

*North Carolina
Sentencing and Policy Advisory Commission*

**CORRECTIONAL PROGRAM
EVALUATION:
OFFENDERS PLACED ON PROBATION
OR RELEASED FROM PRISON
IN FISCAL YEAR 2001/02**

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*Project Conducted in Conjunction with the
North Carolina Department of Correction*

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North Carolina Sentencing and Policy Advisory Commission

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EXECUTIVE SUMMARY

Introduction

In 1998, the North Carolina General Assembly directed the Sentencing and Policy Advisory Commission to prepare biennial reports evaluating the effectiveness of the State's correctional programs (Session Law 1998-212, Section 16.18). This study constitutes the fourth report in compliance with the directive and analyzes a sample of 57,973 offenders released from prison or placed on probation in FY 2001/02 using a three-year follow-up period. The study also expands the definition of recidivism beyond rearrest and reconviction to include technical probation revocation and reincarceration. For the first time, this report focuses on two special populations served by the North Carolina Department of Correction (DOC): female offenders and youthful offenders. It also takes a closer look at programs offered in prison with a specific focus on vocational education.

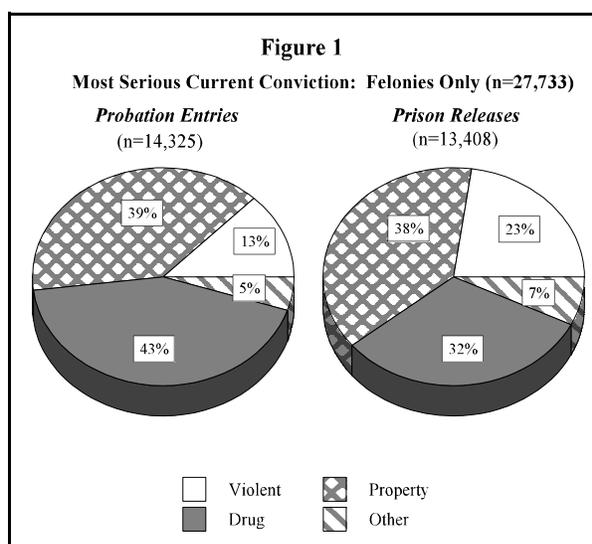
Data Sources

Data for offenders in the sample were provided by the Department of Correction, the Department of Justice (DOJ), and the Employment Security Commission (ESC). Additional information was collected during a series of interviews with correctional and community college personnel and site visits statewide, which provide a descriptive context for the study.

Statistical Profile of the FY 2001/02 Sample

The sample of 57,973 offenders included 50.7% community probationers, 19.8% intermediate probationers, 26.9% SSA prisoners and 2.6% FSA prisoners, all placed on probation or released from prison during FY 2001/02. Almost seventy-nine percent of the offenders were male, 54.4% were black, 14.7% were married, 45.9% had twelve or more years of education, and 34.2% were identified as having a substance abuse problem by either a prison or probation assessment. Their average age was 30.

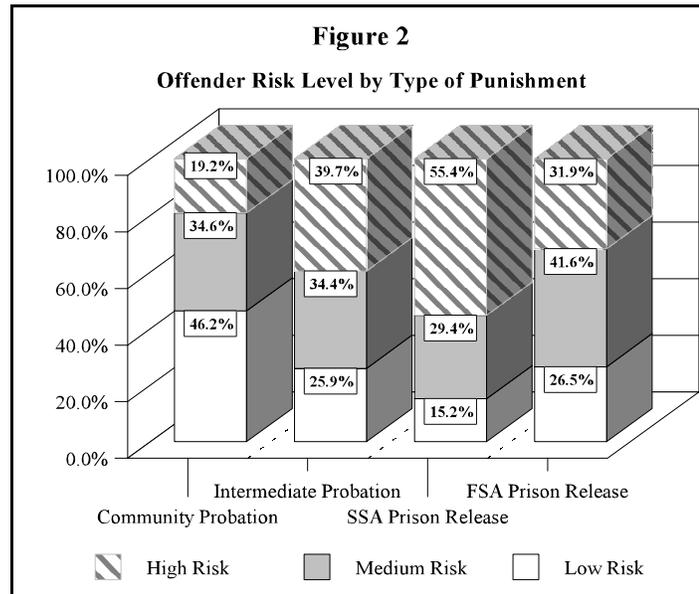
The majority of offenders (81%) had one or more prior arrests, with the rate varying considerably from a low of 68.4% for community punishment probationers to a high of 97.5% for FSA prisoners. The sample as a whole had 178,081 fingerprinted prior arrests. Forty-eight percent of the sample had a most serious current conviction for a felony offense. For prisoners with a current felony conviction, the majority had convictions for property offenses, followed by convictions for drug offenses (*see* Figure 1). As anticipated,



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

prisoners were more likely to have a current conviction for violent offenses (23%) than probationers (13%).

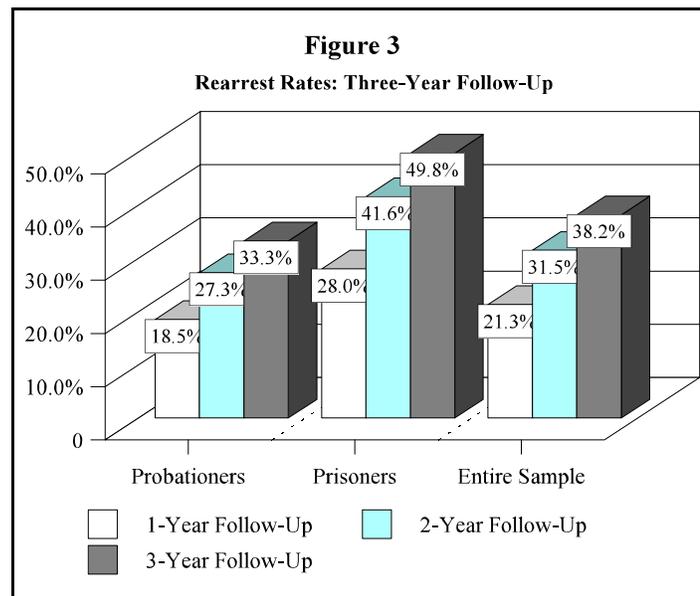
A risk score was computed for each offender in the sample using a composite measure based on individual characteristics (*i.e.*, social factors and criminal record factors) identified in the literature as increasing or decreasing an offender’s risk of recidivating. As shown in Figure 2, the SSA prison release group had a higher percentage of high risk offenders than FSA prison releases and both groups of probationers. Community punishment probationers had the lowest percentage of high risk offenders. Intermediate punishment probationers fell in between SSA and FSA prison groups with respect to the percentage of high risk offenders. Risk levels were largely a reflection of an offender’s criminal history and were in line with the philosophy of Structured Sentencing, assigning increasingly restrictive sanctions for the more serious, recidivism-prone offenders.



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Time at Risk

While each offender was followed for a fixed three-year period to determine whether recidivism occurred, the same “window of opportunity” to reoffend was not necessarily available for each offender due to periods of incarceration during follow-up. This report takes into account each offender’s actual time at risk (*i.e.*, their actual window of opportunity to recidivate) by identifying their periods of incarceration in North Carolina’s prison system and subtracting the time incarcerated from the follow-up period. The percent of the sample at risk for the entire follow-up period decreased from 88% in the first year to 72% by the third year.



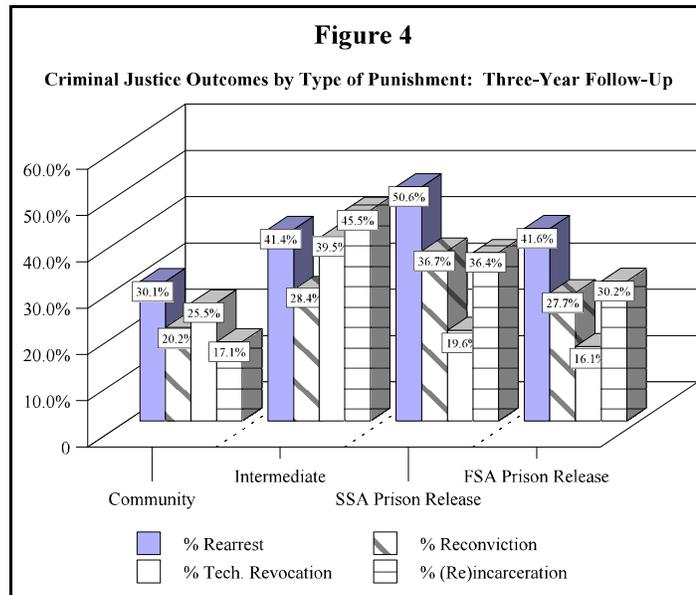
SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Criminal Justice Outcome Measures

Of the FY 2001/02 sample, 21.3% were rearrested during the one-year follow-up, 31.5% were rearrested during the two-year follow-up, and 38.2% were rearrested during the three-year follow-up (see Figure 3). It should be noted, however, that these recidivism rates do not take into account the fact that some offenders were not at risk for the entire follow-up period as a result of incarceration.

In addition to rearrest rates, three other criminal justice outcome measures (reconviction, technical revocation, and reincarceration) were utilized. A summary of these four measures of recidivism for the FY 2001/02 sample is provided in Figure 4.

Tracking the sample for three years, a clear pattern emerged: while the rates of rearrest increased for both prisoners and probationers between the first and the third year, the highest rates of rearrest for all groups were in the first year. In each subsequent year, rearrests increased at a declining rate. Reconviction, technical revocation, and reincarceration rates followed a similar pattern with the greatest increase during the first year of follow-up, and smaller increases in the second and third years.



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

As noted earlier, rearrest rates for the entire sample were 21.3%, 31.5%, and 38.2% for the first, second, and third year of follow-up, respectively. For those rearrested during the three years, the average time to first rearrest was 12.7 months after entry to probation or release from prison. By the end of the three-year follow-up, the FY 2001/02 sample accounted for 46,225 recidivist arrests, including 9,239 arrests for violent offenses.

Overall, 9.6% of the sample had a reconviction in the first year of follow-up, 19.6% by the second year, and 26.5% by the third year. For those with a reconviction during the three-year follow-up, the average time to reconviction was 17.0 months. The sample accrued 22,438 recidivist convictions of which 3,603 reconvictions were for a violent offense.

Technical revocation rates for the entire sample increased from 12.4% in the first year to 21.3% by the second year, and by 26.4% in the third year. For those with a technical revocation during the follow-up period, their first technical revocation occurred an average of 14.7 months after entry to probation or release from prison.

Overall, 12.1% of the sample were reincarcerated by the first year, 22.0% by the second year, and 28.3% by the third year of follow-up. The average time to first incarceration for offenders reincarcerated during the follow-up period was 15.4 months.

Independent of the measure used or the number of years tracked, recidivism rates were in direct correlation with the type of punishment (*see* Figure 4). However, it must be noted that these groups were also composed of offenders who were very different in their potential to reoffend, based on a composite risk measure developed for the study (*see* Figure 2).

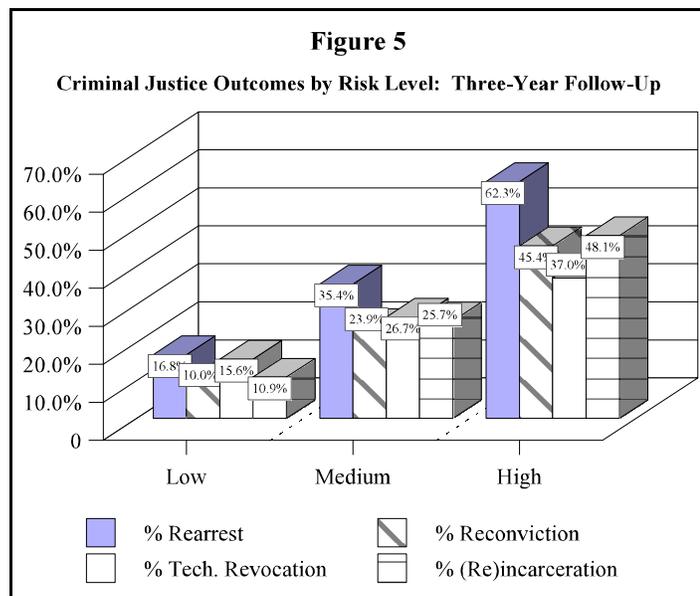
The lowest rearrest and reconviction rates were for community probationers, followed by intermediate probationers and FSA prisoners, with the highest rearrest and reconviction rates for SSA prisoners.

As expected, probationers, especially on intermediate supervision, had the highest technical revocation rates (*see* Figure 4). Although probationers are the primary population at risk of technical revocations, prisoners may also be at risk of technical revocation due to violation of post-release supervision, parole, or resulting from probation sentences imposed for new crimes committed during the follow-up period.

Compared to the other types of punishment, probationers with an intermediate punishment had the highest rate of reincarceration, almost 46% during the three-year follow-up period, due in large part to their higher revocation rates.

As shown in Figure 5, rates for all of the criminal justice outcome measures during the three-year follow-up period varied considerably by offender risk level, with a stair-step increase in rates from low risk to medium risk to high risk. When compared to low risk offenders, high risk offenders were over three and a half times more likely to be rearrested, about four and one-half times more likely to be reconvicted, over two times more likely to have a technical revocation, and over four times more likely to be reincarcerated.

Theoretically, reincarceration rates should be higher than technical revocation rates since reincarceration can result from both new sentences and technical revocations. The approximately equal revocation and reincarceration rates found in this study result from limitations of the data on recidivist incarcerations. The reincarceration rates provided in this



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

report were based on incarcerations in state prison using DOC's OPUS data. However, in North Carolina, only offenders who are sentenced to active terms greater than 90 days are incarcerated in state prison, while those sentenced to active terms of 90 days or less are incarcerated in county jail. Lack of automated statewide county jail data affected the analysis presented in this report in two ways: 1) time incarcerated in county jails was not subtracted from actual time at risk during the follow-up and, as a result, did not factor into the time at risk measure; and 2) incarceration in county jails, either as a result of new sentences or technical revocations, was not included as part of the recidivist incarceration measure.

Multivariate Analysis

Multivariate analysis was used to further explore factors correlated with the probability of recidivism. This method aimed to isolate the direction and magnitude of the impact of an independent variable on an outcome measure, such as rearrest, while controlling for the impact of all the other independent variables. This study examined three main dependent variables as indicators of recidivism: rearrest, reincarceration, and employment; and two secondary dependent variables as indicators of offender misconduct: technical probation revocations and prison infractions.

A number of factors increased an offender's probability of rearrest during the three-year follow-up, including being male, black, youthful at time of commitment to DOC, having a history of substance abuse, having a higher risk score, having a more severe sentence (as measured by prison, intermediate punishment, or community punishment), number of prior arrests, having a prior drug arrest, having a more serious prior arrest, or number of times placed on probation/parole. Factors that decreased the probability of rearrest included being married, employed, having at least twelve years of education, having a felony as the current conviction, having a longer sentence, and having more prior incarcerations. Age also decreased an offender's chance of rearrest, with offenders being less likely to be rearrested as they grew older. There were some variations between probationers and prisoners as to the impact of these independent variables.

Two variables, prison infractions and probation technical revocations, were used not only as predictors of recidivism but also as indicators of prisoner or probationer misconduct. For prisoners, being a youthful offender, spending more time in prison, age at first arrest, having a more serious prior arrest, and having a higher number of prison incarcerations were associated with increases in the number of prison infractions acquired. Being male, married, employed, having at least twelve years of education, having a history of substance abuse, and having a longer sentence length were factors associated with a decreased probability of prison infractions.

For probationers, being male, black, youthful at age of commitment to DOC, having a history of substance abuse, having a higher risk score, having a more serious prior arrest, number of prior arrests, number of times placed on probation/parole, number of prior probation/parole revocations, and being placed on probation with intermediate punishments significantly increased the likelihood of a technical revocation. Conversely, being married, employed, having at least twelve years of education, having a felony as the current conviction, and having fewer prior incarcerations were factors found to reduce the probability of technical revocation.

Similar to rearrest, an analysis examining correlates of reincarceration for all offenders found being male, youthful at time of commitment to DOC, having a history of substance abuse, having a higher risk score, having a felony as the current conviction, having a more severe sentence, having more prior arrests, having a more serious prior arrest, an increase in prior probation/parole sentences, an increase in probation/parole revocations, and number of prior incarcerations increased the probability of reincarceration. Factors associated with a decrease in the probability of reincarceration included being married, employed, having at least twelve years of education, and serving a longer prison sentence.

Although this report primarily examined recidivism, another outcome measure assessed whether or not an offender was able to secure legitimate employment following release into the community. Factors associated with an increased chance of employment were being black, married, youthful, having at least twelve years of education, having spent more time in prison, having a more serious prior arrest, and number of times placed on probation/parole. Factors that decreased an offender's chances of securing legitimate employment were being male, having a felony as the current conviction, having a prior drug arrest, the number of probation/parole revocations, and the number of prior incarcerations.

Female Offenders

To gain a better understanding of female offenders, Sentencing Commission staff analyzed FY 2001/02 Correctional Program Evaluation Data pertaining to female offenders, conducted site visits at three of the eight facilities that housed female offenders in FY 2001/02, interviewed administrative and program staff at these facilities, and interviewed various staff at the state level of the Division of Prisons (DOP) to obtain an overview of programming available for female offenders. While this report does contain information on female probationers, female prisoners are highlighted since there is a sharper delineation of this group and, hence, programs and services offered to them within the prison system.

Female offenders comprised a small percentage (21.3%) of the FY 2001/02 sample. Compared to male offenders, female offenders were better educated, had a lower rate of prior arrests, and had a lower incidence of substance abuse. Further, in line with national findings, female offenders were less violent than male offenders. However, female prisoners had the highest indication of substance abuse when compared to male and female probationers and male prisoners. When comparing risk levels of male and female offenders overall, a much larger percent of females were low risk and only half as many were high risk. In part because of the lower levels of risk and violence found among female prisoners, they related to each other in a fairly nonaggressive and more supportive manner than male prisoners, which allowed the DOC to house them in a less restrictive prison setting.

Four criminal justice outcomes were examined for female offenders including rearrest, reconviction, technical revocation, and reincarceration. When looking at three-year rearrest rates by type of punishment and gender while controlling for risk level, males had higher rearrest rates than females, except for low risk females who had slightly higher rearrest rates than low risk males (*see*

Figure 6). Further, compared to male offenders, a lower percentage of females were reconvicted, had technical revocations, and were reincarcerated. These differences between males and females remained in multivariate analyses examining rearrest, technical revocations, and reincarceration when controlling for personal characteristics, current offense, and criminal history.

Even though the criminal justice outcome measures were more favorable for female offenders than for their male counterparts, females, especially those who were incarcerated, brought issues with them that compounded their problems and were more gender-specific in nature. The DOC, in recognition of

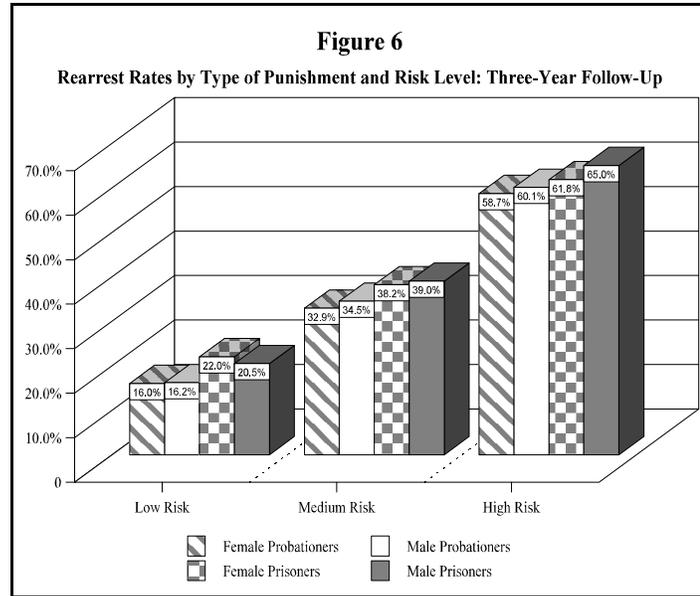
female offenders being physically and sexually victimized, separated from their dependent children, and coping with their problems through the use of drugs, have a comprehensive set of prison programs that address the special needs of this population.

Youthful Offenders

Youthful offenders, defined as youth who entered the correctional system prior to their 21st birthday, were the second specific correctional population highlighted in this study. To better understand this subgroup, Sentencing Commission staff analyzed FY 2001/02 Correctional Program Evaluation Data, conducted site visits to three of the prisons that housed youthful offenders in FY 2001/02, interviewed administrative and program staff at these facilities, and conducted interviews with various staff at the state level of the DOP to get an overview of available programming for youthful offenders. Like the female offenders, closer attention was given to youthful offenders who were released from prison.

Youthful offenders were examined as a whole, but were also grouped into subcategories by age at commitment to DOC: 13 to 15, 16 to 17, and 18 to 21. As a whole, youthful offenders comprised 22.5% of the FY 2001/02 sample. Youthful offenders had a higher percentage of males, a lower percentage of blacks, and a lower percentage with a history of substance abuse as compared to adult offenders. When looking at risk score, 41.5% of youthful offenders had a high risk score as compared to 31.0% of adult offenders. Among the youthful subgroups, the percent of high risk youthful offenders increased as age categories increased from 16 to 17 to 18 to 21.

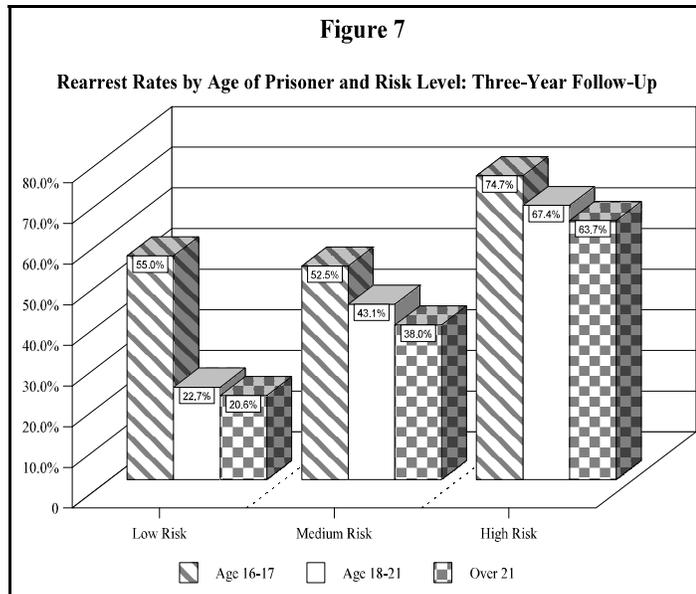
Criminal history and current conviction were also examined for youthful offenders. The percent of youthful offenders with a prior arrest was considerably less than that of adult offenders



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

with the exception of youthful prisoners aged 16 to 17 and 18 to 21 whose rate was similar to adults (91.9, 95.6, and 96.6% respectively). Turning to current conviction, misdemeanors were the most common conviction for all offenders; however, the majority of youthful prisoners were convicted of felonies.

Four criminal justice outcomes were examined in this study including rearrest, reconviction, technical revocation, and reincarceration. Overall, youthful offenders had notably higher rates in all of the criminal justice outcomes used to measure recidivism. Even when controlling for risk, the differences between youthful and adult offenders' rearrest rates remained (*see* Figure 7). Among the youthful offender subgroups, prisoners aged 16 to 17 returned to the criminal justice system more quickly than any other age group. These differences between youthful and adult offenders remained in multivariate analyses examining rearrest, technical revocations, and reincarceration when controlling for personal characteristics, current offense, and criminal history.



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

The seriousness of this subgroup was confirmed not only by the analyses of data, but also by interviews with prison staff and other research conducted nationally. Youthful offenders have been characterized by aggressive tendencies, poor judgment, and minimally developed self-control. DOC has programming available to meet some of the age-appropriate needs of the youthful offender population. But, incarcerated youthful offenders, in particular the male youthful prisoners, represent a volatile faction who pose unique challenges to the DOC in the areas of management, programming, and planning for their transition back into the community.

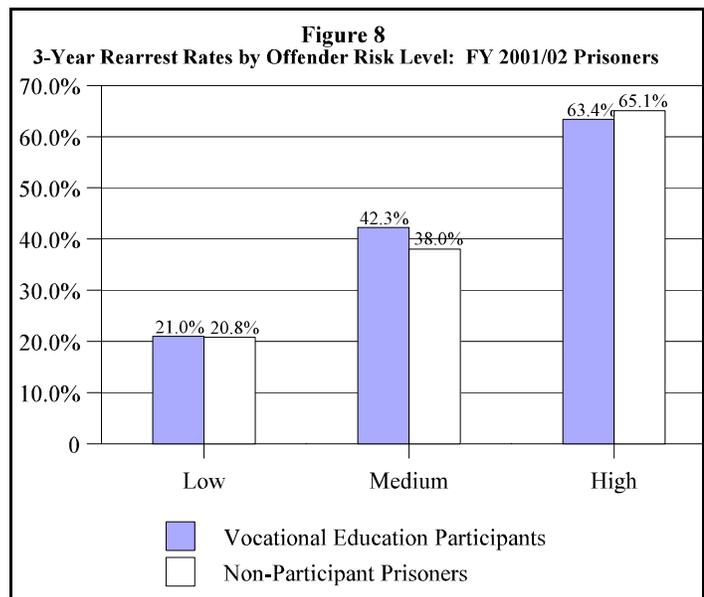
Vocational Education

The Commission's 2002 report examined the academic component of correctional education and its effect on rearrest following release from prison. As an extension of the 2002 study, this report examined the other major component of educational programming, vocational training. In this endeavor, Sentencing Commission staff analyzed FY 2001/02 Correctional Program Evaluation Data, made site visits to five prisons that offer vocational training, and interviewed administrative and program staff at these prisons and various staff at the state level of the DOP and the North Carolina Community College System.

The DOC offers vocational education programs within the prison system through the community college system. The number of slots for vocational educational training has increased since FY 2001/02 and currently there are a total of 3,322 full-time slots available to be filled by inmates in the prisons that offer this training. Vocational education is offered in prisons housing inmates at all security levels; however, most of the opportunities for vocational education are at medium custody facilities. Of the 17,118 prisoners in the FY 2001/02 sample, 3,409 prisoners participated in at least one vocational education course at some time during their incarceration with an average of 1.6 courses. Of those who participated in a vocational education course, 50% completed the specific program.

Compared to prisoners who did not participate in vocational education programs, participants had a lower percentage of males and blacks and had a higher percentage of offenders with at least 12 years of education and a higher incidence of substance abuse problems. Risk level and prior arrests were similar for participants and nonparticipants; however, a difference did emerge when looking at current conviction for each group, with participants having a larger percentage with a felony as their current conviction.

Four criminal justice outcomes including rearrest, reconviction, technical revocation, and reincarceration were examined for vocational education participants during the three-year follow-up period. Rearrest rates varied by offender risk level with high risk offenders being more likely to be rearrested than low risk offenders. When comparing prisoners within the same risk level, only slight differences were noted between vocational education participants and non-participants (see Figure 8). Further, vocational education participants had rearrest and reconviction rates similar to prisoners who did not participate in vocational education programs, with slightly lower rates than non-participants for technical revocation and reincarceration. A more consistently lower rate in all four measures of recidivism was found for prisoners who completed their vocational education as compared to those who participated in a vocational education course but did not complete it. While participation in a vocational education program did not significantly impact any of the measures of recidivism or employment, the program provided a positive utilization of prisoner time and, in turn, offered a viable management tool for DOC.



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

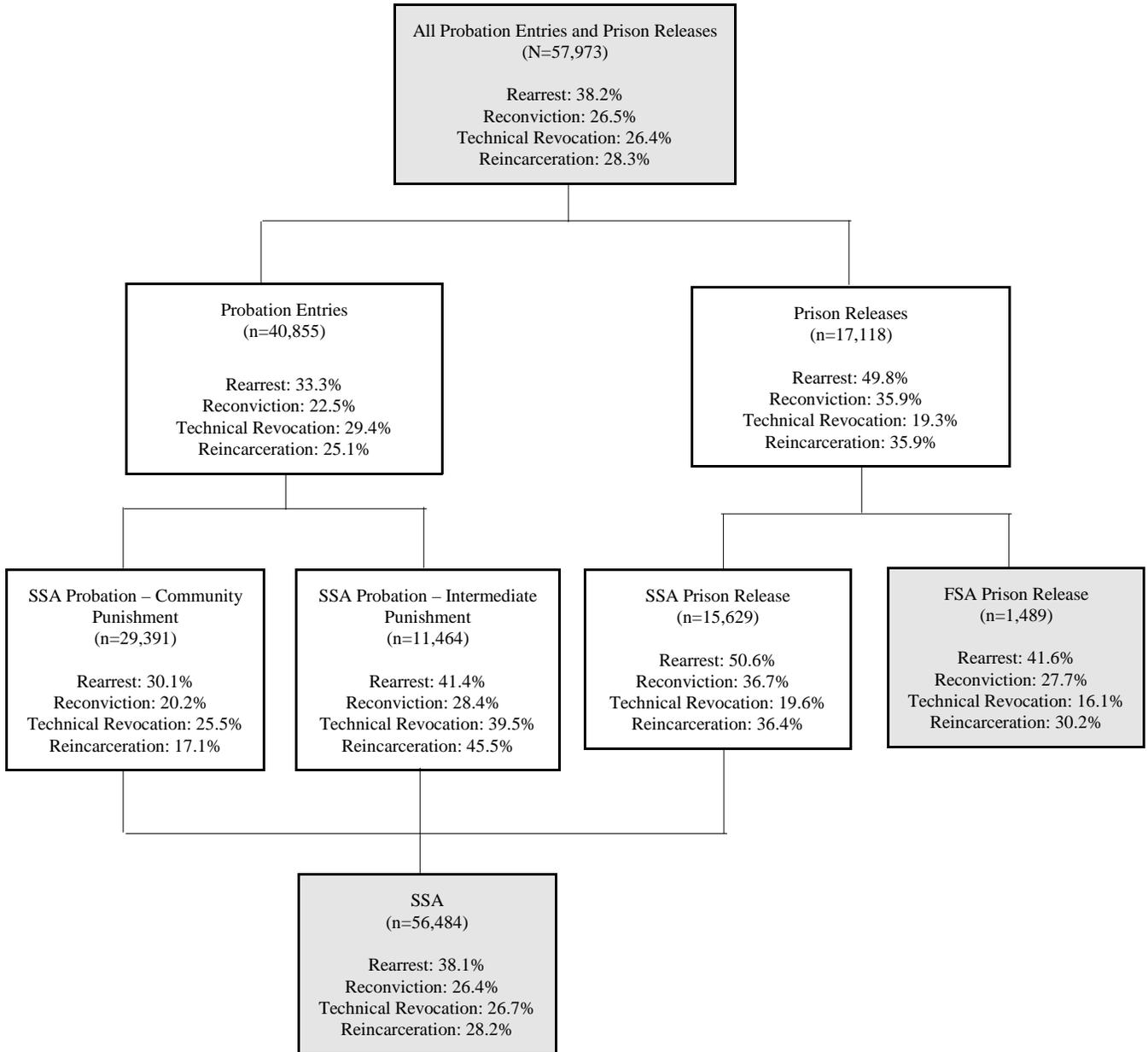
Summary and Conclusions

Based on the findings of this report, several conclusions may be drawn:

- ▶ An offender's assignment to a correctional program, in general, should not be viewed as a panacea for criminal behavior. Offenders participating in a correctional program bring with them many preexisting social and criminal problems, and while correctional programs co-vary with recidivism, they should not be expected to have a major impact on these problems and on preventing or reducing recidivism.
- ▶ The three-year follow-up showed an increase in the various measures of recidivism, but these increases slow down over time, with the highest increases for all four criminal justice outcomes occurring in the first year. This finding would appear to underline the need for focusing resources and services in that critical time period, whether it is the first year of a probationary sentence, the beginning of parole or post release supervision, or the initial period following release from prison.
- ▶ Rearrest rates for the three-year follow-up have accentuated even more the need for targeting North Carolina's limited correctional resources to groups of offenders whose criminal futures are the most likely to be affected by such services. This finding might point to a recommendation for targeting medium risk offenders and offenders with persistent substance abuse problems as the most likely to benefit from correctional programs. Prisons, which increase the probability of recidivism even when controlling for all other factors, should be reserved for the most serious, violent, and high risk offenders, while community punishment probation should be utilized for the least serious, low risk offender.
- ▶ Youthful offenders, defined as those who have not yet reached their 21st birthday when entering the correctional system as inmates or probationers, were distinctly different from adult offenders in their offenses and in their behavior while under correctional supervision. Additionally, youthful offenders had higher rates than adult offenders on all four indicators of recidivism (*i.e.*, rearrests, reconvictions, technical revocations, and reincarcerations). This finding highlights the need for developing programs and allocating resources designed specifically for youthful offenders to rehabilitate and reintegrate them into their community upon release from correctional supervision to reduce further criminal activity.

Figure 9 summarizes the three-year recidivism rates for the FY 2001/02 sample of probationers and prisoners.

Figure 9
Three-Year Recidivism Rates for the FY 2001/02 Sample



CHAPTER ONE INTRODUCTION

Introduction

With the enactment of the Structured Sentencing Act (SSA) in 1994, North Carolina embarked on a new penal strategy. Since that time, Structured Sentencing has benefited the criminal justice system by increasing consistency, certainty and truth in the sentencing of offenders; setting priorities for the use of correctional resources; and balancing sentencing policies with correctional resources. The issue of correctional resources and, specifically, their effectiveness in increasing public safety and deterring future crime have continued to be of interest to legislators and policy makers. It is the goal of most programs to sanction and control offenders, to offer them opportunities that will assist in altering negative behavioral patterns, and, consequently, to lower the risk of reoffending.

Studies which measure recidivism are a nationally accepted way to assess the effectiveness of in-prison and community corrections programs in preventing future criminal behavior by offenders reentering the community. The North Carolina General Assembly, aware of this trend, incorporated the study of recidivism into the Sentencing and Policy Advisory Commission's mandate from the start. The first recidivism study that was prepared for the Commission was completed in 1992 by Stevens Clarke and Anita Harrison of the Institute of Government at the University of North Carolina Chapel Hill. This recidivism study was followed by one that was conducted in 1996 by Mark Jones and Darrell Ross of the School of Social Work at East Carolina University. In 1997 and 1998, the Commission produced the third and fourth recidivism reports in conjunction with the Department of Correction's Office of Research and Planning.

During the 1998 Session, the General Assembly redrafted the Commission's original mandate to study recidivism and expanded its scope to include a more in-depth evaluation of correctional programs. This legislation (Session Law 1998- 212, Section 16.18) gives the following directive:

The Judicial Department, through the North Carolina Sentencing and Policy Advisory Commission, and the Department of Correction shall jointly conduct ongoing evaluations of community corrections programs and in-prison treatment programs and make a biennial report to the General Assembly. The report shall include composite measures of program effectiveness based on recidivism rates, other outcome measures, and costs of the programs. During the 1998-99 fiscal year, the Sentencing and Policy Advisory Commission shall coordinate the collection of all data necessary to create an expanded database containing offender information on prior convictions, current conviction and sentence, program participation and outcome measures. Each program to be evaluated shall assist the Commission in the development of systems and collection of data necessary to complete the evaluation process. The first evaluation report shall be presented to the Chairs of the Senate and House Appropriations Committees and the Chairs of the Senate and House Appropriations Subcommittees on Justice and Public Safety by April 15, 2000, and future reports shall be made by April 15 of each even-numbered year.

The first evaluation report, as required by law, was delivered to the General Assembly on April 15, 2000. The current study is the fourth biennial Correctional Program Evaluation Report and it contains information about offender characteristics, specific correctional programs, outcome measures, and an expansive methodological approach to examine the relationship between offender risk factors, correctional programs, and recidivism rates.

Defining Recidivism

The North Carolina General Assembly directed the Sentencing Commission to measure the rates of recidivism of criminal offenders involved in various kinds of state-supported correctional programs. The legislation calling for these measurements made it clear that recidivism meant repeated criminal behavior, and implied that measuring recidivism was to be a way of evaluating correctional programs – that is, programs designed or used for sanctioning and, if possible, rehabilitating or deterring convicted criminal offenders.

Correctional programs do not affect crime directly; rather, they are designed to change offenders' attitudes, skills, or thinking processes, in the hope that their social behavior will change as a result. The punitive aspect of criminal sanctions might also serve as an individual deterrent with convicted offenders. Policy makers such as legislators tend to be concerned with whether the programs ultimately reduce criminal behavior. This concern is understandable. A program may be successful in educating, training, or counseling offenders, but if it does not reduce their subsequent criminal behavior, the result will simply be repeat offenders who are better educated or have greater self-confidence.

There is no single official definition of recidivism. Researchers have used a variety of definitions and measurements, including rearrest, reconviction, or reincarceration, depending on their particular interests and the availability of data. Therefore, in comparing recidivism of various groups of offenders, readers are well advised to be sure that the same definitions and measurements are used for all groups. Official records from police, courts, and correctional agencies are the source of most research on adult recidivism. For offenders involved in a recidivism study, different types of records will indicate different rates of recidivism.

The Sentencing Commission in its studies of recidivism uses rearrests as its primary measure of recidivism, supplemented by information on reconvictions, technical probation revocations, and reincarcerations to assess the extent of an offender's repeat involvement in the criminal justice system. The advantages of arrest data, compared with other criminal justice system data, outweigh the disadvantages. Rearrests, as used in this research, take into account not only the frequency of repeat offending but also its seriousness and the nature of the victimization (for example, crimes against the person, crimes involving theft or property damage, or crimes involving illegal drugs). The volume of repeat offending is handled by recording the number of arrests for crimes of various types.

Guidelines Sentencing and Recidivism

North Carolina law prescribes the use of guidelines in sentencing its convicted felons and misdemeanants. In theory, Structured Sentencing may affect recidivism in a variety of ways. Its penalty framework may alter the deterrent effect of sentencing laws, with different punishments influencing differently an *individual* offender's fear of the consequences of crime and thereby changing his or her likelihood of recidivism. Guidelines might also impact recidivism by altering the characteristics, or "mix," of *groups* of offenders – for example, probationers or prisoners. Altering the composition of groups of offenders has been, from the start, one of the changes contemplated by the guidelines sentencing movement, and this alteration may well affect group recidivism rates. The 1996 "National Assessment of Structured Sentencing" conducted by the U.S. Department of Justice (Austin and Nelson, 1996:31-34) identifies the following goals of the guidelines movement: to increase sentencing fairness, to reduce unwarranted disparity, to establish "truth in sentencing," to reduce or control prison crowding, and to establish standards that facilitate appellate review of sentences. To meet these objectives and still control spending on prisons, guidelines have tended to shift some offenders to probation who formerly would have gone to prison, and others to prison who formerly might have received probation. Sentencing guidelines have sought to make offenders convicted of violent crimes, as well as repeat offenders, more likely to receive active prison sentences and to serve longer prison terms. At the same time, guidelines were intended to make first-time offenders charged with non-violent crimes less likely to be imprisoned, and to have them serve shorter terms if imprisoned (Austin et al., 1996:125).

The National Assessment's description of the guidelines movement and its tendency to reallocate offenders from prison to probation is consistent with the history of North Carolina's Structured Sentencing legislation. Ronald Wright, in an article on "Managing Growth in North Carolina through Structured Sentencing" (1998:7-8), notes that the proposed sentencing guidelines were acceptable to the General Assembly in 1993 because they combined three features: (1) they increased the percentage of serious felons receiving prison terms and the length of time they would serve; (2) they brought the time actually served in prison much closer to the sentence imposed than under former law (commonly referred to as 'truth in sentencing'); and (3) they limited costly increases in the state's prison capacity. The only way, Wright points out, to accomplish all three objectives was to send fewer people to prison but for longer terms. As a result, he observes, the proposed guidelines prescribed diversion of most misdemeanants and the least serious felons (non-violent felons with little or no prior record) from prison terms to community and intermediate sanctions – that is, to some form of probation. While the guidelines became somewhat more severe in the 1994 and 1995 legislative sessions, the original objective of diversion of less dangerous offenders from prison persisted.

With this kind of shift from prison to probation actually occurring following the implementation of Structured Sentencing, one possible hypothesis would be to expect the recidivism rate of released prisoners to increase over time. This is because the percentage of prisoners with prior records would increase, and prior criminal record is a strong predictor of recidivism. It is less clear what would happen to the recidivism of probationers.

It is important to remember that guidelines sentencing emphasized not only the diversion of some offenders from prison to probation, but also the use of intermediate punishments for those diverted offenders. Intermediate punishments—*i.e.*, enhanced forms of probation such as intensive supervision, special probation (split sentences), and day reporting centers – were meant to control the recidivism of offenders diverted from prison to probation.

As documented in the literature, the rate differential in recidivism between probationers and prisoners is largely – but not fully – accounted for by differences in the two groups’ criminal history. These results, by themselves, suggest that diverting offenders with little or no criminal history to probation might not make much difference in the group recidivism rate for probationers. However, this might not hold true for the group sentenced to intermediate sanctions, which targets offenders with more serious offenses and prior records than those sentenced to community sanctions. Two other factors may tend to prevent increased recidivism among North Carolina probationers. One factor is that intermediate punishment programs may help control recidivism. Whether they in fact do so must be established through careful evaluation of the programs. Another factor is that diversion of some offenders from prison to probation might prevent “prisonization” – detrimental effects of imprisonment – that would otherwise increase the propensity to reoffend.

Comparison of Recidivism Rates with Previous Recidivism Studies

The Sentencing Commission’s seven previous recidivism reports provide a framework to look at trends in the state’s recidivism rates. However, it should be noted that there are differences in the recidivism studies that make comparisons difficult. For example, samples up to, but not including, FY 1996/97 are based only on offenders convicted and sentenced under or prior to the Fair Sentencing Act (FSA); all later samples, beginning with FY 1996/97, include a mixture of offenders sentenced under the FSA and the SSA. The various studies also have different follow-up periods. Nonetheless, some overall comparisons may be made as long as these factors are taken into consideration.¹

Table 1.1 presents overall recidivism rates (measured as rearrest) from each of the Sentencing Commission’s previous reports. The table indicates that recidivism rates for offenders have been fairly similar over the sample years, given the differences in follow-up time and sample composition. The 1989 study, the FY 1996/97 study, and the FY 1998/99 study had a similar follow-up period (of approximately two years) and similar recidivism rates for all offenders, ranging from 31% to 33%. The four other studies, with more extended follow-up periods (of approximately three years), reported slightly higher recidivism, with rearrest rates for all offenders between 33% and 38%.

¹ A summary table of Adult Recidivism Rates by State in Appendix A provides statistics from seven states and from a U.S. Bureau of Justice Statistics report. The table, while providing useful information, demonstrates the difficulty in arriving at meaningful comparisons between jurisdictions due to differences in the definitions of recidivism, follow-up periods, and populations studied.

Table 1.1
Rearrest Rates for North Carolina Offenders

Sample Year	Sample Size	Follow-Up Period ² (in months)	Rearrest Rates		
			All Offenders	Probationers ³	Prisoners ⁴
1989	37,933	26.7	31.2%	26.5%	41.3%
1992/93	33,111	36.7	32.6%	22.8%	45.9%
1993/94	48,527	32.8	36.8%	30.7%	48.8%
1994/95	45,836	35.1	37.3%	31.3%	47.8%
1996/97	51,588	24	32.6%	26.3%	42.6%
1998/99	58,238	24	31.2%	24.2%	41.6%
1998/99	58,238	36	37.8%	29.7%	49.6%

SOURCE: NC Sentencing and Policy Advisory Commission

As noted earlier, the enactment of Structured Sentencing changed who is sentenced to prison and who is placed on probation. Table 1.1 also provides a comparison of recidivism rates for prisoners and probationers for the seven previous studies. Any comparison of FSA and SSA prisoners needs to account for differences in the characteristics of these two groups relative to offense seriousness and time served. The recidivism rates for FSA regular probationers can be compared across the previous recidivism studies and with the SSA community punishment probationers in the current study.⁵ There were some differences in recidivism rates within each category over the sample years, which may have resulted from variations in the follow-up periods, and a greater and consistent difference between categories of prisoners and probationers in each sample year.

² Variable follow-up periods were used for sample years 1989 through 1994/95. Fixed follow-up periods were used for sample years 1996/97 and 1998/99.

³ This category includes FSA offenders on regular probation through FY 1994/95 and SSA offenders on community punishment probation beginning with FY 1996/97.

⁴ This category includes FSA prisoners released on regular parole through FY 1994/95 and all FSA and SSA prisoners beginning with FY 1996/97.

⁵ Since intermediate punishment probationers more likely would have gone to prison under the FSA, community punishment probationers were thought to be most comparable to FSA regular probationers.

While it is too soon to draw valid comparisons between the overall recidivism of SSA and FSA offenders, it is worth noting that recidivism rates over a two-year follow-up were around 32% for the various samples, independent of composition. Structured Sentencing might have an impact on recidivism rates by altering the deterrent effect of sentencing laws and by altering the characteristics, or “mix,” of groups of offenders, but it is possible that while the recidivism of different groups of offenders will change, the overall recidivism rate will stay about the same. However, fluctuation in the rates will ultimately be affected by a host of social and legal factors, in addition to the sentencing laws. Future studies will continue to examine these issues.

Research Design and Methodology

The Sentencing Commission’s expanded legislative mandate translated to a more comprehensive approach in capturing relevant empirical information. The theoretical model adopted to study recidivism pointed to data collection in three time frames for each offender: preexisting factors such as demographic characteristics and criminal history; current criminal justice involvement including current conviction, sentence and correctional program participation; and future measures of social reintegration such as rearrest, reconviction, technical probation revocation, reincarceration, and employment.⁶

Sample

The sample selected for study included all offenders released from prison by the North Carolina Department of Correction (DOC) or placed on probation during Fiscal Year 2001/02. The final study sample includes 57,973 offenders.⁷ Ninety-seven percent of this sample cohort consists of Structured Sentencing cases, affording a comprehensive look at the recidivism of Structured Sentencing offenders.

While all sample probationers were sentenced under the SSA, sample prisoners were divided into those sentenced under the SSA or the FSA. The majority of SSA prisoners, convicted of misdemeanors or felonies within offense classes F through I, were released without supervision. The SSA mandates a nine-month post-release supervision period for all inmates convicted of a felony in offense classes B1 through E,⁸ and FY 2001/02 was the first year with a sufficient number of these released offenders to be included in the study sample. FSA prisoners in the sample were either released without further supervision (max-outs) or were placed on parole supervision for the remainder of their sentence.

⁶ Preexisting factors and current criminal justice involvement are also components in targeting offenders for different correctional sanctions and treatment programs, and assessing their risk levels.

⁷ Pre-FSA cases and FSA probationers were excluded from the sample. Also excluded from analysis were all DWI and traffic offenders.

⁸ Offense classes A through E are defined as violent offenses. Class A, First Degree Murder, carries a death sentence or a life sentence without the possibility of release.

Follow-up Period

Recidivism studies utilize varying lengths of time as their follow-up periods, depending on the availability of data and other resources. With both short term and long term recidivism being of great interest to policy makers, this report provides information on the recidivism of the FY 2001/02 sample of offenders with a fixed three-year follow-up period, with one-year, two-year, and three-year rates provided. When not specified, recidivism will be defined based on the three-year follow-up period.

Time at Risk

While each offender released into the cohort had an equal three-year follow-up period, not all of them were on the street and “at risk” of recidivism for the entire three years. The report takes into account each sample offender’s actual time at risk, by identifying their periods of incarceration in North Carolina’s prison system within the follow-up time frame and subtracting the time incarcerated from the follow-up period.⁹

Outcome and Process Measures

- ▶ Recidivism, defined broadly to cover the offender’s possible span of reinvolvement in the criminal justice system, to include rearrests, reconvictions, technical probation revocations, and reincarcerations.
- ▶ Employment following an offender’s release into the community.
- ▶ Prison infractions for the prison release group included in the sample.

Data Sources

(A) Aggregate Data: three automated data sources were utilized to collect information on the sample of offenders:

- ▶ The Department of Correction’s (DOC) Offender Population Unified System (OPUS) provided demographic and prior record information, current convicted offense and sentence,¹⁰ correctional program assignment, type of punishment, and subsequent technical probation revocations and prison incarcerations.
- ▶ The Department of Justice’s (DOJ) data set was used to provide fingerprinted arrest records for prior and recidivist arrests.
- ▶ Employment Security Commission (ESC) records were used to collect employment information about the sample of offenders prior to and following their current involvement with the criminal justice system.

⁹ Since each county jail maintains its own data, it was not possible to account for time served in county jails during the follow-up period.

¹⁰ “Current” in the context of this study refers to the most serious conviction and sentence for which the offender was released to the community within the sample time frame.

The final data set for this study consists of about 300 items of information (or variables) for the sample of 57,973 offenders released to the community between July 1, 2001, and June 30, 2002, and followed for three years.¹¹

(B) Site Visit Descriptive Data:

For this report, three specific targets were selected for in-depth analysis – programs for female offenders, programs for youthful offenders, and vocational education programs.

To provide a descriptive context for the study, information was collected during a series of site visits and interviews with correctional and community college personnel. Sentencing Commission staff conducted a total of six site visits statewide, including visits to five correctional facilities – Western Youth Institution; Polk Youth Institution; Fountain Correctional Center for Women; North Carolina Correctional Institution for Women; Harnett Correctional Institution, and one substance abuse treatment facility – Mary Frances Center (Women).

Analysis and Report Outline

A case profile was constructed for each sample offender, comprised of personal and criminal history characteristics, the most serious current offense of conviction, type of punishment imposed, correctional program assignments, subsequent employment, and reinvolvement with the criminal justice system (*i.e.*, rearrest; technical probation, post-release or parole revocation; reconviction; and reincarceration).

Chapter Two presents a descriptive statistical profile of the sample and aggregate figures on the incidence and type of prior criminal behavior. It also describes the sample in terms of offender risk (a composite “Risk Factor Score” developed and assigned to each offender).

Chapter Three includes a descriptive analysis of the sample’s subsequent (*i.e.*, recidivistic) criminal involvement, with special focus on the one-, two-, and three-year follow-up. This analysis also allows for some comparisons between the recidivism of offenders released from prison compared to those placed on some form of probation.

Chapter Four utilizes multivariate techniques to assess the relationship between recidivism and various disposition types and correctional programs, while controlling for other relevant preexisting factors. Risk Factor Scores are used in the analysis to isolate the impact of correctional dispositions and programs on the probability of recidivism while holding constant the “risk level” of the offender.

Chapter Five presents a narrative description and statistical information of female offender populations. Chapter Six describes in detail the youthful offender population. Chapter Seven reports on prison programs for vocational education. Finally, Chapter Eight offers a short summary of the study’s approach and main findings and closes with some observations on recidivism in North Carolina following the enactment of Structured Sentencing.

¹¹ A glossary of relevant variables is included in the technical appendix (*see* Appendix C).

CHAPTER TWO STATISTICAL PROFILE OF FY 2001/02 SAMPLE

Type of Punishment

As described in Chapter One, the study sample is comprised of 57,973 offenders who either were placed on probation or were released from prison during FY 2001/02.

FY 2001/02 Sample

The sample is comprised of all offenders who were placed on supervised probation or were released from prison during FY 2001/02, with the following exclusions:

- FSA probation entries;
- pre-FSA cases;
- offenders with a most serious current conviction for driving while impaired (DWI); and
- offenders with a most serious current conviction for a misdemeanor traffic offense.

As shown in Figure 2.1, 97% (n=56,484) of the 57,973 offenders were convicted and sentenced under the Structured Sentencing Act (SSA).¹² The remaining 3% (n=1,489) were convicted and sentenced under the Fair Sentencing Act (FSA).¹³ There were 40,855 probationers and 17,118 prisoners in the FY 2001/02 sample. These can be further subdivided into the following four categories based on type of punishment:

Probation Entries

- SSA probationers who received a community punishment;
- SSA probationers who received an intermediate punishment;

Prison Releases

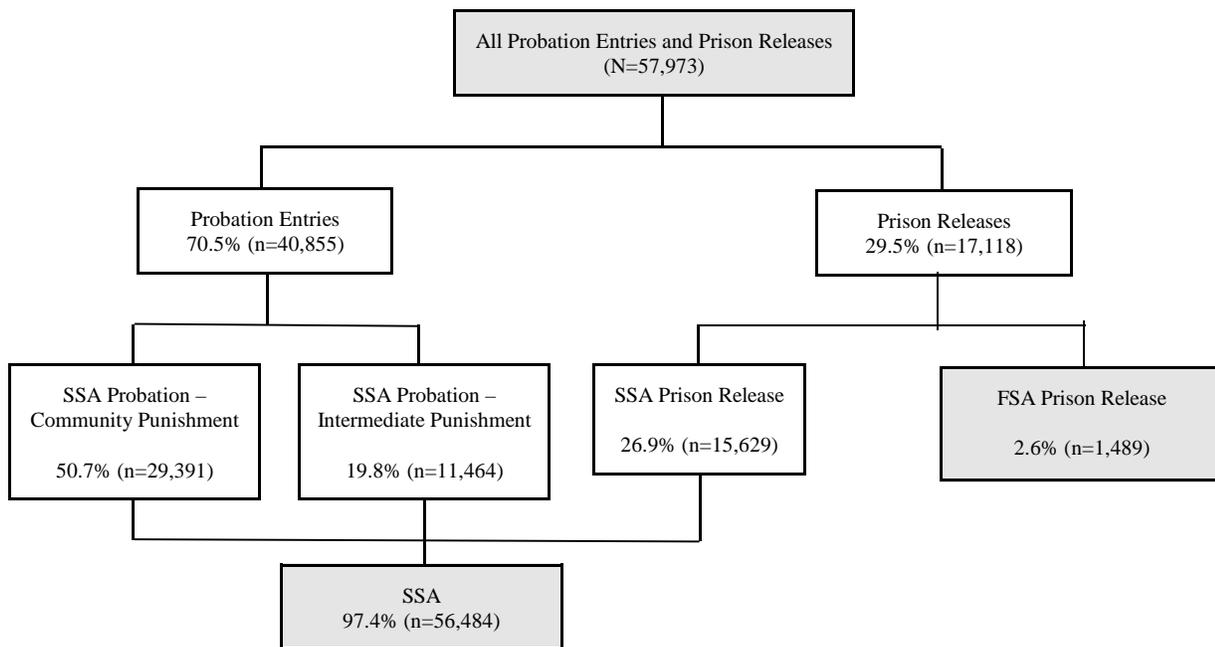
- SSA prison releases¹⁴; and
- FSA prison releases.

¹² Offenders whose offenses were committed on or after October 1, 1994, were sentenced under the Structured Sentencing Act.

¹³ Felony offenders whose offenses were committed prior to October 1, 1994, were sentenced under the Fair Sentencing Act. Misdemeanor offenders whose offenses were committed prior to October 1, 1994, were sentenced under the Trial and Appellate Procedure Act of 1977.

¹⁴ Statistics presented in this report on SSA prison releases include offenders released on post-release supervision. Detailed information for offenders released on post-release supervision is provided in Appendix B.

**Figure 2.1
Type of Punishment**



Definitions for the Types of Punishment

SSA Probation Entries with a Community Punishment: An offender who was sentenced under the Structured Sentencing Act and received a community punishment. Community punishments may consist of a fine, unsupervised probation (although unsupervised probationers were excluded from the sample), or supervised probation, alone or with one or more of the following conditions: outpatient drug/alcohol treatment, community service, assignment to TASC, payment of restitution, or any other conditions of probation that are not considered an intermediate punishment. Offenders with little or no prior criminal history who commit the lowest class felonies (Class H or I) and all misdemeanants may receive a community punishment.

SSA Probation Entries with an Intermediate Punishment: An offender who was sentenced under the Structured Sentencing Act and received an intermediate punishment. An intermediate punishment requires a period of supervised probation with at least one of the following conditions: special probation, assignment to a residential treatment program, house arrest with electronic monitoring, intensive probation, and assignment to a day reporting center. Generally, offenders who have a significant prior record and commit Class H or I felonies and offenders who have little or no prior record and commit more serious non-violent felonies may receive an intermediate punishment.

SSA Prison Releases: An offender who was sentenced under the Structured Sentencing Act, served his/her maximum sentence minus earned time and time for pre-conviction confinement, and was released back into the community usually without any supervision. A small number (n=1,326 or about 8%) of offenders in this category received post-release supervision.

FSA Prison Releases: An offender who was sentenced under the Fair Sentencing Act and was either given an early, conditional release back into the community with supervision, or was unconditionally released from prison (*i.e.*, with no supervision in the community) after serving his/her entire sentence, minus credit for good time, gain time, or pre-conviction confinement.

See Appendix B for further descriptions of the types of punishment and for many of the programs that fall under them.

This is the fourth correctional program evaluation report (i.e., recidivism report) that includes offenders sentenced under the SSA. Although it is tempting to do so, any comparative look at SSA and FSA offenders based on this sample should be done with caution. Specifically, it is not appropriate to contrast SSA prison releases with FSA prison releases because they are not comparable in terms of offense seriousness and time served. The sample year for this study is FY 2001/02, seven years after the implementation of Structured Sentencing. As a result, most of the serious offenders who were sentenced to prison under SSA were still in prison. For the most part, only less serious offenders sentenced to prison under SSA (primarily Class E-I offenders and misdemeanants) had been released by 2002. Because they were a less serious offender population in this sample, SSA prison releases have served substantially less time in prison than FSA prison releases (an average of 11.7 months for SSA prison releases versus 91.7 months for FSA prison releases).

Many of the tables in this chapter present information by probation or prison status for individual categories of probationers and prisoners (also referred to as type of punishment) and for the sample as a whole. The following comparisons are appropriate to make: (1) a comparison of all probationers with all prisoners; (2) a comparison of SSA probationers with SSA prison releases; and (3) a comparison of individual categories of probationers or prisoners with the sample as a whole.

Personal Characteristics

Table 2.1 contains information describing the personal characteristics of the FY 2001/02 sample. Of the 57,973 offenders, 78.7% were male, 54.4% were black, 14.7% were married, 45.9% had twelve or more years of education, 34.2% were identified as having a substance abuse problem, and their average age, at release from prison or placement on probation, was 30. Probationers (and, in particular, probationers with community punishments) had a higher percentage of females than prisoners. On average, offenders who were placed on probation were slightly younger than offenders who were released from prison.

Criminal History

It is important to look at the number of prior arrests for the offenders in the sample since previous research indicates that prior arrests are a strong predictor of recidivism (Clarke and Harrison, 1992; Jones and Ross, 1996; NC Sentencing and Policy Advisory Commission, 1997; 1998; 2000; 2002; 2004). Information on prior arrests for the FY 2001/02 sample is provided in Table 2.2.¹⁵ Overall, 81% of offenders (n=46,961) had one or more prior arrests, with a total of 178,081 prior arrests for the entire sample. Ninety-six percent of prisoners had prior arrests compared to almost 75% of probationers. While probationers were less likely than prisoners to have prior arrests, they accounted for a higher volume of prior arrests due to the larger number of probation entries in the FY 2001/02 sample (91,927 total prior arrests compared to 86,154 total prior

¹⁵ Fingerprinted arrest data from the DOJ were used to determine prior arrests. Prior arrests were defined as fingerprinted arrests that occurred before the conviction that placed the offender in this sample.

Table 2.1
Personal Characteristics by Type of Punishment

Type of Punishment		N	% Male	% Black	Mean Age	% Married	% With Twelve Years of Education or More	% With Substance Abuse
SSA Probation Entries	Community Punishment	29,391	70.6	48.7	29	15.4	49.1	23.6
	Intermediate Punishment	11,464	84.2	55.4	30	14.7	42.9	31.7
	PROBATION SUBTOTAL	40,855	74.4	50.6	29	15.2	47.3	25.8
Prison Releases	SSA Prison Release	15,629	88.3	63.3	31	13.0	42.5	53.6
	FSA Prison Release	1,489	94.6	64.5	36	20.1	44.3	60.4
	PRISON SUBTOTAL	17,118	88.8	63.4	32	13.6	42.6	54.2
TOTAL		57,973	78.7	54.4	30	14.7	45.9	34.2

Note: There are missing values for self-reported years of education.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Table 2.2
Prior Arrests by Type of Punishment

Type of Punishment		N	% Any Prior Arrest	# with Any Prior Arrest	Total Number of Prior Arrests by Type of Crime				
					Overall	Violent	Property	Drug	Other
SSA Probation Entries	Community Punishment	29,391	68.4	20,104	51,890	9,503	26,188	13,863	9,809
	Intermediate Punishment	11,464	90.5	10,374	40,037	7,811	19,371	11,375	7,724
	PROBATION SUBTOTAL	40,855	74.6	30,478	91,927	17,314	45,559	25,238	17,533
Prison Releases	SSA Prison Release	15,629	96.2	15,032	78,533	14,709	41,866	20,285	13,709
	FSA Prison Release	1,489	97.5	1,451	7,621	1,673	4,845	1,079	987
	PRISON SUBTOTAL	17,118	96.3	16,483	86,154	16,382	46,711	21,364	14,696
TOTAL		57,973	81.0	46,961	178,081	33,696	92,270	46,602	32,229

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

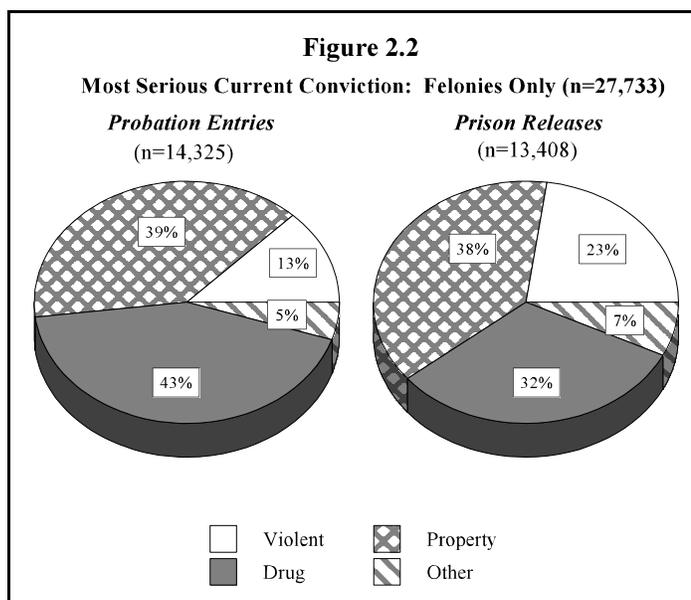
arrests, respectively). Compared to the other types of supervision, probationers sentenced to a community punishment had a considerably lower percentage of prior arrests (68.4%). The mean number of prior arrests for each group can be calculated by dividing the total number of arrests for a specific group by the number of offenders with any prior arrest for that group. The average number of prior arrests for the 46,961 offenders with a prior arrest was 3.8 (178,081/46,961), with probationers having an average of 3.0 prior arrests (91,927/30,478) and prisoners having an average of 5.2 prior arrests (86,154/16,483). For all comparisons, prior property offenses comprised the highest volume of arrests, followed by drug offenses. As expected, prisoners had a higher total number and a higher mean number of violent prior arrests than probationers.

Intermediate punishment probationers fell in between community punishment probationers and prisoners with regard to their arrest history. For example, they fell in between the two groups when comparing the percent having prior arrests (90.5%) or a history of violence (with an average of 0.8 prior violent arrests for those having prior arrests). These findings confirm the philosophy behind Structured Sentencing that probationers who receive intermediate punishments are more serious offenders than those who receive community punishments, but less serious than those who receive prison sentences.

Most Serious Current Conviction

Overall, 48% (n=27,733) of the FY 2001/02 sample had a felony offense as the most serious current conviction and 52% (n=30,240) had a misdemeanor offense as the most serious current conviction.¹⁶ Figures 2.2 and 2.3 present the category of conviction (violent, property, drug, or “other”) for probation entries and prison releases by felony/misdemeanor status.

As shown in Figure 2.2, the majority of probationers with a current felony conviction had convictions for drug offenses (43%), followed by property offenses (39%). For prisoners with a current felony conviction, the majority had convictions for property offenses (38%), followed by convictions for drug offenses (32%). As anticipated, prisoners were more likely to have a current conviction for violent offenses (23%) than probationers (13%).



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

¹⁶ Each offender’s conviction(s) that placed him/her in the sample as a prison release or probation entry during FY 2001/02 were ranked in terms of seriousness and only the most serious conviction was used for analysis. For the sake of brevity, the term “most serious current conviction” is often referred to as “current conviction.”

The majority of probationers and prisoners with current misdemeanor convictions were convicted of property offenses – at 43% each (*see* Figure 2.3). Probationers had a higher percentage of drug convictions (19%) compared to prisoners (14%). As expected, prisoners had a higher percentage of violent convictions (38%) compared to probationers (28%).

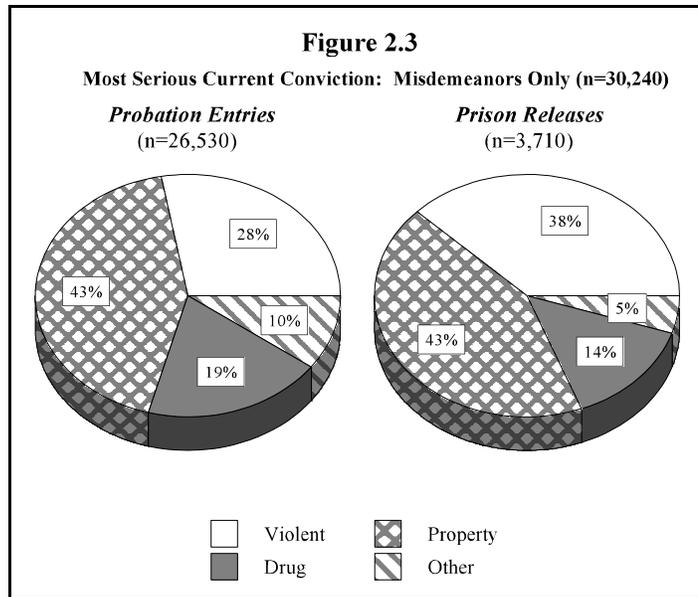
The most serious current conviction by type of punishment is presented in Table 2.3. Overall, 40.9% of the sample had a most serious current conviction for a property offense, followed by 27.7% for drug offenses, 23.6% for violent offenses, and 7.9% for “other” offenses. Community punishment

probationers were more likely to have a most serious current conviction for a misdemeanor offense (80.4%) and the current conviction was most likely to be for a misdemeanor property offense (35.7%). Almost 75% of intermediate punishment probationers had a most serious current conviction for a felony offense and the current conviction was most likely to be for a felony drug offense (28.1%) or a felony property offense (26.9%). Almost 77% of SSA prison releases had a most serious current conviction for a felony offense, with 29.0% for felony property offenses and 26.0% for felony drug offenses. The majority of FSA prison releases (96.2%) had current convictions for felony offenses. FSA prison releases were most likely to have a current conviction for felony property offenses (42.3%) and felony violent offenses (37.1%). The data presented in Table 2.3 illustrate that SSA prisoners differ from FSA prisoners in terms of offense seriousness and, therefore, are not comparable categories of offenders. The difference is further illustrated by the fact that the average time served for prisoners was 11.7 months for SSA prison releases and 91.7 months for FSA prison releases.

Offender Risk and Recidivism

Evaluations of correctional programs using recidivism as the outcome measure of “success” are fairly commonplace. However, a frequent problem encountered by both researchers and policy makers interpreting the results of these studies is that most have no way to control for different levels of offender risk. Offenders vary in their risk of recidivating, independent of any intervention provided. This finding has been confirmed repeatedly in research, and is being applied in risk assessments used for sentencing and in correctional policy to classify inmate custody levels and to make parole decisions.

In a perfect research setting, offenders would be randomly selected into the various correctional programs to be evaluated. In the reality of corrections this is not possible because of



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Table 2.3
Most Serious Current Conviction by Type of Punishment

Type of Punishment		N	Type of Conviction								% Total	
			% Violent		% Property		% Drug		% Other			
			Fel.	Misd.	Fel.	Misd.	Fel.	Misd.	Fel.	Misd.	Fel.	Misd.
SSA Probation Entries	Community Punishment	29,391	0.7	20.4	8.4	35.7	9.8	16.2	0.7	8.2	19.6	80.4
	Intermediate Punishment	11,464	15.0	11.2	26.9	8.2	28.1	3.4	4.8	2.4	74.8	25.2
	PROBATION SUBTOTAL	40,855	4.7	17.9	13.6	28.0	14.9	12.6	1.9	6.5	35.1	64.9
Prison Releases	SSA Prison Release	15,629	16.2	9.0	29.0	9.9	26.0	3.2	5.4	1.3	76.6	23.4
	FSA Prison Release	1,489	37.1	1.2	42.3	2.2	13.3	0.1	3.5	0.2	96.2	3.8
	PRISON SUBTOTAL	17,118	18.0	8.3	30.2	9.2	24.9	3.0	5.3	1.2	78.3	21.7
TOTAL		57,973	8.6	15.0	18.5	22.4	17.9	9.8	2.9	5.0	47.8	52.2

Note: Percentages may not add to 100% due to rounding.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

practical, public safety, and legal considerations. Instead, this study attempts to control statistically for types of offenders by developing a risk model that divides offenders into three levels of risk: high, medium and low. Using risk level as an independent control variable allows for a comparative analysis of the recidivism rates of offenders who did and did not participate in a particular program or intervention.

Components of Risk

Variables used to create the “risk” measure for this study are those identified in the literature as increasing or decreasing a person’s risk of being arrested.¹⁷ For the purposes of this study, risk is defined as *the projected probability of rearrest*, and is not intended to measure seriousness of future offenses or offender dangerousness.

A composite measure, risk is made up of a number of factors that can be loosely divided into the following three categories:

1. Personal Characteristics

- ▶ *Offender’s age when placed on probation or released from prison*
- ▶ *Sex*
- ▶ *Race¹⁸*
- ▶ *Marital status*
- ▶ *Employment status at time of arrest for prisoners and at the time of probation entry for probationers*
- ▶ *History of substance abuse problems as indicated by prison or probation assessment*

2. Criminal History

- ▶ *Age at first arrest*
- ▶ *Length of criminal history*
- ▶ *Number of prior arrests*
- ▶ *Number of prior drug arrests*
- ▶ *Most serious prior arrest*
- ▶ *Number of prior probation/parole revocations*
- ▶ *Number of prior probation sentences*
- ▶ *Number of prior prison sentences*

¹⁷ Previous recidivism studies conducted by the North Carolina Sentencing and Policy Advisory Commission have used a measure of risk in the analysis, and found that many of the differences between programs diminished when risk was controlled for (Clarke and Harrison, 1992; NC Sentencing and Policy Advisory Commission, 1998; 2000; 2002; 2004). See the section in Appendix C-2 on risk for a more in-depth discussion of how the risk score was developed for this study.

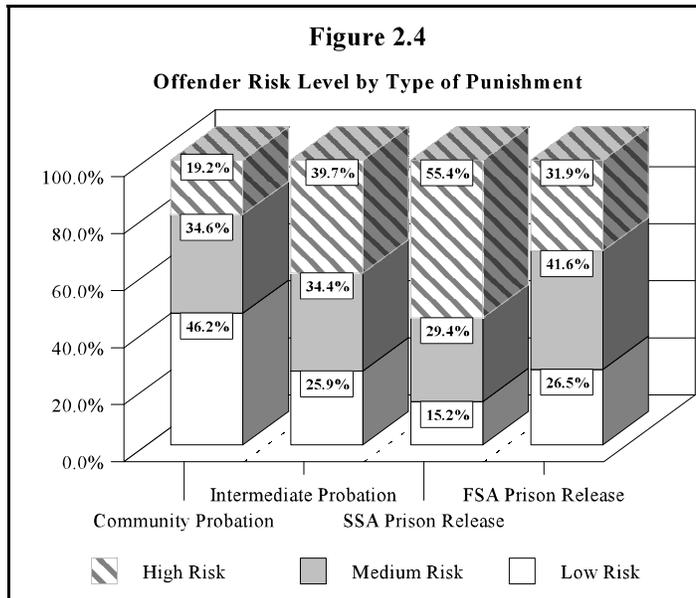
¹⁸ Of the FY 2001/02 sample, 54.4% were black, 40.3% were white, and the remaining 5.3% were Indian (1.9%), Asian or Oriental (0.2%), other (3.1%), or unknown (0.1%). Based on this distribution, race was collapsed into two categories, black and non-black. White, Asian and Indian offenders as well as offenders with an “other” or “unknown” race were included in the non-black category.

3. Current Sentence Information

- ▶ *Offense class*
- ▶ *Maximum sentence length*

A risk score was computed for all offenders in the sample based on these factors. The offenders were then divided into three groups of approximately equal size according to their risk score, with the lowest third as “Low Risk,” the middle third as “Medium Risk,” and the top third as “High Risk.”

As shown in Figure 2.4, risk level varied by the type of punishment. Probationers sentenced to a community punishment were much more likely to be low risk than offenders supervised in other ways. For instance, only 15.2% of SSA prison releases were low risk compared to 46.2% of probationers sentenced to a community punishment. Conversely, prisoners were much more likely to be high risk than probationers.



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Summary

Chapter Two provided a description of the FY 2001/02 sample’s demographic characteristics, prior criminal history, current conviction, and offender risk level. Of the 57,973 offenders placed on probation or released from prison in FY 2001/02, 79% were male, 54% were black, 81% had at least one prior arrest, and 48% had a most serious conviction for a felony offense. Offender risk level was found to increase by type of punishment, with community punishment probationers having the lowest risk scores and SSA prison releases having the highest risk scores. Chapter Three examines the sample’s subsequent criminal involvement, as measured by rearrests, reconvictions, technical revocations, and reincarcerations.

CHAPTER THREE

CRIMINAL JUSTICE OUTCOME MEASURES FOR THE FY 2001/02 SAMPLE

Definition of the Follow-Up Period and Time at Risk

Each offender in the FY 2001/02 sample was followed for a period of three years to determine whether repeat criminal behavior occurred, with one-year, two-year, and three-year recidivism rates reported.¹⁹ The three-year follow-up period was calculated on an individual basis using the prison release date plus three years for prison releases and using the probation entry date plus three years for probation entries. A fixed follow-up period was used in an attempt to obtain the same “window of opportunity” for each offender to recidivate. In actuality, the same window of opportunity was not necessarily available due to technical probation, post-release supervision, or parole revocations which result in incarceration or due to the commission of new crimes which result in incarceration.²⁰ Incarcerations resulting from technical revocations may artificially reduce recidivist arrests since the offender no longer has the same amount of time in the community to recidivate. As a result, offenders who were not rearrested during the follow-up may appear to be a success but may have actually experienced another type of criminal justice failure (*i.e.*, technical revocation and incarceration) during the follow-up period.

In order to take into account each offender’s window of opportunity to recidivate during the follow-up period, each offender’s actual time at risk was calculated by identifying their periods of incarceration in North Carolina’s prison system and by subtracting the length of time incarcerated from the follow-up period. It is important to note that it was not possible to account for time spent in county jails during the follow-up period since each of the State’s county jails maintains its own data. In North Carolina, only offenders who are sentenced to active terms of 90 days or less are incarcerated in county jail. Lack of automated statewide county jail data affects the data presented in this chapter in two ways: 1) time incarcerated in county jails is not subtracted from actual time at risk during the follow-up period and 2) incarceration in county jails, either as a result of new sentences or technical revocations, is not included as part of the recidivist incarceration measure.

Table 3.1 provides information on time at risk for offenders in the FY 2001/02 sample. As expected, the percent of the sample at risk for the entire follow-up period declined across the follow-up period. Overall, 88% of the FY 2001/02 sample were at risk for the entire one-year follow-up period, 78% were at risk for the entire two-year follow-up period, and 72% were at risk for the entire three-year follow-up period. While there was relatively little difference between probationers and prisoners with regards to the average time at risk for the one-year follow-up period, differences between the two groups increased for the two- and three-year follow-up periods, with prisoners being

¹⁹ Each follow-up period reported is inclusive of the previous follow-up periods, *e.g.*, the two-year follow-up period contains information on events that occurred during the first and second years of follow-up. As a result, the recidivism rates reported for each follow-up period cannot be added across follow-up periods.

²⁰ Technical revocations result from failure to comply with the conditions of probation, post-release supervision, or parole (as opposed to a new violation of the law), such as having positive drug tests, failing to attend court-ordered treatment, or violating curfew.

Table 3.1
Percent at Risk and Average Time at Risk by Type of Punishment

Type of Punishment	N	Percent at Risk and Average Time at Risk			
		1-Year Follow-Up (365 Days)	2-Year Follow-Up (730 Days)	3-Year Follow-Up (1,095 Days)	
SSA Probation Entries	Community Punishment	29,391	94% 359 days	87% 709 days	83% 1,059 days
	Intermediate Punishment	11,464	74% 329 days	61% 643 days	54% 963 days
	PROBATION SUBTOTAL	40,855	88% 350 days	80% 691 days	75% 1,032 days
Prison Releases	SSA Prison Release	15,629	86% 348 days	73% 671 days	64% 984 days
	FSA Prison Release	1,489	89% 351 days	77% 678 days	70% 991 days
	PRISON SUBTOTAL	17,118	87% 348 days	74% 672 days	64% 985 days
TOTAL	57,973	88% 350 days	78% 685 days	72% 1,018 days	

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

at risk fewer days than probationers (672 days compared to 691 days for the two-year follow-up and 985 days compared to 1,032 days for the three-year follow-up, respectively). Of the four types of punishment, probationers with an intermediate punishment had the lowest percentage of offenders who were at risk for the entire follow-up period and were at risk fewer days during follow-up.

Criminal Justice Outcome Measures

The Sentencing Commission uses rearrests as its primary measure of recidivism, supplemented by information on reconvictions, technical probation revocations, and reincarcerations to assess the extent of an offender's repeat involvement in the criminal justice system. While not a traditional measure of recidivism, technical probation revocations were considered a criminal justice outcome measure for this study due to the linkage between technical revocation and time at risk during the follow-up period.

In the following sections, criminal justice outcome measures are presented for the entire sample, as well as by type of punishment.²¹

Recidivist Arrests²²

Overall, 21.3% of the FY 2001/02 sample were rearrested during the one-year follow-up, 31.5% were rearrested during the two-year follow-up, and 38.2% were rearrested during the three-year follow-up (*see* Table 3.2).²³ Overall, prisoners were more likely to be rearrested than probationers, with a 49.8% rearrest rate for the three-year follow-up period. Probationers with a community punishment were the least likely of the four types of supervision to be rearrested.²⁴

Table 3.3 provides information on the actual number of arrests for those who were rearrested during the follow-up period, as well as the types of crimes for which they were rearrested. The 22,124 offenders who were rearrested during the three-year follow-up accounted for a total of 46,225 arrests during this period, with 9,239 arrests for violent offenses, 21,190 arrests for property offenses, 12,946 arrests for drug offenses, and 13,042 arrests for "other" offenses. While probationers were

²¹ Statistics presented in this report on SSA prison releases include offenders released on post-release supervision. Detailed information for offenders released on post-release supervision is provided in Appendix B.

²² Fingerprinted arrest data from DCI were used to determine recidivist arrests and convictions. Recidivist arrests were defined as fingerprinted arrests that occurred after an offender was released from prison or placed on probation for the conviction that placed him/her in the sample.

²³ It must be noted that the rearrest rates reported in this section do not take into account the fact that some offenders were not at risk for the entire follow-up period as a result of incarceration. It is possible to calculate adjusted recidivism rates that estimate the rate of rearrest that would have occurred if every offender were at risk for the entire follow-up period. For a comparison of rearrest rates with adjusted rearrest rates (*i.e.*, rearrest rates that are adjusted for time at risk), see the Commission's 2004 recidivism report.

²⁴ As noted in Chapter Two, it is not appropriate to contrast SSA prison releases with FSA prison releases because they are not comparable in terms of offense seriousness and time served.

**Table 3.2
Rearrest Rates by Type of Punishment**

Type of Punishment		N	Rearrest Rates		
			1-Year Follow-Up	2-Year Follow-Up	3-Year Follow-Up
SSA Probation Entries	Community Punishment	29,391	16.9	24.7	30.1
	Intermediate Punishment	11,464	22.7	33.8	41.4
	PROBATION SUBTOTAL	40,855	18.5	27.3	33.3
Prison Releases	SSA Prison Release	15,629	28.6	42.2	50.6
	FSA Prison Release	1,489	21.3	34.9	41.6
	PRISON SUBTOTAL	17,118	28.0	41.6	49.8
TOTAL		57,973	21.3	31.5	38.2

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

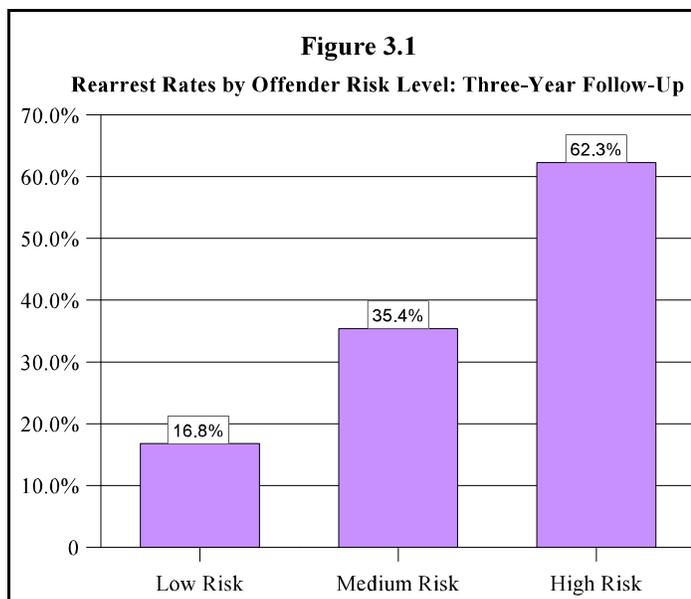
Table 3.3
Rearrests by Type of Punishment and Crime Type

Type of Punishment		# with Any Rearrest	Total Number and Average Number of Arrests During the Three-Year Follow-Up Period									
			Overall		Violent		Property		Drug		Other	
			#	Avg.	#	Avg.	#	Avg.	#	Avg.	#	Avg.
SSA Probation Entries	Community Punishment	8,849	17,160	1.9	3,467	0.4	7,866	0.9	4,815	0.5	4,579	0.5
	Intermediate Punishment	4,750	9,744	2.1	1,887	0.4	4,348	0.9	2,823	0.6	2,904	0.6
PROBATION SUBTOTAL		13,599	26,904	2.0	5,354	0.4	12,214	0.9	7,638	0.6	7,483	0.6
Prison Releases	SSA Prison Release	7,906	17,974	2.3	3,559	0.5	8,316	1.1	5,028	0.6	5,163	0.7
	FSA Prison Release	619	1,347	2.2	326	0.5	660	1.1	280	0.5	396	0.6
	PRISON SUBTOTAL	8,525	19,321	2.3	3,885	0.5	8,976	1.1	5,308	0.6	5,559	0.7
TOTAL		22,124	46,225	2.1	9,239	0.4	21,190	1.0	12,946	0.6	13,042	0.6

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

less likely to be rearrested than prisoners, they accounted for a higher volume of arrests due to the larger number of probation entries in the FY 2001/02 sample.

Table 3.3 also includes information on the mean number of rearrests for each group. The average number of overall arrests for those who were rearrested was 2.1 for the three-year follow-up. Prisoners who were rearrested had a slightly higher average number of rearrests during the three-year follow-up (2.3) than probationers (2.0). Overall, the average number of violent arrests was 0.4 for those with a recidivist arrest during the three-year follow-up. Little variation was found between the groups with regard to recidivist arrests for violent offenses during the four-year follow-up, although prisoners had a slightly higher average number of violent rearrests.



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

As shown in Figure 3.1, recidivism rates varied considerably by risk level, with a stair-step increase in the percentage rearrested from low risk to medium risk to high risk. High risk offenders had a rearrest rate of 62.3% during the three-year follow-up period – over three and one-half times higher than the rearrest rate of low risk offenders (16.8%).

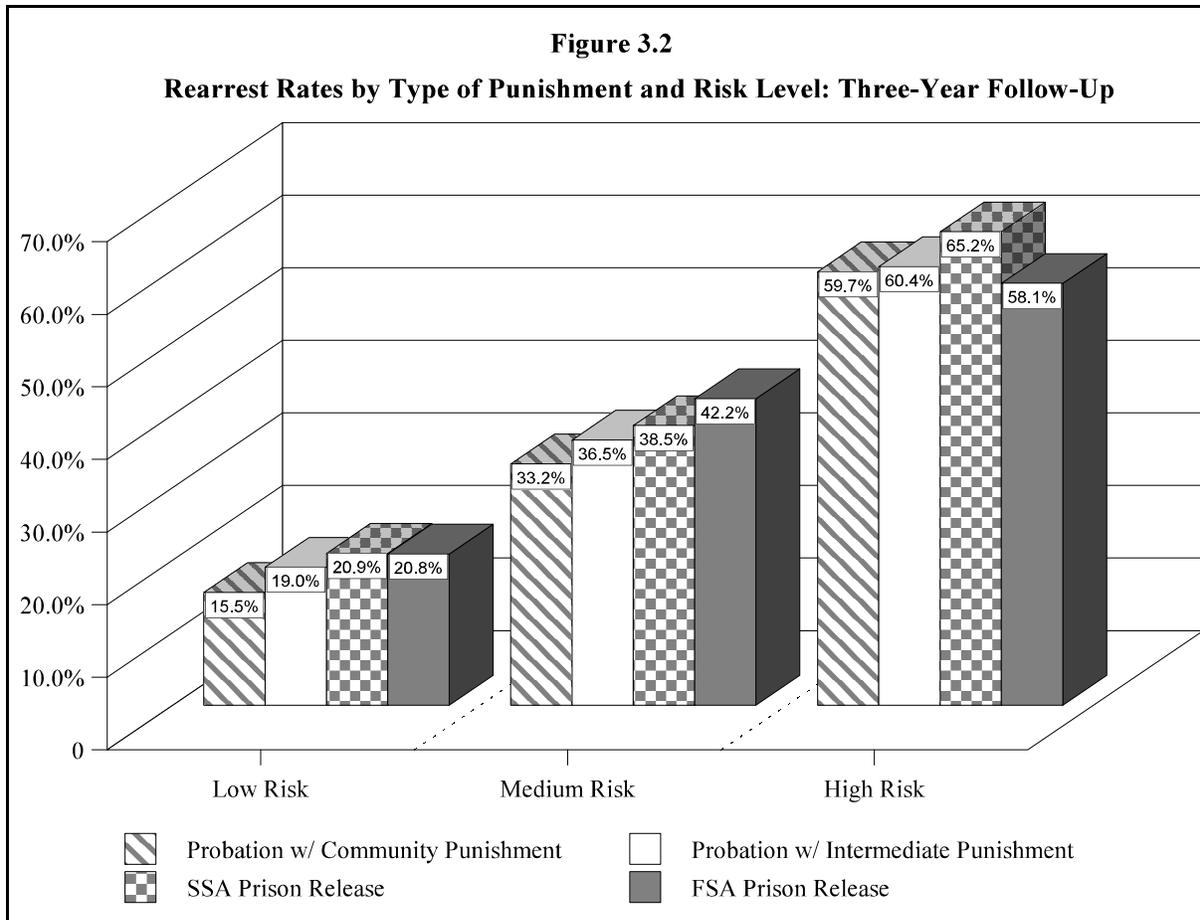
As shown in Table 3.4, the stair-step pattern in rearrest rates found for offender risk level for the entire sample was also found when examining offender risk level by type of punishment. Figure 3.2 illustrates the relationship between type of punishment and rearrest during the three-year follow-up period when controlling for risk level. Once risk level is controlled for, most of the differences in rearrest rates between offenders on different types of supervision disappear. For the three-year follow-up period, rearrest rates for low risk offenders ranged from 15.5% for probationers with a community punishment to 20.9% for SSA prison releases, while rearrest rates for high risk offenders ranged from 59.7% for probationers with a community punishment to 65.2% for SSA prison releases over the three-year follow-up period.

For those who were rearrested during the three-year follow-up period, their first rearrest occurred an average of 12.7 months after entry to probation or release from prison. There was little variation in the time to first rearrest among the four groups. The average number of months to rearrest was 12.7 for community punishment probationers, 12.8 for intermediate punishment probationers, 12.6 for SSA prison releases, and 13.6 for FSA prison releases.

Table 3.4
Rearrest Rates by Type of Punishment and Offender Risk Level

Type of Punishment		% Rearrest by Offender Risk Level								
		1-Year Follow-Up			2-Year Follow-Up			3-Year Follow-Up		
		Low	Medium	High	Low	Medium	High	Low	Medium	High
SSA Probation Entries	Community Punishment	7.8	18.2	36.2	12.2	27.0	50.7	15.5	33.2	59.7
	Intermediate Punishment	9.3	18.2	35.5	14.4	28.9	50.9	19.0	36.5	60.4
PROBATION SUBTOTAL		8.1	18.2	35.9	12.6	27.5	50.8	16.1	34.1	60.0
Prison Releases	SSA Prison Release	8.7	18.2	39.7	15.2	30.3	56.0	20.9	38.5	65.2
	FSA Prison Release	7.9	20.2	33.9	16.0	34.4	51.2	20.8	42.2	58.1
	PRISON SUBTOTAL	8.6	18.4	39.4	15.3	30.8	55.8	20.9	38.9	64.8
TOTAL		8.1	18.3	37.5	13.0	28.4	53.1	16.8	35.4	62.3

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Recidivist Convictions²⁵

Overall, 9.6% of the FY 2001/02 sample had a reconviction during the one-year follow-up period, 19.6% had a reconviction during the two-year follow-up period, and 26.5% had a reconviction during the three-year follow-up period (*see* Table 3.5).²⁶ Overall, prisoners had a higher percentage of recidivist convictions than probationers. For example, 35.9% of prisoners had a recidivist conviction during the three-year follow-up compared to 22.5% of probationers. Intermediate punishment probationers had a higher percentage of recidivist convictions during the three-year follow-up than community punishment probationers, with 28.4% of intermediate punishment probationers having recidivist convictions compared to 22.5% of community punishment

²⁵ Fingerprinted arrest data from the DOJ were used to determine recidivist arrests and convictions. Recidivist convictions were defined as convictions that occurred after an offender was released from prison or placed on probation for the conviction that placed him/her in the sample.

²⁶ Beginning with the 2004 report, an improvement was made in the way the Sentencing Commission uses DOJ data to determine reconviction rates.

probationers. During the three-year follow-up period, 10.0% of low risk offenders, 23.9% of medium risk offenders, and 45.4% of high risk offenders had a recidivist conviction.

Table 3.5
Reconviction Rates by Type of Punishment

Type of Punishment		N	% Reconviction:		
			1-Year Follow-Up	2-Year Follow-Up	3-Year Follow-Up
SSA Probation Entries	Community Punishment	29,391	7.5	15.0	20.2
	Intermediate Punishment	11,464	10.5	20.8	28.4
	PROBATION SUBTOTAL	40,855	8.3	16.6	22.5
Prison Releases	SSA Prison Release	15,629	12.9	27.2	36.7
	FSA Prison Release	1,489	7.7	20.2	27.7
	PRISON SUBTOTAL	17,118	12.5	26.6	35.9
TOTAL		57,973	9.6	19.6	26.5

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Table 3.6 provides information on the volume and types of recidivist convictions. The 15,337 offenders who had a recidivist conviction by the end of the three-year follow-up accounted for 22,438 convictions during this period, with 3,603 convictions for violent offenses, 10,851 convictions for property offenses, 6,389 convictions for drug offenses, and 5,313 convictions for “other” offenses. While a lower percentage of probationers had a recidivist conviction than prisoners, they accounted for a higher number of convictions than prisoners due to the larger number of probation entries in the FY 2001/02 sample.

Table 3.6 also includes the average number of recidivist convictions for each group. The average number of overall convictions for those with a recidivist conviction was 1.5 for the three-year follow-up. Prisoners who were rearrested had a slightly higher average number of recidivist convictions (1.5) than probationers (1.4). Overall, the average number of violent convictions was 0.2 for those with a recidivist conviction during the three-year follow-up. However, prisoners who were rearrested had an average of 0.3 violent rearrests.

Table 3.6
Reconvictions by Type of Punishment and Crime Type

Type of Punishment		# with Any Conv.	Total Number and Average Number of Convictions During the Three-Year Follow-Up Period									
			Overall		Violent		Property		Drug		Other	
			#	Avg.	#	Avg.	#	Avg.	#	Avg.	#	Avg.
SSA Probation Entries	Community Punishment	5,936	8,458	1.4	1,301	0.2	4,064	0.7	2,368	0.4	1,851	0.3
	Intermediate Punishment	3,256	4,626	1.4	706	0.2	2,145	0.7	1,407	0.4	1,150	0.4
PROBATION SUBTOTAL		9,192	13,084	1.4	2,007	0.2	6,209	0.7	3,775	0.4	3,001	0.3
Prison Releases	SSA Prison Release	5,733	8,780	1.5	1,461	0.3	4,340	0.8	2,494	0.4	2,162	0.4
	FSA Prison Release	412	574	1.4	135	0.3	302	0.7	120	0.3	150	0.4
	PRISON SUBTOTAL	6,145	9,354	1.5	1,596	0.3	4,642	0.8	2,614	0.4	2,312	0.4
TOTAL		15,337	22,438	1.5	3,603	0.2	10,851	0.7	6,389	0.4	5,313	0.3

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

For offenders who had a recidivist conviction during the three-year follow-up period, their first recidivist conviction occurred an average of 17.0 months after entry to probation or release from prison. There was little variation in the time to first reconviction among the four groups. The average number of months to reconviction was 16.8 for community punishment probationers, 16.9 for intermediate punishment probationers, 17.1 for SSA prison releases, and 18.2 for FSA prison releases.

Technical Revocations²⁷

Overall, 12.4% of the FY 2001/02 sample had a technical revocation during the one-year follow-up period, 21.3% had a technical revocation during the two-year follow-up period, and 26.4% had a technical revocation during the three-year follow-up period (*see* Table 3.7). This analysis is limited to revocations that are technical in nature since revocations for new crimes would duplicate the recidivist arrest data. Of those offenders with a technical revocation during the three-year follow-up period, 91% had one technical revocation, 8% had two technical revocations, and 1% had three or more technical revocations. It is not surprising that the greatest increases in the technical revocation rates are in the first and second year of the follow-up period since most probation sentences in North Carolina do not exceed 3 years (36 months), although there are exceptions. It is possible that technical revocations in the later years of the follow-up period resulted from new probation sentences imposed during follow-up.

Of the four groups, probationers with an intermediate punishment had the highest technical revocation rates during the follow-up period, with 39.5% having a technical revocation within the three-year follow-up. Probationers with a community punishment had the second highest technical revocation rates during the follow-up period, with 25.5% having a technical revocation within the three-year follow-up period. It is not surprising that intermediate punishment probationers had a higher technical revocation rate than community punishment probationers since intermediate probationers are subject to closer monitoring and more restrictive sanctions while on probation.

During the three-year follow-up period, 15.6% of low risk offenders, 26.7% of medium risk offenders, and 37.0% of high risk offenders had a technical revocation. For offenders who had a technical revocation during the three-year follow-up, their first technical revocation occurred an average of 14.7 months after entry to probation or release from prison. The average number of months to technical revocation was 14.5 for community punishment probationers, 12.9 for intermediate punishment probationers, 18.0 for SSA prison releases, and 15.9 for FSA prison releases. One possible explanation for the longer average time to revocation for prison releases is that they may have committed a new crime during follow-up for which they were placed on probation and later revoked.

²⁷ DOC's OPUS data were used to determine technical revocations. Revocations are limited to those that are technical in nature since revocations for new crimes would duplicate the recidivist arrest data. Although probationers are the primary population at risk of technical revocation, prisoners may also be at risk of technical revocation as a result of post-release supervision, parole, or due to new probation sentences consecutive to their prison sentences or resulting from probation sentences imposed for new crimes committed during follow-up.

**Table 3.7
Technical Revocation Rates by Type of Punishment**

Type of Punishment		N	% Technical Revocation:		
			1-Year Follow-Up	2-Year Follow-Up	3-Year Follow-Up
SSA Probation Entries	Community Punishment	29,391	12.0	21.0	25.5
	Intermediate Punishment	11,464	22.2	33.8	39.5
	PROBATION SUBTOTAL	40,855	14.9	24.6	29.4
Prison Releases	SSA Prison Release	15,629	6.6	13.6	19.6
	FSA Prison Release	1,489	6.7	11.6	16.1
	PRISON SUBTOTAL	17,118	6.6	13.4	19.3
TOTAL		57,973	12.4	21.3	26.4

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Recidivist Incarcerations²⁸

Of the FY 2001/02 sample, 12.1% had a recidivist incarceration during the one-year follow-up period, 22.0% had a recidivist incarceration during the two-year follow-up period, and 28.3% had a recidivist incarceration during the three-year follow-up period (as shown in Table 3.8). Recidivist incarcerations may have occurred as a result of the sentence imposed for a new crime committed during the follow-up period or due to a technical revocation during the follow-up period. Overall, prisoners were more likely to have a recidivist incarceration than probationers, with a 35.9% incarceration rate at the end of the three-year follow-up compared to 25.1% of probationers. Of the

²⁸ DOC's OPUS data were used to determine recidivist incarcerations (*i.e.*, incarcerations that occurred during the follow-up period). It must be noted that the data presented on recidivist incarcerations only include incarceration in North Carolina's state prison system. It does not include periods of incarceration in county jails or incarceration in other states. Incarcerations may have occurred as a result of the sentence imposed for a new crime committed during the follow-up period or due to a technical revocation during the follow-up period. Throughout the report, the term "reincarceration" is used interchangeably with "recidivist incarcerations." These terms refer to incarcerations during the three-year follow-up for offenders who have no prior incarcerations, as well as for those who have prior incarcerations.

four groups, probationers with community punishments had the lowest incarceration rate during the follow-up period and probationers with intermediate punishments had the highest incarceration rate during the follow-up period. The high incarceration rates for this group are most likely linked to the high technical revocation rates for this group. Of those offenders with an incarceration during the three-year follow-up period, 81% had one incarceration, 16% had two incarcerations, 3% had three or more incarcerations.

During the three-year follow-up period, 10.9% of low risk offenders, 25.7% of medium risk offenders, and 48.1% of high risk offenders had a recidivist incarceration. For those who had an incarceration during the three-year follow-up period, their first incarceration occurred an average of 15.4 months after entry to probation or release from prison. The average number of months to incarceration was 16.7 for community punishment probationers, 12.3 for intermediate punishment probationers, 16.8 for SSA prison releases, and 16.4 for FSA prison releases.

**Table 3.8
Reincarceration Rates by Type of Punishment**

Type of Punishment		N	% Reincarceration:		
			1-Year Follow-Up	2-Year Follow-Up	3-Year Follow-Up
SSA Probation Entries	Community Punishment	29,391	6.1	12.9	17.1
	Intermediate Punishment	11,464	25.9	38.7	45.5
	PROBATION SUBTOTAL	40,855	11.6	20.2	25.1
Prison Releases	SSA Prison Release	15,629	13.6	26.7	36.4
	FSA Prison Release	1,489	11.2	22.7	30.2
	PRISON SUBTOTAL	17,118	13.4	26.4	35.9
TOTAL		57,973	12.1	22.0	28.3

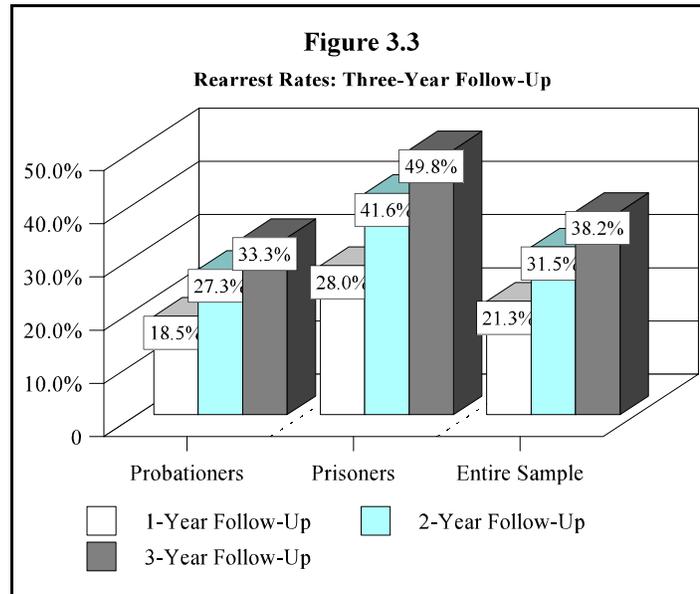
SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Summary

Chapter Three provided information on “time at risk” during the follow-up period. Each offender’s actual time at risk was calculated by identifying their periods of incarceration in North Carolina’s prison system during follow-up and subtracting the time incarcerated from the follow-up period.²⁹ Overall, 72% of the entire sample were at risk for the entire three-year follow-up period. Time at risk for the three-year follow-up period varied considerably for prisoners and probationers, as well as for the subcategories comprising each group.

Examination of rearrest rates over the three-year follow-up period indicates that rearrest rates increase from year to year, but at a decreasing rate. Figure 3.3 provides a summary of rearrest rates for the three-year follow-up period for probationers, prisoners, and the sample as a whole. Overall, about 38% of the FY 2001/02 sample were rearrested during the three-year follow-up period. Prisoners had higher rearrest rates than probationers.

Beginning with the 2004 recidivism report, the Sentencing Commission expanded its definition of recidivism to include technical revocations and reincarcerations, in addition to the traditional measures of rearrest and reconviction. Figure 3.4 summarizes criminal justice outcomes for the FY 2001/02 sample during the three-year follow-up period by type of punishment.³⁰ Overall, prisoners had higher rearrest and reconviction rates than probationers. Intermediate punishment probationers had higher rearrest and reconviction rates than community punishment probationers. Probationers had higher technical revocation rates

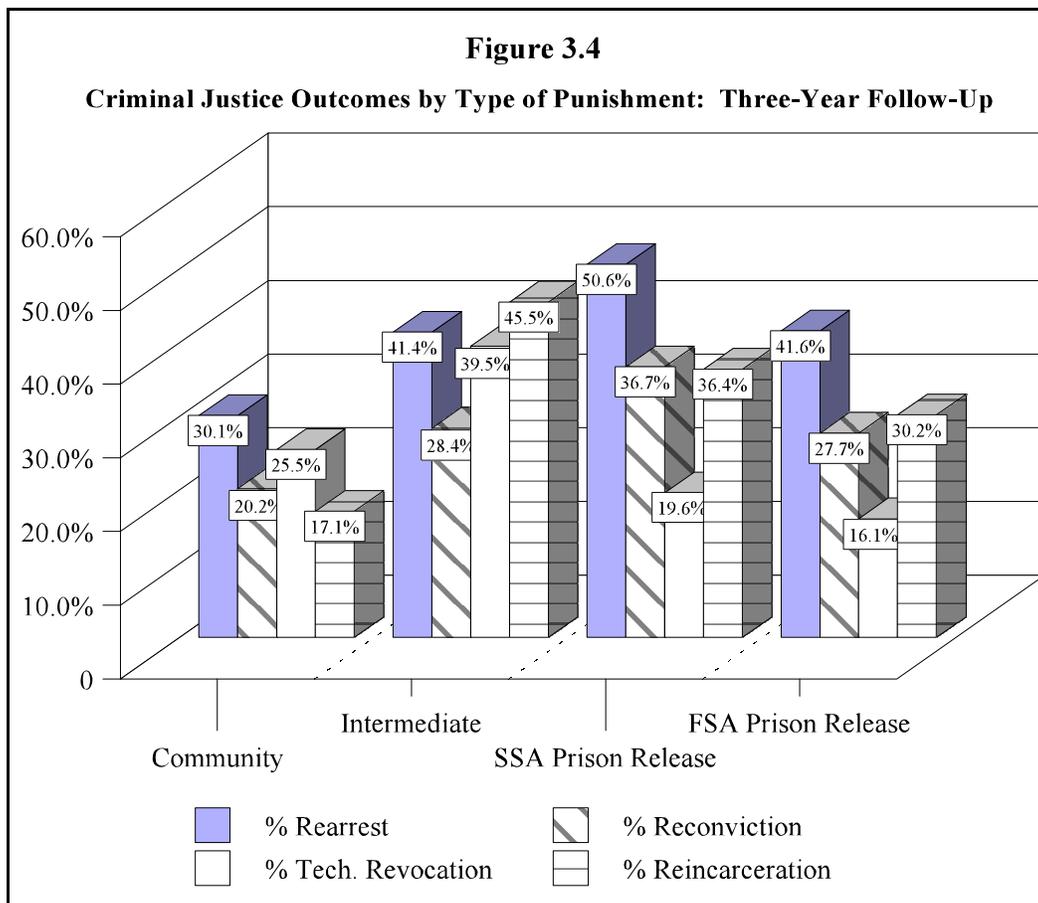


SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

²⁹ As noted previously, the time at risk measure does not account for time spent in local jails since currently each jail maintains its own data and there is not a statewide automated data system.

³⁰ It must be noted that the data presented on recidivist incarcerations only include incarceration in North Carolina’s state prison system. It does not include periods of incarceration in county jails or incarceration in other states. In North Carolina, offenders who are sentenced to active terms greater than 90 days are incarcerated in state prison, while those sentenced to active terms 90 days or less are incarcerated in county jail. Theoretically, reincarceration rates should be higher than technical revocation rates since reincarceration can result both from new sentences and technical revocations. Reincarceration rates are lower than technical revocation rates for community punishment probationers (*see* Figure 3.4). This finding can be attributed to both new sentences imposed that result in sentences served in county jail and to technical revocations that result in sentences served in county jail.

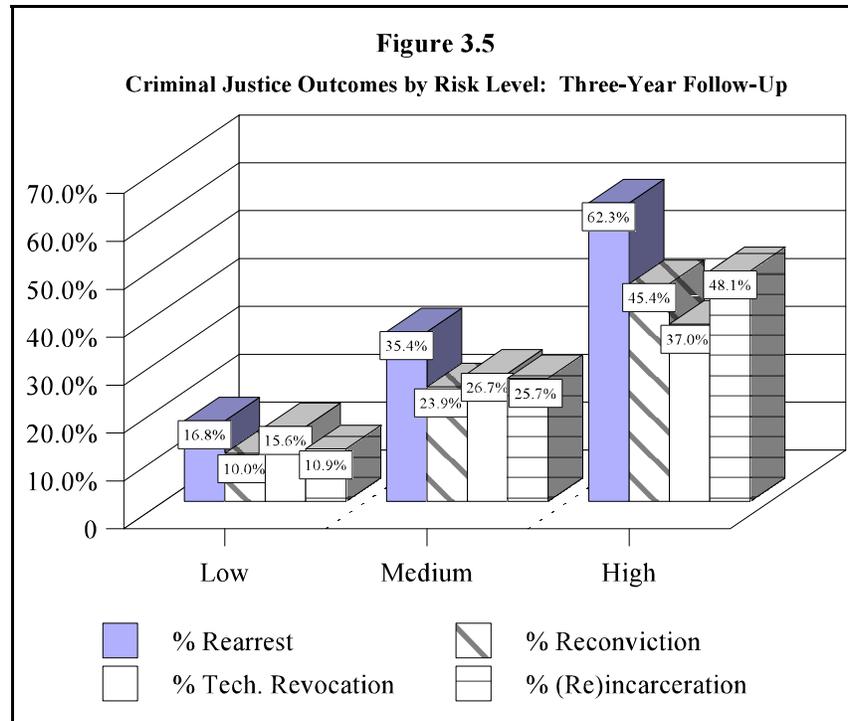
than prisoners, as would be expected given that probationers are the primary population at risk of technical revocation. Of the four groups, intermediate punishment probationers had the highest technical revocation rates and the highest reincarceration rates. As discussed in Chapter One, some offenders who formerly would have gone to prison have been shifted to probation (in this case, intermediate punishment probation) with the implementation of Structured Sentencing. Probationers with intermediate punishments are the most serious group of offenders supervised in the community. Therefore, it is to be expected that they would fair worse than community punishment probationers in terms of the various measures of recidivism.



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Chapter Three also examined criminal justice outcomes by offender risk level. As shown in Figure 3.5, rates for all of the criminal justice outcome measures during the three-year follow-up period varied considerably by offender risk level, with a stair-step increase in rates from low risk to medium risk to high risk. When compared to low risk offenders, high risk offenders were over three and one-half times more likely to be rearrested, about four and one-half times more likely to be reconvicted, over two times more likely to have a technical revocation, and over four times more likely to be reincarcerated.

While both type of punishment and offender risk level were found to highly correlate with recidivism (as measured by the various criminal justice outcomes in Chapter Three), other factors also play an important role in explaining differences in recidivism rates. Offenders are sentenced and targeted for correctional programs based on legal factors such as the seriousness of their offense and prior record. This pre-selection can also be seen as classifying offenders according to some notion of risk, although not necessarily risk of reoffending. This makes it difficult to determine the relative importance of offender



Source: NC Sentencing and Policy Advisory Commission, FY 2001/02
Correctional Program Evaluation Data

risk level (as used in this study) versus type of punishment. Chapter Four expands the search for correlates of recidivism by including the type of correctional supervision and sanctions imposed to the list of factors analyzed. The multivariate analysis used in Chapter Four is a statistical method to account (or “control”) for and assess the net impact of preexisting factors (such as type of punishment or offender risk level) on the probability of rearrest, technical revocation, or reincarceration.

CHAPTER FOUR MULTIVARIATE ANALYSIS OF OUTCOME MEASURES

Multivariate Analysis: What is a Regression Model?

A regression model is a statistical tool used to estimate the association of a number of independent variables (*e.g.*, age, sex, offense seriousness) with a dependent variable (*e.g.*, rearrest, technical revocation, incarceration), apart from the contribution of any of the other variables in the model. This type of analysis allows for a determination of whether type of punishment and program participation, for example, have any relationship with an offender's probability of being rearrested, controlling for other factors such as age, race or criminal history. It also indicates the relative importance of other factors.

Using logistic regression, several models were developed to determine how a variety of independent variables (*e.g.*, sex, race, criminal history, program participation) may be related to the probability of rearrest for three groupings of offenders in the FY 2001/02 Correctional Program Evaluation sample: (1) all offenders (N=57,973), (2) prisoners (n=17,118), and (3) probationers (n=40,855).³¹ In addition, other models were developed which examined the probability of reincarceration and employment during the three year follow-up period. *Although the analyses may reveal a relationship exists, it does not necessarily mean that an independent variable (e.g., sex) is the cause of the particular outcome (e.g., rearrest). Rather, it indicates a statistical association, which may or may not be due to a causal relationship.*³²

Dependent Variables (Outcome Measures) Modeled

The regression analyses in this section model three main dependent variables:

- ▶ *Rearrest* -- one or more fingerprinted rearrests;
- ▶ *Reincarceration* – one or more incarcerations in DOC's state prison system; and
- ▶ *Employment* -- employment in any of the 12 quarters during the three years following release from prison or placement on probation as reported to the Employment Security Commission.

³¹ Logistic regression involves regression using the logit (*i.e.*, the logarithm of the odds) of an outcome occurring. This type of analysis is most appropriate for regression models with a dichotomous dependent variable such as being rearrested or not.

³² The effects were converted from logistic model coefficients and indicate the estimated increase or decrease in the probability of an outcome occurring which is associated with each independent variable for the average offender. See Aldrich and Nelson (1984: 41-44) for further information on converting logistic coefficients to "effects." See Appendix C-3 for logistic coefficients for each model.

Independent Variables Used in the Regression Models

The independent variables used in the regression models can be loosely grouped into five categories.³³

1. Personal Characteristics

- ▶ *Age at the time of entry into the follow-up period*³⁴
- ▶ *Race*³⁵
- ▶ *Sex*
- ▶ *Marital status (i.e., married or not married) at the time of entry into the sample*
- ▶ *Education (i.e., less than 12 years of education or 12 or more years of education)*
- ▶ *Employment status at the time of arrest for prisoners and at the time of probation entry for probationers*
- ▶ *History of substance abuse problems as identified by either a prison or probation assessment*
- ▶ *Youthful offender (i.e., less than 21 years of age at entry into prison or probation)*
- ▶ *Risk level*

2. Current Offense Information

- ▶ *Offense seriousness - whether the current offense was a felony*
- ▶ *Severity of sentence - whether the offender was sentenced to community probation (the least restrictive sentence), intermediate probation, or prison (the most restrictive sentence)*
- ▶ *Maximum sentence length imposed*
- ▶ *Length of time spent in prison (in months) immediately prior to release for offenders released from prison*³⁶

³³ Note that not all of the independent variables listed were appropriate to use in all of the regression models presented in this chapter.

³⁴ The square of the offender's age at the time of entry into the follow-up period was used as a control variable.

³⁵ Race was collapsed into two categories, black and non-black. White, Asian and American Indian offenders as well as offenders with an "other" or "unknown" race were included in the non-black category.

³⁶ The square of the length of time spent in prison was also included in relevant models as a control variable.

3. Criminal History

- ▶ *Age at first arrest*
- ▶ *Number of prior fingerprinted arrests*
- ▶ *Number of prior drug arrests*
- ▶ *Most serious prior arrest*
- ▶ *Number of prior times an offender was placed on probation or parole*
- ▶ *Number of prior revocations*
- ▶ *Number of prior incarcerations in North Carolina's prison system*
- ▶ *Number of prior prison infractions*

4. Type of Community Supervision

- ▶ *SSA probation with community punishment*
- ▶ *SSA probation with intermediate punishment*

5. Time at Risk during the Three-Year Follow-Up

- ▶ *Actual time at risk during the three-year follow-up was calculated for each offender by identifying his/her periods of incarceration in North Carolina's prison system within the follow-up time frame and subtracting the time incarcerated from the follow-up period. This variable is included in the model as a control variable.*

For purposes of discussion, only estimated effects that are statistically significant – that is, it is highly unlikely they are the result of random variation in sampling or chance – are reviewed.

Regression Analysis: Recidivist Arrest

Chapter Three of this report presented rearrest rates for the entire FY 2001/02 sample and for groups of offenders classified by their type of punishment. The regression analyses described in this section isolate the net impact of factors such as type of punishment or personal characteristics on rearrest, and thus help identify relationships not apparent when simply looking at rearrest rates. Table 4.1 presents analyses of the likelihood of rearrest for all offenders (Model 1), prisoners (Model 2), and probationers (Model 3) based on the three-year follow-up period. Note that Chapter 3 presents outcome variables for years one, two, and three in the three-year follow-up period while this chapter focuses only on the entire three-year follow-up.

Table 4.1
Effect of Personal and Criminal Justice Factors on Recidivist Arrest

Estimated Effect on Probability of Rearrest for:

	Model 1: All Offenders (N=57,973) Average rearrest probability=38.2%	Model 2: All Prison Releases (n=17,118) Average rearrest probability=49.8%	Model 3: All Probation Entries (n=40,855) Average rearrest probability=33.3%
Independent Variables			
Personal Characteristics			
Age (each year)	-1.0%	-1.6%	-0.8%
Black	6.3%	8.4%	5.4%
Male	5.3%	3.1%	5.7%
Married	-2.2%	-4.1%	NS
12 or More Years of Education	-2.7%	-2.0%	-2.8%
Employed	-3.4%	NS	-4.3%
Substance Abuser	4.3%	4.5%	3.5%
Youthful Offender	5.8%	5.5%	5.9%
Risk Level	4.3%	4.6%	3.7%
Current Offense Information			
Felony	-7.6%	NS	-8.0%
Severity of Sentence	2.5%	N/A	N/A
Maximum Sentence Imposed (in months)	-0.1%	NS	N/A
Time Spent in Prison (in months)	NS	-0.3%	N/A
Criminal History			
Age at First Arrest	0.3%	0.2%	0.3%
# Prior Arrests	3.1%	2.8%	3.5%
Prior Drug Arrest	5.3%	2.8%	5.9%
Most Serious Prior Arrest	3.0%	NS	3.2%
# Prior Times on Probation/Parole	1.3%	2.0%	NS
# Prior Probation/Parole Revocations	NS	NS	NS
# Prior Incarcerations	-1.7%	-1.1%	-2.4%
# Prison Infractions	N/A	0.4%	N/A

Table 4.1 (continued)
Effect of Personal and Criminal Justice Factors on Recidivist Arrest

Estimated Effect on Probability of Rearrest for:

	Model 1: All Offenders (N=57,973) Average rearrest probability=38.2%	Model 2: All Prison Releases (n=17,118) Average rearrest probability=49.8%	Model 3: All Probation Entries (n=40,855) Average rearrest probability=33.3%
Independent Variables			
Type of Community Supervision			
SSA Probation with Community Punishments	N/A	N/A	<i>reference category</i>
SSA Probation with Intermediate Punishments	N/A	N/A	-1.6%
Time at Risk during 3-Year Follow-Up	-0.1%	-0.1%	-0.1%

NS indicates that the effect is not statistically significant at $p > .05$.

Notes:

1. For purposes of this study, rearrest was defined as one or more fingerprinted arrests during the three-year follow-up period starting at the time the offender was placed on probation or released from prison.
2. The figures in the table show the effect on the probability of rearrest compared with the mean probability in the data set.
3. The square of the offender's age and time served in prison were also included in the model as control variables.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Model 1: Probability of Rearrest for All Offenders

Model 1 in Table 4.1 presents the estimated effects of each independent variable on an offender's probability of being rearrested during the three-year follow-up period. All offenders in the FY 2001/02 sample were included in this analysis. It should be noted again that only statistically significant findings are discussed in this section and presented in Table 4.1.

Overall, the analysis revealed that about 38% of all offenders were rearrested during the three-year follow-up period and that this outcome was related to a number of personal, offense-related and criminal history factors. The values presented for Model 1 indicate the approximate change in the probability of rearrest associated with each independent variable relative to a reference category. For example, offenders who were employed were 3.4% less likely than those who were not employed to be rearrested. Other personal characteristics that served as protective factors against rearrest were being older, married, or having 12 or more years of education. Conversely, some personal characteristics increased an offender's chance of being rearrested, including sex, race, being a youthful offender (under 21 years of age), or being a substance abuser. Male offenders were 5.3% more likely to be rearrested than females. Black offenders were 6.3% more likely to be rearrested than non-blacks. Compared to adult offenders, youthful offenders were 5.8% more likely to be rearrested. Offenders with a history of substance abuse were 4.3% more likely to recidivate than those offenders with no such history. Finally, the analysis also took into account individual offender

risk levels. As expected, increases in risk level also increased the probability of rearrest. Medium risk offenders were 4.3% more likely to recidivate than low risk offenders and high risk offenders were 4.3% more likely to recidivate than medium risk offenders.

Controlling for all other factors, offenders convicted of a felony were 7.6% less likely to be rearrested than those convicted of a misdemeanor. The severity of an offender's sentence (as measured by whether an offender was sentenced to a community punishment, an intermediate punishment, or prison) also affected the probability of rearrest. Offenders sentenced to an intermediate punishment were 2.5% more likely to recidivate than offenders sentenced to a community punishment. Offenders sentenced to prison were about 2.5% more likely to recidivate than offenders sentenced to an intermediate punishment. In general, the more restrictive the punishment, the greater the chance of recidivism. Although the effects were small, sentence length also impacted an offender's chance of being rearrested.

As expected, criminal history impacted the probability of rearrest. With the exception of the number of prior incarcerations, all of the criminal history factors included in the analysis increased an offender's chance of being rearrested. Offenders who had a prior drug arrest were 5.3% more likely to be rearrested than those who did not have a prior drug arrest. When looking at offenders' most serious prior arrest, offenders whose most serious prior arrest was a property offense were 3% more likely to be rearrested than offenders with a drug offense. Offenders with a violent offense as their most serious prior arrest were 3% more likely to be rearrested than offenders whose most serious prior arrest was a property offense. Finally, the more times an offender was arrested and placed on probation or parole the greater the chance of being rearrested. Controlling for all other factors, the number of prior incarcerations was associated with a decreased likelihood of rearrest.

Time at risk during the follow-up period was also included in the analysis as a control variable. A negative relationship was found between time at risk and rearrest. As time at risk increased, the chance of being rearrested decreased.

Model 2: Probability of Rearrest for Prisoners

Model 2 in Table 4.1 focuses on the probability of rearrest for the 17,118 prison releases in the FY 2001/02 sample. Overall, almost 50% of prison releases were rearrested during the three-year follow-up period. Note that only statistically significant findings are discussed in this section and presented in Table 4.1.

As found in the analysis for all offenders, older, or married prisoners and those having at least 12 years of education were less likely to recidivate while black, male, or youthful offenders and those with a history of substance abuse were associated with a higher likelihood of being rearrested. Black prisoners were 8.4% more likely to recidivate than non-blacks. As compared to females, male prisoners were 3.1% more likely to be rearrested. Prisoners with a history of substance abuse were 4.5% more likely to recidivate than those who had no such history. Youthful prisoners were 5.5% more likely to be rearrested after their release than adult prisoners. Similar to the findings for all offenders, risk level affected the probability of rearrest for prisoners. Medium risk prisoners were

4.6% more likely to recidivate than low risk prisoners while high risk prisoners were 4.6% more likely to recidivate than medium risk prisoners. Generally speaking, the higher a prisoner's risk, the greater the likelihood of rearrest.

Of the current offense indicators, only time spent in prison had a significant impact on the probability of rearrest for prisoners when controlling for other factors. Prisoners who spent more time in prison had a decreased probability of rearrest in the follow-up period which could be related to their "aging-out" of their peak criminal offending years while in prison. The majority of criminal history factors, on the other hand, were found to impact the probability of rearrest for prisoners. Age at first arrest, the number of prior arrests, having a prior drug arrest, the number of probation/parole entries, and the number of prison infractions were all associated with an increased probability of rearrest. Prisoners with a prior drug arrest were 2.8% more likely to be rearrested than offenders who did not have a prior drug arrest. Generally speaking, the more times prisoners were arrested and placed on probation or parole and the more prison infractions prisoners incurred the more likely they were to be rearrested. As found in the analysis for all offenders, the number of prior incarcerations was associated with a decreased probability of rearrest.

As found in the analysis for all offenders, a negative relationship was found between time at risk and rearrest. As time at risk increased, the chance of being rearrested decreased.

Prison infractions are used in this model as a predictor of rearrest, but are also an interim indicator of prisoner misbehavior that is influenced by many of the same variables that affected the probability of rearrest (*e.g.*, personal characteristics, current offense information, and criminal history). To further explore these relationships, a regression model was used that examined which variables had an impact on prison infractions.³⁷ Being a youthful offender increased the number of prison infractions incurred. Generally speaking, as the number of prior incarcerations increased, so too did the number of infractions. In addition, the older a prisoner was at age of first arrest, the more time an offender spent in prison, the more infractions he/she was likely to incur. However, being male, married, having at least 12 years of education, being employed prior to prison entry, having a history of substance abuse, having a longer maximum sentence imposed, or having a prior drug arrest decreased the number of infractions incurred by a prisoner, all else held constant.

Model 3: Probability of Rearrest for Probationers

Model 3 in Table 4.1 analyzes the probability of rearrest for the 40,855 probationers in the FY 2001/02 sample. Overall, 33% of probationers were rearrested during the three-year follow-up period. Note that only statistically significant findings are discussed in this section and presented in Table 4.1.

³⁷ Ordinary Least Squares (OLS) regression was used for this part of the analysis since the number of prison infractions is a continuous variable. See Appendix C-3, Table C-3.4 for the OLS coefficients predicting prison infractions.

Personal characteristics were found to affect the probability of rearrest for probationers with being older, having at least twelve years of education, and being employed significantly reducing the likelihood of rearrest. Similar to Model 1 and Model 2 in Table 4.1, being black, male, having a history of substance abuse, or being a youthful offender were associated with a higher likelihood of rearrest. Black probationers were about 5.4% more likely to be rearrested than non-blacks. Compared to female probationers, male probationers were 5.7% more likely to recidivate. Having a history of substance abuse increased probationers' chances of being rearrested by 3.5%. Youthful offenders were almost 6% more likely to recidivate than adult offenders. Offender risk level was also a statistically significant factor. Generally speaking, the higher the risk level, the greater the probability of rearrest.

Controlling for all other factors, probationers convicted of a felony were 8% less likely to be rearrested than probationers convicted of a misdemeanor. Similar to the previous models, criminal history impacted a probationer's chance of being rearrested, with age at first arrest, the number of prior arrests, having a prior drug arrest, and most serious prior arrest being associated with an increased likelihood of rearrest. The probability of rearrest for probationers increased by 3.5% with each prior arrest and by almost 6% for having a prior drug arrest. As in analyses for all offenders, probationers with a property arrest as their most serious prior arrest were 3.2% more likely to be rearrested than those with a drug arrest while probationers with a violent offense as their most serious prior arrest were 3.2% more likely to be rearrested than offenders whose most serious prior arrest was a property offense. As found for all offenders and prisoners, the probability of rearrest for probationers decreased with each prior incarceration. Age may have been related to prior incarcerations with older offenders having had more opportunity to be arrested and incarcerated than younger offenders. If this occurred, these offenders may have "aged-out" of criminal offending and therefore may have resulted in a decreased likelihood of rearrest.

Model 3 also looked at the impact of the type of community supervision on the probability of rearrest for probationers. As a group, probationers sentenced to an intermediate punishment had a higher rearrest rate during the three-year follow-up period than those sentenced to a community punishment (41.4% versus 30.1%), as discussed in Chapter Three. However, once factors other than the type of community supervision (*e.g.*, age, sex, criminal history, time at risk) were taken into account, probationers sentenced to an intermediate punishment were actually 1.6% less likely than probationers sentenced to a community punishment to be rearrested. It is not clear from the analysis whether increased supervision or other factors not included in the model resulted in the decreased likelihood of rearrest for probationers sentenced to an intermediate punishment. In previous Sentencing Commission reports, it was hypothesized that revocations to prison for technical violations of probation were a factor not included in the analysis that might help explain this finding. It was thought that revocations, which are more likely with increased supervision, may artificially reduce recidivism since the offender is removed from the community and does not have the opportunity to reoffend. This report partially accounts for revocations to prison through the measure of time at risk, which is calculated by subtracting periods of incarceration in state prison during follow-up from the maximum follow-up time for analysis. However, this methodological improvement does not account for incarceration in county jail during follow-up in its measure of time at risk. While the finding from this study indicates that intermediate punishment probationers are less likely than community punishment probationers to be rearrested even after controlling for

time at risk, it is possible that this finding would change if data on incarceration in jail were included in the measure of time at risk.

As found in the analysis for all offenders, a negative relationship was found between time at risk and rearrest. As time at risk increased, the chance of being rearrested decreased.

The number of prior revocations was used in this model as a predictor of rearrest, but revocation in the follow-up period was also used as an indicator of a probationer's misconduct. Many of the same variables that affected rearrest also influenced revocation (*e.g.*, personal characteristics, current offense information, and criminal history). To further explore these relationships, a logistic regression model was used that examined which variables had an impact on technical revocations for probationers during the three-year follow-up period.³⁸ Holding all other variables constant, being married, having at least twelve years of education, or being employed served as protective factors and decreased the likelihood of having a technical probation revocation. Conversely, being black, male, having a history of substance abuse, or being a youthful offender were associated with a higher likelihood of technical revocation. Offender risk level was also a statistically significant factor. As expected, increases in risk level also increased the probability of technical revocation during the three-year follow-up period. With the exception of age at first arrest and having a prior drug arrest, all of the criminal history factors impacted a probationer's chance of having a technical revocation. Last, type of community supervision influenced technical revocations for probationers. Probationers sentenced to an intermediate punishment were 11.5% more likely to have a technical revocation than those sentenced to a community punishment. As previously noted, probationers who were sentenced to intermediate punishments were subject to increased supervision which may have resulted in their higher rate of technical revocation as compared to probationers sentenced to community punishment. However, probationers sentenced to intermediate punishments had a rate of rearrest lower than those sentenced to community punishment when controlling for factors related to rearrest (*e.g.*, age, sex, criminal history) as discussed in Model 3 above.

Regression Analysis: Recidivist Incarceration

Chapter Three of this report presented recidivist incarceration rates for the entire FY 2001/02 sample and for groups of offenders classified by their type of punishment. The regression analyses in this chapter isolate the net impact of factors such as type of punishment or personal characteristics on reincarceration, and thus help identify relationships not apparent when simply looking at reincarceration rates. Table 4.2 presents analyses of the likelihood of recidivist incarceration for all offenders (Model 4) based on the three-year follow-up period.

³⁸ See Appendix C-3, Table C-3.5 for the logistic regression results.

Model 4: Probability of Recidivist Incarceration for All Offenders

Model 4 in Table 4.2 presents the estimated effects of each independent variable on an offender's probability of being reincarcerated during the three-year follow-up period. All offenders in the FY 2001/02 sample were included in this analysis. It should be noted again that only statistically significant findings are discussed in this section and presented in Table 4.2.

Overall, the analysis revealed that about 28% of all offenders had a recidivist incarceration during the three-year follow-up period. Personal characteristics that impacted an offender's chance of being reincarcerated included gender, being a substance abuser, and being a youthful offender. Male offenders were 11.5% more likely to be reincarcerated than females. Offenders with a history of substance abuse were 4% more likely to be reincarcerated than those offenders with no such history. Compared to adult offenders, youthful offenders were 4.7% more likely to be reincarcerated than adult offenders. The analysis also took into account individual offender risk levels. As expected, increases in risk level also increased the probability of reincarceration during the three-year follow-up period. Medium risk offenders were 4.5% more likely to be reincarcerated than low risk offenders and high risk offenders were 4.5% more likely to be reincarcerated than medium risk offenders. Being married, being employed, or having 12 or more years of education were associated with decreases in the probability of being reincarcerated during the follow-up period.

Controlling for other factors, offenders convicted of a felony for their current offense were 14.5% more likely to be reincarcerated than those convicted of a misdemeanor. However, this finding might also be affected by the fact that offenders with sentences of 90 days or less (typically those with a misdemeanor conviction) are required to serve their sentences in county jail, which is not included in this measure of recidivist incarcerations. The severity of an offender's sentence also affected the probability of reincarceration, but to a much lesser degree. Offenders sentenced to an intermediate punishment were 2.3% more likely to be reincarcerated than offenders sentenced to community punishment. Offenders sentenced to prison were 2.3% more likely to be reincarcerated than offenders sentenced to intermediate punishment. Maximum sentence imposed and time spent in prison also impacted an offender's chance of being reincarcerated.

With the exception of having a prior drug arrest, all of the criminal history factors included in the analysis increased an offender's chance of being reincarcerated. Having only a small effect, age at first arrest, number of prior arrests, number of times on probation/parole, and number of prior incarcerations were all associated with an increase in the likelihood of an offender being reincarcerated. Most serious prior arrest and having more probation/parole revocations had a larger impact on the likelihood of reincarceration. Offenders whose most serious prior arrest was a property offense were 3.7% more likely to be reincarcerated than those whose most serious prior arrest was a drug offense. Offenders whose most serious prior offense was a violent offense were 3.7% more likely to be reincarcerated than offenders with a property offense as their most serious prior arrest. Generally speaking, offenders with more probation/parole revocations were more likely to be reincarcerated.

Table 4.2
Effect of Personal and Criminal Justice Factors on Recidivist Incarceration

Estimated Effect on Probability of Reincarceration for:

Model 4: All Offenders (N=57,973)
Average reincarceration probability=28.3%

Independent Variables

Personal Characteristics

Age (each year)	<i>NS</i>
Black	<i>NS</i>
Male	11.5%
Married	-1.7%
12 or More Years of Education	-5.4%
Employed	-6.4%
Substance Abuser	4.0%
Youthful Offender	4.7%
Risk Level	4.5%

Current Offense Information

Felony	14.5%
Severity of Sentence	2.3%
Maximum Sentence Imposed (in months)	<0.1%
Time Spent in Prison (in months)	-0.7%

Criminal History

Age at First Arrest	0.3%
# Prior Arrests	1.1%
Prior Drug Arrest	<i>NS</i>
Most Serious Prior Arrest	3.7%
# Prior Times on Probation/Parole	1.2%
# Prior Probation/Parole Revocations	4.5%
# Prior Incarcerations	2.2%

NS indicates that the effect is not statistically significant at $p > .05$.

Notes:

1. For purposes of this study, recidivist incarceration was defined as one or more period of incarceration in NC's state prison system during the three-year follow-up period starting at the time the offender was placed on probation or released from prison.
2. The figures in the table show the effect on the probability of reincarceration compared with the mean probability in the data set.
3. The square of the offender's age and time served in prison were also included in the model as control variables.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Regression Analysis: Employment

While this report primarily examines recidivism, whether an offender is a “success” can be measured in additional ways. One of these is whether or not the offender was able to secure legitimate employment following release into the community. Being employed serves several functions, including a legitimate income, increased stability and “stakes in conformity,” which, in turn, may ultimately decrease recidivism (Bonta et al., 1995; Pritchard, 1979). Employment is also important since it leaves less time for illegal behavior and decreases dependency on illegal sources of income.

Table 4.3 provides descriptive information on employment outcomes for three years following the offender’s release to the community. Employment rates varied by type of punishment for probationers and by type of prison release. Probationers with community punishment had higher employment rates in the three-year follow-up than those with intermediate punishment (77.3% versus 72.3%). Similarly, prisoners’ rates of employment differed for SSA and FSA prison releases (69.4% and 80.5% respectively). It should be noted that some offenders (most likely a younger sub-sample of probationers), while not gainfully employed, might have been involved in educational programs during the follow-up period.³⁹

The last two columns of Table 4.3 provide information on employment stability as measured by the average number of quarters worked and average monthly wages earned during the three-year follow-up period. (Note that these numbers only reflect offenders who actually worked at least one quarter during the year following release to the community.) Offenders who were employed worked an average of 6.8 quarters during the three-year follow-up period, with only slight variations by type of punishment. Average quarterly wages were \$2,198 for all employed offenders, but varied by type of punishment. Prisoners earned a quarterly average of \$261 less than probationers; SSA prisoners earned the least per quarter (\$1,967), while FSA prisoners earned the most (\$2,404). Overall, there was also a smaller variation between the subgroups in the mean number of quarters worked than there was between having or not having worked at all throughout the follow-up period.

Three logistic regression models were developed to analyze the effects of a variety of independent variables on the probability of employment during the three years following release to the community for all offenders (Model 5), prisoners (Model 6) and probationers (Model 7).⁴⁰ As in the previous models analyzing the probability of rearrest, the independent variables are divided

³⁹ A commonly imposed condition of probation or parole is employment, active search for employment, or participation in an educational program.

⁴⁰ The data available were limited to wages reported to the North Carolina Employment Security Commission (ESC). “Employment” is a dichotomous variable indicating whether an offender was employed or not employed during the 33 months following release into the community. Any wages reported to the ESC in at least one of the twelve quarters following release were used as an indicator of “employed.”

into five categories: personal characteristics, current offense information, criminal history, and type of punishment.⁴¹ Table 4.4 presents the results of the analyses.

Table 4.3
Employment in the Three Years Following Release to the Community:
All Offenders FY 2001/02

Type of Punishment		N	Number Employed	% Employed	Mean # of Quarters Worked ¹	Mean Wages per Quarter ¹
Probation Entries	Community Punishment	29,391	22,729	77.3%	7.3	\$2,287
	Intermediate Punishment	11,464	8,286	72.3%	6.4	\$2,227
	All Probation Entries	40,855	31,015	76.0%	7.0	\$2,271
Prison Releases	SSA Prison Release	15,629	10,848	69.4%	6.0	\$1,967
	FSA Prison Release	1,489	1,199	80.5%	6.9	\$2,404
	All Prison Releases	17,118	12,047	70.4%	6.1	\$2,010
TOTAL		57,973	43,062	74.3%	6.8	\$2,198

Notes:

1. Mean number of quarters worked and mean total wages only includes offenders who worked in at least one quarter during the 33 months following release to the community.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Model 5: Probability of Employment for All Offenders

Model 5 in Table 4.4 presents the estimated effects of each independent variable on an offender's probability of employment in at least one quarter in the three years following release to the community. All 57,973 offenders in the FY 2001/02 sample were included in this analysis. Note that only statistically significant findings are discussed in this section and presented in the table.

Overall, the analysis indicated that 74.3% of all offenders were employed in the three years following release to the community and that this outcome was related to a number of personal, offense-related and criminal history factors. In general, younger offenders, black offenders, married offenders, or offenders with at least 12 years of education were more likely to be employed in the three years following release to the community. Black offenders were 3.5% more likely than their

⁴¹ One difference between this and the previous analyses should be noted. The "Employed" variable found under Personal Characteristics in Table 4.1 has been deleted from analysis. While, theoretically, previous employment should predict future employment, for probationers in the sample prior employment was equal to future employment since the probation risk assessment was done following their placement on probation.

Table 4.4
Effect of Personal and Criminal Justice Factors on Employment

Estimated Effect on Probability of Employment for:

	Model 5: All Offenders (N=57,973) Average employment probability=74.3%	Model 6: All Prison Releases (n=17,118) Average employment probability=70.4%	Model 7: All Probation Entries (n=40,855) Average employment probability=75.9%
Independent Variables			
Personal Characteristics			
Age (each year)	-0.5%	0.7%	-0.7%
Black	3.5%	3.4%	3.7%
Male	-1.9%	NS	-1.3%
Married	1.7%	2.7%	1.3%
12 or More Years of Education	6.6%	4.3%	7.3%
Substance Abuser	NS	NS	NS
Youthful Offender	3.5%	2.6%	4.0%
Risk Level	-2.6%	NS	-3.7%
Current Offense Information			
Felony	-1.8%	NS	-3.2%
Severity of Sentence	-2.8%	N/A	N/A
Maximum Sentence Imposed (in months)	NS	<0.1%	N/A
Time Spent in Prison (in months)	0.2%	0.1 %	N/A
Criminal History			
Age at First Arrest	NS	-0.3%	NS
# Prior Arrests	NS	-0.3%	NS
Prior Drug Arrest	-3.8%	-4.8	-2.9%
Most Serious Prior Arrest	0.6%	NS	1.0%
# Times on Probation/Parole	0.9%	1.3%	0.8%
# Probation/Parole Revocations	-1.1%	-1.4%	-0.9%
# Prior Incarcerations	-0.5%	-0.7%	-0.7%
# Prison Infractions	N/A	0.1%	N/A

Table 4.4 (continued)
Effect of Personal and Criminal Justice Factors on Employment

Estimated Effect on Probability of Employment for:

	Model 4: All Offenders (N=57,973) Average employment probability=74.3%	Model 5: All Prison Releases (n=17,118) Average employment probability=70.4%	Model 6: All Probation Entries (n=40,855) Average employment probability=75.9%
Independent Variables			
Type of Community Supervision			
SSA Probation w/ Community Punishments	N/A	N/A	<i>reference category</i>
SSA Probation w/ Intermediate Punishments	N/A	N/A	NS

NS indicates that the effect is not statistically significant.

Notes:

1. Employment was defined as having any recorded earnings in at least one quarter in the 33 months immediately following release to the community.
2. The figures in the table show the effect on the probability of employment compared with mean probability in data set.
3. The squares of the offender's age and time served in prison were also included in the model as control variables.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

non-black counterparts to be employed. Married offenders were 1.7% more likely than those who were not married to be employed. Offenders with 12 or more years of education were 6.6% more likely to be employed than offenders with less than twelve years of education. Relative to adult offenders, youthful offenders were 3.5% more likely to be employed. Factors that were negatively associated with employment included being male and having a higher risk score. Male offenders were 1.9% less likely to be employed than their female counterparts. Generally speaking, the higher the risk level, the less likely an offender is to be employed.

All of the current offense factors, except for length of the maximum sentence imposed, affected an offender's chance of being employed in the three years following their release. Relative to offenders convicted of a misdemeanor, offenders convicted of a felony were nearly 2% less likely to be employed. The severity of the sentence impacted the likelihood of employment. Offenders sentenced to an intermediate punishment were 2.8% less likely to be employed than offenders sentenced to a community punishment. Offenders sentenced to prison were 2.8% less likely to be employed than offenders sentenced to an intermediate punishment. Generally speaking, the more severe the punishment, the less likely employment becomes.

As expected, the analysis revealed that criminal history impacted an offender's probability of employment. Factors that negatively affected an offender's chance of gaining employment included having a prior drug arrest, number of probation or parole revocations, and the number of prior incarcerations. The only criminal history factors positively affecting the probability of employment were the most serious prior offense and the number of times placed on probation or parole.

Model 6: Probability of Employment for Prisoners

Model 6 in Table 4.4 analyzed the probability of employment in at least one quarter in the three years following release to the community for the 17,118 prisoners in the FY 2001/02 sample. Overall, 70% of prisoners were employed in the year following release. Note that only statistically significant findings are presented in the table.

Generally speaking, being older, black, married, having 12 or more years of education, or being under the age of 21 at commitment to DOC were characteristics that were positively associated with a prisoner's chance of gaining employment in the three years following release to the community. Similar to Model 5 for all offenders, black prisoners were 3.4% more likely to be employed than non-black prisoners; and prisoners with at least twelve years of education were 4.3% more likely to be employed than those with less the twelve years of education. As age increased, so too did prisoners' chances of being employed. However, when breaking age into two categories: youthful and adult prisoners, youthful offenders had a greater likelihood of being employed during the three-year follow-up. Sex did not have an effect in this analysis.

Only two of the current offense factors slightly affected an offender's probability of employment. The longer the maximum sentence and more time offenders spent in prison the more likely they were to be employed once released from prison.

Most criminal history factors negatively affected a prisoner's chance of being employed during the three-year follow-up period. Age at first arrest, the number of prior arrests, having a prior drug arrest, the number of prior probation/parole revocations, and the number of prior incarcerations decreased the likelihood that an offender was employed. Only two criminal history variables, the number of times on probation/parole and the number of prison infractions, were positively associated with employment; however the increase was very small.

Model 7: Probability of Employment for Probationers

Model 7 in Table 4.4 analyzed the probability of employment in at least one quarter in the three years following placement on probation for the 40,855 probationers in the FY 2001/02 sample. Overall, almost 76% of probationers were employed during this period. Note that only statistically significant findings are presented in the table.

Generally speaking, probationers who were younger, black, married or had 12 or more years of education were more likely to gain employment. Relative to non-black probationers, black probationers were 3.7% more likely to gain employment. Married probationers were 1.3% more likely than those not married to be employed. Relative to probationers with less than twelve years of education, probationers with at least twelve years of education were 7.3% more likely to be employed. Youthful probationers were 4% more likely to be employed than adult probationers. Generally speaking, as risk level increased the probability of employment for probationers decreased.

Controlling for all other factors, criminal history impacted the probability of employment. Having a prior drug arrest, the number of probation or parole revocations, and the number of prior incarcerations all negatively affected a probationer's chance of gaining employment. Probationers with a prior drug arrest were almost 3% less likely to be employed than probationers without a prior drug arrest. In general, with each revocation or prior incarceration, the probability of employment decreased.

Model 7 also looked at the impact of the type of community supervision on the probability of employment for probationers, but it did not have a statistically significant impact on employment.

Summary

Multivariate analysis revealed that personal, offense-based, and criminal history factors were related to the three criminal justice outcomes studied in this chapter: recidivist arrest, reincarceration, and employment in the three years following release to the community. Common themes that emerged from the analyses include the following:

- ▶ In all three models on rearrest, being male, black, having a history of substance abuse, being a youthful offender, a greater number of prior arrests, having a prior drug arrest, or having a higher risk score all increased the probability of rearrest. In other words, pre-existing factors seem to play an important role in determining future criminal behavior.
- ▶ Two variables, prison infractions and probation technical revocations, were used as predictors of rearrest, but each was also used as an intervening variable to indicate prison or probation misbehavior. Several of the same variables that increased the likelihood of rearrest also influenced the number of infractions in prison or the likelihood of a technical revocation of probation. For prisoners, being a youthful offender and age at first arrest significantly increased the number of prison infractions acquired. For probationers, being black, male, a youthful offender, and having a history of substance abuse significantly increased the likelihood of a technical revocation.
- ▶ With regard to recidivist incarceration for all offenders, being male and having a current felony offense were the characteristics most associated with increases in the probability of reincarceration. Other characteristics associated with an increased probability of reincarceration were having a history of substance abuse, being a youthful offender, and having a higher risk score. Being married, having at least 12 years of education, or being employed were found to be associated with decreases in the probability of reincarceration.
- ▶ In all three models on employment, being black, married, having at least 12 years of education, or being a youthful offender served to increase an offender's chances of employment once released in the community. Factors that decreased an offender's chances of employment across all three models were having a prior drug arrest and having a greater number of probation/parole revocations and prior incarcerations.

While this chapter examined the effect of personal characteristics, current offense, prior criminal history, and program participation as predictors of *whether* an offender will recidivate, future research should examine how these same factors affect *when* an offender will recidivate. Knowledge of factors that predict when offenders with certain characteristics tend to recidivate would provide practical information to programs for developing additional treatment or supervision protocols that could further delay, or even prevent, recidivism.

CHAPTER FIVE POPULATION PROFILE FEMALE OFFENDERS

Introduction

In North Carolina and elsewhere in the United States, the rate of female offenders in the criminal population has always been lower than the rate of their male counterparts, reflecting less involvement of females in crime and the earlier steps of the criminal justice system (Morash, Bynum, and Koons, 1998). Since FY 2001/02, the North Carolina Department of Correction's (DOC) statistics on the percentage of female offenders in prison and on probation have remained fairly constant. On average, DOC reports that approximately 6% of the prison population and 23% of the probation population consists of female offenders (North Carolina DOC, 2005; 2004; 2003). Although female offenders represent a small part of the correctional population, the Sentencing Commission selected them for further study since they are a distinct group with special needs.

There is a wealth of information from national research groups (*e.g.*, National Institute of Justice–NIJ, Bureau of Justice–BJS, and the National Institute of Corrections–NIC), as well as individual researchers, on the unique qualities and needs of females involved in the criminal justice system. There is substantially more literature about female prisoners than female probationers. Most of the studies conducted on NCCIW who are under correctional supervision highlight similar issues involving characteristics of women offenders, differences between female and male offenders, and findings relative to the policies and programs related to this population (Bloom, Owen, and Covington, 2003; Conley, 1998). In understanding findings on women offenders, whether in this study or others, it is important to first understand some of the dynamics that are associated with and specific to women offenders.

Female offenders are less likely to be violent than male offenders and, consequently, they enter the correctional system with a lower rate of violent offenses than their male counterparts (Morash et al., 1998). By a large degree, women tend to commit more nonviolent offenses, especially property and drug-related crimes, than violent ones. But, it is interesting to note that women, much more than men, have been victims of violence. BJS statistics indicate “more than 43% of women inmates (but only 12% of men) said they had been physically or sexually abused before their admission to prison (Conley, 1998; Morash et al., 1998).” The drug use by women involved in the correctional system has been linked in some studies to their past experiences of physical abuse, which is a problem shared by a significant number of female offenders (Bloom et al., 2003). Studies have indicated that women offenders are using drugs as much, if not more, than men offenders. According to NIC, about 80% of female inmates have some type of drug problem (Bloom et al., 2003; Morash et al., 1998). Another major characteristic that women share is that many of them (approximately 70% in some studies) have at least one dependent child under the age of 18. For incarcerated females especially who were probably the primary (and, many times, sole)

care giver, this means the extra stress of having had to leave their child(ren) and delegate their responsibility to others.⁴²

There are other difficulties that are faced by women offenders, including those related to mental health, employment, and physical health. Female offenders, particularly those in prison, have a myriad of problems and difficult life experiences that they bring with them when they enter the correctional system. This, in itself, presents a challenge the prison staff faces when dealing with female offenders.

This chapter focuses primarily on female offenders in the sample who were released from prison in FY 2001/02. While some data will be presented on female offenders placed on probation, the majority of the programs within the DOC that are directed specifically towards women are offered in the prisons. The Sentencing Commission staff, in an effort to obtain first-hand knowledge about this segment of the population, conducted site visits to two of the largest prisons that housed female inmates during FY 2001/02: North Carolina Correctional Institution for Women (hereafter referred to as “NCCIW”), a close and medium security prison, and Fountain Correctional Center for Women (hereafter referred to as “Fountain”), a minimum security prison. Mary Frances Center, a private, 100-bed facility that the DOC contracts with to provide residential substance abuse treatment to female inmates nearing their release from prison, was also included in the site visits.

While on site visits, Commission staff toured the facilities, interviewed key administrative and program staff, and observed program activities. A standardized protocol was used during the interviews to gather pertinent information about program history, program components, client characteristics, and program administration (*see* Appendix D). Interviews were also conducted with various staff at the state level in order to obtain an overview of programming available to female offenders. When available, written materials, descriptions, and statistics on specific programs were also collected.

In many instances, the present operation of services provided to female offenders is very similar to their operation in FY 2001/02. Descriptions of programs and services that are contained in this chapter generally reflect their current operating practices. However, when relevant, major changes to policies, services, and programs that have occurred since FY 2001/02 are noted.

The Division of Prisons: The Prison Environment for Incarcerated Females

Overview of Female Prisons

The separate housing of females and males is addressed in N.C.G.S. §148-44. In FY 2001/02, DOC had six state-operated facilities and contracted with two private non-profit facilities (*i.e.*, Mary Frances Center and Energy Committed to Offenders Halfway House) for housing female

⁴² While information on dependent children is certainly of interest when studying female offenders, DOC’s data management system (OPUS) did not reliably capture information for this variable for the FY 2001/02 sample.

inmates. All of these facilities are still operating today at the same custody level; however, some of the prisons have increased their expanded operating capacity (*see* Table 5.1).

**Table 5.1
Prisons Housing Female Offenders in FY 2001/02 and FY 2005/06**

Name of Prison	Custody Level	Expanded Operating Capacity	
		FY 2001/02	FY 2005/06
Black Mountain Correctional Center for Women	Minimum	61	80
Fountain Correctional Center for Women	Minimum	531	531
North Carolina Correctional Institution for Women	Close/Medium/ Minimum	928	1,194
North Piedmont Correctional Center for Women	Minimum	136	136
Raleigh Correctional Center for Women	Minimum	172	186
Wilmington Residential Facility for Women	Minimum	26	36
Energy Committed to Offenders Halfway House	Minimum	20	20
Mary Frances Center	Minimum	100	100

Note: Since FY 2001/02, Southern Correctional Institution was added to the list of female facilities. In 2004, Southern was converted from a male facility to a close/medium custody prison for females in an effort to assist with overcrowding at NCCIW. The expanded operating capacity is 456.

SOURCE: NC Department of Correction

NCCIW has the largest bed capacity for female inmates in the state. Historically, it has always been the primary facility for female prisoners, especially those convicted of more serious offenses. Females of all custody and security levels are housed there, including death row, maximum close, medium, minimum, and safekeepers. Young female offenders, especially those between the ages of 13 and 16, are incarcerated at this facility. NCCIW has a diagnostic center that serves as the point of entry into the prison system for all female felons. Fountain serves as the point of entry into the prison system for females sentenced as misdemeanants. Some women may be assigned to another prison following their processing at either prison. It should be noted that females in the sample may have begun their sentences in a close/medium prison, but may have been transferred to a minimum custody unit at some point prior to the end of their incarceration if they complied with prison rules, did assigned work, and participated in corrective programs.

Since NCCIW is the only female facility to offer hospital services and inpatient and day treatment mental health services on its site, women requiring any of these types of care (including

pregnant females) are incarcerated there. The majority of the inmates are housed in dorms; however, those requiring maximum security (*e.g.*, death row and segregation) and those in the inpatient mental health unit are housed in single cells. In large part because of its size and ability to serve a diverse female population, NCCIW has the widest variety of programs and services for women within DOC.

The remaining five female prisons operated by DOC are minimum custody units. Inmates who have been convicted of less serious offenses, given shorter sentences, and assessed to pose the least public safety risk usually serve their entire prison sentence at these units. Minimum custody units offer opportunities that allow inmates to leave the prison grounds under specific conditions in order to participate in work release, study leave, or home leave. Much like NCCIW, inmates are housed in dorms. Of the minimum custody units, Fountain has the largest capacity.

DOC has been contracting for additional prison beds with the Mary Frances Center, a private non-profit minimum security substance abuse treatment center, and the Energy Committed to Offenders (ECO) Halfway House, a private non-profit minimum security community re-entry facility, even prior to FY 2001/02. Mary Frances Center (MFC), which has a 105-bed capacity, has been providing residential substance abuse treatment for nonviolent, minimum custody female offenders approved by DOC since 1995. Offenders who are admitted to the program generally have a minimum of six months remaining on their sentence coupled with their scores on the substance abuse screening tool indicating the need for residential treatment. The program has four stages and the average length of stay in FY 2001/02 was 193 days.

ECO, which opened in 1987, is a work release facility for female inmates who are within three years of their release date. ECO focuses on work release but also provides other opportunities for offenders to become better prepared for their transition from prison to the community. Inmates are selected by DOC based on their promotion to Minimum Level II and their desire to participate in the program. The program's capacity is 20 offenders and the average length of stay is approximately 18 months. Inmates contribute their earnings toward part of their housing cost at ECO, as well as any child support, restitution, court fees, fines, and any other monies that are owed by them.

Distinctions Between Incarcerated Female and Male Offenders

Having already described some of the characteristics that differentiate female and male offenders, it is important to understand the differences in the way that the Division of Prisons (DOP) houses the two groups, as well as the interactions that occur within each gender group while incarcerated. First, there are variances in the physical environment of the prisons (especially close and medium custody) that house female and male inmates. At NCCIW, which houses all custody levels, the majority of inmates reside in dorms and, while there are correctional officers present, walk unescorted around the unrestricted areas of the large, tree-filled campus. Only the color of the clothing designates the custody level of the offender as there is an intermingling of the general population (with the exception of death row, segregation, inpatient mental health, safekeepers, and reception). According to correctional staff, the structure at NCCIW works well for the female population because they are more social and have less violent tendencies than their male

counterparts. In contrast, many of the male inmates who are classified as close or medium custody are housed in single cells as opposed to dorms. Unlike NCCIW, male inmates who are minimum custody are never housed in the same area with close and medium custody inmates. Whether male prisoners are in close or medium custody, there are many more limitations placed on their movement around the prison grounds.

The way in which females relate to each other within the prison setting as opposed to men's interactions with each other is notable. At NCCIW (as well as Fountain, on the minimum custody side), prison administrators promote a familial, supportive atmosphere. There is a sense of nurturing and tolerance, with the older inmates being watchful over the younger inmates and inmates looking at the circumstances of another's offense and being more understanding. Prison staff noted that women offenders do not tend to be violent; but, for those prisoners who exhibit violent behavior, there is zero tolerance and violators are subject to segregation. It should be mentioned that there are no serious gang problems in female facilities, but prison staff was quick to note that they work hard to stay on top of any potential gang activities. According to staff, gang participation for females is different from males in that the females are generally only affiliated with the gangs through male members and are given adjunct duties (*e.g.*, holding drugs and taking care of stolen items).

On the other hand, according to information gathered at the various prison visits, the majority of male inmates are more volatile and less social and tolerant of others who are different (*e.g.*, sex offenders) as compared to female inmates. Male offenders are more apt to become physically assaultive and aggressive and engage in gang-like behavior. They are considered a significantly more difficult group to manage in prison than their female counterparts.

Statistical Profile of the FY 2001/02 Sample

Female offenders comprised 21.3% (n=12,370) of the FY 2001/02 sample (*see* Table 5.2). Compared to males, the majority of females were on community punishment probation (69.9% versus 45.5% for males). Correspondingly, the percent of female offenders was considerably lower than that of their male counterparts in the intermediate punishment probation category and in prison.

Personal Characteristics: Table 5.3 contains information describing the personal characteristics of the FY 2001/02 sample for all offenders, probation entries, and prison releases by sex. While females were similar to males in the rate of married offenders and average age, they had a lower percent of black offenders (50.4% versus 55.4%), more offenders with 12 or more years of education (52.3% versus 44.2%), and a lower percent of substance abusers (30.9% versus 35.1%) than did males. Most notably, only 10.2% of female offenders were high risk compared to 39.6% of male offenders.

When comparing female prisoners and probationers, female prisoners had less education, were less likely to be married, and had a much higher percentage with an indication of substance abuse problems. As expected, female prisoners were more likely to be high risk than female probationers (28.4% and 6.8% high risk, respectively). When looking at gender differences, female probationers had more education, less indication of substance abuse, and were much less likely to

be high risk than male probationers. Compared to male prisoners, female prisoners were less likely to be black, were older, slightly more educated, and were much less likely to be high risk. The percentage of female prisoners with some indication of substance abuse was substantially higher at 72.7% than that of male prisoners at 51.9%, and was in fact the highest of any of the subgroups identified.

Table 5.2
Type of Punishment by Gender

Type of Punishment		Gender			
		Female		Male	
		#	%	#	%
SSA Probation Entries	Community Punishment	8,648	69.9	20,743	45.5
	Intermediate Punishment	1,809	14.6	9,655	21.2
	PROBATION SUBTOTAL	10,457	84.5	30,398	66.7
PRISON SUBTOTAL		1,913	15.5	15,205	33.3
TOTAL		12,370	21.3	45,603	78.7

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

A more complete comparison of offender risk levels by type of punishment and gender is presented in Table 5.4, highlighting not only the low percentages of high risk female offenders, but also their high percentages of low risk offenders (consistently more than double that of male offenders).

Criminal History: Overall, 70.8% of female offenders had a prior arrest compared to 83.8% of males (*see* Table 5.5). Female prisoners were similar to male prisoners in the percentage of prior arrests, but female probationers had a lower percentage than male probationers at 66.4% and 77.4%, respectively. Of offenders who had prior arrests, female offenders consistently had a lower mean number of prior arrests (2.9) than males (4.0).

Most Serious Current Conviction: Table 5.5 also provides the most serious current conviction by type of punishment and gender. Overall, females had more misdemeanor convictions

Table 5.3
Personal Characteristics: Female and Male Offenders

Type of Punishment		N	% Black	Mean Age	% Married	% With Twelve Years of Education or More	% With Substance Abuse	% With High Risk Score
SSA Probation Entries	Female	10,457	50.2	30	15.8	53.8	23.2	6.8
	Male	30,398	50.7	29	15.0	45.2	26.7	31.2
	PROBATION SUBTOTAL	40,855	50.6	29	15.2	47.3	25.8	25.0
Prison Releases	Female	1,913	52.0	34	13.4	45.0	72.7	28.4
	Male	15,205	64.8	31	13.7	42.3	51.9	56.5
	PRISON SUBTOTAL	17,118	63.4	32	13.6	42.6	54.2	53.3
TOTAL	Female	12,370	50.4	31	15.4	52.3	30.9	10.2
	Male	45,603	55.4	30	14.6	44.2	35.1	39.6
	Total	57,973	54.4	30	14.7	45.9	34.2	33.3

Note: There are missing values for self-reported years of education.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Table 5.4
Offender Risk Level by Type of Punishment:
Female and Male Offenders

Type of Punishment		N	% Low	% Medium	% High
SSA Probation Entries	Female	10,457	64.8	28.4	6.8
	Male	30,398	32.2	36.6	31.2
PROBATION SUBTOTAL		40,855	40.5	34.5	25.0
Prison Releases	Female	1,913	32.0	39.5	28.4
	Male	15,205	14.2	29.4	56.5
PRISON SUBTOTAL		17,118	16.2	30.5	53.3
TOTAL	Female	12,370	59.7	30.1	10.2
	Male	45,603	26.2	34.2	39.6
	Total	57,973	33.3	33.3	33.3

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

(64.1%) and fewer felony convictions (1.7% for Classes A through E and 33.4% for Classes F through I) as their most serious current conviction than males. As expected, the majority of both female and male prisoners were convicted of felonies (66.9% and 68.0% for Classes F through I, respectively), but males had twice as many convictions for violent felonies (Classes A through E) than females. Female probationers had more misdemeanors as their most serious current conviction than male probationers (70.8% and 62.2%, respectively). Average time served for female prisoners was 10.7 months, which was considerably less than the average time served of 19.7 months for male prisoners.

Prison Infractions: Overall, the average number of prison infractions for females was 1.7. Males had a higher average number of infractions at 2.9. When controlling for time in prison, however, there were no differences in average number of infractions between male and female prisoners.

Participation in Programs: Of the 1,913 female prisoners, 603 were enrolled in correctional academic education during the course of their incarceration, with 549 female prisoners assigned to at least one vocational education course (*see* Chapter Seven of this report). There were 403 female offenders that participated in some type of DART program. Another 143 participated in the Work Release program and 83 were assigned to Correctional Enterprises. Of the 10,457 female probationers, 4,165 were sentenced to community service. Another 1,629 female probationers were

placed on intensive supervision and 365 female probationers were placed on electronic house arrest (see Appendix B for details of these programs). Female offenders may have participated in more than one program.

Table 5.5
Prior Arrests and Current Conviction: Female and Male Offenders

Type of Punishment	N	% With Prior Arrest	Offense Class for Current Conviction			
			% A-E Felony	% F-I Felony	% Misd.	% Other (FSA)
SSA Probation Entries						
Female	10,457	66.4	1.1	27.3	70.8	0.8
Male	30,398	77.4	1.6	35.7	62.2	0.5
PROBATION	40,855	74.6	1.5	33.6	64.4	0.6
Prison Releases						
Female	1,913	94.7	5.3	66.9	27.4	0.4
Male	15,205	96.5	11.1	68.0	20.6	0.4
PRISON SUBTOTAL	17,118	96.3	10.4	67.9	21.4	0.4
TOTAL						
Female	12,370	70.8	1.7	33.4	64.1	0.7
Male	45,603	83.8	4.8	46.5	48.3	0.4
Total	57,973	81.0	4.1	43.7	51.7	0.5

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Description of Work, Program, and Treatment Assignments for Incarcerated Female Offenders

All offenders who enter the prison system are initially placed at a diagnostic center where they undergo a variety of evaluations prior to being moved in with the general population of the prison to which they are assigned. The diagnostic process consists of the inmate being interviewed in order to gather general information as well as receiving mental health, substance abuse, and educational screenings. The inmate's case is assigned to a case analyst who compiles the information and uses it to determine classification and develop a case plan. The plan includes the notation of any special needs and recommended work, program, or treatment assignments for the inmate. When the case plan is approved (which is usually within 15 days), the offender is assigned to the most appropriate custody classification and prison. Once inmates arrive at their designated prison, a case manager is assigned to each inmate to monitor their progress and to ensure that they are placed in the recommended assignment(s).

There is a comprehensive array of programs that are available to provide services to female offenders, with some that are designated specifically to assist women in developing appropriate parenting skills, or to deal with issues of victimization. It should be noted that an educational assignment is generally a priority for offenders who are under the age of 18 and have not received their high school diploma or high school equivalency diploma. Most of the work, program, and treatment assignments listed below are also available to male inmates. What follows is a description of the various assignments that are available to incarcerated female inmates. While this list may not be all inclusive, it includes the primary assignments available in the prison system. When the program is designated for female offenders only, or the program has been changed or added since FY 2001/02, it will be noted. Since these assignments are not offered at all of the female prisons, the prisons that have them will be indicated.

Academic Education

- ▶ *Adult Basic Education (ABE)/General Education Development (GED)*
The ABE program is designed for individuals whose educational testing shows that they are functioning below the 9th grade level, while the GED program is for inmates performing at the 9th grade or above. ABE and/or GED classes are taught at all of the female prisons.
- ▶ *English as a Second Language (ESL)*
This program is offered to non-English speaking inmates who are identified for services during the diagnostic screening. ESL is only available for female inmates at NCCIW.
- ▶ *Youth Offender Program (YOP)*
YOP is a federally funded educational program which began within the Division of Prisons in 1998 and is now offered at 14 minimum and medium custody prisons that house youthful offenders. NCCIW is the only female prison which offers YOP. YOP provides opportunities for post-secondary education, employability skills training, and cognitive behavior intervention. Inmates who are selected for the program must meet be 25 years old or less; be within 5 years of their release or parole; and have received a high school diploma or GED.
- ▶ *Outreach Program*
This program allows eligible inmates to take correspondence courses through participating colleges. There are 600 slots available at six prisons and this educational opportunity is offered on a limited basis within the Division of Prisons. Outreach is offered for women offenders at Fountain, North Piedmont, and NCCIW. Inmates who are Class A through B2 felons or who will not be released within 10 years are not eligible. The funding for the courses comes from the Inmate Welfare Fund.
- ▶ *Other Post-Secondary Educational Programs*
Other post-secondary educational opportunities for a female inmate exist at NCCIW (through Shaw University). Fountain has a study release program in which selected inmates are allowed to leave prison and attend classes at a local college and community college.

Vocational Education⁴³

Of the six DOC-operated female prisons, Black Mountain and Wilmington are the only facilities that do not offer any vocational education programs. Vocational education courses are offered in prisons by instructors from the local community college(s) in the vicinity. Most of the vocational education courses require that an inmate be infraction-free for a certain period of time (usually 90 days) prior to beginning classes. Once inmates are placed in a vocational education program, they can remain in the program unless they present disciplinary problems, have too many absences, or are transferred to another prison (*see* Chapter 7 for more detailed information on vocational education.).

Of the female prisons that offer vocational education, NCCIW has significantly more vocational training courses in both the certificate programs (*i.e.*, continuing education) and the diploma programs (*i.e.*, curriculum). The food service technology program at NCCIW provides opportunities for selected participants to work in “test kitchens” that are located at two of DOC’s administrative offices in Raleigh. Additionally, NCCIW is the only prison in the state that offers vocational training in travel and tourism, cosmetology, and manicuring/nail technology, and dental lab work. With regard to travel and tourism, eligible inmates are selected to be trained by Department of Commerce employees to work in the on-site NC Call Center, which responds to informational calls from the public about the state’s tourist attractions. The cosmetology and manicuring programs at NCCIW are comprised of not only class time but working in a simulated salon on the prison grounds that allows for apprenticing in the techniques of cutting and styling hair, manicures, pedicures, and other salon services. The dental lab at NCCIW provides training for inmates in making and repairing dentures, with some of its graduates going on to work in the lab as a work assignment.

Fountain is one of the only prisons to offer training in being a nurse home companion. In addition to this program, Fountain also provides training in office systems technology, horticulture, and basic computer skills. North Piedmont offers two vocational education courses, computer and nutrition, while Raleigh Correctional Center offers only one class in keyboarding.

Chemical Dependency

All inmates receive a substance abuse screening upon their entry into the prison system. In 2004, DOC began using a new screening tool known as the Substance Abuse Subtle Screening Inventory (SASSI)⁴⁴ that is normed for DOC. An inmate’s score on this instrument determines the level of substance abuse treatment that the inmate needs. Scores can range from zero to five, representing no treatment to in-prison residential treatment. A score of three or more generally means that an inmate is in need of residential treatment. DOC’s goal is to eventually have the resources to

⁴³ For this study, vocational education does not include Human Resource Development (HRD) courses (*i.e.*, job readiness and life skills).

⁴⁴ Prior to 2004, DOC was using two screening instruments, SMAST (Short Michigan Alcohol Screening Test) and CDST (Chemical Dependency Screening Tool) to determine eligibility for chemical dependency programs.

be able to match treatment to the offender's need. All of the substance abuse programs come under DOC's Division of Alcoholism and Chemical Dependency Programs (DACDP).

- ▶ *Drug and Alcohol Recovery Treatment (DART)-Intensive Residential Treatment (IRT)*
The DART-IRT program is a residential treatment program that is located in specified prisons across the state. Inmates are usually referred to the program near the beginning of their sentence, with the length of treatment being approximately 35 days in FY 2001/02. In 2004, the length of the DART-IRT program was formally increased to 90 days. DART-IRT programs that were operational at the female prisons during FY 2001/02, Black Mountain and NCCIW, continue to offer treatment today. There is an aftercare component to the program that lasts from 8 to 10 weeks and is available at all of the female prisons except Raleigh Correctional Center for Women.

- ▶ *Residential Substance Abuse Treatment (RSAT)*
RSAT programs are federally funded, in-prison residential programs that offer chemical dependency treatment to eligible offenders under the age of 22. Unlike DART-IRT, RSAT occurs toward the end of an offender's sentence (at least six to twelve months remaining on their sentence), with the program's last phase devoted mostly to the offender's transition back into the community.

The only RSAT program that was available during FY 2001/02 was a therapeutic community at Raleigh Correctional Center for Women. That program was terminated in 2005. Currently, the only RSAT program for female inmates is at NCCIW. It began in July 2002 and is called the Last Alternative Therapeutic Community of Hope (LATCH). The therapeutic community model is peer driven and based on a business model which uses a hierarchy of positions filled by participants to run its operations. The capacity of LATCH is 34 and the group is housed in a quad which is separate from the general population. Like the programs which serve their male counterparts, there is generally a waiting list to enter the program. At the present time, the federal funding for the RSAT programs is scheduled to end in 2006.

- ▶ *Women Recovering from Addiction Program (WRAP)*
WRAP, a state-funded therapeutic community, began in 2000 and operates only at Fountain. All 42 participants reside in the same dorm, follow program activities, and do not interact with other inmates. Eligibility requirements include the inmate having at least 120 days remaining on her sentence, scoring at least a three on the SASSI, and voluntarily participating in the treatment.

- ▶ *Drug Alcohol Recovery Treatment (DART) 24*
DART 24 provides introductory substance abuse education and intervention material primarily to misdemeanants in selected minimum custody prisons. Materials are presented in several sessions, with the total contact time equaling 24 hours. Fountain, North Piedmont, and Raleigh Correctional Center for Women offer DART 24.

- ▶ *Alcoholics Anonymous (AA)/Narcotics Anonymous (NA)*
These are self-help, support groups based on the 12-step model of recovery. AA, the more prevalent of the two groups, is offered at many of the prisons.

Mental Health

All offenders who enter prison are given a standardized mental health screening test to determine if they are in need of psychological services. Referrals for mental health treatment originate from the diagnostic personnel, other prison staff, or the inmates themselves. Within the prison system, mental health services are divided into four areas, ranging from most restrictive to least restrictive: inpatient, residential, day treatment (training), and outpatient.

NCCIW is the only prison within DOC that offers all four levels of mental health treatment. Outpatient services, including individual and group counseling, are available in varying degrees at the other female prisons. Inmates who appear to be in need of more restrictive mental health treatment are evaluated by mental health personnel. If there is found to be a need for treatment beyond those provided at the outpatient level, offenders are transported to NCCIW. Some aftercare planning is done six months prior to the release of an inmate who has been receiving mental health services.

- ▶ *Inpatient*
Operating in a manner similar to a state mental hospital, DOC's inpatient services are utilized for offenders who are in acute or crisis-related mental health situations (*e.g.*, suicide threats) and are in need of the most restrictive care. NCCIW (16 beds) and Central Prison (144 beds) are the only two prisons that offer inpatient care, for female and male prisoners respectively.

The inpatient unit at NCCIW has separate rooms for inmates determined to be chronically or acutely suffering from mental illness. Approximately 80% of the referrals to the unit are from prisons other than NCCIW. Offenders who are admitted are generally experiencing a serious self-injury, psychotic episode, or are on a safekeeper status. The average length of an inpatient stay is about four to five days. Two correctional officers are assigned to the unit. Inmates are usually discharged to step-down services (*e.g.*, residential program), segregation, or back to the general population.

- ▶ *Residential*
Residential services are the next level of mental health care and are used for mentally ill offenders who are not critically ill, but who are viewed as being unable to function in the general prison population. NCCIW, which is the only prison that has residential services for women offenders, uses a 26-bed, unlocked dorm for residential mental health treatment. The majority of the inmates in the residential unit come from NCCIW. At least 90% of the offenders are estimated by staff to have a co-occurring disorder (or dual diagnosis). The length of stay in residential can be lengthy as there are inmates with long sentences who are chronically ill and cannot be moved to a less restrictive setting.

- ▶ *Day Treatment*
Day treatment is the level of treatment below residential. For the most part, NCCIW has been the only prison to have a day treatment program within the prison system.⁴⁵ To be eligible for day treatment, offenders must function at a higher level and are in structured activities in a separate facility during the day. However, following their time in day treatment, participants are housed in a dorm with inmates from the general population. The day treatment program at NCCIW has two components, each one lasting approximately six months.

- ▶ *Outpatient*
Outpatient services constitute the lowest level of mental health care in the prison system and the area in which the largest number of inmates is served. The majority of all prisons have at least one psychologist on staff and access to a psychiatrist. New admissions, inmates with a mental health crisis, and inmates on medication are seen on an outpatient basis by mental health personnel. Other outpatient services are offered through individual or group therapy, as staff time and prison space permit. Most of the female prison units offer stress and/or anger management groups and would like to expand their offering of group therapy sessions since their experience indicates that women have a number of emotional issues and are more open to communicating. Within the last couple of years, NCCIW has added groups in the following areas: sleep/hygiene/relaxation, mood management, and dual diagnosis.

Social Skills

The majority of the social skills programs listed below are for all inmates, irrespective of gender. These programs, which are considered to be part-time assignments, are generally taught by case managers or program supervisors within the prison setting. There are a few prison programs listed below that are designed for female offenders that are related to improving parenting skills. With regard to programs addressing issues of female victimization, North Piedmont Correctional Center for Women appears to have had the only two programs that were operational in FY 2001/02, one dealing with sexual abuse and incest and the other related to domestic violence.

- ▶ *Parenting Programs*
All female prisons, except Black Mountain, offer some type of group sessions or classes on parenting skills training. Systematic Training for Effective Parenting is a standardized program that is offered at NCCIW and Raleigh Correctional Center for Women. Additionally, there are several programs described below that offer special services for inmates who have children.

Mothers and Their Children (MATCH), a private, non-profit program operating on the grounds of NCCIW, is the most extensive parenting program among those offered to females. The program's emphasis is on maintaining the connection between the inmate and her

⁴⁵ Fountain offered a part-time day treatment program that was phased out in FY 2000/01. While day treatment programs have been attempted at adult male facilities, they do not seem to operate as well there because of the difficulty of transitioning male inmates into a dorm for this type of treatment.

child(ren) and assisting the inmate in learning parenting skills that can be used when she leaves prison and is reunited with her child(ren). Inmates, who meet the eligibility requirements (*i.e.*, minimum 10 year sentence) and successfully complete an eight-week series of basic parenting classes, are permitted to have a supervised one-on-one monthly visit with their child(ren) in a specially designated area on the grounds of the prison which simulates the atmosphere of a home.

Rendering Access to Her Children (REACH), which began in 2003, is a program for inmates with children (loosely based on the MATCH model) and is only available at North Piedmont Correctional Center for Women. Inmates are eligible for REACH if they have been classified as Minimum Level II and approved for community volunteer passes allowing them to spend time with their child(ren) in a supervised setting away from the prison.

Motheread is an instructional program for eligible inmates who have children. It is designed to improve the inmate's literacy and parenting skills in an effort to strengthen the involvement between inmate and child. Motheread programs were at NCCIW, Fountain, North Piedmont, and Raleigh Correctional Center for Women prior to FY 2001/02 and are currently still in operation.

▶ *Character Education*

Character Education is mandatory for all inmates, male and female, and consists of a 16-hour course that aims to teach inmates to independently apply specific decision-making tools to any ethical dilemma that they might encounter.

▶ *Cognitive Behavioral Intervention (CBI)*

This 12-week program focuses on helping inmates to restructure their thought processes and learn cognitive skills that can assist in basic decision-making and problem solving. In FY 2001/02, CBI was available in all of the female prisons, with the exception of Raleigh Correctional Center for Women.

▶ *Napoleon Hill*

Napoleon Hill is an eight-week program that is designed to assist inmates in enriching their character and dealing effectively with others. In FY 2001/02, this program was offered at NCCIW, Fountain, and North Piedmont and is currently still offered at these sites.

Work Programs

Incentive wage jobs, which offer work opportunities within the prison setting (*e.g.*, working in the kitchen or doing janitorial work) are available within each of the prisons that house female offenders. Other work opportunities differ among these prisons, depending on the inmate's custody level, the availability of work options, and any pertinent prison policies. NCCIW has additional work opportunities that are not available at other female prisons. Located on its grounds, NCCIW has two Correction Enterprises plants and three special work programs. Correction Enterprises operates a plant which manufactures all of the metal license plates for the state and which employs

approximately 60 inmates who meet the eligibility requirements. The other Correction Enterprises industry is the duplication plant which provides printing and binding services with approximately 50 inmates. The three other work programs are the North Carolina Tourism and Transportation Information Center, the dental lab, and the horticulture program.

The minimum security prisons that house females have some work assignments that allow selected inmates the opportunity to work away from the prison sites. At Fountain, North Piedmont, and Raleigh Correctional Centers for Women, inmates can be assigned to work on Department of Transportation road squads, which utilize inmates in the clearing of brush and the picking up of litter. Fountain, North Piedmont, and Black Mountain offer the community work program which allows a supervised crew of inmates to work on short term labor projects for local governmental and state agencies. All of the minimum security units have work release opportunities for selected inmates providing them the chance to leave the prison each day to work at approved sites returning to the prison when their work is completed.

Transitional Services

Since late 2001, all prisons maintain a transitional folder on each inmate that goes with them wherever they may be transferred within DOP and, ultimately, upon release from prison. This folder includes the following items, when available: social security card, birth certificate, picture ID, certificates from programs and/or courses, resume, and other items that may help in an inmate's transition back into the community.

▶ *Going Home Initiative (GHI)*

The Going Home Initiative is a grant-funded program for offenders aged 18 to 35 which began serving inmates at designated prisons in 2003. The goal of the program is to reintegrate inmates into the community by helping them develop and carry out a plan that addresses employment, housing, education, and treatment needs. Currently, the program is offered at 23 prisons, including NCCIW, Fountain, and Raleigh Correctional Centers for Women. However, inmates can be at any facility when they are identified as meeting the criteria for the program and can subsequently be moved to a prison that has GHI. Funding for the program is scheduled to end on June 30, 2006. In preparation for this, the DOC is working to incorporate lessons learned from the GHI toward serving future prison releases.

▶ *Job Start*

Job Start, which began in 2000 is geared for inmates under the age of 21 and focuses on pre-release planning, with an emphasis on job procurement and retention. Job Start was not offered at any of the female facilities during FY 2001/02, but it was later added to the programming at Fountain and Raleigh Correctional Centers for Women.

▶ *Other Programs*

Harriet's House, which provides transitional housing to female ex-inmates and their children in Raleigh, is one of three non-profit programs (Summit House and Women at Risk being the other two) that is referred to as a "pass-through" program. This refers to the fact that state

funds, which are designated for Harriet's House, are appropriated by the General Assembly to DOC and then pass through the Department to Harriet's House for use by the program. DOC's primary role is to be responsible for the yearly fiscal monitoring reports that Harriet's House is required to send to the General Assembly.

Chaplaincy Programs

Religious programs, services, and pastoral care are offered at all prisons. A chaplain is available at each prison to coordinate programs and services and to provide pastoral care. Within the last several years, programs (*i.e.*, Transition Aftercare Network–TAN) have been initiated to assist inmates in their reentry back into the community by networking with churches and ministry organizations to provide aftercare resources within their respective counties.

The Division of Community Corrections: The Female Probationer

As noted earlier, while the FY 2001/02 sample includes prisoners and probationers (of which 12,370 are women), prisoners are the primary focus of this chapter since they are a separate, well-defined group within the Division of Prisons and have an array of programs and services available to them while incarcerated. Within DOC, there are some programs available to probationers that should be mentioned. The Division of Community Corrections (DCC), as one of its functions, provides supervision of offenders sentenced to probation. DCC has a decentralized design with a state level administrative office and probation offices in every judicial district in the state. Probation officers manage and facilitate services for offenders who are on their respective caseloads. Probation caseloads are not grouped according to gender, but rather by supervision levels (*e.g.*, community, intermediate, and intensive) based on the seriousness of their offense, their risk to the community, their criminogenic needs, and by certain offense types (*e.g.*, sex offenses and domestic violence).

The comprehensive set of services and programs that are provided by DCC are presently designed for probationers in general, not targeted specifically for female probationers. Some of the programs include: electronic monitoring/house arrest, community service work program, substance abuse screening and intervention, and Criminal Justice Partnership programs (CJPP). Through CJPP, programs for intermediate-sentenced offenders (*e.g.*, day reporting centers and satellite substance abuse centers) are provided at the local level. DOC/DCC programs are supplemented, to varying degrees across the state, by local and county resources.

Although no longer in existence, the Intensive Motivational Program of Alternative Correctional Treatment (IMPACT) was a DOC program that was provided for female probationers prior to and during a small part of FY 2001/02. The IMPACT program was a condition of probation (residential program) in which the offender served an active sentence of 90 to 120 days, and was subsequently released to supervised probation. IMPACT was an intermediate punishment for female and male offenders between the ages of 16 and 30, who were convicted of a Class 1 misdemeanor, Class A1 misdemeanor, or a felony, and who were medically fit. The goal of the IMPACT program was to instill self-confidence, discipline, and a work ethic through a strictly regimented paramilitary program (*i.e.*, boot camp) consisting of exercising, drilling, working, and attending school. The

female component of IMPACT was terminated effective November 1, 2001. The male component of IMPACT was abolished effective August 15, 2002.

The DOC's Division of Alcoholism and Chemical Dependency Programs operates DART Cherry, which is a residential drug treatment facility for male offenders on probation, post-release supervision, or parole with substance abuse problems. It is noteworthy that there is no similar program available for female probationers.

Summit House and Women at Risk are two non-profit, community-based programs that are referred to as "pass-through" programs. As mentioned previously, this refers to the fact that state funds, which are designated for both of these programs, are appropriated by the General Assembly to DOC and then pass through the Department to these two programs for their use. DOC's primary role is to be responsible for the yearly fiscal monitoring reports that Summit House and Women at Risk are required to send to the General Assembly. Summit House operates three residential centers in Charlotte, Greensboro, and Raleigh for female offenders (and their children) who have been convicted of a nonviolent offense and are eligible for an intermediate punishment. Women at Risk is a 16-week alternative to incarceration program that serves female offenders in western North Carolina as a special condition of probation.

Criminal Justice Outcome Measures for the FY 2001/02 Sample

The information in Table 5.6 relates to the four criminal justice outcome measures discussed in Chapter Three: rearrest, reconviction, technical revocation, and reincarceration rates during the three-year follow-up period.

Recidivist Arrests: Overall, 26.2% of female offenders were rearrested during the three-year follow-up period compared to 41.4% of male offenders. Compared to males, both female prisoners and probationers had lower rearrest rates. Of the offenders with a recidivist arrest within the three-year follow-up period, the average time to rearrest for females was 13.2 months compared to 12.6 months for males. Female probationers were closer to male probationers in their average months to rearrest (13.0 months and 12.7 months, respectively), with a slightly greater difference in average months to rearrest for female prisoners at 13.8 months and male prisoners at 12.6 months.

Figure 5.1 shows the three-year rearrest rates for the FY 2001/02 sample by type of punishment and gender while controlling for offender risk level. Rearrest rates for offenders varied by offender risk level, with high risk offenders more likely to be rearrested than low risk offenders regardless of type of punishment and gender. Generally, males had higher rearrest rates than females, except for low risk female prisoners who had a slightly higher rearrest rate (22.0%) than low risk male prisoners (20.5%).

These gender differences in rearrest rates are important findings; however, they cannot be fully accounted for without controlling for other factors. Multivariate models (*see* Chapter 4, Table 4.1) were estimated to control for differences between offenders based on demographic variables, criminal history, current offense, and time at risk during the three-year follow-up. As previously indicated,

male offenders were 5.3% more likely to be arrested than female offenders, controlling for all other variables in the model. These results hold when examining multivariate models of prisoners and probationers separately (*see* Chapter 4, Table 4.1). In summary, the effect of being a female was related to a lower rate of rearrest and remained when other differences between offenders were held constant.

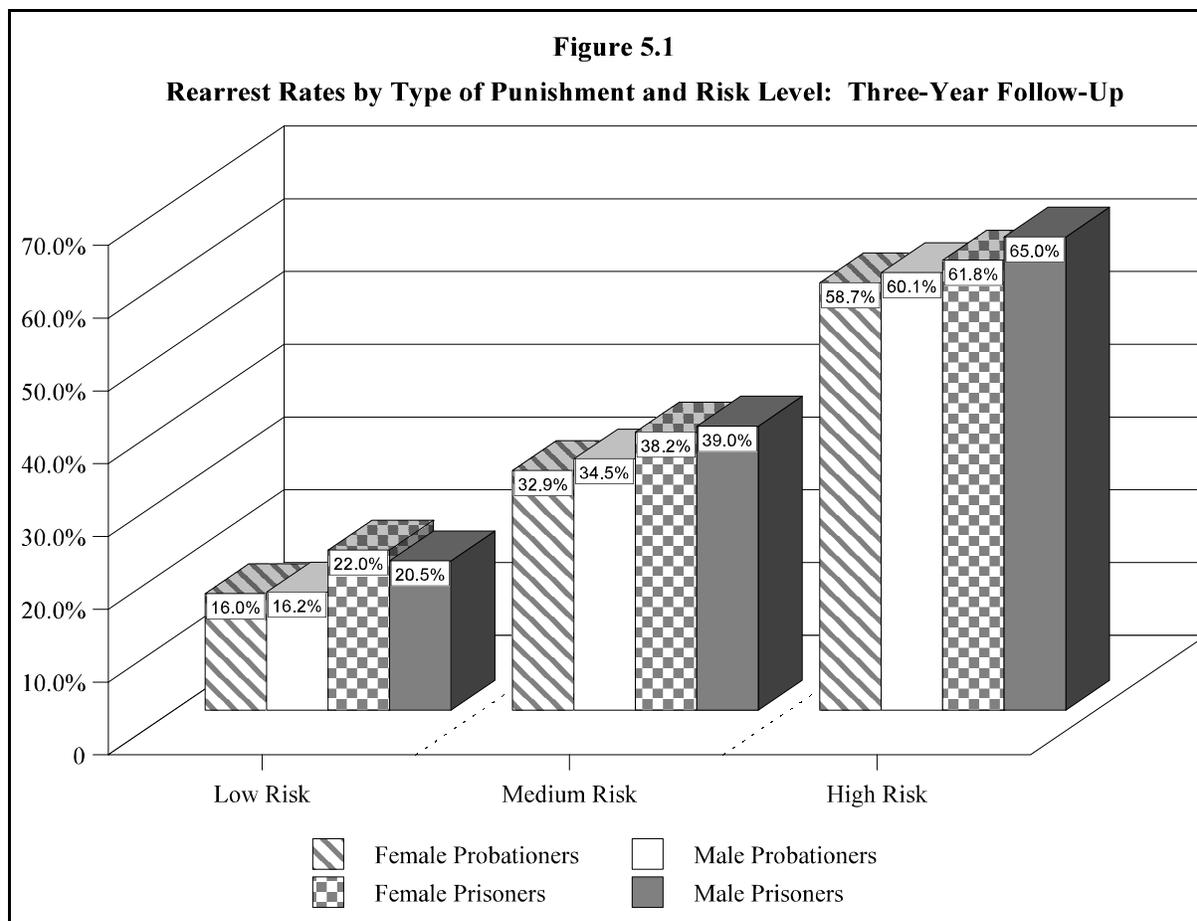
Table 5.6
Criminal Justice Outcome Measures: Female and Male Offenders

Type of Punishment	N	Criminal Justice Outcome Measures				
		% Rearrest	% Reconviction	% Technical Revocation	% Reincarceration	
SSA Probation Entries	Female	10,457	23.7	15.5	21.7	14.1
	Male	30,398	36.6	24.9	32.1	28.8
PROBATION		40,855	33.3	22.5	29.4	25.1
Prison Releases	Female	1,913	39.7	28.5	17.8	25.6
	Male	15,205	51.1	36.8	19.5	37.2
PRISON SUBTOTAL		17,118	49.8	35.9	19.3	35.9
TOTAL	Female	12,370	26.2	17.5	21.1	15.9
	Male	45,603	41.4	28.9	27.9	31.6
	Total	57,973	38.2	26.5	26.4	28.3

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Recidivist Convictions: Overall, as displayed in Table 5.6, 17.5% of female offenders had a recidivist conviction in the three-year follow-up period, which was lower than the rate for males (28.9%). Compared to male offenders, female offenders had lower reconviction rates whether on probation or released from prison. For those offenders who had a recidivist conviction in the three-year follow-up period, gender had little or no impact on the average time to the first recidivist conviction overall (17.0 months for females and males) and when comparing probationers (16.7 months for females and 16.9 months for males) and prisoners (18.0 months for females and 17.1 months for males).

Technical Probation Revocations: Of the female offenders, 21.1% had a technical revocation within the three-year follow-up period, which was lower than the technical revocation rate for male offenders (27.9%). A greater difference in technical revocation rates was found between female and



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

male probationers (21.7% and 32.1%, respectively). There were little gender differences with time to first technical revocation. For those revoked within the three-year follow-up period, first revocation occurred, on average, after 15.0 months for females and 14.7 months for males.

In Chapter 4, revocations were examined for probationers only as a measure of probationer misconduct (*see* Chapter 4 and Appendix C-3, Table C-3.5). Using a logistic regression model, male probationers were found to be 6.6% more likely to have a probation revocation than female probationers, all else held constant. This indicates that gender was an important predictor of misconduct when controlling for demographic variables, criminal history, current offense, and days at risk.

Recidivist Incarcerations: Female offenders had a much lower recidivist incarceration rate (15.9%) during the three-year follow-up period than males (31.6%). Both female probationers and prisoners had lower recidivist incarceration rates than their male counterparts. For those female offenders who had a recidivist incarceration in the three-year follow-up period, their first recidivist incarceration occurred an average of 16.0 months after their release from prison, which was slightly longer than the average of 15.2 months for male offenders.

Comparing recidivist incarceration rates between male and female offenders, as done above, does not take into account differences in offenders' demographics, criminal history, and current offense. To account for these factors while predicting the rate of recidivist incarceration, multivariate models were estimated (*see* Chapter 4, Table 4.2). As previously noted, male offenders were 11.5% more likely to be reincarcerated than female offenders, even when controlling for personal characteristics, criminal history, current offense, type of punishment, and days at risk during the three-year follow-up period. In sum, gender's effect on reincarceration remained when other differences between offenders were held constant.

Employment: As indicated in Table 5.7, a higher portion of female offenders were employed at least one quarter in the three-year follow-up period (77.3%) compared to male offenders (73.5%). Female offenders worked an average of 7.1 quarters, similar to male offenders who worked an average of 6.7 quarters. Average quarterly wages for female prisoners and probationers were less than male prisoners and probationers, with female prisoners earning the lowest wages in all of the categories.

Table 5.7
Employment in the Three Years Following Release to the Community:
Female and Male Offenders

Type of Punishment		N	% Employed	Mean # of Quarters Worked ¹	Average Wages Per Quarter ¹
SSA Probation Entries	Female	10,457	78.6	7.2	\$1,856
	Male	30,398	75.0	7.0	\$2,421
	PROBATION SUBTOTAL	40,855	75.9	7.0	\$2,271
Prison Releases	Female	1,913	70.2	5.9	\$1,556
	Male	15,205	70.4	6.1	\$2,067
	PRISON SUBTOTAL	17,118	70.4	6.1	\$2,010
TOTAL	Female	12,370	77.3	7.1	\$1,813
	Male	45,603	73.5	6.7	\$2,308
	Total	57,973	74.3	6.8	\$2,198

¹ Mean number of quarters worked and average wages per quarter only include offenders who worked during the three years following release to the community.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Similar to the other outcome measures, a multivariate model was estimated to predict employment during the three-year follow-up period for offenders in the FY 2001/02 sample (*see* Chapter 4, Table 4.4, Model 1). In line with the descriptive findings above, multivariate models examining the rate of employment of offenders indicated that male offenders were 1.9% less likely than females to be employed during the three-year follow-up period, even when controlling for differences in offenders' demographics, criminal history, current offense, and days at risk.

In summary, when looking at the criminal justice outcome measures in Table 5.6, it is evident that female offenders have lower recidivism rates for all of the measures during the three-year follow-up period than male offenders. In addition, female offenders were more likely to be employed during the follow-up period, but earned less than their male counterparts.

Summary and Conclusions

While female offenders are a small percentage of the criminal justice and correctional systems, the complexity of the issues that they bring with them make this group a distinct population. Displaying different problems than their male counterparts, female offenders are less violent in their crimes as well as their behaviors but are many times the victims of violence (Conley et al., 1998; Morash et al., 1998). Correctional staff noted that many of the females entering prison indicate that they have been victims of physical and/or sexual abuse which manifests itself in low self-esteem and vulnerability. Women prisoners experience more drug problems than incarcerated men and may use drugs to counteract past life traumas (Bloom et al., 2003; Morash et al., 1998). A final, more gender specific issue that female prisoners have to face is the feelings that result from being separated from their child(ren). Many women were the primary person who was responsible for their child's care prior to being incarcerated.

Female offenders are incarcerated in one of six state-operated prisons or two contracted private, nonprofit facilities. The largest of these, NCCIW, houses all custody levels, while the other prisons have only minimum custody inmates. The design for NCCIW is different than prisons that house close or medium custody males. First, most of the females at NCCIW reside in dorms where there is no separation of inmates by custody levels or by age, as is the case with close/medium custody male prisons. Second, female prisoners are less restricted in their movement around the grounds at NCCIW as compared to their male counterparts in higher custody prisons. The fact that incarcerated women offenders relate to each other in a manner that promotes supportiveness and nurturing allows them to live in a more open prison environment than incarcerated men.

Of the 57,973 offenders included in this study, 21% were female, with the majority (70%) placed on community probation and only 16% released from prison during FY 2001/02. The female offenders were better educated than the males, had a lower incidence of substance abuse, and had a lower rate of prior arrests. Perhaps most notably, 60% of the female offenders were low risk compared to only 26% of the males, and only 10% of the female offenders were high risk compared to 40% of the males. That difference in their overall seriousness was also reflected in their most serious current convictions, with almost two-thirds of the female offenders convicted of misdemeanors (compared to 48% of the male offenders), and less than 2% convicted of violent

felonies (compared to 5% of the male offenders). Female prisoners differed significantly from their male counterparts in three areas: a smaller proportion of the females were black (52% compared to 65% of the males), only half as many of them were high risk (28%) as were the males (57%), and a significantly higher proportion of them (73%) had substance abuse problems compared to the men (52%).

Confirming research findings in North Carolina and nationwide, recidivism rates for female offenders in the sample were consistently lower than the rates for male offenders. This finding held true independent of the measure of recidivism used, and for both probationers and prisoners. The overall rearrest rate for the three-year follow-up period was 26% for women and 41% for men. Differences between the gender groups were evident even when controlling for risk level, with women's rearrest rates being lower except for one group: low-risk female prisoners. This anomalous finding might reflect the very high incidence of substance abuse among women inmates, a factor predisposing them to recidivism. While not a criminal outcome measure, female offenders had a somewhat better chance than male offenders to find employment following their release into the community, but their average wages per quarter, when employed, were consistently lower than wages for the males.

There is a wide array of programs offered within the female prisons, many of which are also available in prisons where males are incarcerated. This is also the case with programs and services for female and male probationers in the community. Because of the large, diverse population that is housed at NCCIW, much of the programming for the female prison population is centralized there. Within all of the female prisons, there are also programs that are designed especially for female prisoners and are related to parenting skills development and victimization issues.

While DOC offers a comprehensive programmatic approach to deal with the needs of female prisoners, there are several areas that might be further enhanced. One of these could include additional in-prison substance abuse programs that occur near the end of the offender's sentence and are designed to not only address the female inmate's drug problems but other interrelated issues (*e.g.*, physical or sexual abuse). Another enhancement might be offering more outpatient mental health groups that would allow female prisoners to address victimization and other issues faced by many women offenders. Lastly, since many prisoners will have to provide for their child(ren) upon their release back into the community, prisons could continue to further promote programs that can increase an inmate's chances for employability. To expand services in the community, female probationers should also have the opportunity to receive residential substance abuse treatment, like their male counterparts who have the availability of DART Cherry for their drug treatment needs.

In a system whose programs and policies are, by necessity, designed and directed more at the larger male offender population, DOC has done an admirable job of molding these to fit the needs of the female offenders. These policies, added to the less serious nature of female criminality and behavior patterns, seem to help mitigate the effects of prisonization on female prisoners, and keep reoffending among women at a lower rate.

CHAPTER SIX POPULATION PROFILE YOUTHFUL OFFENDERS

Introduction

As noted earlier in the report, the Sentencing Commission decided to focus in this study on two specific correctional populations: female offenders and youthful offenders. There are several reasons why the Commission decided to highlight youthful offenders. First, youthful offenders are our future adults. To better understand them as a group may provide ideas on how to deter them from becoming adult offenders. Youthful offenders are also surrounded by ambiguities and conflicting messages as to their legal status in society, going through an age-range in which they can be tried as an adult, voluntarily leave school, or drive a car, but they cannot serve in the military, be employed in a significant number of fields of work, vote, consume alcoholic beverages, or enter into contracts. Youthful offenders are also clearly differentiated from their adult counterparts in a variety of developmental aspects (both biological and psychological), exhibiting emotional immaturity, poor judgment, and skewed time perception. They are more susceptible to peer pressure, have poor impulse control leading to possible disciplinary problems and aggression, and are often the most challenging group with regards to effective intervention, treatment, and positive change (Fagan, 2005; Glick, 1998).

This chapter explores the dynamics of the youthful offender group through descriptive and statistical profiles as well as by outlining the correctional resources which are utilized to serve them. For purposes of this report, the designation “youthful offender” is defined as a person who entered the correctional system (as either a prisoner or a probationer) prior to their 21st birthday. In North Carolina, the jurisdiction of the adult criminal justice system begins at a person’s 16th birthday. However, juvenile offenders between the ages of 13 and 15 may have a delinquent complaint filed against them for a felony in juvenile court, transferred to adult (superior) court, convicted, and sentenced to adult sanctions. There are a small number of offenders in the cohort sample who fall into this category. A complicating factor regarding age should be noted at this point: unlike other demographic variables like gender and race, age – and therefore the “youthful offender” designation – is transitory in nature. While in this sample offenders are designated “youthful” based on their age at commitment to the Department of Correction (DOC), with the progression of age many (if not most) of them will be moved in and out of facilities and programs, and will ultimately pass from the “youthful” to the “adult” category.

Youthful offenders are sentenced to community sanctions as well as to incarcerative sanctions. The FY 2001/02 sample includes both youthful probationers and prisoners. However, this chapter focuses primarily on youthful offenders in prison, due to a more clearly delineated designation of this group in the prison system and more programs specifically designed and targeted for the inmate population.

In order to gain a first-hand understanding of the youthful offender group, in 2005, Sentencing Commission staff conducted site visits to three prisons that housed this population in FY 2001/02, and that continue to house the majority of offenders in this age group to date: Western Youth Institution (Western), Polk Youth Institution (Polk), and North Carolina Correctional Institution for Women (NCCIW).

While on site visits, Commission staff toured the facilities, interviewed key administrative and program staff, and observed program activities. A standardized protocol was used during the interviews to gather specific information about program history, program components, client characteristics, and program administration (*see* Appendix D). Interviews were also conducted with various staff at the state level in order to get an overview of programming available to youthful offenders. When available, written materials, descriptions, and statistics were collected.

In many cases, the present operation of the services and programs provided to youthful offenders is not very different from that in FY 2001/02. Descriptions of programs and services that are contained in this chapter generally reflect their current operating practices. However, when relevant, major changes to policies, services, and programs that have occurred since FY 2001/02 are noted.

Statutory Provisions and DOC Policy Relative to Youthful Offenders

Currently, there are few laws in North Carolina that specifically deal with the handling of youthful offenders by DOC. For example, G.S. §148-22.1 states that DOC shall give priority to meeting the needs of inmates under the age of 21 with academic, vocational, and technical education. Other statutes address the transfer of offenders less than 16 years of age to Central Prison (G.S. §148-28) and the procedure when surgical operations on inmates who are minors are necessary (G.S. §148-22.2). The separate housing of female and male inmates (G.S. §148-44) pertains to adult offenders as well as youthful offenders.

Prior to the enactment of Structured Sentencing, North Carolina had specific statutes that related to the sentencing of youthful offenders, the separate housing of youthful offenders from adult offenders “to the extent practicable,” and the availability of early parole for those designated as a “Committed Youthful Offender (CYO).” This allowed CYO’s the opportunity to be eligible for parole before completing their court-imposed sentence. In 1994, when Structured Sentencing became law, parole was abolished and there was no longer a basis for a youthful offender code. Consequently, this set of laws was repealed for offenses committed on or after October 1, 1994.

DOC has some policies that relate only to youthful offenders. These policies pertain to the inmate population, rather than to probationers. The age used by DOC to define the youthful offender group is an important policy decision and one that has changed since FY 2001/02. During the time frame of this sample, the age for incarcerated youthful offenders went up to the age of 21. Since FY 2001/02, the number of incarcerated youthful offenders (especially the male segment) has been declining, unlike the adult prison population which has been increasing. This factor has led DOC to increase the age of the youthful offender prison population to 25, which is where it is presently.

Additionally, this decrease in youthful offenders has resulted in the closing of youthful prison facilities or in their conversion to adult units. Currently, the majority of the youthful population is housed at the following prisons: NCCIW, Foothills Correctional Institution (Foothills), Polk, Western, and Morrison Correctional Institution (*see* Table 6.1).

**Table 6.1
Prisons Housing Youthful Offenders in FY 2001/02 and FY 2005/06**

Name of Prison	Custody Level	Expanded Operating Capacity	
		FY 2001/02	FY 2005/06
Bladen Youth Center ¹	Minimum	144	n/a
Foothills Correctional Institution	Close	664	648
Morrison Correctional Institution ²	Minimum	509	396
North Carolina Correctional Institution for Women	Close/Medium/ Minimum	928	1,194
Polk Correctional Institution	Close	840	840
Sandhills Youth Center ³	Minimum	306	n/a
Western Youth Institution	Close/Medium/ Minimum	708	708

Notes:

1. Bladen housed youth until November 2001 before being converted to an adult male facility.
2. Morrison housed medium custody youth until January 2002 when it was converted to an adult male facility. When Sandhills Youth Center closed in June 2003, minimum custody, male youths were transferred to Morrison.
3. Sandhills was closed in June 2003.

SOURCE: NC Department of Correction

Another major DOC policy that is related to age concerns the housing of youthful offenders. Youthful males who are convicted of a felony are incarcerated in facilities that are separate from those housing adult male felons 25 and older. Presently, male felons and misdemeanants under the age of 19 are processed and incarcerated at Western. In general, the majority of male felons who are 19 years old, but less than 25 years old, are incarcerated at Polk or Foothills. All misdemeanants between the ages of 19 and 22 undergo diagnostic processing at Western and may remain at Western's minimum custody unit or be transferred to another minimum custody facility. It is worth noting that youths in the sample may have begun their sentences in a close or medium custody prison, but may have been transferred to a minimum custody unit at some point prior to the end of their periods of incarceration, if they complied with prison rules, did assigned work, and participated in corrective programs. Within some of the minimum custody units, inmates who are at least 18 years old are incarcerated in the same facility as adult minimum custody inmates.

Unlike youthful male inmates, youthful female inmates, who represent a much smaller number than their male counterparts, are not housed separately from adult female inmates. The majority of female youthful offenders, especially those convicted of a felony, are sent to NCCIW, where they are absorbed into the general population.

There are other DOC policies that govern youthful offenders, especially in the area of housing and education. These topics will be covered later in the chapter.

The High-Rise at Western Youth Institution

Western Youth Institution is one of only several prisons within DOC that features a high-rise facility. This facility is the prison system's point of entry for all male felons and misdemeanants younger than 19 years old. Prior to the building of the high-rise unit in 1972, youthful inmates were incarcerated in the same facilities as adults. The design of the 16-floor prison was geared toward a behavior modification model in which a point system for positive and negative behavior was used by the administration to move inmates up (*i.e.*, sanction for negative behavior) or down (*i.e.*, reward for positive behavior). The behavior modification system was utilized until approximately the mid-1980's when several factors, including an increase in the youth population, rendered the system ineffective.

Today, the upper floors of the high-rise are utilized primarily for problematic inmates and new admissions, while the lower floors house the remainder of the population and services such as the school, programs, diagnostic center, kitchen, and administration. With few exceptions, the facility has only single cells, with only the cells on the 16th floor (which houses the most serious inmates) having their own sink and toilet. The other floors have common bathroom facilities. With no central dining hall, inmate contact is kept to a minimum, and meals are delivered to each floor via elevators located in the building.

The fact that the facility is a high-rise makes it more difficult for inmates to access the grounds of the facility for exercise. Time is designated at least twice a week for inmates to be taken by correctional officers either to the gym inside the building or to the outside area for recreational time. For the recreational period of inmates who are on the 16th floor and who require the most control, they are either escorted by correctional officers to the roof and allowed to be in a 4x8 cage for up to one hour (weather permitting) or are allowed to walk the hallway in front of their cell.

Inmates generally remain at Western until their 19th birthday. At that time, the majority of the offenders are transferred to one of two close custody facilities, Foothills or Polk.

The Prison Environment: Youthful Offenders and Adult Offenders

In looking at the various subgroups of offenders within the sample, there are significant variations that emerge between certain groups. A review of recent literature and interviews with DOC personnel indicate that there are major differences in the way that adult and youthful offenders respond to their incarceration experience. In addition, distinctions exist within the incarcerated youthful offender group between genders. An understanding of these distinguishing characteristics will offer further insight into the analyses of these subsets of inmates.

Youthful Offenders Versus Adult Offenders

It has long been a known fact that youth under the age of 21 often lack maturity and life experiences which result in different perceptions and behavioral responses than those of adults over the age of 21. A young person tends to have more difficulty in making good judgments, resisting negative peer influence, and in exercising impulse control.⁴⁶ Since these characteristics are often associated with criminal behavior, many of the youthful offenders already have significant problems in these areas by the time that they reach prison. DOC staff responsible for incarcerated youthful males at Western estimated that a majority of their inmates had been involved in the juvenile court system. Nearly all of the prison staff responsible for incarcerated youthful males indicated that there are many young male offenders whose limited impulse control results in their tendency to express their aggression in a more overtly physical manner. Moreover, according to staff, aggressive behavior in youthful offenders has been linked to increased gang activity in recent years. While there is no intent to minimize criminal acts committed by this group, understanding some characteristics that define the age group of the youthful offender population might point to appropriate programs or treatment to rehabilitate these offenders and truncate their criminal careers.

Youthful Male Offenders Versus Youthful Female Offenders

A major difference between youthful male and female offenders occurs as a result of the way in which DOC houses the two groups. As is the case with adult offenders, there are always substantially more males than females within the youthful offender group. As previously mentioned, DOC divides the male youthful offender population into two groups: those under 19 years old and those aged 19 to 25 years old. All males under 19 years old are placed in medium or close custody at Western and are housed in single cells. Since it is a high-rise facility, inmates have limited access to other floors and to the outside prison yard. The older group of youthful felons are sent to Polk or Foothills. At Foothills, all of the youthful offenders who are in close custody (there is a separate minimum custody unit at Foothills) are housed in single cells. Approximately half of the inmates

⁴⁶ Research over the last several years has offered more concrete information on why younger individuals react differently from adults. New findings state that there actually appear to be physical reasons for the differences between the two age groups. Studies conducted at various research facilities (*e.g.*, National Institute of Mental Health, Harvard Medical School, University of Pennsylvania Medical Center) show that the part of the human brain that is responsible for most of the cognitive functioning (*i.e.*, the frontal lobe) is not fully developed until a person is at least 21 years old. The frontal lobe is responsible for a human's ability to make good decisions, control aggression and other impulses, and understand risks and consequences (American Bar Association, Juvenile Justice Center, 2004; Beckman, 2004).

at Polk are housed in one of four dormitories (the other half are in single cells). Each pair of dorms share an outside, separate recreational area. Most of the inmates at Polk who have a work or school assignment are placed in single cells. Staff at Polk noted that inmates viewed being in a single cell under these circumstances as a privilege because it offered more privacy. Except for those offenders in high security or in segregation, inmates have access to limited parts of the prison's campus.

All youthful females who enter the prison system as convicted felons are housed at NCCIW. Unlike the facilities that house youthful males, the majority of the youthful females at NCCIW are housed in dorms. NCCIW has a large campus and inmates, unless they have a certain status (*e.g.*, death row, segregation, inpatient mental health, or reception), can move around the areas that are designated by policy. According to staff at NCCIW, this type of structure works well for female offenders because they are more social and have less violent tendencies than their male counterparts. Also, because of the differences in the way that males and females "do time," the philosophy of the female facility towards youthful female offenders is focused more on taking care of or nurturing them. The younger females are generally watched more closely and placed within a dormitory which has an older, respected inmate who can assist them in coping with prison life. In general, it would seem that, unlike the male prisons that house youthful inmates and have control as their major emphasis, the female prison is more focused on providing a more familial, supportive environment.

Statistical Profile of the FY 2001/02 Sample

Personal Characteristics: Table 6.2 contains information describing the personal characteristics of the FY 2001/02 sample for all offenders, probation entries, and prison releases by age breakdowns. It is important to note that "age" refers to the offender's age at the time of commitment to the DOC (*i.e.*, being committed to prison or placed on probation). Therefore, while the probationers designated as "youthful" were between 13 and 21 years old at the beginning of the three-year follow-up, 41% of the prisoners will have passed their "youthful" status and aged into adulthood by the time of their release from prison at the start of the follow-up period. On average, prisoners aged 16 to 17 at the time of commitment to DOC were 20 years of age at release and still considered youthful offenders. Conversely, prisoners aged 18 to 21 at time of commitment to DOC were on average 21 years of age at release and had aged into adulthood. Of the total FY 2001/2002 sample, 13,038 or 22.5% were youthful offenders at the time of their commitment to DOC. Youthful offenders comprised 25.0% of the sample's probation subgroup and 16.5% of the prison subgroup.

Table 6.2
Personal Characteristics: Youthful and Adult Offenders

A Comparison of Youthful and Adult Offenders		N	% Male	% Black	% With Substance Abuse	% With High Risk Score
Probation Entries	13-15	22	90.9	50.0	9.1	31.8
	16-17	3,475	78.3	48.7	17.8	30.2
	18-21	6,709	79.0	47.5	21.3	34.6
	Subtotal	10,206	79.0	47.9	20.1	33.1
	21 and older	30,649	72.9	51.5	27.8	22.3
PROBATION SUBTOTAL		40,855	74.4	50.6	25.8	25.0
Prison Releases	13-15	15	93.3	80.0	60.0	53.3
	16-17	495	95.0	67.1	54.1	67.9
	18-21	2,322	95.2	63.3	46.2	72.8
	Subtotal	2,832	95.2	64.0	47.6	71.8
	21 and older	14,286	87.6	63.2	55.5	49.7
PRISON SUBTOTAL		17,118	88.8	63.4	54.2	53.3
TOTAL	Youthful	13,038	82.5	51.4	26.1	41.5
	Adult	44,935	77.6	55.2	36.6	31.0
	Total	57,973	78.7	54.4	34.2	33.3

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Youthful offenders were grouped into subcategories by age: 13 to 15, 16 to 17, and 18 to 21. All offenders 21 years of age or older were defined as adults. In North Carolina, juvenile delinquents aged 13 to 15, when charged with any felony, may be transferred to adult criminal court for conviction and sentencing. In practice, while transfer for a First Degree Murder charge is mandatory, the transfer option for other felonies is discretionary and used most frequently for violent (Classes B1-E) charges. Based on the small number of 13 to 15 year olds in the sample (22 prisoners and 15 probationers), and their atypical offense profile, the discussion will not focus on this subgroup of youthful offenders.

There was little difference in the gender and race composition between youthful and adult offenders, whether on probation or in prison (*see* Table 6.2). When compared to adults, youthful offenders had a higher percentage of males (82.5% versus 77.6%, respectively), and a lower percentage of blacks (51.4% versus 55.2%, respectively). Overall, youthful offenders had a lower

proportion of substance abusers compared to adult offenders. The general trend among probationers was for substance abuse problems to increase with age. Among prisoners, youth aged 16 to 17 at prison entry had a similar proportion of offenders with a history of substance abuse problems as adult offenders.

Surprisingly, looking at the entire sample, 41.5% of youthful offenders had a high risk score compared to 31.0% of adult offenders. The proportion of high risk youthful probationers was 11% higher than that of adult probationers; the proportion of high risk youthful prisoners was 22% higher than that of adult prisoners. The percent of high risk youthful offenders increased as age categories increased from 16 to 17 to 18 to 21.

As previously described in Chapter Two, the risk score is a composite measure that includes personal characteristics, criminal history, and current sentence information. While youthful offenders would have low risk scores due to their young age and lack of time to accumulate a substantial prior criminal history, a number of other factors included in the risk score under the heading “personal characteristics” can potentially increase their score. For adult offenders, being married, having at least twelve years of education, and being employed served as protective factors decreasing their likelihood of rearrest. However, the majority of youthful offenders by definition had less than 12 years of education, were not employed, and were not married – all factors which may have inflated their risk score. Furthermore, the risk score lacks information on several important indicators of youthful offending such as gang involvement, juvenile justice system involvement, school behavior and performance, peer relations, conflict in the home, and prior victimizations.

Criminal History and Current Conviction: Information on prior arrests and current convictions for the FY 2001/02 sample is presented in Table 6.3. The percent of youthful offenders with a prior arrest was considerably less than that of adult offenders, mostly driven by a difference between youthful and adult probationers. Youthful prisoners aged 16 to 17 and 18 to 21, on the other hand, had similar rates of prior arrest to that of adult offenders (91.9%, 95.6% and 96.6%, respectively).

Of the 13,038 youthful offenders in the FY 2001/02 sample, 2,832 entered prison and 10,206 were placed on probation as a result of their current conviction. While misdemeanors were the most common conviction for all offenders and probationers, it was higher for youthful offenders than for adult offenders in these two groups. The majority of prisoners, as expected, were convicted of felonies (87.1% for youthful prisoners and 76.6% for adult prisoners). The percent of convictions for violent felonies (Classes A through E) decreased with age from a high of 86.7% for those aged 13-15 to a low of 8.6% for those 21 and older.

Table 6.3
Prior Arrests and Current Conviction: Youthful and Adult Offenders

A Comparison of Youthful and Adult Offenders		N	% Any Prior Arrest	Current Conviction			
				% A-E Felony	% F-I Felony	% Misdemeanor	% Other (FSA)
Probation Entries	13-15	22	31.8	0.0	40.9	59.1	0.0
	16-17	3,475	52.1	0.9	21.5	76.1	1.5
	18-21	6,709	70.3	1.9	33.1	64.3	0.7
	Youthful Subtotal	10,206	64.0	1.5	29.2	68.3	1.0
	21 and older	30,649	78.1	1.5	35.1	63.1	0.4
	PROBATION SUBTOTAL	40,855	74.6	1.5	33.6	64.4	0.6
Prison Releases	13-15	15	73.3	86.7	13.3	0.0	0.0
	16-17	495	91.9	29.5	59.0	11.1	0.4
	18-21	2,322	95.6	17.3	69.4	13.2	0.2
	Youthful Subtotal	2,832	94.8	19.8	67.3	12.8	0.2
	21 and older	14,286	96.6	8.6	68.0	23.1	0.4
PRISON SUBTOTAL	17,118	96.3	10.4	67.9	21.4	0.4	
TOTAL	Youthful	13,038	70.7	5.5	37.4	56.2	0.8
	Adult	44,935	84.0	3.7	45.5	50.4	0.4
	Total	57,973	81.0	4.1	43.7	51.7	0.5

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Description of Work, Program, and Treatment Assignments for Incarcerated Youthful Offenders

All offenders who enter the prison system undergo diagnostic processing prior to being placed with the general population of the prison to which they have been assigned. The screening process consists of the inmate being interviewed in order to gather general information as well as receiving mental health, substance abuse, and educational screenings. The inmate's case is assigned to a case analyst who compiles the information and uses it to determine classification and develop a case plan. The plan includes the notation of any special needs and recommended work, program, or treatment assignments for the inmate. Upon approval of the case plan (which is usually within 15 days), the offender is assigned to the most appropriate custody classification and prison. Once inmates arrive at their designated prison, a case manager is assigned to each inmate to monitor their progress and to ensure that they are placed in the recommended assignment(s).

There are three programs within the prison system that are designated especially for the youthful inmate: Youthful Offender Program (YOP), Residential Substance Abuse Treatment (RSAT), and Job Start. What follows is a description of these programs and the various assignments that are available to incarcerated youthful offenders. Since these assignments are not offered at all of the facilities that house youth, the prisons that have them at their sites will be indicated, when possible. If the assignment has been changed or added since FY 2001/02, it will be indicated. While this list may not be all-inclusive, it includes the primary assignments available in the prison system. It should be mentioned that the majority of these work, program, and treatment assignments are also available to adult inmates. This is especially true at NCCIW, in which adult and youthful female offenders are housed in the same facility. It is important to note that an educational assignment is generally a priority for offenders who are under the age of 18 and have not received their high school diploma or high school equivalency diploma.

Academic Education

- ▶ ***Adult Basic Education (ABE)/General Education Development (GED)***
The ABE program is designed for individuals whose educational testing shows that they are functioning below the 9th grade level, while the GED program is for inmates performing at the 9th grade level or above. ABE and GED classes are offered at all of the prisons that house youth.
- ▶ ***Exceptional Student Program (ESP)***
This program follows federal and state guidelines and is designed for offenders up to age 21 who have not received their high school diploma or GED and who have some type of exceptionality (*e.g.*, mental, physical, or behavioral). ESP is available at all of the prisons that house youth.
- ▶ ***Title I Program for Neglected or Delinquent Youth***
Title I, a federally funded compensatory education program, offers remedial instruction in reading and/or math to those under the age of 21 who do not have a high school diploma or GED. Title I is offered at all of the prisons that house youth.

- ▶ *English as a Second Language (ESL)*
This program is offered to non-English speaking inmates who are identified for services during the diagnostic screening. ESL is available at four of the five youth facilities. Polk does not offer it.
- ▶ *Youth Offender Program (YOP)*
YOP is a federally funded educational program which began within the Division of Prisons in 1998 and is now offered at 14 minimum and medium custody prisons that house youthful offenders. The majority of offenders served by this program are housed at Western, Polk, Foothills, Morrison, and NCCIW, but there are other facilities that have some offenders in this age range. YOP offers opportunities for post-secondary education, employability skills training, and cognitive behavior intervention. Inmates who are selected for the program must meet the following requirements: be 25 years old or less; be within 5 years of their release or parole; and have received a high school diploma or GED. Participants in the program can receive college credits from professors who offer classes at the selected prisons. Beginning in 2005, correspondence courses were made available to inmates in the program through several educational institutions that are part of the UNC system. Of the 1,600 inmates who were eligible for YOP during FY 2004/05, approximately 650 received services.
- ▶ *Outreach Program*
This program allows eligible inmates to take correspondence courses through participating colleges. There are only 600 slots available at six prisons, and inmates who are Class A-B2 felons or will not be released within 10 years are not eligible. The funding for the courses comes from the Inmate Welfare Fund.

Vocational Education⁴⁷

All five of the prisons that house youthful inmates offer vocational education courses in some varying degree. Vocational education courses are offered in prisons by instructors from the local community college(s) in the vicinity. The minimum age for courses is generally 18; however, the prisons with youth allow 16 or 17 year old participants. Most of the vocational education courses require that an inmate be infraction-free for a certain period of time (usually 90 days) prior to beginning classes. Once inmates are placed in a vocational program, they can remain in the program unless they present disciplinary problems, have too many absences, or are transferred to another prison (*see* Chapter 7 for more detailed information on vocational education).

Of the five prisons where youth are incarcerated, NCCIW has the most vocational education courses in both categories of continuing education (*e.g.*, keyboarding, travel agency) and curriculum (*e.g.*, manicuring/nail technology, cosmetology). Foothills' offerings include two continuing education courses (*i.e.*, light construction and horticulture which were recently added to replace carpentry and cabinet making) and two courses (*i.e.*, furniture upholstery and information technology), both of which are curriculum courses through which inmates can attain a diploma or

⁴⁷ For this study, vocational education does not include Human Resource Development (HRD) courses (*e.g.*, job readiness, life skills).

an associate degree. Morrison has one curriculum course (*i.e.*, food service technology) and continuing education courses in the following: basic electronic servicing, masonry, office practices, and upholstery. (Industrial maintenance, which was offered at Morrison in 2002, is no longer available.) Polk offers only continuing education courses, two of which – carpentry and horticulture – are only theory classes. One of the courses at Polk involves inmates learning about commercial cleaning and how to start a business. During FY 2001/02, Western had the smallest number of vocational education courses (*i.e.*, horticulture and carpentry). Within the last two years, Western has added commercial cleaning and electrical wiring. All of the vocational training classes available at Western are introductory continuing education courses that inmates are allowed to take more than once.

Chemical Dependency

All inmates receive a substance abuse screening upon their entry into the prison system. In early 2004, DOC began using a new screening tool normed for DOC known as the Substance Abuse Subtle Screening Inventory (SASSI).⁴⁸ An inmate's score determines the level of substance abuse treatment that the inmate requires, which can range from no treatment to in-prison residential treatment on a scale of 0 to 5. A score of 3 or more generally means that an inmate is in need of residential treatment. DOC's goal is to eventually be able to have the resources to match the treatment to the offender's need. All of the substance abuse programs come under DOC's Division of Alcoholism and Chemical Dependency Programs (DACDP).

- ▶ *Drug and Alcohol Recovery Treatment (DART)-Intensive Residential Treatment (IRT)*
The DART-IRT program is a residential treatment program that is located in specified prisons across the state. Inmates are usually referred to the program near the beginning of their sentence, with the length of treatment being anywhere from 35-90 days in FY 2001/02. In 2004, the length of the DART-IRT program was formally increased to 90 days. During FY 2001/02, there were DART-IRT programs at Foothills, Polk, Western, and NCCIW. Primarily as a result of budgetary cuts, Western and NCCIW are the only facilities where this program is still offered to youthful offenders.
- ▶ *Residential Substance Abuse Treatment (RSAT)*
RSAT programs (formerly known as State Alliance for Recovery and General Education–SARGE) are federally funded, in-prison residential programs that offer chemical dependency treatment to eligible offenders who are under the age of 22. Unlike DART-IRT, RSAT occurs toward the end of an offender's sentence (offenders must have at least 6 to 12 months remaining), with the program's last phase devoted mostly to the offender's transition back into the community.

In FY 2001/02, there were RSAT programs for youthful offenders aged 18 to 21 at Morrison and at Sandhills Youth Center. RSAT programs were added at Western (*i.e.*, minimum custody unit) and NCCIW during the early part of FY 2002/03. Today, all of these programs

⁴⁸ Prior to 2004, DOC was using two screening instruments, SMAST (Short Michigan Alcohol Screening Test) and CDST (Chemical Dependency Screening Tool) to determine eligibility to chemical dependency programs.

are still operational except Sandhills, which closed its facility in 2003. There is generally a waiting list to enter the program. At the present time, the federal funding for the RSAT programs is scheduled to end in 2006.

- ▶ *Drug Alcohol Recovery Treatment (DART) 24*
DART 24 provides introductory substance abuse education and intervention material primarily to misdemeanants in selected minimum custody prisons. The materials are presented in several sessions, with the total contact time equaling 24 hours.
- ▶ *Alcoholics Anonymous (AA)/Narcotics Anonymous (NA)*
These are self-help, support groups based on the 12-step model of recovery. AA, the more prevalent of the two groups, is offered at many of the prisons.

Mental Health

All offenders who enter prison, including youthful offenders, are given a psychological screening to determine if they are in need of mental health services. Within the prison setting, mental health services are divided into four areas, ranging from most restrictive to least restrictive: inpatient, residential, day treatment (training), and outpatient. With the exception of outpatient, the other areas of the mental health continuum are provided in designated prisons where inmates in need of such services can be transferred in order to receive treatment. The majority of prisons offer some level of outpatient services and have at least one psychologist on their staff, and have access to a psychiatrist. With regard to aftercare, if an inmate has an active mental health case, then prison staff begin planning for post-release treatment approximately six months prior to release.

There are no inpatient, residential, or day treatment programs that are specifically designed for youthful offenders. According to correctional staff, there are significantly less youthful inmates than adult inmates with mental illnesses serious enough to require inpatient, residential, or day training. They cited research that has shown that the onset of chronic mental illnesses (*e.g.*, schizophrenia) generally do not occur until a person is in their mid-20's. This finding is also supported by intake information for the FY 2001/02 sample. Mental health problems were indicated for 13.4% of the youthful inmates and 17.8% for the adult inmates.

- ▶ *Inpatient*
Operating in a manner similar to a state mental hospital, DOC's inpatient services are utilized for offenders who are in acute or crisis-related mental health situations (*e.g.*, suicide threats) and are in need of the most restrictive care. Central Prison (144 inpatient beds) and NCCIW (16 inpatient beds) are the only two prisons that offer inpatient care for male and female prisoners, respectively. Youthful male offenders who are assessed to be in need of inpatient services are transferred to Central Prison where they are housed separately from adult offenders who are receiving treatment. Staff indicated that as soon as a youthful male is stabilized, he is returned to his prison. Since most of the youthful females are already housed at NCCIW, those needing inpatient care are transferred internally to a treatment unit located in a separate secure unit on the prison grounds.

- ▶ *Residential*
Residential services are the next level of mental health care and are used for mentally ill offenders who are not critically ill, but are not viewed as being able to be part of the general prison population. Inmates in this category are housed in single cells in a separate area. As previously indicated, there is no residential component devoted solely to youthful inmates. There is not a residential unit to use as a step-down for youthful male inmates under the age of 18 who have been in inpatient at Central Prison; these inmates are maintained at Central until they are stable enough to return to their prison. Alexander Correctional Institution and Eastern Correctional Institution are the only prisons that have residential mental health units for male offenders 18 years and older. NCCIW has a dorm which is used for residential mental health treatment – any female youthful offenders needing that level of care can be referred to this service.

- ▶ *Day Treatment*
There has never been a day treatment program designed specifically for youthful offenders. Currently, the only day treatment program that exists in DOC is located at NCCIW. There was a part-time day treatment program at Fountain, but it was phased out during FY 2000/01. At this level of treatment, offenders function at a higher level and are in structured activities (e.g., in a separate unlocked facility during the day), but they are able to spend the remainder of their time with the general prison population.

- ▶ *Outpatient*
Outpatient services constitute the lowest level of mental health care in the prison system and serve the largest number of inmates. Every prison facility has access to outpatient services, whether they are on-site or at another prison to which inmates can be referred. Services are offered individually or through groups.

In FY 2001/02, there was a greater presence of mental health groups at the prisons that housed youthful offenders. For example, during this time period, Western offered short and long term treatment groups that focused on issues relating to: sex offenders, violent offenders, young offenders, anger management, and stress management. Of those groups, Western now only offers the young offenders group which is reserved for offenders who are under the age of 16. There are no sex offender groups at any of the four prisons that house male youthful offenders. At Polk, there were various discussion groups offered to inmates in FY 2001/02, but there are currently no outpatient groups for the youthful offender population. NCCIW has increased their offering of groups since FY 2001/02, and particularly in the last two years.

Social Skills

The majority of the social skills programs listed below are for all inmates. These programs, are part-time assignments and are generally taught by case managers or program supervisors within the prison setting. There is relatively little social skills programming that is designed solely for inmates under 21 years old.

- ▶ *Human Relations*
This 27-week program is only offered at Western, and its participants are 16-18 years old. The goal of the program is to inform offenders about issues related to parenting, relationships, and sexual behaviors.
- ▶ *Character Education*
The Character Education Program is mandatory for all inmates and consists of a 16-hour course that aims to teach inmates to independently apply specific decision-making tools to any ethical dilemma that they might encounter.
- ▶ *Cognitive Behavioral Intervention (CBI)*
This 12-week program focuses on helping inmates to restructure their thought processes and learn cognitive skills that can assist them in basic decision-making and problem solving. In FY 2001/02, CBI was available in a few of the prisons serving youthful offenders.
- ▶ *Napoleon Hill*
Napoleon Hill is an 8-week program that is designed to assist inmates in enriching their character and dealing effectively with others. This program is offered to youthful offenders at Polk, Morrison, and NCCIW.
- ▶ *Parenting Programs*
Within the female prisons, programs range from group sessions or classes on parenting skills training (which are available at all of the female facilities except for one) to more intensive programs (*e.g.*, Motherhead–NCCIW and Fountain). Foothills appears to be the only prison for youthful males that had a parenting program (*i.e.*, FATHER) that existed in FY 2001/02. It is still operational today.

Work Programs

Incentive wage jobs, which offer work opportunities within the prison setting (*e.g.*, working in the kitchen or doing janitorial work) are available within each of the prisons that house youthful offenders. Other work opportunities differ among these prisons, depending on the inmate's custody level, the availability of options, and any pertinent prison policies. For example, since Polk is a close custody prison, there are no work assignments that result in inmates leaving the prison grounds (*e.g.*, road squads). NCCIW which is also a close custody facility, has a number of work opportunities, including two Correction Enterprises plants and two special work programs (*i.e.*, NC Tourism and Transportation Information Center and a dental lab) located on its grounds. The minimum security prisons serving this age group (*e.g.*, Western and Morrison) have a greater variety of work assignments. At Western's Minimum Custody Unit, select inmates who are 18 years or older can have off-site work experiences through the Building, Rehabilitating, Instructing, Developing, Growing, and Employing (BRIDGE) Program, Vocational Rehabilitation, or the Western Carolina Center Work Project.

Transitional Services

Since late 2001, every prison has a transitional folder on each of their inmates. This folder goes with them upon release or transfer to another prison. The folder usually contains: the inmate's social security card, birth certificate, picture ID, certificates from programs and/or courses, resume, and other items that may help an inmate's transition back into the community.

▶ *Going Home Initiative (GHI)*

The Going Home Initiative is a grant-funded program for offenders aged 18 to 35. The goal of the program, which began serving inmates at designated prisons in 2003, is to reintegrate inmates into the community by helping them develop and carry out a plan that addresses employment, housing, education, and treatment needs. Of the prisons housing youth, GHI is only offered at NCCIW. Funding for the program is scheduled to end on June 30, 2006. DOC has attempts underway to institutionalize lessons learned from the program.

▶ *Job Start*

Job Start, which began in 2000, is geared for inmates under the age of 21 and focuses on pre-release planning, with an emphasis on job procurement and retention. The program has been offered at Western, Polk, and Morrison since 2000. Job Start is in the process of being added to the programming at Foothills. It is not offered at NCCIW.

Chaplaincy Programs

Religious programs, services, and pastoral care are offered at all prisons. A chaplain is available at each prison to coordinate programs and services and to provide pastoral care. Within the last several years, programs (*i.e.*, Transition Aftercare Network–TAN) have been initiated to assist inmates in their reentry back into the community by networking with churches and ministry organizations to provide aftercare resources within their respective counties.

Targeted Programming for Youthful Prisoners

There are a number of programs offered in prisons housing youthful offenders, but the majority of these programs are also offered in other prisons regardless of gender or age. This is certainly the case with academic education and social skills programs. There are a limited number of programs that are designed specifically for the youthful offender population: Youthful Offender Program (YOP), Residential Substance Abuse Treatment (RSAT), and Job Start. Of these programs, only YOP is offered at the five main prisons that house youthful offenders. For offenders who are 25 years old or under, have their high school diploma or GED, and are motivated to continue their education and improve their employability skills, this federally funded educational program offers opportunities in these areas. RSAT programs are federally funded, in-prison residential programs where eligible offenders under 22 years old can receive chemical dependency treatment. Unlike DOC's other in-prison residential substance abuse treatment program, Drug Alcohol Recovery Treatment (DART), in which treatment occurs near the beginning of a prisoner's term of incarceration, the RSAT program is longer in duration and occurs at the end of a prisoner's incarceration period. RSAT is offered at Morrison, Western, and NCCIW. Job Start is directed at

prisoners under the age of 21 and focuses on pre-release planning, with an emphasis on securing and maintaining employment upon release. Job Start is available at Morrison, Polk, and Western, is in the implementation stage at Foothills, and is not offered at NCCIW.

Academic education is emphasized, especially at the five prisons that house youthful prisoners, and especially if an inmate has exceptional needs or has not received a high school diploma or a GED. The academic programs are particularly important for the prisoners 18 years old and under who are housed at Western. Yet, this is an area where there is a dearth of space, waiting lists, and strained resources are commonplace. Staff stated that even with three shifts of classes (*i.e.*, morning, afternoon, and evenings), there is often still a waiting period of up to six weeks before a prisoner can be placed in academic classes.

Vocational education is available on a limited basis at the four prisons which house male youthful offenders. (The exception to this is at NCCIW. There are more opportunities for vocational education at NCCIW, which houses not only female youthful offenders, but a large portion of the female prison population in general.) The lack of vocational education for youthful offenders can be attributed to several factors. First, in some or all of the prisons housing this population, there is a lack of adequate space for additional vocational courses. Additionally, there may be some safety concerns that keep certain vocational training courses from being added to the programming. Three of the prisons--Foothills, Polk, and Western--house prisoners in close custody who have committed serious offenses. Consequently, there must be a certain number of correctional staff available to offer appropriate supervision to prisoners who might be placed in vocational education classes. This leads to safety and security issues since there would most likely be courses that require tools which could potentially become dangerous weapons. Finally, there may be some internal agency issues that are preventing the growth of vocational education programs in the prisons that house male youthful offenders that are related to staff, funding, or the process of adding a vocational education course to a prison's programming.

There is little mental health programming available for youthful prisoners, especially in the four male facilities: Foothills, Morrison, Polk, and Western. While female youthful prisoners have the entire continuum of mental health services (*i.e.*, inpatient, residential, day treatment, and outpatient) available to them due to their placement at NCCIW, youthful males have more limited opportunities for services. Inpatient and outpatient services are the only parts of the continuum that are available for youthful males under 18. Youthful males requiring inpatient mental health services are transferred to the inpatient unit at Central Prison, and then are transferred back to their prison of origin when their condition has stabilized. With regard to outpatient services, all male youthful prisoners have access to a psychologist or psychiatrist for individual counseling or monitoring of medications. Between the four male youthful prisons, there is one mental health group that is currently operational--the young offenders group at Western. Correctional mental health staff at the prisons that were visited and at the state level voiced concern over the fact that there are no ongoing groups for youthful sex offenders. The reduced number of mental health groups available at the prisons where Sentencing Commission staff made site visits appeared to be affected by several factors. First, there has been a decrease in psychological services staff available to run the groups. Reductions in DOC's budget over the last couple of years have caused decreases in mental health staff and/or resulted in situations where positions were lost, reassigned, or became shared by more

than one prison. The latter has been the case at Western and Foothills, which have seen parts of their respective mental health services consolidated. The reduction has resulted in the understaffing of mental health services at both units and, subsequently, in a reduction in the quantity of mental health programming. Other reasons for the limited number of mental health groups can be tied to the unavailability of custodial staff to monitor the sessions and/or to the lack of space available for groups to meet. Mental health staff at some of the prisons stated that there is difficulty in maintaining groups for youthful offenders. With these inmates focusing more on school or work assignments within the prison, a high attrition rate in group attendance was indicated by staff. Additionally, it was noted that the disrespectful attitude of this age group was not conducive to the dynamics of group interaction.

With regard to chemical dependency treatment for youthful prisoners, while the RSAT program seems to provide an appropriate level of treatment, it occurs toward the end of the incarceration period; consequently, it is only offered for male youth at two minimum security prisons (*i.e.*, Morrison and Western). Federal funding for RSAT is scheduled to end in 2006, so the future of the program is somewhat uncertain. While there is currently a DART-IRT program at Western's high-rise, no in-prison, residential substance abuse treatment is offered for the older, close custody youthful prisoners at Foothills or Polk. As previously stated, because most of the female youthful felons are housed at NCCIW—which has a number of programs for their large, predominantly adult population, female offenders have the opportunity to participate in either a RSAT program or another residential treatment program (*i.e.*, DART-IRT).

Programs for Youthful Offenders on Probation

As mentioned earlier, while the FY 2001/02 sample includes prisoners and probationers, prisoners are the primary focus of this chapter since they are a more separate, well-defined group within the Division of Prisons and have many programs available to them while incarcerated. Within DOC, there are some programs available to probationers which should be mentioned. The Division of Community Corrections (DCC), as one of its functions, provides supervision of offenders sentenced to probation. DCC has a decentralized design with probation offices in every judicial district in the state. Probation officers manage and facilitate services for offenders who are on their respective caseloads. Probation caseloads are not grouped according to age, but rather by various supervision levels (*e.g.*, community, intermediate, and intensive) based on the seriousness of their offense, their risk to the community, their criminogenic needs, and by certain offense types (*e.g.*, sex offenses and domestic violence).

The small number of programs targeted at the sizeable youthful probationer population (10,206 in the study sample) through DOC/DCC is supplemented, to varying degrees, by local and county resources. The majority of the services and programs that are offered by DCC are not directed at specific age groups, but rather at the broader probation population. Some of these include: electronic monitoring/house arrest, community service work program, substance abuse screening and intervention, and Criminal Justice Partnership Programs (CJPP). Through CJPP, programs for intermediate-sentenced offenders (*e.g.*, day reporting centers and satellite substance abuse centers) are provided at the local level.

DCC has one program that is specifically directed at the youthful offender populations. The School Partnership Program was begun by DCC in 1993 and has been implemented in approximately 20 judicial districts. The purpose of the program is to increase a probation officer's contacts with the student who is on probation as well as with teachers, guidance counselors, assistant principals and principals regarding students who are on supervised probation. Probation officers are assigned to specific schools where probationers on their caseload are attending and are involved in keeping students in school through specialized conditions of probation that encompass the School Partnership Program.

In addition to DCC's programs, DACDP operates Drug Alcohol Recovery Treatment (DART) Cherry which is a residential drug treatment facility for male offenders who are at least 18 years old and who are on probation, post-release supervision, or parole. DART Cherry offers a 28-day program and a 90-day program, with a total bed capacity of 300. The 28-day program, which was implemented in 1989, is composed of a 100-bed unit where predominantly DWI offenders receive substance abuse treatment. The 90-day program began in 1997 and has two 100-bed units where offenders receive substance abuse treatment in a modified therapeutic community model. It is a more extensive program than the 28-day program. During FY 2001/02, DART Cherry served 87 probationers between the ages of 18 to 21 years old in the 28-day and 90-day programs.

Although no longer in existence, the Intensive Motivational Program of Alternative Correctional Treatment (IMPACT) was a condition of probation (residential program) in FY 2001/02. The offender served an active sentence of 90 to 120 days in the IMPACT program and was subsequently released to supervised probation. IMPACT was an intermediate punishment for male and female offenders between the ages of 16 and 30. The female component of IMPACT was terminated effective November 1, 2001. The male component of IMPACT was abolished effective August 15, 2002.

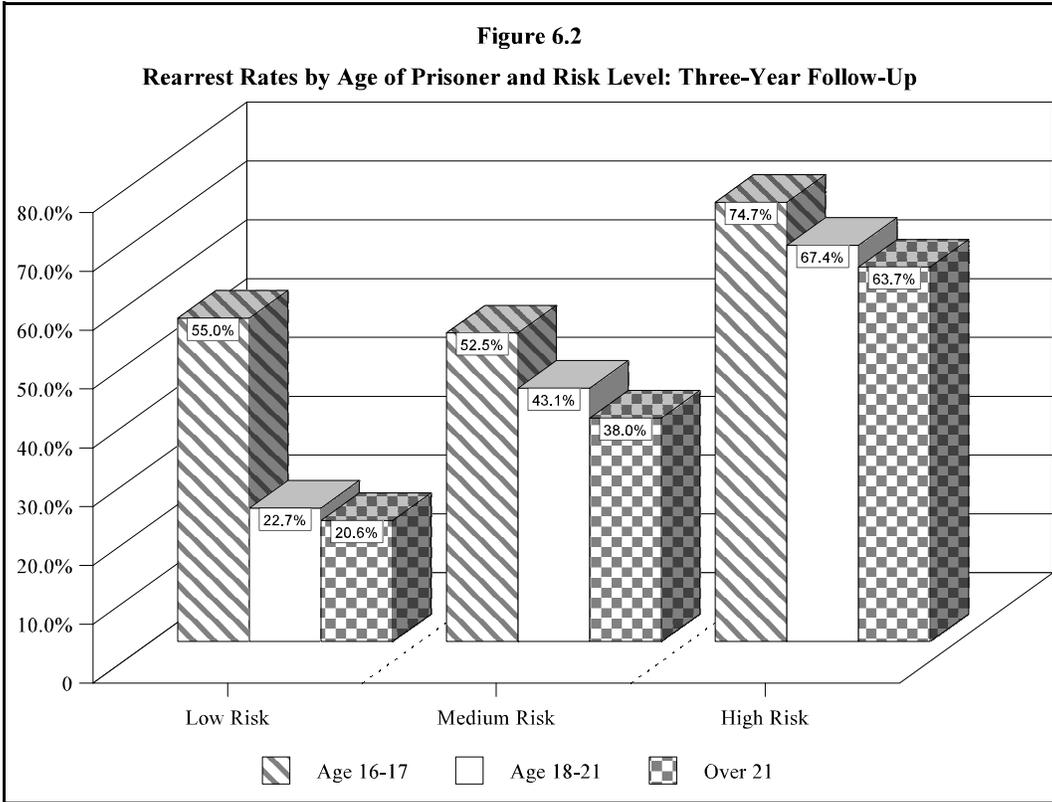
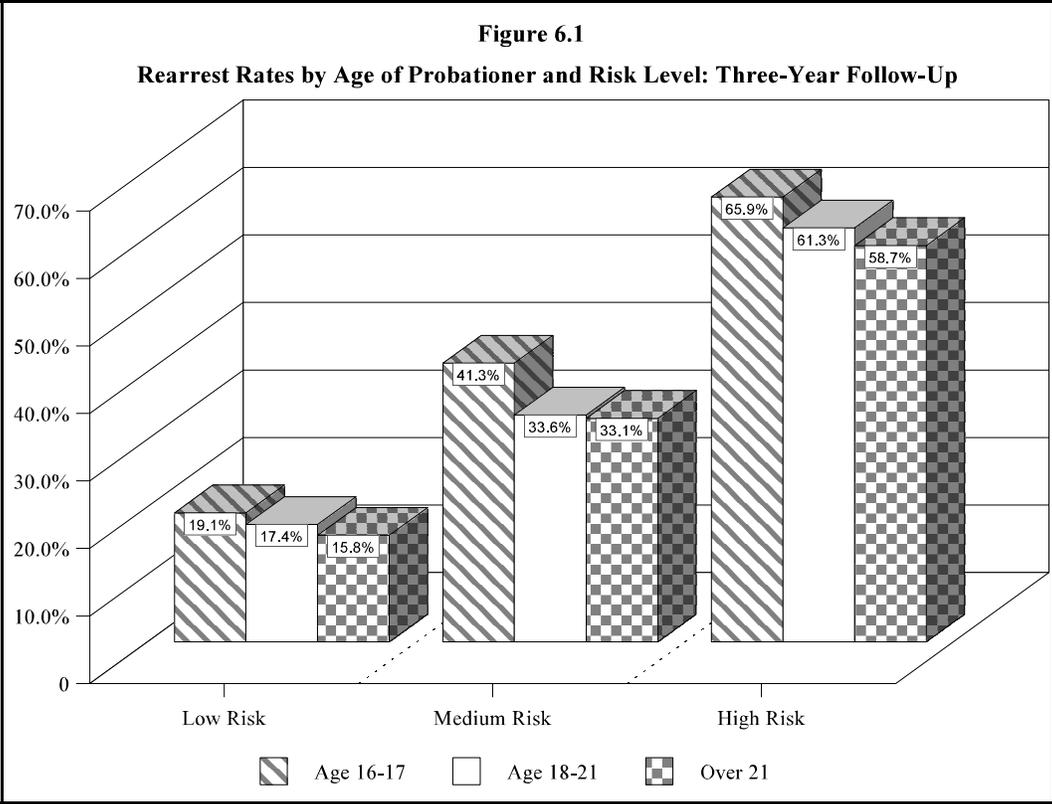
Criminal Justice Outcome Measures for the FY 2001/02 Sample

Recidivist Arrests: Overall, 45.3% of youthful offenders were rearrested during the three-year follow-up compared to 36.1% of adult offenders (*see* Table 6.4). When separating youthful offenders into probationers and prisoners, youthful prisoners had a higher rearrest rate than youthful probationers and both groups had higher rearrest rates than did adult offenders in these two categories. Adult probationers were the least likely to be rearrested (30.8%) and youthful prisoners were the most likely to be arrested (61.5%). The 16 to 17 year olds were the age group with the highest rearrest rates for both probationers and prisoners (43.2% and 67.7%, respectively).

Table 6.4
Criminal Justice Outcome Measures: Youthful and Adult Offenders

A Comparison of Youthful and Adult Offenders		Criminal Justice Outcome Measures				
		N	% Rearrest	% Reconviction	% Technical Revocation	% Reincarceration
Probation Entries	13-15	22	31.8	27.3	36.4	27.3
	16-17	3,475	43.2	31.6	35.5	27.0
	18-21	6,709	39.5	27.8	31.5	25.8
	Youthful Subtotal	10,206	40.8	29.0	33.0	26.2
	21 and older	30,649	30.8	20.3	28.3	24.7
PROBATION SUBTOTAL		40,855	33.29	22.5	29.4	25.1
Prison Releases	13-15	15	60.0	26.7	26.7	60.0
	16-17	495	67.7	51.3	24.2	44.9
	18-21	2,322	60.2	44.9	24.9	41.7
	Youthful Subtotal	2,832	61.5	45.9	24.8	42.4
	21 and older	14,286	47.5	33.9	18.2	34.6
PRISON SUBTOTAL		17,118	49.8	35.9	19.3	35.9
TOTAL	Youthful	13,038	45.3	32.8	31.1	29.7
	Adult	44,935	36.1	24.6	25.1	27.8
	Total	57,973	38.2	26.5	26.4	28.3

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Rearrest rates also varied by punishment type, age, and risk level of the offender during the three-year follow-up period (*see* Figures 6.1 and 6.2). Even with risk controlled, the differences in rearrest remained between youthful and adult probationers and prisoners. Most notable, youthful offenders (both prisoners and probationers) aged 16 to 17 had the highest rearrest rate at all risk levels. Looking within each risk level, a stair step pattern was noted with offenders aged 16 to 17 having the highest rearrest rate followed by 18 to 21 year olds and adults. When comparing similar offenders across all risk levels, the rate of rearrest increased as risk level increased.

Probationers in the different age groups who were rearrested during the three-year follow-up period had similar times to rearrest, averaging from 12.3 to 12.9 months. Among prisoners who were rearrested during the three-year follow-up period, 16 to 17 year olds had the shortest average time to rearrest (10.9 months) followed by 18 to 21 year olds (who incurred their first rearrest in an average of 12 months) and adult prisoners (who averaged 12.9 months to rearrest).

These differences in rearrest rates are important findings; however, they cannot be fully accounted for by an offender's youthful or adult status without controlling for other factors. Multivariate models (*see* Chapter 4, Table 4.1) were estimated to control for differences between offenders based on demographic variables, criminal history, current offense, and time at risk during the three-year follow-up. As previously indicated, youthful offenders were 5.8% more likely to be arrested than their adult counterparts controlling for all other variables in the model. In summary, the effect of being a youthful offender remained and was related to a higher rate of rearrest when other differences between offenders were held constant.

Recidivist Convictions: As noted in Table 6.4, youthful offenders had a higher recidivist conviction rate during the three-year follow-up than did adult offenders (32.8% and 24.6% respectively). Youthful probationers had a reconviction rate of 29.0% which was lower than that of youthful prisoners who had a 45.9% reconviction rate. Looking within age categories of youthful offenders regardless of punishment status, those aged 16 to 17 had higher conviction rates (31.6% for probationers and 51.3% for prisoners) than other youthful and adult offenders.

For all offenders convicted during the three-year follow-up period, youthful offenders averaged 16.8 months to conviction as compared to 17.2 months for adult offenders. Youthful prisoners aged 16 to 17 averaged 16.1 months to conviction, the shortest average time to conviction for any age group. Probationers had similar average times to conviction ranging from 16.7 to 16.9 months.

Technical Revocations: Technical revocations during the three-year follow-up period were used as another indicator of offender misconduct for the FY 2001/02 sample. This analysis was limited to revocations that are technical in nature since revocations for new crimes would duplicate the recidivist arrest data. As noted in Table 6.4, 31.1% of youthful offenders had a technical revocation as compared to 25.1% of adult offenders. When comparing youthful probationers and prisoners, a higher percent of youthful probationers had a technical revocation during the three-year follow-up.

In Chapter 4, revocations were examined for probationers only as a measure of probationer misconduct (*see* Chapter 4 and Appendix C-3, Table C-3.5). Using a logistic regression model, youthful probationers were found to be 6.9% more likely to have a probation revocation than adult probationers, all else held constant. This indicates that being a youthful offender was an important predictor of misconduct as indicated by having a probation revocation, controlling for demographic variables, criminal history, current offense, and days at risk.

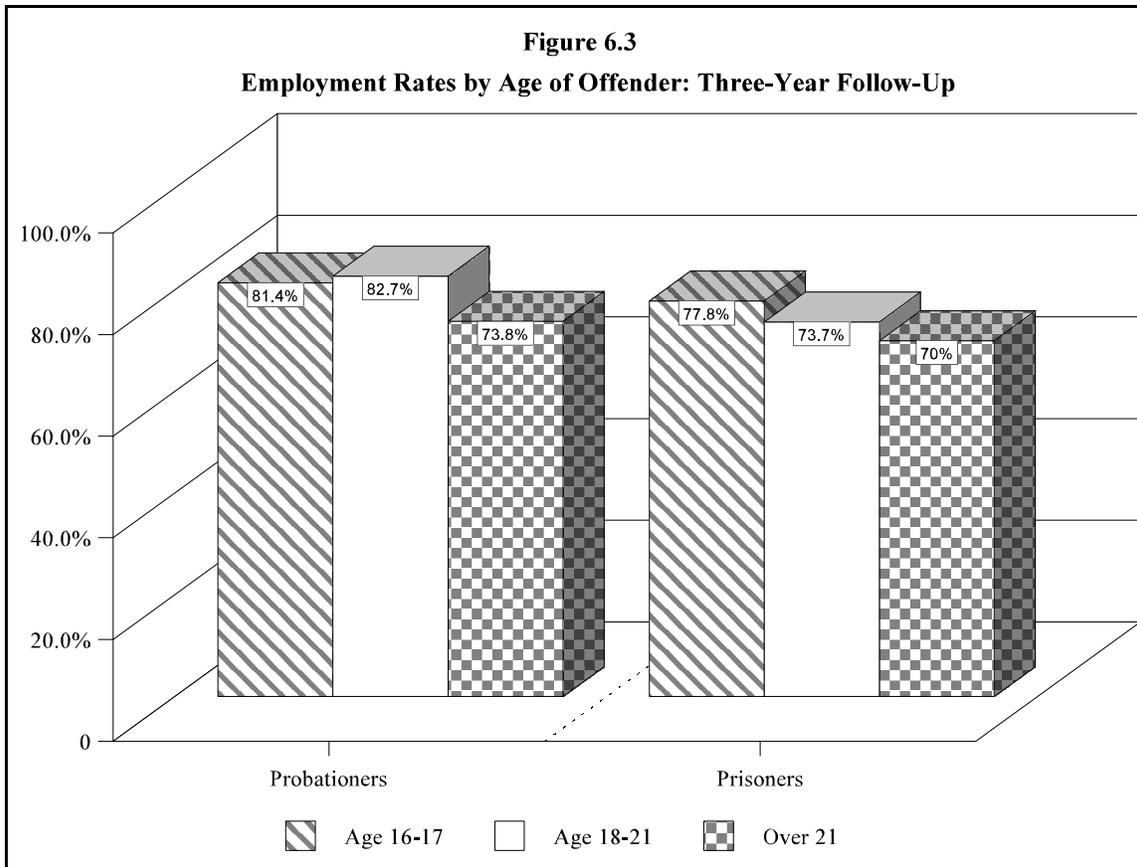
Prison Infractions: Prison infractions during the three-year follow-up period were used as an indicator of prisoner misconduct for the FY 2001/02 sample. On average, youthful prisoners incurred more infractions than did adult prisoners (6.2 versus 2.1, respectively). When examining prison infractions by the length of time served, youthful offenders incurred more prison infractions than did adults in each interval of number of months served in prison (0 to 4, 5 to 8, 9 to 24, and 25 or more months served).

Prison infractions were also used in Chapter 4 as an interim measure of prisoner misconduct (*see* Chapter 4 and Appendix C-3, Table C-3.4). Using an ordinary least squares regression model, youthful prisoners were found to incur 2.4 more prison infractions than adult prisoners during the three-year follow-up period, all else held constant. This indicates that being a youthful offender was an important predictor of misconduct as shown by having one or more prison infractions and controlling for demographic variables, criminal history, and current offense.

Recidivist Incarcerations⁴⁹: As noted in Table 6.4, 29.7% of youthful offenders had a recidivist incarceration as compared to 27.8% of adult offenders. Overall, probationers, regardless of age category, had similar reincarceration rates. Almost 36% of prisoners were reincarcerated within the follow-up period; however, youthful prisoners were the most likely of all groups to experience a recidivist incarceration (42.4%).

Comparing recidivist incarceration rates between youthful and adult offenders, as done above, does not take into account differences in offenders' demographics, criminal history, and current offense. In order to hold these factors constant while predicting the rate of recidivist incarceration, multivariate models were estimated (*see* Chapter 4, Table 4.2). As previously noted, youthful offenders were 4.7% more likely to be reincarcerated than adult offenders, even when controlling for personal characteristics, criminal history, current offense, type of community supervision, and days at risk during the three-year follow-up period. In sum, the effect of being a youthful offender on reincarceration remained when the other differences between offenders were held constant.

⁴⁹ It must be noted that the data presented on recidivist incarcerations only include incarceration in North Carolina's state prison system. It does not include periods of incarceration in county jails or incarceration in other states. Incarcerations may have occurred as a result of the sentence imposed for a new crime committed during the follow-up period or due to a technical revocation during the follow-up period.



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

*Employment*⁵⁰: Although not a criminal outcome, employment is another important indicator of success in the community for offenders during the three-year follow-up period. As previously noted, “youthful” indicates that an offender was under the age of 21 at probation or prison entry. Hence, most offenders designated as youthful were of an employable age during the three-year follow-up period. Patterns of employment are noted for youthful and adult probationers and prisoners in Figure 6.3 and Table 6.5. A higher percent of youthful offenders were employed as compared to adult offenders with a similar number of quarters worked. As expected, average wages were lower for youthful offenders when compared to adult offenders, a fact probably related to their being employed part-time and earning minimum wage.

When looking at probationers and prisoners, more youthful probationers were employed than youthful prisoners during the three-year follow-up period, with probationers working more quarters on average than prisoners.

⁵⁰ An offender was considered employed if any wages were reported to the Employment Security Commission during the three-year follow-up period.

Similar to the other outcome measures, a multivariate model was estimated to predict employment during the three-year follow-up period for offenders in the FY 2001/02 sample (*see* Chapter 4, Table 4.4, Model 1). In line with the descriptive findings above, multivariate models examining the rate of employment of offenders indicated that youthful offenders were 3.5% more likely to be employed during the three-year follow-up period, even when controlling for differences in offenders' demographics, criminal history, current offense, and days at risk.

Table 6.5
Employment by Age of Offender in the Three Years
Following Release to the Community

A Comparison of Youthful and Adult Offenders		N	Number Employed	% Employed	Mean # of Quarters Worked ¹	Mean Wages per Quarter
Probation Entries	Youthful	10,206	8,387	82.2%	6.7	\$1,476
	Adult	30,649	22,628	73.8%	7.2	\$2,566
PROBATION SUBTOTAL		40,855	31,015	75.9%	7.0	\$2,271
Prison Releases	Youthful	2,832	2,110	74.5%	6.2	\$1,501
	Adult	14,286	9,937	69.6%	6.1	\$2,118
PRISON SUBTOTAL		17,118	12,047	70.4%	6.1	\$2,010
TOTAL	Youthful	13,038	10,497	80.5%	6.6	\$1,481
	Adult	44,934	32,565	72.5%	6.8	\$2,429
	Total	57,973	43,062	74.3%	6.8	\$2,198

1. Mean number of quarters worked and mean total wages only includes offenders who worked during the 33 months following release to the community.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Summary and Conclusions

Youthful offenders represent a sizeable and significant group within the DOC's correctional populations. Defined as persons who have not yet reached their 21st birthday when entering the correctional system as inmates or as probationers, the 13,038 youthful offenders comprised more than one-fifth of the FY 2001/02 study sample. Of this number, 2,832 were prisoners and 10,206 were probationers. All of the information compiled in this chapter from statistical analyses, interviews with prison and state level correctional staff, site visits to prisons where these offenders are incarcerated, and a review of related literature points to the fact that the youthful offender population is a difficult and challenging group to serve.

Youthful offenders have many distinctive characteristics that set them apart from adult offenders. Their behaviors are often marked by aggressive tendencies, risk taking actions, a lack of impulse control, poor judgment, a susceptibility to peer pressure, and a skewed perception of time. Physically and psychologically, youthful offenders are still developing and moving into adulthood. In addition, while female youthful offenders share some of these characteristics, they also have other behavioral, emotional, and physical issues that are unique to their gender. The level of aggression is one of the most important differences between the two genders, with youthful females displaying a much lower level. Within the prison setting, this difference was highlighted not only by staff comments but was evidenced in the more open way that all adult female felons are housed (*i.e.*, dorms) and allowed to intermingle with youthful females, in sharp contrast to their male counterparts.

Youthful offenders had a higher percentage of males, a lower percentage of blacks, and a lower incidence of substance abuse, when compared with adult offenders. Somewhat surprisingly, 41.5% of all youthful offenders had a high risk score in comparison to 31.0% of all adult offenders, a difference that held true for both probationers and prisoners (33.1% versus 22.3%, and 71.8% versus 49.7%, respectively). Another significant finding showed that a higher percentage of youthful offenders entered the correctional system as a result of a violent felony (Classes A through E) than did adult offenders. It is important to note that among prisoners, the percentage of current convictions for a violent offense decreased with age.

Perhaps the most telling finding in the study of this population showed that youthful offenders had a notably higher rate than adult offenders (21 years or older) in all of the criminal justice outcomes utilized to measure recidivism (*i.e.*, rearrests, reconvictions, technical revocations, and reincarcerations). Of particular note with regard to the subgroups within the youthful offender group, 16 to 17 year old probationers had a higher rate than adult probationers, especially in the areas of rearrest and reconviction, and 16 to 17 year old prisoners had the highest rate in all recidivism outcomes excluding technical revocations. Additionally, upon release from prison, 16 to 17 year old prisoners returned to the criminal justice system in a shorter time than any other age group.

On a positive note, youthful offenders experienced some success in being employed in the community. As a group, a higher percentage of youthful offenders were employed when compared with adult offenders. Although employment is not one of the criminal justice outcome measures, it does provide a measure of how well an offender is doing in the community.

When youthful offenders come under the supervision of DOC, either through probation or by being incarcerated in prison, they are exposed to the correctional programs that are available to each group. DOC programs and services that are designed especially for offenders under the age of 21 are more readily available for youthful prisoners than youthful probationers, although, for both groups, there is additional programming that is offered for all offenders (upon meeting eligibility criteria). Because of the larger number of programs and services in prison and the fact that there is a clearly delineated designation of youthful prisoners, more time was devoted to the discussion of the youthful prisoner's experience.

DOC has programming to address the academic educational needs of their youthful population. In addition, DOC has several programs designed for youthful offenders that address transitional issues. Given the special challenges that this population presents, DOC might consider expanding and upgrading programs and services for incarcerated youthful offenders in the areas of mental health, substance abuse, and vocational education. Research has shown that programming that is directed more towards the areas that have not fully been developed in this age group (*e.g.*, cognitive, psychological, physical, and social) leads to more successful outcomes for the youthful offender (Austin, Johnson, and Gregoriou, 2000; Glick, 1998; Jepsen, 1997). This would seem to hold true for the probationers who are being exposed to community sanctions. Since this study's findings have shown that this age group has a high propensity to recidivate, it is important that they have program opportunities available to them while incarcerated or in the community that will better equip them to refrain from further criminal activity and facilitate their reintegration into their community.

It must be recognized that DOC has other unique challenges in dealing with the incarcerated youthful population than they face with adult prisoners. Studies have indicated that the safety, security, and disciplinary interventions used with adult offenders are not always very effective when applied to youthful offenders (Glick, 1998; Jepsen, 1997). DOC's challenges are primarily related to the male felon prisoners, since the female felons present less of a quandary and are basically in one central location. Males, on the other hand, represent a much larger part of the youthful offender population and are moved to different facilities by their 19th birthday. In addition to space and funding issues which other facilities in the prison system also have, DOC has separate housing for the majority of the youthful male prisoners (with the exception of parts of the minimum custody population older than age 18). Maintaining separate housing for these males means that staff must be particularly attuned to and skilled in handling disciplinary concerns that arise with this group that is known for its volatile and aggressive tendencies. One of these concerns that DOC has recently addressed has focused on gang-related problems within the prison system, which has been escalating over the last several years. In July 2005, DOC designated a special 192-bed unit at Foothills (*i.e.*, Security Threat Groups Unit) for identified male gang members. As a result of gang activity and increased violence, Western set up their 12th floor in 2003 to house more aggressive inmates.

In summary, youthful offenders are a separate and distinct cohort differentiated from adult offenders both by their offenses, their behavior while under correctional supervision, and their propensity for further criminal involvement. The challenge for the courts, corrections, and society at large is to impose sanctions to deter recidivism with this age group while providing programs to rehabilitate and reintegrate them, truncating an otherwise lengthy and possibly escalating criminal career.

CHAPTER SEVEN VOCATIONAL EDUCATION PROGRAMS

Introduction

This part of the study focuses on whether there is a relationship between inmates' participation in the Department of Correction (DOC) prison-based vocational education programs and their rate of recidivism and probability of employment. In the 2002 Recidivism Report, Sentencing Commission staff examined the academic component of correctional education and its effect on rearrest following release from prison. Since educational programming is an important part of the prison experience, it seemed logical to extend the study of it by looking at its other major component, vocational training. Inmates being released from prison face many barriers, with a primary one being securing gainful employment. This chapter will explore whether or not an inmate's involvement in vocational education affects his/her chances for employment as well as reoffending. It should be noted that if offenders had a long prison sentence, they might have participated in both types of educational programs.

There is some evidence that participation in either academic or vocational education programs reduces recidivism. A Correctional Education Association study (Streurer and Smith, 2001) compared the recidivism rates of inmates who participated in educational programs to the rates of non-participants in Maryland, Minnesota, and Ohio. In the three categories of recidivism (rearrest, reconviction, reincarceration), education participants had lower recidivism rates than the non-participants for all three states.

The Sentencing Commission, as part of its 2002 recidivism study, examined the effects of an academic education program (the attainment of a high school equivalency diploma – *i.e.*, General Education Development-GED) on inmates released from prison. In the study, an inmate's participation in an academic program, even if it led to a GED, did not reduce the rate of recidivism. Certain characteristics of the group of inmates in the academic programs gave some possible insights into the reasons for this finding. The majority of these inmates were younger, more high risk, and had higher numbers of infractions as compared to all prisoners. In short, the fact that the academic education participants had committed offenses which were serious enough to result in a prison sentence and had not received their high school diploma prior to being incarcerated strongly suggests that these were persons who entered prison with significant preexisting problems and behaviors which would be difficult to change. It was also not clear whether education, academic or otherwise, has a direct impact on recidivism, or whether it enhances an offender's chance to find employment which then, in turn, reduces recidivism.

Inmates are typically less educated than the general population. According to a Bureau of Justice Statistics report (2003), an estimated 40% of state prison inmates in the U.S. had not completed high school or its equivalent, compared to 18% of the general population that failed to complete high school or its equivalent. In North Carolina, according to DOC statistics, male offenders entering prison are reading at nearly the 8th grade level, while females are reading above

the 9th grade level.⁵¹ As stated in the “*Educational Services Annual Report: Calendar Year 2004*,” the basic philosophy of DOC’s Educational Services is “that correctional education is an integral part of the total correctional process.” Their mission “is to provide services to those inmates who participate in education activities so that they may become responsible and productive persons who can effectively manage their incarceration and make contributions to their community upon release.”

Much like the academic education programs, the Educational Services section within the Division of Prisons (DOP) offers vocational education programs through the North Carolina Community College System (NCCCS). For this analysis, vocational education includes both continuing education and curriculum courses and excludes Human Resource Development (HRD) courses (*e.g.*, job readiness and life skills). While HRD courses are important and are designed to assist inmates in their transition back to the community by improving their written and oral communication skills and preparing them for the work environment, the coursework does not actually teach an employable skill.

In order to gain a clearer understanding of the vocational education program, Sentencing Commission staff made site visits to five prisons that offer vocational training: two youth (Western and Polk Youth Institutions), two female (North Carolina Correctional Institution for Women and Fountain Correctional Center for Women), and one adult male (Harnett Correctional Institution). In addition to touring the physical facilities, administrative and program staff at these prisons were interviewed and written materials were reviewed. In some instances, specific vocational education classes were observed. Additionally, staff met with state level personnel within DOP’s Educational Services section and the community college system.

Historical Overview

Educational services have been offered to inmates within the DOC for over forty years. Vocational education programs have been available within the prisons during most of that time. Beginning in 1960, a three-hour literacy education class was offered to felons as a result of a Prison Commission policy requiring felons to attend classes if they had less than a 4th grade achievement level and were under 35 years old. In 1965, the NCCCS became involved in administering educational services to certain groups of inmates within the prison system. By 1974, NCCCS was offering vocational education courses within the DOP.

The informal relationship between DOC and NCCCS was formalized when the 1987 Session of the General Assembly enacted legislation requiring those two agencies to develop a comprehensive education plan for adult inmates. An Interagency Committee on Correctional Education, comprised of DOC and NCCCS representatives, was established to fulfill these legislative mandates. In 1992, the Cooperative Agreement on the Programming of Correctional Education was signed by the two departments. At that point, all adult education programs were turned over to the community college system and the DOP began to phase out the majority of its

⁵¹ These reading levels are based on inmate scores on the Wide Range Achievement Test (WRAT) that is administered to all inmates during the diagnostic process.

teachers.⁵² This agreement is still in effect and is updated regularly. Also, the Interagency Committee is still in existence, holding meetings twice a year to address the collaborative efforts of both departments and to follow through on any legislative directives.

In 1994, the DOC/NCCCS report “A Plan for Appropriate Community College Education in North Carolina’s Correctional System” (now known as the Correction Education Plan or CEP) was adopted. The cornerstone of the CEP is the matrix classification system which is designed to increase student completion rates by ensuring that course and program lengths are appropriate for the inmate population at any given prison. Under the matrix system, the DOP assigns each prison to one of five matrix categories which define educational programming options at the units. The matrix category to which a prison is assigned is based on the inmates’ length of stay and the abilities of inmates who are given an education assignment at each facility. For example, no vocational educational courses are offered at facilities where an inmate has less than a four-month length of stay.

The number of vocational education offerings have increased through the years as there has been adequate space and funding available for expansion. During FY 2001/02, 49 prisons had at least one vocational education course. Currently, 56 of the 76 prisons within the DOP offer some type of vocational education.

Program Overview

General Information

There are presently a total of 3,322 full-time vocational educational slots available to be filled by inmates in the prisons that offer this training, a number which has increased since FY 2001/02. Vocational education is offered in selected close, medium and minimum custody prisons. Inmates in medium custody facilities have the most opportunity for vocational training, with 96 courses being offered across the state both on a full-time and a part-time basis. Less vocational training is found at close and minimum custody prisons, but for different reasons. With close custody units, there is an increased focus on safety and security which most likely makes it difficult to have certain courses, while the length of stay for an inmate in minimum custody may not allow for the completion of certain vocational courses. Furthermore, many of the minimum custody inmates work during the day, so vocational education courses are typically available in these facilities on a part-time basis in the evenings.

Prison superintendents may initiate a request to their local community college for the vocational education courses that are needed and which are within the context of where the prison facility fits within the CEP matrix. If the request is approved by the local community college president, it is then sent to the DOP’s central office for approval by the Director of DOP or his

⁵² DOP teachers have continued to teach academic education courses in the facilities serving youth due to the age of the inmates as well as the fact that exceptional students must be served until age 21 by a teacher who is certified by the Department of Public Instruction (DPI). NCCCS instructors do not have to be certified by DPI.

designee. It is then forwarded to the State Board of Community Colleges, which is responsible for giving final approval for vocational classes.

DOP's Educational Services reported that the total monthly enrollment for academic, education, and life skills programs was 8,203 in CY 2002. Of this number, 2,242 inmates were in vocational programs for full-time and part-time enrollment. During this time period, 5,591 certificates, diplomas and degrees were awarded.

Program Administration

Since the early 1990's, the DOC and NCCCS have had joint budgetary responsibilities for educational services (both academic and vocational) within prisons. The DOC provides the physical location for the majority of the educational programs as well as the start-up funds for new programs. The prison system and the community college system provide supervision of and fund the salaries for their respective employees. Until 1992, both DOP and NCCCS teachers taught vocational education programs. Since that time, the majority of vocational education courses are taught by community college instructors. Both agencies share in the cost of certain materials (*e.g.*, textbooks). The NCCCS is responsible for the maintenance and replacement of equipment.

Within the DOC, funding for educational services within the prison system comes from the state budget, federal grants, and the Inmate Welfare Fund (profit that is generated from the prisons' canteen operations and the use of telephones by inmates). In FY 2001/02, DOC's expenditures for prison educational services totaled \$6,006,943. In FY 2004/05, expenditures had increased to \$6,632,801.

Per state legislation, a portion of the budget for the NCCCS is to be used to provide educational services to prisons. Besides using these monies for NCCCS' share of the textbooks and for the maintenance and/or replacement of equipment, the majority of the funds are used for NCCCS instructors' salaries within the prisons. This part of the NCCCS budget is determined, in part, by a formula known as the Full Time Equivalency, which is the amount of time that an inmate is actually in class. Consequently, the NCCCS encourages the DOP to select the more highly motivated and interested inmates for the educational programs since they will be the ones likely to have good school attendance.

Selection Process

When inmates enter the prison system, they are initially processed through a diagnostic center before being assigned to a prison facility. During the processing, inmates are given various educational, substance abuse, and mental health screenings. A case analyst interviews the inmate regarding individual and family information, employment history, substance abuse history, mental health history and education attainment. The case analyst uses this information to compile a case plan with recommendations, including the type(s) of assignment that should be considered for the inmate.

Once the inmate arrives at his/her designated facility, a case manager is assigned. The case manager meets with the inmate to review the case plan and initiate the steps toward facilitating the inmate's assignment within the prison. It is the DOC's policy that inmates will have an assignment (*e.g.*, educational, work, or rehabilitative) if assignments are available and if offenders do not pose a security risk, have health problems, or are in the admissions process.

If inmates are under the age of 18 and do not have a high school diploma or high school equivalency diploma, they are targeted for placement in an academic education program, such as Adult Basic Education or GED.⁵³ In order to be eligible for vocational education courses that lead to a degree (*i.e.*, curriculum), an inmate must have a high school diploma or GED. For all other vocational education courses (*i.e.*, continuing education), a high school diploma or GED is not required. Once educational credentials have been confirmed, an inmate's work history, interest in education, sentence length, and history of infractions are all factors that are considered for a vocational education placement.

Availability of Vocational Education Programs

There are a number of factors that determine whether vocational education programs are placed within a prison. As previously mentioned, the custody level of a prison and the length of an inmate's incarceration period are important factors. Additionally, the presence of space and other resources within the prison as well as the accessibility of local community college instructors and specific vocational education courses must be considered. The relationship between a local prison and its corresponding community college, as well as the level of support given by the college, also has a bearing on how comprehensive the vocational program is within a prison. For example, program staff at Harnett Correctional Institution, a medium security prison for adult males, cited the commitment of local community college personnel as a major key to the success of their extensive vocational education programming. The college provides a correctional education director who is on-site at the prison and whose job is to coordinate and provide assistance to the facility, inmates, community college instructors and the community. This position has been pivotal in ensuring that Harnett is identified as having the most successful vocational education programs across the state. There are 17 community college instructors assigned to Harnett to teach a wide variety of courses, with a large number of them having been at Harnett for at least five years. Additionally, the administrators at the community college and at the prison both promote and support the vocational education program. For these reasons, there is usually a waiting list for the vocational education courses, including inmates from other prisons who are waiting to transfer to Harnett.

The vocational education programs that are offered by the NCCCS within the various prisons have the same standards as those that are available within the community. NCCCS instructors teach vocational training classes that are designated as either curriculum or continuing education courses (also known as occupational extension courses within the DOP). However, some of the vocational

⁵³ It is federally mandated for inmates who are under the age of 21 and have been identified with a disability to be educationally served in the Exceptional Students Program (ESP).

education courses are available in both formats and can be offered on a part-time or full-time basis. The minimum age for any of these courses is generally 18; however, a 16 or 17 year old may be allowed to take a course under certain circumstances. Also, most of the vocational education courses require that an inmate be infraction-free for a certain period of time (usually 90 days) prior to beginning classes. Once inmates are placed in a vocational program, they remain in the program unless they present disciplinary problems, have too many absences, or are transferred to another prison.

Continuing education courses are designed to teach specific vocational skills and are typically shorter in length than curriculum courses. Although there may be reading level requirements for an offender to be enrolled in specific continuing education courses, there is no prerequisite for a high school diploma or a GED. Upon successful completion of a continuing education course, a certificate of completion is awarded to the inmate acknowledging the skills obtained; however, those credit hours are non-transferable toward a degree.

Enrollment in any curriculum course requires that an inmate have a high school diploma or a GED. Additionally, it is a standard of the community college system that a minimum score on a college placement test is required for anyone wanting to take curriculum courses. When an inmate's sentence length allows for curriculum programs, inmates have the opportunity to receive transferable credit hours for successful completion, which can be applied toward a degree.

Description of Vocational Education Programs

For purposes of this study, vocational education includes both continuing education and curriculum courses and excludes HRD courses. Nine categories were created to designate the different areas of study within vocational education. The participants were prisoners who were released from prison during FY 2001/02 that participated in a vocational education course at any time during their incarceration (n=3,409). Table 7.1 shows the number of vocational education participants by category. Depending on the length of time in prison and other factors, a participant may be represented in multiple categories. Sixty-six percent of the vocational education participants took one course, while 28% took two to three courses. The remaining 4% participated in more than four vocational education courses while incarcerated. The average number of vocational education courses taken by a participant was 1.6 courses.

Construction Technologies: The category of Construction Technologies had the largest number of participants from this study's sample with 1,176 participants. Some of the construction technologies courses taught in various prisons across the state include carpentry, welding and plumbing. Harnett Correctional Institution has an excellent offering of curriculum courses within this category. Polk Correctional Institution offered a carpentry course during FY 2001/02. Western Youth Institution added an introductory plumbing class to its vocational education program in 2005.

Table 7.1
Number of Vocational Education Program Participants by Category
FY 2001/02 Prison Releases

Vocational Education Category	N
Administration/Clerical/Business/Computer Technology	892
Agriculture and Natural Resources	624
Construction Technologies	1,176
Electrical/Electronic Technology	434
Health Sciences	81
Industrial, Mechanical, and Manufacturing Technology	556
Public Service Technology	629
Transportation System Technology	170
Other Vocational Education	312
Total	4,874

Note: An offender may be represented in multiple Vocational Education Categories.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Administration/Clerical/Business/Computer Technology: Of the FY 2001/02 prison releases who participated in vocational education, 892 took Administration/Clerical/Business/Computer Technology courses. Many of the prisons offer at least one course in this category. Like most of the vocational education courses, classes in this category are directed towards inmates learning skills that can translate into employment after their release.

Public Service Technology: There were 629 participants in the Public Service Technology category. Travel and tourism, cosmetology, manicuring/nail technology, and commercial cleaning are some of the courses found in this category. NCCIW is the only prison in the state that offers vocational training in travel and tourism, cosmetology, and manicuring/nail technology. With regard to travel and tourism, eligible inmates are selected to be trained by Department of Commerce employees to work in the on-site NC Call Center, which responds to informational calls from the public about the state's tourist attractions. The cosmetology and manicuring programs at NCCIW are comprised of not only class time but apprenticing in how to cut and style hair, give manicures, pedicures, facials, and waxings. At Polk Youth Institution, inmates can participate in the commercial cleaning program. Upon completion, inmates have the option of enrolling in a course which assists them in learning how to start a business using their commercial cleaning skills. Western added a commercial cleaning course in 2005 that is available only in the evening and only for inmates in the high-rise building (inmates in the minimum custody unit at Western are not eligible).

Agriculture and Natural Resources: The category of Agriculture and Natural Resources includes classes in horticulture, agriculture, and waste processing. There were 624 participants. NCCIW, Fountain, Polk, and Western are among the prisons that offer horticulture. As part of the course work, inmates may participate in planting flowers and plants on the grounds of their respective prison units.

Industrial/Mechanical/Manufacturing: The category of Industrial/Mechanical/Manufacturing had 556 participants. Examples of courses in this category are upholstery production, refrigeration, and air conditioning. NCCIW is one of the prisons that has vocational training in upholstery production, which is a six month continuing education course.

Electrical/Electronic Technology: The Electrical/Electronic Technology category includes training in basic electronics, industrial maintenance, and electronic servicing. There were 434 participants in the FY 2001/02 sample. At Harnett, inmates can take a 12 month electronics course that teaches them how to refurbish computers for use by state government agencies. Also, at Harnett, inmates participating in the electrical wiring program learn this skill by working on the wiring in a small model house that is located on the prison grounds. In 2005, Western added an introductory electrical wiring course to its vocational programming.

Transportation System Technologies: The Transportation System Technologies category offers courses such as automotive systems and small engine and equipment repair. There were 170 participants. Harnett offers courses in both of these areas. Harnett's small engine repair course offers inmates the opportunity to learn to refurbish engines by working on engines that have been donated by a local business or non-profit organizations.

Health Sciences: Health Sciences courses had the least inmate participation of all of the categories with only 81 participants in the FY 2001/02 sample. Dental laboratory technology, home healthcare aide, and nurse's aide are a few of the courses that come under this category. The lower level of participation could be due, in part, to the limited availability of these types of courses in prisons across the state. NCCIW is the only facility that offers classes in dental laboratory technology and is one of the few that has DOC employees as instructors. In this program, inmates learn how to make and repair dentures belonging to inmates in prisons across the state. This is viewed as being a cost savings to DOC. The dental lab program involves instructional as well as on-the-job training. Nearly three-fourths of the participants go on to an apprenticeship component of the program which teaches more advanced dental repair and requires 6,000 hours of work and class time. Several inmates have obtained jobs upon their release from prison as a result of their apprenticeship in the dental lab. Fountain is one of the only prisons that has training in home healthcare. Following the four week course, inmates are able to provide in-home healthcare.

Other Vocational Education: The last category, with 312 participants, consisted of miscellaneous courses that did not fit under the other categories such as taxidermy and graphic arts.

It should also be noted that, of the 3,409 vocational education participants, 1,474 were enrolled in academic education sometime during their incarceration, 1,026 worked in the

Correctional Enterprises program, and 502 were involved in the Work Release Program (*see* Appendix B for details of these programs).

Harnett Correctional Institution: A Model Vocational Education Program

Harnett Correctional Institution is a medium custody, adult male facility located in Lillington. The prison's capacity is 904 inmates, with its vocational education capacity currently set at 217. Within the prison system, Harnett has one of the model vocational education programs. There is usually a waiting list for the vocational education courses, including inmates from other prisons who are waiting to transfer to Harnett for that reason.

Central Carolina Community College (CCCC) and Harnett work in a highly collaborative manner to provide educational services to the inmates. CCCC provides a correctional education director who is on-site at the prison and whose job is to coordinate and provide assistance to the facility, inmates, community college instructors and the community. This position has been pivotal in ensuring that Harnett is identified as having the most successful vocational education programs across the state. Another component of their success is the quality and dedication of the instructors. Staff are invested in the vocational education programs at Harnett and, consequently, there is a low employee turnover.

Harnett offers a variety of vocational education classes. Inmates have the opportunity to learn various construction trades, electronics skills, and automotive repairs. Students are provided the opportunity of applying their learned skills to products that can be used by a variety of state, school and community organizations. The carpentry class builds the furniture which is sold at an annual furniture auction to raise money for the local college foundation fund. Staff report that many of the inmates who successfully complete the welding program at Harnett have gone on to find employment in this field upon their release or have been assigned to a Correction Enterprises plant to gain work experience.

Harnett reports a 90% completion rate for vocational education. At Harnett's 2004 graduation ceremony, 64 graduates received diplomas in vocational programming including carpentry, electrical technology, electronic servicing technology, masonry, and welding technology.

Statistical Profile of Vocational Education Participants

Personal Characteristics: Compared to inmates who did not participate in vocational education programs, participants had a lower percentage of males (83.9% versus 90.1%) and a lower percentage of blacks (60.2% versus 64.2%), with a higher percentage of offenders with 12 or more years of education (48.7% versus 41.1%) and a higher incidence of substance abuse problems (56.9% versus 53.5%) (*see* Table 7.2). Within the group of vocational education participants, there were slight differences between completers and non-completers, with the most significant being the lower percentage of males among those completing their courses.

Table 7.2
Personal Characteristics: Vocational Education Participants in Prison

A Comparison of Vocational Education Participants and Prisoners Who Did Not Participate		N	% Male	% Black	Mean Age	% Married	% With 12 or More Years of Education	% With Substance Abuse
Vocational Education	Completers	1,717	79.1	59.6	31	14.0	49.2	55.9
	Non-Completers	1,692	88.8	60.7	33	15.3	48.3	58.0
	VOC ED SUBTOTAL	3,409	83.9	60.2	32	14.6	48.7	56.9
NON-PARTICIPANT PRISONERS		13,709	90.1	64.2	32	13.4	41.1	53.5

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Prior Arrest: As indicated in Table 7.3, there was very little difference regarding prior arrests between participants and non-participants and between participants completing or failing to complete their programs.

Table 7.3
Prior Arrests and Current Conviction: Vocational Education Participants in Prison

A Comparison of Vocational Education Participants and Prisoners Who Did Not Participate	N	% Any Prior Arrest	Offense Class for Current Conviction			
			% A - E Felony	% F - I Felony	% Misd.	% Other (FSA)
Completers	1,717	98.3	15.2	78.6	5.5	0.6
Non-Completers	1,692	97.4	16.8	75.2	6.9	1.2
VOC ED SUBTOTAL	3,409	97.8	16.0	76.9	6.2	0.9
NON-PARTICIPANT PRISONERS	13,709	95.9	9.1	65.6	25.1	0.2

Note: Percentages may not add to 100% due to rounding.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Most Serious Current Conviction: While there was little difference in the offense class of the current conviction between program completers and non-completers, a significant difference emerged between inmates participating in vocational education and inmates who did not participate. Ninety-three percent of the participants were incarcerated for a felony, including 16% for a violent felony, compared to 74.7% of the non-participants incarcerated for a felony, with only 9.1% for a violent felony. These differences in offense class were also reflected in time served in prison: 41 months on average by vocational education participants (35 months for completers and 47 months for non-completers) compared to 13 months for prisoners who did not participate.

Risk Level: With regard to risk level, there was little difference between the vocational education completers versus non-completers. Vocational education participants as a whole had a lower percentage of high risk offenders (50.5%) compared to non-participant prisoners (54.0%) (*see* Table 7.4).

Table 7.4
Offender Risk Level: Vocational Education Participants in Prison

A Comparison of Vocational Education Participants with Prisoners Who Did Not Participate	N	% Low Risk	% Medium Risk	% High Risk
Vocational Education Completers	1,717	16.8	33.0	50.3
Non-Completers	1,692	18.2	31.0	50.8
VOC ED SUBTOTAL	3,409	17.5	32.0	50.5
NON-PARTICIPANT PRISONERS	13,709	15.8	30.1	54.0

Note: Percentages may not add to 100% due to rounding.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Prison Infractions: Overall, the average number of prison infractions for vocational education participants was 5.8, while non-participant prisoners only averaged 2.0 infractions. As stated previously, vocational education participants served longer sentences for their current convictions than non-participant prisoners; therefore, the vocational education participants had a longer time period to acquire more infractions. When controlling for time served, the differences in infractions disappeared between vocational education participants and non-participant prisoners. Participants who completed their vocational education course had fewer infractions (4.3) than participants who did not complete their vocational education course (7.3). It should be noted that vocational education participants can be removed from a course for disciplinary reasons. According to field staff, the type and number of infractions allowable, if any at all, varied depending on the vocational education course and on the prison.

Criminal Justice Outcome Measures for the FY 2001/02 Sample

The information in Table 7.5 relates to the four criminal justice outcome measures discussed in Chapter Three: rearrest, reconviction, technical revocation, and reincarceration rates during the three-year follow-up period.

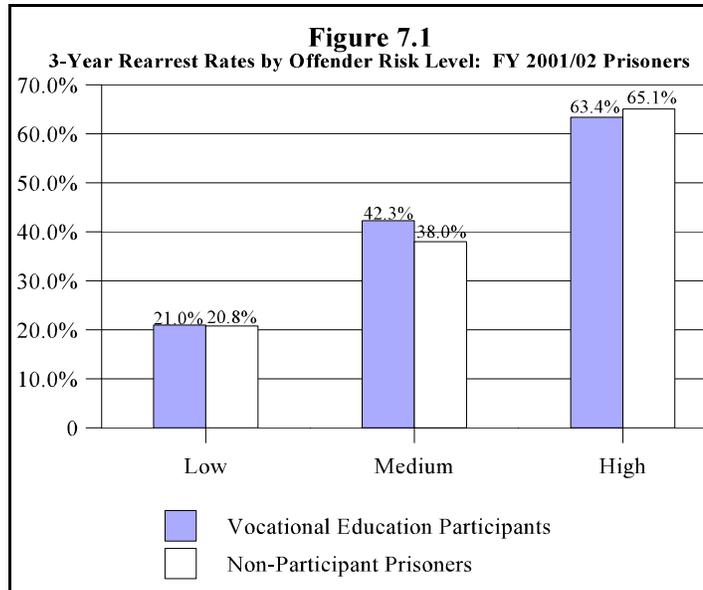
Recidivist Arrests: Overall, 49.3% of vocational education participants were rearrested during the three-year follow-up, similar to the 49.9% rearrest rate for non-participants. Vocational education completers had a somewhat lower rearrest rate (47.3%) compared to non-completers (51.2%). Of those participants with a recidivist arrest, the average number of arrests was 2.3 and the average time to rearrest was 12.9 months. Vocational education participants did not differ significantly from non-participant prisoners with respect to average number of rearrests and average time to rearrest.

Table 7.5
Criminal Justice Outcome Measures: Vocational Education Participants in Prison

A Comparison of Vocational Education Participants and Prisoners Who Did Not Participate	N	Criminal Justice Outcome Measures			
		% Rearrest	% Reconviction	% Technical Revocation	% Reincarceration
Vocational Education Completers	1,717	47.3	34.0	18.5	33.0
Non-Completers	1,692	51.2	37.2	17.8	34.6
VOC ED SUBTOTAL	3,409	49.3	35.6	18.1	33.8
NON-PARTICIPANT PRISONERS	13,709	49.9	36.0	19.6	36.4

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Figure 7.1 shows three-year rearrest rates for vocational education participants and non-participant prisoners, controlling for offender risk level. Rearrest rates for participants varied by offender risk level, with high risk offenders more likely to be rearrested than low risk participants. When comparing prisoners within the same risk level, only slight differences were found between vocational education participants and non-participants.



SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

The comparison presented between rearrest rates for vocational education participants and non-participants does not take into account differences in personal characteristics, criminal history, and current offense information between these subgroups. Multivariate models were estimated to examine whether differences in rearrest existed once other characteristics were held constant. There were no significant differences between vocational education participants and non-participants on rearrest. Significant differences, however, were found when participants were separated into completers and non-completers. Vocational education non-completers were more likely to be arrested in the three-year follow-up period than any other group. Specifically, non-completers were 3.9% more likely to be arrested than vocational education completers and 3.7% more likely to be arrested than non-participant prisoners.

Recidivist Convictions: As displayed in Table 7.5, 35.6% of vocational education participants and 36.0% of non-participants had a recidivist conviction in the three-year follow-up period. Program completers again had somewhat lower reconversion rates (34.0%) than either non-completers (37.2%) or non-participant prisoners (36.0%). For those vocational education participants who had a recidivist conviction in the three-year follow-up period, their first recidivist conviction occurred an average of 17.6 months after their release from prison, similar to an average of 17.1 months for non-participants.

Technical Probation Revocations: Eighteen percent of the vocational education participants had a technical revocation within the three-year follow-up period, which was somewhat lower than the rate for non-participant prisoners (19.6%). There was little difference between vocational education completers and non-completers with regard to technical probation revocations. For those revoked within the three years, first revocation occurred, on average, after 17.5 months for vocational education participants and after 17.9 months for non-participant prisoners.

Recidivist Incarcerations: Thirty-four percent of vocational education participants had a recidivist incarceration during the three-year follow-up period compared to 36.4% for non-participant prisoners. There was again a slightly lower rate for program completers than non-completers. For those vocational education participants who had a recidivist incarceration in the three-year follow-up period, their first recidivist incarceration occurred an average of 17.0 months after their release from prison, which was similar to the 16.7 months for non-participant prisoners.

Employment: As indicated in Table 7.6, a higher proportion of offenders who participated in vocational education were employed at least one quarter in the three years following their release from prison (74.6%) than offenders who did not participate (69.3%). Of those employed, the average number of quarters employed was six for both groups. The average wage per quarter was somewhat higher for vocational education participants, regardless of whether they completed the course or not, than for non-participant prisoners.

Table 7.6
Employment in the Three Years Following Release to the Community:
A Comparison of Vocational Education Participants and Prisoners Who Did Not Participate

A Comparison of Vocational Education Participants with Prisoners Who Did Not Participate	N	% Employed	Mean # of Quarters Worked ¹	Average Wages Per Quarter ¹
Completers	1,717	73.5	6.1	\$2,082
Vocational Education Non-Completers	1,692	75.7	6.3	\$2,071
VOC ED SUBTOTAL	3,409	74.6	6.2	\$2,076
NON-PARTICIPANT PRISONERS	13,709	69.3	6.1	\$1,992

1. Mean number of quarters worked and average wages per quarter only include offenders who worked during the three years following release to the community.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Multivariate models were estimated to predict employment in the three-year follow-up period for vocational education participants (as a whole and by program completion) and non-participants in the FY 2001/02 sample. The small differences previously noted in employment rates between vocational education participants and non-participant prisoners and between completers and non-completers disappeared when differences in personal characteristics, criminal history, and current offense information were controlled.

In summary, when looking at all four of the criminal justice outcome measures in Table 7.5, vocational education participants had rearrest and reconviction rates similar to prisoners who did not participate in vocational education programs, with slightly lower rates than non-participants for technical revocation and reincarceration. A more consistently lower rate in all four measures of

recidivism was found for prisoners who completed their vocational education. In addition, vocational education participants were more likely to be employed upon release from prison and to earn a slightly higher wage.

Summary and Conclusions

The presence of vocational education programs within the prison system is a result of a collaborative effort between the DOC and the NCCCS. Offered by instructors from local community college(s) in the vicinity of a prison, vocational training is currently available in 56 of the 76 prisons across the state, which is an increase from 49 prisons in FY 2001/02. Courses are available at designated close, medium, and minimum custody prisons and are selected for those facilities by ensuring that the types of classes and their length fit the inmate population. Two-thirds of the classes are at close and medium prisons, primarily because prisoners at those facilities are more serious offenders who have longer sentences that allow for ample time to complete the longer vocational education courses. The more extensive programs are identified as curriculum courses and require that a prisoner have a high school diploma or GED, while the shorter courses, referred to as continuing education, teach specific vocational skills and do not require completion of high school or its equivalent as a prerequisite. Eligible inmates are allowed to remain in vocational classes unless they exhibit disciplinary problems, have too many absences, or are transferred to another prison.

Inmates who participated in at least one vocational education course (n=3,409) made up 20% of the total number of prisoners (n=17,118) in the FY 2001/02 sample. Of those who participated, 50% (n=1,717) completed the specific program. Female offenders had a higher completion rate than males (65% versus 47%). For this report, nine categories were created to broadly show the different areas of study within vocational education. It was possible for inmates to participate in more than one category. Prisoners who did not participate in any vocational education program (n=13,709) served as the comparison group to the prisoners who participated in vocational training. Within the vocational education participant group, prisoners who completed at least one course were contrasted with those who did not complete a course.

Vocational education programs had relatively less male and less black participants, with a higher rate of substance abuse and with 12 or more years of education. Program participants were more likely to be convicted of felonies, including violent felonies, and consequently served longer sentences.

There were only slight differences in recidivism between prisoners participating in vocational education and those not participating. However, the subgroup of prisoners who participated in vocational education and completed their courses seemed to do consistently better than the non-completing participants in measures of recidivism and employment.

Vocational education programs need to be evaluated in the context in which they are offered. The majority of the vocational courses are available in close and medium prisons where inmates have the longest sentences. It is this time factor that allows the higher custody facilities to offer the

lengthier, more extensive vocational programs that are needed for certain trades (*e.g.*, masonry and furniture upholstery). Close and medium custody inmates have the time to complete these programs and acquire employable skills that can potentially translate into the attainment of a job upon their release from prison. Meaningful vocational programs are also offered in minimum custody prisons. However, a prisoner's length of stay may not allow for the completion of certain vocational courses. Also, more minimum custody inmates work during the day, so they are only able to attend classes on a part-time basis in the evening.

As mentioned at the beginning of the chapter, the Sentencing Commission's 2002 recidivism study looked at the prison's academic educational component and its relationship to a prisoner's arrest following release from prison (using FY 1998/99 data). It should be noted that the prison populations served by educational programs, whether academic or vocational, by definition are difficult and high risk groups. As a result, neither of the groups participating in educational offerings seemed to have done significantly better than all prisoners on the various measures of recidivism.

This is a population with two strikes against them. First, they enter prison as a result of a serious offense and with a set of preexisting criminogenic issues. Second, with longer sentences, these prisoners have the further net effect of prisonization that enhances these issues by the time of release. A prisoner's participation in vocational education programs can assist in counteracting these two factors by providing a productive way of utilizing prisoner time, and at the same time providing a management tool for prison staff. The successful completion of a vocational education program gives training to prisoners that can potentially be used in their transition back into the community.

CHAPTER EIGHT SUMMARY AND CONCLUSIONS

In 1998, the North Carolina General Assembly directed the Sentencing and Policy Advisory Commission to prepare biennial reports evaluating the effectiveness of the State’s correctional programs (Session Law 1998-212, Section 16.18). This study constitutes the fourth report in compliance with the directive and includes a first look at some correctional populations that have not been highlighted previously.

The study cohort for this report was a sample of 57,973 offenders released from prison or placed on probation in FY 2001/02. The sample was followed for three years to measure their long term recidivism. The expanded definition of recidivism included rearrest, reconviction, technical revocation, and reincarceration. The study also accounted for the actual time at risk (*i.e.*, “window of opportunity” to recidivate) for each offender within the follow-up period.

The 2006 report is the first to portray a sample composed almost in its entirety of offenders sentenced under Structured Sentencing laws (97.4%). All of the 40,855 probationers, and the majority of the 17,118 prisoners, were SSA offenders, with only a small portion of the prisoners having been sentenced under Fair Sentencing and pre-Fair Sentencing provisions (1,489). Similar to earlier cohorts, 79% of the sample were male, 54% were black, 81% had one or more prior arrests, and 48% received their current sentence for a felony conviction. The proportion of high risk offenders increased by type of punishment from community probationers to intermediate probationers to prisoners.

Table 8.1 summarizes the sample’s one-, two-, and three-year recidivism rates for all four criminal justice outcomes measured in the study.

**Table 8.1
Criminal Justice Outcomes: Three-Year Follow-Up**

Follow-Up	% Rearrest	% Reconviction	% Technical Revocation	% Reincarceration
1-year	21.3	9.6	12.4	12.1
2-year	31.5	19.6	21.3	22.0
3-year	38.2	26.5	26.4	28.3

Over the follow-up period rearrest rates for the entire sample rose from 21% in the first year to 32% by the second year and 38% by the third year, with the greatest proportion of rearrests occurring in the first year and then increasing at a declining rate. By the end of the three-year follow-up, the sample accounted for 46,225 recidivist arrests, including 9,239 arrests with at least one violent offense charge.

Two-year rearrest rates remained relatively constant over time when comparing the FY 1996/97, FY 1998/99, and FY 2001/02 samples – 32.6%, 31.2%, and 31.5%, respectively. While the internal composition of the three samples was dissimilar, this trend might indicate the stability of criminogenic factors affecting the recidivism of overall criminal populations over time, independent of changes in legal penalties and correctional policies.

Recidivism rates varied by the type of punishment and correctional program assignments. In addition, all measures of recidivism were found to vary by offender risk level, with a stair-step increase in recidivism rates from low risk to medium risk to high risk offenders. However, much of the variation in the probability to be rearrested between the different types of punishment disappeared when controlling for offender risk level. The risk score, developed originally to predict the probability of rearrest, was found to be an equally powerful predictor of additional criminal justice outcomes and can be used as a valid factor in assessing the probability of future recidivism in general.

More in-depth analysis of the correlates of recidivism, using multivariate techniques, revealed that personal, offense-based and criminal history factors all affected an offender's subsequent encounters with the criminal justice system. Being male, black, having a history of substance abuse, having a greater number of prior drug arrests, and having a high risk score were all factors that were found to increase the probability of recidivism by 4 to 6% above the average three-year rate of 38%. In other words, preexisting factors seemed to determine future criminality. Of note is another finding that reflected, for the first time, the net effect of an offender being under 21 years of age (*i.e.*, “youthful”) at the time of his/her commitment to the DOC. Controlling for all other factors, being a youthful offender at the time of commitment increased the probability of rearrest by 6% – a finding in line with research indicating that the earlier a person's involvement with the criminal justice system, the more likely their persistence in a criminal career.

This report focused on two special population groups within the correctional system, each constituting slightly over one-fifth of the FY 2001/02 cohort: female offenders and youthful offenders. These two special populations were analyzed more closely both in terms of their statistical profiles and their correctional housing and assignments, especially in the prison system.

The majority of female offenders in the sample (70%) were sentenced to community probation, while only 16% were released from prison. Overall, female offenders were considerably less serious in their current crimes, prior record, and risk score than were male offenders. One notable difference for female prisoners (but not probationers) was their significantly higher rate of substance abuse problems compared to male prisoners. As expected, female offenders had lower recidivism rates than male offenders – 26% and 41% rearrest rates within three years, respectively. The difference between the two groups held independent of the measure used, and even when controlling for type of punishment and risk level.

The DOC provides a wide range of services and programs for female inmates by adjusting the largely male oriented world of prisons to the distinct needs and behavioral patterns of women. More than for males, the criminality of female offenders appears often to be a symptom of other

problems (*e.g.*, victimization). Areas of improvement within prison and in the community could include more extensive substance abuse, mental health, and family-related services, and a further enhancement of programs related to the employability of female offenders.

More than one-fifth (n=13,038) of the offenders in the sample were under age 21 at the time of their commitment to the DOC. Of these, 22% were released from prisons and 78% were placed on probation in FY 2001/02. Youthful offenders were more serious and violent in the composition of their current convictions and had a higher risk score on average than did adult offenders. Not surprisingly, all measures of recidivism were also higher for youthful offenders than for adults, with three-year rearrest rates of 45% and 36%, respectively.

The findings in this study point to the difficulty of dealing with a population of youthful offenders. As evidenced by their rates of prison infractions and technical probation revocations, whether youthful offenders serve their sentence in prison or in the community, they continue to have problems in controlling their negative behavior and their ability to adhere to rules. Consequently, DOC becomes guardian over a population of youthful prisoners and probationers who bring with them greater developmental issues, educational needs, gang involvement, and deficits in self-control and anger management than do adult offenders. The transition from youthful to adult status is challenging even under the best of circumstances; it becomes even more daunting when a youth has to deal with the physical, mental, and emotional changes while under correctional supervision. While DOC cannot be expected to fully address all of these concerns, there are several areas in which services could be tailored to better meet the unique needs of youthful offenders. These areas include not only programmatic additions or enhancements but also increased planning for the re-entry of youthful offenders back into the community.

In addition to the two unique populations of female and youthful offenders, this report also focused on prison vocational education programs. While clearly participation in vocational education programs assisted prisons in the management of their populations and prisoners in the positive utilization of their time, it did not significantly impact recidivism or employment.

It should be emphasized that an offender's assignment to a correctional program, in general, cannot be viewed as a panacea for criminal behavior. Offenders participating in a correctional program bring with them many preexisting social and criminal problems that the program may not be able to address because of its timing in the offender's sentence, its duration, and its overall scope. In short, while correctional programs co-vary with recidivism, they should not be expected to have a major impact on preventing or reducing recidivism.

As expected, the three-year follow-up showed an increase in the various measures of recidivism, but these increases slowed down over time, with the highest rates for all four outcomes occurring in the first year. This finding would appear to underline the need for focusing resources and services in that critical time period, whether it is the first year of a probationary sentence, the beginning of parole or post-release supervision, or the initial period following release from prison. Reentry and after-care services, a concept on the rise nationwide, could help lower recidivism rates for offenders who are exiting prison or residential community treatment. Services which focus on

vocational training, employment assistance, and drug and mental health treatment issues can be vital to whether or not an offender is successful in the community. It should be noted again in this context that substance abuse was found to be an underlying problem and a recurring factor in the continued criminality for many of the offenders (and not only those assigned to DOC treatment programs). Much of the success of the reentry initiatives would depend on the degree of cooperation between a coalition of agencies, each of which holds a piece of the solution to rehabilitate and reintegrate offenders into their communities.

Recidivism rates have accentuated even more of a need for targeting North Carolina's limited correctional resources to groups of offenders whose criminal futures are the most likely to be affected by it. Preexisting personal and criminal history factors, which are summarized in the composite risk score, were found in this and previous reports to be highly and consistently correlated with the court decision about an offender's disposition and program assignments and with that offender's propensity to reoffend. This finding might point to a recommendation for targeting medium risk offenders and offenders with persistent substance abuse problems as the most likely to benefit from correctional programs. In addition, for the first time, another variable highly correlated with recidivism was identified: the offender being under 21 years of age at the time of commitment to the DOC. It appears that youthful offenders, by virtue of their age alone, are more prone to reoffending, especially following a prison sentence. Prisons, which increase the probability of recidivism even when controlling for all other factors, should be reserved for the most serious, violent, and high risk offenders – youthful or otherwise – while community punishment probation should be utilized for the least serious, low risk offender.

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**APPENDIX A:
ADULT RECIDIVISM RATES
BY STATE**

Appendix A
Adult Recidivism Rates by State

State	Recidivism Rate	Population Studied	Definition of Recidivism	Date of Study
Connecticut	Prison Sample: Rearrest: 70% Reconviction: 50% Reincarceration: 25% Probation Sample: Rearrest: 58% Reconviction: 33% Reincarceration: 11%	All convicted felons (aged 16 or older at time of arrest) discharged from prison or sentenced to probation in 1997 Recidivism tracked from 1997 until Dec 31, 2000	New criminal activity by a person after a criminal conviction that resulted in imprisonment or another sanction (probation, diversionary sentence, or fine) <ul style="list-style-type: none"> • Rearrest for a new misdemeanor or felony • Reconviction on those charges • Reimprisonment or sentence to another court imposed sanction 	2001
Florida	Reconviction: 3 years: 49% 5 years: 48% Reincarceration: 3 years: 26% 5 years: 37%	Inmates released from Florida prisons from July 1995 to June 2001	<ul style="list-style-type: none"> • Reconviction for a new serious offense (felony offense) • Reincarceration to prison for a new offense 	2003
Illinois	Reincarceration: 3 years: 48%	Inmates who exited prison in 1999	The rate at which inmates return to prison within three years	2001

Appendix A
Adult Recidivism Rates by State (continued)

State	Recidivism Rate	Population Studied	Definition of Recidivism	Date of Study
Massachusetts	Reincarceration 3 years: 44%	Inmates released in 1995	An offender reincarcerated for at least 30 days during the three-year follow- up period	2002
South Carolina	Reincarceration: 3 years: 28%	Inmates who were released in 1999	Percent who returned to the South Carolina Department of Correction	2004
Virginia	Reincarceration: 3 years: 29%	Inmates released in 1998	Reincarceration for a new crime or a technical violation	2003
West Virginia	1994 Releases: Reincarceration: 14% 1995 Releases: Reincarceration: 10%	Inmates released in 1994-1995	Convicted of a new felony offense and returned to DOC on or before June 30, 1999	1999
Bureau of Justice Statistics	Rearrest: 3 years: 68% Reconviction: 3 years: 47% Reincarceration (new crime): 3 years: 25% Reincarceration (technical violation): 3 years: 26%	Prisoners released in 1994 from 15 states	Rearrest, reconviction, reincarceration for a new crime, and reincarceration for a technical violation of release conditions	2002

APPENDIX B

B-1: INDIVIDUAL PROGRAM AND
CORRECTIONAL SUPERVISION
SUMMARIES

B-2: SUMMARY INFORMATION FOR
CORRECTIONAL PROGRAMS

APPENDIX B-1
INDIVIDUAL PROGRAM AND CORRECTIONAL SUPERVISION SUMMARIES

ALL PRISON RELEASES AND PROBATION ENTRIES

The FY 2001/02 sample is comprised of 57,937 offenders who either entered probation or were released from prison during that period.

FY 2001/02 Sample

The sample is comprised of all offenders who entered supervised probation or were released from prison during FY 2001/02, with the following exclusions:

- FSA probation entries;
- pre-FSA cases;
- offenders with a most serious current conviction for driving while impaired; and
- offenders with a most serious current conviction for a misdemeanor traffic offense.

Overall, 78.7% were male, 54.3% were black, 64.5% were single, and less than half (45.9%) had twelve years or more of education. Over three-quarters (81.0%) of the sample had at least one prior fingerprinted arrest, with an average of 3.8 prior arrests. Forty-eight percent of the sample had a most serious current conviction (*i.e.*, the conviction which placed them in the sample) for a felony offense. The majority of current convictions were for three categories of offenses: misdemeanor property offenses (22.4%), felony property offenses (18.5%), and felony drug offenses (17.9%). Overall, 38.2% of the sample had a recidivist arrest for any offense in the three-year follow-up. For those who were rearrested during the three-year follow-up period, their first rearrest occurred an average of 12.7 months after entry to probation or release from prison.

**All Prison Releases and Probation Entries
FY 2001/02**

Number of Offenders (N): 57,973

PERSONAL CHARACTERISTICS

Gender:	%
Male	78.7
Female	21.3
Race:	%
Black	54.3
Non-Black	45.7
Average Age:	30
Marital Status:	%
Single	64.5
Divorced/Separated	18.0
Married/Widowed	15.7
Other/Unknown	3.8
% With 12 Years of Education or More:	45.9
% With Substance Abuse Indicated:	34.2

RISK LEVEL

	%
Low	33.3
Medium	33.3
High	33.4

CRIMINAL HISTORY

% With Prior Arrest	81.0
Mean Number of Prior Arrests	3.8

CURRENT OFFENSE

	%
Violent Felony	8.6
Property Felony	18.5
Drug Felony	17.9
Other Felony	2.9
Violent Misdemeanor	15.0
Property Misdemeanor	22.4
Drug Misdemeanor	9.7
Other Misdemeanor	5.0
Mean months served in prison (prisoners only)	18.7

EMPLOYMENT: THREE-YEAR FOLLOW-UP

% Employed	74.3
Average Number of Quarters Worked	6.8
Average Wages Per Quarter	\$2,198

**CRIMINAL JUSTICE OUTCOMES:
THREE-YEAR FOLLOW-UP**

Recidivist Arrest Rates:	
One-Year Follow-Up Period	21.3
Two-Year Follow-Up Period	31.5
Three-Year Follow-Up Period	38.2
Mean Number of Recidivist Arrests	2.1
Average Months to First Recidivist Arrest	12.7
Recidivist Conviction Rates:	
One-Year Follow-Up Period	9.6
Two-Year Follow-Up Period	19.6
Three-Year Follow-Up Period	26.5
Mean Number of Recidivist Convictions	1.5
Average Months to First Recidivist Conviction	17.0

Technical Revocation Rates:	
One-Year Follow-Up Period	12.4
Two-Year Follow-Up Period	21.3
Three-Year Follow-Up Period	26.4
Mean Number of Recidivist Tech. Revoc.	1.1
Average Months to First Recidivist Tech. Revoc. ...	14.7

Recidivist Incarcerations:	
One-Year Follow-Up Period	12.1
Two-Year Follow-Up Period	22.0
Three-Year Follow-Up Period	28.3
Mean Number of Recidivist Incarcerations	1.2
Average Months to First Recidivist Incarceration ...	15.4

CORRECTIONAL SUPERVISION

Probation Entries	
SSA Probation - Community Punishment	29,391
SSA Probation - Intermediate Punishment	11,464
Intensive Supervision Probation	8,925
Special Probation	6,314
Community Service	15,605
House Arrest with Electronic Monitoring	1,660
Prison Releases	
SSA Prison Release	15,629
Post-Release Supervision (SSA only)	1,326
FSA Prison Release	1,489

SSA PROBATION - COMMUNITY PUNISHMENT

Probation is considered a community punishment except when certain conditions (known as intermediate punishments) are imposed. The purposes of probation supervision are to control the offender in the community, provide opportunities for substance abuse and mental health treatment, ensure compliance with the conditions of probation, and enforce the conditions of probation through the violation process. Unless the court makes a specific finding that a longer or shorter term of probation is necessary, the court imposes a term which is no less than twelve and no more than thirty months for a felon sentenced to a community punishment. Special conditions may be imposed to further restrict freedom and limit movement in the community, to add more punitive measures, or to establish a complete individual treatment plan addressing the special needs and risk of the offender and providing realistic opportunities for behavioral changes which will ultimately lead to the successful completion of the supervision period. If the offender violates the conditions of probation, certain restrictive conditions that are considered intermediate punishments may be utilized at that time by the court, such as: special probation, intensive supervision, house arrest with electronic monitoring, day reporting centers, and IMPACT (Note: IMPACT was eliminated in 2002).

Probation is administered by the Division of Community Corrections within the Department of Correction. Probation varies in intensity and restrictiveness depending on the level of supervision. Community probation is the lowest level of supervised probation. The court and the probation officer match the offender to the appropriate level of supervision. The Division of Community Corrections' Field Operations Policies and Procedures advocate that probation/parole officers approach the supervision of each case by balancing the elements of treatment and control. Officers may serve as brokers of community treatment and educational resources as they supervise the conduct of offenders to ensure compliance with conditions of probation or parole. For each level of supervision, the Department of Correction requires that officers adhere to minimum contact standards.

A case management plan incorporates two classes of officers: the community punishment officer, who fulfills the more traditional basic probation/parole officer role, and the intermediate punishment officer, who supervises intermediate punishment level cases and community punishment level probation violators. Community officers (PPO I) supervise community punishment level cases which require less field contacts with offenders. The goal for the community punishment officer is to carry a caseload of 90 offenders.

**SSA Probation - Community Punishment
FY 2001/02**

Number of Offenders (N): 29,391

<u>PERSONAL CHARACTERISTICS</u>	<u>EMPLOYMENT: THREE-YEAR FOLLOW-UP</u>
Gender: %	% Employed 77.3
Male 70.6	Average Number of Quarters Worked 7.3
Female 29.4	Average Wages Per Quarter \$2,287
Race: %	<u>CRIMINAL JUSTICE OUTCOMES:</u>
Black 48.7	<u>THREE-YEAR FOLLOW-UP</u>
Non-Black 51.3	Recidivist Arrest Rates:
Average Age: 29	One-Year Follow-Up Period 16.9
Marital Status: %	Two-Year Follow-Up Period 24.7
Single 61.7	Three-Year Follow-Up Period 30.1
Divorced/Separated 15.8	Mean Number of Recidivist Arrests 1.9
Married/Widowed 16.5	Average Months to First Recidivist Arrest 12.7
Other/Unknown 6.0	Recidivist Conviction Rates:
% With 12 Years of Education or More: 49.1	One-Year Follow-Up Period 7.5
% With Substance Abuse Indicated: 23.6	Two-Year Follow-Up Period 15.0
	Three-Year Follow-Up Period 20.2
	Mean Number of Recidivist Convictions 1.4
	Average Months to First Recidivist Conviction 16.8
<u>RISK LEVEL</u>	Technical Revocation Rates:
Low 46.2	One-Year Follow-Up Period 12.0
Medium 34.6	Two-Year Follow-Up Period 21.0
High 19.2	Three-Year Follow-Up Period 25.5
	Mean Number of Recidivist Tech. Revoc. 1.1
	Average Months to First Recidivist Tech. Revoc. ... 14.5
<u>CRIMINAL HISTORY</u>	Recidivist Incarcerations:
% With Prior Arrest 68.4	One-Year Follow-Up Period 6.1
Mean Number of Prior Arrests 2.6	Two-Year Follow-Up Period 12.9
	Three-Year Follow-Up Period 17.1
	Mean Number of Recidivist Incarcerations 1.2
	Average Months to First Recidivist Incarceration ... 16.8
<u>CURRENT OFFENSE</u>	<u>CORRECTIONAL SUPERVISION</u>
Violent Felony 0.6	Probation Entries
Property Felony 8.4	Intensive Supervision Probation 2,518
Drug Felony 9.8	Special Probation 2,009
Other Felony 0.7	Community Service 10,819
Violent Misdemeanor 20.4	House Arrest with Electronic Monitoring 700
Property Misdemeanor 35.7	
Drug Misdemeanor 16.2	
Other Misdemeanor 8.2	
Mean months served in prison (prisoners only) N/A	

SSA PROBATION - INTERMEDIATE PUNISHMENT

Under Structured Sentencing, an intermediate punishment requires the offender to be placed on supervised probation with at least one of the following conditions: special probation, intensive supervision assignment to a residential community corrections program, house arrest with electronic monitoring, or assignment to a day reporting center. Unless the court makes a specific finding that a longer or shorter term of probation is necessary, the court imposes a term which is no less than eighteen and no more than thirty-six months for a felon sentenced to an intermediate punishment.

The purposes of probation supervision are to control the offender in the community, provide opportunities for substance abuse and mental health treatment, ensure compliance with the conditions of probation, and enforce the conditions of probation through the violation process. Special conditions may be imposed to further restrict freedom and limit movement in the community, to add more punitive measures, or to establish a complete individual treatment plan addressing the special needs and risk of the offender and providing realistic opportunities for behavioral changes which will ultimately lead to the successful completion of the supervision period. Offenders may also be placed on the sanction from a less restrictive supervision level (*i.e.*, community punishment probation) as a result of the probation violation process.

Probation is administered by the Division of Community Corrections within the Department of Correction. Probation varies in intensity and restrictiveness depending on the level of supervision. The court and the probation officer match the offender to the appropriate level of supervision. The Division of Community Corrections' Field Operations Policies and Procedures advocate that probation/parole officers approach the supervision of each case by balancing the elements of treatment and control. Officers may serve as brokers of community treatment and educational resources as they supervise the conduct of offenders to ensure compliance with conditions of probation or parole. For each level of supervision, the Department of Correction requires that officers adhere to minimum contact standards.

A case management plan incorporates two classes of officers: intermediate punishment officers, who supervise intermediate punishment level cases and community punishment level probation violators, and community punishment officers, who fulfill the more traditional basic probation/parole officer role. The intermediate punishment officers (PPO III and PPO II) are required to conduct the vast majority of offender contacts in the field, away from the relative safety of the office. This intermediate punishment officer (PPO II) has a caseload goal of 60. The intermediate punishment officers specializing in intensive supervision cases (PPO III) carry 25 intensive cases.

**SSA Probation - Intermediate Punishment
FY 2001/02**

Number of Offenders (N): 11,464

PERSONAL CHARACTERISTICS

Gender:	%
Male	84.2
Female	15.8
Race:	%
Black	55.4
Non-Black	44.6
Average Age:	30
Marital Status:	%
Single	62.9
Divorced/Separated	17.8
Married/Widowed	15.6
Other/Unknown	3.7
% With 12 Years of Education or More:	42.9
% With Substance Abuse Indicated:	31.7

RISK LEVEL

	%
Low	25.9
Medium	34.4
High	39.7

CRIMINAL HISTORY

% With Prior Arrest	90.5
Mean Number of Prior Arrests	3.9

CURRENT OFFENSE

	%
Violent Felony	15.0
Property Felony	26.9
Drug Felony	28.1
Other Felony	4.8
Violent Misdemeanor	11.2
Property Misdemeanor	8.2
Drug Misdemeanor	3.4
Other Misdemeanor	2.4

Mean months served in prison (prisoners only) N/A

EMPLOYMENT: THREE-YEAR FOLLOW-UP

% Employed	72.3
Average Number of Quarters Worked	6.4
Average Wages Per Quarter	\$2,227

**CRIMINAL JUSTICE OUTCOMES:
THREE-YEAR FOLLOW-UP**

Recidivist Arrest Rates:

One-Year Follow-Up Period	22.7
Two-Year Follow-Up Period	33.8
Three-Year Follow-Up Period	41.4
Mean Number of Recidivist Arrests	2.1
Average Months to First Recidivist Arrest	12.8

Recidivist Conviction Rates:

One-Year Follow-Up Period	10.5
Two-Year Follow-Up Period	20.8
Three-Year Follow-Up Period	28.4
Mean Number of Recidivist Convictions	1.4
Average Months to First Recidivist Conviction	16.9

Technical Revocation Rates:

One-Year Follow-Up Period	22.2
Two-Year Follow-Up Period	33.8
Three-Year Follow-Up Period	39.5
Mean Number of Recidivist Tech. Revoc.	1.1
Average Months to First Recidivist Tech. Revoc.	12.9

Recidivist Incarcerations:

One-Year Follow-Up Period	25.9
Two-Year Follow-Up Period	38.7
Three-Year Follow-Up Period	45.5
Mean Number of Recidivist Incarcerations	1.2
Average Months to First Recidivist Incarceration ..	12.3

CORRECTIONAL SUPERVISION

Probation Entries

Intensive Supervision Probation	6,407
Special Probation	4,305
Community Service	4,786
House Arrest with Electronic Monitoring	960

INTENSIVE SUPERVISION PROBATION

Intensive supervision probation is considered an intermediate punishment and is the most frequently used of the intermediate punishments. Under Structured Sentencing, an intermediate punishment requires the offender to be placed on supervised probation with at least one of the following conditions: special probation, assignment to a residential community corrections program, house arrest with electronic monitoring, or assignment to a day reporting center. Since intensive probation is the most restrictive level of supervision, its purpose is to target high risk offenders. If the offender's class of offense and prior record level authorize an intermediate punishment as a sentence disposition, the judge has the discretion to place an offender on intensive supervision. Offenders may also be placed on the sanction from a less restrictive supervision level (*i.e.*, community punishment) as a result of the probation violation process. Offenders remain on intensive probation for an average of six to eight months before completing their probationary term on a less restrictive level of intermediate supervision.

Intensive supervision probation is administered by the Division of Community Corrections within the Department of Correction. Intensive probation is available in all judicial districts within the State of North Carolina for offenders on probation, post-release supervision, and parole. An intensive team is comprised of an intensive probation officer and a surveillance officer, with each team member having a specific set of minimum standards to fulfill for each case. The Division of Community Corrections' Field Operations Policies and Procedures advocate that probation/parole officers approach the supervision of each case by balancing the elements of treatment and control. Officers may serve as brokers of community treatment and educational resources as they supervise the conduct of offenders to ensure compliance with conditions of probation or parole.

A case management plan incorporates two classes of officers: intermediate punishment officers, who supervise intermediate punishment level cases and community punishment level probation violators, and community punishment officers, who fulfill the more traditional basic probation/parole officer role. The intermediate punishment officers specializing in intensive supervision cases (PPO III) carry 25 intensive cases.

SPECIAL PROBATION

Special probation (also known as a split sentence) is an intermediate punishment. Under Structured Sentencing, an intermediate punishment requires the offender to be placed on supervised probation with at least one of the following conditions: special probation, intensive supervision, assignment to a residential community corrections program, house arrest with electronic monitoring, or assignment to a day reporting center. In cases utilizing the condition of special probation, an offender is required to submit to a period or periods of incarceration in prison or jail during the probationary term. The period of incarceration cannot exceed one-fourth of the minimum sentence or six months, whichever is less. The term of probation may include special conditions, such as a recommendation for work release or serving the active term in an inpatient facility.

As a highly restrictive form of probation, special probation is used primarily for offenders in need of a high level of control and supervision while remaining in the community. Offenders may be placed on special probation from a less restrictive supervision level as a result of the probation violation process. Offenders that are given this sanction are supervised by probation officers of the Division of Community Corrections within the Department of Correction. DCC's Field Operations Policies and Procedures advocate that probation/parole officers approach the supervision of each case by balancing the elements of treatment and control. Officers may serve as brokers of community treatment and educational resources as they supervise the conduct of offenders to ensure compliance with conditions of probation or parole. For each level of supervision, the Department of Correction requires that officers adhere to minimum contact standards.

A case management plan incorporates two classes of officers: intermediate punishment officers, who supervise intermediate punishment level cases and community punishment level probation violators, and community punishment officers, who fulfill the more traditional basic probation/parole officer role. The intermediate punishment officers (PPO III and PPO II) are required to conduct the vast majority of offender contacts in the field, away from the relative safety of the office. This intermediate punishment officer (PPO II) has a caseload goal of 60. The intermediate punishment officers specializing in intensive supervision cases (PPO III) carry 25 intensive cases.

COMMUNITY SERVICE WORK PROGRAM - PROBATION

In existence in North Carolina since 1981, the community service work program offers offenders an opportunity to repay the community for damages resulting from their criminal acts. Community service work requires the offender to work for free for public and nonprofit agencies. It also requires each offender to pay a fee of \$200 to participate in the program. This fee goes to the General Assembly.

Community service work is a community punishment. It can be imposed as the sole condition of probation if the offender's offense class and prior record or conviction level authorize a community punishment as a sentence disposition, or it can be used in conjunction with other sanctions.

Community service staff interview offenders, assign them to work at various agencies, and monitor their progress in the program. After the initial interview, staff are required to have monthly contact with the offender, the agency, or, in the case of supervised probation, the supervising officer. This contact is usually achieved by the offender reporting in person or by telephone to the community service staff or by the staff contacting the agency to check on the offender. If the offender is placed on basic supervised probation or intensive probation, community service staff must report compliance or noncompliance to the probation/parole officer who will take appropriate actions.

Community service work is a statewide program which has been administered by the Division of Community Corrections within the Department of Correction since January 1, 2002. Prior to this date, the program was administered by the Division of Victim and Justice Services in the Department of Crime Control and Public Safety.

**Community Service - Probation Entries
FY 2001/02**

Number of Offenders (N): 15,605

<u>PERSONAL CHARACTERISTICS</u>		<u>EMPLOYMENT: THREE-YEAR FOLLOW-UP</u>	
Gender:	%	% Employed	78.8
Male	73.3	Average Number of Quarters Worked	6.9
Female	26.7	Average Wages Per Quarter	\$2,229
Race:	%	<u>CRIMINAL JUSTICE OUTCOMES:</u>	
Black	48.8	<u>THREE-YEAR FOLLOW-UP</u>	
Non-Black	51.2	Recidivist Arrest Rates:	
Average Age:	27	One-Year Follow-Up Period	21.0
Marital Status:	%	Two-Year Follow-Up Period	30.0
Single	67.2	Three-Year Follow-Up Period	36.1
Divorced/Separated	14.4	Mean Number of Recidivist Arrests	2.0
Married/Widowed	14.2	Average Months to First Recidivist Arrest	12.2
Other/Unknown	4.2	Recidivist Conviction Rates:	
% With 12 Years of Education or More:	46.1	One-Year Follow-Up Period	9.7
% With Substance Abuse Indicated:	24.9	Two-Year Follow-Up Period	18.8
		Three-Year Follow-Up Period	25.1
		Mean Number of Recidivist Convictions	1.4
		Average Months to First Recidivist Conviction	16.5
<u>RISK LEVEL</u>		Technical Revocation Rates:	
	%	One-Year Follow-Up Period	14.5
Low	37.4	Two-Year Follow-Up Period	24.1
Medium	37.0	Three-Year Follow-Up Period	29.4
High	25.6	Mean Number of Recidivist Tech. Revoc.	1.1
		Average Months to First Recidivist Tech. Revoc. ...	14.3
<u>CRIMINAL HISTORY</u>		Recidivist Incarcerations:	
% With Prior Arrest	74.6	One-Year Follow-Up Period	12.7
Mean Number of Prior Arrests	2.9	Two-Year Follow-Up Period	22.3
		Three-Year Follow-Up Period	28.0
		Mean Number of Recidivist Incarcerations	1.2
		Average Months to First Recidivist Incarceration ...	14.8
<u>CURRENT OFFENSE</u>		<u>CORRECTIONAL SUPERVISION</u>	
	%	<i>Probation Entries</i>	
Violent Felony	5.3	SSA Probation - Community Punishment	10,819
Property Felony	16.3	SSA Probation - Intermediate Punishment	4,786
Drug Felony	17.3	Intensive Supervision Probation	5,278
Other Felony	2.0	Special Probation	2,555
Violent Misdemeanor	12.0	House Arrest with Electronic Monitoring	788
Property Misdemeanor	29.6		
Drug Misdemeanor	10.7		
Other Misdemeanor	6.8		
Mean months served in prison (prisoners only)	N/A		

HOUSE ARREST WITH ELECTRONIC MONITORING

House arrest with electronic monitoring is a special condition of supervised probation, parole, or post-release supervision. The purposes of house arrest with electronic monitoring are to restrict the offender's freedom and movement in the community, increase supervision of convicted offenders, ease prison overcrowding, and save taxpayers money. House arrest with electronic monitoring is available statewide through the Division of Community Corrections within the Department of Correction.

House arrest with electronic monitoring as a condition of supervised probation is an intermediate punishment. If the offender's class of offense and prior record or conviction level authorize an intermediate punishment as a sentence disposition, the judge has the discretion to place an offender on house arrest with electronic monitoring. Judges may also use this sanction in response to an offender's violation of the conditions of probation.

The Post-Release Supervision and Parole Commission may impose house arrest with electronic monitoring for offenders on parole or post-release supervision. They may also modify the conditions for offenders on parole or post-release supervision to reflect the addition of house arrest with electronic monitoring in response to violations.

All house arrest with electronic monitoring cases are supervised by probation and parole officers who respond to violations during regular work hours. Designated electronic house arrest response officers respond to violations after regular work hours.

House arrest with electronic monitoring uses computer technology to monitor and restrict the offender's movement. Other than approved leave to go to work or to receive rehabilitative services, the offender is restricted to his/her home. Through the use of a transmitter strapped to an offender's ankle and linked by telephone lines to a central computer, a continuous signal is emitted. If this signal is interrupted by the offender going beyond the authorized radius of the receiver, the host computer records the date and time of the signal's disappearance. The computer will also record the date and time the signal resumes. If a signal interruption occurs during a period when the probationer or parolee should be at home, the violation is checked by the probation/parole officer or by a designated electronic house arrest response officer.

**House Arrest With Electronic Monitoring
FY 2001/02**

Number of Offenders (N): 1,660

<u>PERSONAL CHARACTERISTICS</u>	<u>EMPLOYMENT: THREE-YEAR FOLLOW-UP</u>
Gender: %	% Employed 77.6
Male 78.0	Average Number of Quarters Worked 6.8
Female 22.0	Average Wages Per Quarter \$2,138
Race: %	
Black 54.6	
Non-Black 45.4	
Average Age: 28	
Marital Status: %	
Single 64.7	
Divorced/Separated 15.5	
Married/Widowed 16.9	
Other/Unknown 2.8	
% With 12 Years of Education or More: 41.5	
% With Substance Abuse Indicated: 27.8	
	<u>CRIMINAL JUSTICE OUTCOMES: THREE-YEAR FOLLOW-UP</u>
	Recidivist Arrest Rates:
	One-Year Follow-Up Period 24.9
	Two-Year Follow-Up Period 36.8
	Three-Year Follow-Up Period 44.7
	Mean Number of Recidivist Arrests 1.9
	Average Months to First Recidivist Arrest 12.6
	Recidivist Conviction Rates:
	One-Year Follow-Up Period 10.2
	Two-Year Follow-Up Period 23.5
	Three-Year Follow-Up Period 31.2
	Mean Number of Recidivist Convictions 1.4
	Average Months to First Recidivist Conviction 17.1
	Technical Revocation Rates:
	One-Year Follow-Up Period 11.7
	Two-Year Follow-Up Period 23.6
	Three-Year Follow-Up Period 31.8
	Mean Number of Recidivist Tech. Revoc. 1.1
	Average Months to First Recidivist Tech. Revoc. ... 16.8
	Recidivist Incarcerations:
	One-Year Follow-Up Period 14.9
	Two-Year Follow-Up Period 28.0
	Three-Year Follow-Up Period 37.3
	Mean Number of Recidivist Incarcerations 1.2
	Average Months to First Recidivist Incarceration ... 15.8
	<u>CORRECTIONAL SUPERVISION</u>
	Probation Entries
	SSA Probation - Community Punishment 700
	SSA Probation - Intermediate Punishment 960
	Intensive Supervision Probation 672
	Special Probation 440
	Community Service 788
<u>RISK LEVEL</u>	
Low 29.8	
Medium 36.3	
High 33.9	
<u>CRIMINAL HISTORY</u>	
% With Prior Arrest 83.7	
Mean Number of Prior Arrests 3.2	
<u>CURRENT OFFENSE</u>	
Violent Felony 11.1	
Property Felony 18.2	
Drug Felony 21.4	
Other Felony 2.9	
Violent Misdemeanor 12.1	
Property Misdemeanor 21.9	
Drug Misdemeanor 7.2	
Other Misdemeanor 5.2	
Mean months served in prison (prisoners only) N/A	

PRISON RELEASES (STRUCTURED SENTENCING ACT)

Under the Structured Sentencing Act (SSA), which became effective for those offenses committed on or after October 1, 1994, offenders are released after serving their maximum sentence minus earned time and/or credit for pre-trial (or pre-conviction) confinement.

Since parole was eliminated when Structured Sentencing was enacted, offenders are not subject to any community supervision unless they have been incarcerated for a felony in the range from Class B1 (excluding those offenders sentenced to life without parole) through Class E. Offenders who fall into this range are placed on post-release supervision by the Post-Release Supervision and Parole Commission upon the completion of their prison sentence. Offenders who are placed on post-release supervision are generally supervised for a period of nine months by a probation officer of the Division of Community Corrections within the Department of Correction. Revocation of this term of supervision is authorized only by the Post-Release Supervision and Parole Commission.

**SSA Prison Releases
FY 2001/02**

Number of Offenders (N): 15,629

PERSONAL CHARACTERISTICS

Gender: %
 Male 88.3
 Female 11.7

Race: %
 Black 63.3
 Non-Black 36.7

Average Age: 31

Marital Status: %
 Single 64.2
 Divorced/Separated 21.9
 Married/Widowed 13.8
 Other/Unknown 0.1

% With 12 Years of Education or More: 42.5

% With Substance Abuse Indicated: 53.6

RISK LEVEL

%
 Low 15.2
 Medium 29.4
 High 55.4

CRIMINAL HISTORY

% With Prior Arrest 96.2
 Mean Number of Prior Arrests 5.2

CURRENT OFFENSE

%
 Violent Felony 16.2
 Property Felony 29.0
 Drug Felony 26.0
 Other Felony 5.4
 Violent Misdemeanor 9.0
 Property Misdemeanor 9.9
 Drug Misdemeanor 3.2
 Other Misdemeanor 1.3

Mean months served in prison (prisoners only) 11.7

EMPLOYMENT: THREE-YEAR FOLLOW-UP

% Employed 69.4
 Average Number of Quarters Worked 6.0
 Average Wages Per Quarter \$1,967

**CRIMINAL JUSTICE OUTCOMES:
THREE-YEAR FOLLOW-UP**

Recidivist Arrest Rates:

One-Year Follow-Up Period 28.6
 Two-Year Follow-Up Period 42.2
 Three-Year Follow-Up Period 50.6
 Mean Number of Recidivist Arrests 2.3
 Average Months to First Recidivist Arrest 12.6

Recidivist Conviction Rates:

One-Year Follow-Up Period 12.9
 Two-Year Follow-Up Period 27.2
 Three-Year Follow-Up Period 36.7
 Mean Number of Recidivist Convictions 1.5
 Average Months to First Recidivist Conviction 17.1

Technical Revocation Rates:

One-Year Follow-Up Period 6.6
 Two-Year Follow-Up Period 13.6
 Three-Year Follow-Up Period 19.6
 Mean Number of Recidivist Tech. Revoc. 1.1
 Average Months to First Recidivist Tech. Revoc. ... 18.0

Recidivist Incarcerations:

One-Year Follow-Up Period 13.6
 Two-Year Follow-Up Period 26.7
 Three-Year Follow-Up Period 36.4
 Mean Number of Recidivist Incarcerations 1.2
 Average Months to First Recidivist Incarceration ... 16.8

CORRECTIONAL SUPERVISION

Prison Releases

Post-Release Supervision (SSA only) 1,326

POST-RELEASE SUPERVISION PRISON RELEASES (SSA)

Under the Structured Sentencing Act, an offender sentenced for a Class B1 through E felony is released from prison after serving their maximum prison sentence, less nine months, less any earned time awarded by the Department of Correction or the custodian of a local confinement center. The offender is then supervised in the community for a period of nine months. (If an offender is convicted of a Class B1 through E sex offense, the period of post-release supervision is five years.) Conditions of post-release supervision are set by the Post-Release Supervision and Parole Commission and may be reintegrative or controlling. For any violation of a controlling condition or for repeated violation of a reintegrative condition, the Commission may continue the supervisee on existing supervision, modify the conditions of supervision, or revoke post-release supervision. If revoked, the offender will be reimprisoned for up to the time remaining on the maximum prison sentence. The offender will not receive any credit for the time spent on post-release supervision. An offender who has been reimprisoned prior to completing post-release supervision may again be released on post-release supervision subject to the provisions that govern initial release. The offender may not refuse post-release supervision.

**Post-Release Supervision Prison Releases (SSA)
FY 2001/02**

Number of Offenders (N): 1,326

<u>PERSONAL CHARACTERISTICS</u>	<u>EMPLOYMENT: THREE-YEAR FOLLOW-UP</u>
Gender: %	% Employed 76.8
Male 93.7	Average Number of Quarters Worked 6.9
Female 6.3	Average Wages Per Quarter \$2,419
Race: %	<u>CRIMINAL JUSTICE OUTCOMES:</u>
Black 71.5	<u>THREE-YEAR FOLLOW-UP</u>
Non-Black 28.5	Recidivist Arrest Rates:
Average Age: 30	One-Year Follow-Up Period 19.5
Marital Status: %	Two-Year Follow-Up Period 33.4
Single 70.9	Three-Year Follow-Up Period 41.3
Divorced/Separated 15.2	Mean Number of Recidivist Arrests 2.1
Married/Widowed 13.7	Average Months to First Recidivist Arrest 14.0
Other/Unknown 0.2	Recidivist Conviction Rates:
% With 12 Years of Education or More: 37.2	One-Year Follow-Up Period 6.6
% With Substance Abuse Indicated: 49.0	Two-Year Follow-Up Period 18.0
	Three-Year Follow-Up Period 27.2
	Mean Number of Recidivist Convictions 1.3
	Average Months to First Recidivist Conviction 19.5
<u>RISK LEVEL</u>	Technical Revocation Rates:
Low 18.2	One-Year Follow-Up Period 11.9
Medium 33.3	Two-Year Follow-Up Period 16.4
High 48.5	Three-Year Follow-Up Period 19.8
	Mean Number of Recidivist Tech. Revoc. 1.1
	Average Months to First Recidivist Tech. Revoc. ... 13.3
<u>CRIMINAL HISTORY</u>	Recidivist Incarcerations:
% With Prior Arrest 97.1	One-Year Follow-Up Period 14.6
Mean Number of Prior Arrests 3.7	Two-Year Follow-Up Period 22.5
	Three-Year Follow-Up Period 29.2
	Mean Number of Recidivist Incarcerations 1.2
	Average Months to First Recidivist Incarceration ... 15.0
<u>CURRENT OFFENSE</u>	<u>CORRECTIONAL SUPERVISION</u>
Violent Felony 88.9	Not Applicable
Property Felony 3.9	
Drug Felony 1.1	
Other Felony 6.1	
Violent Misdemeanor 0.0	
Property Misdemeanor 0.0	
Drug Misdemeanor 0.0	
Other Misdemeanor 0.0	
Mean months served in prison (prisoners only) 40.2	

PRISON RELEASES (FAIR SENTENCING ACT)⁵⁴

Under the Fair Sentencing Act (FSA), there are several ways that offenders can be released into the community. If offenders are unconditionally released from prison after serving their entire sentence (minus credit for good time, gain time, or pre-conviction confinement), they are considered to be “max-outs.” These offenders are not subject to any community supervision or other conditions of parole.

Parole,⁵⁵ which is another type of prison release for FSA offenders, is a conditional, early release from a prison sentence to community supervision. The purposes of parole are to protect the public and assist the offender in reintegrating into the community. The Post-Release Supervision and Parole Commission determines parole release and sets the conditions of parole supervision. These conditions are often similar in nature to probation conditions and may be imposed to further restrict freedom and limit movement in the community, or establish a complete individual treatment plan which addresses the special needs and risk level of the offender (*e.g.*, intensive supervision, community service). Probation/parole officers of the Division of Community Corrections within the Department of Correction supervise offenders while they are on parole. It is ultimately the Post-Release Supervision and Parole Commission that has the authority to revoke or terminate an offender from parole.

Intensive supervision parole is an additional kind of prison release for FSA offenders. It operates in the same manner as regular parole, except that the Post-Release Supervision and Parole Commission authorizes, as a condition of parole, that an offender be placed on intensive supervision in order to provide more restrictive parameters within the community. If offenders are placed on intensive supervision, they are assigned to an intensive team which is comprised of an intensive probation officer and a surveillance officer, both of whom are staff of the Division of Community Corrections.

Community service parole is available for felons sentenced under FSA for an active sentence of more than six months (except those convicted of a sex offense, kidnapping, abduction of children and drug trafficking). If the Post-Release Supervision and Parole Commission finds an offender eligible for community service parole, it sets community service as a condition of parole and specifies the amount and duration of the community service. Community service work is a statewide program that is administered by the Division of Community Corrections. Community service staff interview offenders, assign them to work at various agencies, and monitor their progress in the program. Community service staff must report compliance or noncompliance to the probation/parole officer who will take appropriate actions.

⁵⁴ The Fair Sentencing Act pertains to offenders who committed their offense prior to October 1, 1994.

⁵⁵ With the onset of Structured Sentencing on October 1, 1994, parole was eliminated for all offenses except for impaired driving offenses, which are not sentenced according to the Structured Sentencing laws.

**FSA Prison Releases
FY 2001/02**

Number of Offenders (N): 1,489

PERSONAL CHARACTERISTICS

Gender:	%
Male	94.6
Female	5.4
Race:	%
Black	64.5
Non-Black	35.5
Average Age:	36
Marital Status:	%
Single	56.2
Divorced/Separated	22.3
Married/Widowed	21.4
Other/Unknown	0.1
% With 12 Years of Education or More:	44.3
% With Substance Abuse Indicated:	60.4

RISK LEVEL

	%
Low	26.5
Medium	41.6
High	31.9

CRIMINAL HISTORY

% With Prior Arrest	97.5
Mean Number of Prior Arrests	5.3

CURRENT OFFENSE

	%
Violent Felony	37.2
Property Felony	42.3
Drug Felony	13.3
Other Felony	3.5
Violent Misdemeanor	1.2
Property Misdemeanor	2.2
Drug Misdemeanor	0.1
Other Misdemeanor	0.2

Mean months served in prison (prisoners only) 91.7

EMPLOYMENT: THREE-YEAR FOLLOW-UP

% Employed	80.5
Average Number of Quarters Worked	6.9
Average Wages Per Quarter	\$2,404

**CRIMINAL JUSTICE OUTCOMES:
THREE-YEAR FOLLOW-UP**

Recidivist Arrest Rates:	
One-Year Follow-Up Period	21.3
Two-Year Follow-Up Period	34.9
Three-Year Follow-Up Period	41.6
Mean Number of Recidivist Arrests	2.2
Average Months to First Recidivist Arrest	13.6
Recidivist Conviction Rates:	
One-Year Follow-Up Period	7.7
Two-Year Follow-Up Period	20.2
Three-Year Follow-Up Period	27.7
Mean Number of Recidivist Convictions	1.4
Average Months to First Recidivist Conviction	18.2

Technical Revocation Rates:	
One-Year Follow-Up Period	6.7
Two-Year Follow-Up Period	11.6
Three-Year Follow-Up Period	16.1
Mean Number of Recidivist Tech. Revoc.	1.1
Average Months to First Recidivist Tech. Revoc. ...	15.9

Recidivist Incarcerations:	
One-Year Follow-Up Period	11.2
Two-Year Follow-Up Period	22.7
Three-Year Follow-Up Period	30.2
Mean Number of Recidivist Incarcerations	1.2
Average Months to First Recidivist Incarceration ...	16.4

CORRECTIONAL SUPERVISION

Not Applicable

CORRECTIONAL (ACADEMIC) EDUCATION

The academic component of the correctional education program is administered by the Educational Services section within the Department of Correction's (DOC) Division of Prisons (DOP). A collaborative arrangement exists between the DOC and the North Carolina Community College System (NCCCS) for the planning, delivery and cost of the academic education programs. The NCCCS provides teachers for the adult prisons, while the DOP provides teachers for the youth facilities. The academic education program includes the following curricula: Adult Basic Education (ABE), General Education Development (GED), Exceptional Student Program (ESP), Title I Program, and English as a Second Language (ESL). The ABE and GED curricula are the major components of the academic education program (the other three curricula are remedial programs) and provide the course work which prepares an inmate for the high school equivalency (GED) exam.

Inmates are chosen for an education assignment by the program staff and classification committee within the prison where they are housed. This decision is based on a review of the inmate's math and reading levels, age, interest in academics, length of sentence, and history of infractions. An education assignment is generally a priority for inmates in youth facilities who have not obtained their high school diploma or GED. It is federally mandated for inmates who are under the age of 21 and have been identified with a disability to be educationally served in the exceptional student program. Once final approval is given, the inmate is given an education assignment and is placed in classes appropriate to his/her academic functioning. Inmates can be enrolled in classes on a full-time basis, or a part-time basis if the inmate has another assignment within the prison.

**Correctional (Academic) Education
FY 2001/02**

Number of Offenders (N): 4,663

PERSONAL CHARACTERISTICS

Gender:	%
Male	87.1
Female	12.9
Race:	%
Black	65.1
Non-Black	34.9
Average Age:	29
Marital Status:	%
Single	71.2
Divorced/Separated	16.3
Married/Widowed	12.5
Other/Unknown	0.0
% With 12 Years of Education or More:	19.4
% With Substance Abuse Indicated:	55.1

RISK LEVEL

	%
Low	12.3
Medium	29.2
High	58.5

CRIMINAL HISTORY

% With Prior Arrest	97.3
Mean Number of Prior Arrests	4.8

CURRENT OFFENSE

	%
Violent Felony	22.7
Property Felony	34.6
Drug Felony	26.0
Other Felony	5.8
Violent Misdemeanor	4.2
Property Misdemeanor	4.4
Drug Misdemeanor	1.6
Other Misdemeanor	0.7

Mean months served in prison (prisoners only) 27.5

EMPLOYMENT: THREE-YEAR FOLLOW-UP

% Employed	71.9
Average Number of Quarters Worked	6.1
Average Wages Per Quarter	\$1,830

**CRIMINAL JUSTICE OUTCOMES:
THREE-YEAR FOLLOW-UP**

Recidivist Arrest Rates:

One-Year Follow-Up Period	30.7
Two-Year Follow-Up Period	45.2
Three-Year Follow-Up Period	53.4
Mean Number of Recidivist Arrests	2.4
Average Months to First Recidivist Arrest	12.4

Recidivist Conviction Rates:

One-Year Follow-Up Period	13.6
Two-Year Follow-Up Period	28.7
Three-Year Follow-Up Period	38.5
Mean Number of Recidivist Convictions	1.5
Average Months to First Recidivist Conviction	17.1

Technical Revocation Rates:

One-Year Follow-Up Period	7.3
Two-Year Follow-Up Period	14.7
Three-Year Follow-Up Period	20.9
Mean Number of Recidivist Tech. Revoc.	1.1
Average Months to First Recidivist Tech. Revoc. ...	17.6

Recidivist Incarcerations:

One-Year Follow-Up Period	13.7
Two-Year Follow-Up Period	26.5
Three-Year Follow-Up Period	37.1
Mean Number of Recidivist Incarcerations	1.2
Average Months to First Recidivist Incarceration ...	17.2

CORRECTIONAL SUPERVISION

Prison Releases

SSA Prison Release	3,904
Post-Release Supervision (SSA only)	252
FSA Prison Release	759

CORRECTION ENTERPRISES

Correction Enterprises is a self-supporting, prison industry program operated by the Department of Correction in various prison units across the state. Correction Enterprises provides the state's inmates with opportunities to learn job skills by producing goods and services for the DOC and other tax-supported entities. At the same time, through offering employment experience to inmates, it aids to instill a work ethic in inmates and to teach or upgrade inmates' job skills so that they have a greater chance of maintaining stable employment upon their release from prison.

A variety of products and services are provided by Correction Enterprises which include: food products, janitorial products, laundry services, linens and apparel, manpower services, metal products, office furnishings, oils and lubricants, optical manufacturing, paints, printing and duplicating services, roadway markings, safety products, signage, and vehicular identification. Selection of inmates for a Correction Enterprises work assignment is generally made by the program staff at the prison unit where the industry is located. Inmates are paid a small hourly wage which is deposited into their trust fund account from which restitution can be paid, costs deducted for medical expenses, fines deducted for disciplinary action, money sent to their families, and money placed in the inmates' canteen accounts.

**Correction Enterprises
FY 2001/02**

Number of Offenders (N): 2,639

PERSONAL CHARACTERISTICS

Gender:	%
Male	96.8
Female	3.2
Race:	%
Black	66.8
Non-Black	33.2
Average Age:	33
Marital Status:	%
Single	62.0
Divorced/Separated	20.0
Married/Widowed	17.9
Other/Unknown	0.1
% With 12 Years of Education or More:	43.8
% With Substance Abuse Indicated:	55.7

RISK LEVEL

	%
Low	16.4
Medium	32.9
High	50.7

CRIMINAL HISTORY

% With Prior Arrest	97.6
Mean Number of Prior Arrests	5.8

CURRENT OFFENSE

	%
Violent Felony	27.8
Property Felony	34.1
Drug Felony	21.5
Other Felony	6.0
Violent Misdemeanor	5.1
Property Misdemeanor	3.9
Drug Misdemeanor	1.0
Other Misdemeanor	0.6

Mean months served in prison (prisoners only) 48.3

EMPLOYMENT: THREE-YEAR FOLLOW-UP

% Employed	75.6
Average Number of Quarters Worked	6.3
Average Wages Per Quarter	\$2,294

**CRIMINAL JUSTICE OUTCOMES:
THREE-YEAR FOLLOW-UP**

Recidivist Arrest Rates:	
One-Year Follow-Up Period	27.6
Two-Year Follow-Up Period	42.3
Three-Year Follow-Up Period	50.0
Mean Number of Recidivist Arrests	2.2
Average Months to First Recidivist Arrest	12.8
Recidivist Conviction Rates:	
One-Year Follow-Up Period	12.0
Two-Year Follow-Up Period	26.3
Three-Year Follow-Up Period	35.9
Mean Number of Recidivist Convictions	1.5
Average Months to First Recidivist Conviction	17.5

Technical Revocation Rates:	
One-Year Follow-Up Period	6.9
Two-Year Follow-Up Period	12.9
Three-Year Follow-Up Period	18.8
Mean Number of Recidivist Tech. Revoc.	1.1
Average Months to First Recidivist Tech. Revoc. ...	17.4

Recidivist Incarcerations:	
One-Year Follow-Up Period	13.4
Two-Year Follow-Up Period	26.3
Three-Year Follow-Up Period	35.1
Mean Number of Recidivist Incarcerations	1.3
Average Months to First Recidivist Incarceration ...	16.4

CORRECTIONAL SUPERVISION

Prison Releases	
SSA Prison Release	1,689
Post-Release Supervision (SSA only)	154
FSA Prison Release	950

DRUG ALCOHOL RECOVERY TREATMENT (DART) - PRISON

The Drug Alcohol Recovery Treatment (DART) program is a five week term of intensive treatment for female and male inmates with alcohol and/or drug addiction problems. The DART program was implemented in 1988 and is operated in selected prison units by the Division of Alcohol and Chemical Dependency of the Department of Correction. DART is based on a modified version of the Minnesota model of treatment which provides inmates with drug and/or alcohol problems an initial opportunity to engage in treatment and early recovery. Programs are generally offered in a medium security prison or area of the prison, so residential and program space is separate from the prisons' other programs or inmate housing.

In each of the prisons that has a DART program, the Division of Alcoholism and Chemical Dependency Program Director is responsible for administering the in-patient treatment program while the warden or superintendent is responsible for all matters pertaining to custody, security and administration of the prison. Inmates generally enter the program by having scored at a certain level on either of the two alcohol and chemical dependency tests which are given to each inmate entering the prison system through a Diagnostic and Reception center. Inmates may also be referred to DART by the sentencing judge, other prison staff, or self-referral.

After inmates have completed DART and have returned to the regular prison population, they are involved in follow-up. A specific plan is developed for each inmate's follow-up, including active involvement with Alcoholics Anonymous, Narcotics Anonymous, community resources and personal sponsorship.

**DART - Prison
FY 2001/02**

Number of Offenders (N): 4,512

PERSONAL CHARACTERISTICS

Gender:	%
Male	91.1
Female	8.9
Race:	%
Black	59.3
Non-Black	40.7
Average Age:	32
Marital Status:	%
Single	61.8
Divorced/Separated	23.5
Married/Widowed	14.7
Other/Unknown	0.0
% With 12 Years of Education or More:	43.0
% With Substance Abuse Indicated:	78.0

RISK LEVEL

	%
Low	11.4
Medium	26.6
High	62.0

CRIMINAL HISTORY

% With Prior Arrest	98.7
Mean Number of Prior Arrests	6.0

CURRENT OFFENSE

	%
Violent Felony	20.9
Property Felony	38.8
Drug Felony	29.6
Other Felony	7.6
Violent Misdemeanor	1.2
Property Misdemeanor	1.5
Drug Misdemeanor	0.2
Other Misdemeanor	0.2

Mean months served in prison (prisoners only) 24.9

EMPLOYMENT: THREE-YEAR FOLLOW-UP

% Employed	71.4
Average Number of Quarters Worked	6.0
Average Wages Per Quarter	\$2,032

**CRIMINAL JUSTICE OUTCOMES:
THREE-YEAR FOLLOW-UP**

Recidivist Arrest Rates:	
One-Year Follow-Up Period	32.0
Two-Year Follow-Up Period	46.3
Three-Year Follow-Up Period	54.7
Mean Number of Recidivist Arrests	2.3
Average Months to First Recidivist Arrest	12.4
Recidivist Conviction Rates:	
One-Year Follow-Up Period	14.2
Two-Year Follow-Up Period	30.9
Three-Year Follow-Up Period	40.5
Mean Number of Recidivist Convictions	1.5
Average Months to First Recidivist Conviction	16.9

Technical Revocation Rates:	
One-Year Follow-Up Period	7.2
Two-Year Follow-Up Period	13.8
Three-Year Follow-Up Period	19.5
Mean Number of Recidivist Tech. Revoc.	1.1
Average Months to First Recidivist Tech. Revoc. ...	17.5

Recidivist Incarcerations:	
One-Year Follow-Up Period	15.2
Two-Year Follow-Up Period	30.1
Three-Year Follow-Up Period	40.4
Mean Number of Recidivist Incarcerations	1.2
Average Months to First Recidivist Incarceration ...	16.6

CORRECTIONAL SUPERVISION

Prison Releases	
SSA Prison Release	3,911
Post-Release Supervision (SSA only)	228
FSA Prison Release	601

SEX OFFENDER ACCOUNTABILITY AND RESPONSIBILITY (SOAR)

The Sex Offender Accountability and Responsibility (SOAR) program, which began in 1991, serves incarcerated male felons who are in need of treatment for sexual crimes. Inmates who are selected to participate in the program must meet certain criteria. These criteria include inmates who: have a felony conviction, are age 21 or older, are in medium or minimum custody, volunteer for the program, admit to committing a sexual offense, do not have a severe mental illness, have at least a 6th grade reading level, and are willing and able to participate in highly confrontational groups as part of the treatment. Inmates who are eligible are identified in their units by the Director of Psychological Services and referred directly to SOAR staff, who then make the final selection of participants.

The program spans two separate 20 week cycles that serve approximately 40 inmates per cycle, or 80 inmates per year. When participants have completed the SOAR program without any significant violations, they are returned to the regular inmate population.

In an effort to create a continuum of care, a Pre-SOAR program exists in a limited number of prisons. Pre-SOAR is not a treatment modality, but an introductory orientation to the program that presents SOAR concepts and vocabulary to inmates. The program requires one to two hours of work per week for a total of 10-16 weeks. Pre-SOAR is directed toward those inmates who qualify for SOAR treatment but who are not chosen due to limited space, or who have special needs (*e.g.*, attention deficit disorder, hearing impaired).

The SOAR program has been funded by the Department of Correction and housed at Harnett Correctional Institution since its inception.

SOAR
FY 2001/02

Number of Offenders (N): 51

PERSONAL CHARACTERISTICS

Gender:	%
Male	100.0
Female	0.0
Race:	%
Black	19.6
Non-Black	80.4
Average Age:	39
Marital Status:	%
Single	23.5
Divorced/Separated	31.4
Married/Widowed	45.1
Other/Unknown	0.0
% With 12 Years of Education or More:	56.9
% With Substance Abuse Indicated:	45.1

RISK LEVEL

	%
Low	74.5
Medium	19.6
High	5.9

CRIMINAL HISTORY

% With Prior Arrest	94.1
Mean Number of Prior Arrests	2.5

CURRENT OFFENSE

	%
Violent Felony	96.1
Property Felony	3.9
Drug Felony	0.0
Other Felony	0.0
Violent Misdemeanor	0.0
Property Misdemeanor	0.0
Drug Misdemeanor	0.0
Other Misdemeanor	0.0

Mean months served in prison (prisoners only) 71.8

EMPLOYMENT: THREE-YEAR FOLLOW-UP

% Employed	78.4
Average Number of Quarters Worked	8.4
Average Wages Per Quarter	\$3,105

CRIMINAL JUSTICE OUTCOMES:
THREE-YEAR FOLLOW-UP

Recidivist Arrest Rates:	
One-Year Follow-Up Period	15.7
Two-Year Follow-Up Period	15.7
Three-Year Follow-Up Period	17.7
Mean Number of Recidivist Arrests	1.8
Average Months to First Recidivist Arrest	8.2
Recidivist Conviction Rates:	
One-Year Follow-Up Period	3.9
Two-Year Follow-Up Period	5.9
Three-Year Follow-Up Period	7.8
Mean Number of Recidivist Convictions	1.8
Average Months to First Recidivist Conviction	17.5

Technical Revocation Rates:	
One-Year Follow-Up Period	3.9
Two-Year Follow-Up Period	7.8
Three-Year Follow-Up Period	7.8
Mean Number of Recidivist Tech. Revoc.	1.0
Average Months to First Recidivist Tech. Revoc.	9.9

Recidivist Incarcerations:	
One-Year Follow-Up Period	3.9
Two-Year Follow-Up Period	7.8
Three-Year Follow-Up Period	9.8
Mean Number of Recidivist Incarcerations	1.0
Average Months to First Recidivist Incarceration ..	15.8

CORRECTIONAL SUPERVISION

Prison Releases	
SSA Prison Release	24
Post-Release Supervision (SSA only)	4
FSA Prison Release	27

WORK RELEASE

The Work Release Program provides selected inmates the opportunity for employment in the community during imprisonment, consequently addressing the transitional needs of soon-to-be released inmates. The opportunity for Work Release participation is based on factors such as the sentence received, the sentencing laws under which the offender was sentenced, and the inmate's record of behavior. Work Release is only available to minimum custody inmates who are in the final stage of imprisonment. Inmates are carefully screened for participation and can only be approved for the program by prison managers or the Post-Release Supervision and Parole Commission.

In the Work Release program, inmates are allowed to leave the prison each day to work and are required to return to the prison when their work is finished. The job plan and job site must be reviewed and approved by prison managers. Inmates must work in a supervised setting and cannot work for family members or operate their own businesses. The Work Release employer must receive an orientation from Division of Prison staff, agree to the rules of the program and have Worker's Compensation insurance. Inmates must earn at least minimum wage. Earnings from Work Release wages are used to pay restitution and fines, family support, prison housing and Work Release transportation costs. Any remaining money can be set aside for the inmates to use upon their release from prison.

**Work Release
FY 2001/02**

Number of Offenders (N): 1,261

PERSONAL CHARACTERISTICS

Gender: %
Male 88.7
Female 11.3

Race: %
Black 58.3
Non-Black 41.7

Average Age: 36

Marital Status: %
Single 49.4
Divorced/Separated 29.0
Married/Widowed 21.6
Other/Unknown 0.0

% With 12 Years of Education or More: 54.3

% With Substance Abuse Indicated: 64.4

RISK LEVEL

%
Low 22.8
Medium 34.8
High 42.4

CRIMINAL HISTORY

% With Prior Arrest 97.5
Mean Number of Prior Arrests 6.0

CURRENT OFFENSE

%
Violent Felony 21.3
Property Felony 34.5
Drug Felony 29.5
Other Felony 12.9
Violent Misdemeanor 0.9
Property Misdemeanor 0.7
Drug Misdemeanor 0.2
Other Misdemeanor 0.0

Mean months served in prison (prisoners only) 49.4

EMPLOYMENT: THREE-YEAR FOLLOW-UP

% Employed 83.3
Average Number of Quarters Worked 6.3
Average Wages Per Quarter \$3,078

**CRIMINAL JUSTICE OUTCOMES:
THREE-YEAR FOLLOW-UP**

Recidivist Arrest Rates:

One-Year Follow-Up Period 21.6
Two-Year Follow-Up Period 34.6
Three-Year Follow-Up Period 41.6
Mean Number of Recidivist Arrests 2.3
Average Months to First Recidivist Arrest 13.4

Recidivist Conviction Rates:

One-Year Follow-Up Period 8.6
Two-Year Follow-Up Period 22.8
Three-Year Follow-Up Period 29.5
Mean Number of Recidivist Convictions 1.5
Average Months to First Recidivist Conviction 17.5

Technical Revocation Rates:

One-Year Follow-Up Period 3.8
Two-Year Follow-Up Period 8.1
Three-Year Follow-Up Period 12.0
Mean Number of Recidivist Tech. Revoc. 1.1
Average Months to First Recidivist Tech. Revoc. ... 18.6

Recidivist Incarcerations:

One-Year Follow-Up Period 8.7
Two-Year Follow-Up Period 21.3
Three-Year Follow-Up Period 28.2
Mean Number of Recidivist Incarcerations 1.2
Average Months to First Recidivist Incarceration ... 17.7

CORRECTIONAL SUPERVISION

Prison Releases

SSA Prison Release 883
Post-Release Supervision (SSA only) 77
FSA Prison Release 378

APPENDIX B-2
SUMMARY INFORMATION FOR CORRECTIONAL PROGRAMS

Name	N	Risk Level			Criminal Justice Outcomes: Three-Year Follow-Up			
		Low	Med	High	Rearrest	Reconv.	Tech. Revoc.	Reincarc.
Community Punishment Probation	29,391	46.2%	34.6%	19.2%	30.1%	20.2%	25.5%	17.1%
Intermediate Punishment Probation	11,464	25.9%	34.4%	39.7%	41.4%	28.4%	39.5%	45.5%
Intensive Supervision Probation	8,925	24.7%	35.8%	39.5%	48.3%	35.3%	41.2%	48.0%
Special Probation	6,314	30.6%	35.3%	34.1%	43.0%	30.5%	35.0%	40.7%
Community Service - Probation Entries	15,605	37.4%	37.0%	25.6%	36.1%	25.1%	29.4%	28.0%
House Arrest with Electronic Monitoring	1,660	29.8%	36.3%	33.9%	44.7%	31.2%	31.8%	37.3%
SSA Prison Releases	15,629	15.2%	29.4%	55.4%	50.6%	36.7%	19.6%	36.4%
SSA Prison Releases: Post Release	1,326	18.2%	33.3%	48.5%	41.3%	27.2%	19.8%	29.2%
FSA Prison Releases	1,489	26.5%	41.6%	31.9%	41.6%	27.7%	16.1%	30.2%
Correctional (Academic) Education	4,663	12.3%	29.2%	58.5%	53.4%	38.5%	20.9%	37.1%
Correction Enterprises	2,639	16.4%	32.9%	50.7%	50.0%	35.9%	18.8%	35.1%
DART-Prison	4,512	11.4%	26.6%	62.0%	54.7%	40.5%	19.5%	40.4%
SOAR	51	74.5%	19.6%	5.9%	17.7%	7.8%	7.8%	9.8%
Work Release	1,261	22.8%	34.8%	42.4%	41.6%	29.5%	12.0%	28.2%
ENTIRE SAMPLE	57,973	33.3%	33.3%	33.4%	38.2%	26.5%	26.4%	28.3%

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

APPENDIX C

C-1: GLOSSARY OF MAJOR VARIABLES

C-2: MEASURING OFFENDER RISK

C-3: LOGISTIC REGRESSION TABLES

APPENDIX C-1 GLOSSARY OF MAJOR VARIABLES

Age: Age at release from prison or entry to probation.

Current Conviction (Most Serious): Each offender's conviction(s) that placed him/her in the sample as a prison release or a probation entry during FY 2001/02 were ranked in terms of seriousness based on offense class and sentence length. The most serious current conviction, based on these criteria, was used for analysis purposes.

Drug Offenses: This category included trafficking of controlled substances and other offenses involving the sale, delivery, possession, or manufacture of controlled substances.

Education: Self-reported educational status (highest grade level claimed). Education was categorized as a dichotomous variable, with the two categories being less than 12 years of education and 12 years of education or more.

ESC Employment: Based on wages reported to the North Carolina Employment Security Commission (ESC), employment was defined as a dichotomous variable indicating whether an offender was employed or not employed during the three years following release into the community (*i.e.*, upon release from prison or placement on probation). Any wages reported to the ESC during the follow-up period were used as an indicator of being employed.

Follow-Up Period: Each offender was tracked for a period of three years to determine whether recidivist arrests, convictions, technical revocations, or incarcerations occurred. The three-year follow-up period was calculated on an individual basis using the prison release date plus three years for prisoners and using the probation entry date plus three years for probationers. Recidivism rates are reported for one-year, two-year, and three-year follow-up periods. Each follow-up period reported is inclusive of the previous follow-up periods, *e.g.*, the two-year follow-up period contains information on events that occurred during the first and second years of follow-up. As a result, the recidivism rates reported for each follow-up period cannot be added across follow-up periods.

FSA Prison Releases: An offender who was sentenced under the Fair Sentencing Act and was either given an early, conditional release back into the community with supervision, or was unconditionally released from prison (*i.e.*, with no supervision in the community) after serving his/her entire sentence, minus credit for good time, gain time, or pre-conviction confinement.

Marital Status: Marital status was defined in two ways. In the body of the report, marital status was categorized as married or not married. In Appendix B, marital status was categorized as follows: single, divorced/separated, married/widowed, and other/unknown (to be consistent with previous reports).

Offense Type: Offenses were broadly classified into the following categories: violent, property, drug, and other. A definition for each type of offense is also provided in this glossary.

“Other” Offenses: This category consisted of offenses that were not categorized as violent, property, or drug offenses. Examples include prostitution, obscenity, contributing to the delinquency of a minor, and abandonment or non-support of a child.

Post-Release Supervision: An offender who was sentenced under the Structured Sentencing Act for a Class B1 through E felony and released from prison on the date equivalent to the maximum prison sentence, less nine months, less any earned time awarded by the Department of Correction or the custodian of a local confinement center. The offender is then supervised in the community for a period of nine months. (If an offender is convicted of a Class B1 through E sex offense, the period of post-release supervision is five years.) Conditions of post-release supervision are set by the Post-Release Supervision and Parole Commission and may be reintegrative or controlling. For any violation of a controlling condition or for repeated violation of a reintegrative condition, the Commission may continue the supervisee on existing supervision, modify the conditions of supervision, or revoke post-release supervision. If revoked, the offender will be reimprisoned for up to the time remaining on the maximum prison sentence. The offender will not receive any credit for the time spent on post-release supervision. An offender who has been reimprisoned prior to completing post-release supervision may again be released on post-release supervision subject to the provisions that govern initial release. The offender may not refuse post-release supervision.

Prior Arrests: North Carolina Department of Justice fingerprinted arrest data were used to determine prior arrests. Prior arrests were defined as fingerprinted arrests that occurred before the conviction that placed the offender in this sample. Each prior arrest was counted in the category for the offense involved: violent, property, drug, and other. If a prior arrest event (a single arrest date) involved more than one type of offense, it was counted in each offense category. For example: if an offender had two prior arrest events, one arrest event that included a violent charge and a property charge, and another arrest event that included a property charge and a drug charge, that resulted in a count of one prior violent arrest, two prior property arrests, and one prior drug arrest, as well as an overall count of two prior arrests. Arrests for impaired driving or other traffic offenses were excluded from analysis, as were arrests that were not for crimes – for example, arrests for technical violations of probation or parole.

Probation Entries with a Community Punishment (SSA): An offender who was sentenced under the Structured Sentencing Act and received a community punishment. Community punishments may consist of a fine, unsupervised probation (although unsupervised probationers were excluded from the sample), or supervised probation, alone or with one or more of the following conditions: outpatient drug/alcohol treatment, community service, assignment to TASC, payment of restitution, or any other conditions of probation that are not considered an intermediate punishment. Also referred to as probationers with a community punishment or community punishment probationers.

Probation Entries with an Intermediate Punishment (SSA): An offender who was sentenced under the Structured Sentencing Act and received an intermediate punishment. An intermediate punishment requires a period of supervised probation with at least one of the following conditions: special probation, assignment to a residential treatment program, house arrest with electronic

monitoring, intensive probation, or assignment to a day reporting center. Also referred to as probationers with an intermediate punishment or intermediate punishment probationers.

Property Offenses: This category included offenses such as burglary, breaking and/or entering, larceny, fraud, forgery and/or uttering, receiving and/or possessing stolen goods, and embezzlement.

Race: Race was categorized as black or non-black. Due to the very small number of offenders who were Hispanic, Asian/Oriental, or Other, these offenders were included with white offenders in the non-black category.

Recidivist Arrests: North Carolina Department of Justice fingerprinted arrest data were used to determine recidivist arrests. Recidivist arrests (also referred to as rearrests) were defined as fingerprinted arrests that occurred after an offender was released from prison or placed on probation for the conviction that placed him/her in the sample. Each rearrest was counted in the category for the offense involved: violent, property, drug, and other. If a rearrest event (a single arrest date) involved more than one type of offense, it was counted in each offense category. For example: if an offender had two rearrest events, one arrest event that included a violent charge and a property charge, and another arrest event that included a property charge and a drug charge, that resulted in a count of one violent rearrest, two property rearrests, and one drug rearrest, as well as an overall count of two rearrests. Arrests for impaired driving or other traffic offenses were excluded from analysis, as were arrests that were not for crimes – for example, arrests for technical violations of probation or parole.

Recidivist Convictions: North Carolina Department of Justice conviction data were used to determine recidivist convictions. Recidivist convictions (also referred to as reconversions) were defined as convictions that occurred during the follow-up period. Each reconversion was counted in the category for the offense involved: violent, property, drug, and other. If a recidivist conviction event (a single conviction date) involved more than one type of offense, it was counted in each offense category. For example: if an offender had two recidivist conviction events, one conviction event that included a violent charge and a property charge, and another conviction event that included a property charge and a drug charge, that resulted in a count of one violent reconversion, two property reconversions, and one drug reconversion, as well as an overall count of two reconversions. Convictions for impaired driving or other traffic offenses were excluded from analysis.

Recidivist Incarcerations: DOC's OPUS data were used to determine recidivist incarcerations. Recidivist incarcerations, which are often referred to as reincarcerations in the report, were defined as incarcerations that occurred during the follow-up period for offenders who have no prior incarcerations, as well as for those who have prior incarcerations. It must be noted that the data presented on recidivist incarcerations only include incarceration in North Carolina's state prison system. The data do not include periods of incarceration in county jails or incarceration in other states. Incarcerations may have occurred as a result of the sentence imposed for a new crime committed during the follow-up period or due to a technical revocation during the follow-up period.

Risk: Risk was defined as the projected probability of rearrest. The definition of risk used in this study does not measure seriousness of future offenses or offender dangerousness.

SSA Prison Releases: An offender who was sentenced under the Structured Sentencing Act, served his/her maximum sentence minus earned time and time for pre-conviction confinement, and was released back into the community without any supervision. The Structured Sentencing Act mandates a nine-month post-release supervision period for all inmates convicted of a felony in offense classes B1 through E, while SSA prisoners convicted of felonies within offense classes F through I or convicted of misdemeanors are released without supervision. Note: A small number of offenders (n=1,326 or 8%) in the SSA prison release category received post-release supervision.

Substance Abuser: Any offender who was identified as having a substance abuse problem by either a prison assessment or a probation assessment.

Technical Revocations: DOC's OPUS data were used to determine technical revocations. Technical revocations result from failure to comply with the conditions of probation, post-release supervision, or parole (as opposed to a new violation of the law), such as having positive drug tests, failing to attend treatment as ordered, or violating curfew. Revocations are limited to those that are technical in nature since revocations for new crimes would duplicate the recidivist arrest data. Although probationers are the primary population at risk of technical revocation, prisoners may also be at risk of technical revocation as a result of post-release supervision, parole, or due to probation sentences consecutive to their prison sentences or resulting from probation sentences imposed for new crimes committed during the follow-up period.

Time at Risk: Each offender's actual "time at risk" to reoffend during the follow-up period was calculated by identifying their periods of incarceration in North Carolina's prison system within the follow-up time frame and subtracting the time incarcerated from the follow-up period. Since each county jail maintains its own data, it was not possible to account for time served in county jails during the follow-up period.

Time to Rearrest: Applicable only for offenders who have one or more recidivist arrests during the three-year follow-up period. Time to rearrest was defined as the period of time between the offender's date of release from prison or entry to probation and the date of their first recidivist arrest.

Time to Reconviction: Applicable only for offenders who have one or more recidivist convictions during the three-year follow-up period. Time to reconviction was defined as the period of time between the offender's date of release from prison or entry to probation and the date of their first recidivist conviction.

Time to Reincarceration: Applicable only for offenders who have one or more recidivist incarcerations during the three-year follow-up period. Time to reincarceration was defined as the period of time between the offender's date of release from prison or entry to probation and the date of their first recidivist incarceration.

Time to Technical Revocation: Applicable only for offenders who have one or more technical revocations during the three-year follow-up period. Time to technical revocation was defined as the period of time between the offender's date of release from prison or entry to probation and the date of their first technical revocation.

Type of Punishment: Type of punishment was defined as the sentence imposed for the offense that placed the offender in the study sample. The four categories for type of punishment were as follows: SSA probation entries with a community punishment, SSA probation entries with an intermediate punishment, SSA prison releases, and FSA prison releases. A definition for each category is also provided in this glossary.

Violent Offenses: This category included offenses such as murder, rape, voluntary and involuntary manslaughter, kidnaping, robbery, arson, and other burning offenses.

Youthful Offender: Offenders in the FY 2001/02 sample who had not yet reached their 21st birthday either at entry into prison or placement on probation for the conviction that placed them in the sample.

APPENDIX C-2 MEASURING OFFENDER RISK

This section discusses the development of the risk variable used in this report.

Prediction of Risk

Various recidivism risk scales have been developed in the past, mainly for use by parole commissions and similar agencies. Two examples of these risk scales include the Statistical Information on Recidivism (SIR) scale used by Canadian Federal correctional authorities and the Salient Factor Score used by the United States (Federal) Parole Commission. Both risk scales are used to assess parole risk and are quite similar in the type of risk factors they include. Current offense, age, number of prior arrests and/or convictions, number of previous incarcerations, number of times on probation or parole, number of probation/parole revocations, history of escape, and drug dependence are among the factors considered in these scales. A risk score for each offender is computed using these scales.

Previous Sentencing Commission program evaluations have also considered risk (Clarke and Harrison, 1992; NC Sentencing and Policy Advisory Commission, 1998; NC Sentencing and Policy Advisory Commission, 2000; NC Sentencing and Policy Advisory Commission, 2002). These earlier studies found that many of the differences between programs diminished when controlling for risk.

Individual level prediction of risk can be addressed in two basic ways: prospectively or retrospectively. A prospective instrument assigns a risk classification to offenders without making use of recidivism data. This is usually done as a temporary tool prior to the collection of recidivism data (and generally before the offender has the opportunity to recidivate). The North Carolina Department of Correction uses two prospective risk instruments, the inmate classification instrument and the probation risk instrument, primarily to assign appropriate levels of security/supervision to offenders. On the other hand, retrospective risk prediction has the advantage of using known recidivism as the dependent variable. Thus, using regression analysis we can assign a weight to items correlated with recidivism a weight based on their relative effects on the dependent variable. This is the type of risk prediction developed for the current study.

Measuring Risk

In this study risk is a composite measure based on individual characteristics identified in the literature as increasing or decreasing an offender's risk of being rearrested. Developing the risk model was a multi-step process. Once variables to consider were identified, tests for collinearity were performed to exclude variables with multicollinearity. The final list of variables selected to measure risk is shown in Figure C-2.1.

Figure C-2.1
Variables Included in Risk

In this study risk is a composite measure based on individual characteristics identified in the literature as increasing or decreasing an offender's risk of being rearrested. These characteristics include:

Social Factors

- Age when placed on probation or released from prison
- Race
- Sex
- Marital status
- Employment status at time of arrest for the offense that placed the offender in the sample
- History of substance abuse problems as indicted by prison or probation assessment

Criminal Record Factors

- Age at first adult arrest
- Length of criminal history
- Number of prior arrests
- Prior drug arrest
- Most serious prior arrest
- Number of prior incarcerations
- Number of prior probation/parole sentences
- Number of prior probation/parole revocations
- Current offense class
- Current maximum sentence length

Logistic regression was used to determine the impact of the factors shown above on recidivism. This method allows prediction of a dependent variable that has two categories, in this case, recidivism or no recidivism. The regression model predicted a risk score for each offender and each variable included in the model was weighted based on its relative contribution to recidivism.

In order to differentiate the scores into low-, medium-, and high-risk categories, the scale was divided into terciles. This results in more arbitrary cut-off points and is considered more conservative than other methods (such as visual inspection of scales and division using optimal cut-off points). Offenders in the lowest third were categorized as low risk, the middle third as medium risk, and the highest third as high risk. The risk categories were then used in the multivariate analyses.

Caution should be used in interpreting the results of the risk analysis. The risk model shows the statistical relationship, if any, between the factors included in the model and the probability of rearrest. This does not necessarily mean that the factors used to predict the risk of recidivism are therefore the “causes” of recidivism. Risk prediction is also based on regression coefficients, which only roughly approximate causal ordering among variables. Indirect effects of variables tend to be ignored by regression analyses, identifying only part of the effect of any given variable. Correlations among predictor items, unless they are unduly high, are also ignored in risk instruments but cannot be ignored when determining causality. The recidivism prediction literature clearly shows that multicollinearity exists between the predictor characteristics of recidivism, but, if the magnitude of the correlations is not excessive, researchers are typically content to interpret the coefficients as indicative of a causal effect.

Appendix C-3, Table C-3.1
Logistic Regression Results of Personal and Criminal Justice Factors on Rearrest: All Offenders
FY 2001/2002 (N=57,973)

Independent Variables	Any Offense		Violent Offense		Property Offense		Drug Offense		Other Offense	
	b	se	b	se	b	se	b	se	b	se
Personal Characteristics										
Age (each year)	-.0410**	.0084	-.0441**	.0129	NS		-.0638**	.0108	-.0457**	.0115
Black	.2590**	.0216	.5486**	.0314	-.2337**	.0247	.6163**	.0286	.3255**	.0280
Male	.2191**	.0280	.6932**	.0483	-.1739**	.0322	.2103**	.0384	.4008**	.0405
Married	-.0930**	.0302	NS		NS		-.2607**	.0425	NS	
Education	-.1178**	.0208	-.2801**	.0301	-.0655**	.0242	-.0788**	.0266	-.1226**	.0270
Employed	-.1468**	.0216	-.0925**	.0294	-.0739**	.0243	-.1136**	.0265	-.1127**	.0268
Substance Abuser	.1777**	.0228	NS		.1338**	.0257	.1831**	.0276	NS	
Youthful Offender	.2406**	.0358	.0997*	.0485	.4000**	.0412	.0966*	.0439	.2172**	.0443
Risk Level	.1829**	.0272	.0882*	.0372	.3354**	.0302	.2486**	.0338	.2394**	.0340
Current Offense Information										
Felony	-.3371**	.0252	-.4418**	.0345	-.2392**	.0286	-.1044**	.0309	-.1314**	.0314
Severity of Sentence	.1068**	.0166	.0909**	.0226	.1152**	.0189	.0656**	.0208	NS	
Maximum Sentence Imposed (months)	-.0030**	.0005	NS		-.0046**	.0007	NS		-.0021**	.0007
Time Spent in Prison (months)	NS		.0060**	.0021	NS		NS		.0062**	.0021
Criminal History										
Age at First Arrest	.0137**	.0024	NS		.0123**	.0028	NS		NS	
# Prior Arrests	.1314**	.0055	.0617**	.0052	.1183**	.0050	.0494**	.0049	.1080**	.0050
Prior Drug Arrest	.2177**	.0227	-.0605*	.0312	-.4041**	.0263	1.035**	.0288	.3119**	.0282
Most Serious Prior Arrest	.1279**	.0106	.2783**	.0162	.0904**	.0123	NS		.1262**	.0147

Appendix C-3, Table C-3.1 (continued)

Independent Variables	Any Offense		Violent Offense		Property Offense		Drug Offense		Other Offense	
	b	se	b	se	b	se	b	se	b	se
# Times on Probation/Parole	.0569**	.0127	.0539**	.0168	.0469**	.0140	NS		NS	
# Probation/Parole Revocations		NS	-.0537*	.0231	.0385	.0197	NS		NS	
# Prior Incarcerations	-.0713**	.0103	-.0326**	.0120	-.0656**	.0105	-.0433**	.0115	-.0596**	.0113
Time at Risk During the 3-Year Follow-Up	-.0041**	.0000	-.0018**	.0001	-.0025**	.0001	-.0012**	.0001	-.0018**	.0001
Likelihood Ratio	14,184.7353		5,376.1147		7,680.7222		6,812.1718		6,892.5057	

* Significant at p>.05 ** Significant at p>.01

Notes:

1. For purposes of this study, recidivism was defined as one or more arrests during the fixed three-year follow-up period starting at the time the offender was placed on probation or released from prison.
2. The square of the offender's age and time spent in prison were also included in the model as control variables.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Appendix C-3, Table C-3.2
Logistic Regression Results of Personal and Criminal Justice Factors on Rearrest: Prisoners
FY 2001/02 (n=17,118)

Independent Variables	Any Offense		Violent Offense		Property Offense		Drug Offense		Other Offense	
	b	se	b	se	b	se	b	se	b	se
Personal Characteristics										
Age (each year)	-.0656**	.0156	-.0821**	.0213	NS		-.0694**	.0194	-.0572**	.0202
Black	.3378**	.0397	.5254**	.0517	-.2593**	.0421	.7642**	.0499	.3147**	.0469
Male	.1260*	.0608	.6735**	.0981	-.2745**	.0653	NS		.3877**	.0806
Married	-.1652**	.0535	NS		NS		-.2952**	.0684	NS	
Education	-.0806*	.0372	-.1470**	.0471	NS		NS		-.0930*	.0434
Employed	NS		NS		.0916*	.0420	-.0857	.0442	NS	
Substance Abuser	.1821**	.0381	NS		.1570**	.0404	.1377**	.0433	NS	
Youthful Offender	.2197**	.0659	NS		.3131**	.0696	.1566*	.0732	.1659*	.0719
Risk Level	.1833**	.0474	NS		.4225**	.0501	.1914**	.0551	.1624**	.0551
Current Offense Information										
Felony	NS		-.2485**	.0585	NS		.1163*	.0565	.1098	.0563
Maximum Sentence Imposed (months)	NS		NS		-.0019**	.0007	NS		NS	
Time Spent in Prison (months)	-.0102**	.0020	NS		-.0098**	.0022	-.0053*	.0024	NS	
Criminal History										
Age at First Arrest	.0085*	.0042	NS		.0155**	.0047	NS		NS	
# Prior Arrests	.1117**	.0078	.0425**	.0071	.0975**	.0068	.0488**	.0067	.0992**	.0069
Prior Drug Arrest	.1115**	.0392	NS		-.4044**	.0420	.9319**	.0474	.2046**	.0451
Most Serious Prior Arrest	NS		.3299**	.0324	NS		NS		NS	
# Times on Probation/Parole	.0812**	.0193	NS		.0516**	.0200	NS		NS	
# Probation/Parole Revocations	NS		NS		NS		NS		NS	

Appendix C-3, Table C-3.2 (continued)

Independent Variables	Any Offense		Violent Offense		Property Offense		Drug Offense		Other Offense	
	b	se	b	se	b	se	b	se	b	se
# Prior Incarcerations	-.0420**	.0141	NS		-.0397**	.0137	NS		NS	
Number of Prison Infractions	.0169**	.0030	.0128**	.0029	.0178**	.0029	NS		.0093**	.0029
Time at Risk During the 3 Year Follow-Up	-.0046**	.0001	-.0016**	.0001	-.0026**	.0001	-.0010**	.0001	-.0019**	.0001
Likelihood Ratio	4,519.2565		1,553.5074		2,793.9779		2,024.5569		2,187.7073	

* Significant at p>.05 ** Significant at p>.01

Notes:

1. For purposes of this study, recidivism was defined as one or more arrests during the fixed three-year follow-up period starting at the time the offender was placed on probation or released from prison.
2. The square of the offender’s age and time spent in prison were also included in the model as control variables.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Appendix C-3, Table C-3.3
Logistic Regression Results of Personal and Criminal Justice Factors on Rearrest: Probationers
FY 2001/02 (n=40,855)

Independent Variables	Any Offense		Violent Offense		Property Offense		Drug Offense		Other Offense	
	b	se	b	se	b	se	b	se	b	se
Personal Characteristics										
Age (each year)	-.0352**	.0101	NS		NS		-.0631**	.0133	-.0481**	.0142
Black	.2328**	.0261	.5569**	.0399	-.2154**	.0308	.5478**	.0354	.3389**	.0353
Male	.2493**	.0321	.6892**	.0564	-.1172**	.0377	.2610**	.0457	.3981**	.0476
Married	NS		NS		NS		-.2372**	.0544	NS	
Education	-.1311**	.0252	-.3636**	.0395	-.0798**	.0304	-.0850*	.0339	-.1325**	.0346
Employed	-.2025**	.0261	-.1278**	.0383	-.1740**	.0305	-.1091**	.0340	-.1291**	.0344
Substance Abuser	.1538**	.0290	NS		.0957**	.0339	.1927**	.0362	NS	
Youthful Offender	.2537**	.0431	.1576*	.0637	.4457**	.0517	NS		.2440**	.0565
Risk Level	.1671**	.0337	NS		.2724**	.0386	.2652**	.0435	.2445**	.0440
Current Offense Information										
Felony	-.3885**	.0309	-.5358**	.0469	-.2774**	.0368	-.1888**	.0398	-.2360**	.0407
Criminal History										
Age at First Arrest	.0146**	.0029	NS		.0107**	.0036	NS		NS	
# Prior Arrests	.1578**	.0080	.0882**	.0079	.1455**	.0075	.0550**	.0074	.1257**	.0076
Prior Drug Arrest	.2553**	.0282	NS		-.4051**	.0343	1.072**	.0368	.3732**	.0366
Most Serious Prior Arrest	.1433**	.0123	.2515**	.0195	.1198**	.0146	NS		.1472**	.0177
# Times on Probation/Parole	NS		.0613*	.0247	NS		NS		NS	
# Probation/Parole Revocations	NS		NS		NS		NS		NS	
# Prior Incarcerations	-.1094**	.0161	-.0565**	.0199	-.1092**	.0173	-.0729**	.0190	-.0898**	.0185

Appendix C-3, Table C-3.3 (continued)

Independent Variables	Any Offense		Violent Offense		Property Offense		Drug Offense		Other Offense	
	b	se								
Type of Community Supervision	<i>reference category</i>									
SSA Probation with Community Punishments	<i>reference category</i>									
SSA Probation with Intermediate Punishments	-0.0743*	.0318	NS		NS		NS		NS	
Time at Risk During the 3 Year Follow-Up	-0.0039**	.0001	-0.0021**	.0001	-0.0025**	.0001	-0.0015**	.0001	-0.0017**	.0001
Likelihood Ratio	8,524.4201		3,408.8004		4,253.9082		4,384.7567		4,149.9032	

* Significant at p>.05 ** Significant at p>.01

- Notes:
1. For purposes of this study, recidivism was defined as one or more arrests during the fixed three-year follow-up period starting at the time the offender was placed on probation or released from prison.
 2. The square of the offender's age was also included in the model as a control variable.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Appendix C-3, Table C-3.4
Multiple Regression Results of Personal and Criminal Justice Factors on Prison Infractions: Prisoners
FY 2001/02 (n=17,118)

Independent Variables	b	se
Personal Characteristics		
Age (each year)	.0992*	.0395
Black	NS	
Male	-.3655*	.1655
Married	-.3172**	.1425
Education	-.4813**	.1015
Employed	-.5847**	.1079
Substance Abuser	-.2984**	.1029
Youthful Offender	2.370**	.1801
Risk Level	NS	
Current Offense Information		
Felony	NS	
Maximum Sentence Imposed (months)	-.0013**	.0002
Time Spent in Prison (months)	.1708**	.0048
Criminal History		
Age at First Arrest	.0221*	.0108
# Prior Arrests	NS	
Prior Drug Arrest	NS	
Most Serious Prior Arrest	.1277*	.0605
# Times on Probation/Parole	NS	
# Probation/Parole Revocations	NS	
# Prior Incarcerations	.1973**	.0364

* Significant at $p > .05$ ** Significant at $p > .01$

Notes:

1. The square of the offender's age and time served in prison were also included in the model as control variables.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Appendix C-3, Table C-3.5
Effect of Personal and Criminal Justice Factors on Technical Probation Revocation: Probationers
FY 2001/02 (n=40,855)

Estimated Effect on Probability of Technical Revocation for:

Model 5: All Probation Entries (n=40,855)
Average technical revocation probability=29.4%

Independent Variables

Personal Characteristics

Age (each year)	0.8%
Black	6.8%
Male	6.6%
Married	-4.3%
12 or More Years of Education	-6.5%
Employed	-8.9%
Substance Abuser	7.1%
Youthful Offender	6.9%
Risk Level	3.5%

Current Offense Information

Felony	-6.8%
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Criminal History

Age at First Arrest	NS
# Prior Arrests	0.5%
Prior Drug Arrest	NS
Most Serious Prior Arrest	1.2%
# Prior Times on Probation/Parole	1.0%
# Prior Probation/Parole Revocations	8.3%
# Prior Incarcerations	-1.0%

Type of Community Supervision

SSA Probation with Community Punishments	<i>reference category</i>
SSA Probation with Intermediate Punishments	11.5%

NS indicates that the effect is not statistically significant at $p > .05$.

Notes:

1. For purposes of this study, technical probation revocation was defined as one or more technical revocations during the three-year follow-up period starting at the time the probationer was placed on probation.
2. The figures in the table show the effect on the probability of technical probation revocation compared with the mean probability in the data set.
3. The square of the offender's age was included in the model as a control variable.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

Appendix C-3, Table C-3.6
Logistic Regression Results of Personal and Criminal Justice Factors on Employment

Independent Variables	All Offenders (N=57,973)		Prison Releases (n=17,118)		Probation Entries (n=40,855)	
	b	se	b	se	b	se
Personal Characteristics						
Age (each year)	-.0240**	.0069	.0353**	.0137	-.0395**	.0081
Black	.1948**	.0212	.1709**	.0380	.2118**	.0257
Male	-.0953**	.0264		NS	-.0716*	.0301
Married	.0899**	.0282	.1348**	.0515	.0709*	.0339
Education	.3822**	.0206	.2178**	.0362	.4548**	.0252
Substance Abuser		NS		NS		NS
Youthful Offender	.1936**	.0366	.1287*	.0655	.2323**	.0443
Risk Level	-.1359**	.0243		NS	-.2002**	.0302
Current Offense Information						
Felony	-.0933**	.0241		NS	-.1688**	.0300
Severity of Sentence	-.1462**	.0164		N/A		N/A
Maximum Sentence Imposed (months)		NS	.0021**	.0007		N/A
Time Spent in Prison (months)	.0093**	.0017	.0071**	.0022		N/A
Criminal History						
Age at First Arrest		NS	-.0138**	.0037		NS
# Prior Arrests		NS	-.0139*	.0061		NS
Prior Drug Arrest	-.1910**	.0225	-.2202**	.0381	-.1544**	.0284
Most Serious Prior Arrest	.0311**	.0099		NS	.0562**	.0115
# Times on Probation/Parole	.0495**	.0121	.0631**	.0182	.0435**	.0166

Appendix C-3, Table C-3.6 (continued)

Independent Variables	All Offenders (N=57,973)		Prison Releases (n=17,118)		Probation Entries (n=40,855)	
	b	se	b	se	b	se
# Probation/Parole Revocations	-.0575**	.0179	-.0692**	.0253	-.0513*	.0255
# Prior Incarcerations	-.0240**	.0093	-.0345**	.0125	-.0372**	.0145
# Prison Infractions	N/A		-.0059*	.0029	N/A	
Type of Community Supervision						
SSA Probation w/Community Punishments	N/A		N/A		<i>reference category</i>	
SSA Probation w/Intermediate Punishments	N/A		N/A		<i>NS</i>	
Likelihood Ratio		1,748.6910		393.3913		1,339.0027

* Significant at p> .05 ** Significant at p> .01

Notes:

1. The square of the offender's age and time served in prison were also included in the models as control variables.

SOURCE: NC Sentencing and Policy Advisory Commission, FY 2001/02 Correctional Program Evaluation Data

**APPENDIX D:
SITE VISIT PROTOCOL**

SITE VISIT PROTOCOL: CORRECTIONAL PROGRAM EVALUATION 2006

Name of Program:

Prison Facility:

Date of Interview:

Interviewee(s)/Contact Number(s):

Interviewer(s):

I. Introduction

- A. Introductions (including interviewee's position and job responsibilities)
- B. Explanation of mandate
- C. Description of focus areas of current recidivism study

II. General Information

- A. Individual(s) being interviewed (ask for each new person)
 - 1. What is your position title?
 - 2. How long have you worked in this position?
 - 3. Describe your job duties and responsibilities.
 - 4. What did you do prior to this position?
- B. Facility (ask of highest level staff interviewed only)
 - 1. Briefly describe the facility (*e.g.*, date opened, capacity, custody levels).
 - 2. What is the age of the inmate population?
 - 3. In FY 2001/02, what age was the inmate population?
 - 4. In general, do you make any distinctions, either formal or informal, between age groups?
 - 5. Are there any new program initiatives that you are currently planning or hope to plan in the future?

III. Historical Overview

- A. Start-up to FY 2001/02
 - 1. When did the program begin?
 - 2. What was the impetus for the start-up of the program?
 - 3. What type of offender was the program serving in FY 2001/02?
- B. Post FY 2001/02 to Present
 - 1. Is the program presently serving different types of offenders than it was in FY 2001/02?
 - 2. Has the operation of the program had any major changes since FY 2001/02?

IV. Program Description and Components

- A. Description of Program
 - 1. What is the goal(s) of the program?

2. What is the duration of the program?
3. Is the program designed for a particular time in an offender's sentence (*i.e.*, near the end)?
4. What are the eligibility requirements for an offender (including age)?
5. How is an offender referred to a program?
6. How many slots are available for the program?
7. How many offenders does the program serve at any given time?
8. Do you have a waiting list?
9. What is the staff to participant ratio?
10. What are the components of the program?
11. Does the program interface with other prison programs? Is so, how?

B. Evaluation/Monitoring

1. How do you measure an offender's compliance?
2. What, if any, is the definition of completion?
3. What are ways (successful or unsuccessful) in which an offender can exit the program?
4. What kind of follow-up is available?
5. Is the program tied into transitional planning in any way?

C. Organizational Structure (get organizational chart for entire prison and where this program fits into it)

1. How many staff does the program employ?
2. Do any positions require specialized education or training?
3. Who is the main decision-maker for the program?
4. How much staff turnover is there in a year's time?

D. OPUS Data

1. Who enters program information on offenders into OPUS?
2. Does OPUS have the date that the offender entered the program?
3. Does OPUS have the date that the offender exited the program?
4. Does OPUS have reason(s) for an offender's non-completion?
5. What other information is captured in OPUS on the offender's program participation (*e.g.*, for vocational education: certificate received? yes/no: date received, etc.)?
6. When did this information begin being entered into OPUS?
7. How complete is the data entered into OPUS?
8. Have there been any changes in the way you enter information into OPUS?
9. How do you use the OPUS data?

V. Strengths/Weaknesses of the Program

- A. What are the strengths of the program?
- B. What changes need to be made in the way the program operates?
- C. Are there any potential hindrances to making these changes?