

INITIAL SECURITY CLASSIFICATION GUIDELINE  
FOR ADULT FEMALES

SEPTEMBER, 1988

Instructions for completing Initial Security Classification  
Guideline Scoresheet

1. Fill in inmate name and DIN as shown on Receiving Blotter.
2. Enter scores for each factor, using Scoring Rules.
3. For "Criminal Behavior-Other Offense" enter the incident scored and the year it was committed. If the incident is a charge without clear disposition, enter "not disposed" or "unclear disposition" after the year.
4. Enter Total Public Risk Score.
5. Circle Guideline Decision.
6. Check Other Characteristics that apply to inmate.
7. If you have checked Other Characteristics, explain and specify the source of the information (e.g. PSR, inmate interview), and the nature of the evidence.
8. If you override the Guideline decision, check the Guideline Override box and specify your reason and the source of information on which your decision is based. If the reason(s) for an override have already been set out under "Other Characteristics", just refer to "Other Characteristics."
9. Check your Security Classification Decision.
10. Sign and date. Signature must be legible.

## Scoring Rules

The Guideline factors are to be evaluated on the basis of evidence presented in the Commitment Paper, the Pre-sentence Report (PSR), warrants, the DCJS Summary Case History (Rap Sheet), sentencing minutes, when available, the inmate interview, and if the inmate has served a prior DOCS term, available Department records of that term. The counselor should realize that an Unusual Incident Report does not automatically translate into disciplinary or behavioral problems and should therefore, investigate to the extent possible the outcome of a UI.

Evidence on any further unofficial documents should be evaluated in relation to official documents and used where appropriate. Inconsistencies should be checked, and where they cannot be resolved the most cautious alternative should be used.

### I - PUBLIC RISK SCORE

#### A. Criminal Behavior

Score instant offense plus the most serious other crime (as determined by the scoring rules) within the ten-year period preceding incarceration on the instant offense or following incarceration on the instant offense. In calculating the ten-year period exclude any time institutionalized. For instance, if the inmate was institutionalized recently for five years, include all crimes within 15 years of present incarceration. Where the length of time incarcerated is unclear, use the length of time sentenced for misdemeanors and the length of time to C.R. for felonies.

Score each crime as follows:

#### Weapon Involvement

Weapon Involved = 1

Weapon Not Involved = 0

Definitions: Weapon = Operable firearm or fire-arm readily made operable with ammunition or with ammunition in offender's possession, knife or bladed

instrument, explosives, incendiaries, dangerous instrument or vehicle (an instrument or vehicle that under circumstance in which it is used or threatened to be used is readily capable of causing physical injury.) For a vehicle to be considered a weapon there must be evidence of a deliberate attempt to use it as weapon. Examples include running a road block and striking or attempting to strike a police officer.

Involved = in possession of the weapon at time of crime.

Forcible Contact

No threat of force = 0

Threat or force that under the circumstances used is ordinarily unlikely to cause physical injury (e.g. slaps, picking pockets, chain snatching) = 1

Physical injury or force that under the circumstances used is readily capable of causing physical injury (e.g. knocking down the victim, touching the victim with a knife or gun) = 2

Serious Physical Injury (Maiming, significant scarring, hospitalization of more than two days, broken or fractured bones) = 3

Death = 4

1. Instant Offense = The crime(s) for which the inmate is currently serving time. If the inmate is a PVNT, the crime for which parole has been revoked is not to be considered as part of the instant offense. If the inmate is violated on probation and is serving time for a new conviction, the crime for which she originally received Probation is not part of the instant offense.

Include in scoring of Instant Offense:

- A) any felony charges within the past five years for which there are no dispositions or unclear or pending dispositions.
- B) any undisposed charges over five years old for which there are outstanding warrants or detainers.

Where the Class of the uncleared charge is not stated assume the lowest possible level; for instance if the charge is stated as Robbery, assume Robbery 3rd. When an arrest charge is used that has an unclear disposition, score one point less than if the arrest charge did have a clear disposition.

Utilizing the description of the unclear case or the point score from Table #1, score the case if it exceeds the instant offense score.

For example, if the instant offense of Robbery 2 scores 1 + 1 for a total of 2 points, and the unclear case of Robbery 1 scores a total of 3 points, the unclear robbery 1 would be scored.

If a pending charge or charge with unclear disposition is used in scoring the instant offense, explain at the bottom of the form.

- 2. Other Offense = The most serious crime (as determined by the Scoring Rules) for which the inmate is not currently serving time.

Include:

- a) Felonies, Misdemeanors, Juvenile Delinquency and Youthful Offender adjudications.
- b) out-of-state and federal convictions where the disposition is one year or more incarceration or five years or more probation.

When the PSR narrative refers to crimes, and there is no information in the Rap Sheet or PSR Criminal History Summary, letters should be sent to the Probation Department to determine the source of the information. The information should be evaluated carefully and scored if appropriate. A copy of the letter should be placed in the Guidance and Counseling folder.

Exclude:

- a) Parole or probation violations that do not involve a new crime
  - b)
    - 1) dismissals,
    - 2) Adjourned in Contemplation of Dismissal (ACD),
    - 3) Violations,
    - 4) Acquittals,
    - 5) not docketed,
    - 6) no true bill
  - c) misdemeanor or felony charges more than 5 years old for which there are no or unclear dispositions (and there are no warrants or detainers)
  - d) sealed cases, no public record
3. Score Weapon Involved conservatively. For instance, if a firearm was displayed in the crime and not recovered assume it was operable and loaded. If a weapon is implied in the commission of the offense, it should be scored unless there is an arrest immediately following the offense and no weapon was discovered.
4. Score sex crimes no less than 2 for Forcible Contact. Score Rape and Sodomy no less than 3.
5. Where the Pre-sentence Report is available, evaluate the description of the crime(s) in the Report, regardless of the charge(s) or conviction(s).

However,

- a) if the case went to trial and the inmate was found innocent of one or more of the original charges, exclude behavior relative to these charges from the evaluation. The score should not exceed the Table I point score for the highest scoring conviction.
- b) if the score for the indictment charge is lower than the score based on the description of the offense use the indictment charge **score.**

Evaluate the most serious acts in the crime, regardless of whether the inmate herself committed the acts. For instance, if there is a weapon used by another party to the crime, score 1 for Weapon Involved. If the crime(s) involved more than one act, score the most serious behavior in all the acts. For instance, if the inmate is serving time for several robberies and a weapon was used in one and in another the victim was seriously injured though no weapon was used, score 1 for Weapon Involved and 3 for Forcible Contact.

When the PSR description of a crime is unavailable:

- a) use the PSR criminal history and DCJS criminal history
- b) score the conviction crime according to the following Table I
- c) When the crime includes several convictions score the most serious one
- d) Where the inmate pleads guilty to one indictment in satisfaction of other indictments, score only the conviction.

6. Youthful Offender and Juvenile Delinquency Adjudications.

- a) Since a YO adjudication follows on a conviction for a felony or misdemeanor, it should be included in the evaluation of an inmate's criminal history where there is a description of the offense or the conviction offense is given. Where there is no description of the offense and no conviction is given, it can only be evaluated if the arrest charge is given. If the arrest charge(s) is given, score for the lowest of the most serious arrest charges.
- b) Where there is a description of a Juvenile Delinquency Adjudication, it should be included in the evaluation. Where there is no description, the Juvenile Adjudication cannot be evaluated.

- c) Juvenile Offender adjudications should be scored in the same manner as Youthful Offender adjudications.
- 7. For the New York State equivalents of out-of-state charges and convictions, use the DCIS Charge Codes Section 13 (pp 136-141) and Section 17 (pp 147-156) including the updates. When the equivalent remains unclear evaluate conservatively.
- 8. Isolated Personal Violence

If the inmate has no other convictions and there is any score for violence in the instant offense and the violence in the instant offense arises out of a personal relationship, score - 2.



TABLE #1

## CRIMINAL BEHAVIOR SCORES WHERE CRIME DESCRIPTION IS UNAVAILABLE

Aggravated Sexual Abuse	3	Menacing	1
Aggravated Assault upon a Police Officer or Peace Officer	4	Murder 1st	5
		Murder 2nd	5
Arson 1st	4	Rape 1st	4
Arson 2nd	3	Rape 2nd	3
		Rape 3rd	3
Assault 1st	4	Reckless Endangerment 1st.	2
Assault 2nd	3	Reckless Endangerment 2nd	1
Assault 3rd	2	Riot 1st	1
Burglary 1st	3	Robbery 1st	4
Burglary 2nd	2	Robbery 2nd	3
		Robbery 3rd	2
Coercion 1st	1	Sexual Abuse 1st	3
Criminally Negligent Homicide	3	Sexual Abuse 2nd	2
		Sexual Abuse 3rd	2
Vehicular Manslaughter 1st.	3	Sexual Misconduct	2
Vehicular Manslaughter 2nd.	3	Sodomy 1st	4
		Sodomy 2nd	3
Criminal Possession of Weapon 1st	4	Sodomy 3rd	3
Criminal Possession of Weapon 2nd	3	Substitution of Children 1st	1
Criminal Possession of Weapon 3rd	2	Unlawful Imprisonment 1st	2
Criminal Possession of Weapon 4th	1	Unlawful Imprisonment 2nd	1
Criminal Trespass 1st	1		
Kidnapping 1st	4		
Kidnapping 2nd	3		
Manslaughter 1st	4		
Manslaughter 2nd	4		

Conspiracy, facilitation and solicitation of any of these crimes score 1. Attempt at any of these crimes score 1 less than the object crime. All other crimes score 0.

B. Time to Earliest Possible Release

	Score
0-12 months	= 1
13-24 "	= 2
25-36 "	= 3
37-48 "	= 4
49-60 "	= 5
over 60 "	= 6

1. Use the controlling court-set minimum, the MPI or the CR, whichever is least.
2. The following time characteristics require overrides:
  - a) A Time Score greater than 2 eliminates an inmate from camp.
  - b) Where the Time Score is greater than 4 the inmate is automatically higher than Medium B.
  - c) Where the Time Score is greater than three, the inmate is automatically higher than minimum.
  - d) If the PED date is over 60 months, the inmate is automatically classified maximum.
  - e) If the time between the minimum and the maximum is five years or greater (excluding maximum life sentences), the inmate should be classified no lower than Medium A. If the time between the minimum and the maximum is ten years or greater, (excluding maximum life sentences) the inmate should be classified Maximum. Jail time credit of more than one year may be a reason to reduce the security classification.
  - f) The maximum score for Time to Earliest Release is 6.
  - g) If the minimum sentence is 15 or more years, the inmate is automatically classified Maximum A.

3. If there is a felony charge for which there is no disposition or an unclear disposition within the past five years, or if there is any older undisposed felony or misdemeanor charge for which there is an outstanding warrant or detainer, score as follows:

Class	A	Felony	4	points
"	B	"	3	"
"	C	"	2	"
"	D	"	1	"
"	E	"	0	"

If the class of the felony is unclear assume the lowest possible level (for instance, if the charge is listed as Robbery, assume it is Robbery 3rd, which is a Class D Felony, and score 1). Enter the additional score in the space for "Additional Score for (Possible) Consecutive Time." Add this score to the Time Score for the instant offense and enter the total in the Time Score box. If there is more than one such felony charge or consecutive sentence, score only the most serious case (the one with the highest score).

4. When an inmate owes time from previous incarceration due to a parole violation, this time must be added on to the maximum expiration date on her new sentence. Determine the amount of time owed, add this time to the maximum expiration date of the inmate's new sentence, and compute the inmate's revised C.R. date by subtracting one-third of the total sentence from the maximum expiration date. Where the time owed is unknown, assume that the date the new offence was committed is the delinquent date. The revised C.R. date and maximum expiration date may be used for a sentence structure override.

Any unclear parole violations for unique violations such as Rockefeller Law-drug cases in which the inmate is paroled on a previous life sentence and owes "life" after being violated or where there is no clear disposition should be dealt with conservatively. In these cases efforts should be made to contact the Institutional Senior Parole Officer for clarification.

C. Escape, Abscondance, Bail Jump and AWOL

Include:

- a) Escapes and attempted escapes from secure facilities and from police custody while on a secure facility count regardless of how long ago they occurred.

It is difficult to determine the point in time after arrest that a person goes on a secure facility count. For the sake of classification, once an inmate is taken into a police precinct or stationhouse, she will be considered as on a secure facility count. If evidence indicates she escaped from such a setting, she should be scored 12 points.

Treat as abscondance:

Escape 3rd; except where a description indicates an escape or attempted escape from a secure facility and from police custody on a secure facility count.

Escape from a facility that is not secure (examples of non-secure facilities are NACC/DACC/ODAS facilities, except Woodbourne C. F.)

Escape from police custody while not on a facility count (e.g. fleeing from custody at time of arrest).

- b) all abscondances, bail jumps, AWOLs within the ten-year period preceding incarceration on the instant offense (excluding any time incarcerated) or following incarceration on the instant offense. Abscondance refers to a concerted attempt to flee criminal justice supervision.

A bench warrant is to be considered evidence of bail jump or ROR abscondance only if there is further specific evidence of the inmate's failure to make a court appearance due to her own fault.

Failure to report for Parole or probation should not be scored as abscondance, unless there is specific evidence supporting an attempt to flee criminal justice supervision.

When there is a description of the escape in the PSR, evaluate the description regardless of the charges and dispositions, with the exceptions of the following: a) the inmate was not indicted for escape b) the inmate went to trial and was found innocent of escape charges c) charges were dismissed.

When there is no description of the escape in the P-SR, score as follows: a) an arrest for Escape 1st, Escape 2nd or Escape of unspecified degree with unclear or no disposition, score 12 points b) where an inmate pleads guilty to one charge in satisfaction of several charges that include Escape 1st, Escape 2nd or Escape of unspecified degree do not score the escape, however it should be evaluated carefully in relation to the rest of the inmate's criminal history (i.e., a history of bail jumping, abscondance etc.) c) an inmate with an arrest for Escape 3rd that has not been dismissed should not be placed in minimum security.

If inmate is found guilty of escape or attempted escape as a result of prison disciplinary hearing, score 12 points.

Any evidence or mention of escape or attempted escape should be investigated to the fullest extent to determine the risk involved for classification purposes. For example if reference is made to escape or attempted escape on a Custodial Transfer Form, yet no details are available, contact should be made with the jurisdiction responsible for providing the information in an effort to determine exactly what was involved. A letter should be sent to the agency requesting that information concerning the charge, disposition and details of the event(s) be provided. A copy of the letter should be placed in the Guidance and Counseling folder.

	Score
1. History of pre-trial release, probation or parole without abscondance or bail jump	= 0
2. No prior incarcerations and no history of probation release	= 0
3. Prior incarcerations, but no history of probation, parole, temporary release or pre-trial release	= 1
4. a) one abscondance from probation, parole, ROR or DfY (abscondance refers to a concerted attempt to flee criminal justice supervision. For instance an inmate who left a DfY facility and returned of her own volition is not to be scored as absconding),	
b) one bail jump or military AWOL	= 1
5. Two or more abscondances, bail jumps or military AWOL.	= 2
6. Two or more incidents as specified in "5" and if any of the following apply :	= 3
a) The most recent incident took place within 5 yrs. of the present.	
b) the inmate was 30 or over when the most recent incident occurred.	
c) the inmate is currently under 30.	
d) inmate failed to turn herself in	
7. One Temporary Release Abscondance based on criminal or departmental charges.	= 4
8. One or more incidents as specified in "7" and if any of the following apply	= 5

- a) The most recent incident took place within five yrs. of the present.
  - b) the inmate was 30 or over when the most recent incident occurred.
  - c) the inmate is currently under 30
  - d) the inmate failed to turn herself in.
9. Escape or Attempted escape (as defined above in C.a.) = 12
10. Subtract 1 point if inmate completes pre-trial release on the instant offense without absconding or being convicted for a crime committed while on pre-trial release.

## OTHER CHARACTERISTICS ON THE SCORE-SHEET

### Introduction

If there is any evidence of any of the following characteristics, the characteristic(s) should be checked under "Other Characteristics" on the score sheet. For characteristics that relate to criminal behavior or criminal history, evidence consists of official material, such as Commitment Paper, PSR, Inmate Record Card and warrants. Evidence in any further unofficial documents should be evaluated in relation to official documents and used where appropriate. For the following characteristics evidence also consists of inmate interviews and information from other staff.

Family/Other Street Circumstances  
Psychological Instability  
Inmate Negative Attitude  
Suicidal  
Vulnerability  
Enemy  
Homosexual

Inconsistencies should be resolved where possible; where not possible the most cautious alternative should be chosen.

### Notoriety of Crime(s) or Criminal

An inmate with this characteristic should be evaluated carefully before being classified Minimum.

Notoriety refers to wide-spread public attention.

The following characteristics indicate notoriety:

1. Crimes committed by or against persons who are public figures.
2. Multiple bank robberies, multiple or bizarre homicides, sex crimes that are particularly violent or against the elderly or children, and similar striking crimes.

### Sophistication of Crime(s) or Criminal

An inmate with this characteristic should not be classified Minimum.



This characteristic includes participation in large-scale criminal operations. The following characteristics indicate sophistication of crime(s) or criminal.

- a. High level narcotics trafficking or conspiracy in narcotics trafficking (large volume narcotics - kiloweight or more) or money;
- b. Loan shark operations;
- c. Hijacking;
- d. Criminal usury; strong arm operations, collections, and conspiracy to commit usury;
- e. Assassination or attempted assassination for hire;
- f. Large scale robberies (banks, jewelry, gold, armored cars, payrolls);
- g. Dealing in or receiving of stolen property as a business;
- h. Union racketeering, coercion, strong arm activities, etc.
- i. Convictions emanating from involvement in the carting industries (trash and garbage removal);
- j. Smuggling;
- k. Securities theft;
- l. Arson and destruction of private property where profit was the motive;
- m. Organized prostitution rings (including interstate);
- n. Gambling rings;
- o. Large scale dealing in pornography.

#### Pattern of Impulsive Serious Violence

An inmate whose criminal behavior includes a pattern (two or more incidents) of impulsive serious violence is automatically Maximum.

As with callous and vicious violence, this characteristic should be defined narrowly. An example would be the inmate who has a pattern of causing serious physical injury while drunk.

#### Pattern of Serious Callous Violence

An inmate whose criminal behavior shows this characteristic is automatically Maximum.

A pattern (two or more incidents) of serious callous violence is an important but difficult characteristic to

determine, because it requires establishing from the PSR the inmate's state of mind prior to and at the time of the crime. Only obvious cases, such as the professional 'hit man', should be characterized this way.

#### Violence against authorities

An inmate with this characteristic should not be considered for Minimum or Medium B.

Violence against authorities refers primarily to criminal justice authorities. A single charge for resisting arrest that does not include a description of the incident should not in itself be taken as evidence of violence against authorities.

#### Pattern of Vicious Serious Violence

An inmate whose criminal behavior includes non-domestic vicious violence is automatically Maximum.

Like callous violence, vicious violence is difficult to determine, because it is relative and because it requires establishing the inmate's state of mind at the time of the crime from the PSR. Only obvious cases, such as causing serious physical injury to older people after successfully robbing them, should be characterized this way.

#### Involvement in Crime(s) was Minimal

Minimal involvement in crime is a reason for overriding guideline to lower security.

This characteristic should be defined narrowly. For instance an inmate who drove a getaway car in a robbery or who coerced another to commit a robbery was fully involved in the crime. Cases of minimal involvement are inmates who engaged in action they believed probably would aid in the commission of a crime without the specific intent to aid in the commitment of a crime, for instance the legitimate salesman who sells a gun knowing the buyer intends to kill someone.

#### Arson

##### A. Not for Money or Revenge

This characteristic refers to inmates whose record indicates a pattern of setting fires for the sake of

setting fires (what are commonly known as firebugs). Such an inmate should be classified Medium A or higher.

B. For Money or Revenge

Should not be classified Minimum.

Sex Crime(s)

Any evidence of sex crimes should be noted. Inmates with any evidence of sex crimes for which they have not been acquitted should not be classified Minimum.

Sentence Structure

Where the inmate has already served much of her time or where she is unlikely to be released at her earliest possible release date, her Public Risk may have to be adjusted.

Group Membership

An inmate with this characteristic should be carefully evaluated before classifying less than Maximum.

Membership in groups with characteristics suggesting possible Central Monitoring Case (CMC) designation should be noted.

Nomad

An inmate who, due to a pattern of moving between cities or states within the past ten years, would be difficult to find if she were to escape or abscond from supervision. An inmate with this characteristic should be classified no lower than medium.

An example would be an inmate who has been arrested and/or convicted in various cities or states within the past ten years.

Another example would be an inmate who has more than two addresses in different cities and no stable community ties during this period. Out-of-state residence in itself does not warrant a nomad designation, nor does being homeless. The absence of P-SR information con-

cerning residence does not in itself make an inmate nomadic; there must be positive evidence in the record of a nomadic lifestyle.

#### Family Court Protection Warrant

An inmate with a Family Court Protection Warrant should not be classified Minimum.

#### Family or other Street Circumstances that Increase Public or Institutional Risk.

In interviewing inmates it should be determined if they have family or other outside problems that would tend to make them higher Public or Institutional Risks.

#### Aggressive Homosexual

An inmate with this characteristic is Maximum.

An inmate who has any evidence of aggressive sodomy or sexual abuse involving adult females should be checked.

#### Overt Homosexual

An inmate who is an overt homosexual should be carefully evaluated before classifying below Maximum.

An overt homosexual is one who makes a public point of her homosexuality, for instance by her dress or manner. An inmate who states in an interview that she is a homosexual is not for that alone to be considered an overt homosexual.

#### Vulnerability

An inmate who is vulnerable should be carefully evaluated before classifying below Maximum.

The following characteristics suggest victim-prone inmates and require interviewing of the inmate:

- a) Prior victimization in jail or prison
- b) Prior history of mental illness
- c) Young, non-big city resident
- d) Sex crimes or heinous crimes
- e) Enemies
- f) Criminal justice employee
- g) Mentally retarded
- h) Physically handicapped
- i) Informant

## Suicidal

A study of inmates in DOCS shows there are many more incidents of attempted self-destruction and self-mutilation than are officially recorded, so that counselors need to interview carefully on this topic.

Any evidence of suicidal tendencies should be indicated, including suicidal threats and gestures. While it is true that talk of suicide or attempts may be attention-getting and not aimed at successful suicide, they may still be symptoms of serious problems, because the inmate has violated a very powerful taboo against self-mutilation and because experience shows that suicidal tendencies are in fact associated with serious problems.

Inmates who have a history of affective mental disorder need to be carefully evaluated as potentially suicidal. The severity, persistence and recency of their disorder should be considered.

Evidence of suicidal tendencies does not in itself influence Public or Institutional Risk; it can be labeled Self Risk. Nor do suicidal tendencies determine security classification. An inmate who has a recent suicide attempt on her record must be sent to a facility that has at least the mental hygiene level prescribed by OMH staff.

## Psychological Instability

In general psychological instability is not a basis for security classification. However, inmates with a history of cognitive disorder must be evaluated carefully as possible security risks. Severity, recency and persistence of the disorder should be considered.

The inmate whose behavior is bizarre or withdrawn presents an institutional risk because of the tension she provokes among other inmates. She should be sent to a facility that has at least the Mental Hygiene level prescribed by OMH staff (See pages V-1, V-2 of the Classification Manual for Mental Hygiene levels.)

## Inmate Negative Attitude at Classification

An inmate with this characteristic should be evaluated carefully before classifying her less than Maximum.

Staff agree that an inmate's attitude is the most important determinant of his prison behavior. However, it is also agreed that this attitude cannot be reliably determined until the inmate has been in general population for a while and staff know her. Therefore, only inmates who make clear their intentions to be assaultive or disruptive should be checked.

### Immigration and Naturalization Service Cases

#### Cases with an INS decision

1) Inmates who have been issued an INS Order to Show Cause or an INS Detainer should be classified no lower than Medium A (OS).

2) If INS indicates that an inmate is subject to deportation or that an Order to Show Cause will follow, the inmate should be classified no lower than Medium A (OS).

3) Cases with other INS decisions should be classified without regard to their INS status.

#### Cases without an INS decision

1) Legal Aliens should be classified no lower than Medium A (OS).

2) Illegal aliens should be classified no lower than Medium A (05)

3) Foreign-born inmates whose alien status is questionable should be classified no lower than Medium A (05).

### Mariels

Mariels should be classified no lower than 03.

### Riot Leader

A riot leader is automatically Maximum.

A riot should be carefully distinguished from a demonstration.

### Enemies

If the inmate has enemies, check the box. It is unnecessary to give specifics, as they appear in the Separate System.

Other

Specify other characteristics significant for security classification. Include disciplinary overrides. Inmates with a pattern of assaultive misbehavior reports during Reception/Classification should be Maximum.





WORKING PAPER XVI

INITIAL SECURITY CLASSIFICATION GUIDELINE  
FOR FEMALES

Jack Alexander  
with the assistance of Elaine Humphrey  
September, 1988

NY State Department of Correctional Services

## Executive Summary

This paper presents the Initial Security Classification Guideline for Females and the research on which the Guideline is based. While modelled on the guidelines for males, the guideline for females has significant differences that arise out of the research on female inmates.

Where the guidelines for males predict an inmate's disciplinary adjustment in prison, the guideline for females does not attempt to do so. Project research shows that serious female disciplinary problems are so infrequent that they cannot be predicted efficiently at initial classification.

Where the guideline for males includes an inmate's stability on the street to determine the Public Risk (a combination of the likelihood the inmate will escape and the likelihood that she would be dangerous to the public were she to escape), the guideline for females does not. Research reported in the paper shows that to do so would produce lower risk scores for older inmates and whites. In the absence of strong evidence to support the predictive validity of these factors, such results are unacceptable. Finally, the Guideline for females includes a new factor - isolated personal violence. As with the guideline for males, the guideline for females measures the degree of violence in the inmate's criminal record. However if the violence is an isolated act and arises from a personal relationship, such as a lover's quarrel, the violence score is reduced, on the grounds that the inmate is not a danger to the public at large. Ten per cent of the 200 case sample fell in this category.

The Initial Security Classification Guideline for Females is simpler than the guidelines for males, which will reduce the possibility of errors and will increase classification efficiency. Finally, a simulation of the Guideline shows that it would classify about 64% Minimum, 31% Medium, 6% Maximum. This result is significant, in view of the fact that the Department has no minimum security space for females.

## ACKNOWLEDGEMENTS

This project has operated with the assistance of the National Institute of Corrections, Grant GM-8. Elaine Humphrey, Program Research Specialist II in the Office of Program Planning, Research & Evaluation, designed the statistical sample and data collection instrument, and she collected the data with the assistance of Teresa Knapp-David, Classification Analyst at Central Office, and Ed Tully, Classification Counselor at Bedford Hills. Bill Chapman, Program Research Specialist III in the Office of Program Planning, Research and Evaluation, provided major support in the collection and analysis of data and the design of the Guideline. Dick Martin, Assistant Director of Management Information Systems, provided assistance in working with automated data. Bruce Frederick and James Nelson of the Office of Research & Evaluation at the Division of Criminal Justice Services gave valuable advice on statistical analysis. Herminia Cerone transformed the many revisions of this paper into a readable result.

## INTRODUCTION

The purpose of the Female Security Classification Guidelines Project is to design two instruments, one for the initial security classification of females and another for the semi-annual security reclassification for females. These instruments, if used properly and monitored well, will provide the Department with female security classification decisions that are consistent and fully explained. They will also provide management tools for matching inmates with current security resources and planning future security resources. Finally these guidelines can be useful tools for supervising classification staff and for counseling inmates.

This report is the third in a series of four reports on the Female Security Classification Guidelines. (It is also the sixteenth in the series of reports produced by the Security Classification Project.) The first report (Humphrey, 1987a) reviewed the published literature on the adjustment of female inmates to prison, and the second (Humphrey, 1987b) presented the views of staff and inmates in the New York State prison system on female security classification.

The conclusions of the review of published literature are:

- 1) female inmates have lower rates of serious disciplinary infractions than male inmates.
- 2) prison conditions are themselves important influences on inmate disciplinary adjustment.
- 3) the only inmate characteristic consistently, though weakly, related to disciplinary adjustment is age. Older female inmates have slightly lower infraction rates than younger female inmates.
- 4) escape has been studied too rarely to draw reliable conclusions.
- 5) suicide and suicide attempts have been studied too rarely to draw reliable conclusions, though there is some evidence that female inmates are more recidivistic than men.
- 6) female inmates pose less of a risk to the public than male inmates, because they have lower rates of violent crime and of recidivism.

The conclusions of the report on staff and inmate interviews are:

1. staff agree that female inmates are more troublesome, but less violent and less united against staff than male inmates.
2. staff and inmates agree that younger inmates and mentally ill inmates are more likely to cause trouble.
3. inmates agree that positive family contacts ease the adjustment to prison and negative family contacts make adjustment to prison more difficult.

This report presents a statistical analysis of New York State female prisoners and it constructs an Initial Security Classification Guideline for Females. (The fourth paper will present the Female Security Reclassification Guideline.) A random stratified sample of 200 female inmates released in 1986 was selected and data was collected from their folders and their disciplinary records. In addition, where data was already available on all 1986 releases, the analysis includes a comparison of male (13,964) and female (615) inmates.

There are two ways a statistical analysis of a sample of inmate cases can help in the job of constructing a security classification guideline.

- 1) A statistical analysis can help identify predictors of inmate disciplinary adjustment.
- 2) A statistical analysis can be used to try out different possible guidelines and compare their results.

While any serious attempt to create a security classification instrument must include a statistical analysis of possible inmate adjustment predictors, it must be recognized that such an analysis will have limitations. First, limitations arise from the fact that inmates are not placed randomly. Consider the fact that inmates who escape are disproportionately white, have short sentences and have been committed for burglary. Does that mean we should lock up inmates with these characteristics tighter and reduce the security of the other inmates? Of course not. Most escapes are from reduced security prisons, and we tend to place shorter-term, less violent inmates in these prisons. These prisons are in rural, white areas where black inmates would be

easy to apprehend. To do an adequate study of what kinds of inmates are most likely to escape, we would need to place inmates randomly at different security levels and observe the results. This is an experiment that, fortunately, we are unlikely to make.

The same argument applies to disciplinary adjustment. We place inmates in terms of their disciplinary behavior. If an inmate's disciplinary adjustment is poor, we place the inmate at a high level of security, thereby increasing the constraint on the inmate. We would have to distribute inmates randomly with respect to their disciplinary adjustment in order to study predictors. This is another experiment we are unlikely to conduct. Thus we find ourselves in the position of the Indian tribe that prayed every morning for the sun to rise. Their prayers appeared to work, and it was certainly not worth experimenting to see what would happen if they didn't pray.

In the 1960s and 1970s various quasi-experimental and statistical techniques were developed to get around the disadvantages of non-random assignment. These techniques were developed particularly to evaluate job training and placement programs, but they were used in criminal justice as well. In recent years it has been determined that these techniques do not work (LaLonde & Maynard, 1987).

The second reason a statistical analysis of predictors has limited value is that classification may influence behavior as much as it predicts behavior. For instance, if we tell inmates that their future placement will be determined by their present behavior and our words match our deeds, they may behave well in order to get a favorable placement and remain well-behaved in order to keep that placement. A consistent, clear guideline based on behavior may influence inmates to better, more consistent behavior, regardless of what predictive studies of behavior conducted before implementation of the Guideline tell us.

The third reason a statistical analysis of predictors has limitations is that it is difficult to predict rare events, and the behavior we wish to predict is very rare. Female inmates in New York prisons rarely attempt to escape and they rarely become such serious discipline problems that they need to be transferred to another prison.

For these three reasons we must approach our statistical study rigorously. It can add to our intuitive understanding but only if we keep its limitations in mind.

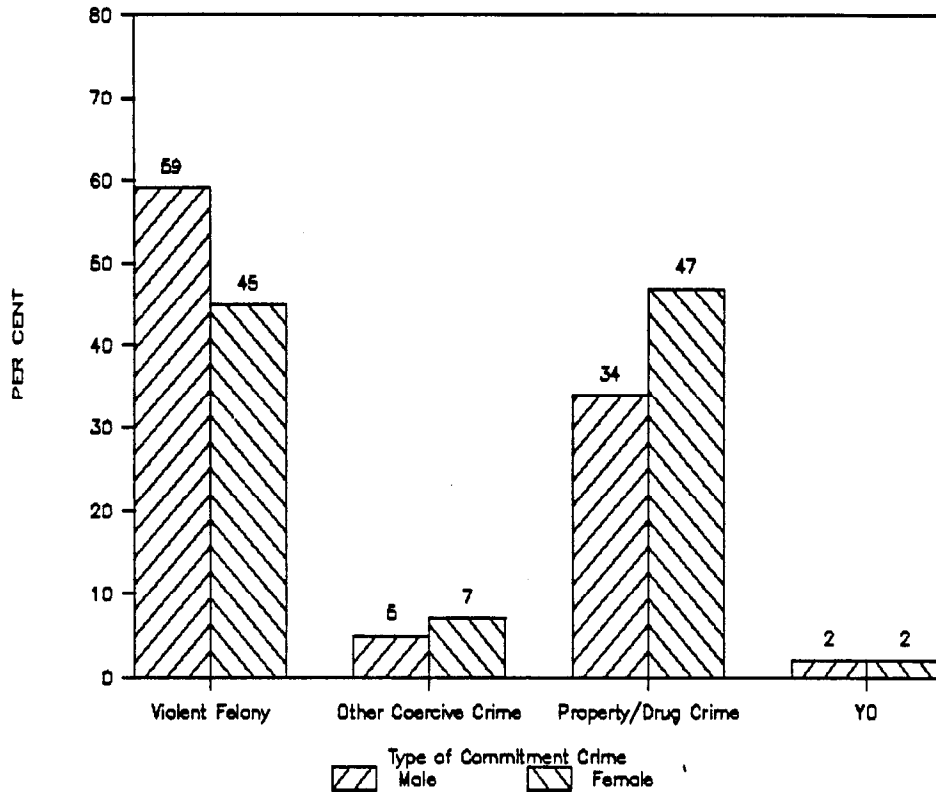
II  
CHARACTERISTICS OF FEMALE INMATES

In this section we describe the characteristics of female inmates. Where information is available, we compare them to male inmates.

A - COMMITMENT OFFENSE

**COMMITMENT OFFENSE**

TABLE 1



# FELONY CLASS OF COMMITMENT CRIME

TABLE II

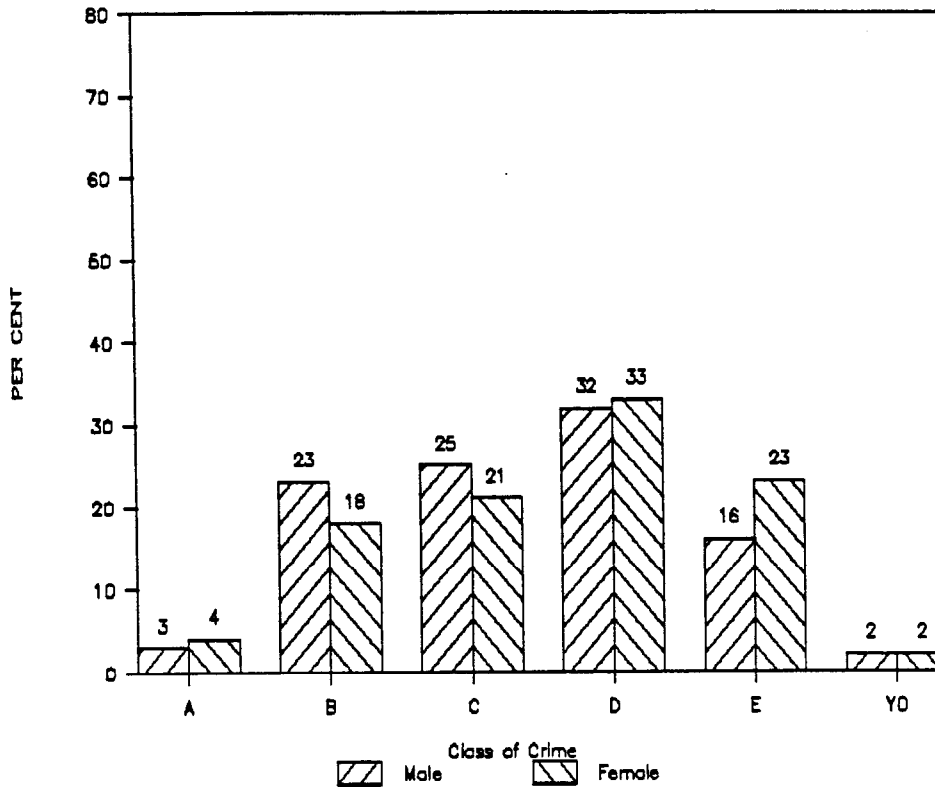


Table I shows that 14% less of the females than of the males were committed to prison for serious violent felonies and that 13% more of the females than the males were committed for non-violent felonies. Table II shows that a larger percentage of the females than the males were committed for lower classes of crimes. (New York State felonies are grouped into five classes, and the permissible sentence length decreases from Class A to Class E.) The exception, A Class felonies, is misleading, because it includes violent crimes, such as Murder, and drug crimes. The Class A crimes of females are disproportionately drug crimes.

Whether we consider the violence or the class of the commitment crime, the conclusion is similar; females were convicted for less violent and less severe crimes than males.

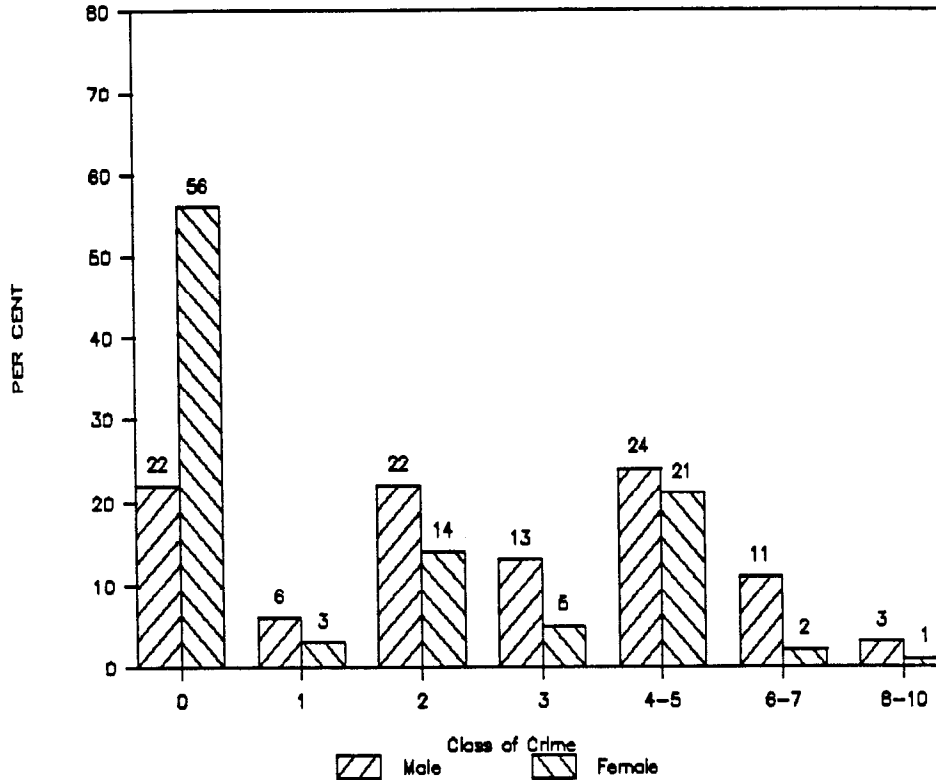
Differences in convictions may reflect differences in court treatment of males and females. Therefore, in Table III we look beyond the conviction. We evaluated the description of the instant offense and the other most violent crime in each inmate's



Pre-sentence Report. The presence of a weapon and the degree of injury caused were measured giving a score from 0 to 10. The same was done on a random sample of 200 young males committed to the Department in the first half of 1980 and a random sample of 300 male inmates committed to the Department in 1978. Table III shows that, according to this measure, the male criminal pattern is twice as violent as the female pattern.

### MEASURE OF CRIMINAL VIOLENCE

TABLE III



Average Criminal Violence Score  
 Male 2.9                  Female 1.5

There has been much discussion of the distinctive characteristics of female crimes, and in particular the extent to which females commit their crimes independently or in association with males and the extent to which female violence is predatory or arises out of close personal relations. The only data we have on these questions come from our 200 case sample of 1986 female releases.

TABLE IV  
NUMBER OF ACCOMPLICES IN COMMITMENT OFFENSE  
FEMALE 1986 RELEASE SAMPLE

	FREQUENCY	PER CENT
NUMBER OF ACCOMPLICES		
INONE	82	41%
IONE	74	37%
ITWO	26	13%
ITHREE	7	4%
IFOUR OR MORE	9	5%
ITOTAL	198	100%

TABLE V  
SEX OF ACCOMPLICES IN COMMITMENT OFFENSE  
FEMALE 1986 RELEASE SAMPLE

	FREQUENCY	PER CENT
ISEX OF ACCOMPLICE		
IFEMALE	25	13%
IMALE	67	34%
IFEMALE AND MALE	22	11%
IND ACCOMPLICES	82	42%
ITOTAL	196	100%

Tables IV and V show that 59% of the females had one or more accomplices, and of that 59%, 78% had male accomplices. Thus 66% of the females committed their commitment offenses without male accomplices.

Concerning the offender-victim relation, our data again comes from the 200 case sample.

TABLE VI  
VICTIM-OFFENDER RELATIONSHIP IN COMMITMENT OFFENSE  
FEMALE 1986 RELEASE SAMPLE

	FREQUENCY	PER CENT
IVICTIM-OFFENDER RELATIONSHIP		
ISPOUSE OR INTIMATE	10	5%
IFAMILY MEMBER	5	3%
IFRIEND	15	8%
IACQUAINTANCE	16	8%
ISTRANGER	38	19%
ICUSTOMER OR BUSINESS RELATIONSHIP	1	1%
INON-VIOLENT OFFENSE	114	57%
ITOTAL	199	100%

TABLE VII  
 VICTIM-OFFENDER INTERACTION IN COMMITMENT OFFENSE  
 FEMALE 1986 RELEASE SAMPLE

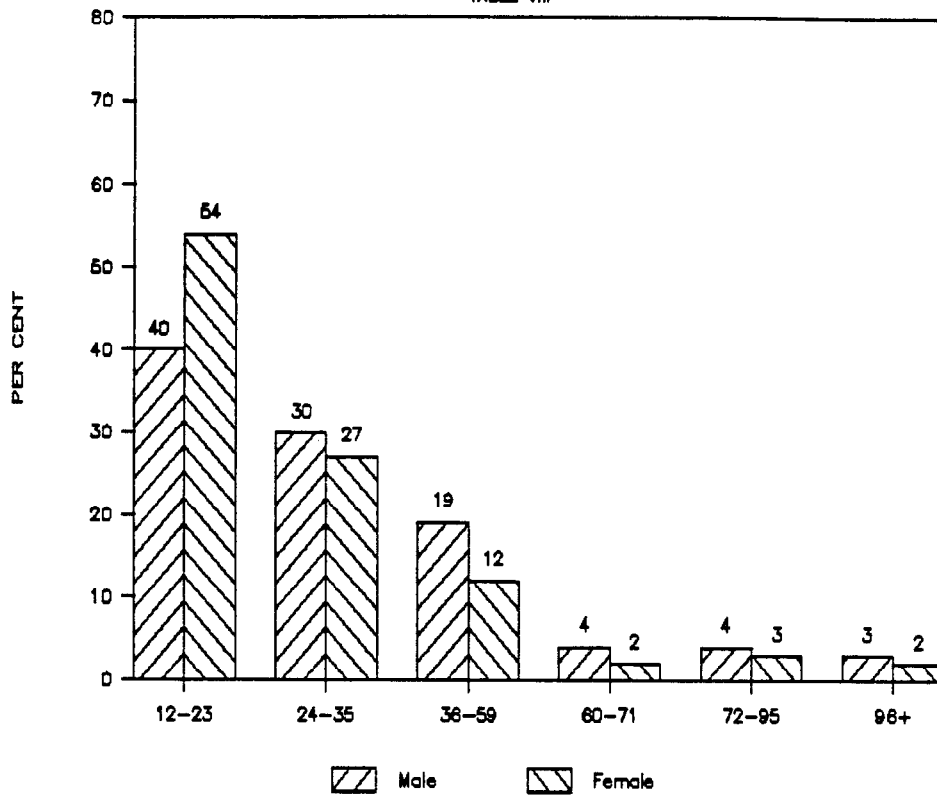
	FREQUENCY	PER CENT
VICTIM-OFFENDER INTERACTION		
OFFENSE, NOT THE RESULT OF INTERPERSONAL CONFLICT	53	27%
OFFENSE, THE RESULT OF INTERPERSONAL CONFLICT	30	15%
NON-VIOLENT OFFENSE	115	58%
TOTAL	198	100%

Tables VI and VII show that in 15% of the cases there was a close personal relationship between offender and victim, and that in 100% of those cases the commitment crime arose directly out of those close personal relations. Since there is no comparable data on NY State male inmates, we do not know if a larger per cent of female than males are committed for violent offenses arising out of close personal relationships. These data on the personal context of crimes are consistent with the published information reviewed in Working Paper XIV (Humphrey, 1987a).

Tables VIII and IX show that the minimum and maximum sentences for female inmates are shorter than for males, which is consistent with the finding that their crimes are less severe.

# LENGTH OF MINIMUM SENTENCE IN MONTHS

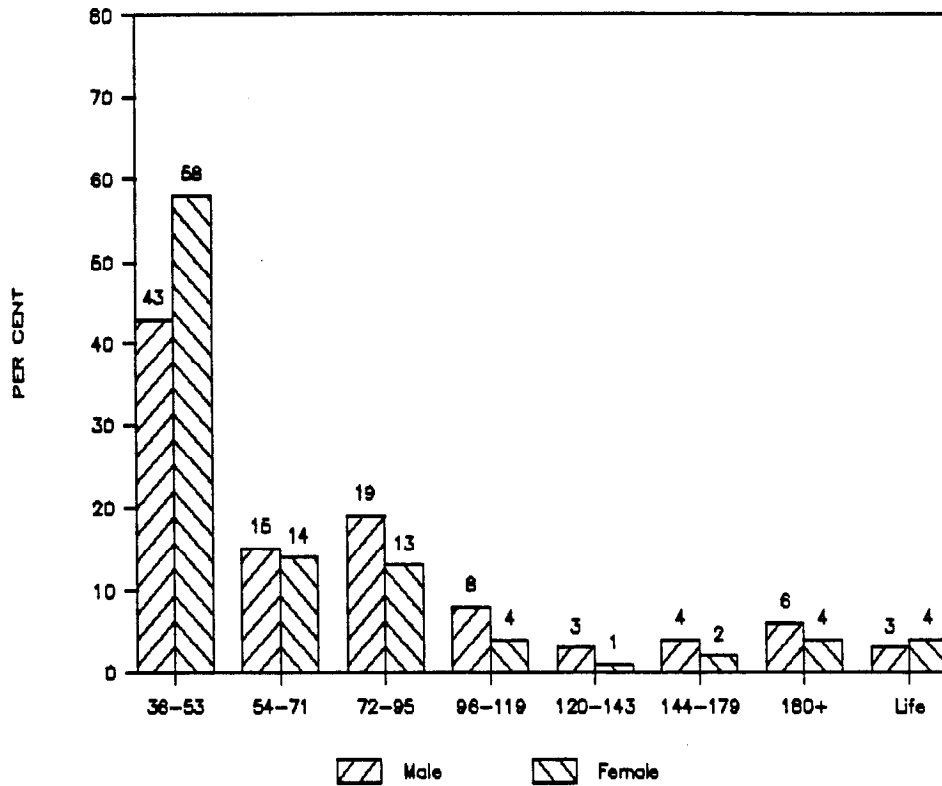
TABLE VIII



Average Length of Minimum Sentence in Months  
 Male 28                      Female 24

# LENGTH OF MAXIMUM SENTENCE IN MONTHS

TABLE IX



Average length of Maximum Sentence in  
Months (excluding Life Sentences)

Male 67

Female 56

Female inmates have a larger per cent than males of the longest maximum sentences (life) and a smaller per cent than males of the longest minimum sentences. This apparent inconsistency is due to the fact that females have fewer violent and more non-violent Class A felony offenses than males, and while the maximum sentence for A felonies is always Life, the minimum sentence is much less for non-violent than violent offenses.

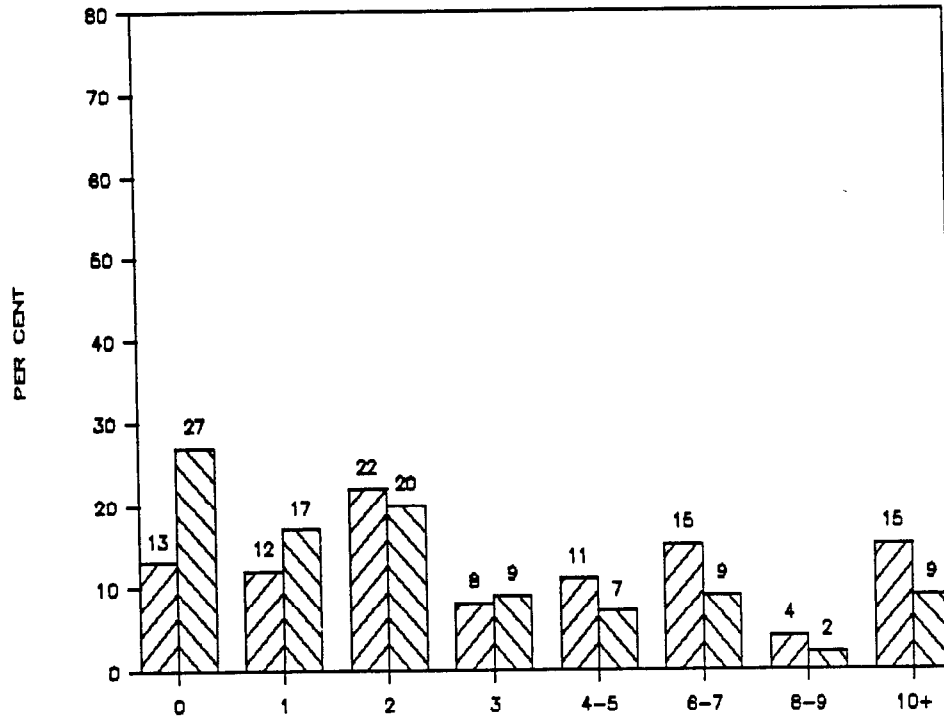
In conclusion, female commitment crimes are less violent and less severe and they receive shorter sentences than men. A significant percentage of their crimes arise out of personal relationships (15% of all commitment offenses and 31% of all violent commitment offenses.)

## B - CRIMINAL HISTORY

As with the instant offense, female criminal histories are less severe than male criminal histories.

# PRIOR FELONY ARRESTS

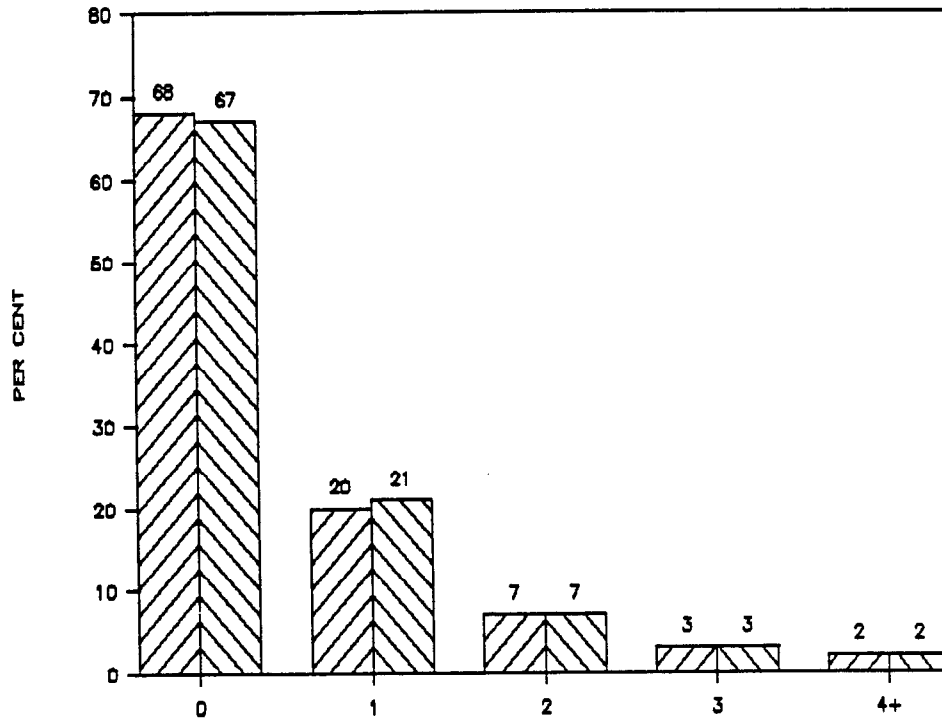
TABLE XI



Average Number of Prior Felony Arrests  
 Male 4.4                      Female 2.9

# PRIOR FELONY CONVICTIONS

TABLE XII



Average Number of Prior Felony Convictions  
Male .53                      Female .56

## C - PRISON EXPERIENCE

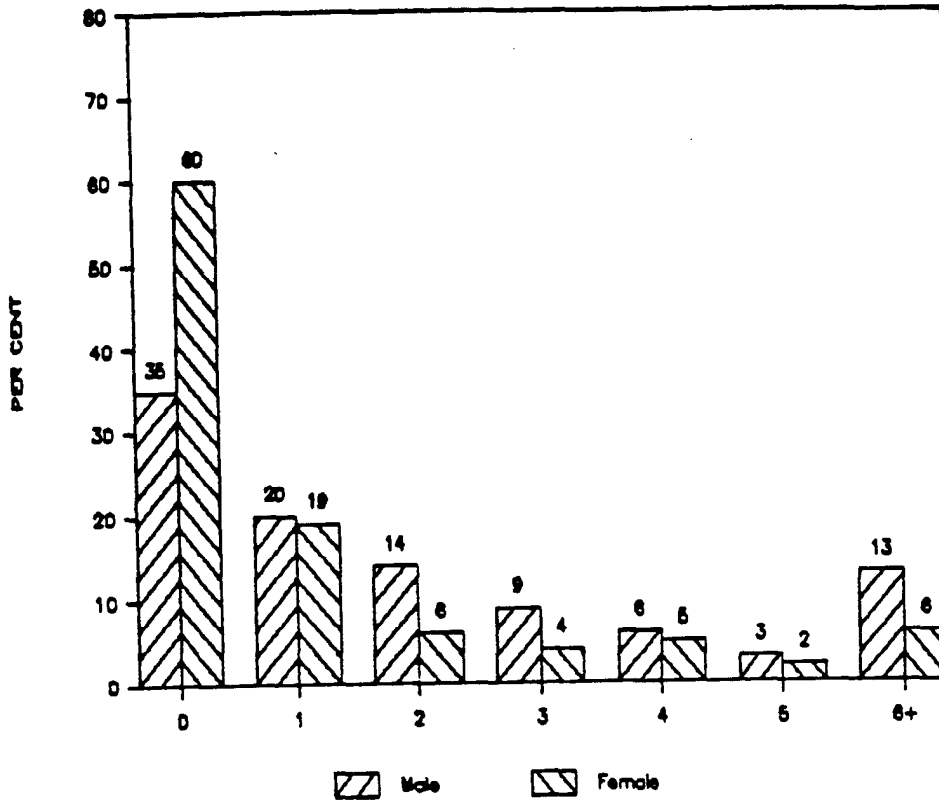
How long do female inmates stay in prison and how well do they adjust?





# # OF MISBEHAVIOR REPORTS IN SIX MONTHS

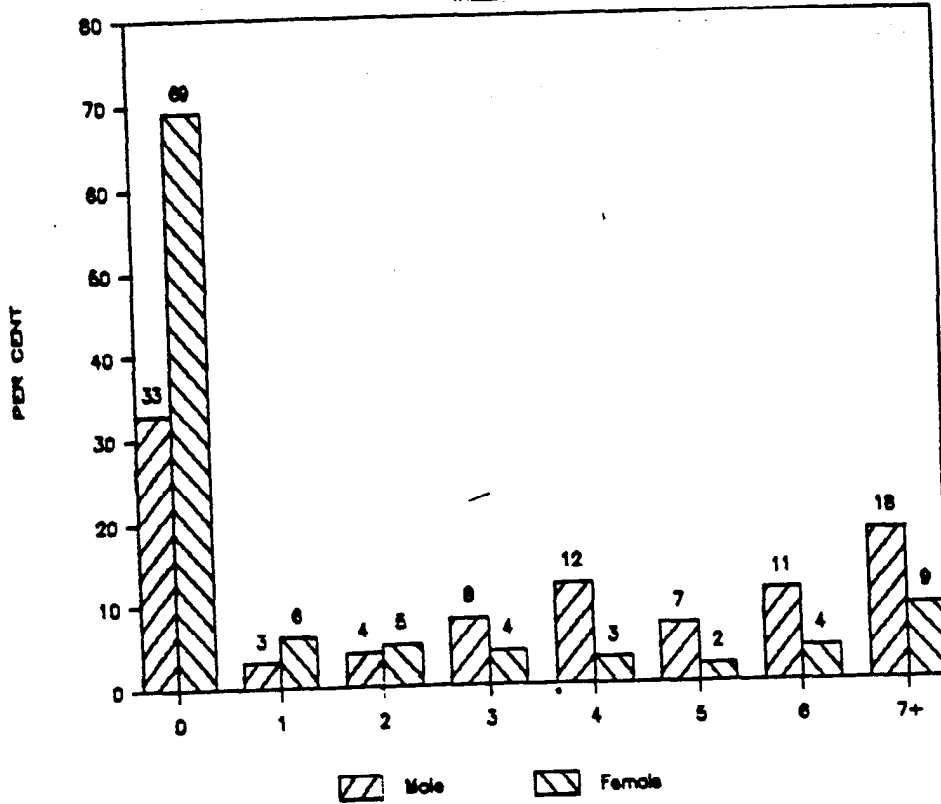
TABLE XIV



Average Number of Reports  
 Male 1.9    Female 1.1

## AVE. SCORE FOR 3 MOST SERIOUS MISBEHAV.

TABLE XV



Average Score  
 Male 3.4    Female 1.4

Females average half as many misbehavior reports as males. If we include the severity as well as the frequency of the misbehavior reports, females score half as high as males.

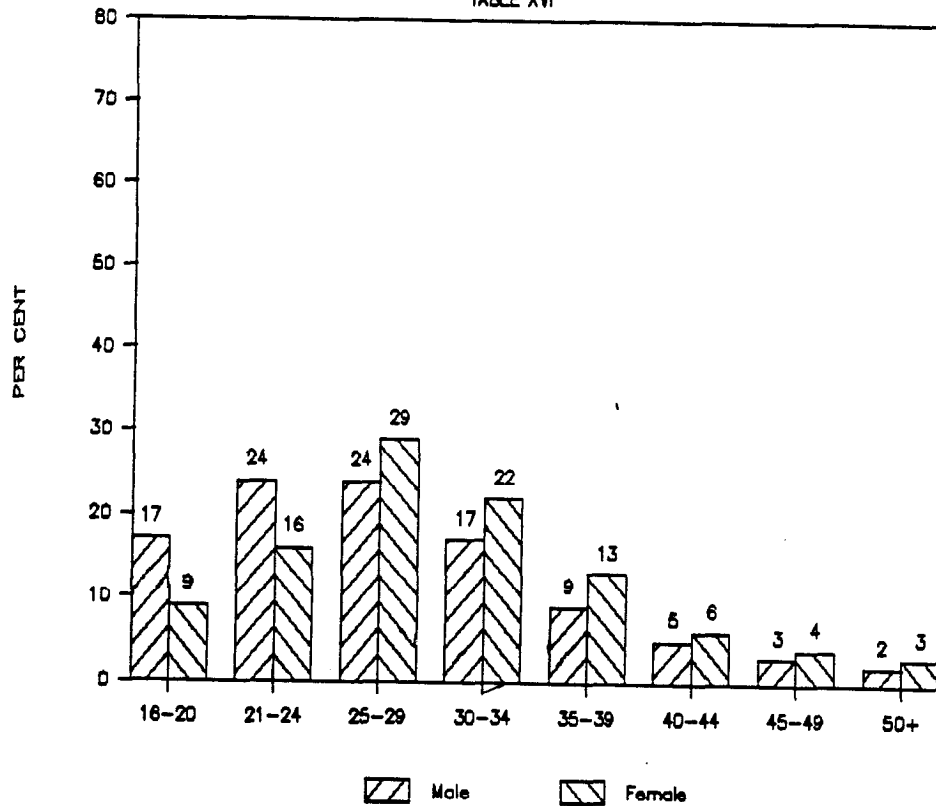
Whether we look at the frequency or the severity of misbehavior reports the conclusion is the same; women adjust much better than men to prison.

The differences in disciplinary adjustment between males and females may be due to the fact that female inmates are less of a risk or that other factors are at work. For instance, older married male inmates adjust better than younger, unmarried male inmates (see Working Paper X.) It could be that female inmates are older and more likely to be married. In order to examine this question, in the next section we describe age, marital status and other social characteristics that are frequently selected as possible predictors of inmate behavior.

D - SOCIAL CHARACTERISTICS

AGE AT ADMISSIONS

TABLE XVI

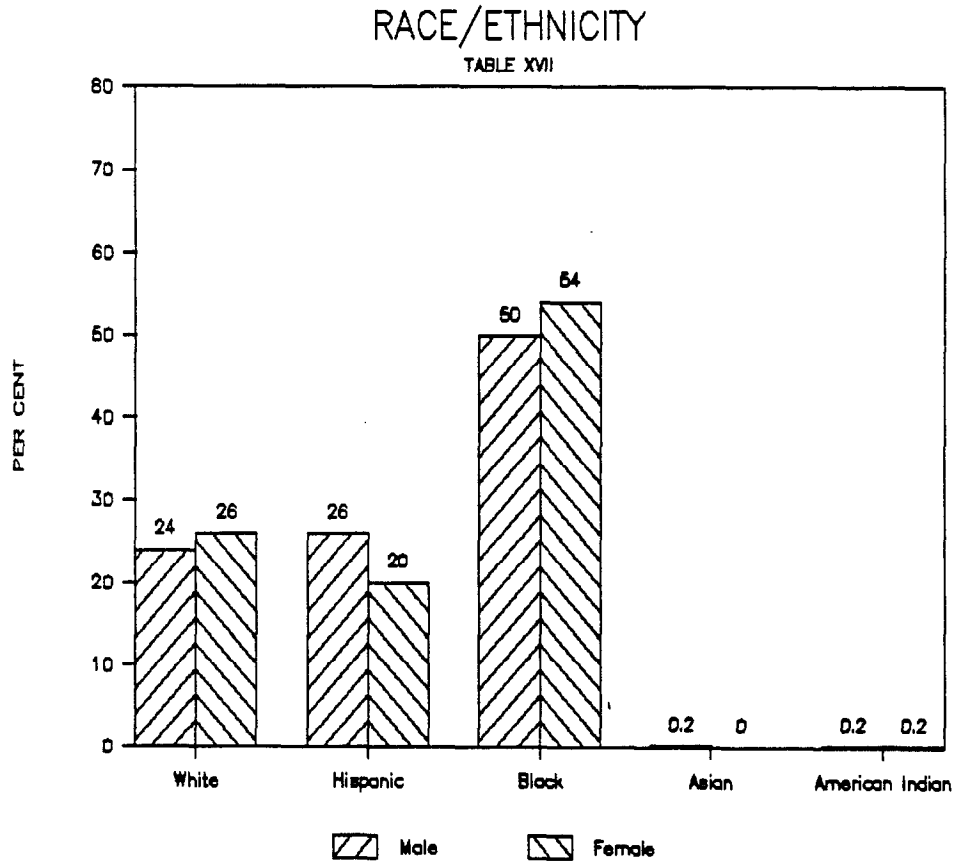


Average Age at Admission  
 Male 28                      Female 30.2

We see that the average age is slightly higher for female than male inmates and in particular that there is half the percentage of very young inmates (16 - 20) among females as compared to males.

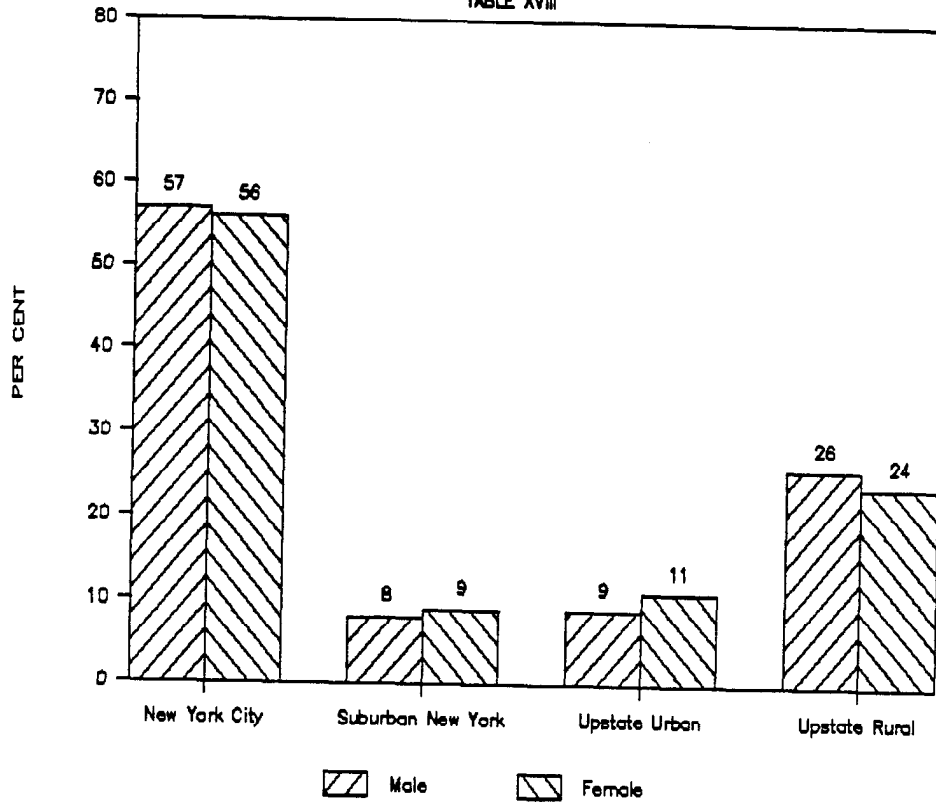
Tables XVII and XVIII show that racial/ethnic and residential characteristics of male and female inmates are similar.

TABLE XVII



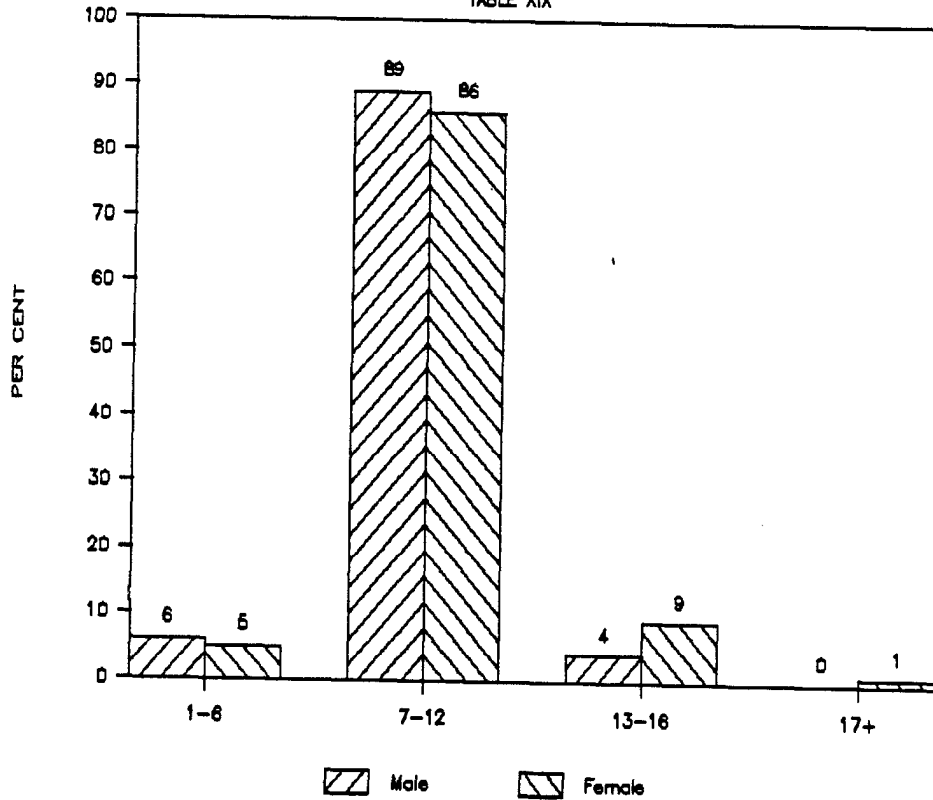
# RESIDENCE AT TIME OF ARREST

TABLE XVIII



# HIGHEST GRADE COMPLETED

TABLE XIX



Average Highest Grade Completed  
 Male 9.7  
 Female 10.3

On average females have slightly more education than male inmates. However education beyond high school is twice as common in females compared to males (10% compared to 5%).

Employment status is only available for the female 200 case sample.

TABLE XX  
EMPLOYMENT STATUS AT TIME OF ARREST  
FEMALE 1986 RELEASE SAMPLE

EMPLOYMENT STATUS	FREQUENCY	PER CENT
FULL-TIME EMPLOYED	23	12%
PART-TIME EMPLOYED	21	11%
UNEMPLOYED	22	12%
OTHER	102	54%
CRIMINAL ACTIVITIES	22	12%
TOTAL	190	100%

Our interviews with inmates suggest that links to family and friends are very important, but they are difficult to measure with the data we have. The following Tables present data on marital status, number of minor children and residence patterns. We do not have any evidence on the strength of these relationships with family and friends nor their positive or negative quality.

MARITAL STATUS AT TIME OF ARREST

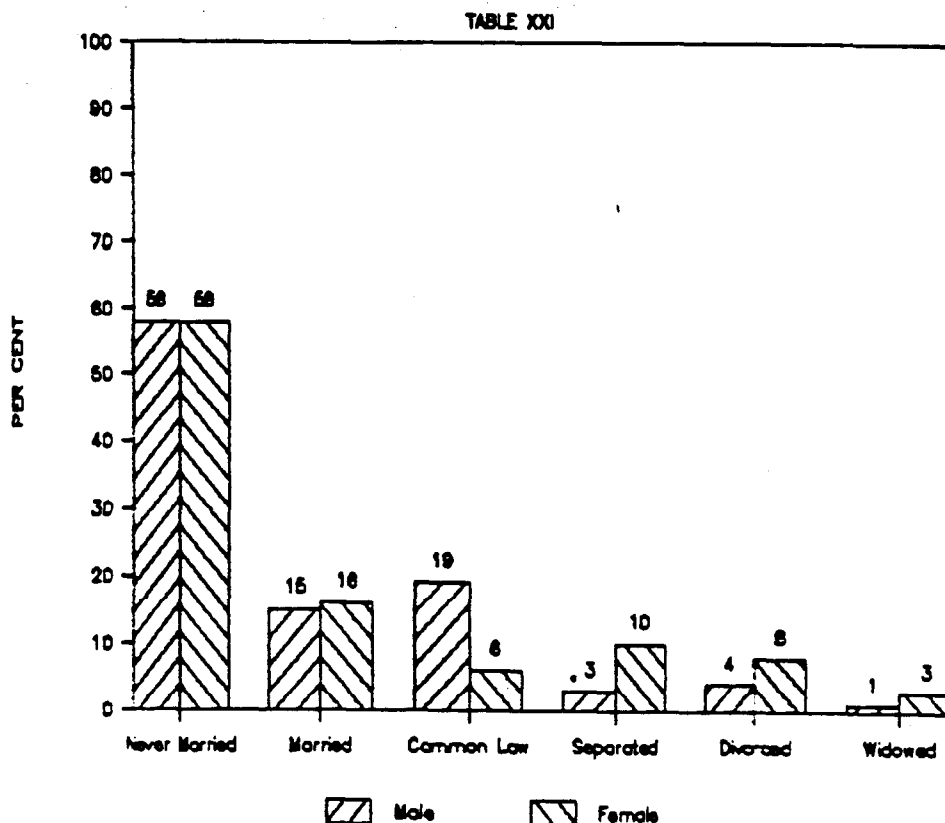


TABLE XXII  
NUMBER OF MINOR CHILDREN AT TIME OF ARREST  
FEMALE 1986 RELEASE SAMPLE

	FREQUENCY	PER CENT
NUMBER OF MINOR CHILDREN		
0	65	32%
1	66	33%
2	30	15%
3	22	11%
4	13	6%
5	4	2%
TOTAL	200	100%

Fifty-one were living with a partner at the time of arrest, of the 62 inmates who reported a partner. Eighty were living with a minor child at the time of arrest, out of the 135 who reported minor children. Sixty eight were living with friends and/or family (other than mate or minor children). Thirty-two inmates reported no residence with family or friends.

Finally, we can describe female inmates by their substance abuse history and history of mental health treatment. Since information on both these items is based on the inmate's self-report, they are subject to under reporting.

TABLE XXIII  
HISTORY OF SUBSTANCE USE  
FEMALE 1986 RELEASE SAMPLE

	FREQUENCY	PER CENT
DRUG OR ALCOHOL USE OF OFFENDER		
NONE	79	56%
ALCOHOL	21	15%
NON-NARCOTIC DRUGS	9	6%
NARCOTIC DRUGS	28	20%
MULTIPLE	5	4%
TOTAL	142	100%

TABLE XXIV  
HISTORY OF MENTAL INSTABILITY  
WITHIN FIVE YEARS PRIOR TO ARREST  
FEMALE 1986 RELEASE SAMPLE

	FREQUENCY	PER CENT
MENTAL STABILITY 5 YEARS PRIOR TO ARREST		
NO INDICATION	163	86%
OUT-PATIENT	12	6%
IN-PATIENT	15	8%
TOTAL	190	100%

In the published research on females there is one characteristic that is linked consistently, though weakly, with disciplinary adjustment, that is age. Older inmates have better disciplinary records than younger inmates. Our data show that female inmates are older than male inmates. Therefore, we can conclude that the difference between male and female inmate disciplinary adjustment is partly due to the fact that female inmates are older. However it seems as though most of the difference is due to the differences between males and females, quite apart from age.

### III PREDICTION

In this section we use our data and several statistical techniques to search as thoroughly and rigorously as possible for factors that will help us predict at Classification what inmate behavior will be. Whether we find such predictors or not, we will have learned equally much. It is as important to know that we can't predict different types of behavior as it is to learn that we can.

The basic method of statistical predictive studies is simple, though the execution is complex. A sample of cases is selected, information is collected on the behavior we wish to predict (the dependent variable) and on the characteristics we think may predict that behavior (the independent variables), and the data is analyzed statistically to determine the relationships between the dependent variable and the independent variables.

There are, as discussed earlier, two types of risk that concern us - public risk and institutional risk. Public risk is a combination of the likelihood that an inmate will escape with the likelihood that an inmate will be violent were she to escape. Institutional Risk is the likelihood that an inmate will be dangerous to other inmates or staff. Thus there are three types of behavior we seek to predict: escape, violent behavior during escape, and disciplinary adjustment.

#### A - ESCAPE

Trying to study predictors of escape is impossible, because there are not enough cases to study. In the five-year period from 1982 through 1986 there were no female escapes. The published literature is little help, since there is only one study of escape (Humphrey, 1987a). While escape cannot be studied directly, it is possible to study the related phenomenon of

abscondance. Though female inmates have not escaped from prison in the last five years, some (18) have failed to return to prison after having been out on temporary release. There are three reasons why information on abscondance is not helpful for understanding escape. First, the inmates who are at risk for abscondance are very different from the inmates who are at risk for escape, because the criteria for the Temporary Release program are very restrictive. In the second place, staying out of prison after you have been let out (abscondance) is very different from penetrating the perimeter to get out (escape). There is no basis for predicting one from the other. Third there are no studies at all on predictors of abscondance.

#### B - VIOLENT BEHAVIOR DURING ESCAPE

As there are no cases of escape to study, so there are no cases of behavior during escape to study. We cannot pursue the question - "Of those who escape, which ones commit violent acts?" The closest we can come is to study the criminal behavior of females on the street who have not escaped. This is not very close; an escapee hiding from the law is in a very different situation from a citizen on the streets. However it is as close as we are going to get. Our review of the published literature shows the following conclusions (Humphrey, 1987a: 21-30):

1. females commit far fewer crimes than males.
2. of the crimes females do commit, a much smaller percentage are violent.
3. females have a much lower recidivism rate than males.
4. the most serious violent crime, murder, is usually a crime of passion and has an extremely low recidivism rate.

#### C - DISCIPLINARY ADJUSTMENT.

A study of prediction of disciplinary adjustment is possible, since there are some cases of poor adjustment; but the study is more difficult than for males, since there are far fewer female cases of poor adjustment.

To do a prediction study of disciplinary adjustment we need to turn disciplinary adjustment into a measurable variable. In this study we created two such variables. Since we are trying to predict disciplinary adjustment, we call these variables dependent variables.



The first dependent variable measures the frequency of infractions during a period - 'Frequency of Disciplinary Problems'.

The second dependent variable scores the disposition of each infraction according to its severity, identifies the three highest scores and averages them - '\*Frequency/Severity of Disciplinary Problems'.

Table XIV and XV (pp.14-15) presented the frequency distributions for these two dependent variables. For both variables there is little variation. It is worth noting that researchers usually create prison adjustment dependent variables that are based on the type of infractions. This variable is difficult to work with. In the first place, at least in New York State there are usually several charges for each incident, and it is often difficult to know which type of charge best characterizes the incident. Second, most types of infraction cover a wide range of behavior and a wide range of severity.

It turns out that our two measures are highly correlated, as Table XXV shows. (Pearson's R= .85)<sup>1</sup>.

TABLE XXV  
RELATIONSHIP BETWEEN TWO MEASURES OF  
DISCIPLINARY ADJUSTMENT  
FEMALE 1986 RELEASE SAMPLE

	AVERAGE OF THREE MOST SERIOUS INFRACTIONS - FIRST											TOTAL	
	.00	1.00	2.00	3.00	4.00	5.00	6.00	7.00	8.00	9.00	10.00		
FREQUENCY OF DISCIPLINARY PROBLEMS-FIRST 6 MONTHS	119	7	4	5	2	1	1	1	1	1	1	1	119
1.00	19												37
12.00		4	4						1	1			11
13.00				2			2	2					8
14.00				1	1	1	2					1	10
15.00			1					1	1	2			4
16.00								2	1	3			6
17.00					1								1
19.00									1	1			2
110.00								1		1			2
TOTAL	138	11	9	8	5	4	7	7	8	1	2		200

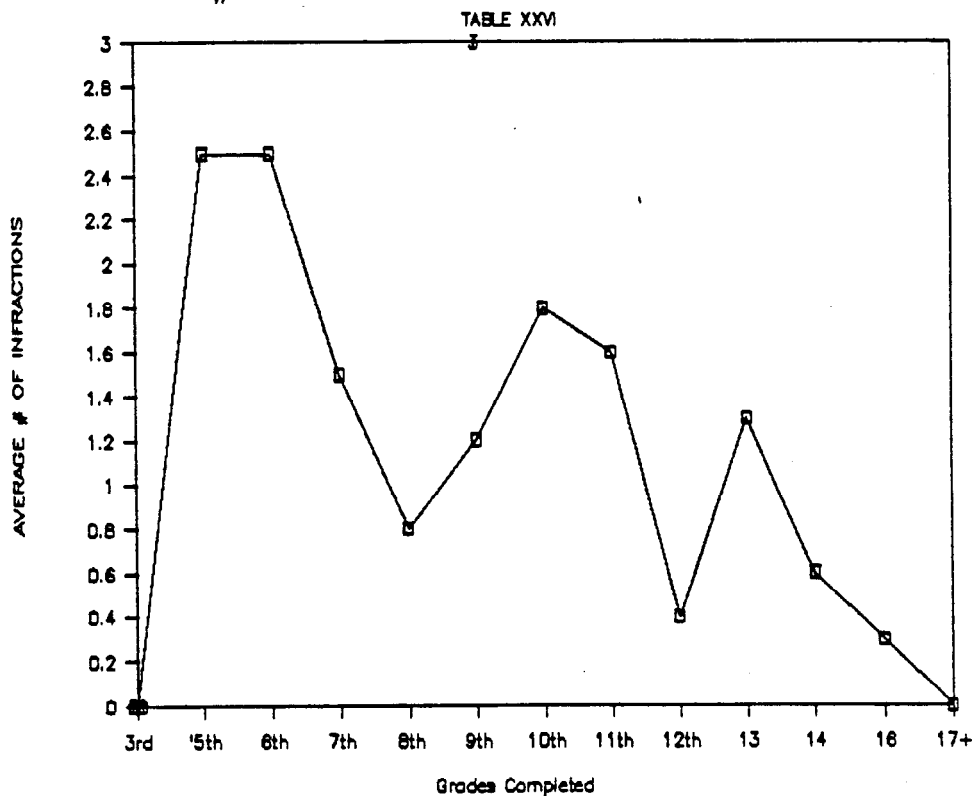
Though these two measures are highly correlated, the correlation weakens as the disciplinary problems increase. Inmates with many tickets do not necessarily cause severe problems, and

inmates who cause severe problems do not necessarily accumulate many tickets. For instance, we can see from Table XXV that the three inmates with the highest severity scores (two with a score of ten and one with a score of nine) each had a total of four tickets, while inmates with lower severity scores (seven or eight) averaged more tickets.

For our purposes, though it is simpler to count the number of tickets, the dependent variable that measures severity as well as frequency of disciplinary problems is more appropriate. Inmates who accumulate several minor tickets may be a nuisance, but they do not threaten the order of the facility. If their behavior does threaten the order of the facility, the severity of their dispositions will increase.

The independent variables are listed in Table XXVII. The list includes all the independent variables that are commonly used in prison adjustment predictor studies (Chapman, 1980 and Humphrey 1987a.) For each independent variable I inspected the relationship between it and the dependent variable in order to create the most useful categories. For instance, the relationship between highest grade completed and disciplinary adjustment is not linear. The disciplinary score does not go down steadily as the educational level increases (see Table XXVI.)

### AVE. # INFRACTIONS BY GRADES COMPLETED



However there is a significant difference between inmates who have completed high school and those who have not. Therefore I created two categories for highest grade achieved - less than high-school degree and high-school degree or higher.

For each independent variable the statistical significance and the strength of relationship to disciplinary adjustment is given in Table XXVII.

TABLE XXVII  
MULTIPLE REGRESSION ANALYSIS

<u>Independent Variables</u>	<u>Pearson's R</u>	<u>Statistical Significance<sup>2</sup></u>
Age	-.35	.00 *
Marital Status	-.28	.00 *
Residence with Family	.26	.00 *
Minimum Sentence	-.26	.00 *
Employment Status	-.23	.00 *
Number of Minor Children	-.23	.00 *
Residence with Mate	-.23	.00 *
Maximum Sentence	-.22	.00 *
Time to Serve	-.22	.00 *
Number of Felony Arrests	-.20	.00 *
Class of Crime	.19	.00 *
Area of Residence	-.18	.01 *
Residence with Friends	-.05	.24
Residence with Child	-.01	.46
History of Mental Illness	.05	.26
Psychological Instability at Reception	.00	.50
Victim of Sex Abuse	.06	.19
Occupation	.07	.17
Highest Grade Achieved	-.09	.14
Race/Ethnicity	.08	.13
History of Substance Abuse	.07	.16
Substance Use at Commission of Crime	-.03	.35
Pattern of Criminal Violence	-.02	.42
Violent Felony Commitment Offense	-.09	.12
Prior Felony Convictions	-.02	.40
Prior Misdemeanor Arrest	.07	.17
Prior Misdemeanor Convictions	.02	.37
Most Serious Prior Record	-.07	.16
History of Escape	.10	.08

Some of the results in Table XXVII are surprising, some not. Age shows the strongest relationship to disciplinary adjustment, which is consistent with the views of staff and inmates and the published literature. On the other hand, a history of mental illness and mental instability at Reception shown no relation to disciplinary adjustment - contrary to the views of staff and inmates. Different measures of an inmate's sentence all show a significant relationship to disciplinary adjustment, but almost all the measures of criminal behavior do not. Four of six measures of family ties show a significant relationship to disciplinary adjustment, and one, marital status, shows the second strongest relationship after age. Substance abuse is unrelated to disciplinary adjustment.

In addition to the correlation analysis, I did a factor analysis to identify possible suppressor variables. These are variables that have indirect effects on the dependent variable. Table XXVIII presents the results of the factor analysis.

TABLE XXVI I I

ROTATED FACTOR MATRIX:

	FACTOR 1	FACTOR 2	FACTOR 3	FACTOR 4	FACTOR 5	FACTOR 6
FTHMOSE	-.20883	-.10174	-.48835	.04713	.05443	.03984
MARITL	-.03452	.00500	.76113	-.06401	.04170	-.05649
PREMEN	-.01969	.04429	.00587	.06304	-.02979	.90307
PSYCHINS	-.07800	.08667	.05320	-.04478	-.00036	.78083
MINCHIL	-.02651	.12413	.24410	-.06172	-.06804	.01563
RESFAM	-.13197	.17461	-.54967	-.08326	-.03827	-.00959
RESFRND	.02886	.01959	-.01820	.16560	-.00751	.03912
RESCHIL	-.11072	.01338	.02201	-.17114	-.17606	.02352
RESMAT	.04264	-.04162	.52793	-.12865	.03202	-.04015
EMPSTA	.08762	-.19077	.28859	-.39071	-.12638	.04932
ESCAD	-.02381	.16824	-.06278	.02641	-.01873	.14224
OCCUP3	.09265	-.03610	-.19385	.24181	.03258	.12951
EDUCA	-.12107	-.02567	.14316	-.32089	-.10688	-.09994
SEXABUSE	-.01170	-.12977	.00714	.13252	.07325	.28768
SUBSTA	-.14155	.04950	-.00174	.74200	-.07575	-.00792
OFFUS	.00955	-.02533	.01887	.85581	-.00969	.13096
AG	-.12829	.23652	.58454	-.10475	-.19803	-.06605
RESREG	-.02052	-.10134	.23148	-.11225	-.07070	.04177
ETHNIC	-.02380	.23346	-.25917	.06697	-.08414	-.10899
CRCLAS	-.62283	.44160	-.11390	-.09033	.19766	.02650
VF	-.35074	.26438	.14410	-.49360	-.23649	-.04838
TIMESCO	.82950	.13371	.00843	-.03359	-.21496	-.10195
AGGMI	.91870	.16816	.04680	.01096	-.16503	-.02884
AGGMAX	.83538	-.30275	.16018	-.05608	-.21773	-.05315
CVSCORE	.46253	-.08512	-.03968	.33949	.07083	-.01978
PFELAR	.24618	.65234	.12799	.11961	-.21194	-.13802
PFCOV	-.28260	.55497	.11573	-.07923	-.00200	-.09163
PMISAR	-.21795	.03946	.01509	-.07408	.82987	.09247
PMISCON	-.27703	.03831	.03814	-.03917	.80707	-.02857
MSPRE	-.09386	.83931	-.02144	.02131	.19829	.12139
PENALFEL	-.00152	-.84175	.00486	-.01731	-.01029	-.02647

Using a cutoff of .4 for factor loading, there are no potential suppressors. I also inspected the data for interaction effects, and found none<sup>3</sup>.

We are left with 12 independent variables that have a significant statistical relationship to disciplinary adjustment. The strength of the relationship, as measured by Pearson's R, ranges from -.18 to -.35. It remains to determine how those variables relate to each other in terms of disciplinary adjustment. For instance, it could be that if we combine age and marital status, the relationship to disciplinary adjustment would be even stronger. On the other hand, it could be that since ever-married people tend to be older than never-married people, combining age and marital status, would produce no stronger a relationship than each independent variable singly. Multiple regression is a statistical technique that addresses this issue. Table XXIX presents the results of the multiple regression analysis.

TABLE XXIX  
MULTIPLE REGRESSION ANALYSIS

<u>Independent Variable</u>	<u>Cumulative R<sup>2</sup></u>	<u>Co-efficient</u>
Age	.13	.6
Minimum Sentence	.19	.5
Marital Status	.22	.9

The result of the multiple regression shows that there are three variables that together give us some ability to predict disciplinary adjustment during the first six months. These variables are age, length of minimum sentence and marital status. R<sup>2</sup> is a measure of our ability to predict disciplinary adjustment. We can predict 22% of the differences among inmates in the sample by using age, minimum sentence and marital status. The coefficients tells us the relative contribution each independent variable makes to our predictive ability.

Our predictive power would be lower in practice, because the general population we will work with will be slightly different from the random sample on which we developed our predictors (this phenomenon is known as shrinkage). In ideal circumstance the study sample would have been twice as large, so we could identity our predictors on a 200 case sample and then test them out on another 200 case sample. Collecting data manually on a 400 case simply was much too expensive for this project. It will be essential to eventually redo our predictive study after the Guideline has been in effect for a while.

IV

CONSTRUCTION OF A GUIDELINE

Predicting inmate disciplinary adjustment is one issue, classifying an inmate for Institutional Risk is another. First, the results of the statistical analysis must be turned into a risk assessment instrument. Based on our multiple regression analysis, the following instrument was created.

FIGURE I

DISCIPLINARY RISK ASSESSMENT INSTRUMENT

Predictor	Score
Marital Status	
Ever Married	0
Never Married	10
Age	
40 Plus Years	0
30-39	1
25-29	2
21-24	3
16-20	4
Minimum Sentence	
48 Plus Months	0
30-47	1
24-29	2
18-23	3
12-17	4

Second, unless you can predict perfectly, you will always make some mistakes. You will predict that some inmates will do poorly who in fact do well (false negatives), and you will predict some inmates will do well who in fact do poorly (false positive) (see Figure I).

FIGURE II

Predicted Behavior	Actual Behavior	
	Acceptable	Unacceptable
Acceptable	True Positive	False Positive
Unacceptable	False Negative	True Negative

Table XXX shows the relationship between, inmate scores on the predictive instrument and their actual disciplinary scores.

TABLE XXX  
RELATIONSHIP BETWEEN PREDICTED DISCIPLINARY SCORE  
AND ACTUAL DISCIPLINARY SCORE

PREDICTIVE INSTRUMENT SCORE	AVERAGE OF THREE MOST SERIOUS INFRACTIONS - FIRST											TOTAL	
	.00	1.00	2.00	3.00	4.00	5.00	6.00	7.00	8.00	9.00	10.00		
I 1.00		2											2
I 11.00		7											7
I 12.00		17			1								18
I 13.00		20	2	1	1	1		1					26
I 14.00		21	1	2					1	1			26
I 15.00		17			1			1	1				21
I 16.00		1		1	1			1		1			5
I 17.00		3							1				4
I 18.00		1											1
I 10.00		3											3
I 11.00		4	1						1				6
I 12.00		8	1	2		1							12
I 13.00		13	2		1	1			1			1	19
I 14.00		14	3	1	1	1		1		2			23
I 15.00		2		2	2			1	1	2	1		11
I 16.00		3	1			1			1	1		1	10
I 17.00		2								4			6
I TOTAL	138	11	9	8	5	4	7	7	8	1	2	200	

Note that no matter where we set the cut-off point for acceptable or unacceptable scores, we will make some correct and some incorrect predictions. Suppose we set the cut-off for an acceptable disciplinary score at 6 (as it is in the Reclassification Guidelines for Males) and the cut-off for an acceptable prediction score at 14 (the most favorable cut-off for our predictive efficiency), then we will get the following results.<sup>4</sup>

TABLE XXXI  
DISCIPLINARY ASSESSMENT PREDICTION AND  
ACTUAL DISCIPLINARY SCORE

Disciplinary Assessment Score	Actual Disciplinary Score		
	Acceptable	Unacceptable	Total
Acceptable	166	7	173
Unacceptable	16	11	27
Total	182	18	200

Predictive Efficiency = 89%

Using a cut-off of 13 on the Disciplinary Assessment Score we made 177 correct predictions and 23 incorrect predictions, or 89% correct decisions. However if we simply predict that all inmates would adjust acceptably, we would make more correct predictions (91%) as Table XXXII shows.

TABLE XXXII

PREDICTION THAT ALL INMATES WILL ADJUST ACCEPTABLY  
AND ACTUAL DISCIPLINARY SCORE

Prediction	Actual Disciplinary Score		
	Acceptable	Unacceptable	Total
Acceptable	182	18	200
Unacceptable	0	0	0
<b>Total</b>	<b>182</b>	<b>18</b>	<b>200</b>

Predictive Efficiency = 91%

Thus we would have a higher accuracy rate without a risk assessment instrument than with one.

The kinds of errors a risk assessment instrument makes may be more important than the number of errors. False positives may be more acceptable than false negatives or vice versa. For instance, paroling an inmate from prison who should not have been paroled may be worse than holding an inmate who should have been paroled. In the case of assessing Institutional Risk for females, false negatives are less acceptable errors than false positives. To assess an inmate as a Maximum Institutional Risk - when in fact she is a Medium or Minimum Institutional Risk - is a worse error than the opposite error. It is correctional policy to classify inmates at the lowest level of security necessary to protect the public, inmates and staff. There is no need to place 8% of inmates too securely in terms of their institutional risk in order to place 5% in maximum security. There is adequate secure confinement space for institutional risks in the medium security facilities. In any case, even the more poorly behaved female inmates are on the whole not so disruptive as to require transfer. Therefore, our risk assessment instrument makes more of the wrong errors (16) than the right errors (7). Assuming inmates will adjust will make none of the wrong errors and 18 of the right errors.

In conclusion, whether we look at the per cent of errors or the types of errors, we are better off assuming that all inmates will adjust well than we are using our institutional risk assessment instrument. Should the nature of security classification decisions for females change - for instance the Department might need to fill minimum security spaces - then the instrument may



## B - PUBLIC RISK

Construction of the Public Risk scale of a guideline must proceed differently than the Institutional Risk scale, since as discussed at length already, there is little predictive statistical data to work with. The scale has been created through interviews with staff and inmates (reported in Humphrey, 1987b). The results of these interviews are consistent with the results of similar interviews with inmates and staff at male facilities (Alexander, 1979).

- 1) the more violent the inmate's criminal history, the more likely it is that the inmate will be violent were she to escape. In reviewing the criminal record we focus on the instant offense and the other most violent crime. After reviewing the entire record we focus very carefully on two events, which are sufficient to establish a pattern. If an inmate has been very violent in two crimes, we don't wait for a third event in order to predict future behavior.

Furthermore, it is generally agreed that a criminal history with an isolated act of violence that arises out of a personal relation suggests less of a risk to the public than predatory violence. There is some support in the published literature for this view, as stated earlier (p.24) This situation is more common among female than male inmates. In our sample of 200 it applied in 13% of the cases. Therefore on our scale 2 points are subtracted from the criminal violence score, if this situation applies.

- 2) the more strenuously, the more frequently and the more recently the inmate has attempted to flee criminal justice supervision in the past,, the more likely she is to flee in the future.
- 3) the longer the inmate's time to release, the more incentive she has to escape.
- 4) the stabler the inmate's street life, the more likely she is to abide by the prison rules and not escape. Thus the inmate who has completed school, held a full-time job *and* been married is a better risk. While this is a common-sense prediction, there are reasons against using it. Street stability factors are strongly associated with two constitutionally suspect categories - age and ethnicity (Tonry,1987:375). To include these street stability factors would have the effect of classifying younger and non-white inmates to higher security levels (see

Table XXXIII.) Were there a documented relation between escape and street stability factors, it might be possible to justify the differential treatment by age and race/ethnicity, but such documentation does not exist. Therefore, street stability is excluded from the Public Risk scale.

TABLE XXXIII  
RELATIONSHIP BETWEEN STREET STABILITY  
CHARACTERISTICS AND SUSPECT CATEGORIES

	AGE			RACIAL & ETHNIC STATUS		
	UNDER 21	21-39	40 AND OLDER	WHITE	HISPANIC	BLACK
MARITAL STATUS AT TIME OF RECEPTION						
NEVER MARRIED	79%	42%	12%	25%	39%	54%
EVER MARRIED OR CURRENT INTIMATE OTHER	21%	58%	88%	75%	61%	46%
EMPLOYMENT STATUS AT TIME OF ARREST						
UNEMPLOYED	78%	70%	40%	52%	79%	72%
PARTIALLY EMPLOYED	6%	14%	12%	19%	3%	11%
FULL-TIME EMPLOYED	17%	16%	48%	29%	17%	16%
HIGHEST GRADE COMPLETED						
13-6		3%	5%	2%	8%	2%
7-11	95%	61%	50%	49%	83%	67%
12 PLUS	5%	35%	45%	49%	8%	30%

V  
GUIDELINE SIMULATION

A draft Guideline score sheet and manual appear in Appendix A. Table XXXIV shows the result of applying this draft of the Female Initial Security Classification Guideline to our 200 case sample. The results appear to be appropriate; as the security level increases, so do the scores.

TABLE XXXIV

SIMULATION - AVERAGE GUIDELINE FACTOR SCORES  
BY SECURITY LEVEL

Security Level	Average Public Risk Score	Average Criminal Violence Score	Average Time to Earliest Possible Release Score	Average Criminal Justice Supervision Score
Minimum	2.5	.5	1.9	.2
Medium B	4.8	2.7	2.3	.2
Medium A	7.8	4.0	3.4	.6
Maximum	9.0	4.8	3.9	1.4

TABLE XXXIV (CONTINUED)  
SIMULATION - CRIMINAL CHARACTERISTICS  
BY SECURITY LEVEL

	PUBLIC RISK SCORE				TOTAL
	MINIMUM	MEDIUM B	MEDIUM A	MAXIMUM	
MINIMUM SENTENCE IN MONTHS					
12-17 MONTHS	32	8			40
18-23 MONTHS	41	9	1	1	52
24-29 MONTHS	39	11	2	3	55
30-47 MONTHS	14	11	6	1	32
48 PLUS MONTHS	1	5	6	9	21
TOTAL	127	44	15	14	200
TIME TO EARLIEST RELEASE					
0 TO 12 MONTHS	32	10	2		44
13 TO 24 MONTHS	81	18	2	4	105
25 TO 36 MONTHS	12	13	6	1	32
37 TO 48 MONTHS	2	2	4	1	9
49 TO 60 MONTHS		1	1	2	4
OVER 60 MONTHS				6	6
TOTAL	127	44	15	14	200
CRIME CLASS					
IA-2 FELONY	9	2			11
ICLASS B FELONY	10	13	5	5	33
ICLASS C FELONY	13	16	5	5	39
ICLASS D FELONY	51	10	4	3	68
ICLASS E FELONY	42	3	1	1	47
IYO	2				2
VIOLENT/NONVIOLENT OFFENSES					
VIOLENT FELONY	37	32	14	9	92
IOTHER COERCIVE/VIOLENT		6		3	9
IPROPERTY/DRUG/OTHR	88	6	1	2	97
IYOUTHFUL OFFENDER	2				2
TOTAL	127	44	15	14	200

The classification of female inmates is lower than that of males (see Table XXXV). This result is consistent with our earlier findings that women have less serious criminal records and better disciplinary adjustment. It is also important to realize that while the simulation classified 64% of the sample female inmates Minimum, the Department has no minimum security space for females.

TABLE XXXV

COMPARISON OF MALE & FEMALE SECURITY CLASSIFICATION

	Female <sup>1</sup>	Male <sup>2</sup>
Minimum	64%	17%
Medium B	22%	16%
Medium A	8%	34%
Maximum	7%	33%

<sup>1</sup> Simulated classification of sample of 1986 female releases

<sup>2</sup> Actual classification

- (Ft.1) Pearson's R is a measure of correlation. If two variables are perfectly correlated, Pearson's R equals 1. If there is no relationship between two variables, Pearson's R equals 0.
- (Ft.2) Statistical significance refers to the likelihood that the observed relationship between the independent and dependent variables could be due to chance. As the value approaches 1.00 the relationship is more likely to be the result of chance; as the value approaches .00 it is less likely to be the result of chance. The strength of the relationship refers to how closely associated the two variables are (explained in footnote 1).
- (Ft. 3) An interaction effect occurs when two independent variables have relationships to the dependent variable that are affected by the other variable.
- (Ft. 4) As a rule, log linear or probit statistical techniques are appropriate for analyzing the relationship between independent variables and a dichotomous dependent variable (such as acceptable/unacceptable disciplinary adjustment). The number of cases in this sample and the distribution of scores for the dependent variable make multiple regression more appropriate in this analysis.

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