may wish to examine the more complete representation of these issues found in the references attached to this report.

Particular attention is drawn to 1) the consistency in the rates of recidivism found in the various studies conducted throughout the country, 2) the variations in the variables found relevant for each population, and 3) the various methods of analysis used to arrive at predictive tools. It would appear that recidivism, as a social phenomenon, has a rather constant pattern, varying only slightly from one area to another. As this is true, it does not follow that the populations of our prisons are so similar. The variations in predictive variables (inmate characteristics which appear to be related to recidivism) vary considerably, reflecting different groups and different systems. Each jurisdiction can well benefit from a more thorough understanding of its own inmate population and how these characteristics interact with the elements of the criminal justice system with which the offender comes into contact. Finally, as we have attempted to explore several methods of analysis and found them to have various strengths and weaknesses for our purposes, so too have others. Often, these explorations have been limited to a smaller set of methodologies, but in total they add considerably to our understanding of our own findings. There are, of course, other nuances, not examined in this project (eg., alternative definitions of recidivism over time, or psychological predictive measures, as a more complete "cluster analysis"

approach), but it is our feeling that these have not demonstrated the vitality to warrant our examination in view of our limited time and resources.

Vold (1931) analysed the records of 1192 males who were paroled from Minnesota prisons and reformatories during the period 1922-1927. He examined the record of each case for a total of 49 variables. Using a time period of one year on parole, he found that the average rate of violation for those released from prisons was 24.7 percent. This rate differed, however, according to specific characteristics of the parolee. The variables included in his final list were: (p. 89)

- Previous criminal record,
- Marital status at time of offense,
- County from which received,
- Prison punishment record,
- Social type of inmate,
- Work habits prior to conviction,
- Occupation at or before conviction,
- Nature of crime,
- Size and type of community in which offense was committed,
- Size and type of community in which inmate was brought up,
- Whether inmate is ambitious or lazy,
- Whether honest or dishonest,
- Whether inmate used drugs,
- Whether inmate used liquor,
- Mobility of inmate before conviction,

Home condition,

Vold applied the Burgess method to the categories of these variables and developed a prediction table for recidivism.

Hart (1923) examined the data of a previous study by Warner (1923) to determine the validity of his conclusions. The population of the study was men paroled from the Massachusetts Reformatory (600) in a one year period. Hart recommended a weighted scoring scheme, using only those variables correlated (one on one) with recidivism. Factors which appeared to have the most promise were:

- Whether or not the inmate's father had served a jail sentence,
- Whether or not the inmate was partly supporting someone else,
- Whether or not the inmate was guilty of assault and battery,
- Whether or not the inmate had a criminal record,
- Whether or not the inmate's willingness to work in reformatory was rated as "fair",
- Whether or not the inmate's parents were Catholic, Protestant or Jewish,
- Whether or not the inmate was sentenced to two years or less.

Burgess (1928) studied 3000 parolees from Illinois prisons and reformatory and found that after 30 months 25.7 percent had committed a new offense or a technical violation. By comparing the relative rates of recidivism for the

various categories of his variables, Burgess identified those which provided the optimum difference in recidivism. These were:

- Nature of offense,
- Number of associates in committing offense for which convicted,
- Nationality of inmate's father,
- Parental status, including broken homes,
- Marital status of inmate,
- Type of offender: first offender, occasional offender, habitual offender, or professional criminal,
- Social type: ne'er-do-well, gangster, hobo,
- County from which committed,
- Size of community,
- Type of neighborhood,
- Resident or transient in community where arrested,
- Statement of trial judge or prosecuting attorney regarding leniency,
- Nature and length of sentence,
- Months actually served,
- Previous criminal record
- Previous work record
- Punishment record in institution,
- Age at time of parole,
- Mental age,
- Personality type,
- Psychiatric diagnosis.

If the inmate fell into a category which was below the average rate of recidivism he received a 1 for that characteristic; if his category were above the average in recidivism, he received a 0. The total possible points was 21. His data, based upon only a "development sample", indicate that, if approximately 50 percent were paroled, the rate could be held to 22.7% (p.248). This represents an improvement of 11.7 percent (25.7% - 22.7%/25.7%).

In a more recent study, Sampson (1974) analysed the results of a sample of 200 men released from Florida prisons over one year and found that after two years the recidivism rate was 26 percent. The variables he found to be significant, using stepwise multiple regression were:

- Prior parole violation,
- Race,
- Age at commitment,
- Military service (yes or no),
- Bad influence at home.

A predictive formula was developed, using prior parole violations, race, and bad influences at home, and clusters were established. Sampson also used a cluster analysis to group the releasees. The cluster approach provided three different variables, number in immediate family, sentence length, and I.Q.. He concluded, without a validation sample that the cluster approach was more powerful.

Soloman (1976) conducted an analysis of the U.S. Parole Board system, which employs nine salient factors. He studied 2497 parolees and found a recidivism rate of 30.2 percent (he does not identify the time period involved). Soloman included 25 variables in his study, but concluded that only four are necessary in a predictive model, they are:

Number of prior convictions (none, one or two, three or more),

Previous paroles (yes or no),

Commitment offense (auto theft or not),

Release plan (plan to live with spouse nor not).

Soloman used a five-way contingency table to analyse his data, comparing it with various multivariate analyses for power to predict.

Babst, Koval, and Neithercutt (1972) analysed data from the Uniform Parole Reports (U.P.R.), focusing upon males who were sentenced for burglary during 1968 (N = 7,245). The follow-up period was one year. They found the recidivism rate for this group to be 32.7 percent. They conducted cross-classification and configural analyses to identify predictive variables and/or combinations of variables. Time in prison was found to have no significant relationship to recidivism. However, age at time of release appeared to be most significant.

Fildes and Don Gottfredson (1972) also used the UPR data. They used a sample of 8,418 males who were paroled during 1965. Cross-classification analyses were used, testing for Cramer's ϕ and the multiple correlation coefficient. They found the overall recidivism rate to be 27.8 percent. Considerable variation occurred between the development sample and the validation sample, leaving the authors in some doubt regarding the most powerful and stable predictor variables.

Gary Gottfredson and Daiger (1978) conducted a study of the Maryland paroling policy, using a sample of 1,391 cases considered in a three month period. The principal analytical tool used was multiple discriminant analysis. They focused, not upon the prediction of recidivism, but upon the prediction of the parole decision. Wilks' lambdas were used to compare the six models

which were developed.

Yet another approach was followed by Douglas McKenzie, who directed the recidivism study for the Michigan Department of Corrections (1978). This research attempted to develop parole decision-making guidelines, as we have in the project reported here. The researchers used the AID configural analysis technique to identify relevant clusters of variables for the prediction of recidivism. A sample of 2,200 inmates paroled in 1971 was taken and the study was replicated on a sample of 1,200 in 1974. Multiple regression was also used as a basis of comparison of techniques, but was discarded because of unacceptable R^2 's. The study focused upon violent and non-violent recidivism. For violent recidivism, the predictive variables were:

Offense type (present offense was violent)

Serious misconduct in prison (yes - no)

First arrest prior to 15th birthday (yes - no)

Reported felony while a juvenile

Married at time of arrest

For non-violent recidivism, the variables were:

Reported felony while a juvenile

Age at first arrest less than 15

Drug problem at time of arrest

The rate of recidivism for a violent crime was found to be 10.5 percent, and the rate for a non-violent crime was 22.5 percent.

In a pilot recidivism study, the Arizona State Department of Corrections (1976) found a recidivism rate of 31 percent, eliminating "unknowns". In a sample of 495 releasees, it was found that recidivism was not related to time

in prison, but was related to escape history, crimes against property, age at first arrest, and sentence length.

Other means of predicting success for releasees have, of course, been attempted (Kaplan: 1975, Mandel and Barron: 1976, and Dean and Duggan: 1969). However, these psychologically derived predictive approaches appear to hold less promise than those based upon the sociological and experiential characteristics of the inmates.

Don Gottfredson (1979), in a discussion of predictive guideline for probation, discussed the crucial issues in a project such as this. That discussion is quoted below, in entirety, because of this relevance to our project.

Reliability and validity issues are critical to any prediction instrument. Reliability refers to the consistency of repeated observations and measurements in producing similar results. Reliability applies both to the data upon which the prediction instrument is based and the results which it produces. The reliability of predictor data comes into question when offender self report data are used and when predictor variables are subjective and subject to interpretation of the person gathering the data.

Validity refers to the extent to which the variables in a prediction instrument actually measure the attribute or quality they purport to measure. Validity is also closely associated with the concept of reliability. For example, reconviction is a common criterion for success or failure on probation. The validity of reconviction as a criterion is reduced to the extent that there exist innocent probationers among the reconvicted, or there exist unconvicted probationers who have, in fact, engaged in criminal behavior.

An important reliability issue for prediction of criminal behavior is that criminality is based not solely on the state of a person, but also on the behavior of others. The fact that a probationer has his probation revoked may depend more on the policies of the department and the proclivities of his supervising officer than on any negative behavior.

Closely related to the issues of reliability and validity is the question of the relative efficiency of clinical and statistical approaches to making predictions. Although Mannheim and Wilkins (1955) have observed that "people seem to be more inclined to accept the judgment of other people than to trust numerical procedures which appear abstract and impersonal," a review of the evidence suggests that in most cases, actuarial predictions are either about the same or superior to those made by clinicians. In a review of studies involving a comparison of clinical and actuarial methods Meehl (1954) found that in almost all cases, "...predictions made actuarially were either approximately equal to or superior to those made by a clinician." Meehl's evidence is supported by Frease (1965) and Mannheim and Wilkins (1955). An advantage ascribed to statistical predictions is that they are generally more reliable, due to the objective nature of the information used and the disagreement often found among even highly qualified clinicians in evaluating the same case (Mannheim and Wilkins, 1955; Gottfredson, 1967). Since it is recognized that subjective judgments by probation officers and judges will continue to be made, Glaser and Hangren (1958) have suggested that an actuarial prediction based on objective items could serve as a point of reference for sentencing recommendations and decision-making. In this way, subjective impressions of the data could be used to supplement the actuarial prediction and thereby enhance predictive efficiency.

Sampling methods are also of extreme importance to the development of predictive devices. Samples must be representative of the population to which generalizations are to be made; otherwise, the validity of the prediction model will be reduced when it is actually applied. Another requirement is that samples be of sufficient size to draw reliable conclusions. Small samples increase the probability of exploiting chance fluctuations which can produce a considerable margin of error in developing a predictive model.

Another area of methodological concern is the base rate problem. The base rate refers to the proportion of individuals in a population who fall into the category to be predicted (Gottfredson, 1967). If we wish to predict probation success, the base rate is the number of probationers who succeed relative to the total number of probationers under study. This becomes a problem, for example, when there are relatively few "successes" in the population (i.e., when there is a low base rate), because it then becomes more difficult to find variables which discriminate between the successes and the failures. If a prediction instrument cannot improve on the base rate,

it is of no use, but one of the biggest problems associated with base rates is that they are virtually never reported (Meehl and Rosen, 1955). This omission makes the evaluation of the usefulness of the prediction method difficult.

A related issue is the selection ratio, which refers to the proportion of the number of persons chosen for probation placement to the total number available (Bechtoldt, 1951). The utility of a prediction device for probation selection is a function of the selection ratio as well as the predictive validity of the instrument (Gottfredson, 1967). Administrators who wish to use prediction instruments in selecting good risks for probation will find that, when confronted with a low selection ratio (i.e., when only a relatively small number of offenders are selected for probation), a relatively weak prediction device may prove useful. Similarly, if a large number of offenders are selected for probation and only a few are rejected, a much more efficient prediction device is required to achieve the same degree of effectiveness.

Prediction instruments usually involve the combination of a number of predictor variables to estimate an expected outcome such as "completion of probation without any new convictions or probation violation." There are three types of methods for combining predictors: those which use all the predictors equally (Bruce, Harno, Burgess, and Landesco, 1928); those which employ some sort of differential weighting system (Glueck and Glueck, 1930); and configural methods such as Predictive Attribute Analysis and Association Analysis (MacNaughton-Smith, 1963, Williams and Lambert, 1959). Although empirical comparisons of these various methods of combining predictors are not common, several such comparisons support the view that the earliest, most simple methods of equal weighting for all predictors may provide prediction instruments equal or superior to those which require considerably more complex methods (Vold, 1931; Monachesi, 1932; Mannheim and Wilkins, 1955; Simon, 1971; Gottfredson, Gottfredson and Wilkins, 1977).

Cross-validation is a critical consideration in utilizing prediction instruments. Instruments developed for a specific purpose and population are often assumed to be valid elsewhere. Such assumptions are extremely tenuous, since it has been shown that the validity of prediction models can vary greatly by geographic area, with changing social conditions, by probation department policy, and over time. There can, therefore, be no confidence in the utility of a prediction device unless it is validated on new samples and re-validated periodically.

Daniel Glaser examined the question of "The Effectiveness of a Prison and Parole System" (1964) in an extensive research project conducted over a five-and-one-half year period. Dr. Glaser analysed thousands of records and conducted about 2,500 interviews with prisoners and parolees. Configuration tables were set up to analyse the factors which influence the success level of released prisoners. Concludes that the task of establishing optimum conditions and length of confinement for each offender are not determined easily. Advocates correlational studies of groups of inmates to determine if consistent relationships appear.

Glaser stressed the need for prediction tables which can be used to divide all cases in a correctional system into "base expectance" categories of different parole violation or recidivism risk.

He found that about one-third of releasees returned to prison. Also, the older releasee is less likely to return to prison. The younger a person was when first confined, the more likely he is to continue in crime. The younger the person was when he left home, the more likely he is to continue in crime. The most recidivistic group (by crime) is the auto thief, though larcenist, burglars, and forgers are also high recidivists. Low recidivism was found for murderers, rapists, and embezzlers. The more extensive the criminal record, the higher the recidivism rate.

Among the variables studied were:

Age at release

Age at first confinement

Age when individual first left home

Offense type

Prior criminal record

Prior penal institution commitments

Race

Intelligence

Body build

Mode of release

Present sentence

Attachment #1

Risk Review Form

Name: _____ Age: _____

Institutional Number: _____

Previous Institutional Numbers: _____

Date of Commitment: _____

Offense(s): _____ Counts _____

_____ Counts _____

_____ Counts _____

_____ Counts _____

_____ Counts _____

_____ Counts _____

Consideration A: Risk Level _____

Consideration B: Risk Level _____

Consideration C: Risk Level _____

Consideration A: A Score = _____Time in prison, present incarceration _____
monthsGood Time Lost _____
months

Prior incarcerations (yes or no) _____

$$\frac{\text{A Score}}{\text{A Score}} = -.954 + (.2206 \times \frac{\text{TIP}}{\text{TIP}}) + (.2636 \times \frac{\text{GTL}}{\text{GTL}}) + (.2599 \times \frac{\text{PCATI}}{\text{PCATI}})$$

A Risk Level Chart: High Risk = .2741 or more
 Medium Risk = .2001 - .2740
 Low Risk = .2000 or less

Consideration B:
 Minor discipline reports (yes or no) _____
 Good time lost (yes or no) _____
Consideration C:

C Score = _____

Good time lost _____
monthsSentence Length _____
years

Prior incarceration (yes or no) _____

Crimerate _____

Crimrate calculation:

- 1) Total Arrests (including present) _____
- 2) Age at Commitment _____
- 3) Months of prior incarceration _____
months

$$\frac{(1)}{(2)} - \frac{(3)}{(2)} = \frac{\text{Crimrate}}{\text{Crimrate}} = \frac{\text{Circle}}{1 \text{ (} \leq .2140 \text{)} \\ 2 \text{ (} \geq .2141 \text{)}}$$

$$\begin{aligned} \text{(Score= } & -.2651 + (.1087 \times \frac{\text{SENTLGTH}}{\text{SENTLGTH}}) + (.0861 \times \frac{\text{PCATI}}{\text{PCATI}}) + \\ & (.1075 \times \frac{\text{GTL}}{\text{GTL}}) + (.0567 \times \frac{\text{CRIMRATE}}{\text{CRIMRATE}}) \end{aligned}$$

C Risk Level Chart: High Risk .3201 or more
Medium Risk .2881 - .3200
Low Risk .2880 or more

Calculations completed by

reviewer's name (TYPED)

reviewer's signature

(date)

Attachment #2

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
Project Director	Case Number (for project only)	Numerical Sequence - 0001 to 6057	_____	1-4
Resident Record Card	Institutional Number (last institution where a resident for more than 2 months)	Inmates' number, letter at end indicates institution to which assigned; for numbers of less than six digits, enter 00 for the first digits (e.g. 612B would be 00612B)	_____	5-10
Resident Record Card	Good Time <u>Lost</u> in months	Unknown - 99 None - 00 One - 01, through equal to or greater than 98 = 98	_____	11,12
Resident Record Card	<u>Meritorious</u> Good Time in months	Unknown - 99 None - 00 One - 01, through equal to or greater than 98 = 98	_____	13,14
Resident Record Card	Good Time <u>Restored</u> in months	Unknown - 99 None - 00 One - 01, through equal to or greater than 98 = 98	_____	15,16
Resident Record Card Check Reclassification	Last inmate classification at release	Maximum - 1 Medium - 2 Minimum - 3	_____	17
Resident Record Card	Institution of last incarceration	KSP at Eddyville - 01 Bell County - 07 KSR at LaGrange - 02 Daniel Boone - 08 KCIW at PeeWee Valley - 03 Frankfort CC - 09 Blackburn - 04 Roederer Farm - 10 Frenchburg - 05 Western Farm - 11 Harlan County - 06	_____	18,19
Resident Record Card	Sex	Male - 1 Female - 2	_____	20
Resident Record Card	Race	Black - 1 White - 2 Other - 3	_____	21

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
Resident Record Card also outside of file folder	Detainer	Unknown - 9 Federal - 1 State - 2 None - 0	_____	22
Resident Record Card	Time served in last incarceration in years, rounded upward (total, including all charges, including parole violations)	Years 01 to 99	_____	23,24
Court Commitment & Resident Record Card	Offense (last incarceration) (If more than one offense, use the most serious)	SEE KEY #1 981 - Fail to obey court 980 - OMVWOC	_____	25,26, 27
Court Commitment	If Multiple charges, indicate the number of counts for <u>the most serious crime</u>	No multiple counts - 0 Two Counts - 2 Through equal to or greater than eight - 8	_____	28
Court Commitment	If multiple charges, use code from KEY #1 to indicate the second most serious offense	Not Multiple Counts - 0 (SEE KEY #1) 981 - Fail to obey court 980 - OMVWOC	_____	29,30, 31
Court Commitment	If multiple charges, indicate number of counts for <u>the second most serious crime</u>	Not Multiple Charges - 0 Two Counts - 2 Through equal to or greater than eight - 8	_____	32
Court Commitment	Sentence length, add consecutive sentences, <u>BUT NOT CONCURRENT</u> in years, rounded upward	One - 01, Through Ninety - Nine or more - 99	_____	33,34
Court Commitment	Date of Commitment for present incarceration	Month - 01 through 12 plus last two digists of year - 00 through 76 (total entry would range from 0100 1276)	_____	35,36, 37, 38

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
FBI Report	Number of previous felonies	Unknown - 99 None - 00 One - 01, through equal to or more than Ninety Eight - 98	_____	39,40
FBI Report	Date of first felony Offense	Month - 01 through 12, plus last two digits of year - 00 through 76	_____	41,42, 43,44
FBI Report	Date Present Arrest (usually next to last entry)	Month - 01 through 12 year, last two digits - 00 through 76	_____	45,46, 47,48
FBI Report	Date of last <u>prior</u> arrest (the one immediately prior to present one)	Month - 01 through 12 year, last two digits, 00 through 76	_____	49,50 51,52
FBI Report	Post release success, whether or not reincarcerated	Unknown - 9 No Reincarceration - 0 Reincarcerated, Parole Violation - 1 Reincarcerated Misdemeanor - 2 Reincarcerated, Felony - 3	_____	53
FBI Report	Date of FIRST Felony Arrest (first entry on FBI Report)	Month - 01 through 12 year, last two digits, 00 through 76	_____	54,55, 56,57
FBI Report	<u>Offense type</u> leading to reincarceration (if parole violation involves or is followed by offense, list offense)	Unknown - 999 No reincarceration - 000 Parole Violation - 990 Offense type - SEE KEY #1	_____	58,59, 60
FBI Report	Date of reincarceration	Unknown - 999 No reincarceration - 000 Month - 01 through 12 plus year, <u>LAST DIGIT</u> 4 through 9 (range is 014 through 069)	_____	61,62, 63
FBI Report	Previous Offenses, Confrontation (Arrests, number only)	Unknown - 99 None - 00 One - 01 through Ninety-Eight - 98	_____	64,65

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
FBI Report	Previous Offenses, Nonconfrontation (Arrests, number only)	Unknown - 99 None 00 One - 01 through 98		66,67
FBI Report	Previous Convictions, Confrontation Offenses (number only)	Unknown - 99 None - 00 One - 01 through 98		68,69
FBI Report	Previous Convictions, Nonconfrontation Offenses (number only)	Unknown - 99 None - 00 One - 01 through 98		70,71
Presentence Investigation Report	History of Drug Use, Type	Unknown - 9 None - 0 Alcohol only - 1 Marijuana only - 2 Both - 3 Narcotics (less than once a day) - 4 Narcotics (once a day or more) 5 Other-6		72
PSI	Alcohol Use	Unknown - 9 None - 0 Social - 1 Daily (not alcoholic) - 2 Alcohol Problem (not alcoholic) - 3 Identified as alcoholic - 4		73
PSI	Marijuana Use	Unknown - 9 None - 0 Social - 1 Daily use, less than two years - 2 Daily use, two years or more - 3		74
PSI	Use of Narcotics	Unknown - 9 None - 0 Social - 1 Daily use, less than two years - 2 Daily use, two years or more - 3 Addicted - 4		75
PSI	Behavior with Drugs or Alcohol	Unknown - 9 No use of drugs or alcohol - 0 No violence noted - 1 Violent - 2		76
PSI	Year of Birth	Indicate only the year (last <u>TWO</u> digits) - 00 thru 99		77,78

SOURCE	VARIABLE	VALUE--CODE	ENTRY	COLUMN
PSI	Was to offender abused as a child	0 - No 1 - Yes 9 - Unknown	_____	79
Routine Entry	CARD NUMBER	Every data form should have <u>1</u> entered here	_____	80
		NOTE CARD #2		
Project Director	Case Number	0001 to 6057	_____	1,2, 3,4
PSI	Use of time during two years of arrest	Unknown - 9 In school entire time - 1 In school less than two years but more than one year; unemployed, but not incarcerated, the rest of the time - 2 In school less than one year; unemployed, but not incarcerated the rest of the time - 3 Not in school, not employed, and not incarcerated entire period - 4 Employed entire period - 5 Employed less than two years but more than one year; not incarcerated, and not in school rest of time - 6 Employed less than one year; not incarcerated part of the time, eight in school or employed rest of time - 8 Incarcerated part of time, neither employed or in school the rest of the time - 0	_____	5
PSI (check previous incarcerations reports)	Total length of prior incarceration actually served in years, rounded upward	Unknown - 99 Years - 01 to 98 None - 00	_____	6,7
PSI	Auto Theft - did the offense of present incarceration involve auto theft:	Unknown - 9 No - 0 Yes - 1	_____	8

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
PSI	Out of State incarceration (Did individual have prior incarcerations out of state?)	Unknown - 9 No - 0 Yes - 1		9
PSI	Highest level of Employment	Unknown - 9 None - 0 Unskilled (no training needed) - 1 Skilled (training required) - 2 Professional - 3 Nonprofessional, Managerial - 4		10
PSI	Employed at Last Arrest	Unknown - 9 No - 0 Yes - 1		11
PSI	"Permanence" character of employment at arrest	Unknown - 9 None - 0 Seasonal - 1 Temporary - 2 Part-time - 3 Permanent - 4		12
PSI	Salary <u>per month</u> of employ- ment at arrest	Unknown - 9 None - 0 Less than \$200 - 1 \$200-\$499 - 2 \$500-\$999 - 3 \$1000-\$1499 - 4 \$1500-\$1999 - 5 \$2,000-\$2499 - 6 \$2500 or more - 7 (\$2.50 = 420/month, \$2 = \$360/month, \$3 = \$480/month)		13
PSI	Live with family at arrest (include foster family, extended family, and or spouse, legal or common-law)	Unknown - 9 No - 0 Yes - 1 No permanent address - 2		14
PSI	Employment of Father	Unknown - 9 None - 0 Seasonal - 1 Temporary - 2 Part-time - 3 Permanent - 4		15
PSI	Employment of Mother (other than housewife)	Unknown - 9 None - 0 Seasonal - 1 Temporary - 2 Part-time - 3 Permanent - 4		16
PSI	Employment of Spouse (other than housewife, if female)	Unknown - 9 None - 0 Seasonal - 1 Temporary - 2 Part-time - 3 Permanent - 6		17

SOURCE VARIABLE VALUE - CODE ENTRY COLUMN

PSI	Incarceration of Others in Family, any amount of time (including jail, juvenile facilities, and prison)	Unknown - 9 None - 0 Father - 1 Mother -2 One or more Siblings - 3 Both Parents -4 One parent & one or more siblings - 5 Both parents and one or more siblings - 6		18
PSI (Check address and schools)	Mobility over 10 years prior to arrest	Unknown - 9 Never changed residence - 0 Changed residence two or less times - 1 Changed residence three times or more, but less than 10 times - 2 Changed residence over ten times - 3 No permanent address - 4		19
PSI	Home Ownership at arrest	Unknown - 9 No - 0 Yes - 1		20
PSI	Marital History (at time of arrest)	Presently married (once) - 01 Unknown - 99 Never Married - 00 One Marriage, Widowed - 03 One Marriage, separated - 04 One Common-Law marriage, presently viable - 11 One Common-Law marriage, presently broken-up - 12 One Common-Law marriage, spouse died - 13 Divorced once, presently remarried - 21 Divorced once, presently unmarried - 20 Divorced once, presently widowed - 23 Divorced once, presently remarried and separated - 24 Divorced once, presently in Common-Law marriage - 25 More than one divorce, presently remarried - 31 More than one divorce, presently unmarried - 30 More than one divorce, presently widowed - 33 More than one divorce, presently remarried and separated - 34 More than one divorce, presently in common-law marriage - 35 Once Widowed, presently remarried - 41 Once Widowed, presently unmarried - 40 Once widowed, presently divorced - 42 Once widowed, presently in common-law marriage - 45 Widowed more than once, presently remarried - 51 Widowed more than once, presently divorced - 52 Widowed more than once, presently remarried & separated - 54		

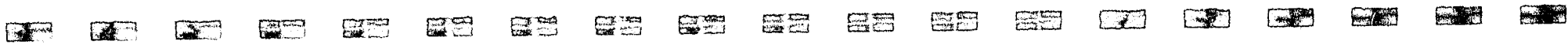
SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
	Marital History (con't)	Widowed more than once, presently unmarried - 50 Widowed more than once, presently in common-law marriage - 55 More than one common-law marriage, present one viable - 61 More than one common-law marriage, presently unmarried - 60 Combination of more than one of the above, presently married - 71 Combination of more than one of the above, presently unmarried - 70 Combination of more than one of the above, presently divorced - 72 Combination of more than one of the above, presently remarried & separated - 74 Combination of more than one of the above, presently in common-law marriage - 75		21,22
PSI	Family Health History (Physical Health)	Unknown - 9 No illness noted in Paternal or Maternal Family - 0 Both Paternal & Maternal, extensive illness - 1 Paternal Family, extensive illness noted - 2 Maternal Family, extensive illness noted - 3		23
PSI	Immediate Family Health (present spouse & children)	Unknown - 9 No extensive illness noted - 0 Extensive illness noted (spouse) - 1 Extensive illness noted (one or more children) - 2 Spouse and 1 or more children - 3		24
PSI	Family Ties (Parent & sibling if not married)	Unknown - 9 No Family - 0 Weak - 1 Strong - 2		25
PSI	Assets	Unknown - 9 None - 0 Owns car, some clothes - 1 Owns house, car - 2 Owns house, car and other property - 3		26
PSI	Military - Discipline	Unknown - 9 Not in Military - 0 Dishonorable Discharge - 1 Less than honorable discharge - 2 Honorable Discharge - 3		27
PSI	Military Rank	Unknown - 9 Not in Military - 0 Lower than Sgt. - 1 Sgt. - 2 Commissioned Officer - 3		28

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
PSI	Previous Educational Problems	Unknown - 9 None noted - 0 Some noted, considered slight - 1 Serious educational problems (discipline only) - 2 Serious educational problems (ability level only) - 3 Serious educational problems (both discipline and ability level) - 4		29
PSI	Financial Liabilities	Unknown - 9 Notation that these were none - 0 Noted as a problem, not too serious - 1 Noted as a serious problem - 2		30
PSI	Drug use during offense for which last arrested	Unknown - 9 Notation there was none - 0 Alcohol - 1 Marijuana - 2 Narcotics - 3 Non-narcotics Drugs - 4 Combinations of any of the above - 5		31
PSI	Court of Conviction (County)	(SEE KEY #2)		32,33,34
PSI or PPRR	History of previous parole or probation violation	Unknown - 9 None - 0 One Probation - 1 One Parole - 2 Over one Probation - 3 Over one Parole - 4 Both - 5		35
Pre-Parole Release Report	Dependents by type at release Spouse (Include common-law)	No - 0 Yes - 1 Unknown - 9		36
PPRR also check PSI	Dependents at release - Children	None - 0 One - 1 Two - 2 Three - 3 Four - 4 Five - 5 Six - 6 Seven - 7 Eight - 8 Unknown - 9		37
PPRR also check PSI	Dependents at release - Other	Unknown - 9 None - 0 One - 1 Two - 2 Three - 3 Four - 4 Five - 5 More than Five - 6		38
PPRR	Plan to live with family upon release	No - 0 Yes - 1 Unknown - 9		39
PPRR	Family visitation during incarceration	Unknown - 9 None - 0 Rarely - 1 Routinely - 2		40

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
PPRR	Work habits while in prison	Unknown - 9 Very Poor - 1 Average - 2 Good - 3 Excellent - 4		41
PPRR	Participation in Education Programs - By Type	None - 0 CED Center - 1 Correspondence School - 2 Reading Center - 3 Learning Center - 4 College Level in House - 5 Study Release - 6 Unknown - 9 Other - 7		42
PPRR	Participation in Vocational Education (first type education program)	None - 00 Welding - 10 Auto Mechanic - 11 Building Trades - 12 Drafting - 13 Electricity - 14 Up- holstry - 15 Printing - 16 Radio, TV - 17 Carpentry - 18 Unknown - 99 Cook - 20 Janitor - 21 Sewage Disposal Worker - 22 Clerical - 23 Landscaper - 24 Forestry - 25 Agriculture - 26 Meat Cutting - 27 Other - 30		43,44
PPRR	Participation in Counseling Programs - by type	None - 0 Post Secondary Educational Counseling - 2 Group Psychotherapy - 3 Chemotherapy - 4 Therapeutic Recreation - 5 Personal Counseling - 6 TA - 7 Unknown 9 Other - 8		45
PPRR	Education Level Upon Release	Unknown - 99 First Grade - 01 Through College - 16 More than 4 years of college - 17 GED Attained - 18		46,47
PPRR (also check the PSI)	Physical Health History	Unknown - 9 Excellent - 1 Poor Physical Health (not serious) - 2 Serious Illness - 3 Serious Chronic Illness - 4 Other - 5		48
PPRR (also check the PSI)	Mental Health History	Unknown - 9 Excellent - 1 Poor Physical Health (not serious) - 2 Serious Illness - 3 Serious Chronic Illness - 4 Other - 5		49
PPRR	Non-family Visitations	Unknown - 9 None - 0 Rare - 1 Routinely - 2		50

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
PPRR	Type of Family Support during Incarceration	Unknown - 9 No Family - 0 Welfare - 1 Employed Spouse - 2 Employed Children - 3 Both Spouse and Children Employed - 4 Savings - 5 Supported by other Family Members - 6 Other - 7	_____	51
PPRR	Family Change During Incarceration	Unknown - 9 No Family - 0 No Changes Noted - 1 Change, see next question - 2	_____	52
PPRR	Family Change During Incarceration - Legally Separated or Divorced	No - 0 Yes - 1 Unknown - 9	_____	53
PPRR	Family Change - Death of Spouse	No - 0 Yes - 1 Unknown - 9	_____	54
PPRR	Family Change - Death of Child	No - 0 Yes - 1 Unknown - 9	_____	55
PPRR	Family Change - Death or Major Illness of Parent	No - 0 Yes - 1 Unknown - 9	_____	56
PPRR	Family Change - Major Illness of Spouse	No - 0 Yes - 1 Unknown - 9	_____	57
PPRR	Family Change - Death or Major Illness of other Family Member	No - 0 Yes - 1 Unknown - 9	_____	58
PPRR	Family Change - Married while Incarcerated	No - 0 Yes - 1 Unknown - 9	_____	59
PPRR	Family Change - Birth of Child	No - 0 Yes - 1 Unknown - 9	_____	60

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
PPRR	Family Change - Spouse Incarcerated	No - 0 Yes - 1 Unknown - 9	—	61
PPRR	Family Change - Child Incarcerated	No - 0 Yes - 1 Unknown - 9	—	62
PPRR	Family Change - Other Family member incarcerated (not spouse or child)	No - 0 Yes - 1 Unknown - 9	—	63
PPRR	Family Change - Mobility - Did Family move during incarceration (if more than one move, indicated only that move involving the greatest distance)	No - 0 Yes, within City - 1 Yes, within County - 2 Yes, within State - 3, Yes, outside State - 4 Unknown - 9	—	64
PPRR	Family Change - Other not noted above	No - 0 Yes - 1 Unknown - 9	—	65
Incident Reports	Disciplinary Records Category I	Number of Incidents of this number 0 - 8, 9 = 9 or more	—	66
Incident Reports	Disciplinary Records Category II	Number of Incidents 0 - 8 9 = 9 or more	—	67
Incident Reports	Disciplinary Records Category III	Number of Incidents 0 - 8 9 = 9 or more	—	68
Incident Reports	Disciplinary Records Categories IV Through VI	Number of Incidents 0 - 8 9 = 9 or more	—	69
Incident Reports	Drug Related Incidents	None - 0 1 - 8 9 or more = 0	—	70



SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
Incident Reports	Sex Related Incidents	None - 0 1 - 8 9 or more = 9	_____	71
Incident Reports	Violence Involved	None - 0 1 - 8 9 or more = 9	_____	72
Incident Reports and PSI	Escapes (include jails, not juvenile detention)	None Noted - 0 1 - 8 9 or more = 9	_____	73
Employment Verifi- cation Form	Employment on Release Guaranteed	Unknown - 9 None - 0 Unskilled - 1 Skilled - 2 Professional - 3 Management - 4	_____	74
Preclassification Summary	Educational Functional Level	Unknown - 9 Less than First Grade - 0 First - 1 Second - 2 Third - 3 Fourth - 4 Fifth - 5 Sixth - 6 Seventh - 7 Eighth or Better - 8	_____	75

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
Parole Certificate	County to which individual was released	Not on parole - 000 SEE KEY #2 Outside State - 999	—	76,77 78
		BLANK		79
Routine Entry	Card Number	CARD NUMBER #2	—	80
Project Director	Card Number	NOTE: Switch to Card #3 0001 through 6057	—	1,2, 3,4
Parole Certificate (back)	Parole Conditions	Not paroled - 0 Standard Only - 1 Other Conditions (see following questions) - 2	—	5
Parole Certificate (back)	Other - Must Attend AA	Not paroled - 0 No - 1 Yes - 2	—	6
Parole Certificate (back)	Other - Must stay out of specific county (city)	Not paroled - 0 No - 1 Yes - 2	—	7
Parole Certificate (back)	Other - Must have close supervision	Not paroled - 0 No - 1 Yes - 2	—	8
Parole Certificate (back)	Other - First drinking violation will lead to reincarceration	Not paroled - 0 No - 1 Yes - 2	—	9
Parole Certificate (back)	Other - Must attend treatment program (e.g. Comprehensive care)	Not paroled - 0 No - 1 Yes - 2	—	10

SOURCE	VARIABLE	VALUE - CODE	ENTRY	COLUMN
Parole Certificate (back)	Other - must have a volunteer to work with	Not paroled - 0 No - 1 Yes - 2	—	11
Parole Certificate (back)	Other - Must attend Seventh Step Counseling	Not paroled - 0 No - 1 Yes - 2	—	12
Notice of Discharge	Date of Release	Month: 01-12 plus <u>last</u> digit of year (range is 014 to 126)	—	13,14, 15
Notice of Discharge	Type of Release	Parole - 1 Conditional Release - 2 Expiration of Sentence - 3 Commutation of Sentence - 4 Pardon - 5	—	16

Attachment #3

Crosstabulation Tables Predictive Factor by Recidivism

TABLE 22

Recidivism by Same Crime, by Beta Predictive Factor (Validation)

Recidivism by Same Crime

Risk Level	Non Recidivist 0	Recidivist 1	Risk Level Totals
Low Risk 1	479 (60.5) (95.4)	23 (45.1) (4.6)	502 (59.5)
Medium Risk 2	93 (11.7) (91.2)	9 (17.6) (8.8)	102 (12.1)
High Risk 3	220 (27.8) (92.1)	19 (37.3) (7.9)	239 (28.4)
Recidivist- Nonrecidivist	792	51	Grand Total 843
Totals	(94.0)	(6.0)	(100.0)

Chi Square: 4.802 Significance: .0906

Gamma: .246 Eta (Recidivism Dependent): .075

Beta
Weight
Predictive
Factor
Risk Levels

TABLE 23

Recidivism by Felony, by Beta Predictive Factor (Validation)

Recidivism by Any Felony

Risk Level	Non Recidivist 0	Recidivist 1	Risk Level Totals
Low Risk 1	502 (53.9) (89.6)	58 (31.9) (10.4)	560 (50.3)
Medium Risk 2	288 (30.9) (79.8)	73 (40.1) (20.2)	361 (32.4)
High Risk 3	141 (15.1) (73.4)	51 (28.0) (26.6)	192 (17.3)
Recidivist- Nonrecidivist	931	182	Grand Total 1113
Totals	(83.6)	(16.4)	(100.0)

Chi Square: 33.299 Significance: .0000

Gamma: .373 Eta (Recidivism Dependent): .173

Beta
Weight
Predictive
Factor
Risk Levels

TABLE 24

Recidivism by Crime by Beta Predictive Factor (Validation)

Recidivism by Any Crime

Risk Level	Non Recidivist	Recidivist	Risk Level Totals
	0	1	
Low Risk 1	487 (54.0) (85.9)	80 (37.7) (14.1)	567 (50.9)
Medium Risk 2	295 (32.7) (77.8)	84 (39.6) (22.2)	379 (34.0)
High Risk 3	120 (13.3) (71.4)	48 (22.6) (28.6)	168 (15.1)
Recidivist- Nonrecidivist	902	212	Grand Total 1114
Totals	(81.0)	(19.0)	(100.0)

Chi Square: 21.251 Significance: .0000

Gamma: .289 Eta (Recidivism Dependent): .138

TABLE 25

Recidivism by Technical Violation by Beta Predictive Factor (Validation)

Recidivism by Technical Violation

Risk Level	Non Recidivist	Recidivist	Risk Level Totals
	0	1	
Low Risk 1	716 (76.8) (91.6)	66 (57.4) (8.4)	782 (74.7)
Medium Risk 2	125 (13.4) (85.6)	21 (18.3) (14.4)	146 (13.9)
High Risk 3	91 (9.8) (76.5)	28 (24.3) (23.5)	119 (11.4)
Recidivist- Nonrecidivist	932	115	Grand Total 1047
Totals	(89.0)	(11.0)	(100.0)

Chi Square: 26.058 Significance: .0000

Gamma: .409 Eta (Recidivism Dependent): .157

TABLE 26

Recidivism by Violent Felony By Beta Predictive Factor (Validation)

Beta Weight Predictive Factor Risk Levels	Recidivism by Violent Felony		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Totals
Low Risk 1		629	21
		(70.1)	(46.7)
		(96.8)	(3.2)
Medium Risk 2		34	2
		(3.8)	(4.4)
		(94.4)	(5.6)
High Risk 3		234	22
		(26.1)	(48.9)
		(91.4)	(8.6)
Recidivist- Nonrecidivist		897	45
			Grand Total 942
Totals		(95.2)	(4.8)
			(100.0)

Chi Square: 11.663 Significance: .0029

Gamma: .444 Eta (Recidivism Dependent): .111

TABLE 27

Recidivism by Property Felony by Beta Predictive Factor (Validation)

Beta Weight Predictive Factor Risk Levels	Recidivism by Property Felony		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Totals
Low Risk 1		341	36
		(33.7)	(26.3)
		(90.5)	(9.5)
Medium Risk 2		456	49
		(45.1)	(35.8)
		(90.3)	(9.7)
High Risk 3		214	52
		(21.2)	(38.0)
		(80.5)	(19.5)
Recidivist- Nonrecidivist		1011	137
			Grand Total 1148
Totals		(88.1)	(11.9)
			(100.0)

Chi Square: 19.108 Significance: .0001

Gamma: .254 Eta (Recidivism Dependent): .129

TABLE 28

Recidivism of Any Type by Beta Predictive Factor (Validation)

Beta
Weight
Predictive
Factor
Risk Levels

Recidivism of Any Type			
Risk Level	Non Recidivist 0	Recidivist 1	Risk Level Totals
Low Risk 1	510 (64.6) (74.7)	173 (53.4) (25.3)	683 (61.7)
Medium Risk 2	76 (9.6) (80.8)	19 (5.9) (20.0)	95 (8.5)
High Risk 3	203 (25.7) (60.6)	132 (40.7) (39.4)	335 (30.1)
Recidivist- Nonrecidivist	789	324	Grand Total 1113
Totals	(70.9)	(29.4)	(100.0)

Chi Square: 25.750 Significance: .0000

Gamma: .251 Eta (Recidivism Dependent): .152

TABLE 29

Recidivism by Same Crime by EQUAL Predictive Factor (Validation)

EQUAL
Weight
Predictive
Factor
Risk Levels

Recidivism by Same Crime			
Risk Level	Non Recidivist 0	Recidivist 1	Risk Level Totals
Low Risk 1	423 (53.4) (95.5)	20 (39.2) (4.5)	443 (52.6)
Medium Risk 2	58 (7.3) (95.1)	3 (5.9) (4.9)	61 (7.2)
High Risk 3	311 (39.3) (91.7)	28 (54.9) (8.3)	339 (40.2)
Recidivist- Nonrecidivist	792	51	Grand Total 843
Totals	(94.0)	(6.0)	(100.0)

Chi Square: 4.887 Significance: .0869

Gamma: .279 Eta (Recidivism Dependent): .076

TABLE 30

Recidivism by Felony by EQUAL Predictive Factor (Validation)

EQUAL Weight Predictive Factor Risk Levels	Recidivism by Felony		
	Risk Level	Non Recidivist	Risk Level
		0	1
			Totals
	Low Risk 1	507 (54.5) (89.7)	58 (31.9) (10.3) 565 (50.8)
	Medium Risk 2	283 (30.4) (79.5)	73 (40.1) (20.5) 356 (32.0)
	High Risk 3	141 (15.0) (73.4)	51 (28.0) (26.6) 192 (17.3)
	Recidivist- Nonrecidivist	931	182 Grand Total 1113
	Totals	(83.6)	(16.4) (100.0)
	Chi Square: 34.427	Significance: .0000	
	Gamma: .378	Eta (Recidivism Dependent): .176	

TABLE 31

Recidivism by Any Crime, by EQUAL Predictive Factor (Validation)

EQUAL Weight Predictive Factor Risk Levels	Recidivism by Any Crime		
	Risk Level	Non Recidivist	Risk Level
		0	1
			Totals
	Low Risk 1	487 (54.0) (85.9)	80 (37.7) (14.7) 567 (50.9)
	Medium Risk 2	297 (32.9) (77.5)	86 (40.6) (22.5) 383 (34.4)
	High Risk 3	118 (13.1) (72.0)	46 (21.7) (28.0) 164 (14.7)
	Recidivist- Nonrecidivist	902	212 Grand Total 1114
	Totals	(81.0)	(19.0) (100.0)
	Chi Square: 20.481	Significance: .0000	
	Gamma: .285	Eta (Recidivism Dependent): .136	

TABLE 32

Recidivism by Technical Violation, by EQUAL Predictive Factor (Validation)

EQUAL Weight Predictive Factor Risk Levels	Recidivism by Technical Violation		
	Risk Level	Non Recidivist	Recidivist
		0	1
	Low Risk 1	548 (54.8) (91.2)	49 (43.4) (8.2)
	Medium Risk 2	318 (31.8) (89.1)	39 (34.5) (10.9)
	High Risk 3	134 (13.4) (84.3)	25 (22.1) (15.7)
	Recidivist- Nonrecidivist	1000	113
	Totals	(89.8)	(10.2)
			Grand Total 1113
			(100.0)

Chi Square: 8.118 Significance: .0173
Gamma: .222 Eta (Recidivism Dependent): .085

TABLE 33

Recidivism by Violent Felony, by EQUAL Predictive Factor (Validation)

EQUAL Weight Predictive Factor Risk Levels	Recidivism by Violent Felony		
	Risk Level	Non Recidivist	Recidivist
		0	1
	Low Risk 1	645 (71.9) (96.6)	23 (51.1) (3.4)
	Medium Risk 2	161 (17.9) (96.4)	6 (13.3) (3.6)
	High Risk 3	91 (10.1) (85.0)	16 (35.6) (15.0)
	Recidivist- Nonrecidivist	897	45
	Totals	(95.2)	(4.8)
			Grand Total 942
			(100.0)

Chi Square: 27.487 Significance: .0000
Gamma: .451 Eta (Recidivism Dependent): .171

TABLE 34

Recidivism by Property Felony, by EQUAL Predictive Factor (Validation)

EQUAL Weight Predictive Factor Risk Levels	Recidivism by Property Felony		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Risk Level Totals
Low Risk 1		341	36
		(33.7)	(26.3)
		(90.5)	(9.5)
Medium Risk 2		482	53
		(47.7)	(38.7)
		(90.1)	(9.9)
High Risk 3		188	48
		(18.6)	(35.0)
		(79.7)	(20.3)
Recidivist- Nonrecidivist		1011	137
			Grand Total 1148
Totals		(88.1)	(11.9)
			(100.0)

Chi Square: 19.996 Significance: .0000

Gamma: .256 Eta (Recidivism Dependent): .132

TABLE 35

Recidivism of Any Type, by EQUAL Predictive Factor (Validation)

EQUAL Weight Predictive Factor Risk Levels	Recidivism of Any Type		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Risk Level Totals
Low Risk 1		510	173
		(64.6)	(53.4)
		(74.7)	(25.3)
Medium Risk 2		76	19
		(9.6)	(5.9)
		(80.0)	(20.0)
High Risk 3		203	132
		(25.7)	(40.7)
		(60.6)	(39.4)
Recidivist- Nonrecidivist		789	324
			Grand Total 1113
Totals		(70.9)	(29.1)
			(100.0)

Chi Square: 25.750 Significance: .0000

Gamma: .251 Eta (Recidivism Dependent): .152

TABLE 36

Recidivism by Same Crime, by AID Predictive Factor (Validation)

AID Weight Predictive Factor Risk Levels	Recidivism by Same Crime		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Totals
Low Risk 1		779 (77.1) (94.8)	43 (71.7) (5.2)
			822 (76.8)
Medium Risk 2		130 (12.9) (93.5)	9 (15.0) (6.5)
			139 (13.0)
High Risk 3		102 (10.1) (92.7)	8 (13.3) (7.3)
			110 (10.3)
Recidivist- Nonrecidivist		1011	60
			Grand Total 1071
Totals		(94.4)	(5.6)
			(100.0)

Chi Square: 0.995 Significance: .6082

Gamma: .135 Eta (Recidivism Dependent): .030

TABLE 37

Recidivism by Any Felony, by AID Predictive Factor (Validation)

AID Weight Predictive Factor Risk Levels	Recidivism by Any Felony		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Totals
Low Risk 1		495 (70.3) (88.6)	64 (48.9) (11.4)
			559 (66.9)
Medium Risk 2		62 (8.8) (74.7)	21 (16.0) (25.3)
			83 (9.9)
High Risk 3		147 (20.9) (76.2)	46 (35.1) (23.8)
			193 (23.1)
Recidivist- Nonrecidivist		704	131
			Grand Total 835
Totals		(84.3)	(15.7)
			(100.0)

Chi Square: 23.075 Significance: .0000

Gamma: .373 Eta (Recidivism Dependent): .154

TABLE 38

Recidivism by Any Crime, by AID Predictive Factor (Validation)

AID
Weight
Predictive
Factor
Risk Levels

Risk Level	Recidivism by Any Crime		Risk Level Totals
	Non Recidivist 0	Recidivist 1	
Low Risk 1	598 (71.8) (86.4)	94 (47.2) (13.6)	692 (67.1)
Medium Risk 2	86 (10.3) (69.9)	37 (18.6) (30.1)	123 (11.9)
High Risk 3	149 (17.9) (68.7)	68 (34.2) (31.3)	217 (21.0)
Recidivist- Nonrecidivist	833	199	Grand Total 1032
Totals	(80.7)	(19.3)	(100.0)

Chi Square: 43.911 Significance: .0000
 Gamma: .426 Eta (Recidivism Dependent): .197

TABLE 39

Recidivism by Technical Violation, by AID Predictive Factor (Validation)

AID
Weight
Predictive
Factor
Risk Levels

Risk Level	Recidivism by Technical Violation		Risk Level Totals
	Non Recidivist 0	Recidivist 1	
Low Risk 1	346 (33.5) (91.8)	31 (26.7) (8.2)	377 (32.8)
Medium Risk 2	156 (15.1) (84.3)	29 (25.0) (15.7)	185 (16.1)
High Risk 3	530 (51.4) (90.4)	56 (48.3) (9.6)	586 (51.0)
Recidivist- Nonrecidivist	1032	116	Grand Total 1148
Totals	(89.9)	(10.1)	(100.0)

Chi Square: 7.985 Significance: .0185
 Gamma: .020 Eta (Recidivism Dependent): .013

TABLE 40

Recidivism by Violent Felony, by AID Predictive Factor (Validation)

AID Weight Predictive Factor Risk Levels	Recidivism by Violent Felony		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Risk Level Totals
Low Risk 1		660 (60.4) (97.2)	19 (38.0) (2.8)
Medium Risk 2		181 (16.6) (91.4)	17 (34.0) (8.6)
High Risk 3		252 (23.1) (94.7)	14 (28.0) (5.3)
Recidivist- Nonrecidivist		1093	50
Totals		(95.6)	(4.4)

Grand Total
1143

Chi Square: 12.930 Significance: .0016

Gamma: .295 Eta (Recidivism Dependent): .067

TABLE 41

Recidivism by Property Felony, by AID Predictive Factor (Validation)

AID Weight Predictive Factor Risk Levels	Recidivism by Property Felony		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Risk Level Totals
Low Risk 1		46 (6.2) (93.9)	3 (2.8) (6.1)
Medium Risk 2		101 (13.6) (82.1)	22 (20.4) (17.9)
High Risk 3		596 (80.2) (87.8)	83 (76.9) (12.2)
Recidivist- Nonrecidivist		743	108
Totals		(87.3)	(12.7)

Grand Total
851

Chi Square: 5.038 Significance: .0805

Gamma: -.070 Eta (Recidivism Dependent): -.002

TABLE 42

Recidivism of Any Type, by AID Predictive Factor (Validation)

AID Weight Predictive Factor Risk Levels	Recidivism of Any Type		
	Risk Level	Non Recidivist	Recidivist
		0	1
Low Risk 1		425 (55.1) (74.6)	145 (45.5) (25.4)
Medium Risk 2		286 (37.1) (71.1)	116 (36.4) (28.9)
High Risk 3		60 (7.8) (50.8)	58 (18.2) (49.2)
Recidivist- Nonrecidivist		771	319
			Grand Total 1090
Totals		(70.7)	(29.3)
			(100.0)

Chi Square: 26.609 Significance: .0000
 Gamma: .226 Eta (Recidivism Dependent): .135

TABLE 43

Recidivism by Same Crime, by THAID Predictive Factor (Validation)

THAID Weight Predictive Factor Risk Levels	Recidivism by Same Crime		
	Risk Level	Non Recidivist	Recidivist
		0	1
Low Risk 1		522 (48.4) (95.8)	23 (34.8) (4.2)
Medium Risk 2		188 (17.4) (96.4)	7 (10.6) (3.6)
High Risk 3		369 (34.2) (91.1)	36 (54.5) (8.9)
Recidivist- Nonrecidivist		1079	66
			Grand Total 1145
Totals		(94.3)	(5.7)
			(100.0)

Chi Square: 11.580 Significance: .0090
 Gamma: .313 Eta (Recidivism Dependent): .100

TABLE 44

Recidivism by Any Felony, by THAID Predictive Factor (Validation)

THAID Weight Predictive Factor Risk Levels	Recidivism by Any Felony		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Totals
Low Risk 1		466 (48.5) (86.1)	75 (40.1) (13.9)
Medium Risk 2		392 (40.8) (82.5)	83 (44.4) (17.5)
High Risk 3		103 (10.7) (78.0)	29 (15.5) (22.0)
Recidivist- Nonrecidivist		961	187
Totals		(83.7)	(16.3)

Chi Square: 5.947 Significance: .0511
 Gamma: .164 Eta (Recidivism Dependent): .072

TABLE 45

Recidivism by Any Crime, by THAID Predictive Factor (Validation)

THAID Weight Predictive Factor Risk Levels	Recidivism by Any Crime		
	Risk Level	Non Recidivist	Recidivist
		0	1
			Totals
Low Risk 1		429 (46.2) (86.8)	65 (29.7) (13.2)
Medium Risk 2		309 (33.3) (80.9)	73 (33.3) (19.1)
High Risk 3		191 (20.6) (70.2)	81 (37.0) (29.8)
Recidivist- Nonrecidivist		929	219
Totals		(80.9)	(19.1)

Chi Square: 31.393 Significance: .0000
 Gamma: .325 Eta (Recidivism Dependent): .165

TABLE 46

Recidivism by Technical Violation, by THAID Predictive Factor (Validation)

Recidivism by Technical Violation			
Risk Level	Non Recidivist	Recidivist	Risk Level
	0	1	Totals
THAID			
Weight			
Predictive			
Factor			
Risk Levels			
Low Risk 1	431 (41.8) (93.7)	29 (25.0) (6.3)	460 (40.1)
Medium Risk 2	462 (44.8) (88.2)	62 (53.4) (11.8)	524 (45.6)
High Risk 3	139 (13.5) (84.8)	25 (21.6) (15.2)	164 (14.3)
Recidivist- Nonrecidivist	1032	116	Grand Total 1148
Totals	(89.9)	(10.1)	(100.0)

Chi Square: 13.804 Significance: .0010
 Gamma: .306 Eta (Recidivism Dependent): .110

TABLE 47

Recidivism by Violent Felony, By THAID Predictive Factor (Validation)

THAID Weight Predictive Factor Risk Levels	Recidivism by Violent Felony			
	Risk Level	Non Recidivist	Recidivist	Risk Level
		0	1	Totals
	Low Risk 1	469 (42.9) (95.1)	24 (48.0) (4.9)	493 (42.9)
	Medium Risk 2	327 (29.9) (97.6)	8 (16.0) (2.4)	335 (29.2)
	High Risk 3	298 (27.2) (94.3)	18 (36.0) (5.7)	316 (27.5)
	Recidivist- Nonrecidivist	1094	50	Grand Total 1144
	Totals	(95.6)	(4.4)	(100.0)

Chi Square: 4.970 Significance: .1740
 Gamma: .025 Eta (Recidivism Dependent): .066

TABLE 48

Recidivism by Property Felony, by THAID Predictive Factor (Validation)

THAID Weight Predictive Factor Risk Levels	Recidivism by Property Felony			
	Risk Level	Non Recidivist	Recidivist	Risk Level
		0	1	Totals
Low Risk 1	442 (54.6) (77.5)	128 (38.3) (22.5)	570 (49.8)	
Medium Risk 2	158 (19.5) (80.6)	38 (11.4) (19.4)	196 (17.1)	
High Risk 3	210 (25.9) (55.6)	168 (50.3) (44.4)	378 (33.0)	
Recidivist- Nonrecidivist	810	334	Grand Total 1144	
Totals	(70.8)	(29.2)	(100.0)	

Chi Square: 64.217

Significance: .0000

Gamma: .359

Eta (Recidivism Dependent): .237

TABLE 49

Recidivism of Any Type, by THAID Predictive Factor (Validation)

THAID Weight Predictive Factor Risk Levels	Recidivism of Any Type			
	Risk Level	Non Recidivist	Recidivist	Risk Level
		0	1	Totals
Low Risk 1	290 (28.7) (90.9)	29 (21.2) (9.1)	319 (27.8)	
Medium Risk 2	418 (41.3) (87.6)	59 (43.1) (12.4)	477 (41.6)	
High Risk 3	303 (30.0) (86.1)	49 (35.8) (13.9)	352 (30.7)	
Recidivist- Nonrecidivist	1011	137	Grand Total 1148	
Totals	(88.1)	(11.9)	(100.0)	

Chi Square: 3.861

Significance: .1451

Gamma: .144

Eta (Recidivism Dependent): .058

TABLE 50
Mean Cost Ratings, Kendall's Tau, Z Scores
and Significance Levels for Predictive Factors by Recidivism Type
(Using data in Tables 22 through 49)

Type of Recidivism	AID				THAID				BETA				EQUAL			
	MCR	TAU	Z	Level of Sign.	MCR	TAU	Z	Level of Sign.	MCR	TAU	Z	Level of Sign.	MCR	TAU	Z	Level of Sign.
Same Crime	.056	.012	.898	.1845	.194	.042	2.816	.0024	.149	.034	1.956	.0252	.159	.036	2.069	.0193
Any Felony	.212	.112	4.600	.0000	.100	.054	2.323	.0101	.246	.135	5.716	.0000	.250	.137	5.814	.0000
Any Crime	.248	.154	6.504	.0000	.219	.136	5.376	.0000	.184	.113	4.543	.0000	.181	.112	4.471	.0000
Tech. Violation	.013	.005	.191	.4242	.192	.070	3.644	.0001	.209	.082	4.750	.0000	.138	.051	2.621	.0044
Violent Felony	.192	.032	2.529	.0057	.013	.002	.076	.4696	.241	.044	3.306	.0005	.258	.047	3.571	.0002
Property Felony	.025	.011	.523	.3004	.231	.191	6.695	.0000	.170	.071	3.411	.0003	.170	.071	3.427	.0003
Total Recidivism	.136	.112	3.892	.0001	.094	.040	1.848	.0323	.137	.113	4.127	.0000	.137	.113	4.127	.0000

Attachment #4

Record Interviewer Package

COUNTY			COUNTY			COUNTY		
ADAIR	1		GRANT	41		McLEAN	81	
ALLEN	2		GRAVES	42		MEADE	82	
ANDERSON	3		GRAYSON	43		MENIFEE	83	
BALLARD	4		GREEN	44		MERCER	84	
BARREN	5		GREENUP	45		METCALFE	85	
BATH	6		HANCOCK	46		MONROE	86	
BELL	7		HARDIN	47		MONTGOMERY	87	
BOONE	8		HARLAN	48		MORGAN	88	
BOURBON	9		HARRISON	49		MUHLENBERG	89	
BOYD	10		HART	50		NELSON	90	
BOYLE	11		HENDERSON	51		NICHOLAS	91	
BRACKEN	12		HENRY	52		OHIO	92	
BREATHITT	13		HICKMAN	53		OLDHAM	93	
BRECK'R'G'E	14		HOPKINS	54		OWEN	94	
BULLITT	15		JACKSON	55		OWSLEY	95	
BUTLER	16		JEFFERSON	56		PENDLETON	96	
CALDWELL	17		JESSAMINE	57		PERRY	97	
CALLOWAY	18		JOHNSON	58		PIKE	98	
CAMPBELL	19		KENTON	59		POWELL	99	
CARLISLE	20		KNOTT	60		PULASKI	100	
CARROLL	21		KNOX	61		ROBERTSON	101	
CARTER	22		LARUE	62		ROCKCASTLE	102	
CASEY	23		LAUREL	63		ROWAN	103	
CHRISTIAN	25		LAWRENCE	64		RUSSELL	104	
CLARK	26		LEE	65		SCOTT	105	
CLAY	27		LESLIE	66		SHELBY	106	
CLINTON	28		LETCHER	67		SIMPSON	107	
CRITTENDEN	29		LEWIS	68		SPENCER	108	
CUMBERLAND	30		LINCOLN	69		TAYLOR	109	
DAVIESS	31		LIVINGSTON	70		TODD	110	
EDMONSON	32		LOGAN	71		TRIGG	111	
ELLIOTT	33		LYON	72		TRIMBLE	112	
ESTILL	34		MADISON	73		UNION	113	
FAYETTE	35		MAGOFFIN	74		WARREN	114	
FLEMING	36		MARION	75		WASHINGTON	115	
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FRANKLIN	38		MARTIN	77		WEBSTER	117	
FULTON	39		MASON	78		WHITLEY	118	
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Take, Destroy Tobacco Plants	057
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Unauthorized production of Credit Card	266
Unlawful arrest, trans. out of state	136
Using Slugs	212
Using minors to dist. obscene matter	246

FELONIES

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Unwarranted Hospitalization of Mentally Ill

249

Unlawfully arresting

024

Unlawful Imprisonment

180

Wanton Endangerment

179

Withdrawal or mutilation of Court Record

010

Wilfully damaging Watercraft

060

Wilfully Obstructing Road

066

Wilfully Cause of Explosion on Another's Property

067

PENALTY RANGE OFFENSE

MINIMUM
PENALTY

146
MAXIMUM
PENALTY

CATEGORY I

1. Being in an unauthorized or restricted area
2. Feigning illness
3. Improper or unauthorized use of or possession of state equipment or materials
4. Illegal possession of canteen tickets, cigarette slips or money
5. Unauthorized or attempting to make unauthorized contacts with the public
6. Littering
7. Unauthorized communication to and/or with inmates in a cell block area
8. Failure to make up bed and keep assigned area clean in the housing unit
9. Improper use of a pass
10. Illegal possession of any item of personal property
11. Failure to have I.D. Card in possession
12. Abuse of mail or visiting regulations
13. Failure to abide by any institutional schedule or documented rule
14. Improper dress
15. Carrying food from the dining room and/or kitchen
16. Unauthorized changing of bed in assigned housing unit
17. Lying to an employee
18. Abusive or vulgar language

TEGORY II

1. Under influence of drugs or intoxicants
2. Possession of contraband (does not include weapons) i.e., all items not specifically approved by Bureau of Institution Policy
3. Disruptive Behavior
4. Unexcused absence from assignment
5. Gambling
6. Failure to carry out work assignment as required
7. Forgery of any type
8. Improper or unauthorized use of telephone
9. Charging another inmate for unauthorized services or services rendered through his normal duty assignment
10. Inappropriate sexual behavior
11. Fighting
12. Inflicting injury to self

OFFENSE

PENALTY

PENALTY

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CATEGORY III

1. Harassing an employee in the performance of his duty
2. Refusing to obey a direct order
3. Refusing to work
4. Threatening bodily harm
5. Breaking and/or entering into another inmate's locker, room, cell or living unit
6. Demonstrations (non-violent), inciting a non-violent demonstration or banding together without administration approval
7. Missing or confusing a count
8. Bucking an inmate line, wherever formed
9. Involvement in the writing, circulating or signing of petitions which pose a threat to the security of the institution

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CATEGORY IV

and/or possession

- * 1. Assaulting another inmate
2. Smuggling contraband items into or out of the institution, i.e., all items not specifically approved by Bureau or Institution Policy
3. Engaging in extortion or blackmail or making threatening statements

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CATEGORY V

- ** 1. Possession of or promoting of dangerous contraband into or on institutional grounds
2. Running from or resisting apprehension by an official
3. Sexual Assault

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CATEGORY VI

1. Destruction of State Property
2. Destruction of life safety equipment, such as: fire extinguishers, emergency signs, emergency lighting, emergency alarms (components, devices)

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CATEGORY VII

- * 1. Unauthorized absence from the institution
2. Inciting to riot and/or rioting
- * 3. Attempting escape or escape

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CATEGORY VIII

- * 1. Assaulting an employee or non-inmate
2. Assault resulting in the death of another inmate
3. Deliberately setting a fire

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PENALTY CODE

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1. Reprimand and warning.
2. Restriction of privileges for a definite or indefinite period.
3. Extra duty assignment.
4. Assignment to Administrative Segregation for control for an indefinite period.
5. Assignment to Segregation for a maximum of eight (8) days, each offense.
6. Order restitution, in cases of destruction, injury, or theft of property of the State, employees, or other inmates. Canteen tickets and cigarette slips found in unauthorized possession or money will be confiscated and placed in the library fund and/or the canteen fund.
7. Assignment to Segregation for a maximum of eight (8) days, each offense, and transfer to Administrative Segregation for control purposes for an indefinite period.
8. Loss of Good Time, up to 60 days.
9. Loss of Good Time, up to 90 days, and assignment to Segregation for a maximum of eight (8) days, each offense.
10. Loss of Good Time, up to 180 days, and assignment to Segregation for a maximum of eight (8) days, each offense.
11. Loss of 180 days Good Time, restorable upon restitution.
12. Loss of 180 days Good Time, not restorable, plus invoke restitution for the destroyed equipment.
13. Loss of One Year Good Time, either accrued or denied in the future - totaling one year, and assignment to Segregation for a maximum of eight (8) days, transfer to Administrative Segregation for an indefinite period.
14. Loss of up to Two Years Good Time, (accrued or denied) for assaulting an employee or non-inmate, which shall not be subject to restoration, assignment to Segregation for a period of eight (8) days, transfer to Administrative Segregation for an indefinite period.

*Check with Paul Isaacs - why the difference, is it legal? Cat. IV, #1 v. Cat. VIII, #1
 **Check with Paul Isaacs - wording not in line w/KRS??? Cat. V, #1
 **Check with Paul Isaacs - Cat. VII, nos. 1 & 3, what about legality???

DEFINITIONS

Reference Release - Date of release closest to 1974, check the Resident Record Card first!

Reference Arrest - Arrest leading to reference conviction.

Reference Conviction - Conviction from which released closest to 1974.

Reference Incarceration - Amount of time spent in state institutions on reference conviction prior to reference release.

Last - Refers to reference, conviction, incarceration, and arrest.

Detainer - Effective detainer a time of reference release.

Time Served in Last Incarceration - Number of years spent in state institutions during reference conviction. (Reference release year - year received - years spent out of institution) Always round up to next year.

Most Serious Crime - Offense with longest sentence or, if sentences are the same, use UCR ranking.

Number of Previous Felonies - Refers to arrests prior to reference arrest.

First Felony Offense - First felony conviction.

Post-Release Success - Failure on reference release, parole violation or re-conviction.

Offense Type Leading to Reincarceration - Why client was returned to institution from reference release, including parole violation.

Date of Re-incarceration - Date returned to prison after reference release.

Previous Arrests, Confrontation - Arrests prior to reference arrest involving face to face contact between and offender and a victim. (Robbery, murder, assault, rape, sodomy)

Previous Arrests, Nonconfrontation - Arrests prior to reference arrest not involving face to face contact between an offender and a victim. (Burglary, larceny, auto theft, forgery, fraud, prostitution, D.C.)

Previous Convictions, Confrontation - Convictions prior to reference conviction involving face to face contact between an offender and a victim.

Previous Convictions, Nonconfrontation - Convictions prior to reference conviction not involving face to face contact between an offender and a victim.

PSI Information - Considered unknown unless noted as none or positive.

Prior Incarceration, Time Served - Number of years spent in institutions on conviction prior to reference conviction, including jails and juvenile institutions.

Out of State Incarcerations - Time spent in another state institution on a conviction prior to reference conviction.

Employment of Relatives - None (0) if non-existent, e.g. if not married or mother deceased.

Financial Liabilities - Serious if over \$2,000. Cash available (not property assets) should be subtracted from liabilities to determine seriousness.

Previous Parole or Probation Violation - All violations including those in reference conviction prior to reference release.

Date of Release - Date of reference release (must be between January 1974 and December 1976).

Incident Reports - Substantiated reports.

Educational Functional Level - Not school achievement.

Attachment #5

Analyses of Mean Cost Ratings

Mean Cost Rating (MCR)

Sample Calculations:

Calculations for AID - Violent Felony*

$$S = 660 (17 + 14) + 181 (14) - 19 (181 + 252) - 17 (252) = 10483$$

$$MCR = \frac{10483}{1093 \times 50} = .192$$

$$\text{Tau} = \frac{4 \times 10483}{1306449} = .032$$

$$\text{Var } S = \frac{54650}{3915918} \times 1,153,640,880 = 16,100,049$$

$$\sqrt{\text{Var } S} = 4012$$

$$C = \frac{2 \times 1143 - 679 - 266}{4} = 335$$

$$Z = \frac{10483 - 335}{4012} = 2.529$$

$$\text{Level of significance} = .0057$$

*Gottfredson, D.M., Wilkins, L.T., and Hoffman, P.B., Guidelines for Parole and Sentencing, Lexington Books, Lexington, Massachusetts, 1978, Appendix C.

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