



ILLINOIS DEPARTMENT OF CORRECTIONS

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INITIAL VALIDATION STUDY

Case Classification and Workload Management System

COMMUNITY SERVICES DIVISION

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REPORT OF INITIAL VALIDATION STUDY
COMMUNITY SERVICES CASE CLASSIFICATION
AND WORKLOAD MANAGEMENT SYSTEM

INTRODUCTION

Historical Overview

The Illinois Department of Corrections Division of Community Services is responsible for the successful reintegration of parolees into the community. Reintegration accomplished through parole supervision which considers the safety of the public, risk of program failure, and the needs of the offender.

An effective classification system within this division is especially significant since there is a growing number of parolees to supervise with a limited number of agents and diminishing community resources. Ideally, such a system should be able to predict the releasee's ability to reenter society and estimate the number and types of monthly contacts with the parole agent needed to successfully complete parole, e.g., establish level of supervision required and the type(s) of constraints needed.

In 1979, the Illinois Department of Corrections, Division of Community Services, initiated development of a Workload Management System with two major goals:

- 1) To improve the effectiveness of supervision by better allocation of resources, and
- 2) To provide information for efficient management, research, and budgeting.

By June, 1980, Deputy Director Anthony M. Scillia's Task Force had screened available state and federal systems, and had analyzed Illinois parole profiles. April through June, 1980, the Task Force conducted a successful feasibility test in Peoria and Markham Parole Districts, and concluded that a modified version of the Wisconsin Case Classification/Staff Development Project (WCCSDP) might best meet Illinois' needs. With continuing support from the National Institute of Corrections, Community Services and Policy Development staff and their consultant spent late summer of 1981 doing a preliminary validation study. The objectives of the study were to:

- 1) test the utility of the information system;
- 2) develop a comprehensive classification instrument for assessing releasees according to both
 - a) probability of program failure and
 - b) casework service needs;

- 3) assure that not only urban, but also rural districts (as well as central office) were adequately served by the resulting system.

The preliminary validation was performed while the information system was being built and "debugged". Information checks suggested that "downstate" (Area II) data were fairly accurate and reliable; however, "upstate" data (Area I) had to be collected primarily during a training effort and were not precisely comparable. In addition, terminations from both areas were fewer than optimal for analysis. Thus, the consultant recommended that discriminant analysis and regression analyses be replicated when terminations were more adequate.

The replications were made in March, 1982; and although Area I terminations are still problematic when compared to those from Area II, the results of the preliminary validation study have been essentially confirmed. What follows is a detailed discussion of the case classification and workload management system and the results from the second validation study.

The Case Classification and Workload Management System

A parolee is given constraints to live within, such as where he can live, whom he can see, the rules he must follow, and the number of contacts he must have with his agent. The classification system determines both constraint and supervision level.

The Illinois Workload Management System breaks away from the traditional caseload concept which dictates that all community supervision, or parole, cases are the same in the amount of the parole agent's time, the releasee's needs, and the probability of failure.

Studies have shown that the number of contacts alone is unrelated to the success or failure of parole. Working on that principle, the classification system must identify factors which indicate the parolee's potential for successful parole completion so that effective services can be provided to him/her. This is done by analyzing the releasee's risk and needs.

Risk assessment measures dimensions of behavior, such as the stability or violence of the releasee. Its purpose is to define the minimal amount of releasee supervision needed to protect the public safety while helping the releasee successfully complete parole. Needs assessment measures the releasee's basic needs, such as living conditions, food, clothing, education, and the releasee's personal problems, such as drug abuse and emotional instability. Its purpose is to identify programs which will meet the releasee's needs so he can successfully complete parole.

Scales for the risk (supervision) level and needs level were developed from survey data gathered from all Illinois parole agents on the entire population. Input from all district supervisors was also gathered.

Forms were then designed indicating high, medium, and low supervision levels, and high, medium, and low needs levels. (Appendix B contains the forms.) The actual classification of the releasee, or the casework level assigned, comes from these two forms and gives a rating of high, medium, or low. The agent and supervisor can override this casework level only if a higher or lower level is genuinely justified.

To determine the parolee's risk level, the agent assesses his propensity for rule and law violations. There are two forms for this process, one based on information prior to incarceration (initial evaluation completed 30 days after release) called the A Risk Form and one based on current information (reevaluations every 60 to 90 days) called the B Risk Form. To determine the parolee's needs level, the agent completes an initial and/or reevaluation which assesses his basic needs, such as food and clothing, living arrangements, emotional stability, mental stability, psycho-sexual adjustment, substance abuse, and education and/or vocation.

Initially, the Community Supervision Classification System classifies the parolee high on the casework level (for his first 30 days). This time allows the parole agent to become acquainted with the releasee/case. After 30 days, the parole agent evaluates the parolee's risk and needs levels. The matrix plots the results from the two evaluation forms and shows the overall casework level to be assigned to the parolee. The case must be reevaluated within 90 days. If the agent disagrees with the classification level, and the supervisor agrees with the agent, the level is overridden. Then the case must be reevaluated within 60 days. Reevaluation of any case is mandatory as specified at either 60 or 90 days; however, any case may be reevaluated at any time.

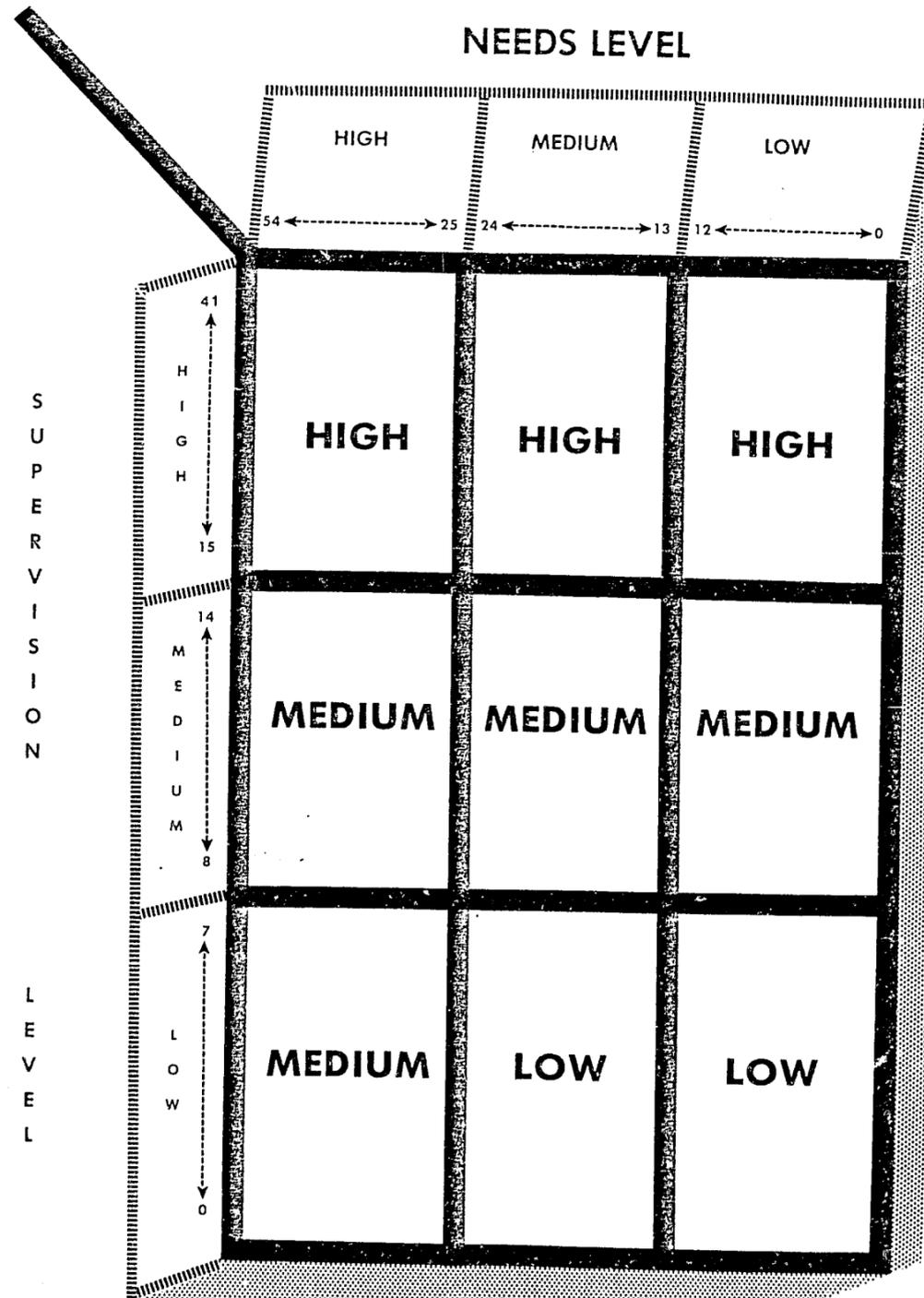
Each item on each of the forms is weighted, with high levels receiving the higher numbers, medium levels the mid-range numbers, and low levels the lower numbers. These scores are then placed on the casework level matrix which determines the parolee's classification level. (See Figure 1.) The classification level determines how much time the agent will spend with the parolee, just as the indicators determine what kinds of services the agent will try to provide.

The system, then, is designed to determine the probability of successful termination and assist agents in developing effective case action strategies. The validation study examines the extent to which the instruments can accurately predict parole outcome. There are four primary instruments. (See Appendix B.) The analysis that follows examines the performance of all four instruments and combinations thereof against outcome.

FIGURE 1

Illinois Department of Corrections
 Community Services Division - Community Supervision
 WORKLOAD MANAGEMENT SYSTEM

CASEWORK LEVEL MATRIX



RESULTS

Illinois is divided into areas for purposes of managing the parole population. Area I consists of Chicago and nearby localities. The rest of the State is considered Area II. (See Figure 2.) Area I releases are predominantly urban and black, whereas Area II releases are generally rural and white.

The data base from the Community Services Workload Management Information System contained a total of 1,168 terminated cases out of over 4,000 total cases as of March, 1982. Of the 1,168 terminations, 368 were from Area I offices, and 800 from Area II.

There were numerous variables in the data base whose values differed significantly between Area I and Area II. Of the case action variables (see appended instruments), an ANOVA analysis showed significant differences between areas on all elements except sentence year, release type, sex, and offense class.

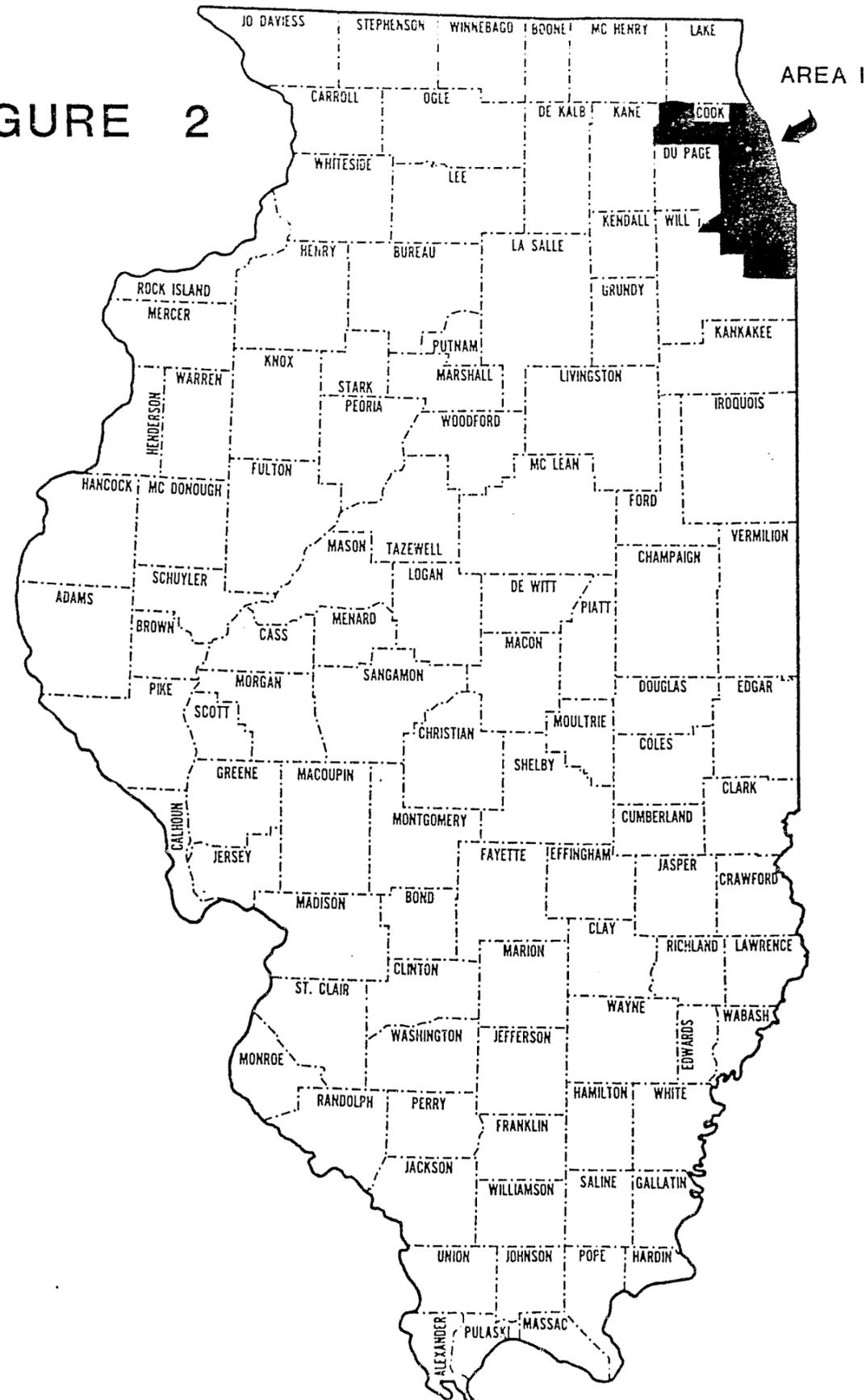
No differences appeared in the type of release, with 75% of the releases receiving Mandatory Supervised Release (MSR). Although they were not significant statistically, there were more Class 3 and 4 offenses in Area II and more Class X and M offenses in Area I. Accordingly, Area I releases tended to be assigned longer supervision terms. 83.2% of Area II releases had a 1-or 2-year supervision term, whereas only 63.1% of Area I parolees had shorter terms and 29.6% of Area I releases had a 3-year term. Nonetheless, the average time on supervision before termination was 15 months in both areas.

Ninety-five percent of parolees were male in both areas. There was a greater percentage of Whites in Area II (68.4%, compared to 23.1%) and of Blacks and Hispanics in Area I (70% Black and 6.5% Hispanic, compared to 31% and 1%). That releases were slightly older in average age (31 as opposed to 29) in Area I is probably a phenomenon resulting from the bias of Area I initial inputs of older cases.

As was the case with the "Preliminary Study" Chicago-Peoria/Dixon analysis, the outcome of supervision was predominantly positive. State-wide, 70.8% of the terminations were positive. Differences were seen between Area I and Area II. 77.2% of Area I cases terminated positively, while 68% of Area II outcomes were positive. There were 10.4% more recommended discharges in Area I. The differences in negative terminations were more pronounced. There were 51 (6.4%) new misdemeanor convictions and AWOL's in Area II, and none in Area I. 6.5% of the cases in Area II were for a technical violation while only 2.7% of the Area I cases terminated in this manner. The distribution of new felony convictions was stable for both Areas.

More importantly, Area II releases scored higher on all instruments (A and B; risk and needs), with differences significant at the .10 level for

FIGURE 2



most items, total scores, and levels of supervision. Thus, separate analyses for the validation of the instruments were conducted for Area I and Area II, although state-wide totals were also examined. (Inter-agent reliability checks made by departmental staff both during intensive start-up training efforts and since that time have been good to excellent; consensual validation surveys have not proved so positive: agents have tended to see "A risk" as more nearly predictive of outcome than the instruments that seem to be better predictors -- "B risk" and "AC needs.")

The general results of this initial validation study are summarized by the following points:

1. For both Area I and Area II, the risk, scorebased casework level and final casework levels of the reevaluation instruments were better predictors than initial risk.
2. There is some hope for predicting short-term outcome from the knowledge of supervision level. Two-thirds of the cases showed an outcome appropriate to their classification. The reevaluation risk scale alone does an excellent job of identifying those releasees most likely to succeed, but does not distinguish as well among the rest. Needs seem to be a useful predictor in Area I while risk seems to be a better predictor in Area II and state-wide. (B risk levels in Area II were close to 90% accuracy when taking only misclassified highs and lows into account.)
3. The possibility of better cutting points was examined for both risk and needs instrument. However, based on this analysis, keeping current cutting points is recommended until further refinement of both data and instruments. Risk level cutting points should be altered only when higher risk cases are not rendered more subject to "successful" misclassification by the modifications.
4. The creation of a superhigh category was explored. This analysis suggested that a superhigh category for the risk scales could be of some use in identifying unsuccessful cases. Given current data, a cutting point near 25 seems indicated. There were, however, too few high needs classifications to support the use of a superhigh needs level for either Area. Because of Area differences, if changes are to be made, they should be made separately for each Area. It is recommended that further analysis controlling for such factors as offense type and length of time on supervision be used to assist refinement of cutting points in relation to agent workload levels.
5. Demographic information does not have a strong relationship to termination type, nor does it add a significant amount to the variance explained by the scales. The most useful item was age, which supports the adage that older individuals "do better", at least short-term, on parole.

6. Two further analyses of termination types were conducted. The best results were obtained with the order of negative termination from most serious to least serious: new felony, technical violation, new misdemeanor, and AWOL's (with transfers and other terminations removed). In both recode-of-termination tests, the A and B risk scales and needs items demonstrated slightly more predictive power than did the termination ordering used in the preliminary validation study, and the order of the items' contribution in the stepwise analysis altered somewhat.
7. Assessment was made of the predictive power of the various instruments. Independently, the risk and needs scales hold some predictive power, but the B risk scale is best, accounting for 31.4% of the variance in termination type. For the six possible dual combinations, the B risk and A needs hold the greatest potential when combined, as was true in the preliminary validation: 48.2% of the variance is explained by the combined items. Further, the B risk-A needs identify the lowest percentage of false positives, with 5.4%. All the serious violators were rated as medium or high on the B risk-A needs scale. Thus, the releasee's previous service needs and his most recent supervised assessment best identify the releasee's propensity for failing or successfully completing his supervision. If recommendations are to be made for early supervision discharge (or forced release) based on predictions of those releasees most likely to succeed, with the least potential to commit the more serious offenses, the B risk-A needs combination should provide the most accurate projections. This combination provides few mispredictions at either the low or high end of the scale. (See Table I-A and I-B.)
8. These results should be used, not only for purposes of continuous validation, but also for refinement of present instruments into administrative predictive scales comparable to the adult institution classification dangerousness and adjustment scales. Furthermore, a third scale, called environment, should also be investigated, and if appropriate, constructed. The intent of this third scale would be to distinguish characteristics of the releasee's home and community setting from offender characteristics.

RESEARCH QUESTIONS

The four research questions of the Preliminary Study were again addressed in this revalidation study using the 1,168 terminated cases:

- 1a. Do the supervision (risk) level and needs level adequately indicate risk and service requirements of the releasees as reflected by termination type (positive termination and negative termination)?
- 1b. Do the supervision (risk) level and needs level adequately indicate risk and services requirements of the releasees as reflected by termination type (successful, unsuccessful, and highly unsuccessful)?
- 2a. Are better cutting points possible for the supervision scale and the needs scale?
- 2b. Can a superhigh category be created from the present high category for the supervision scale and the needs scale to identify those cases most likely to fail?
3. How well do the items of each scale indicate eventual supervision success or failure?
4. Is there information outside the scale items that indicates success or failure on supervision; i.e., do releasee characteristics (age at termination, sex, and race) affect success?

RESEARCH FINDINGS

- 1a. Do the supervision (risk) level and needs level adequately indicate risk and service requirements of the releasees as reflected by termination type (positive termination and negative termination)?

For this analysis, the termination types were recoded into 2 categories: Negative termination (new felony, new misdemeanor, AWOL, technical violation, and other negative), and positive termination (discharge at expiration; discharge recommended; and other positive). (Transfers were selected out of the analysis.)

As was the case with the Preliminary Study, the levels of supervision and needs as indicated by the instruments varied between Area I and Area II, and within each area varied from initial to reevaluation. In Area I on the initial risk evaluation, cases shifted from 68% high and 8% low to 16.8% high and 42.2% low on the reevaluation. In Area II, cases shifted as they did state-wide, from 82% high, 13.6% medium and 4.5% low on the initial risk evaluation to 27% high, 43% medium and 29.6% low on the reevaluation. The shift of needs level from the A to the last B

was not so dramatic as on the risk level. In Area I, approximately 85% of the cases had a low needs level, although a few highs appeared on the B which were not present on the A. In Area II, many cases shifted from medium to low with fewer than 10% high needs level on both instruments. The cases shifted from 32.5% medium on the A to 20.5% on the B, while they shifted from 57.7% low to 73.5% low.

The majority of cases were classified at a high or medium supervision (risk) level and a low needs level. Since the scorebased casework level is determined by the supervision except in the case of low risk level and high needs (which is medium on the matrix), the breakdown for the scorebased level was similar to that of the supervision level. In every instance except one, the supervision level matched the scorebased level. This is an important finding because from the scorebased level to the final casework level, differences are made only with overrides. In almost every instance, overrides were used to bring a casework level down from a high to a medium or medium to a low. Final casework levels for those A levels in Area I shifted from 68% high to 60% after the override. Area I B's shifted from 42% low to 50% low after the override (20 cases). Approximately 3% of the Area II A's had highs overridden to mediums. B's in Area II were overridden from medium to low for 13 cases. State-wide, scorebased casework levels changed in the same manner as did the supervision level. With overrides, there were 1 less low, 9 more mediums and 8 fewer highs on the final (initial) casework level. The use of overrides on the reevaluation produced 4 fewer highs, 34 fewer mediums, and 38 more lows from the casework to final level.

Generally, final casework levels were higher on the A than on the B and in Area II than Area I. In addition, there was a higher percentage of positive terminations in Area I than Area II. How well these outcomes related to supervision levels was examined next. Tau, Eta, and Gamma were the statistics used.*

*To test the predictive power of the supervision levels in the Preliminary validation, ETA WITH TERMTYPE DEPENDENT was utilized. This statistic assumed that the independent variables (levels) were nominal while the dependent variable (termination type) was interval. (Eta indicates how dissimilar the means of termtypes are within the categories of the low, medium, and high levels. If means are different and variances are small, Eta increases toward unity (1).) This statistic will be reexamined, along with a few other measures of association produced from ordinal level cross-tabulated variables. Tau (b for 2 x 2 tables and c for rectangular tables) is appropriate when both variables are ordinal. (This statistic measures their association along the diagonals.) Gamma, whose values are generally higher than Tau, is calculated in a similar manner. (Perfect prediction of termination type from knowledge of the supervision level can be made when Gamma is +1.) In addition, a "misclassification percentage" was calculated by multiplying the total percentage of those lows with unsuccessful outcome and highs with successful outcome. (The closer this percentage is to 0 the more predictive power of outcome from supervision level is present.)

For the initial evaluation, the statistics for Area II suggested that the needs level was a better indicator of outcome than the supervision (risk) level, as was the case with the preliminary analysis. However, low values of Tau (although the negative direction indicates some support) and Eta demonstrated that there was little relation between any of the levels and outcome. The "misclassification percentage" was lowest from the needs level, while risk and scorebased levels neared 50%. The small sample size in Area I does not make it possible to draw any conclusions from those data. (77.6% of those who succeeded on supervision were classified initially as a high risk while only 7.5% were classified as a high need.)

For both Area I and Area II, the risk, scorebased casework level, and final casework levels of the reevaluation instruments were better predictors of outcome than initial risk. Tau, Eta, and Gamma are all higher for these 3 levels. As was the case in the preliminary study, "data analysis showed neither reevaluation needs nor supervision assessment to be as useful as the first needs assessment for Area I." The best predictions could be made for Area II, again, from reevaluations, especially risk and casework levels. Tau, Eta, and Gamma were highest for these (N=573) evaluations. Finally, in both areas the misclassification percentage averaged only 12%. This statistic was lower for risk and casework levels in Area II and for needs and final casework level in Area I.

Total state-wide statistics were very close to those of Area II. By including the Area I initial evaluations, Tau and the misclassification percentage were improved slightly. No improvement was made in the reevaluation analysis by analyzing the areas together.

- 1b. Do the supervision (risk) level and needs level adequately indicate risk and service requirements of the releasees as reflected by termination type (successful, unsuccessful, and highly unsuccessful)?

The second question used the same analyses and statistics. Termination type was recoded into 3 categories, as was done during the preliminary analysis. Termination type was recoded into successful (discharge/expiration; discharge/recommended; and other positive), unsuccessful (new misdemeanor, technical violation, and other negative) and highly unsuccessful (new felony and AWOL). The same statistics were utilized to examine predictability (positive values of Tau and Gamma).

Results from this analysis were very similar to those from the dichotomous breakdown of termination type. The B risk and casework levels, especially in Area II, are the best predictors of downstate Illinois parole outcome. More terminations from Area I are needed before similar conclusions can be reached; however, Area I cases were analyzed. Upstate, successful releasees tended to have high risk scores and lower

needs scores; 88% of the successful releasees fell into the medium and high final casework level categories. Unsuccessful releasees had a high initial risk and low initial needs evaluation; no unsuccessful Area I releasees were classified as low on the initial evaluation. On the reevaluation for Area I, 88% of the successful releasees had a low or medium risk level and a low needs level. As a result, only 11% of the successful releasees had a high final classification, 1% correctly being picked up by the override. 89% of the highly unsuccessful releasees were classified as medium or high risk while all had low or medium needs. 86% had a medium or high final level; one case was overridden from a medium to a low and was thus misclassified.

In Area II, 77.6% of successful releasees were classified as high on the initial risk while 66.5% were low on the initial needs. On the other hand, 93% of both the unsuccessful and highly unsuccessful releasees scored high on the initial risk while 86% were low or medium on the initial needs. The scorebased and final levels are mirrored in the initial risk results. The reevaluation instrument for Area II shows the best results. Only 13.6% of the successful releasees were misclassified high risk while approximately 67% of the unsuccessful and highly unsuccessful releasees were correctly rated as high risk. 83% of the successful releasees were classified as low needs. Only about 46% of the unsuccessfuls were low needs. 87% of the successfuls were rated low or medium on the final casework level, while only 7 of 575 (1%) of the unsuccessful and highly unsuccessful releasees had low final levels (Gamma above .80).

State-wide, 76% of successful releasees were classified as high on the initial risk, while 66.5% were low on the initial needs. 92% of the unsuccessful and highly unsuccessful releasees scored high on the initial risk while 14% were high for needs. Since 82% of all initial risk scores were high, the statistical differences between successful and unsuccessful releasees who scored high were not significant. On state-wide risk reevaluations, 96% of all low classifications were for successful releasees. However, 44% of the highs were also successful. Thus, the reevaluation risk scale does an excellent job in identifying those releasees most likely to succeed, but does not distinguish as well among the rest. Results are similar for the needs level. It holds true that scorebased and final casework levels also identify those most likely to succeed better than those most likely to fail. The reevaluation risk instrument nonetheless has some predictive power, especially for Area II.

In conclusion, there is some hope for predicting short-term outcome from the knowledge of supervision level. At least two-thirds of the releasees showed an outcome appropriate to their classification. B risk levels, especially in Area II, seem to be the best predictors, with close to 90% accuracy when taking only misclassified highs and lows into account. Since risk guides the final casework level, in 92-95% of the cases it should hold the most predictive power. This was the case in Area II and state-wide; both more data and more representative data are needed from Area I offices to support this claim upstate. As of now, and as was the case with the Preliminary Validation Study, needs seems to be a

useful predictor in Area I while risk seems to be a good predictor in Area II and state-wide.

2a. Are better cutting points possible for the supervision scale and the needs scale?

In this analysis, the cutting points presently on the classification instruments were utilized. It is quite possible better cutting points can be calculated to improve the accuracy of predicting success and failure of Illinois offenders on parole. Since there are hundreds of possibilities of cutting points from both instruments, crosstabs of total scores with outcome were examined to determine where sensible cutting points could be made.

For Area II's initial evaluation risk total score, unsuccessful cases began to be picked up around the total score of 14 and successful cases began dropping off near 29. For the initial evaluation needs total score in Area II, good predictability could be established if the cutting point for low were 13 and for high were 28. Little differences between successful and unsuccessful outcome were seen before this point, and there were more unsuccessful terminations after this point. No analyses could be conducted with Area I cases because of small sample size.

Since there were only 45 unsuccessful cases who had a reevaluation completed in Area I, it was more difficult to estimate cutting points. Unsuccessfuls did start to increase at 12 and successfuls decreased at 19. In Area II, reevaluation risk scores could be cut off at 11 for low and start at 22 for highs. Reevaluation needs scores for Area I were positively skewed, with 40% of all cases having a minimum score of 1. There, the present cutting points looked to be the best.

For the initial evaluation in Area II, new cutting points for the supervision (risk) moved 184 of 222 (83%) releasees from high to medium. 109 of the 125 (87%) successful releasees classified as high were lowered to medium while 75 of the unsuccessful releasees were lowered to medium. Only 3 more releasees classified as low were unsuccessful. Although this decreased the misclassification percentage from 47.6% to 7.5%, the other statistics did not increase substantially (in fact, Gamma decreased).

New cutting points for the initial needs did not change the statistics. The needs level scored releasees "low" approximately 60% of the time despite changes in the cutting points. Casework level changes were mirrored in the supervision statistics.

For the initial risk and casework level in Area II, more successful lows were identified and most successful highs moved to medium. Unfortunately, most unsuccessful highs also moved to medium. Nevertheless, raising the low cutting point to above 10 should be useful

in identifying more lows who are successful without adding many unsuccessful releasees to the cell.

Area I cutting points were altered for the reevaluation classification. These new points moved 80 successful mediums to lows while adding only 8 unsuccessful lows from medium. 21 successful highs moved to medium, and only 10 unsuccessful highs moved to mediums. Although more successful lows were identified, highs dropped from 17.1% to 6.9% overall.

Since only 5% of the initial evaluations in the data base were from Area I, initial cutting point changes for all cases were not examined. However, since results differed between areas for cutting points on the reevaluation instrument, state-wide changes were tested. Cutting points on the risk instrument of 0 to 11 for low, 12 to 19 for medium, and 20 and above were examined first. Many more successful lows (43%) were identified, but 3.5 times as many unsuccessful releasees were moved from medium to low. Without further testing, raising the cutting point for lows to 11 is not recommended, and raising the high point to 20 would not help identify those cases most in need of supervision. New cutting points for the needs scale moved both successful and unsuccessful releasees equally from high to medium. Keeping current cutting points is recommended until further refinement of both data and instruments. If changes in cutting points are to be made based on future study, they should be made separately for Area I and Area II so that individual time allocations specific to each area can be coordinated.

In conclusion, better cutting points are undoubtedly possible. As was the case with the preliminary validation of cutting points, the "scales can be made more accurate in some instances, and the percentage at each resource level can be made more appropriate in all instances". However, risk level cutting points should be altered only when higher risk cases are not rendered more subject to "successful" misclassification by modifications.

2b. Can a superhigh category be created from the present high category for the supervision scale and the needs scale to identify those cases most likely to fail?

For this analysis, high risk levels and needs levels were recoded into a superhigh category. Four separate superhigh cutting points were established for each level. Risk level cutting points begin at 22 and increased by 3, producing cutting points of 22, 25, 28, and 31. Needs level cutting points began at 35 and also increased by 3, producing cutting points of 35, 38, 41, and 44. Risk levels guided the scorebased casework level matrix as follows:

NEEDS

S U P E R V I S I O N		SH	H	M	L
	SH	SH	SH	SH	SH
	H	SH	H	H	H
	M	H	M	M	M
	L	H	M	L	L

Initial evaluations for Area I cases could not be analyzed due to the small sample size of 13. For Area II, of the 54 highly unsuccessful releasees classified at high on the risk scale, 39 were identified as superhigh with the cutting point of 22. Of the 43 unsuccessful releasees at the high risk level, 31 were identified as superhigh; 57% of the misclassified highs also fell into the new superhigh category. Results were better for the superhigh cutting point of 25. Approximately 50% of the highly unsuccessful and unsuccessful releasees fell into the superhigh category, while only 1/3 of the successful highs fell into the superhigh. The Eta, Gamma, and Tau values were highest when the cutting point was 25. These values fell when higher cutting points were tested. Since needs level scores were so positively skewed, there were only 25 high needs cases on the initial evaluation in Area II. All superhigh cutting points produced only 1 superhigh case. The casework level produced the same results as the risk level. Because the risk level still guides this casework level, the creation of a superhigh needs category does not seem to be useful. Best identification of unsuccessful or highly unsuccessful cases using a superhigh category is for a risk level cutting point of 25. The same results appeared when the 13 Area I cases were analyzed together with the Area II data.

The creation of a superhigh category in Area I for the reevaluation scales also seemed fruitless. For the risk level, Tau remained very low at .17 for the high and all superhigh breakdowns, while Eta remained near .34. Only 2% of the reevaluation needs levels were high (5 of the 6 cases were successful). The scorebased casework level results were the same as those from the risk level. This supported the risk level guidance but certainly did not indicate the use of a superhigh category for reevaluations in Area I.

The creation of a superhigh category for reevaluations in Area II could be of some assistance in identifying those cases most likely to fail. With a risk level cutting point of 22, 48 of the 96 unsuccessful releasees rated high fell into the superhigh category, while only 19 of the 59 successfuls rated high fell into the superhigh category. Eta and Tau also increased. Results were not so good for the cutting points of 25

and 28. A superhigh category for the needs scale again proved useless. Casework levels were affected in the same way as the risk levels for all cutting points.

In conclusion, the creation of a superhigh category for the risk scales could be of some use in identifying unsuccessful releasees. High risk cutting points near 25 seemed to be best given current data. There were too few high needs classifications to support the use of a superhigh needs level in either area. Using all 877 state-wide cases with reevaluations, results were interestingly different from the analysis conducted by area. The risk level cutting points of 22 and 28 showed some promise for creating a superhigh category; i.e., many more unsuccessful than successful highs moved to the superhigh category. For the cutting point of 22, 1/2 of the unsuccessfuls moved to high while only 1/3 of the successfuls were included in that cell. The cutting point of 25 on the risk scale moved an equal percentage of successful and unsuccessful releasees into the superhigh category. Thus, this cutting point could not be recommended state-wide as it was in Area II. The cutting point of 28 moved 21 of 116 unsuccessful highs to the superhigh category and only 8 of 91 successfuls.

Two important facts were noted from the altering of cutting points. First, since Area I showed different results from Area II, if changes are to be made they should be made separately for each area. State-wide results were very different from for either area and may, therefore, only confound the results for each area. Second, cutting point changes seem of greater use at the high end of the scale. More unsuccessful highs were identified than successful highs. Altering cutting points at the low end (raising them on the risk) would not assist agents greatly in identifying those releasees most likely to succeed. Furthermore, many unsuccessful releasees fell into the low category when they, in fact, would "need" more time and service from their parole agent. Further analyses controlling for such factors as offense type and length of time on supervision might assist refinement of cutting points in relation to agent workload levels.

3. How well do the items of each scale indicate eventual supervision success or failure?

The outcome variable was coded from 1 to 9 in the following order: discharge recommended, discharge by expiration, other positive termination, transfer, new misdemeanor conviction, other negative termination, technical violation, AWOL, and new felony conviction.

The correlations between each item on the initial risk scale and the outcome were very poor. (Correlations between items and the supervision level were better than those for termination type and the intercorrelations.) State-wide, the agent's impression of client attitude explained only 7% of the variance in supervision outcome. Using stepwise regression, age at first conviction increased R2 to .09. The

addition of all other items increased R2 to .11. With the 25 Area I cases removed from the analysis, the attitude variable explained 7% of the variance. The number of prior felony convictions variable was entered last, increasing the multiple R2 to only .11. As in the first validation, no other item contributed more than 4% to the prediction of outcome.

For the initial needs scale there was some improvement in the items' relationships to outcome. Agent impression of client needs contributed 5.2% to outcome while the academic/vocational variable contributed 5.0%. Basic human needs, living arrangement, and emotional stability each made between a 3% and 4% independent contribution to outcome. Taking all intercorrelations into effect, the multiple R2 increased only to .10.

Thus, both initial risk and initial needs items contributed little to the predictive accuracy of outcome when the termination types were arranged as above. (They contributed even less than in the preliminary study.)

Regression results were better for the reevaluation. For the risk level for the 923 terminated case with B's completed, the compliance with the parole agreement variable explained 24% of the outcome variance. The employment and interpersonal problem variables made an 8% independent contribution to outcome while the R2 for social interactions was .16. All items taken together contributed to 30% of the variance.

Results were similar for the 322 Area I cases. Interpersonal problems contributed only 2% of the variance. All variables explained 25.5% of the explained variance in outcome. Unlike the preliminary study, items were correlated more highly with outcome in Area II. All items contributed 34% of the variance. Employment and interpersonal problem items made a 10% independent contribution to outcome. The R2 for the compliance variable was .27; the R2 for the social interaction item was .19; the R2 for the use of community resources variable was .11. All items, except for the offense item, contributed between 2% and 4% of the variance in outcome.

On the B needs scale correlations were fairly high except for the psycho-sexual variable. Most of the releasees were scored zero for this item; it therefore correlated low. State-wide, the agent's impression of client needs variable had an R2 of .23. All other items had zero-order R2's between .02 and .09. Alcohol and academic/vocational items entered 2nd and 3rd in the stepwise analysis. All items were intercorrelated to some degree. The contribution of all items added only 1% additional variance beyond that of the impression of client needs variable.

In Area I correlations were much lower. The agent's impression of client needs variable explained 17% of the variance in outcome. Living arrangement increased the R2 to .19. All items explained only 20% of the variance in outcome. Basic human needs, living arrangements, and psycho-sexual adjustment contributed less than 1% of the variance explained. Simple R2's for the other variables were less than .02.

As with the risk scale, Area II correlations were higher than those in Area I for the needs assessment. Area II results were similar to the state-wide results. Items contributed in the same order as in the state-wide analysis, with all variables explaining 24% of the variance in outcome. The simple R2 for the agent's impression of client needs variable was .23, while psycho-sexual adjustment makes an independent contribution of less than 1%.

Statistically, some items could be removed from the scales without hurting the predictive value of the instruments. As anticipated, more needs items could be eliminated than risk items. However, Community Services Workload Management System staff feel these items should remain so that as the need arises for their identification, they are available for case management purposes. For example, for prediction purposes, the psycho-sexual adjustment variable served little function. However, if a releasee is arrested for a series of rapes, he must be accounted for by the system; an agent must be able to identify this individual. In addition, the emotional stability, mental ability and psycho-sexual adjustment variables were not included on the original instrument. Because overrides were so often used to identify these problem areas, they were added for operational identification purposes. (See "Low Unsuccessful Profile" in Appendix A.) For the initial risk scale, the assaultive offense category was implemented on the scale to identify a few crucial cases. Statistically speaking, for predictive purposes, it is not an item which identifies the "average" high case. But for the purpose of the agent in identifying a potentially harmful individual, it was included on the scale. Clearly, these categories need definition and refinement. But to remove these unsatisfactory predictors from the instrument would defeat one of the main goals of the system, i.e., to allow agents to identify those releasees presumed to be most in need of services. (However, a true "scale" should be created from a modified set of predictors for statistical use by the Department's administrative staff.)

4. Is there information outside the scale items that indicates success or failure on supervision; i.e., do releasee characteristics, (age at termination, sex, and race) affect success?

Counselor ratings utilized in the Preliminary Validation were not available for this re-analysis, but termination types were regressed against age, sex, and race. State-wide, Area I, and Area II data were analyzed separately.

State-wide the population was 54.2% White, 43% Black and 2.7% Hispanic. 94.8% of the releasees were male. The mean age was 28.8 years and ranged from 19 to 73 (s.d. = 7.8). 52.1% were 26 or younger.

For those 311 releasees who had an initial evaluation, age correlated negatively with termination type ($r = -.13$); as expected, the older the releasee, the more likely he or she is to "succeed" (or at least to exit the system without serious difficulty). Race and sex explained less than 1% of the variance in termination type. With the initial risk items, the demographic variables added less than 1% to the variance. With the initial needs items, age, sex, and race contributed 1% to the variance in termination type. In Area II, the demographic variables made a 2% contribution beyond that of the needs scale.

For the 915 reevaluations analyzed, age again correlated negatively with termination type ($r = -.15$). R2's for sex and race were less than 1%. When termination type was regressed against all B risk items and the demographic variables, age, sex, and race added practically no additional variance. With the B needs scale, the releasee characteristics added 1% of the explained variance.

In Area I, the demographic variables explained 3% more variance beyond that of the reevaluation risk scale. This was also the case when the needs scale was analyzed. Virtually no contribution was made by age, sex, and race in Area II, for either the risk or needs scales.

Similar conclusions to those in the first validation can be reached for this analysis. Although the supervision and needs instruments provide selective information for determining parole outcome, demographic information does not bear a strong relationship to termination type, nor does it add a significant amount to the variance explained by the instruments.

NEW REGRESSION ANALYSES OF TERMINATION TYPES

The regression analyses were rerun with the termination type (dependent variable) recoded differently. The values were recoded (1 to 6) from least to most serious in the following order: discharge recommended, discharge expiration, AWOL, technical violation, new misdemeanor, and new felony. The termination type categories "other negative", "other positive", and "transfers" were not used in this analysis.

Two factors must be considered during the interpretation of these results. First, data are not still available in a representative magnitude, especially in Area I. Of all 1,168 cases, negative outcomes are only 14.9% in Area I and 26.5% in Area II. There were no data for AWOL's and new misdemeanors in Area I, and only 10 cases (2.7%) for technical violation. With these data the changes made in termination type do not affect a large percentage of the cases studied. Second, the data base does not show if a technical violator has been revoked or resumed. All cases are treated as an official violation although approximately one-third are actually REVOKED (the refined data base should have this problem resolved).

State-wide, there were 241 cases who had an "A" form completed and terminated. 230 were from Area II while only 11 were from Area I. With termtpe coded in this manner, the A risk items explained 13.3% of the variance, as opposed to 11% in the previous analysis. All variables explained a similar amount of variance independently. Age at first conviction's R2 decreased from .043 to .033 to mark the largest change. The agent's impression of client attitudes item explained 7% of the variance and was thus entered first in the stepwise analysis. Employment, entered 3rd in the previous analysis, entered 5th (after the alcohol and offense items) to bring the multiple R2 to .128.

On the "A needs", the "agent's impression of client needs" item explained 8% of the variance present in termtpe (an increase from 5%). Living arrangements, entered 7th previously, entered next, bringing the R2 to .09. The academic/vocational item added .4%. Interestingly, and not surprisingly from a theoretical viewpoint, psycho-sexual adjustment entered 4th (it entered last previously), bringing the R2 to .10. (Psycho-sexual adjustment seems best accounted for by the few high needs cases downstate who failed on supervision.) The remaining 4 variables increased the R2 only to .108 and thus contributed little beyond that of the first 4 variables.

For the state-wide B risk scale, some changes from the previous analysis were apparent. All 12 items explained 1.5% more variance with the newly recoded termination type. The independent R2 for prior revocations explained 4.0% of the variance whereas it had explained 2.9% previously. All items, except for the employment, address changes, and interpersonal problem items had R2's similar or higher in the second analysis. The compliance with the parole agreement, social interaction, and employment items entered the stepwise procedure to explain 30% of

the variance in termination type. Address changes, personal problems, and use of community resources variables had slightly less predictive power in the second analysis when all item intercorrelations were taken into effect.

Finally, on the B needs scale, all items explained 25.4% of the variance in termination type (as opposed to 24% previously). As on the A needs scale, the living arrangement item had less predictive power independently on the B needs ($R^2 = .035$ as opposed to $R^2 = .044$). Psycho-sexual adjustment remained a poor predictor (as was not the case on the A). The independent predictive power of the "agent's impression of client needs" increased from .230 to .245 (R^2). This item entered first, again, on the stepwise analysis, while the alcohol abuse and academic/vocational items remained the best predictors. This analysis had living arrangements entered 3rd when all item intercorrelations were accounted for.

Thus, by recoding termination type, making AWOL's less serious and new misdemeanor convictions more serious (and removing other terminations and transfers), most A and B risk and needs items had more predictive power. The order of the items' contributions in the stepwise analysis was somewhat altered, but the scales demonstrated slightly more predictive power. (A recommended next step is to remove the least powerful predictors from the regression analysis to create an "administrative" scale.)

When separate analyses were conducted for Area I and Area II cases, more differences from the first analysis were noted. Because 230 of the 241 (95%) cases with A forms were from Area II, these results were similar to those from the total cases. However, those cases with B's could be studied separately.

In Area I, 23 cases were removed when other terminations and transfers were selected out of the analysis; 299 cases were analyzed. Previously the B risk items explained 25.5% of the variance in termination type; this analysis showed all 12 items to explain 27.5% of the variance. Some major changes were seen in the independent R^2 's of the items; i.e., all increased except for the address changes items (which decreased from .019 to .012) and the offense item (which remained at .031). The R^2 for the prior revocations variable increased notably from .021 to .031.

The "compliance with the parole agreement" variable ($R^2 = .21$) entered first in the stepwise regression analysis while the employment item entered second in both analyses. The social interaction and use of community resources items entered 3rd and 4th (in reverse order from the previous run). The offense variable increased the R^2 to .265. As was the case before, address changes, prior felony convictions, age at first conviction and prior revocations added little to the predictability of termination type for the B risk scale in Area I.

There were 541 cases in Area II which had a B form completed before terminating in the 6 manners studied in this analysis (a drop from 601 in the previous analysis--mostly due to the removal of other positive

terminations). As was the case in Area I, the independent R^2 's increased in the second analysis despite a smaller sample size (except for the employment and interpersonal problem items). However, the multiple R^2 did not increase by even 1% over the previous analysis. The compliance with the parole agreement, social interactions, prior felony convictions, and employment items entered the stepwise analysis in that order, all of these items explaining 33.4% of the variance in termination type. Prior revocations entered 5th in the second analysis while it had entered 10th previously. The interpersonal problem, alcohol abuse, address changes, and offense items added little to the predictability of termination type in Area II. Thus, there seem to be definite differences in the predictive power of the B risk items between Area I and Area II.

The prior felony conviction and revocation items were better predictors in Area II, while interpersonal problems and offense items were better predictors in Area I.

For the B needs items in Area I, only the "agent's impression of client needs" item was a powerful predictor of termination type. Only alcohol abuse, academic/vocational and the impression items R^2 's increased in the second analysis (.030, .038, and .189 respectively). No other item explained over 1.4% of the variance in termination type. All items explained 23.2% of the variance in termination type in the second analysis, an increase from 20% previously. The agent's impression of client needs, living arrangements, and mental ability items entered the stepwise procedure in that order, alone explaining 22.5% of the variance. Academic/vocational needs entered 4th (it had entered second to last previously). As before, psycho-sexual adjustment, basic human needs and emotional stability added little to the predictability of termination type in Area I for the B needs scale.

In Area II the independent R^2 's for all items except for the agent's impression of client needs (an increase from .252 to .263) and substance abuse (a steady .068) decreased in the second analysis. (There were 40 fewer cases.) In addition, the psycho-sexual adjustment item showed some predictability in Area II; it entered 4th in the stepwise procedure (behind the agent's impression, substance abuse, and academic/vocational items), increasing the R^2 to .273. The remaining items added little to the predictability in Area II. All items explained 27.5% of the variance (they had explained 26.7% previously).

In conclusion, the recoding of termination type, adding seriousness to new misdemeanor convictions and less to AWOL, and the removal of other terminations and transfers, changed results of the regression analysis for both Area I and Area II. For the B risk scale, independent R^2 's generally increased after the second run. Different predictors were useful for each area, which led to the conclusion that scales for each jurisdiction might be created and tested separately. R^2 's decreased from the first analysis for the B needs scale in Area I, while they increased in Area II. Area differences appeared especially for the psycho-sexual adjustment item.

Since project staff feels these recodes of termination type are more realistic, they will be used together with others which weight "technical" in future analyses. (The next step of including only those items which show some predictive power should remove intercorrelations with less powerful predictors.)

As a result of findings from the Adult Institution Classification Validation efforts showing technical violations as having a strong correlation with serious misconduct histories in institutions, a second recoding of termination type/analysis was conducted.

In this second recoding it was hypothesized that a technical violator was more serious than an AWOL or a new misdemeanor conviction. The assumption was made based on institutional intake frequencies. Few AWOL's and parolees convicted of a new misdemeanor are returned to the institution; however, the figures for those returned for technical violations are similar to those for first admissions; i.e., they are a high percentage of the total number of admissions.

Analyses were made in reference to 3 research questions from the original "Research Strategy":

- 1b. Do the supervision (risk) level and needs level adequately indicate risk and service requirements of the releasees as reflected by termination type (successful, unsuccessful, and highly unsuccessful)?

The newer unsuccessful category consisted of new misdemeanor convictions, AWOL's, and other negative terminations while the revised highly unsuccessful category contained new felony convictions and technical violations. The successful category retained the 3 positive termination types.

These outcome categories were crosstabbed with risk, needs, casework, and final levels for each A and B instrument. Separate results were obtained for Area I and Area II and also for all the appropriate cases state-wide.

The first analysis addressed the association between scale and casework levels and termination type. Since the frequencies for the successful category were not affected, the releasees classified as low or medium who moved from the highly unsuccessful category to the unsuccessful column and those classified as high and moved up in seriousness were of importance to note; thus, the Tau, Gamma, and Eta statistics should not have altered greatly while the misclassification percentage should not have changed at all.

For the 278 statewide cases who were evaluated with an A instrument, some changes were observed. Thirteen of the 100 negative high cases moved to the highly unsuccessful category from the unsuccessful category on the risk scale. The same held true for the casework and

final levels. On the other hand, more highly unsuccessful lows were identified.

For the 877 cases with a B instrument, small improvements were seen. On the risk scale 12 high cases and 12 mediums moved from the unsuccessful to highly unsuccessful category. On the needs scale, more mediums and fewer lows were in the highest outcome category while only 1 high case was affected. Thus, the medium cases were seriously affected, and high and low cases changed for the better. (The statistics for both instruments were unchanged.)

No significant changes could be noted for the 13 Area I cases with an A. For the B instrument, less than 1% of the 304 cases was affected. The lack of data in Area I would not allow for a more complete analysis.

In Area II, results for the A scales were similar to those for the total cases. For the B risk scale 10 additional high cases were included in the technical violation/new felony category while 9 mediums were also added. A negative effect was seen on the needs scale. Twelve lows and 6 mediums were moved to the highly unsuccessful level. No high cases were affected. After the override was used one medium case moved downward while one high case moved to the highly unsuccessful category.

Two stepwise regression analyses were conducted to address the research questions:

3. How well do the items of each scale indicate eventual supervision success or failure?
4. Is there information outside the scale items that indicate success or failure on supervision; i.e., do releasee characteristics (age at termination, sex, and race) affect success?

The values of the dependent variable were recoded (1-6) from least to most serious at the ordinal level as follows: discharges recommended, discharge expiration, AWOL, new misdemeanor, technical violation, and new felony. The three remaining outcomes were again excluded.

Results were varied between analyses, enough to further examine the association between outcome and the scales. A stepwise regression analysis was utilized to test the contribution of the items and releasee characteristics to supervision success and failure.

For the 241 cases with an A form completed, the independent R2's of the items did in fact increase slightly when termination type was recoded with technical violations being more serious than new misdemeanor convictions. Only alcohol abuse, address changes and the offense variables' R2's decreased. All items explained 13.5% of the variance in termination type (as opposed to 13.3% previously).

Prediction was also improved on the A needs scale. The agent's impression of client needs item remained the only significant predictor; its R2 increased from .079 to .093. An additional 2% of the variance was explained by all items. However, the academic/vocational item was not as good a predictor as it was in the original analysis. Living arrangement and psycho-sexual adjustment items remained good (but not significant) predictors.

The B risk scale also showed some added predictive strength. Again, the R2's for alcohol abuse and address changes decreased as did those for age at first conviction and use of community resources. Compliance with the parole agreement, social interaction, employment, and previous revocation items remained the best and significant predictors. In this analysis prior felony convictions was a better predictor than before, although it was not significant.

On the B needs scale no changes were seen. The agent's impression of client needs and substance abuse items were the only significant predictors. Less than 1% of additional variance was explained when termination type was recoded.

In Area I, the 11 cases with A's were not examined. For the 229 Cook County releasees with a reevaluation, no differences were seen on the risk scale. All items explained 27.56% of the variance in termination type. The compliance with the parole agreement, employment, social interaction, and use of community resources items explained 26% by themselves and were the only significant predictors.

The multiple R2 for the B needs items decreased from .23 to .228. The client needs and living arrangement items explained 21.7% of the variance by themselves and were significant.

Area I results cannot be interpreted too finely; until more cases come into the base from Area I, no conclusions can be drawn.

In Area II, results for the A instruments were the same as for those of all the cases. There were 541 Area II cases with a B instrument completed before termination. Less than 1% additional variance was explained by the B risk items. The only change worth mentioning is that age at first conviction entered before the use of community resources item and had slightly more predictive power. All items explained 34.9% of the variance. The same held true for the needs scale. .3% more variance was accounted for while client needs, substance abuse, and academic/vocational items remained significant predictors.

Despite the fact that most cases were from Area II and 1.7% of all terminations were for new misdemeanors (none in Area I), the recoding of termination type in this manner was supported, more so on the initial

evaluation, than on the reevaluation instruments. Although none predicted with better than 35% accuracy, additional variance was accounted for. (Termination type should be further examined for both Area I and Area II using this recoding scheme.)

Next, the contribution of age, sex and race, both independently and with the scale items, was examined. (State-wide, the population of terminated cases was 54% White, 43% Black and 2.7% Hispanic while it was nearly 95% male. The mean age was 28.8 years and ranged from 19 to 73.)

For the A instrument no significant changes occurred. The independent R2's for sex and race continued to be below .001 while age remained a significant predictor when used with the needs scale items. Age also remained a significant predictor on both the B risk and needs scales, while sex continued to be a better predictor than race.

In Area I the population was 70% Black with an average age of 30.2. For the B instrument scales, age and race were significant predictors along with the compliance, employment, social interaction and use of community resources items on the risk assessment and the impression of needs and living arrangement items on the needs scale.

In Area II the population was 68% White and averaged 28.2 years of age. On the A scale results were the same as those for all cases. Race did explain 3% of the variance in termination type while age contributed 2.6% independently. Race had slightly less predictive power when included with the risk items but remained a significant predictor (along with age and client needs impressions) with the needs scale.

There were no major differences between the methods of measurement for the outcome items when they were regressed against demographic variables. Generally these characteristics proved poor predictors of outcome although they did hold more potential than some of the scale items.

PREDICTIVE ASSESSMENT OF COMBINED INSTRUMENTS

The risk and needs scales held some predictive power when used independently. Little additional variance was accounted for when releasee characteristics were included in the regression models. The A and B, risk and needs scales were combined to note the predictive power of the instruments when used in conjunction with each other.

At this point, the B risk scale had the best predictive power. The 12 items accounted for 31.4% of the variance explained in termination type. The B needs items explained 25.4% of the variance. A risk and needs items accounted for 13.3% and 10% of the variance respectively.

For the 6 possible dual combinations, as in the preliminary validation, the B risk and A needs scales held the greatest predictive potential when combined. 48.2% of the variance was explained by all the items. Compliance with the parole agreement and social interaction (both needs) and the substance abuse (risk) items were the only significant variables. The employment and agent's impressions of client needs items entered second and third (after the compliance item) but did not retain a significant F-ratio.

The opposite combination (A risk and B needs) also demonstrated greater predictability than the separate instruments. Interestingly, seven items (six of them from the B needs) were significant where earlier only three items had been significant. Three B needs items (academic/vocational, psycho-sexual adjustment and mental ability) became significant when combined with A risk items. The only significant A risk item was age at first conviction. The agent's impression of client attitude item accounted for 1% additional variance but was not significant.

The combinations of the similar scales for both the initial and reevaluation instruments had only slightly less predictive power. The two risk scales combined to explain 46% of the variance in the outcome variable. Both prior felony conviction items had significant F-values while the compliance with the parole agreement and employment items from the B were also significant. All other items, except for the age at first conviction from the A and social interactions from the B added little to the predictability of outcome.

Separately, the two needs scales failed to account for more than 25% of the variance; together, they accounted for 44.7%. Five of the six significant items (agent's impression of needs, academic/vocational, living arrangements, alcohol or drug abuse and psychol-sexual adjustment) were from the reevaluation scale while substance abuse was the only significant predictor from the initial evaluation scale. These items, along with the emotional stability variable from the A, alone explained 42.2% of the variance.

The combinations of risk and needs scales for similar instruments produced the least powerful results. The combination of the risk and needs scales from the A explained only 17% of the outcome variance. Only the attitude and age at first conviction items were significant

predictors. The predictive power of the academic/vocational item dropped noticeably when combined with the risk items.

Results were similar for the reevaluation scales. As was the case with the A, adding the needs items only accounted for an additional 3 to 4% of the outcomes variance. The use of community resources item became a more powerful predictor while the prior revocation item lost some predictive potential.

The A risk was combined with the B needs and the B risk was used in conjunction with the A needs scale to examine how the false negative and false positive cases were identified. The risk and needs levels were entered into the matrix calculation in the same manner as in the intrainstrument formula. The levels were crosstabulated with successful and unsuccessful outcomes.

Three points must be made here. First, the risk scale still guides the calculation of the scorebased casework level; therefore, only in the situation where a releasee is scored high on the needs and low on the risk scales will the needs level be taken into effect. Second, because the agents did not participate in this analysis, the override function could not be used; the casework level was represented by the matrix calculation only. Third, only those who were evaluated with both an initial and reevaluation were included in the interinstrument calculations. Thus, there was a variation in sample sizes. The cell percentages were examined; since the summary statistics can be affected by sample size, their contribution was minimal. (However, the two interinstrument sample sizes were equal and statistics could be compared.) Total, Area I, and Area II results were calculated.

For all cases, the B risk and A needs unity identified the lowest percentage of false positives (5.4% of all lows). Although the B risk-B needs combination identified 1% fewer unsuccessful lows, it recognized 2% more successful highs. The B risk-A needs matchup misidentified only 16 of 169 releasees. The A risk-B needs combination misclassified 61% of their high releasees. In addition, despite the small N, the B risk-A needs statistics were highest. Again, support was generated for the B risk-A needs scales to aid in the prediction of outcome.

Since only one Area I releasee received both an initial and reevaluation (a successful medium), area comparisons would have been misleading. Area II results were similar to those for all cases.

Throughout the various analyses, the B risk instrument seemed to provide the most useful predictive potential. It had almost equal power in identifying misclassified releasees when used with both needs instruments. However, when termination type was regressed against the instruments' joined items, the B risk-A needs items combination explained nearly 50% of the variance, much more than the B risk-B needs matchup (34%). Joining the various instruments did contribute to the predictive accuracy of the scales. (The B risk-A needs combination needs to be examined further.)

ASSESSMENT OF PREDICTIVE RESULTS

The seriousness of misprediction and its potential hazard to public safety must be examined. If the instruments, or combination of instruments, are classifying releasees as low or medium and these releasees are actually committing serious violations, such as new felonies or technical violation, there could be societal danger. Releasees classified low should be eligible for early discharges; these decisions cannot be made effectively if many are returning to prison for serious offenses. In addition, if a large proportion of releasees rated at a high casework level are not violating the law or they return for only minor offenses, a great deal of agent time and energy will have been wasted. In times of limited resources, rising violent crime rates, public concerns, and political pressure, great care must be taken when implementing classification system decisions.

To test the seriousness of both misprediction and predictive accuracy, the specific types of positive and negative terminations were examined. Termination type frequencies were calculated for each casework level by outcome crosstabulated cell for all instruments and combinations of instruments. The seriousness of accurate and mispredictions could be noted for all scales. (See Table 1-A and 1-B.)

For those classified as low on the A instrument who terminated successfully (N=10), one-half completed their supervision term while one-half were recommended for discharge. Of the successful releasees rated as medium on the A, slightly more (57%) were discharged by expiration of sentence. Most (61%) of the high releasees who terminated successfully served their entire supervision term before release. There were no unsuccessful releasees who were classified as low. Approximately two-thirds of the unsuccessful terminations for those classified as medium or high were for the more serious terminations of new felony convictions or technical violations.

The predictive power of the B instrument was slightly better than that of the A scale. In addition, more successful releasees classified as low were recommended for discharge (58% for both Area I and Area II). Only 16% of the successful highs were recommended for discharge. On the other hand, many of the negative terminations for the low releasees (5 of the 7 in both Area I and Area II) were for the more serious new felony conviction. (See Appendix A for the Low Unsuccessful Profile.) Seventy-eight percent of the unsuccessful mediums in Area II and 89% in Area I were for a new felony conviction or technical violation. (There were no AWOL's or new misdemeanor convictions in Area I; this data problem must be taken into consideration.) There was also a high percentage (83%) of serious violations among those classified as high. Most of the unsuccessful releasees terminated with a technical violation

TABLE I-A
 PERCENTAGE OF CORRECT PREDICTIONS: EACH INSTRUMENT BY OUTCOME

Instrument	Area	Total Number of Cases	Number of Successful Lows	Successful Percent of All Lows	Number of Successful Mediums	Successful Percent of All Mediums	Number of Unsuccessful Mediums	Unsuccessful Percent of All Mediums	Number of Unsuccessful Highs	Unsuccessful Percent of All Highs	*Predictive Accuracy Percentage
A Risk	Total	278	11	91.7	30	81.1	7	18.9	100	43.7	46.1
	Area I	13	1	100.0	4	80.0	1	20.0	3	42.9	50.0
	Area II	265	10	90.9	26	81.3	6	18.8	97	43.7	45.9
A Needs	Total	278	113	69.3	45	51.1	43	48.9	15	55.6	67.4
	Area I	13	6	60.0	3	100.0	0	0.0	0	100.0	60.0
	Area II	265	107	69.9	42	49.4	43	50.6	15	55.6	67.8
A Final	Total	278	11	100.0	35	76.1	11	23.9	97	43.9	46.6
	Area I	13	1	100.0	4	66.7	2	33.3	2	33.3	42.9
	Area II	265	10	100.0	31	77.5	9	22.5	95	44.2	46.7
B Risk	Total	877	281	95.6	321	85.4	55	14.6	116	56.0	79.2
	Area I	304	118	95.2	109	85.2	19	14.8	20	38.5	78.4
	Area II	573	163	95.9	212	85.5	36	14.5	96	61.9	79.7
B Needs	Total	877	590	86.4	85	55.2	69	44.8	22	55.0	84.6
	Area I	304	229	88.4	25	64.1	14	35.9	1	16.7	86.8
	Area II	573	361	85.1	60	52.2	55	47.8	21	61.8	83.4
B Final	Total	877	318	95.8	289	84.3	54	15.7	116	57.4	81.3
	Area I	304	140	95.2	90	83.3	18	16.7	20	40.8	81.6
	Area II	573	178	96.2	199	84.7	36	15.3	96	62.7	81.1

*The Predictive Accuracy Percentage was calculated by dividing the number of Successful Lows and Unsuccessful Highs by the total number of low and high cases.

TABLE 1-B
 PERCENTAGE OF CORRECT PREDICTIONS: COMBINED INSTRUMENTS BY OUTCOME**

Combined Instrument	Area	Total Number of Cases	Number of Successful Lows	Successful Percent of All Lows	Number of Successful Mediums	Successful Percent of All Mediums	Number of Unsuccessful Mediums	Unsuccessful Percent of All Mediums	Number of Unsuccessful Highs	Unsuccessful Percent of All Highs	*Predictive Accuracy Percentage
A Risk -	Total	278	11	91.7	30	81.1	7	18.9	100	43.7	46.1
A Needs	Area I	13	1	100.0	4	80.0	1	20.0	3	42.9	50.0
	Area II	265	10	90.9	26	81.3	6	18.8	97	43.7	45.9
A Risk -	Total	169	8	88.9	20	90.9	2	9.1	54	39.1	42.2
B Needs	Area I	1	1	100.0	1	100.0	0	0.0			
	Area II	168	8	88.9	19	90.5	2	9.5	54	39.1	42.2
B Risk -	Total	877	281	95.6	322	85.4	55	14.6	116	53.3	79.4
B Needs	Area I	304	118	95.2	109	85.2	19	14.8	20	38.5	78.4
	Area II	573	163	95.9	213	85.5	36	14.5	96	62.3	79.9
B Risk -	Total	169	35	94.6	63	80.8	15	19.2	40	74.1	82.4
A Needs	Area I	1	1	100.0							100.0
	Area II	168	34	94.4	63	80.8	15	19.2	40	74.1	82.2

*The Predictive Accuracy Percentage was calculated by dividing the number of Successful Lows and Unsuccessful Highs by the total number of low and high cases.

**Tau, Gamma and Eta statistics were also calculated. These statistics were highest for the B Risk - A needs combination of instruments.
 (Tau = .57; Gamma = .85; Eta = .60)

or a felony conviction. When the initial and reevaluation instruments were used separately, the level of classification did not differentiate between the least and most serious negative outcomes. On the other hand, most releasees classified lower on the scales were recommended for discharge while more high releasees went through their entire term before exiting the system. Thus, the instruments clearly determine successful outcome; although they do not currently make fine distinctions among more serious violators. (See Table I-B.) However, the lack of data for the A instrument and AWOL's and new misdemeanor convictions in Area I obstructs the determination of real predictive accuracy at this point.

When the A risk scale was combined with the B needs (N=169), results were similar to those of the individual instruments. There were few unsuccessful lows (1) and mediums (2) but most of the accurately classified highs violated parole guidelines or were convicted of a felony. Sixty-five percent of the lows, mediums, and highs alike who terminated successfully were discharged from supervision via expiration of sentence.

The hypothesis that the B risk-A needs combination provides the most predictive accuracy was supported further in this more precise analysis. Approximately 75% of the negatively terminated mediums and highs were for the more serious violations. Conversely, there were two misrepresented lows, both having less serious outcomes (one AWOL; the other, a misdemeanor). Results were also impressive for those successful cases. A larger percentage of lows was recommended for discharge than were percentages of mediums and highs. With other positive terminations removed, 41% of the lows and 15% of the mediums were recommended for discharge. Moreover, none of the eight highs was recommended to the board for early discharge.

Again, prediction of outcome for the combination of the B risk and A needs scales was more accurate than those projections made from the scales individually. Few highs and mediums were recommended for early release. All releasees who were recommended and received an early discharge were classified as low or medium. At the other end of the continuum, the more serious violators were classified high, while no low rated releasees committed the more serious offenses. With this scale combination, the releasees classified at the low end of the scale were usually successful, many being recommended for early discharge. All of the serious violators were rated as either medium or high on the B risk A-needs combination.

Thus, if predictions for recommendations for early discharge are to be made and those releasees with the most potential to commit the more serious offenses are to be identified, the B risk-A needs combination should provide a start toward accurate projections. This combination has already provided few mispredictions at both ends of the scale. It has demonstrated that the offenders with the greatest potential for committing the least serious and most serious offenses can be identified in most cases. Prisoner Review Board members could find these instruments for recommending low or medium classified releasees for discharge and for testing results of such use.

INFLUENCE OF DEMOGRAPHIC VARIABLES

When the demographic variables were entered into the regression analyses, similar results to the first analysis were noted. Sex and race explained less than 1% of the variance independently. Age correlated negatively, with an R2 equal to .028. Age also entered ahead of sex and race in the stepwise analysis. Age, sex, and race increased the multiple R2's by less than 2% beyond that contributed by the items on all scales.

For the A needs scale for state-wide cases, age entered second. It increased the multiple R2 to .10 after the agent's impression of client needs item (R2 = .07) was entered. Sex had slightly more predictive power for both scales on the A and B instruments than race. Age also entered second on the B needs scale, adding 1% more variance beyond that explained by the agent's impression item. Sex and race, in addition to the basic human needs item, were the poorest predictors of termination type on the B needs scale. In conclusion, for the state-wide cases, age and sex did add to the risk scale, while only age was a good predictor when analyzed along with the needs items.

In Area I for the B risk scale, sex explained 1% of the variance in termination type for the 298 cases studied. As opposed to the total cases, race was a better predictor than sex when analyzed along with the B risk items. The demographic variables explained 2% additional variance beyond that accounted for by the B risk items in Area I. The same held true for the B needs scale in Area I. Thus, in Area I, knowledge of race and age aided a bit in the prediction of termination type. More importantly, all demographic variables entered earlier in the stepwise procedure than the last five B needs items.

In Area II for both the initial and the reevaluation scales, results were similar to the previous analysis. Age, of course, correlated negatively (R2 = .16), while correlation coefficients for sex and race were less than .01. On the A risk scale, these 3 variables explained 1.5% additional variance beyond that of the items. On the A needs scale, they increased the multiple R2 by 2%, with age and sex entering the stepwise procedure 2nd and 4th respectively. For the B risk scale in Area II, age and race were better predictors than sex. Age and race entered 4th and 6th respectively during the stepwise procedure. They explained 1% more variance beyond that of the 12 risk items (R2 = .35). For the B needs scale in Area II, the demographic variables added 1.5% additional variance to the items (R2 = .29). Age and race entered 2nd and 3rd while sex entered last. Again, age and race were predictors when included with needs items and risk items on the B scales for Area II.

SUMMARY

In summary, demographic information, especially age, as confirmed by other studies, can be of some assistance to the items predicting parole outcome. (These variables should be included with future "best predictors" analyses, with poor predictors removed, to note their contribution relative to "good" variables.)

The items listed in Table II would seem to be useful predictors for each scale in each area. Only a few of the items were significant predictors (.10 level); these are preceded by an *. (An F-value of at least 2.9 is needed; these were the only items to meet that criterion.) Table I shows relationships between instruments and outcomes, and combinations of instruments and outcomes.

From various attempts at finding predictors of parole outcome using regression analysis, it can be concluded that most of the scale items by themselves are not good predictors. The items which were significant at the .10 level explained less than 30% of the variance in all cases. Knowledge of age and race added somewhat to the prediction of outcome; the reevaluation instrument items were better predictors than those of the initial evaluation instrument. No more than 34% accuracy was determined for the scales when used individually.

The combination of the B risk and A needs scales provided the most accurate predictions after all individual and combinations of instruments were studied. Few cases were misclassified, especially at the low end of the scale where predictions of success for those who fail would be of great harm to public safety.

Results indicated that the best way to order termination type on a least serious to most serious continuum would be: discharge by recommendation; discharge by expiration of sentence; AWOL; new misdemeanor conviction; technical violation and new felony conviction. Predictive accuracy is most improved with this arrangement (state-wide).

Recommended at this point is continued examination of the reevaluation instrument and the B risk-A needs combination for further predictive accuracy. However, the various instruments should continue to be utilized so that agents can become familiar with their releases immediately following release, obtaining information concerning their prior criminal activities, social and environmental problems, living arrangements and needs, and emotional problems. The B needs instrument should be examined so that the agent can identify and monitor the specific service needs required by each releasee. The needs instruments were not designed to predict. The use of the instruments for their various purposes also needs closer examination.

A profile of the very few (2%) unsuccessful low releasees indicated that most were originally convicted of burglary or robbery. (See Appendix A.) Each had some needs problem such as mental or drug difficulties.

(Additional analysis should be done of those releasees convicted of serious property crimes who are classified as low risk, as well as on sex-related cases.) The problem with these cases in regard to classification may be in part a function of statutory definitions of Class X, Class 1, and Class 2; as with the Institutional Classification Study, such cases seem especially problematic both in terms of assessment and in returns to the system (e.g., preliminary results suggest that Class 1 should be inclusive of many current Class 2 cases).

The next series of analyses should add and utilize both length under supervision and commitment-free 3-year period prior to current offense to see their effect on parole outcome. At this point, instrument items alone cannot be used confidently to predict supervision outcome, despite the fact that B risk levels, especially in Area II, seem to predict with close to 90% accuracy when only misclassified highs and lows are taken into account.

TABLE II
 VARIABLES SELECTED FROM THE ORIGINAL STEPWISE PROCEDURE
 FOR A NEW SPECIFIC REGRESSION ANALYSIS
 (In Order of Selection in Stepwise Analysis)

STATE-WIDE	AREA I	AREA II
A RISK INSTRUMENT		
*Attitude *Age at First Conviction Alcohol Abuse Record of Offenses Employment Felony Convictions		*Attitude *Age at First Conviction Alcohol Abuse Record of Offenses Employment Felony Convictions
A NEEDS INSTRUMENT		
*Impression of Client Needs Living Arrangements Academic/Vocational Psycho-Sexual Emotional Stability Substance Abuse		*Impression of Client Needs Living Arrangements Academic/Vocational Psycho-Sexual Emotional Stability Substance Abuse
B RISK INSTRUMENT		
*Parole Agreement *Social Interaction *Employment *Prior Revocations Age at First Conviction Felony Convictions	*Parole Agreement *Employment *Social Interaction *Use of Community Resources Offense Record Interpersonal Problems Alcohol Abuse	*Parole Agreement *Social Interaction *Felony Convictions *Employment Prior Revocations Use of Community Resources Age at First Conviction
B NEEDS INSTRUMENT		
*Impression of Client Needs *Substance Abuse *Living Arrangements Academic/Vocational	*Impression of Client Needs *Living Arrangements Mental Ability Academic/Vocational Substance Abuse	*Impression of Client Needs *Substance Abuse *Academic/Vocational Psycho-Sexual Basic Needs

*Significant Predictors at .10 level.

APPENDIX A

LOW UNSUCCESSFUL PROFILE

Of the 837 releasees who had a "B" series evaluation completed before terminating either successfully or unsuccessfully, there were 13 (2%) who were classified as low on the scorebased casework level but unsuccessfully completed parole. These cases were profiled so that similarities among these releasees could be specified.

Three were released from a maximum institution and 1 was "out of state" (Indiana). Six releasees were on a Correctional Parole Counselor III's caseload at termination. Six releasees committed the original offense in Cook County and six in downstate counties. Six lived in Cook County while on supervision, whereas seven lived downstate. 11 were sentenced later than 1977; one in 1973; and one in 1975. All were sentenced for terms over three years, while two had sentences of over ten years.

A major finding appeared when the type of committing offense was examined. Six of the 13 were convicted of burglary (Class 2), four for armed robbery (Class X), one for robbery (Class 2), and one for rape-deviate sexual assault (Class X). Thus, 12 were convicted of serious property and/or assaultive crimes. The other served for a Class 3 controlled substance violation. Six had two-year supervision terms, and six had three-year terms. All were male; seven were White; six were Black. Eight were 25 or younger; one was 48 years old. Of the 13, nine were returned for a new felony; one for AWOL; one, technical violation; one, new misdemeanor; and one, other negative termination.

Only two releasees had an A (initial evaluation) completed and were classified as medium on that instrument. Thus, 11 had been released for over 30 days before they were first evaluated. For the B (reevaluation) risk instrument, item responses were generally low; however, every releasee had at least one non-zero score. Eight had at least one prior felony conviction, while only one had one or more prior revocations. Eleven were 23 or younger (only three were 19 or younger) at first conviction. One was recorded as having a moderate alcohol problem, and one as having a moderate substance abuse problem. Only three were currently employed under 40% of the time. Six had had one address change in the last 12 months, while the other seven had not moved. Only one was listed under "personal problems" and one as interacting with "delinquent" groups. Ten utilized, but were not recorded as needing, community resources. Ten had theft-related conviction records.

The B (Form CB) needs items responses were also low. Only two had living arrangement problems, while one needed some assistance with a mental problem. One was listed as having a moderate alcohol or drug problem, while four needed some academic or vocational assistance. Although all had a low needs level, four agents thought their releasee needed medium casework service. One override was used bringing a

case classified as low to the medium category; thus, one agent recognized a problem with an unsuccessful case and corrected it.

In conclusion, a noteworthy finding among these misclassified unsuccessful cases is that 92% were originally sentenced for a serious property and/or assaultive crime. At least one supervision and/or needs problem was identified for each case, but not so sufficiently as to put the cases in a higher classification level.

APPENDIX B

CASE CLASSIFICATION INSTRUMENTS

- A - Initial Risk Assessment Instrument
- AC - Initial Needs Assessment Instrument
- B - Reevaluation Risk Assessment Instrument
- BC - Reevaluation Needs Assessment Instrument
- D - Casework Level Assignment Instrument
- Case Action - Case Tracking Data Collection Instrument

A

State of Illinois - Department of Corrections
Community Services Division
COMMUNITY SUPERVISION
WORKLOAD MANAGEMENT SYSTEM
INITIAL SUPERVISION LEVEL EVALUATION

Parole Office:

IDENTIFICATION: (Print)

Releasee Name: _____ Agent Name: _____
(last) (first) (middle) (last)

Release Number: Institution: Agent Number:
 Release Date: - - Evaluation Date: - -
Month Day Year Month Day Year

EVALUATION:

- | | SCORE |
|--|----------------------------------|
| A. Total number of prior felony convictions and juvenile adjudications | |
| a. None | Enter 0 <input type="checkbox"/> |
| b. One | Enter 2 <input type="checkbox"/> |
| c. Two or more | Enter 4 <input type="checkbox"/> |
| B. Total number of prior periods of probation/parole/release supervision (Adult & Juvenile) | |
| a. None | Enter 0 <input type="checkbox"/> |
| b. One or more | Enter 4 <input type="checkbox"/> |
| C. Total Number of Prior Probation/Parole/Release Revocations | |
| a. None | Enter 0 <input type="checkbox"/> |
| b. One or more | Enter 4 <input type="checkbox"/> |
| D. Age at first conviction or adjudication | |
| a. 24 years or more | Enter 0 <input type="checkbox"/> |
| b. 20-23 years | Enter 2 <input type="checkbox"/> |
| c. 19 years or less | Enter 4 <input type="checkbox"/> |
| E. History of Alcohol Abuse (prior to incarceration) | |
| a. No history of abuse | Enter 0 <input type="checkbox"/> |
| b. Occasional abuse | Enter 2 <input type="checkbox"/> |
| c. Frequent abuse | Enter 4 <input type="checkbox"/> |
| F. History of Other Substance Abuse (prior to incarceration) | |
| a. No history of abuse | Enter 0 <input type="checkbox"/> |
| b. Occasional abuse | Enter 1 <input type="checkbox"/> |
| c. Frequent abuse | Enter 2 <input type="checkbox"/> |
| G. Percent of Time employed in 12 months prior to incarceration
(Base estimate on 40 hours/week for full year = 100%) | |
| a. 60% or more | Enter 0 <input type="checkbox"/> |
| b. 40-59% | Enter 1 <input type="checkbox"/> |
| c. Under 40% | Enter 2 <input type="checkbox"/> |
| d. Unemployable and/or supported by other means | Enter 0 <input type="checkbox"/> |
| H. Number of address changes in year prior to incarceration | |
| a. None | Enter 0 <input type="checkbox"/> |
| b. One | Enter 2 <input type="checkbox"/> |
| c. Two or more | Enter 3 <input type="checkbox"/> |
| I. Agent's Subjective Appraisal of Client's Attitude | |
| a. Sincere desire to behave responsibly | Enter 0 <input type="checkbox"/> |
| b. Dependent or irresponsible | Enter 3 <input type="checkbox"/> |
| c. No indication of motivation to behave responsibly | Enter 5 <input type="checkbox"/> |
| J. Record of convictions or Adjudication for Selected Offenses (include current offense) | |
| a. None of the below | Enter 0 <input type="checkbox"/> |
| b. Burglary, Theft, Auto Theft, Robbery | Enter 2 <input type="checkbox"/> |
| c. Forgery, Deceptive Practices | Add 3 <input type="checkbox"/> |
| d. Assaultive Offense | Add 4 <input type="checkbox"/> |

Agent's Initials

TOTAL SCORE

SUPERVISION LEVEL:

3 2 1
 HIGH (15-41) MEDIUM (8-14) LOW (0-7)

Parole Office
(11) (12)

CASE ACTION

Releasee Name: Agent Name:

Releasee Number: Institution: Agent Number:

Release Date: - - ACTION: 1 Enter 2 Transfer 3 Terminate

1. ENTER

Date of Birth: - - Sex: 1 Male 2 Female Residence County:

Race: 1 White 2 Black 3 Hispanic AM 4 Ind. AM 5 Asian 6 Other Temporary Casework Level: 3

Type of Release: 1 MSR 2 P 3 SP 4 MR Evaluation DUE Date: - -

Sentence Date: - -

Sentence: - - C 1

CARD 2 (DUP 1-46)

Supervision Term: 1 2 3 4 5 6 Other Offense: Committing County:

2. TRANSFER

A. FROM Agent: TO Agent:

B. FROM Office: TO Office:

C. FROM Residence County: TO Residence County:

3. TERMINATE:

Termination Date: - -

Type: 6 Discharge Expiration 7 Discharge Recommend 8 Transfer 9 Other Positive Termination
Out of State
(76)

C 2

Case Action-1
(Revised 03/82)
 - -
Month Day Year
(Date form completed)

END