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**Conformity in prison: An analysis of the behavioral effect of
release**

Markey, John F., Ph.D.

City University of New York, 1989

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**CONFORMITY IN PRISON:
AN ANALYSIS OF THE BEHAVIORAL EFFECT OF RELEASE**

by
John F. Markey

**A dissertation submitted to the Graduate Faculty
in Criminal Justice in partial fulfillment of the
requirements for the degree of Doctor of Philosophy,
The City University of New York.**

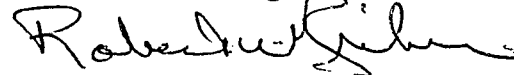
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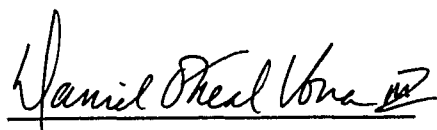
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Abstract

CONFORMITY IN PRISON;
AN ANALYSIS OF THE BEHAVIORAL EFFECT OF RELEASE

by

John F. Markey

Adviser: Professor Robert Rieber

The thesis says the study of the characteristics of the incarcerated offender and personality changes that occur during incarceration is important if effective methods of treatment are to be developed. The objective of this dissertation is to attempt to find if the incarcerated individual is able to sublimate his deviant personality (adjudged by noted misbehavior) prior to a pending release decision on the part of correctional authority. Thereafter, to consider a negative response by prison authorities on a release and its effect on the individual again as adjudged by "acting out" (misbehavior). If the inmate is capable of "masking" his otherwise deviant behavior to secure release, then what exactly is the effect of release as a tool of social control in the prison environment?

Methodologically, this dissertation measures the effects of the proximity to release, whether by a parole board review or conditional release against individual

characteristics for determining usefulness of release as a tool of control. This thesis will statistically review reported misbehavior on the part of 621 incarcerated individuals over a six-month time frame. During that frame of reference, a time series regressive analysis was performed to determine the rates of individual misbehavior prior to and after release determination.

In accomodation with the statistical approach to the study of delinquency a theoretical analysis of the related literature was undertaken. This review of areas of criminology such as the subcultural perspective, control theory and strain theory, as they relate to misconduct, was accomplished. If there is no reliable correlation between behavior and proximity to release, the question must be brought as to the prison administration's purview regarding release and release as a tool of behavior modification.

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John F. Markey

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CHAPTER I: INTRODUCTION

This dissertation statistically measures the effect of the proximity to release, whether by a parole board review or conditional release, against individual characteristics. The purpose of this measurement is to identify, methodologically, the usefulness of release as a tool of behavior control by prison authorities. In this research, variables associated with differential involvement in known prison disciplinary infractions are examined in context with proximity to release. Over forty previous studies by other researchers were reviewed and are discussed in Chapter II.

Despite methodological advances in social science, even the most elementary "facts" concerning crime, such as incidence, prevalence, patterns and trends of crime and delinquency, among males and females who differ in age, race, ethnicity, social class, place of residence, and level of intelligence, remain controversial. The empirical data base has expanded much more rapidly than theory has advanced relative to the resolution of the controversy. For example, age represents perhaps the strongest predictor of delinquency in prison (Flanagan, 1983), but precisely how strong, and why valid, remains unknown. Disputes as to the social-class distribution of delinquent behavior were fueled in the 1970's by early self-report studies, such as Jensen

(1977), that found few differences in reported delinquent behavior among young people in different social classes. The racial distribution of misbehavior in correctional institutions is inconsistent and varies by study (Wolfgang, 1961; Johnson, 1966; Ellis et. al., 1974; Jaman, 1972; Boyd, 1976; Witte, 1980; Petersilia and Honig, 1980). Self-report studies of rule violation by inmates generally have failed to reveal the large racial differences found in official statistics. Victimization studies, however, have confirmed higher rates of offending (and of victimization) among blacks. Megargee (1979), has found that the relationship of intelligence quotient (as measured by standard tests) to crime and delinquency is tied to other characteristics including race.

The purpose of this research then is to extend the above mentioned methodological advances in respect to correlates of misconduct and apply those studies to theory. Just as "facts" about crime remain controversial, the major theoretical controversies in criminology have concerned the hegemony of one or another parent discipline and within disciplines. The relative importance of different theoretical perspectives, such as "strain theory" versus "control theory" will be taken into consideration in this thesis. Much of what has been happening since the mid-twentieth century may be characterized as "normal science," refining and completing earlier theoretical and empirical work (Harris and Hill, 1982).

In Chapter II of this dissertation, we discuss several theories of crime causation and misbehavior. Sutherland and Cressey's (1974) broad principle of "differential association" is reviewed along with its modifications by several scholars, based on learning theories developed by Albert Bandura (1979), as well as Robert Merton's (1968) seminal ideas on normlessness which were also extended by Albert Cohen (1966), Richard Cloward and Lloyd Ohlin (1960), among others. Social control theory, brought back into prominence by Albert Reiss (1951), has been elaborated by Travis Hirschi (1972) and others, and is also reviewed in this chapter.

Theories purporting to explain crime or delinquency in general are quite different from those that seek to explain particular forms of these phenomena. Having researched theory relevant to misconduct and the deviant, we have found that theory explains the conditions which produce crime. However, the explanations are not methodically motivated and cannot assess short-range predictions of behavior. The research such as that introduced in this thesis, which not only attempts to predict correctional institutional infractions based on proximity to release, but also the socio-psychological theories which attempt to explain misconduct. Further, this dissertation will review the applicability of broader criminal justice implications such as sentencing policies, in consideration of theory and methodological findings. The objective of this dissertation

is to create from an empirical data base, conditions which produce delinquency not only in the street but also in the tiers of correctional institutions.

Several issues prominent in criminal justice discussions today are directly related to sentencing. The last fifteen years has witnessed a growing disenchantment with indeterminate sentencing and the parole system. According to Petersilia and Greenwood (1978), there are two principle sources of dissatisfaction with current structures: inequity and rising crime rates. Several critics have asserted that a system of "individualized justice" only promotes injustice in the forms of inequity, irrationality and inconsistency in sentencing. The vagaries of the system can be summed up in one word, namely, disparity, that is, unjustified variation in sentencing. Moreover, critics, such as O'Donnell, Churgin and Curtis (1977), have noted that this type of chaos is inevitable in jurisdictions where the penal codes are archaic, lacking in a coherent sentencing philosophy, and providing no clear statement of objectives to be served by the prevailing sentencing and parole systems. Proponents of this controversial school of thought emphasize the conceptual and practical limitations of the rehabilitative ideal that are the pillars of the philosophical foundation of the indeterminate sentencing system. The principle goal of the indeterminate sentencing system according to Petersilia and Greenwood (1978), would be retribution with other,

traditional, roles of sentencing, such as incapacitation, general or special deterrence, and rehabilitation, relegated to secondary or tertiary roles. If the parole board is no longer in the rehabilitation business, and "time served" is primarily a function of offense seriousness and prior record, then what function is being performed by the parole board that could not be better handled by the judiciary?

Naively, it seems unnecessary to question the applicability of sentencing guidelines. However, consideration must be given to behavioral control of the inmate. Clearly, a major concern of corrections is the management of institutional order measured against inmate conformity to prison rules. Behavior control of prison inmates, according to Goetting and Howsen (1986), is important from three basic perspectives: organizational management, fiscal constraints, and humanitarian concerns. From an organizational management point of view, misconduct damages the effective operation of a correctional institution, detracting from its ability to provide the intended services to the larger society. With regard to fiscal constraints, institutional misconduct requires not only the use of special facilities, such as isolation, but also, special attention by prison staff. Finally, prisoner misconduct can have devastating health and emotional repercussions for other inmates as well as prison officials and the families of both.

The importance of the inmate's institutional behavior in parole decisions has been studied by several researchers, with divergent conclusions. Flanagan (1982) points out that the rationale underlying such importance is unclear. Research addressing the predictive value of institutional misconduct in determining parole success has provided contradictory outcomes. Some go so far as to suggest that maladjustment to the prison environment may be indicative of adjustment to outside life (Driscoll, 1952) or the normal reaction of normal people to abnormal conditions (O'Leary and Glaser, 1972; Ellis et. al., 1974).

Goodstein, MacKenzie and Shotland (1984) report on the area of personal control and its effect on the incarcerated individual. They describe personal control as efficacy, opportunity to make choices, and predictability. Efficacy is described as outcome control which is the ability to make something happen as planned. Reverse efficacy, is where the prisoner does not believe his behavior will consistently lead to desired outcomes or avoidance of aversive ones, such as release based upon "good behavior" (Bandura, 1977; Rotter, 1966; Seligman, 1975). Opportunity to make choices is defined as the individual's being presented with a number of options to choose from (Averill, 1973; Steiner, 1979). Finally, personal control is assumed to be greater when future events are predictable in part by allowing inmates time to develop methods of coping with their situation (Averill, 1973), and also by alleviating the

stress of uncertainty (Lazarus, 1966). Reduced outcome control is said to lead to a condition labelled "learned helplessness" characterized by reduced motivation to respond, cognitive deficiency and emotional difficulties, such as depression (Seligman, 1975; Abramson et. al., 1978; Seligman et. al., 1976; Maier and Seligman, 1976).

Possessing information about future events, even aversive ones, has been shown in numerous laboratory experiments to reduce anxiety (Elliott, 1966; Epstein and Clark, 1970), increase frustration tolerance (Glass and Singer, 1972; Glass et. al., 1973), and lead to improved performance (Reim et. al., 1971). A possible confounding variable is that "helpless" individuals who are described as reacting passively to situations because they have learned that attempts to exert outcome control or choice, or to obtain predictability, are futile (Abramson et. al., 1978; Seligman, 1975; Seligman et. al., 1976). The helpless model certainly appears to have clear implications for prison behavior because the prison context has been viewed by many as an extremely control-limiting environment, such as, Clemmer's (1940) universal factors of prisonization, Sykes' (1958) deprivations of imprisonment and Goffman's (1961) characterization of prison as a total institution are all concerned with restrictions believed to reduce the prisoner's sense of autonomy and self-esteem. A methodological problem then would be to attempt to identify the learned helplessness since the effect of sentencing

guidelines and/or release mechanisms, such as parole or conditional release apparently, would have no effect. A further complication in investigating the relation of prison misconduct and prisoner background characteristics is that prison disciplinary rules are enforced selectively; and staff do not file misconduct reports each time a rule violation is observed (Fox, 1958; Flanagan, 1980). Further, violations, as presented in this study, are graded by degree of severity (Tier 1 through Tier 3) and the fact that disciplinary staff may select from an assortment of penalties applicable to each class (Giftis, 1982).

Obviously, this type of broad discretion among authorities results in reduced control for inmates who are unable to anticipate the likely outcome of committing a misconduct.

A second important outcome over which inmates possess little control is the release decision. According to the rehabilitative model, the parole board is responsible for monitoring an individual's progress during his or her period of incarceration and to release that person when he or she is determined to be optimally prepared (American Friends Service Committee, 1971). By implication, the prisoner should be able to advance or delay his or her release date through personal effort in the rehabilitation process.

Having in essence explained two general schools of thought on potential release from prison, it is apparent that both arguments are inconclusive.

The question then to be researched is whether determinate sentencing provides predictability thereby eliminating disparity, and what is the effect of the parole board and conditional release on inmate behavior as a tool of control.

Chapter II in this thesis reviews the literature relevant to delinquency and the individual. This review continues to study delinquency and the individual in dual situations, namely, the street and prison. This chapter also discusses the various methodological studies which analyze individual background characteristics and their relationships to misbehavior. As a result, Chapter II will encapsulate and study not only the relevant theoretical literature, but also methodological research concerning various explanations of delinquency. Particularly reviewed are studies concerning the theories of control, strain and subcultural perspectives as they relate to the individual.

Chapter III outlines the focus of this research, namely, the effects of proximity or time differential to release date and inmate misbehavior. This chapter also describes the hypothesis to be methodologically tested in the subsequent chapters. Further, Chapter III sets forth and specifies sampling and data collection procedures, the setting of the study, variable and data coding, and methods of analysis.

Chapter IV examines the results of the analysis performed on the data. Specific tables are drawn utilizing the general linear method, and multiple and stepwise

regression in order to identify statistical variance explained and the significance of a particular fact or correlation.

Chapter V creates a composite of the findings delineated by the preceding chapter. The chapter is divided into two distinct discussions. The first is concerned with the issue of inmate misbehavior and proximity to release. The second explains the individual and situational characteristics associated with misbehavior. Both discussions compare the hypotheses set forth in Chapter III with the correlational findings of Chapter IV.

CHAPTER II

Eissler (1955:3) defines the criminal as one who is "asocial...who is driven by instinctual forces with no opposition from a restraining conscience...and has no value system except that from which he gains pleasure and satisfaction...(which is) the exclusive goal of behavior."

PART 1. THE THEORETICAL RELATIONSHIP OF DEVIANCE AND THE INDIVIDUAL

II.1.1. Introduction

Conformity and deviation from norms have been long-standing interests of sociologists. There have been various attempts to explain both sides of the theoretical coin--some have focused on explanations of conformity, others on deviance. Some explanations are antithetical to others, some converge and complement each other. The focus of these theories, whether it be on conformity or deviance, only indicates the basic point of divergence which is the assumptions made about the nature of man.

One perspective that takes conformity for granted and tries to explain deviance is classified by Hirschi (1972) as strain theory. This position explains delinquency as that which results when legitimate desires cannot be realized by legitimate means. Proponents of strain theory, such as Merton (1968), Cloward and Ohlin (1960), and Cohen (1980), assume that individuals are moral beings who have "internalized the norms of their society or group and

want to obey the rules" (Stark, 1975:108). People develop a conscience and are sensitive to the expectations of others. But because they value what others value and cannot achieve these goals legitimately, they choose out of desperation to deviate. However, they can usually deviate only with great psychic cost, or strain, and with great vulnerability to societal reaction.

In the subcultural perspective, as explained by sociologists such as Sellin, Miller, Chambliss, Wolfgang and Ferracuti, it is also assumed that people are basically moral. Due to a variety of normative systems within a society, deviance results when the adherents of one normative system deviate from the norms of adherents of another more dominant system. Generally people adhere to the norms of their group or subculture, but this may automatically involve the violation of norms of the dominant group in society who have the power to enact laws that represent their normative standards. Thus the "deviant" is one who conforms to a different set of rules from those held and enforced by the dominant societal group.

A third perspective, control theory, focuses on conformity as the problematic concern. Control theory assumes that man is by nature amoral. He must learn right from wrong and how to act accordingly: "learning to be grown-up is learning to do the unnatural thing" (Brendemeier and Toby, 1960:78). If one individual wants to have a

positive relationship with another, he must choose to submit to the other's influences, standards and expectations. Thus, there is the implicit assumption in control theory that attraction or affection for another is important in eliciting conventional behavior. Also, the rational element is significant: the rewards of conformity, whether they be material or emotional, must be perceived as outweighing those of deviance. If the rewards on which the individual is dependent are not sufficient to elicit consistently conforming behavior, the individual is free to choose other courses of action which may be deviant. This can occur not only when the rewards of primary relationships, such as family, are diminished, but also when group norms are unclear or conflicting. The individual is then free to pursue his own interests and perhaps deviate; there is little reason to follow the rules, especially if they involve sacrifice, when others fail to live up to their expectations.

Thus, for the subcultural theorist, deviance is a matter of social definition made by those outside one's own group. For the strain theorist, deviance is caused by the provocation in the social system which pushes the individual into deviance. And for the control theorist, deviance is prevented by emotional and rational considerations which outweigh the advantages of deviant behavior.

Hirschi (1972) assumes that most individuals would deviate were it not for the ties they have to networks of

interpersonal relations, commitments and beliefs--ties that lead to conformity and maintenance of the social order. The individual is dependent upon the kinds of relationships he or she values. It is this kind of dependence or bond to the social system that Hirschi refers to as "social control." An individual's self-control, according to Clinard (1958:67), is equivalent to social control when he or she behaves in a manner "to maintain self-respect through achieving social respect by meeting the group's expectations." If the individual's bond to the social order is weakened or broken, he or she is to that extent free to deviate, but according to the theory, not required to do so.

II.1.2. Social Control Theory. Underlying Assumptions.

A fundamental issue that must be confronted in any discussion of social control theory is the kind of assumptions one is willing to make about the nature of man. Assumptions about the nature of man by philosophers through the centuries, including Durkheim, whose writings have been a starting point for many sociological theories, have led to opposing views on the nature of man.

According to Durkheim, man is a social being, not just because he lives with other men, but also because he needs other men for his physical and psychic well-being. Man is tied to other men and never free of them: there is both a bond and a bondage. When these elements are balanced, the

social being and the social order are at equilibrium. However, man, according to Nettler (1974:155), "can be crushed by the excessive demands of others upon his life; so, too, he 'falls apart' when he lives without restraint."

The rules of society that a man takes on as his own constitute another set of constraints. This generally occurs in the process of socialization; the process is one of continuous communication in which man "selectively incorporates into his behavioral sets those patterns of conduct that are sanctioned in the group (Shibutani, 1961:494)". He may take certain selected norms as patterns for his own conduct.

Durkheim perceived that the rules of society were not merely external constraints on the individual, but that the individual imposes these constraints on himself as well. Wrong (1961) stated they become internal, psychological constraints. However, some modern writers have taken this concept of internalization to have the same meaning as "learning" or "habit formation." "Thus when a norm is said to have been 'internalized' by an individual, what is frequently meant is that he habitually both affirms it and conforms to it in his conduct" (Id. 1961:187). It follows from this that conformity is normal and that deviance is problematic and must be explained.

Merton, for example, borrowed Durkheim's concept of anomie to explain how individuals who desired exactly what society taught them to want might be pushed into deviance.

The original meaning of anomie, a state of normlessness, was transformed into a condition involving a discrepancy between societal goals and the availability of appropriate or legitimate means of achieving them. From this perspective, man is not viewed as fighting the strictures of society, but rather as desiring only that which society taught him to want and, not being able to achieve these ends through legitimate channels, he must either settle for less, or deviate.

Another premise in the Mertonian view, closely paralleling this one, is the idea of man as acceptance seeker (Id. 1961:188), an idea normally accorded to George Herbert Mead. Thus, man acts in ways that will maintain an acceptable self-image, which, in turn, is determined by the acceptability of these acts to others. According to Wrong (1961:190), "Man is increasingly seen as a 'role-playing' creature, responding eagerly or anxiously to the expectations of other roleplayers in the multiple group settings in which he finds himself." An example of this is found in Cohen's (1955) explanation for the emergence of the delinquent gang. Cohen (1955:57) works from the assumption that we all value membership "in good standing" in various groups. "To the degree that we covet such membership, we are motivated to assume those signs, to incorporate them into our behavior and frame of reference." Through this route both personal acceptance and validation of the frame of reference are gained. Unfortunately for the working-

class boy who may not measure up to the standards of his middle-class peers, nonacceptance may lead to rejection of the rejectors: "To the degree to which he values middle-class status, either because he valued the good opinion of middle-class persons or because he has to some degree internalized middle-class standards himself, he faces a problem of adjustment and is in the market for a 'solution'" (Id. 1955:119). To Cohen, it makes no sense to argue that the boy may be totally indifferent to the opinion of middle-class persons. The response, then, is a new frame of reference validated by other peers with whom the boy can gain acceptance.

Cohen never questions why the acceptance of this latter group of peers was not sought in the first place. Of course, he is concerned with the emergence of a delinquent subculture. But once it is accepted that there are individuals in society who engage in delinquent activities, it is hard to argue why the delinquents' acknowledgment and acceptance of a delinquent individual is not as strong a motivating force as the acceptance of conventional middle-class peers. It is difficult to understand unless one starts with the assumption that conformity is normal and deviance must be explained.

Durkheim (1950), on the other hand, contended that deviance was normal: it is normal for a society to have some crime and deviance. And the existence of a man-made rule implies the possibility of its violation. However,

this does not make the deviant act or actor normal. As Wrong (1961:191) states, "(Durkheim) maintained that 'for the originality of the idealist whose dreams transcend his century to find expression, it is necessary that the originality of the criminal, who is below the level of his time, shall also be possible. One does not occur without the other'."

None of this is meant to imply that man is completely molded by the society in which he lives, nor that he could survive independently of society. What it does imply are the interactions between man and (1) his society and (2) the constraints placed upon him that may be based on coercion and conflict as well as a desire to conform. "Man, after all, is a reflective being; man alone is capable of considering alternative actions, of breaking from the established social order. Once the individual has an awareness of self, acquired as a member of society, he is able to choose his actions" (Quinney, 1965:122). This awareness of self is believed to be acquired through socialization, through an understanding of what others expect of him. This permits both predictability of what others will do and how others will react. It also permits a consistent self-image so that one acts in characteristic ways in a variety of contexts when faced with pressures from others or when totally alone (Shibutani, 1961:269).

On the other hand, socialization, or a consistent self-image, does not imply conformity as an inevitable

behavioral outcome. Evolution of the self-image may occur through opposition to what others expect or in conflict with the established social order. It is man's nature to choose, and to various degrees he is free to do so. As Matza (1964:27) suggests, some men are freer than others, and some acts are more freely chosen than others; no one is wholly free or completely constrained--either by external or internal constraints. It is usually thought that freedom results when there are no controls. Yet, man's freedom implies command over one's self (Matza, 1964:28). In paraphrasing Sartre, Shibutani states: "As paradoxical as this may sound, a man feels most free when his inner discipline is best developed. He then believes that he is the responsible agent, that he is making up his own mind, that he is doing what he wants to do" (Shibutani, 1961:278).

It follows that conformity is dependent upon an individual's self-control, for in one important sense, self-control is social control: the individual sees himself from the viewpoint of the group and seeks self-respect by fulfilling group expectations. Self-control then becomes an extension of external control (Quinney, 1965:122; Clinard, 1958:67; Shibutani, 1961:512-517). I would like to add that the foregoing would make deviance synonymous with lack of control, but this is not always the case. Some deviance is freely chosen.

Therefore, while internalization as a process is reflected in an individual's behavior, there can be no

assumption that the result of this process will be conforming behavior. It is erroneous to assume there are rules for all situations, that the rules are unchanging and known to all and that all interpret them in the same way (Quinney, 1965:126). The rules that one incorporates are selectively chosen; the audience to which one responds is, at least in part, a matter of choice. The problem, then, is not to explain deviance but conformity.

II.1.3. Precursors of the Theory

In the early part of this century, American sociologists had a difficult problem in reconciling the diverse cultural aspects of American society with the consensual organic model of society (Taylor et. al., 1973:124). Rather than explain away deviant behavior as individual pathology, theorists of the Chicago School developed the view that deviant behavior was caused by social pathology. This pathology, or social disorganization, prohibited the norms from permeating all segments of society.

To demonstrate this, Shaw and McKay (1942) studied the differential crime and delinquency rates of certain areas of Chicago. They found that the rates of delinquency varied by neighborhoods with the highest rates in low-rent areas; these areas were characterized by high mobility. Areas that had high rates in 1930 had high rates in 1900, regardless of the change in nationality or ethnic background of the

inhabitants over time (Sutherland and Cressey, 1974:184). Similar findings have been reported in studies of other large metropolitan areas. Thus, some areas characterized by social disorganization were thought to provide norms and values supportive of delinquent behavior. Writing in the tradition of social disorganization, they, particularly Shaw and McKay (1942:182), contended that "the development of divergent systems of values requires a type of situation in which traditional conventional control is either weak or nonexistent." Coupled with life history accounts, Shaw and McKay argued that some areas have a tradition of delinquency that is passed down from one generation to the next through group contacts and associations (Shaw, McKay and McDonald, 1938).

The conventional or criminal outcome of an individual in a high-crime rate area was not due to personal disorganization but rather to identification with criminal or anti-criminal groups. While the family is traditionally considered an anti-crime value source, its effectiveness as a control agent may be limited by the presence of divergent value systems in an area (Shaw and McKay, 1942:177-178; Voss and Petersen, 1971:18). With few pro-criminal groups in an area, the neighborhood may act as a primary agent of control, but in an area characterized by mobility and heterogeneity of populations, there is little concern for the attitudes and informal sanctions of those in the neighborhood: "members of one group do not seek the

approval of peoples of whom they themselves disapprove" (Faris, 1948:132). Thus the tradition of delinquency was maintained and persisted over time.

Some specific criticisms of Shaw and McKay's work have been made. Kobrin (1971) notes certain inconsistencies and shifts in their logical argument. For example, Shaw and McKay failed to define what they meant by a "tradition" of delinquency. The indications of social organization used by Shaw and McKay, such as collective solutions to common problems, were not shown to be related to other elements of diversity, such as racial heterogeneity. Heterogeneity may make it impossible to achieve concensus in an area, but homogeneity does not guarantee collective action. Shaw and McKay also failed to show that low crime rate areas are more successful in efforts to solve community problems; they only document that high crime rate areas tend to be heterogeneous and infer that this reduces the capacity for common action. Downes (1966) pointed out that the arguments made by Shaw and McKay were essentially tautological: the delinquency rates were used as indicators of social disorganization, which was then posited as the cause of the delinquency rates.

Generally, the concept of social disorganization is criticized as being too subjective; theorists in this school also tended to utilize their value stance in characterizing an area as organized or disorganized. Disorganization itself is viewed as "bad". However, many activities

associated with "disorganized" or "bad" areas, such as gambling, are highly organized. Indeed, deviance is not necessarily an indicator of disorganization or a threat to social organization; it can function as an organizing element in an area or society (Clinard, 1958:4-42; Coser, 1962; Whyte, 1943).

The overriding theoretical problem with the concept of social disorganization is that it is based on a consensual view of society (Taylor, et. al., 1973:125). If this view were rejected, society could be seen as a mosaic of cultural and normative patterns. Areas then could not be viewed as disorganized, but would be characterized as differentially organized. Differential social organization could explain changes in crime rates due to variations in values and normative patterns in given areas, as well as to exposure to criminal influences. In fact, Sutherland used this concept to complement his theory of differential association (Sutherland and Cressey, 1974:96). Thus, while this concept was employed to explain variations in crime rates, the latter explained the individual's criminal behavior by specifying the mechanism through which a person acquires definitions favorable to law violation, thereby rationalizing law breaking activity.

Without going too far afield with a discussion of the theory of differential association and criticisms that have been offered regarding this formulation, it should be noted that the theory takes into account the individual's

definition of the situation which led to delinquency. To understand an individual's behavior requires knowledge of (1) his definition of the situation, (2) what type of person he believes himself to be, and (3) the audience before which he tries to maintain his self-respect (Shibutani, 1961:279). Sutherland suggested that criminal behavior is learned, as is all behavior, in interaction with others through a process of communication. "Differential associations may vary in frequency, duration, priority and intensity" (Sutherland and Cressey, 1974:76). Frequency and duration are self-explanatory. Priority refers to how early pro-criminal and anti-criminal influences enter into the life history of the individual. Intensity refers to "the prestige of the source of a criminal or anti-criminal pattern and with emotional reactions related to the associations" (Id.:76). This aspect of the theory of differential association has been severely criticized because of the difficulty in operationalizing these concepts and because it is based on an oversocialized view of man as a product only of his culture.

While less emphasis is placed on early influences in contemporary learning theory than was the case in Sutherland's day, the concepts of frequency, duration and intensity refer to important dimensions of a person's exposure to, or relative insulation from, pro-criminal views. These concepts imply that associations vary in importance to an individual as does the influence of such

associations on a person's subsequent behavior.

Unfortunately these concepts seemingly imply, as does Sutherland's principle of differential association, that an individual has little choice; one is pushed or pulled in a particular direction according to the preponderance of pro or anti-criminal influences. True, perhaps, but can't the individual choose whom he will associate with? Sutherland suggests that parents may be highly important in this process because of their early input in the individual's life history. However, parental influence may be tempered by emotional reactions and may be outweighed by others whose influences on the individual have more positive effects. Glaser's (1956) modification of Sutherland's theory is relevant to this point. "The theory of differential identification, in essence, is that a person pursues criminal behavior to the extent that he identifies himself with real or imaginary persons from whose perspective his criminal behavior seems acceptable. Such a theory focuses attention on the interaction in which choice of models occur including the individual's interaction with himself in rationalizing his conduct" (Glaser, 1956:440).

One other major contribution to control theory was derived from the social disorganization approach. Originally, Thomas and Znaniecki (1918) had defined social disorganization as "a decrease of the influence of existing social rules of behavior upon individual members of the group" (Thomas and Znaniecki, 1918:1138). Several authors

placed primary emphasis on the lack of control as the explanation of deviant behavior. Rather than emphasize the view of society as differentially organized, they stressed the mobility and heterogeneity of the society. This, they claimed, lends itself to a situation of anomie--in the classical sense. The breakdown of the family and the homogeneous neighborhood results in a reduction in the effectiveness of these traditional agents of social control. This was not a view of society as pathological, as in the social disorganization perspective, but a view that emphasizes a weakening of personal and social controls that may result in deviant behavior.

In a move to clarify the effectiveness of controls, Reiss (1951:198) hypothesized that in most cases delinquency results from "a relative weakness of personal and social controls." To test this idea he studied success or failure of 1,110 white male delinquents on probation in Cook County, Chicago. He found that within primary groups, such as the family, the objective and psychological needs of the child must be met, and adequate moral role models must be provided for the individual to develop "contra delinquent personal controls" (Id.:198). Where these were not met, or where open disagreement and/or inappropriate supervision characterized the family, the child was more likely to have weak ego, or super-ego, control which resulted in delinquency and failure on probation. Social control was lessened by the crime rate of the area of residence and the mobility

of the family. Although Reiss' study has internal inconsistencies that tend to incorporate the expected outcome, it was one of the first attempts to move away from a societal or community level of explanation to a social psychological level to explain individual delinquency.

Further attempts in this direction appeared in the late fifties and early sixties in a series of articles by Reckless, Dinitz and Scarpitti (1962) in which self-concept as an insulating factor against delinquency was examined. The main questions were why non-delinquents in high delinquency areas remained non-delinquent and resisted the delinquency tradition of their neighborhood. It was hypothesized that a "good" self-concept steered an individual away from delinquency, while a "poor" self-concept offered no resistance to the temptations of delinquency. "The poor concept of self is indicative of a residual, unfavorable socialization and an indicator of weak inner direction, which in turn does not deflect the boy from bad companions and street corner society, does not enable him to embrace middle class values, and gives him an awareness of being cut off from upward movement in the legitimate opportunity system" (Reckless et. al., 1962:517).

These studies were criticized on a number of grounds. Voss (1971) questioned the implicit assumption that all boys in high delinquency areas have an equal opportunity to learn delinquent attitudes and behavior patterns. Others have criticized the investigators' evaluation that a delinquent

self-concept was a negative or "poor" self-concept (Tangri and Schwartz, 1967; Jensen, 1972). The research design utilized by Reckless and his coworkers also raises questions about possible interpretations of these data. The dichotomization of boys on the basis of teachers' evaluations of potential delinquents and non-delinquents does not provide any information on those boys not classified, nor does it provide a very accurate basis for identification of "good" versus "bad" boys (Tangri and Schwartz, 1967). These studies did not show that an evaluation by others is related to future experiences; the question of whether or not these boys know and accept these evaluations is still unanswered. "It might be argued, for example, that a poor self-concept ought to produce behavior more in conformity with the demands of significant others like mother or teacher. Or does poor self-concept, according to Tangri and Schwartz (1967), lead to rejecting the rejectors and subsequent attribution of significance to those others who prove rewarding to the self (say, delinquent peers)?" "Does poor self-concept leave one vulnerable to delinquency only where delinquent alternatives to conformity are available?" (Tangri and Schwartz, 1967). Tangri and Schwartz further suggest that the attribution of significance to others may vary by situation. Perhaps rejection by a teacher forces a child to turn for support to the family; this may vary not only by situation, but over time.

In his discussion on "theoretical convergence" of containment theory and differential association, Voss (1969) presented evidence suggesting that the two theories are complementary. He points out that the same mechanisms are posited by Sutherland to explain the delinquent's behavior that Reckless and Dinitz used to explain the nondelinquent's lack of involvement in delinquency. Voss asserts:

"Sutherland stressed the crucial importance of the process of differential association (or prodelinquent socialization) in the acquisition of definitions favorable or unfavorable to violation of law; while Reckless and Dinitz emphasized the acquisition of 'socially appropriate' and 'socially inappropriate' self-conceptions, or the products of socialization processes" (Voss, 1969:383). In terms of prior socialization and the individual's self-conception, delinquent behavior may occur in a situation that the person defines as appropriate for law violation and for which the individual has prodelinquent attitudes. In other words, a person may commit delinquent acts if situations arise in which he sees himself as one who can act in a delinquent manner due to the attitudes and values he holds (Hartung, 1966).

Reckless' (1961) statement of containment theory was an attempt to spell out in more detail the implications of control mechanisms for the individual. This theory is phrased in terms of inner and outer containment. Inner containment, per Reckless (1961:45), refers to "the

structural buffer in the person's immediate social world which is able to hold him within bounds." Reckless asserts: "containment theory points to the regulation of normative behavior through resistance to deviancy as well as through direction toward legitimate social expectations" (Id.:45). Environmental pressures and pulls as well as organic and psychological pushes are "handled" by the individual's inner and outer containment systems to resist the temptations of delinquency.

As Jensen (1970) points out, this theoretical statement is little more than a classification system filled with contradictions and ambiguities. Certain types of delinquency are excluded from the theory, but are used as examples of the pushes and pulls applied to the individual.

Reckless' attempt to develop a theory on the basis of his research regarding self-conceptions of "good" and "bad" boys was preceded by Toby's (1957) theoretical integration of the societal and social-psychological approaches. Toby saw social disorganization as the explanation of community rates of crime and delinquency: troubled people concentrated in slums do not concern themselves with anyone else; this reduces the effectiveness of social controls. For the individual, however, delinquent behavior may result from lowered "stakes in conformity." For example, the individual from the lower socio-economic strata with little motivation and encouragement from his family, views school as meaningless, and therefore is likely to drop out. He can

usually anticipate finding only unskilled jobs with no possibility of advancement. In this situation deviant behavior might jeopardize very little. However, for the individual from the middle and upper socio-economic levels, for whom there is a greater interest in conformity, be it material or for other reasons, the attraction to deviant behavior has less appeal. That individual's stake in conformity is so high, he can resist the temptation of delinquency in lieu of potential future gratification.

Obviously, Toby's theory is a class-linked perspective that reflects the findings of many studies based on official data that had been collected prior to the appearance of his formulation. His theory also reflects an image of man as amoral. There remains throughout this literature an underlying assumption that man is, by birth and constitution, evil, but the evilness can be modified by culture. Without appropriate restraint from both internalized values and external "instrumental" techniques, deviance is the inevitable result (Nadel, 1953). Nye (1958) suggests that the implication for theory is that delinquency is not caused but prevented by the presence of adequate, effective controls. He identifies four patterns of attitudes and behavior that must be considered in an analysis of social control: (1) direct control of restrictions and punishments applied to an individual; (2) internalized control of the conscience; (3) indirect control of affectional ties; and (4) the availability of

alternative means to achieve goals and values. Conscience would be sufficient to prevent delinquency if internalization were complete and perfect. Indirect controls are only as effective as the ties of the individual to the "teacher." And direct control depends upon the possibility of detection and exposure to the authorities for delinquency committed.

Korn and McCorkle (1959) suggested an intervening variable between one's self-concept or internal controls and delinquent behavior--role fulfillment. They argued that the juveniles in their study were not committed to the act itself or to the goal of the act (in this case, the money acquired by theft), but rather to group expectations. Each boy, encouraged by what he thought the others expected of him, continued to participate, and thus, encouraged the others to think that he expected the same of them. Each became committed "to the extent that his self-evaluation is critically dependent on the evaluations of a person or a group with which he is involved" (Korn and McCorkle, 1959:342).

This sense of commitment, as Matza (1964:28) points out, does not imply "rendering oneself presently and in the future unavailable for other lines of action." Thus, Matza disagrees with theorists who emphasize subcultural participation. Subcultural delinquency theorists had held that the delinquent's activities were essentially mandatory due to his commitment to an ethical code which demanded such

conduct. In contrast, Matza saw the delinquent at drift between two worlds--the world of adulthood with its responsibilities and the world of youth and its leisure values (Sykes and Matza, 1957). In this view delinquents are not committed to either world, nor are they free of the responsibilities and constraints of either worlds. On a smaller scale, within any given situation, "commitment" may occur through shared misunderstandings that lead each delinquent to feel he has the support of all of the others involved (Matza, 1964). Delinquency does not happen simply because constraints are removed. The missing element, not considered by Matza is will: what choice does the delinquent make in unstructured situations?

Briar and Piliavin (1965) assume that delinquent acts are situationally induced, that is, prompted by the short-term goals, desires and loyalties existing in a particular place and time, rather than any long-term motives. Nevertheless, the motives arising within a situation may not lead to action if prevented by the individual's stakes in conformity. Briar and Piliavin (1965:38) suggest that "whether or not the motives to deviate are situationally induced, the behavioral expression of them depends on the degree to which the individuals experiencing the motives also experience constraints against that behavior." Such elements as the ease with which the deviant act can be performed, the risk of detection and pre-conditioned motivation can lead to deviance, even in

(the behavior of) boys with high stakes in conformity. These stakes may perhaps decrease over time, as relationships with parents change, for example, or increase, as marriage and full-time employment occur. This would explain the "maturing out" of delinquency that gradually occurs in late adolescence.

As can be clearly seen, both deviance and conformity are deeply rooted in the personality of the individual. This thesis has brought forth and explained existing suppositions concerning the birth, development and possibly the displacement of deviance. I hasten to note that, although it has not been specifically pointed out, the individual described may or may not be incarcerated; he may or may not be faced with legal proceedings such as an arraignment or a parole board. The individual discussed is one who has deviated predicated on a multiplicity of reasons, including theories generated by stress or strain, motivations, attitudes, among others.

In a prison, a check of the public eye is removed; and the power of the law is spent. There are few fears, there are no blushes. The lewd inflame the more modest; the audacious harden the timid. Everyone fortifies himself as he can against his own remaining sensibility; endeavoring to practice on others the arts that are practiced on himself; and to gain the applause of his worst associates by imitating their manners (Howard, cited by W. Eyres, 1974:12).

PART 2. THE INTEGRATION OF THE INDIVIDUAL INTO THE PRISON COMMUNITY.

II.2.1. Introduction.

During the latter part of the eighteenth century, John Howard made this statement describing the penal institution of his day. Perhaps the wording seems quaint and outmoded, but the prison life described has unfortunately persisted in varying degrees, and the corrosiveness of that life has continued to alarm the reformers of each succeeding generation. Prison experience today, as in the past, has a considerable bearing on the fulfillment of the most important aim of criminal justice, that is, the safe guarding of law and the protection of the law abiding community through the modification of the behavior of prisoners. Specialists in rehabilitation have become increasingly convinced that the experiences the individual has in prison social life have a greater impact than the various formal schemes for rehabilitation set up by prison administrations.

The word prison means different things to different people. To the law-abiding, it is the setting where

criminals are eventually placed. To the criminal, it may be a vague hazard or an unavoidable indignity frequently experienced; to the socially inadequate, it may be a shelter; to some isolated individuals, it may be the only place where they can find some semblance of companionship. To the correctional officer, it is a place of work; and to the prison administrator, it is a unit that financially requires so much to operate, comprises so many staff, and can hold so many inmates. To hundreds of thousands of persons called inmates, it is an experience which slows up time, crowds them together, sets them apart, and changes the course of their lives (Klare, 1973). Prisons are total institutions where a caste-like system is in existence with inmates frozen in position. They never aspire to rise above the status of inmates as long as they remain in the institution. This fact tends to inhibit any motivation towards personal growth and development.

One of the functions of the correctional system is the protection of society from the actions of those whose behavior or potential behavior is believed to be dangerous to the persons or property of others. Our population is not screened in order to isolate such persons. However, when the court convicts an individual of a serious offense, a pre-sentence investigation often reveals characteristics of the offender that are perceived to make him a threat to others. Many criminals are confined in prison for long periods on the assumption that they are a menace to society

when at liberty. The custodial institution, at least temporarily, serves the function of incapacitating the offender. What is not generally recognized is that any form of supervision in the community also can provide a protective function. Probation or parole supervision helps to protect society by setting limits on the activity of an individual and discouraging behavior that might be dangerous to persons or property of others. To be certain, an individual cannot be as strictly supervised in the community as is possible in prison.

As pointed out by Weihofen (1956), the United States has the most severe system of punishments in the Western world. Persons convicted of a crime in virtually every developed country of the world serve less time for the same offense than do persons convicted of criminal acts in the United States.

Punishment is not currently considered a central technique for controlling crime (Haskell and Yablonsky, 1974). Yet a sense of retaliation exists in most societies and it is difficult to erase. The basic goals of punishment as specifically employed in the correctional field are two-fold. One alleged function of punishment is to deter future crime on the part of the individual punished (Durkheim, 1950). Deterrents work very ineffectively. It is true that some persons are deterred, however, there is no great difference between the effects of different types of punishment. Greater punishment is not necessarily a better

deterrent, and in some cases, deterrents demonstrably do not work at all. For certain criminals, those who are unable to learn from experience, or those whose stake in a law-abiding society is minimal, or who already think of themselves as outcasts, and those whose only prestige can come from the esteem of other criminals, deterrence has no effect on deviance. However, the received view of the public is that deterrence controls deviance. Unfortunately, the person on the street maintains a simplistic belief in a casualistic relationship between crime and punishment not fully understanding other interactive causalities (Johnston, 1962).

A second postulated function of punishment is to reinforce the existing social norms by demonstrating to society at large that there is a response to deviant behavior. It is assumed that punishment gives the law-abiding members of a society a greater sense of solidarity and cohesion (Durkheim, 1950).

Although there is no available evidence to support the contention that punishment deters, the belief still persists (Tittle, 1969). In the New World, the Quaker Criminal Code of 1682 was the first to rely on imprisonment as a mode of punishment and reform. This code substituted imprisonment for the death penalty for all crimes except murder. Punishment was provided for most forms of behavior that the Quakers regarded as immoral. The code also combined distributive punishment with retributive punishment, for

example, if the offender was not able to make appropriate restitution, he was imprisoned for seven years. "Lands and goods of 'thieves and felons' were liable to confiscation in order to render satisfaction to injured parties, and if they had no property, they were sent to work in the workhouse until satisfaction was rendered" (Baines and Teeters, 1943).

In 1829, Pennsylvania was the first state to establish a penitentiary that was not merely a prison, as it emphasized reform over punishment. It was founded on the principle of solitude or separate confinement. This differs from solitary confinement in which communication is barred. The prisoner remained in his cell at all times with the exception of when he was permitted to exercise. The prisoner was not permitted to see or communicate with any other inmate. He was encouraged to communicate with members of the prison staff, with members of the visiting committee of the Philadelphia Prison Society and with others authorized such as the clergy. When the penitentiary was first advocated in Pennsylvania, it was considered fundamental that education and religious instruction go hand-in-hand if the prisoner were to be reformed. Aside from religious education by the "moral instruction," there was no definite formal educational instruction in the Pennsylvania Eastern Penitentiary until 1845. Even then, education and training was introduced because it was considered an important force in reformation. It soon

became apparent, however, that if the individual was to succeed in the community, he had to be rehabilitated, and that he had to acquire skills that would help him find employment in the community.

The prison work programs of the day did not help much in that direction. Most work programs were introduced to the prisons as a form of punishment. Even the sentences reflected this purpose. A man was sentenced to "confinement at hard labor." The work assigned was intended as punishment. Later on, when introduced by the Quakers, hard labor was viewed as useful and reformatory. The prisoner was observed to develop good work habits; however, the need to acquire skills that would be useful upon release was not given real consideration until quite recently.

When prisons began to assume a rehabilitative function, they improved their educational and vocational training programs. In the 20th century, education came to be seen as both reformatory and rehabilitative. The clearly reformatory aim was to induce the inmate to adopt the goals and attitudes in accord with those of society. The clearly rehabilitative aim was to develop skill, understanding and knowledge that would enable the individual to perform the ordinary duties of an efficient citizen. This led to emphasis on vocational education.

Born of the idea that correction of the offender is best accomplished in an isolated, controlled, punitive setting, the prison has become a testimony to the weakness

of earlier penal philosophy. All too frequently, the young offender enters the prison situation as an unskilled laborer and departs having learned only how to make license plates, which are only manufactured in prison. Most prisons do provide some instruction in occupations related to work in the community; however, this rehabilitative function is inadequate or incomplete unless parole supervision in the community is effective. Even if the prisoner is taught a trade, he needs help in developing meaningful relationships with his family and with others in the community. For most people in prison little or nothing is done to rehabilitate. The function can usually be performed more effectively in the community by probation, parole and other such agencies. Rehabilitation, while a function of the correctional system, is for the most part unsuccessful and inadequate (Haskell and Yablonsky, 1974).

As postulated by Berk (1966), prisons not only fail to correct, but also advance the amateur offender's knowledge of the criminal process; bringing vast numbers of criminal types together, they serve as professional schools in crime. Not only does the prison fail to offer adequate treatment facilities, but it often tends to degrade and dehumanize the already deficient offender.

Many less serious offenders are immediately exposed to a wider range of criminality than they would normally have experienced in day-to-day contact in the community. While the great majority of incarcerated offenders are male, mostly between the ages of 16 and 30, more than 80 percent have failed to complete four years of high school (Elliott, 1966). Consequently, the unskilled or marginally skilled laborer, service worker, operative, or craftsman foreman is disproportionately represented among the prisoner population. The typical offender enters the correctional system at the level of the city or county jail and receives minimal treatment upon entrance. The emphasis is clearly custodial. As indicated by Clemmer (1940):

With only slight changes, the same body of rules has been in use for over 15 years. Excepting those ordinances which deal with the cleanliness of the institutions, the basic thought in every rule is to prevent riots and escapes. The attitude of the officials, that the essential purpose of the prison is incapacitation, is traditional. When new officials take office they are in communication for weeks or months with the employees that they are to replace. This gives sufficient time to indoctrinate the neophyte employee. Even if the tradition was not transferred from officer to officer, newly appointed workers would hold to the orientation that the purpose of prison is incapacitation and retribution, having assimilated these ideations from a society in which they are prevalent.

II.2.2. Factors Effecting Inmate Behavior

According to Haven (1970:19), "Whether the offender is changed for the better or the worse, during the course of institutionalization if he is in fact changed at all,

should be reflected in measures sensitive to the alterations in his personality." The study of the characteristics of the incarcerated offender and personality changes that occur during incarceration is important if effective methods of treatment are to be developed.

Methodologically, this dissertation statistically measures the effects of the proximity to release, whether by a parole board review or conditional release against individual characteristics for determining usefulness of release as a tool of control. The underlying notion of this dissertation is to attempt to find if the incarcerated individual is able to sublimate his deviant personality (adjudged by noted misbehavior) prior to a pending release decision on the part of correctional authority. Thereafter, to consider a negative response by prison authorities on a release and its effect on the individual again as adjudged by "acting out" (misbehavior). If the inmate is capable of "masking" his otherwise deviant behavior to secure release then what exactly is the effect of release as a tool of social control in the prison environment? This thesis will statistically review reported misbehavior on the part of 621 incarcerated individuals over a six-month time frame. During that frame of reference a time series regressive analysis was performed to determine the rates of individual misbehavior prior to and after release determination. If there is no reliable correlation between behavior and proximity to release, the question must be brought as to the

prison administration's purview regarding release and release as a tool of behavior modification.

Studies of socialization and/or personality change in prison communities have frequently utilized two temporal frames of reference within which to describe and interpret changes that occur on the part of inmates as they move through institutions. First, the usual method of treating the time variable has been to consider the length of exposure to the new situation or length of time served in prison. This framework was used by Clemmer (1940) in an early study where he observed that most inmates upon commitment gradually assimilated aspects of the prison culture. He called this assimilation the process of prisonization, which refers to the taking on in greater or lesser degree the folkways, mores, customs, and general culture of the penitentiary. The emphasis on duration of exposure to the prison and its culture led Clemmer to hypothesize a direct relationship between prisonization and length of time served. A second, and more recent, temporal context considers not only length of time served, but also length of time remaining to be served. This approach is rooted in reference to group theory and emphasizes such concepts as anticipatory socialization. This is the frame of reference employed by Wheeler (1961) in his study of state reformaties. Wheeler classified inmates according to phases of their institutional career, such as, inmates were identified as being in the early, middle or late phases of

their institutional confinement and the degree to which they conform to staff norms was determined.

Further, a review of the literature revealed that two prominent trends of socialization were found to exist. Inmate norms, as well as other social and cultural elements in prison, not only exert a differential impact on inmates, but the point of heaviest impact also varies. For some inmates, the impact is greatest during the late phase, but for others it is during the middle period of confinement. Clemmer adds that the degree, to which an individual's personality changes, depends greatly upon his personality prior to imprisonment. A second determinant affecting complete prisonization refers to the kind and extent of relationships the inmate has with persons outside the walls. A third determinant refers to whether or not a man is affiliated in a prison primary or semi-primary group and this is related to the two points already mentioned. Yet a fourth determinant depends simply on chance--a chance placement in work gangs, living arrangements, etc. A fifth determinant pertains to whether or not a man accepts the dogma or codes of the prison culture. Other determinants depend upon age, criminality, nationality, race, regional conditioning, and every determinant is more or less inter-related with every other one. Most of the determinants set forth above will be discussed later in this thesis as their statistical relationships with misbehavior are measured.

Assimilation, as the concept is customarily applied, is

always a slow process. But prisonization, as the term is used here, is usually slow, but not necessarily so. The speed with which prisonization occurs depends upon the basic personality of the individual involved, his crime, age, home, neighborhood, intellectual level, situations into which he is placed in prison and other less obvious influences. The process does not necessarily proceed in an orderly or measured fashion, but tends to be irregular. In some cases, the process has been found working in cycles. The amount and speed of prisonization and/or personality change can be judged from man to man and in the same man from time to time. It is the excess number of changes in orientation which the men undergo which makes generalizations about the process so difficult (Wheeler, 1961).

According to Megargee and Bohn (1979), in the process of investigating personality changes that occurred during incarceration, consideration should be given to the possibility of individual differences among young adult offenders in responding to the experience of confinement. By delineating between groups or types of young adult offenders, it may be possible to discover common personality characteristics and identify patterns of change in personality during incarceration. Therefore, generating an objective and meaningful classification system into which offenders may be reliably grouped would be prerequisite to the systematic investigation of personality changes during incarceration. Even if overall rates of success for

different approaches to treatment in reformatories or prisons were similar, the treatment would probably have different effects on different types of offenders (Hood, 1967). The concept of different offenders reacting to different treatment modalities was reinforced by a similar position postulated by Goldstein and Linden (1969) in their study of hospitalized alcoholics. Here they suggested that the effect of alcoholism treatment programs met only minimal success because the programs were geared to a singular concept of the addictive personality. Goldstein and Linden were able to identify four distinct alcoholic types by using a multivariate classification of alcoholics according to their MMPI profiles. Each of which, according to the authors, would derive benefits from differential treatment programs designed for the specific types of alcoholic rather than a group treatment program for all persons labeled alcoholics.

In an unpublished manuscript summarized by Dahlstrom and Welsh (1960), Gallenbeck (1948) reported the results of an investigation of the effects of incarceration on 60 randomly selected state prison inmates. The subjects were administered the MMPI when they entered the prison and were retested three to six months later. A comparison of the test scores indicated elevated retest scores on most of the clinical scales with the exception of a significantly lower retest score on the scale Hy (hysteria). The retest score on the "cannot say" scale was also lower. Overall,

Gallenbeck suggested a general deterioration in personality.

Steininger (1957) also studied the effects of incarceration on state prison inmates. He reported contradictory results with lower retest scores on most of the scales except Scale L (Lie), K (Correction), and Hy (Hysteria), which were higher. His conclusion was thus a general improvement in personality transpired during incarceration.

In the study by Gill (1952) the MMPI test was incorporated to investigate the psychological effects of the first three months of imprisonment on the personality of first offenders. When the initial and retest MMPI scores were compared, higher retest scores were found on all of the validity and clinical scales, with the exception of a lower retest score on the "cannot say" scale. The largest mean increase was found on Scale D (Depression). Again, a general deterioration in personality is suggested.

Osterhoff (1973) conducted an investigation of personality changes in youthful or young adult offenders during incarceration, incorporating the MMPI as the measurement index. The author observed that the experience of incarceration had a positive effect on the personalities of some offenders, a negative effect on others, and no effect at all on others.

Bauer and Clark (1976) investigated personality differences using the MMPI among prison inmates that could be attributed to the number of felony offenses and the length

of incarceration. Their results supported the hypothesis that incarceration has a harmful effect on personality.

To reiterate, control theory assumes that man is by nature amoral and must learn the right and wrong things to do: "learning to be grown-up is learning to do the unnatural thing" (Brendemeier and Toby, 1960). If an individual wants a positive relationship with another individual, they must choose to submit to the other's influences, standards and expectations (Gold, 1963). Thus, there is the implicit assumption in control theory that attraction or affection for another is important in eliciting conventional behavior. Also, the rational element is significant: the rewards of conformity, whether they be material or emotional, must be perceived as outweighing those of deviance (Hirschi, 1972). Going one step further with Hirschi's assumptions on conformity, would be that the individual seeking release from prison will mimic expectant conventional behavior, if in fact the release is predictable. If the rewards on which the individual is dependent are not sufficient to elicit consistently conforming behavior, the individual is free to choose other courses of action which may be deviant or considered "acting out" as in prison. As reported by Clinard (1958) and affirmed in the report on Attica submitted by the New York State Special Commission (1972), individuals who are frustrated by unclear or conflicting rules will pursue their own interests and perhaps deviate if there is little reason to follow the rules, especially

if these rules involve sacrifice. Hirschi (1972) asserts that most individuals would deviate or misbehave, were it not for the ties they have to networks of interpersonal relations, commitments and beliefs--ties that lead to conformity and maintenance of social order. If the individual's bond to the social order is weakened or broken (such as a failure to be conditionally released or paroled), he is to that extent free to deviate or misbehave, but according to the theory not required to do so.

Reckless' (1961) statement concerning containment theory was an attempt to spell out in greater detail the implications of control mechanisms for the individual, vis-a-vis parole or conditional release. This theory is delineated in terms of inner and outer containment. Inner containment refers to the structural buffer in the person's immediate social world which attempts to hold him within bounds. Reckless asserts that containment theory points to the regulation of normative behavior through resistance to deviancy as well as through direction towards legitimate social expectations. According to Toby (1957), theoretical integration of the societal and social-psychological approaches for the individual delinquent behavior may result from lowered "stakes in conformity" such as a failure to release the inmate as a result of parole or conditional release. Conformity depends on its value and consequence to the individual.

II.2.3. Inmate Characteristics and Misconduct

Throughout the first part of this chapter, we have met with little resistance discussing the various theories of deviance as they relate to man; theoretical research is abundant and available. The ideas put forth by the various sociologists, psychologists and criminologists meshed well with the principles concerning misconduct and control. I purposely use the word "mesh" although I would be quite comfortable normally to use a word such as interaction. However, very few of the studies reviewed so far have utilized interactive research; that is, research that statistically correlates the significance of the correlation of independent and dependent variables. Therefore, up until this point in the research I have attempted to theoretically establish a link between the individual both in and out of prison and his relationship with control. In this thesis we have noted and discussed the individual and deviance; the incarcerated individual and deviance (misconduct); and specific characteristics which positively or for that matter negatively correlate with misconduct. Prior to reviewing the various pieces of literature which directly impact upon prison misconduct, I would first like to discuss the term empirical research as opposed to theoretical positions.

Philosophers of science commonly distinguish between facts, or that which is readily observable, and inferences, that is, "things and events which are not readily

observable, and attributes which cannot be perceived or otherwise directly observed by us," according to Hempel (1958). Maxwell (1962) adds that most scholars believe that the observable-theoretical distinction is a continuum and therefore a matter of degree rather than dichotomy. All theoretical entities have an observational component, what in psychological terminology is often referred to as the operational definition. Basically, the variables associated with individuals in psychological theories are inferences--hypothetical constructs. The misbehavior of the incarcerated, on the other hand is treated as an observable. In this thesis "acting out" or misbehavior has been observed by reflection of the activity on disciplinary reports and studied by the proximity of time to release.

As early as the mid-1930's, Skinner (1935) made the important observation that behavior is controlled by its consequences. The relationship between behavior and its effects on the environment has been emphasized by learning theorists ever since. During the course of this research we became aware of the possibility that proximity to release (as relates to prison) may result in a behavioral change in the inmate, wherein that individual may "act out" as a result of the stress brought on by potential release, thereby forfeiting release. On the other hand, the inmate may prepare himself for release by either behaving according to the rules as a result of his rehabilitation, or he may

feign the rehabilitative affect so as to be released to pursue deviance at a later time. Both of these thoughts reflect Skinner's early posit that behavior is controlled by its consequence.

II.2.4. Behavioral Control and Prison Misbehavior

As with participation in illegitimate activities (deviancy) in the larger society, involvement in rule infractions (misbehavior/deviance) in prison is not normally distributed among prisoners. Rather, a small percentage of the inmate population is disproportionately represented in official records of disciplinary activity. In this dissertation research, factors associated with differential involvement in known prison disciplinary infractions were examined in context with proximity to release.

Throughout the foregoing research we have attempted to incorporate theoretically the idea that the onset of a release hearing would correlate in either a negative or positive relation with stress. It has been hypothesized that stress would be explained by frustration and anger brought on by the seemingly unpredictableness of the releasing authorities rulings. Further, that the stress would be transposed into misbehavior. Hypothetically, prior to a parole board or conditional release, an inmate would be on his best behavior thereby attempting to facilitate the termination of further incarceration. On the other hand, it was thought that a failure to be paroled or conditionally

released would catalyze deviance. As has been said and will be stated later in this dissertation, what is actually being studied is the behavioral effect of discretionary release, and the power of that release to control behavior. If that control has no effect on misbehavior, then there should be strong consideration to eliminate the program. Kenneth Culp Davis (1973:3) stated:

"I think that in our system of government where law ends, tyranny need not begin. Where law ends, discretion begins and the exercise of discretion may mean either beneficence or tyranny, either justice or injustice, either reasonableness or arbitrariness."

According to the Official Report of the New York State Special Commission on Attica, (1972), parole is the principle method by which most inmates leave prison. But, as presently operated, parole procedures are unfair, and appear to inmates to be inequitable and irrational. For a correctional system to satisfy the principles set forth above, the grant or denial of parole must be measured by clear and comprehensible standards, disseminated to inmates in advance. The inmate must be told promptly if he has been granted parole and, if not, exactly why not. Further, an inmate's ticket out of Attica could come in one of three forms--maximum expiration, conditional release, and/or parole. Although products of a nineteenth century liberal tendency to encourage rehabilitation, by 1971 conditional release and parole had become by far the greatest source of inmate anxiety and control. There were very few inmates

interviewed by the Commission who did not list parole and conditional release among their chief grievances. According to the Attica report, forty-three citizens of New York State died at Attica correctional facility between September 9th and 13th, 1971. Thirty-nine of that number were killed and more than eighty others were wounded by gunfire during the fifteen minutes it took the State Police to retake the prison on September 13th.

Unfortunately for this study, there has been limited research, particularly longitudinal, in the study of stress and its effect on the inmate. There have been studies which have attempted to measure stress in prison (D'Atri, 1981; Suedfeld, 1977; Lee, 1966). For the most part their studies concern themselves with the environmental stress and not stress in relation to misbehavior. D'Atri (1981) in a methodologically fragile attempt did measure trends in blood pressure over time in prison. D'Atri's work indicates that blood pressure is higher initially, falls in the fifteen-to-thirty day category, and rises progressively after that with the duration of confinement. According to D'Atri, these results suggest that there is an initial period of two weeks of apprehension, anxiety or novelty associated with higher blood pressures; a short-term adjustment period from two weeks to one month during which pressures and anxiety decrease; and a long-term adaptation, or rather, maladaptation, during which pressures rise progressively. Poole and Regoli (1980) attempted to

determine, by questionnaire, the relationship of role stress (ambiguity of goals) to custodial (punitive control) orientation of correctional officer, factoring in education, job experience, role stress and the writing of misbehavior reports. The study found that with the greater the number of years of experience came less writing of misbehavior tickets. Poole and Regoli found that the number of tickets correlated with the amount of control an officer maintained over the inmate(s). More control less tickets.

Flanagan (1979) attempted to investigate changes in offending behavior that might be related to time served. Flanagan divided each inmate's sentence into quarters and computed the percentage of the prisoner's total infractions that were committed in each quarter for both short and long-term inmates. His data show that short-term inmates commit a greater proportion of their total infractions during the two middle quarters or stages of their sentences and the last quarter of the sentence is characterized by a sharp drop in offending behavior. It is Flanagan's impression that these findings are supportive of the notion, first espoused by Wheeler (1961), that the middle stages of the sentence--the period during which the inmate is farthest removed from the extra prison influences and most susceptible to the influence of fellow inmates--is characterized by the lowest degree of conformity to staff values. Apparently, as an inmate approaches a proximity to release, his values and behavior become more oriented to the

world outside the prison. Flanagan implies that misbehavior rates of short-term prisoners decline in the late stage of the sentence either because of the "anticipatory resocialization phenomena" or the "practical need to promote a favorable impression before the parole board." Holland and Holt (1980) have also observed a decline in disciplinary infractions as inmates approach or exceed their minimum parole eligibility. In respect to long-termers, Flanagan suggests that they "do not appear to pass through 'critical stages' characterized by higher levels of misconduct," followed by a pre-release period of lower incidence of infractions.

II.2.5. Predicting Inmate Misconduct

Of the forty or more studies undertaken to examine the association between inmate misconduct and various demographic, social and criminal justice systems factors; approximately five utilized multiple linear regression. There are many limiting factors in correlating misconduct, and a singular dependent variable, which seriously weakens the impact of these studies. Some of the inherent problems could be a shadow relation of another variable impacting on the two variable correlation which is not taken into consideration; or that two variables in conjunction with the dependent variable show a greater significance than each variable considered separately. And, finally, one never learns how well all of the variables taken together explain

the occurrence of misconduct.

I would now like to briefly discuss twelve independent variables and their singular relationship with misconduct. Each will be discussed at length in the later stages of this dissertation.

- Age.

In forty studies that have been reviewed, thirty-three found age to be consistently related to misconduct. Ninety percent of these studies have found that younger inmates show a higher rate of misconduct. That misconduct decreases as age increases.

- Race.

With respect to disciplinary infractions, we have found through the literature review that whites misbehave more frequently in some state prison systems, blacks offend more frequently in others and in some states there is no relationship between race and misconduct. As a result, no overall concensus can be drawn from the literature concerning race and the relationship to misconduct.

- Urban/Rural

Two studies reviewed noted misbehavior as somewhat correlated with inmates who resided in more highly populated areas. In two studies a significant relationship is found between urban inmates and misconduct. In two others no significant association

is reported. Lockwood's (1977) study found that sixty-seven percent of prison sexual aggressors resided in cities with populations over 500,000. In a California study on prison violence, Mueller and associates (1965) found that prison aggressors are drawn from counties with large urban populations at the same rate as is the total population of inmates.

- Marital Status.

Eighty percent of the studies found that inmates who have never been married are more likely to commit infractions than are inmates who are currently married or who have at some time in the past been married (Chapman, 1981). Two studies showed no significance. Jaman (1966) finds marital status at admission unproductive of prison violence.

- Employment.

Seven studies reporting on pre-incarceration employment find that inmates with greater job stability tend to violate institutional rules less frequently. In New York State, Lockwood (1977) reported that eighty-two percent of inmate aggressors had no occupation or were students prior to incarceration.

- Education.

Of thirteen studies considering the independent variable education, none showed significant correlation with misconduct.

- History of Drug/Alcohol Abuse.

There are three studies relating drug abuse and misbehavior; all three show no significant relationship. Alcohol use and misconduct studies show mixed results. Jaman (1972) and Coe (1961) find no relation between patterns of alcohol use and misbehavior. Both Flanagan (1979) and Myers and Levy (1978) find that the correlation shows less likelihood to violate institutional rules.

- Prior Felony Arrests.

The relationship between arrests as an adult and misconduct has been found to be either unrelated or weakly related to prison misconduct (Jaman, 1972; Coe, 1961; Brown and Spevacek, 1971; Callahan, 1970).

- Crime Caused Death or Violent Felony.

In general, inmates convicted of homicide tend to have less behavior infractions than the general population (Flanagan, 1980; Bolte, 1978; and Jaman, 1972).

Flanagan (1980) found that inmates convicted of robbery, rape and other felony sex offenses, kidnapping and assault had significantly higher misbehavior rates than other prisoners. Petersilia and Honig (1980) found that Michigan inmates serving a sentence for non-violent offense have higher misconduct rates than those convicted of violent offenses.

- Sentence Length.

Of the many research studies reviewed for this

dissertation, it has been shown that inmates who actually serve a term of more than five years violate institutional rules much less frequently than do inmates who are serving shorter sentences.

As has been stated earlier, there are a limited number of research studies concerning the prediction of institutional misbehavior and background characteristics as a group. In fact, there are five studies that used the statistical method of multiple regression; and only one, by Jaman (1972) used a validation sample as well as a construction sample. In essence, of the more than forty studies we reviewed, none showed significance between background characteristics and misconduct. Looking at the R² value obtained by Flanagan (1980) in his short-term inmate study (five years or less), the variables he used (age at admission, drug and alcohol use, employment, previous arrests, education, marital status and race) explained eighteen percent of the variation in institutional misbehavior. Age at admission (9%) and drug use (4%) accounted for most of the variance. In Flanagan's (1980), long-term study (five years or more), the R² value was thirteen percent. The highest R² value, thirty-nine percent, was found in a study conducted by Myers and Levy (1978), which used such characteristics as percent of life incarcerated, MMPI Depression scale score, Minnesota Paper Form Board score, use of alias, alcohol use and number of

police contacts as a juvenile. It should be noted however, that the Myers and Levy research used a small sample size (N=100) in comparison to the number of predictor variables employed (N=22) and that the average age of the sample was considerably older than the norm (between 36 and 41 years). Petersilia and Honig (1980) obtained R² values of thirty-five percent in both Michigan and Texas and nineteen percent in California. Their findings are not comparable to those of other studies in that they included several in-prison variables (e.g., prison work, treatment programs) which improve predictive power. Jaman's (1972) second sampling (validation sample) was able to predict seventeen percent of the variance utilizing six variables (juvenile commitment, age 29 or younger at commitment, base expectancy score medium or low; adult violent arrests, 2 or more; prior commitments, 2 or more; commitment offense, discounting homicide, forgery or checks).

Notwithstanding age and race variables which have shown predictive value research-wide, pre-incarceration variables do not emerge as either strong or consistent determinants of institutional misbehavior. Much like the deviant versus conformity discussion set forth earlier, there is no clear rationale as to why an individual conflicts with authority. Prediction of both deviance prior to prison, if the individual was caught, and deviance in prison is limited at best. The failure of theoreticians to operationally define their independent variables and of methodologists to

correlate their findings with theory, I believe have created several study areas which need to be considered in future research. The study addressed in this report, as you will find, has utilized most of the prediction variables discussed in this chapter. In addition, the study has also used independent variables such as the proximity to the parole board and conditional release. In conclusion at this point I must tend to agree with Flanagan when he writes:

"The factors that come into play to determine the extent of involvement in prison disciplinary matters clearly go beyond the demographic characteristics of the inmate. The inmate's record of disciplinary infractions is a product of his/her prior conditioning and experiences, the dimensions in which the prisoner finds himself and his/her reaction to that situation, as well as the reaction of correctional officials to the prisoner" (1979:150).

CHAPTER III: METHODOLOGY

The study focused on the effects of proximity to release date and inmate misbehavior. Specifically it investigated whether the incidence of inmate misbehavior differed in relation to time (three months or less before or after the inmate's potential release date). It is important to do all the same comparisons on other variables considering release statuses, which include parole and conditional releases to determine if there is a difference in the misbehavior rates based on proximity to potential release.

In conjunction with the primary hypothesis, a secondary hypothesis will also be tested. These secondary hypotheses will be formatted by measuring significant levels of inmate background characteristics, comparing those characteristics with prison misconduct before and after parole or conditional release dates. The null hypothesis statement in this instance will read that inmate background characteristics, to include sociodemographic and criminal history information, have no effect on the misconduct as exhibited by an inmate's involvement in the prison disciplinary mechanism at the .05 level of significance. Where significant relationships are identified, a PATH analysis to determine interrelationships among variables will be

developed. A variable will be declared significant only if it has a demonstrable effect over and above the net effect of all other variables combined.

SAMPLE

In order to examine the issues posed by this study, a sample was obtained based on the universe of all recorded data on all inmates in all years in the custody of the New York State Department of Correctional Services. The population was comprised of all male inmates in custody between May 1, 1984, and October 31, 1984, assigned to maximum security correctional facilities. The research sample for this study involved all inmates housed at the level "B", Maximum Security Eastern New York Correctional Facility, located in Napanoch New York, who were assigned to cell housing (as contrasted with dormitories) other than cells designated as either medical or disciplinary housing.

The cells in the study were designated as follows:

1. General confinement housing: indicating that no special program participation or prior behavioral history were a prerequisite for assignment (South Hall, East Wing, West Wing).
2. Prison industry housing: indicating that inmates assigned to this housing unit were employed in a prison industries program which, compared to other prison programs, pays wages four (4) times higher than the general wage (Block Three [B-3]).

3. Honor block housing: indicating the residents had a better than average prior disciplinary history and were eligible for "outside pass status" permitting work assignments outside of the facilities' secure perimeter (North Hall).

Inmate behavior as measured by involvement with and certification of guilt by the prison disciplinary mechanism (inmate misbehavior) is defined as sanctioned conduct, acts of commission or omission, as specified in the New York State department of Correctional Services "Standards of Inmate Behavior for All Institutions," (1983) rule book. This misconduct had been reported by a staff member on an "Inmate Misbehavior Report" (ticket) and adjudicated through the "Tier III" disciplinary system with a determination that the inmate did in fact violate a rule as charged. Conduct which was not noted or processed through this system or conduct so processed for which charges were dismissed are not defined as inmate misbehavior. There is no possible way for the researcher to have any knowledge of any unreported misbehavior or to assess the validity of any dismissed charges. The records in the study were collected after the fact to preserve the nonintrusive nature of the study.

DATA COLLECTION FOR THE STUDY

The data in this study were collected at the Eastern New York Correctional Facility during the time period May through October, 1984.

The subjects of the study were all inmates housed in any cell other than disciplinary or cells designated as medical as of 12:01 A.M. on May 1, 1984.

Inmates housed in disciplinary and/or medically designated cells, dormitories, annex housing and/or out of the facility on furlough, medical leave, or other type of leave which would cause them to not fulfill the conditions of both assignment to a general confinement cell and physical presence at the facility as of 12:01 A.M. on the study start date were excluded from this study.

At the start of the study the number of subjects by housing unit were: North-140, South-214, Wings-267, B(3)-288. This produced an initial study group of 909 subjects.

The study design called for data collection to last six months or until any unit (North Hall, South Hall, the Wings, or B(3) experienced population loss equal to fifty percent of the starting population. The study was completed on October 31, 1984, six months after the starting date. The population of the units at the end of the data collection phase of the study were: North-107, South-156, Wings-192, B(3)-166. The ending population of the study was 621 subjects.

The procedure for eliminating a subject from the study was as follows:

1. Inmates transferred out of the cell block complex in which they were housed at the start of the study for

reasons other than discipline, medical or temporary release (furlough) were dropped from the study regardless of whether the transfer was to another area of the facility, to another facility or to a form of release (Parole, Conditional Release or Maximum Expiration of Sentence).

2. Inmates transferred out of their initial housing units for medical reasons were retained in the study until completion of medical treatment and only dropped from the study if upon completion of treatment they were assigned to another housing unit.
3. Inmates involved in temporary release were continued in the study pending return to the facility and assignment to a housing unit. Those not returned to their original unit were dropped from the study.
4. Inmates involved in disciplinary proceedings who were transferred to disciplinary housing or to another facility were retained in the study if the time of confinement associated with the sentence of the disciplinary hearing was in excess of the time remaining in the study. This was the case in all such transfers during the study. No transfers between housing units, from housing units to disciplinary housing or to other facilities which were the result of a disciplinary hearing, resulted in an inmate being dropped from the study.

SETTING OF THE STUDY

The Eastern New York Correctional Facility (Eastern) is located in the Village of Napanoch, Town of Warwarsing, County of Ulster, State of New York. It is approximately ninety miles northwest of New York City and five miles north of the Village of Ellenville. The facility is built along the banks of the old Delaware and Hudson canal at the base of the Shawangum mountains of the Catskill mountain range in a rural/farming community.

Eastern was constructed in the early 1890's. It was modeled on the Auburn design, and was expanded during both the 1930's and 1950's, with a continuous series of renovations both to existing structures and construction of additional non-housing facilities.

The State of New York classifies the security level of facilities at six levels; Maximum A and B, Medium A and B, and Minimum A and B. In brief, prisoners in Maximum A are both extremely violent and extreme escape risks; those in Maximum B are extremely violent but less escape prone. Inmates in Medium A are moderate to non-violent but still escape prone; those in Medium B are moderate to non-violent and moderately escape prone. Prisoners in Minimum A are nonviolent and slightly escape prone; those in Minimum B are neither violent nor escape prone. Eastern is classified as a Maximum B. The programs at Eastern include education, vocational and academic (preliteracy through post-graduate

college), industries (silkscreening, woodworking, metal fabricating), farming, lumbering and community service projects. In addition there are the standard New York State Department of Correctional Services programs of counseling, recreation, visiting, therapy programs, religious programs, family festivals, and in-house maintenance employment (food service, building maintenance and services, and clerical services). Eastern is designated as a "full program facility." This means that there are no idle or unemployed inmates or inmates new to the system awaiting classification at Eastern. The facility is (and was at the time of the study) accredited by the American Correctional Association in accordance with their "Standards for Adult Correctional Facilities."

CODING OF VARIABLES

The data utilized in this study was drawn from the following records: warden's cards, disciplinary reports and hearing records, housing unit rosters, school rosters, inmate locator change notices, and inmate program rosters. The warden's cards are formatted to provide information which includes the following data: department identification number, date received by the Department of Correctional Services, parole eligibility date, conditional release eligibility date, maximum expiration of sentence date, name and classification of crime of conviction, number of counts in conviction, number of prior felony convictions,

consecutive or concurrent status of sentence, sentence minimum (in years, months, days), sentence maximum (in years, months, days), whether the determination of guilt was by plea or jury verdict, date of the crime(s) of conviction, location of the crime of conviction, a brief description of both the crime and the motivation for the crime as stated by the inmate at the time of reception into the state correctional system, date of arrest, date of birth, age at reception into prison system, sex, height, weight, color of hair and eyes, ethnic group (white, black, hispanic, other), religion, highest school grade attended and highest grade completed, usual occupation, dates (start and end) of last job, last wage, military service history, drug use history and drugs used with frequency of use, alcohol use history, place of birth, last address with time of residence, marital status (single, married, widow, divorced, separated, common law, unknown) and the names of parents and number of siblings, plus the name and address of other significant relatives such as spouse and/or children.

Disciplinary records provide the following information: date of offense, hearing officer, hearing level (I, II, III), penalty and offense classification by rule(s) violated. The penalty assessed is stated in a range from reprimand through loss of privileges to cell confinement, in addition to good time (time off a sentence for good behavior usually one-third (1/3) of the sentence maximum may be taken from an inmate found guilty of serious rule violations.

DATA CODING

The data from the records utilized in the study were coded as follows:

STUDY I.D. NUMBER: A random three digit number

HOUSING UNIT:

open 0 = solid door 1 = bars

special 0 = general confinement 1 = special

00 = general = Wings

10 = general = South Hall

01 = special = North Hall, Honor Block

11 = special = B-3, Industries' Housing

COLLEGE ENROLLED: 0 = not enrolled

1 = enrolled

DATE RECEIVED IN PRISON SYSTEM: 6 digit for MO/DA/YR

PAROLE ELIGIBLE: 6 digit for MO/DA/YR

CONDITIONAL RELEASE ELIGIBLE: 6 digit for MO/DA/YR

MAXIMUM EXPIRATION OF SENTENCE: 6 Digit for MO/DA/YR

COUNTS IN CONVICTION: number of counts 1-9 with
9=9 or 9+

RECIDIVISM HISTORY: 0 = not recidivist

1 = recidivist

SENTENCE MINIMUM: 6 digit for YR/MO/DA

SENTENCE MAXIMUM: 6 digit for YR/MO/DA
(life sentence coded 99/99/99)

DATE OF CRIME: 6 digit for MO/DA/YR

SETTING OF CRIME: crime setting
0 = rural
1 = urban
2 = suburban

SUBSTANCE IN CRIME: drugs or alcohol involved in the crime
as motive, object objective or excuse

VIOLENCE INVOLVED IN CRIME: weapon or violence involved
0 = non-violent crime
1 = violent crime
(arson coded 0)

DEATH RESULTING FROM CRIME: did crime cause death
0 = death not caused
1 = death caused as result

SUBJECT DATE OF BIRTH: 6 digit for MO/DA/YR

AGE AT RECEPTION IN PRISON: 2 digit number for age in years

SUBJECT RACIAL CLASSIFICATION: reported race of subject
00 = white
01 = black
10 = hispanic
11 = other

SUBJECT REPORTED RELIGION: religion group membership

000 = Catholic

001 = Protestant

010 = Jewish

011 = Muslim

100 = other

101 = none

111 = unknown

EDUCATION PRIOR TO PRISON: highest level reported

grade attended 2 digit

grade completed 2 digit

00 = no education

08 = eighth grade

16 = 4 year college

17 = masters degree

18 = Ph.D or M.D.

EMPLOYMENT STATUS: reported ending date of last job

REPORTED DRUG USAGE: drug usage reported in records

00 = none

10 = marijuana only

01 = drugs other than marijuana
(heroin, cocaine, barbiturates)

11 = marijuana plus other drugs

ALCOHOL USAGE REPORTED: reported level of regular use

0 = moderate or non use

1 = excessive use

REPORTED MARITAL STATUS: subject marital status at reception

000 = single

001 = married

010 = widow

011 = common-law marriage
recognized

100 = separated

101 = divorced

111 = unknown

CONVICTION FORMALITY: conviction by plea or trial

0 = plea

1 = trial verdict of guilt

ARREST DATES: 4 digit for MO/YR

LEVEL OF DISCIPLINARY HEARING; hearing level (1, 2, 3)

HEARING OFFICER: abbreviation of hearing officer name

PENALTY ASSESSED: type of penalty

1 = cell confinement

2 = loss of privileges (phone, etc.)

3 = confinement plus loss of privilege

4 = other (reprimand, loss of visits)

DAYS OF NON-CONFINEMENT PENALTY: 3 digit number in days

DAYS OF CONFINEMENT TO CELL: 3 digit number in days

MONTHS OF GOOD-TIME LOST: 2 digit number in months

LOCATION OF ACT OF MISBEHAVIOR: abbreviated name

0000 = unknown/unreported

DATE OF MISCONDUCT: 4 digit number for month/day

(all misbehavior records are for the
the period May 1, 1984 through
October 31, 1984)

TIME OF DAY OF MISBEHAVIOR: 4 digit number in military time
(e.g., 1:30 p.m. = 1330)

DEPARTMENT RULE VIOLATED: 5 digit rule charged and affirmed
(if more than one rule involved
the lowest number/most serious)

TOTAL NUMBER OF RULE VIOLATIONS CHARGED:

1 digit 1-9 9=9 or 9+

DRUGS OR VIOLENCE IN CHARGED MISBEHAVIOR:

1 digit number

0 = neither

1 = drugs

2 = violent

RELEASE STATUS:

Parole Eligible 1985 or later
Parole Eligible, April, 1984
Parole Eligible, May, 1984
Parole Eligible, June, 1984
Parole Eligible, July, 1984
Parole Eligible, August, 1984
Parole Eligible, September, 1984
Parole Eligible, October, 1984
Parole Eligible, November, 1984
Parole Date within 3 months prior to study
Parole Month is December, 1984
Parole Date Eligibility 1984 or earlier
Conditional Release Date Eligibility 1985 or later
Conditional Release Date, April, 1984
Conditional Release Date, May, 1984
Conditional Release Date, June, 1984
Conditional Release Date, July, 1984
Conditional Release Date, August, 1984
Conditional Release Date, September, 1984
Conditional Release Date, October, 1984
Conditional Release Date, November, 1984
Conditional Release Date within 3 months prior to study
Conditional Release is December, 1984
Past Conditional Release Date, 1984 or earlier

HYPOTHESIS TESTING

For the purpose of this study "Inmate Behavior" will be defined as rule violations that result in a disciplinary hearing which produces a disposition of guilty. The basic hypothesis to be examined in this dissertation will be to analyze the effects, if any, on the inmate caused by the proximity to a release date whether it be conditional or parole. The specific effect studied was the exhibition, on the part of the inmate, of misconduct rates. Proximity to release is considered the amount of time prior to an inmate's parole board review or conditional release date. The study, a snapshot of the prison population at the Eastern facility over a six-month timeframe has tested, and specifically attempted to adjudge stress brought on by a release date and also the stress effect after the parole board or conditional release date(s). Therefore, for the purposes of this dissertation, both conditional release and parole eligibility status will be considered between April, 1984, to November, 1984; eligibility status from January, 1985; past parole and conditional release eligibility from January, 1985; and more specifically, parole and conditional release eligibility date(s) between January and March, 1985. The foregoing timeframes will be analyzed to determine the amounts of misconduct against proximity to release to attempt to correlate misconduct with concomitant stress factors. The set hypotheses will be tested by attempting to reject the null hypothesis statement which will read:

proximity to or passing of potential parole or conditional release date has no effect on inmate behavior as exhibited by involvement with the prison disciplinary mechanism at the .05 confidence limit.

Past research has focused on (1) the stress-related behavioral effects of situational stressors, and, (2) correlates of misbehavior.

HYPOTHESIS I

This hypothesis focuses on whether the proximity of a parole board (contrasted with the lack of a proximate parole board) inhibits inmate misbehavior. The basis of this hypothesis is that the inmate will make a conscious effort not to misbehave prior to a scheduled parole board.

H1: Inmates prior to the parole board will receive fewer and/or less serious misbehavior reports than inmates without a scheduled board, wherein the parole board acts as a tool of behavioral control.

HYPOTHESIS II

This hypothesis focuses on whether the proximity of conditional release (contrasted with the lack of a scheduled conditional release) inhibits inmate misbehavior. The basis of this hypothesis is that the inmate will make a conscious effort not to misbehave prior to a scheduled conditional release date.

H2: Inmates prior to conditional release will receive fewer and/or less serious misbehavior reports than inmates without a conditional release date; wherein conditional release acts as a tool of behavior control.

HYPOTHESIS III

This hypothesis focuses on whether a notification to the inmate of the parole board's decision results in greater misbehavior on the part of the inmate. The basis of this hypothesis is that if the parole board is construed as a tool of behavioral control a receipt of notice of the board's determination, whether positive or negative, will result in more misbehavior than prior to a board.

H3: Inmates receiving negative parole notification will receive a greater amount and more serious misbehavior reports than inmates awaiting the board and/or its decision.

VARIABLES

The dependent variable for the testing of the hypotheses in this study is "Misbehavior Points." This is a continuous variable derived by assigning values to the following actions of the prison's disciplinary apparatus:

- Misbehavior Points equal 0 indicates either no hearing or no finding of guilt.
- Misbehavior Points equal 1 indicates a Tier 1 hearing for minor charges.
- Misbehavior Points equal 2 indicates a Tier 2 hearing for moderately serious charges.
- Misbehavior Points equal 3 indicates a Tier 3 hearing for very serious charges.

The sum of all hearings held concerning an inmate's conduct during this study were totaled using this point

scale for each hearing and the numerical sum across all hearings became the inmate's misbehavior point score total or "Misbehavior Points" used as the dependent variable in the study hereafter referred to as "points." Thus inmates with a few serious or multiple minor misbehaviors received higher totals than did inmates with either no serious or few non-serious misbehavior reports.

The independent variables used in this study were those which were thought to relate (based on prior studies) to the rate and seriousness of inmate misbehavior. These variables can be divided into demographic factors (e.g., age, ethnicity, religion), social factors (e.g., marriage, education, employment history), and criminal justice history factors (e.g., recidivism history, conviction offense type, age at conviction).

METHOD OF ANALYSIS

The statistical procedures used were both "Stepwise MAX-R" and "General Linear Model" (SAS Institute Inc., 1985) procedures. These were used to identify variables that were most significantly related to misbehavior points acquired by the subjects. These variables were then further analyzed both in combination with each other utilizing a procedure called CATMOD (SAS Institute, Inc., 1985) and in a "General Linear Model" procedure wherein each former independent variable was treated as a dependent variable and regressed on the other independent variables to review possible

interactions with other variables which had been noted as significant.

The effect of the use of both the "Stepwise MAX-R" and the "General Linear Model" procedures was to create the same statistical effect for the comparison of the test hypotheses as if the subjects had been "matched" on all other intervening and independent variables. This created a statistical equivalent of matching all subjects on the factors of age, race, religion, prior incarceration history, crime, employment and educational history, substance abuse history and institutional program factors not part of the hypothesis being tested. This matching effect was necessitated by the fact that assignment to the housing units could not be shown to be random and was probably based in part on some of the factors being tested for. This procedure permitted a comparison of the effect of each independent variable (status of release eligibility) on inmate misbehavior, independent of the impact (if any) of demographic or acquired factors, and independent of any other independent variable not involved in the test at that moment. Thus, the testing provided for each hypothetical independent variable to be permitted to independently account for behavioral variance in misbehavior points. The comparison groups are perfectly matched so that only the effect of the test variable is being assessed in relation to the dependent variable of misbehavior points.

Both the General Linear Model and the Stepwise procedures were used because, while they are both valid statistical tools, they often produce different results. The General Linear Model treats each independent variable as the last one to be introduced in the analysis process and it shows the effect of all variables in comparison to each other, this is done without providing the beta weight of the variables. The Stepwise procedure is a process that creates "in essence" the best fitted subset of the variables being tested (without specifying the subset size); this procedure also provides the beta weight of the tested variables. Beta weights indicate the positive or negative effect of the independent variables on the dependent variable, which is needed for certain levels of analysis. Thus the General Linear Model provides an overview of all variables and the Stepwise procedure provides a detailed look at high effect variables.

CHAPTER IV: RESULTS

In this chapter we examine the results of the analysis performed on the data concerning inmate misbehavior and the proximity of the parole board and/or conditional release date.

The first set of tables relates to all tested variables for 621 inmates. An assortment of independent variables were then regressed against 265 incidents of misbehavior occurring during the six month study period.

Table 1 utilizing a General Linear Model analysis shows the F values of 42 variables comprising 62 levels. Overall 15.75 percent of the variance of misbehavior status is explained. The variables which produced substantial F values are: inmate's current age; inmate age at incarceration (over or under age 25), conviction by plea or verdict; history of prior felony conviction; crime caused death; years currently incarcerated (more or less than five years); history of drug abuse and religion.

The variables and variable attributes utilized in the analysis and subsequently reported in Tables 1 through Tables 17 are constructed in the following manner.

Current Age:	1 = age 25 or less;
	0 = age 26 or more.

Incarceration Age:	1 = age 25 or less; 0 = age 26 or more.
Multiple Indictment:	1 = multiple count; 0 = single count.
Pre-Crime Employment Status:	1 = unemployed; 0 = employed.
Pre-Incarceration Literacy Status:	1 = below grade 6; 0 = grade 6 (+).
Conviction by Plea or Verdict:	1 = trial verdict; 0 = plea bargain.
Conviction for a Violent Crime:	1 = violent; 0 = nonviolent.
Prior Felony Conviction:	1 = yes; 0 = no.
Crime Caused Death:	1 = yes; 0 = no.
Enrolled in Prison College Program:	1 = yes; 0 = no.
More or Less Than % Years Incarcerated:	1 = 5 or less; 0 = 6 or more.
History of Combined Drug, Alcohol Abuse:	1 = both abused; 0 = one or none.
History of Alcohol Abuse:	1 = yes; 0 = no.

Race (dummy variable):	White;
	Black;
	Hispanic;
	Other.
Religion (dummy variable):	Catholic;
	Protestant;
	Jewish;
	Muslim;
	Other/None.
Marital Status (dummy variable):	Single;
	Married;
	Widow;
	Common Law;
	Other.
Urban or Rural Crime Setting:	1 = Urban;
	0 = Non-Urban.
Housing Unit (dummy variable):	North Hall;
	South Hall; Wings;
	Industries.

In the subsequent tables, the number of levels per variable is indicated by the column in the General Linear Model tables labeled LEVELS.

TABLE 1

D.V. = Misbehavior Points Against All Predictors

General Linear Model

Inmates N = 621

F Value = 1.85

PR>F = 0.0003

R2 = 0.1575

R = 0.0248

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Housing Unit	4	0.39
Current Age	2	3.95
Incarceration Age	2	6.87
Multiple Indictment	2	0.55
Pre-incarceration Employment	2	0.72
Pre-incarceration Literacy	2	0.24
Conviction by Plea/Verdict	2	1.67
Violent Crime Conviction	2	0.07
Prior Felony Conviction	2	9.47
Crime Caused Death	2	1.37
Prison College Enrollment	2	0.00
More/Less than 5 Years Incarcerated	2	1.74
Combined Drug & Alcohol Abuse	2	0.54
History of Alcohol Abuse	2	0.26
History of Drug Abuse	4	4.58
Race	4	0.85
Professed Religion	7	1.78
Marital Status	6	0.73
Crime Setting Urban/Rural	2	0.20
More/Less than 5 years to release	2	0.01

Table 1 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Parole Eligible 1985 or later	2	0.02
Parole Eligible, April, 1984	2	1.17
Parole Eligible, May, 1984	2	2.28
Parole Eligible, June, 1984	2	1.81
Parole Eligible, July, 1984	2	0.00
Parole Eligible, August, 1984	2	0.92
Parole Eligible, September, 1984	2	1.50
Parole Eligible, October, 1984	2	0.00
Parole Eligible, November, 1984	2	0.56
Past Parole Date, 1985	2	0.02
Past Parole Date, Jan/Feb/Mar, 1984	2	0.46
Conditional Release Date, Eligibility 1985 or later	2	0.01
Conditional Release Date April, 1984	2	0.66
Conditional Release Date May, 1984	2	0.92
Conditional Release Date June, 1984	2	1.69
Conditional Release Date July, 1984	2	1.31
Conditional Release Date August, 1984	2	1.03
Conditional Release Date September, 1984	2	1.22
Conditional Release Date October, 1984	2	1.25
Conditional Release Date November, 1984	2	6.74

Table 1 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Conditional Release Date After 3 months	2	0.01
Conditional Release Date Within 3 months	2	0.96

An analytical review of Table 1 indicates that the regression findings relating all variables to inmate misbehavior are of minimal significance. Overall, 15.75 percent of the variance in total misbehavior (points) is explained. It should be pointed out that the variable prison college enrollment, which has an F value of 0.00, and the variable more or less than five years to release, having an F value of 0.01, raised the suspicion of co-linearity. This issue was addressed by using these variables, along with other variables with questionably low F values, as the dependent variable against all other predictors. A result of that analysis eliminated that issue by utilizing these variables against all other predictors in a regression. Except for the variable of more or less than five years, which is designed to be co-linear with parole status, no significant results were manufactured as a result of that analysis. As a result, the question of co-linearity or that these variables were a linear composite of other variables in the equation, is moot. Of note, the variable more or less than five years to release is co-linear with parole status eligibility after the study period. This

level explores the five year conceptual window of cognitive relevance. A regression-deleting parole status has been run and this level is still not significant. Finally, the variables, which are the focus of this dissertation, did not in the analysis produce significant F values. The variables were subsequently coded to accommodate a stepwise procedure and an analysis was performed.

The best model, consists of 17 variable levels comprising 9 variables as used in the General Linear Model, and is set forth in Table 2. Overall 13.08 percent of the variance in misbehavior status is explained by the following variables/levels: inmate current age; inmate incarceration age (over or under age 25); conviction by plea or verdict; prior felony conviction; history of combined drug and alcohol use; history of drug use; marital status; religion; and proximity to release date.

TABLE 2

D.V. = Misbehavior Points Against All Predictors

Stepwise Procedure

Inmates N = 621

F Value = 5.34

PR>F = 0.0001

R2 = 0.1308

R = 0.0171

<u>INDEPENDENT VARIABLE</u>	<u>BETA +/-</u>	<u>F Value</u>	<u>PR > F</u>
Current Age	+	5.72	.0171
Incarceration Age	+	6.45	.0113
Conviction by Plea/Verdict	-	2.90	.0894
Prior Felony Conviction	+	9.29	.0024
Combined Drug & Alcohol Abuse	-	2.88	.0901
History of No Drug Abuse	-	12.12	.0005
History of Drug Abuse, Marijuana	-	10.56	.0012
History of Drug Abuse, Heroin	-	8.76	.0032
Marital Status, Common Law	+	2.56	.1098
Professed Religion, Protestant	+	3.47	.0629
Professed Religion, Jewish	+	2.25	.1338
Professed Religion, Muslim	+	6.46	.0113
Parole Eligible, April, 1984	+	3.78	.0524
Parole Eligible, May, 1984	+	3.51	.0616
Parole Eligible, September, 1984	+	3.13	.0772
Past Parole Date, Jan/Feb/Mar, 1984	-	2.92	.0879
Conditional Release Date November, 1984	+	5.41	.0204

The analysis of Table 2 indicates that the regression findings relating inmate misbehavior to all variables finds significant correlation for variables which pertain to release status. Additionally, other predictors were significant; however, overall these variables which appear to be significant do not provide a substantial explanation for the variation in misbehavior when related to overall misbehavior.

The components of Misbehavior Points, specifically Tier 1, Tier 2 and Tier 3 hearing involvement were used to replace Misbehavior Points as the dependent variable and the analysis programs were executed. These results are shown in Tables 3 through 8 and the results are set forth below.

Table 3 relates all tested variables for 621 inmates regressed against 68 incidents of Tier 1 misbehavior occurring during the six month study period.

Table 3 utilizing a General Linear Model analysis shows the F values of 42 variables comprising 62 levels. Overall, 9.21 percent of the variance in Tier 1 misbehavior is explained. The variables which produced the most significant F values are: housing unit; violent crime conviction; prior felony conviction; crime caused death; prison college enrollment; more/less than 5 years incarcerated; history of drug abuse; religion; marital status; and parole status.

TABLE 3

D.V. = Tier 1 Misbehavior Against All Predictors

General Linear Model

Inmates N = 621

F Value = 1.00

PR>F = 0.4739

R2 = 0.0921

R = 0.0085

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Housing Unit	4	1.38
Current Age	2	0.92
Incarceration Age	2	0.95
Multiple Indictment	2	0.51
Pre-incarceration Employment	2	0.24
Pre-incarceration Literacy	2	0.66
Conviction by Plea/Verdict	2	0.36
Violent Crime Conviction	2	1.24
Prior Felony Conviction	2	1.18
Crime Caused Death	2	1.09
Prison College Enrollment	2	2.31
More/Less than 5 Years Incarcerated	2	1.52
Combined Drug & Alcohol Abuse	2	0.15
History of Alcohol Abuse	2	0.43
History of Drug Abuse	4	2.13
Race	4	0.85
Professed Religion	7	1.50
Marital Status	6	1.58
Crime Setting Urban/Rural	2	0.14
More/Less than 5 years to release	2	0.19

Table 3 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Parole Eligible, 1985 or later	2	1.67
Parole Eligible, April, 1984	2	2.77
Parole Eligible, May, 1984	2	0.02
Parole Eligible, June, 1984	2	2.26
Parole Eligible, July, 1984	2	3.00
Parole Eligible, August, 1984	2	0.12
Parole Eligible, September, 1984	2	2.49
Parole Eligible, October, 1984	2	0.69
Parole Eligible, November, 1984	2	2.91
Past Parole Date, 1985	2	2.44
Past Parole Date, Jan/Feb/Mar, 1984	2	1.84
Conditional Release Date Eligibility 1985 or later	2	0.06
Conditional Release Date April, 1984	2	0.13
Conditional Release Date May, 1984	2	0.00
Conditional Release Date June, 1984	2	0.01
Conditional Release Date July, 1984	2	0.01
Conditional Release Date August, 1984	2	0.02
Conditional Release Date September, 1984	2	0.01
Conditional Release Date October, 1984	2	0.00
Conditional Release Date November, 1984	2	0.44

Table 3 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Conditional Release Date After 3 months	2	0.10
Conditional Release Date Within 3 months	2	0.04

An analytical review of Table 3 indicates that the regression findings relating all variables to Tier 1 misbehavior are of minimal significance. The variables were subsequently coded to accommodate a stepwise procedure and an analysis was performed.

The best model as stipulated by the computer package consisted of 8 variable levels comprising 6 variables as used in the General Linear Model and is set forth in Table 4. Overall 3.75 percent of the variance in Tier 1 misbehavior status is explained by the following variables/levels: inmate incarceration age; enrolled in prison college program; race; housing unit assignment; religion and proximity to release date.

TABLE 4

D.V. = Tier 1 Misbehavior Against All Predictors

Stepwise Procedure

Inmates N = 621

F Value = 2.98

PR>F = 0.0027

R2 = 0.0375

R = 0.0001

<u>INDEPENDENT VARIABLE</u>	<u>BETA +/-</u>	<u>F Value</u>	<u>PR > F</u>
Incarceration Age	+	3.15	.0764
Prison College Enrollment	+	2.16	.0424
Race - Spanish	-	4.97	.0262
Cell 3	+	2.58	.1084
Religion - Jewish	+	2.94	.0870
Parole Eligible 1985 or Later	+	3.48	.0626
Parole Eligible May, 1984	+	3.85	.0502
Parole Eligible August, 1984	+	2.61	.1064

The analysis of Table 4 indicates that the regression findings relating Tier 1 misbehavior to all variables finds significant correlation for variables relating to release status. Additionally, other predictors were significant, such as: inmate incarceration age; enrollment in prison college programs; race; housing unit assignment; religion; and proximity to release date. However, overall these variables do not provide a substantial explanation in Tier 1 misbehavior when related to the total of Tier 1 misbehaviors. Overall, only 3.75 percent of the variance in

Tier 1 level is accounted for. Both the F value and the PR>F value suggest a non-zero R-Square in the population. This validates the levels in Table 3 which also appear in this table.

Tables 5 and 6 relate all tested variables for 621 inmates regressed against 136 incidents of Tier 2 misbehavior occurring during the six month study period.

Table 5, utilizing a General Linear Model analysis, shows the F values of 42 variables comprising 62 levels.

TABLE 5

D.V. = Tier 2 Misbehavior Against All Predictors

General Linear Model

Inmates N = 621

F Value = 1.76

PR>F = 0.0008

R² = 0.1511

R = 0.0228

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Housing Unit	4	1.29
Current Age	2	5.31
Incarceration Age	2	6.11
Multiple Indictment	2	0.54
Pre-incarceration Employment	2	1.06
Pre-incarceration Literacy	2	1.07
Conviction by Plea/Verdict	2	2.39
Violent Crime Conviction	2	0.72
Prior Felony Conviction	2	3.65
Crime Caused Death	2	0.71
Prison College Enrollment	2	0.02

Table 5 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
More/Less than 5 Years Incarcerated	2	0.93
Combined Drug & Alcohol Abuse	2	0.25
History of Alcohol Abuse	2	0.11
History of Drug Abuse	4	1.05
Race	4	1.13
Professed Religion	7	2.46
Marital Status	6	0.61
Crime Setting Urban/Rural	2	1.99
More/Less than 5 years to release	2	0.27
Parole Eligible 1985, or later	2	0.06
Parole Eligible, April, 1984	2	1.79
Parole Eligible, May, 1984	2	1.43
Parole Eligible, June, 1984	2	0.86
Parole Eligible, July, 1984	2	0.02
Parole Eligible, August, 1984	2	0.04
Parole Eligible, September, 1984	2	2.49
Parole Eligible, October, 1984	2	0.00
Parole Eligible, November, 1984	2	0.13
Past Past Parole Date 1985	2	0.12
Past Parole Date, Jan/Feb/Mar, 1984	2	0.29
Conditional Release Date Eligibility 1985 or later	2	0.03

Table 5 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Conditional Release Date April, 1984	2	0.02
Conditional Release Date May, 1984	2	0.43
Conditional Release Date June, 1984	2	0.63
Conditional Release Date July, 1984	2	0.16
Conditional Release Date August, 1984	2	0.19
Conditional Release Date September, 1984	2	0.39
Conditional Release Date October, 1984	2	0.41
Conditional Release Date November, 1984	2	3.28
Conditional Release Date After 3 months	2	0.00
Conditional Release Date Within 3 months	2	0.35

An analytical review of Table 5 indicates that the regression findings relating all variables to Tier 2 misbehavior are of minimal significance. Overall 15.11 percent of the variance in Tier 2 misbehavior is explained. Both the F value and the $PR > F$ value suggest a non-zero R-Square in the population. The variables which produced substantial F values in the analysis above are: housing unit; current age; incarceration age; pre-incarceration employment; pre-incarceration literacy; conviction by

plea/verdict; prior felony conviction; history of drug abuse; race; religion; crime setting urban/rural; and release eligibility. The variables were subsequently coded to accomodate a stepwise procedure and an analysis was performed.

The best model package consisted of 13 variable levels comprising 7 variables as used in the General Linear Model and is set forth in Table 6.

TABLE 6

D.V. = Tier 2 Misbehavior Against All Predictors

Stepwise Procedure

Inmates N = 621

F Value = 6.44 PR>F = 0.0001 R2 = 0.1212 R = 0.0147

<u>INDEPENDENT VARIABLE</u>	<u>BETA +/-</u>	<u>F Value</u>	<u>PR > F</u>
Current Age	+	8.41	.0039
Incarceration Age	+	7.72	.0056
Conviction by Plea/Verdict	-	4.55	.0334
Prior Felony Conviction	+	3.56	.0596
Housing Unit	-	3.88	.0494
Professed Religion, Protestant	+	3.72	.0543
Professed Religion, Jewish	+	5.86	.0158
Professed Religion, Muslim	+	9.29	.0024
Parole Eligible 1985, or Later	+	3.18	.0749
Parole Eligible, April, 1984	+	6.33	.0121
Parole Eligible, May, 1984	+	4.23	.0402
Parole Eligible, September, 1984	+	8.46	.0038
Conditional Release Date November, 1984	+	4.47	.0349

The analysis of Table 6 indicates that the regression findings relating all variables to Tier 2 misbehavior finds significant correlation only for variables relating to release status. Additionally, other predictors were significant; such as, the variables of current age; age at conviction; conviction by plea/verdict; prior felony conviction; housing unit; religion; and proximity to release. These variables do not provide a substantial explanation in Tier 2 misbehavior status when related to the total of Tier 2 misbehavior. Overall, only 12.12 percent of the variance in misbehavior at the Tier 2 level is accounted for. Both the F value and the PR>F value suggest a non-zero R-Square in the population.

Table 7 relates all tested variables from 621 inmates against 61 incidents of Tier 3 misbehavior which occurred during the six month study period.

Table 7 utilizing a General Linear Model analysis shows the F values of 42 variables comprising 62 levels.

TABLE 7

D.V. = Tier 3 Misbehavior Against All Predictors

General Linear Model Inmates N = 621

F Value = 1.59 PR>F = 0.0052 R² = 0.1386 R = 0.0192

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Housing Unit	4	0.61
Current Age	2	0.10
Incarceration Age	2	1.63

Table 7 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Multiple Indictment	2	0.45
Pre-incarceration Employment	2	0.00
Pre-incarceration Literacy	2	0.03
Conviction by Plea/ Verdict	2	0.02
Violent Crime Conviction	2	1.55
Prior Felony Conviction	2	8.16
Crime Caused Death	2	2.09
Prison College Enrollment	2	0.63
More/Less than 5 Years Incarcerated	2	2.64
Combined Drug & Alcohol Abuse	2	0.33
History of Alcohol Abuse	2	1.42
History of Drug Abuse	4	6.40
Race	4	1.62
Professed Religion	7	0.27
Marital Status	6	1.59
Crime Setting Urban/Rural	2	0.85
More/Less than 5 years to release	2	1.09
Parole Eligible 1985 or later	2	0.17
Parole Eligible April, 1984	2	0.68
Parole Eligible May, 1984	2	1.41

Table 7 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Parole Eligible June, 1984	2	3.33
Parole Eligible July, 1984	2	0.12
Parole Eligible August, 1984	2	1.98
Parole Eligible September, 1984	2	0.56
Parole Eligible October, 1984	2	0.12
Parole Eligible November, 1984	2	0.11
Past Parole Date, 1985	2	1.54
Past Parole Date, Jan/Feb/Mar, 1984	2	0.01
Conditional Release Date Eligibility 1985 or later	2	0.28
Conditional Release Date April, 1984	2	3.38
Conditional Release Date May, 1984	2	0.84
Conditional Release Date June, 1984	2	1.86
Conditional Release Date July, 1984	2	2.51
Conditional Release Date August, 1984	2	1.89
Conditional Release Date September, 1984	2	1.60
Conditional Release Date October, 1984	2	1.62
Conditional Release Date November, 1984	2	7.28

Table 7 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Conditional Release Date After 3 months	2	0.08
Conditional Release Date Within 3 months	2	0.98

An analytical review of Table 7 indicates that the regression findings relating all variables to Tier 3 misbehavior are not very meaningful. Overall, 13.86 percent of the Tier 3 misbehavior is explained. Both the F value and the PR>F value suggest a non-zero R-Square in the population. In the analysis above, the most significant F values were produced by the following variables: age at conviction; violent crime conviction; prior felony conviction; crime caused death; more/less than 5 years to release; and release eligibility. The variables were subsequently coded to accommodate a stepwise procedure and an analysis was performed.

The best model consisted of 13 variable levels comprising 7 variables as used in the General Linear Model and is set forth in Table 8.

TABLE 8

D.V. = Tier 3 Misbehavior Against All Predictors

Stepwise Procedure

Inmates N = 621

F Value = 5.21

PR>F = 0.0001

R² = 0.0933

R = 0.0087

<u>INDEPENDENT VARIABLE</u>	<u>BETA +/-</u>	<u>F Value</u>	<u>PR > F</u>
Incarceration Age	+	2.83	.0929
Prior Felony Conviction	+	7.87	.0052
Combined Drug & Alcohol Abuse	-	5.22	.0226
History of No Drug Abuse	-	21.94	.0001
History of Drug Abuse, Marijuana	-	12.36	.0005
History of Drug Abuse, Heroin	-	6.13	.0135
Race, Spanish	+	4.46	.0352
Marital Status, Married	+	4.28	.0389
Marital Status, Common Law	+	5.72	.0170
Past Parole Date 1985	+	5.72	.0171
Conditional Release Date Eligibility, April, 1984	+	6.16	.0133
Conditional Release Date Eligibility, November, 1984	+	6.02	.0144
Conditional Release Date Eligibility Within 3 Months	+	3.79	.0521

The analysis of Table 8 indicates that the regression findings relating Tier 3 misbehavior to all variables finds significant correlation for variables relating to release status. Additionally, other predictors were significant;

however, overall these variables do not provide a substantial explanation in Tier 3 misbehavior status when related to the total of Tier 3 misbehaviors. Overall, 9.33 percent of the variance in misbehavior at the Tier 3 level is accounted for. Both the F value and the $PR > F$ value suggest a non-zero R-Square in the population. The analysis in Table 8 indicates that the following variables were significant: age at conviction; prior felony conviction; history of drug abuse; race; marital status; and proximity to release date.

The results of the analysis of all predictors against all dependent variable (Points, Tier 1 misbehavior, Tier 2 misbehavior and Tier 3 misbehavior) were compiled and compared. Analysis by variable or level in a General Linear Model analysis which had an F value were coded as positive (+). Variables in a stepwise procedure analysis which were noted as significant were coded as a positive (+). Variables which received four or more (+) indicators were then included in the second series of analysis programs. Variables which did not have four (+) indicators were dropped from the study. The result of this review of significance is displayed in Table 9.

TABLE 9: Summary of Significant Results
(Points, Tier 1)

<u>INDEPENDENT VARIABLE</u>	<u>POINTS</u>		<u>TIER 1</u>	
	<u>GLM</u>	<u>STEPWISE</u>	<u>GLM</u>	<u>STEPWISE</u>
Housing Unit				+
Current Age	+	+		
Incarceration Age	+	+		+
Multiple Indictment				
Pre-Incarceration Employment				
Pre-Incarceration Literacy				
Conviction by Plea Verdict	+	+		
Violent Crime Conviction			+	
Prior Felony Conviction	+	+	+	
Crime Caused Death	+		+	
Prison College Enrollment			+	+
More/Less than 5 Years Incarcerated	+			
Combined Drug & Alcohol Abuse		+		
History of Alcohol Abuse				
History of Drug Abuse	+	+	+	
Race				+
Professed Religion	+	+	+	+
Marital Status		+	+	

TABLE 9: Summary of Significant Results
(Points, Tier 1, Continued)

<u>INDEPENDENT VARIABLE</u>	<u>POINTS</u>		<u>TIER 1</u>	
	<u>GLM</u>	<u>STEPWISE</u>	<u>GLM</u>	<u>STEPWISE</u>
Crime Setting, Urban/Rural				
More/Less than 5 Years to Release				
Release	+	+	+	+

**TABLE 9: Summary of Significant Results
(Tier 2, Tier 3)**

<u>INDEPENDENT VARIABLE</u>	<u>TIER 2</u>		<u>TIER 3</u>	
	<u>GLM</u>	<u>STEPWISE</u>	<u>GLM</u>	<u>STEPWISE</u>
Housing Unit		+		
Current Age	+	+		
Incarceration Age	+	+	+	+
Multiple Indictment				
Pre-Incarceration Employment	+			
Pre-Incarceration Literacy	+			
Conviction by Plea Verdict	+	+		
Violent Crime Conviction			+	
Prior Felony Conviction	+	+	+	+
Crime Caused Death			+	
Prison College Enrollment				
More/Less than 5 Years Incarcerated			+	
Combined Drug & Alcohol Abuse				+
History of Alcohol Abuse			+	
History of Drug Abuse	+		+	+
Race	+		+	+
Professed Religion	+	+		
Marital Status			+	+

TABLE 9: Summary of Significant Results
(Tier 2, Tier 3, Continued)

<u>INDEPENDENT VARIABLE</u>	<u>TIER 2</u>		<u>TIER 3</u>	
	<u>GLM</u>	<u>STEPWISE</u>	<u>GLM</u>	<u>STEPWISE</u>
Crime Setting, Urban/Rural	+			
More/Less than 5 Years to Release			+	
Release	+	+	+	+

Based on these results the following variables were chosen for further analysis utilizing both the General Linear Model and the Stepwise Model procedures. The variables which were used in the subsequent analysis, noted in Table 9 as having significance, are as follows: current age; age at incarceration; conviction by plea/verdict; prior felony conviction; history of drug abuse; race; religion; marital status and proximity to release. The foregoing using the General Linear Model procedure provided 9 variables; utilizing stepwise procedures there will be 49 variable levels provided for further analysis. All selected variables were significant in at least 4 of the 8 preceding analysis programs.

The variables developed were reconfigured and used in a series of General Linear Model and Stepwise Procedure analysis using the dependent variables of Total Misbehavior (Points), Tier 1 Misbehavior, Tier 2 Misbehavior, and Tier 3 Misbehavior. The results of these analyses are presented in Tables as follows:

<u>TABLE</u>	<u>DEPENDENT VARIABLE</u>	<u>ANALYSIS PROCEDURE</u>
10	Total Misbehavior (Points)	General Linear Model
11	Total Misbehavior (Points)	Stepwise Procedure
12	Tier 1 Misbehavior	General Linear Model
13	Tier 1 Misbehavior	Stepwise Procedure
14	Tier 2 Misbehavior	General Linear Model
15	Tier 2 Misbehavior	Stepwise Procedure
16	Tier 3 Misbehavior	General Linear Model
17	Tier 3 Misbehavior	Stepwise Procedure

Tables 10 and 11 relate to 265 incidents of misbehavior (all Tier 1, Tier 2, and Tier 3 Misbehavior) which occurred during the study period. Table 10, using a General Linear Model analysis, shows the F value of 30 variables comprising 20 levels.

TABLE 10

D.V. = Misbehavior Points Against Selected Predictors

General Linear Model Inmates N = 621

F Value = 2.27 PR>F = 0.0001 R² = 0.1445 R = 0.0209

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Current Age	2	5.74
Incarceration Age	2	7.50
Conviction by Plea/Verdict	2	2.21
Prior Felony Conviction	2	10.24
History of Drug Abuse	4	4.30
Race	4	0.66
Professed Religion	7	1.79
Marital Status	6	0.79
Parole Eligible 1985 or later	2	0.01
Parole Eligible April, 1984	2	1.04
Parole Eligible May, 1984	2	1.79
Parole Eligible June, 1984	2	1.50
Parole Eligible July, 1984	2	0.02
Parole Eligible August, 1984	2	0.82
Parole Eligible September, 1984	2	1.16
Parole Eligible October, 1984	2	0.01
Parole Eligible November, 1984	2	0.82

Table 10 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Past Parole Date 1985	2	0.00
Past Parole Date, Jan/ Feb/Mar, 1984	2	0.66
Conditional Release Date Eligibility 1985 or later	2	0.01
Conditional Release Date April, 1984	2	0.63
Conditional Release Date May, 1984	2	0.67
Conditional Release Date June, 1984	2	1.52
Conditional Release Date July, 1984	2	1.19
Conditional Release Date August, 1984	2	1.22
Conditional Release Date September, 1984	2	1.04
Conditional Release Date October, 1984	2	0.73
Conditional Release Date November, 1984	2	6.90
Conditional Release Date After 3 months	2	0.02
Conditional Release Date Within 3 months	2	0.92

The analysis of Table 10 shows that against the Total Misbehavior variable (Points), the regression findings were not very significant. Overall, 14.45 percent of the variance in Total Misbehavior is explained. Both the F value and the PR>F value suggest a non-zero R-Square in the

population. The variables which produced substantial F values in this analysis are: current age; incarceration age; prior felony conviction; history of drug abuse; and the conditional release date of November, 1984.

The variables were then coded to accommodate a stepwise analysis procedure. The results of this analysis indicated that 17 factors comprising the 8 variables of current age; incarceration age; conviction by plea/verdict; prior felony conviction; history of drug use; marital status; religion and proximity to release were significant.

TABLE 11

D.V. = Misbehavior Points Against Selected Predictors

Stepwise Procedure

Inmates N = 621

F Value = 5.29

PR>F = 0.0001

R² = 0.1298

R = 0.0167

<u>INDEPENDENT VARIABLE</u>	<u>BETA +/-</u>	<u>F VALUE</u>	<u>PR > F</u>
Current Age	+	5.87	.0157
Incarceration Age	+	6.53	.0108
Conviction by Plea/Verdict	-	2.65	.1044
Prior Felony Conviction	+	10.10	.0016
History of No Drug Abuse	-	10.44	.0013
History of Drug Abuse, Marijuana	-	9.79	.0018
History of Drug Abuse, Heroin	-	9.09	.0027
Marital Status, Common Law	+	2.36	.1248
Professed Religion, Protestant	+	3.63	.0574
Professed Religion, Jewish	+	2.42	.1200
Professed Religion, Muslim	+	7.67	.0058

Table 11 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>BETA +/-</u>	<u>F VALUE</u>	<u>PR > F</u>
Parole Eligible, April, 1984	+	4.04	.0449
Parole Eligible, May, 1984	+	3.48	.0627
Parole Eligible, September, 1984	+	3.08	.0796
Parole Eligible, November, 1984	-	2.18	.1403
Past Parole Date, Jan/Feb/Mar, 1984	-	2.83	.0930
Conditional Release Date, Eligibility, November, 1984	+	5.42	.0203

The analysis in Table 11 indicates that the regression findings relating the selected variables to total misbehavior (Points) are not very meaningful. Overall, only 12.98 percent of the variance in total misbehavior is accounted for. The order of entry of the variables in the analysis and the value of the analysis at that step of the procedure is noted below to facilitate later discussion of the contribution of each level to the total explained variance.

These variables were significant. In this analysis the order of entry of the variables is as follows:

TABLE 11-A

<u>STEP</u>	<u>PROCESS</u>	<u>VARIABLE</u>	<u>(INCREMENTAL) R SQUARE</u>	<u>F VALUE</u>
1.	Add	Current Age	0.0283	18.07
2.	Add	Prior Felony Conviction	0.0403	13.00
	Delete	Current Age		
	Replace With	Age at Incarceration	0.0413	13.33

Table 11-A (Continued)

STEP	PROCESS	VARIABLE	(INCREMENTAL)	
			R SQUARE	F VALUE
3.	Add	Parole Eligibility, May 1984	0.0532	11.58
4.	Add	Current Age	0.0630	10.37
5.	Add	Parole Eligibility, April, 1984	0.0718	9.52
6.	Add	Professed Religion, Muslim	0.0797	8.86
7.	Add	Conditional Release Date, November, 1984	0.0850	8.14
8.	Add	History of Marijuana Use		
	Delete	Conditional Release Date, November, 1984		
	Replace With	No Drug Use History		
	Delete	Parole Eligibility Date, April, 1984		
	Replace With	History of Heroin Use	0.0929	7.84
9.	Add	Parole Eligibility Date, April, 1984	0.0993	7.49
10.	Add	Conditional Release Date, October, 1984	0.1048	7.15
11.	Add	Parole Eligibility Date, September, 1984	0.1086	6.75
12.	Add	Marriage, Common Law	0.1124	6.42
13.	Add	Professed Religion, Jewish	0.1157	6.11
14.	Add	Professed Religion, Protestant	0.1192	5.86

Table 11-A (Continued)

<u>STEP</u>	<u>PROCESS</u>	<u>VARIABLE</u>	<u>(INCREMENTAL)</u>	
			<u>R SQUARE</u>	<u>F VALUE</u>
15.	Add	Conviction by Plea or Verdict		
	Delete	Professed Religion, Jewish		
	Replace With	Past Parole Date Within 3 Months	0.1231	5.67
16.	Add	Professed Religion, Jewish	0.1266	5.48
17.	Add	Parole Eligibility Date, November, 1984	0.1298	5.29

Table 12 and Table 13 relate selected variables for 621 inmates tested against 68 incidents of Tier 1 misbehavior occurring during the 6 month study period. Table 12 utilizing a General Linear Model shows the F values of 30 variables comprising 39 levels.

TABLE 12

D.V. = Tier 1 Misbehavior Against Selected Predictors

General Linear Model Inmates N = 621

F Value = 1.03 PR>F = 0.4178 R² = 0.0714 R = 0.005

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Current Age	2	0.23
Incarceration Age	2	2.32
Conviction by Plea/Verdict	2	0.61
Prior Felony Conviction	2	1.95
History of Drug Abuse	4	1.60
Race	4	1.18

Table 12 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Professed Religion	7	1.52
Marital Status	6	1.49
Parole Eligible 1985 or Later	2	2.01
Parole Eligible, April, 1984	2	3.46
Parole Eligible, May, 1984	2	0.01
Parole Eligible, June, 1984	2	2.36
Parole Eligible, July, 1984	2	3.33
Parole Eligible, August, 1984	2	0.02
Parole Eligible, September, 1984	2	2.66
Parole Eligible, October, 1984	2	1.06
Parole Eligible, November, 1984	2	3.42
Past Parole Date 1985	2	2.54
Past Parole Date, Jan/Feb/Mar, 1984	2	1.86
Conditional Release Date Eligibility 1985 or later	2	0.02
Conditional Release Date April, 1984	2	0.04
Conditional Release Date May, 1984	2	0.00
Conditional Release Date June, 1984	2	0.00
Conditional Release Date July, 1984	2	0.03
Conditional Release Date August, 1984	2	0.07
Conditional Release Date September, 1984	2	0.09

Table 12 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Conditional Release Date October, 1984	2	0.18
Conditional Release Date November, 1984	2	0.55
Conditional Release Date After 3 months	2	0.06
Conditional Release Date Within 3 months	2	0.00

The analysis in Table 12 shows that against Tier 1 misbehavior the regression findings of the selected variables are not very meaningful. Overall, 7.14 percent of the variance in Tier 1 misbehavior is explained. The variables which produced substantial F values were: age at incarceration; prior felony conviction; drug use history; race; religion; marital status; and release status.

The variables were then coded to accommodate a stepwise analysis procedure. The results of this analysis indicated that 6 factors comprising the 4 variables of age at incarceration, race, religion, and release status is shown in Table 13.

TABLE 13

D.V.= Tier 1 Misbehavior Against Selected Predictors

Stepwise Procedure

Inmates N=621

F Value = 3.20 PR>F = 0.0042 R² = 0.0303 R = 0.0009

<u>INDEPENDENT VARIABLE</u>	<u>BETA +/-</u>	<u>F VALUE</u>	<u>PR > F</u>
Current Age	+	3.66	0.0563
Race, Spanish	-	5.00	0.0257
Professed Religion, Jewish	+	2.93	0.0873
Parole Eligible 1985 or Later	+	4.00	0.0459
Parole Eligible, May, 1984	+	3.43	0.0643
Parole Eligible, August, 1984	+	2.38	0.1233

The analysis in Table 13 indicates that the regression findings relating the selected variables to Tier 1 misbehavior are not very significant. Overall, only 3.0 percent of the variance in Tier 1 misbehavior is accounted for. Both the F value and the PR>F value suggest a non-zero R-Square in the population. The order of entry of the variables in the analysis and the value of the analysis at that step of the procedure is noted below to facilitate later discussion of the contribution of each level to the total explained variance.

These variables were significant. In this analysis the order of entry of the variables is as follows:

Table 13-A

<u>STEP</u>	<u>PROCESS</u>	<u>VARIABLE</u>	<u>(INCREMENTAL) R SQUARE</u>	<u>F VALUE</u>
1.	Add	Ancestry, Spanish	0.0082	5.17
2.	Add	Professed Religion, Jewish	0.0130	4.07
3.	Add	Age at Incarceration	0.0179	3.76
4.	Add	Parole Eligibility Date 1985 or Later		
	Delete	Professed Religion, Jewish		
	Replace	Parole Eligibility Date, May, 1984	0.0219	3.46
5.	Add	Professed Religion, Jewish	0.0265	3.35
6.	Add	Parole Eligibility Date, August, 1984	0.0303	3.20

Table 14 and Table 15 relate selected variables for 621 inmates tested against 136 incidents of Tier 2 misbehavior occurring during the six month study period. Table 14, utilizing a General Linear Model, shows the F value of 30 variables comprising 39 factors.

TABLE 14

D.V. = Tier 2 Misbehavior Against Selected Predictors

General Linear Model Inmates N = 621

F Value = 2.09 PR>F = 0.0001 R2 = 0.1346 R = 0.0181

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Current Age	2	6.42
Incarceration Age	2	5.68
Conviction by Plea/Verdict	2	4.24
Prior Felony Conviction	2	4.80
History of Drug Abuse	4	1.20
Race	4	0.66
Professed Religion	7	2.27
Marital Status	6	0.85
Parole Eligible 1985, or Later	2	0.01
Parole Eligible, April, 1984	2	1.37
Parole Eligible, May, 1984	2	0.87
Parole Eligible, June, 1984	2	0.68
Parole Eligible, July, 1984	2	0.00
Parole Eligible, August, 1984	2	0.08
Parole Eligible, September, 1984	2	2.32
Parole Eligible, October, 1984	2	0.03
Parole Eligible, November, 1984	2	0.22
Past Parole Date 1985	2	0.21
Past Parole Date, Jan/Feb/Mar, 1984	2	0.47

Table 14 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Conditional Release Date Eligibility 1985 or later	2	0.03
Conditional Release Date April, 1984	2	0.02
Conditional Release Date May, 1984	2	0.24
Conditional Release Date June, 1984	2	0.53
Conditional Release Date July, 1984	2	0.25
Conditional Release Date August, 1984	2	0.36
Conditional Release Date September, 1984	2	0.37
Conditional Release Date October, 1984	2	0.21
Conditional Release Date November, 1984	2	3.88
Conditional Release Date After 3 months	2	0.00
Conditional Release Date Within 3 months	2	0.34

The analysis in Table 14 shows that against Tier 2 misbehavior, the regression findings of the selected variables are not very meaningful. Overall, only 13.46 percent of the variance in Tier 2 misbehavior is explained. Both the F value and the $PR > F$ value suggest a non-zero R-Square in the population. The variables which produced substantial F values were: conviction by plea or verdict;

prior felony conviction; drug use history; religion; and release status.

The variables were then coded to accommodate a stepwise analysis procedure. The best model indicated that 13 levels comprising the 7 variables, as used in the General Linear Model and as shown in Table 15, are: current age; age at incarceration; conviction by plea or verdict; prior felony conviction; marital status; religion; and release status.

TABLE 15

D.V. = Tier 2 Misbehavior Against Selected Predictors

Stepwise Procedure

Inmates N = 621

F Value = 6.29 PR>F = 0.0001 R² = 0.1186 R = 0.014

<u>INDEPENDENT VARIABLE</u>	<u>BETA +/-</u>	<u>F VALUE</u>	<u>PR > F</u>
Current Age	+	7.17	.0076
Incarceration Age	+	6.40	.0117
Conviction by Plea/Verdict	-	4.44	.0354
Prior Felony Conviction	+	3.79	.0520
Marital Status	-	2.10	.1477
Professed Religion, Protestant	+	3.82	.0512
Professed Religion, Jewish	+	5.95	.0150
Professed Religion, Muslim	+	9.32	.0024
Parole Eligible 1985 or Later	+	3.24	.0721
Parole Eligible, April, 1984	+	5.70	.0172
Parole Eligible, May, 1984	+	3.79	.0519
Parole Eligible, September, 1984	+	8.66	.0034
Conditional Release Date Eligibility, November, 1984	+	4.11	.0429

The analysis in Table 15 indicates that the regression findings relating the selected variables to Tier 2 misbehavior are not significant. Overall, 11.86 percent of the variance in Tier 2 misbehavior is accounted for. Both the F value and the $PR > F$ value suggest a non-zero R-Square in the population. The variables which produced substantial F values were: current age; age at incarceration; conviction by plea or verdict; prior felony conviction; marital status; religion; and release status.

TABLE 15-A

STEP	PROCESS	VARIABLE	(INCREMENTAL)	F VALUE
			R SQUARE	
1.	Add	Current Age	0.0393	25.33
2.	Add	Professed Religion, Muslim	0.0507	16.51
3.	Add	Conviction by Plea or Verdict	0.0606	13.27
4.	Add	Conditional Release Date, November, 1984	0.0688	11.39
5.	Add	Age at Incarceration	0.0767	10.22
6.	Add	Parole Release Date Eligibility September, 1984	0.0849	9.50
7.	Add	Parole Release Date Eligibility after 3 Months	0.0912	8.79
8.	Add	Professed Religion, Jewish		
	Delete	Parole Release Date Eligibility after 3 Months		
	Replace	Prior Felony Conviction	0.0973	8.25

Table 15-A (Continued)

<u>STEP</u>	<u>PROCESS</u>	<u>VARIABLE</u>	<u>(INCREMENTAL)</u>	
			<u>R SQUARE</u>	<u>F VALUE</u>
9.	Add	Parole Release Date Eligibility, April, 1984	0.1025	7.76
10.	Add	Professed Religion, Protestant	0.1077	7.36
11.	Add	Parole Release Date Eligibility after 3 Months	0.1118	6.97
12.	Add	Parole Release Date Eligibility, May, 1984		
	Delete	Parole Release Date Eligibility after 3 Months		
	Replace	Parole Release Date Eligibility 1985 or Later	0.1156	6.63
13.	Add	Marital Status, Married	0.1186	6.29

Tables 16 and 17 relate to 61 incidents of Tier 3 misbehavior which occurred during the six month study period. Table 16, utilizing a General Linear Model, shows the F value of 30 variables comprising 39 factors.

TABLE 16

D.V.= Tier 3 Misbehavior Against Selected Predictors

General Linear Model Inmates N = 621

F Value = 1.71 PR>F = 0.0041 R² = 0.1127 R = 0.0127

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Current Age	2	0.87
Incarceration Age	2	1.99
Conviction by Plea/Verdict	2	0.06
Prior Felony Conviction	2	6.64
History of Drug Abuse	4	6.52
Race	4	1.69
Professed Religion	7	0.32
Marital Status	6	1.63
Parole Eligible 1985 or Later	2	0.24
Parole Eligible, April, 1984	2	1.00
Parole Eligible, May, 1984	2	1.65
Parole Eligible, June, 1984	2	2.98
Parole Eligible, July, 1984	2	0.14
Parole Eligible, August, 1984	2	1.64
Parole Eligible, September, 1984	2	0.30
Parole Eligible, October, 1984	2	0.14
Parole Eligible, November, 1984	2	0.18
Past Parole Date 1985	2	1.60
Past Parole Date, Jan/Feb/Mar, 1984	2	0.02
Conditional Release Date Eligibility 1985 or Later	2	0.18

Table 16 (Continued)

<u>INDEPENDENT VARIABLE</u>	<u>LEVELS</u>	<u>F VALUE TYPE 3</u>
Conditional Release Date April, 1984	2	3.05
Conditional Release Date May, 1984	2	0.78
Conditional Release Date June, 1984	2	1.83
Conditional Release Date July, 1984	2	2.06
Conditional Release Date August, 1984	2	1.87
Conditional Release Date September, 1984	2	1.47
Conditional Release Date October, 1984	2	1.29
Conditional Release Date November, 1984	2	6.50
Conditional Release Date After 3 months	2	0.15
Conditional Release Date Within 3 months	2	1.01

The analysis in Table 16 shows that against Tier 3 misbehavior the regression findings of the selected variables are not very meaningful. Overall, only 11.27 percent of the variance in Tier 3 misbehavior is explained. Both the F value and the $PR > F$ value suggest a non-zero R-Square in the population. The variables which produced substantial F values in this analysis were: age at incarceration; prior felony convictions; drug use history; race; marital status; and release status.

The variables were then coded to accommodate a stepwise analysis procedure. The best model of this analysis consisted of 12 factors comprising 6 variables as used in the General Linear Model and is shown in Table 17.

TABLE 17

D.V. = Tier 3 Misbehavior Against Selected Predictors

Stepwise Procedure

Inmates N = 621

F Value = 5.00

PR>F = 0.0001

R2 = 0.0897

R = 0.0897

<u>INDEPENDENT VARIABLE</u>	<u>BETA +/-</u>	<u>F VALUE</u>	<u>PR > F</u>
Current Age	+	3.04	0.0816
Prior Felony Conviction	+	7.89	0.0051
History of No Drug Abuse	-	17.91	0.0001
History of Drug Abuse, Marijuana	-	10.76	0.0011
History of Drug Abuse, Heroin	-	5.91	0.0153
Race, Spanish	+	4.23	0.0402
Marital Status, Married	+	5.04	0.0252
Marital Status, Common Law	+	6.04	0.0143
Past Parole Date 1985	+	6.38	0.0118
Conditional Release Date Eligibility, April, 1984	+	6.48	0.0112
Conditional Release Date Eligibility, November, 1984	+	6.17	0.0133
Conditional Release Date Eligibility Within 3 Months	-	3.61	0.0578

The analysis in Table 17 indicates that the regression findings relating the selected variables to Tier 3

misbehavior are not significant. Overall, only 8.97 percent of the variance in Tier 3 misbehavior is explained. Both the F value and the $PR > F$ value suggest a non-zero R-Square in the population. The variables which produced substantial F values were: age at incarceration; prior felony conviction; drug use history; race; marital status and release status. The order of entry of the variables in the analysis and the value of the analysis at that step of the procedure is noted below to facilitate later discussion of the contribution of each level to the total explained variance. These variables were significant in the analysis. The order of entry of the variables is as follows:

TABLE 17-A

<u>STEP</u>	<u>PROCESS</u>	<u>VARIABLE</u>	<u>(INCREMENTAL) R SQUARE</u>	<u>F VALUE</u>
1.	Add	No Drug Use History	0.0172	10.83
2.	Add	History of Marijuana Use	0.0282	8.97
3.	Add	Conditional Release Date, April, 1984	0.0376	8.05
4.	Add	Ancestry, Spanish	0.0445	7.17
5.	Add	Prior Felony Conviction		
	Delete	Ancestry, Spanish		
	Replace	History of Heroin Use	0.0530	6.89
6.	Add	Ancestry, Spanish	0.0598	6.51
7.	Add	Past Parole Eligibility Date Within 3 Months	0.0654	6.13
8.	Add	Marital Status, Common Law	0.0697	5.73

Table 17-A (Continued)

<u>STEP</u>	<u>PROCESS</u>	<u>VARIABLE</u>	<u>(INCREMENTAL) R SQUARE</u>	<u>F VALUE</u>
9.	Add	Conditional Release Date November, 1984		
	Delete	Marital Status, Common Law		
	Replace	Conditional Release Date Within 3 Months	0.0747	5.48
10.	Add	Marital Status, Common Law	0.0800	5.31
11.	Add	Marital Status, Married	0.0852	5.16
12.	Add	Age at Incarceration	0.0897	5.00

In addition to multiple regression on the basic data, a concatenation by month was created. Multiple regressions were conducted on this compilation wherein there was found no change in relationships among the variables, thereby not providing any additional relevant results.

CHAPTER V: DISCUSSION

This chapter, divided into discussions one and two, explains and summarizes the findings of this study based on examination of inmate misbehavior reports covering a six month time frame. The first discussion considers the relationship of inmate misbehavior and proximity to release. The second discussion deals with individual and situational characteristics associated with misbehavior.

Discussion I

This part of the discussion will focus on the hypothesis set forth in the Methodology section of this dissertation. It will also analyze the results in the regression tables as they are related to each of the hypothesis.

Prior to discussing each specific hypothesis it is important to review the results of Table 9 which reflect the effect of the variable elimination performed. The following chart illustrates the change in F value and R^2 that resulted from variable deletions to develop the selected variables used in the second stage of the analysis in Chapter IV. Tables 1 through 8 utilized all variables whereas Tables 10 through 17 utilized the selected variables developed through the factoring shown in Table 9.

TABLE 18

<u>TABLE NUMBER</u>	<u>PROCESS</u>	<u>F VALUE</u>	<u>R SQUARE</u>
1	Points	1.85	0.1575
10	General Linear Method (GLM)	<u>2.27</u>	<u>0.1445</u>
	Difference	+ .42	- 0.0130
3	Tier 1	1.00	0.0921
12	GLM	<u>1.03</u>	<u>0.0714</u>
	Difference	+ .03	- 0.0207
5	Tier 2	1.76	0.1511
14	GLM	<u>2.09</u>	<u>0.1346</u>
	Difference	+ .33	- 0.0165
7	Tier 3	1.59	0.1386
16	GLM	<u>1.71</u>	<u>0.1127</u>
	Difference	+ .12	- 0.0259

As can be seen from the foregoing table (chart), in all cases the variable deletions (to produce the selected variables used in the second stage analysis) resulted in increasing the F value in the General Linear Model procedure of the analysis. This clearly indicated that the variables that were eliminated contributed nothing to the analysis. In cases where the R square decreased there was a corresponding increase in F value; thus indicating that while a smaller percentage of the variance was explained by the remaining variables, the validity of the analysis has a greater level of dependability. Consequently, the loss in variance explained is compensated for. The deleted variables while contributing a minimal amount of variance

explained also dilutes the certainty level of the explanation. Therefore, their elimination from the study is justifiable.

The first hypothesis that was tested creates a relationship between inmate misbehavior and proximity to parole board hearing month. It states that:

H1: Inmates prior to the parole board will receive fewer and/or less serious misbehavior reports than inmates without a scheduled board; wherein the parole acts as a tool of behavioral control.

When we view Tables 1 and Tables 2, it is found that an analysis of the data indicates that there is a significant difference in the misbehavior status of parole eligible and parole non-eligible inmates, indicating that parole eligibility status is a significant factor in the overall effect of misbehavior points (sum of hearing(s) by level). However, Table 2 determined that inmates past their parole date exhibit a negative tendency towards misbehavior as a result of a beta weight analysis and finding of this factor.

When Tables 3 and Tables 4 were analyzed, it was noted that proximity to parole has a marked effect on Tier 1 (minor) misbehavior. However, the stepwise analysis in Table 4 identifies less factors as significant than does the General Linear Model analysis in Table 3. Still, this table confirms the existence of a "stress effect" upon the individual. In fact, the inclusion of parole eligibility over three months after the conclusion of the study in terms

of minor misbehavior tends to validate the hypothesis that a stress level is generated on the basis of parole anticipation. Given the fact that there is no conditional release status, in terms of Tier 1 behavior, this hypothesis is even more strongly validated.

Tables 5 and Tables 6 reflect Tier 2 (mid-level) misbehavior. Table 5, using the General Linear Model analysis, identifies less factors as significant than does the stepwise procedure utilized in Table 6. In Table 6, potential release in subsequent years is shown to have a significant positive factor. It should also be noted that here the potential release in November, 1984, on conditional release also generates misbehavior and does so with a positive beta weight, which confirms the overall trend brought out in Table 2.

Tables 7 and Tables 8 present a different picture. Serious misbehavior in the General Linear Model appears affected by parole status. However, the stepwise procedure analysis generates only one significant status, that is, individuals whose parole eligibility does not commence until the subsequent year. The conditional release statuses which appear indicate that, upcoming conditional release is positively associated with Tier 3 (major) misbehavior. However, individuals who have passed their conditional release date just prior to this study's commencement have a negative association with Tier 3 misbehavior.

In reviewing the overall effects generated in this analysis, it is important to note that all conditional release effects in total misbehavior are a reflection of Tier 3 misbehavior.

An analysis of Tables 10 through 17 was undertaken indicating results similar as to what was found in Tables 1 through 8. No significant changes were found to exist in beta weights. With the exception of the addition in Table 11 of a negatively weighted parole date of November, 1984, the analysis of these tables is the same as the tables reviewed previously. The negative beta weighting of the November parole date eligibility in the stepwise procedure of total misbehavior is aberrant. The variance explained of .0032 coming at the seventeenth process step does not appear to invalidate the general trend observation that imminent parole is a positive indicator of misbehavior. Overall, the data presented in these tables based on factors which represent significance and the beta weights in the stepwise procedure provide a substantial basis for accepting the null hypothesis. That hypothesis being the proximity to parole board has no effect or a negative effect on inmate behavior. However, given the fact that all factors combined leave 84 plus percent of the variance of misbehavior unexplained and that over half of the predictive value is provided by non-release variables the value of release related predictors is minimal.

The next hypothesis to be tested deals with inmate misbehavior and the proximity of a conditional release date.

It states that:

H2: Inmates prior to a conditional release will receive fewer and/or less serious misbehavior reports than inmates without a conditional release date; wherein conditional release acts as a tool of behavior control.

An analysis of the findings of Tables 1 through 8 indicated that overall misbehavior and Tier 3 misbehavior show an identifiable effect as a result of the individual's proximity to conditional release dates. Studying the enhanced effects of Tables 10 through 12 the following should be noted; that the General Linear Model in Table 10 which reviewed total misbehavior indicates that this misbehavior is associated with conditional release status. However, the stepwise procedure in Table 11 notes only conditional release in the month immediately after the study period as significant. Tables 12 and Tables 13 indicate no conditional release effect on Tier 1 misbehavior. An analysis of Tables 14 and 15 reveal (as does Table 11) that only the month immediately after the study period produced a noteworthy effect. This was shown in both the General Linear Model and stepwise procedure relating to Tier 2 (mid-range) misbehavior.

Tables 16 and Tables 17 relate to Tier 3 (serious) misbehavior. Table 16, utilizing the General Linear Model, strongly reflect the findings of Tables 1, 7, and 10 which have shown multiple effects during the study period of proximity to conditional release. Table 17, however,

indicates that applying a stepwise procedure to the conditional release effects of Tier 3 misbehavior provides only three statuses as significant. These are: conditional release as the very beginning of the study period which produces a positive effect on misbehavior; conditional release in the month immediately following the study period which produces a positive effect on misbehavior and conditional release having been available and denied in the three months immediately preceding the study period. The effect in this case was found to be negative in its relationship to misbehavior. In viewing the overall results of all tables, bearing in mind the positive and negative schemes of effects, it becomes clear that proximity to conditional release tends to increase misbehavior on the part of the subject inmates. This is even more apparent when the fact that the passing of a conditional release date is associated with a definite decrease in misbehavior, as noted by the negative beta weight associated with January through March conditional release dates detailed in Table 17, which relates to Tier 3 misbehavior.

The hypothesis is that proximity to conditional release date will develop a decrease in misbehavior. The null hypothesis that proximity to conditional release dates will lead to either no change or an increase in misbehavior has been retained. Based on the foregoing, it is reasonable to state that proximity to a conditional release date will increase misbehavior and that the passing of a conditional

release date will be associated with a marked decrease in misbehavior. This fact tends to confirm a stress hypothesis which would indicate that proximity to release, whether potential as in parole, or almost certain as in conditional release, will generate acts of misconduct on the part of the subjects.

The third and last hypothesis that was tested analyzed the relationship of inmate misbehavior and the notification to the inmate of the parole board's findings and determination. It states that:

H3: Inmates receiving a negative parole notification will receive a greater amount and more serious misbehavior reports than inmates awaiting the board and/or its decision.

This hypothesis was tested by attempting to reject the null hypothesis which states that: inmates past their parole board will receive equal or less misbehavior reports than inmates approaching their board. In Tables 1 through Tables 8, the positive effect on misbehavior associated with parole status relating to current board appearances noted in Tables 2, 4, 6, and 8 is further confirmed. That confirmation is reflected by the negative association with misbehavior noted in Table 2 with parole status relating to parole board hearings having been concluded in the three months prior to the study period. When the selected variables set forth in Tables 10 through 17 are analyzed, there is with one exception an exact replication of the

results of Tables 1 through Tables 8. This exception occurs in Table 11 and is a negative association with parole hearings due in the month immediately following the study period as it relates to misbehavior (total). This effect is not demonstrated at all in any of the tables relating to specified levels of misbehavior. In fact, in Table 17 there is a positive association between Tier 3 (serious) misbehavior and parole dates in the year subsequent to the study period.

When viewed in the context of overall results produced, the appearance of a negative association of total misbehavior with potential parole in the immediate future appears to be an aberration. This aberration runs counter to all other results developed in this study and is not either substantial or significant enough to cast doubt on the validity of the null hypothesis which is so strongly substantiated by all other data presented here.

Therefore, in conclusion, it is reasonable to state that the results of this study clearly indicate that proximity to parole is associated with an increase in misbehavior. That proximity to conditional release date is clearly and positively associated with an increase in misbehavior and that the passing of either parole or conditional release dates is clearly associated with a decrease in misbehavior.

These results are in total contradiction of the original hypothesis set forth which were based upon control

theory. However, a review of the literature relating to the behavioral effects of stress, as reflected in the works of McCain, Baum, Valins, Epstein, Glass, etc., would permit the formulation of an interpretation, which states that: The approach of potential release is a stress generating circumstance which will cause an increase in acting out or misbehavior. The null of this interpretation is that there will be no increase in misbehavior based on the approach of potential release. Further, that the passing of a potential release date will not generate a decrease in potential misbehavior.

It is quite obvious that the above mentioned null hypothesis is firmly rejected by the data developed for this dissertation. More specifically, the positive misbehavior associations noted with potential release dates, and even more significant the negative misbehavior associations demonstrated in relation to the passing of potential release dates; specifically parole in Table 2 and conditional release in Table 8, as replicated in Tables 11 and 17.

In that this research has concluded that time and its relationship to the individual has little or no effect on misconduct rates, I wish to mention two studies which also consider similar relationships. First, Cusson and Pinsonneault's (1986) study of the positive effect of time projection and conformity is of note in that as the perception of time increases, the individual is less likely to be involved with delinquent behavior. A second study by

Thomas and Edelman (1988) draws a similar conclusion concerning time projection theory. Thomas and Edelman have found that although penalties were increased for X felonies, the increase in time as a penalty had no discernible deterrent effect. Both of these studies indicate time as a facet of punishment does not deter, in that, the identified criminal acts within a limited time projection span. In agreement with this dissertation these findings also conclude that future release has little behavioral control effect on the imprisoned individual.

Based upon the demonstrated effects in support of the stress hypothesis, it is recommended that further studies in regard to both potential and certain release be undertaken. While it is necessary to maintain the caveat that the total behavioral variance explanation is less than 16 percent, the clearly demonstrated effect replicated in all states relating to potential release is so strongly recommended that further study is justified.

Discussion II

This portion of the dissertation will discuss those items not directly related to the hypothesis of this dissertation. This part of the dissertation will discuss other findings developed in relation to variables and/or characteristics previously reported in the literature concerning inmate behavior.

A review of Table 9 indicates that relevant factors include current age, over or under 25; age at incarceration over or under 25; conviction by plea or verdict; a history of prior felony convictions; drug use history; race; religious affiliation and pre-incarceration marital status. One factor was considered and proved to have no relevance to behavior--this factor was whether conviction indictment was a single or multiple count instrument. Other items found to have some effect but which were not substantial or recurring were: type of housing unit (open bars or closed, solid-fronted cells); whether or not the inmate was employed prior to conviction; whether or not the inmate was above or below fifth grade reading level prior to conviction; whether or not the crime of conviction was a violent crime and whether or not that crime caused death. Other factors considered whose effects existed but were not significant enough to justify further analysis were: prison college programs; more or less than five years currently incarcerated; a history of combined drug and alcohol abuse; a history of alcohol abuse; urban vs. rural crime and whether or not potential release was in excess of five years from the study period. The elimination of these factors produced the items considered in Tables 10 through Table 17. For the purpose of this portion of the discussion, Tables 11, 13, 15, and 17 will be used as they provide the advantage of beta weight indication in terms of effect result. The association of

current age under 25 with misbehavior was noted as positive in relation to overall misbehavior and mid-range misbehavior. Being under age 25 at the time of incarceration was positively associated with misbehavior under all analysis performed. This association between age and misconduct replicates the findings of several research studies to include Zink (1958), Wolfgang (1961), and Flanagan (1980), where it was found that the inmate's age at admission to prison or age during the study period has been shown to be the best predictor of higher disciplinary involvement. Flanagan's (1983), in agreement with Mabli et. al. (1972), and Petersilia and Honig (1980), reiterated that age at commitment emerged as the strongest correlate of infraction rate status. Inmates who pled guilty contrasted with inmates who were convicted by jury verdict and demonstrated a negative tendency towards misbehavior in both Table 11, overall misbehavior, and Table 15, mid-range misbehavior. Inmates with a prior felony conviction demonstrated a positive tendency towards misbehavior in terms of total misbehavior, mid-range and serious misbehavior. This same correlation has been shown by not only Clemmer (1958), but Brown and Spevacek (1971). Clemmer observed that in regard to criminal history factors, disciplinary offenders tended to be inexperienced and relatively non-criminal in their prior records. Brown and Spevacek found that high-rate disciplinary offenders had

fewer prior felonies than other inmates. Inmates with a history of drug abuse prior to incarceration demonstrated a negative tendency to misbehave in the analysis in total misbehavior and Tier 3 misbehavior. This finding contradicts, Flanagan (1983), wherein Flanagan states that a history of drug and/or alcohol abuse significantly relates to infraction/rate status. In the area of race the factor of hispanic ancestry had no effect on total or mid-range misbehavior; was negatively associated with minor misbehavior but positively associated with serious (Tier 3) misbehavior. The racial classification of white, black, and other had no effect in any analysis. Although this study implicates Spanish ethnicity as the only factor associated with misbehavior, Petersilia and Honig's (1980), and Flanagan (1983), research found that race is a key correlate of the infraction rates. Petersilia and Honig, in their study, examined the relationship between race and involvement with infractions in three states and reported that whites had significantly more infractions than blacks in California prisons, but black inmates in Texas had a significantly higher infraction rate than whites. In Michigan, race was not significantly associated with the infraction rate. Race is a variable which has been tested often, but with inconsistent results. Two recent studies conducted by Poole and Regoli (1980, 1983), shed light on the issue of racial discrimination in the reporting of

disciplinary infractions. Using data from a medium security prison (1980), and from a minimum security coed federal prison (1983), they found that while black and white inmates reported equal frequencies in rule-breaking activity, blacks were more likely to be reported officially for rule infractions. Data on race clearly suggest the possibility of racial discrimination in the reporting of prison misconduct. Religious affiliation which had an effect were Protestant, Muslim, and Jewish. Protestant and Jewish demonstrated no effect in relation to Tier 1 (minor) and Tier 3 (serious) misbehavior; although there was a positive effect in overall and mid-range (Tier 2) misbehavior. The profession of the Jewish religion had no effect on Tier 3 (serious) misbehavior and was positively associated with minor, mid-range and overall misbehavior.

Jaman and Associates (1966), and Myers and Levy (1978), found greater involvement with the prison disciplinary system among non-white and unmarried inmates than among white prisoners and those who were married. Flanagan (1983) also concluded that marital status upon institutional admission was significantly related to infraction/rate status. In this study, pre-incarceration marital statuses had no effect on misbehavior with the exceptions of the classification of common-law and legal marriage. Common-law marriage demonstrated a positive association with misbehavior in the Tier 3 (serious) misbehavior and the overall misbehavior analyses. Inmates with pre-incarcerated

legal marriages demonstrated a positive association with Tier 3 (serious) misbehavior and a negative association with Tier 2 (mid-range) misbehavior.

In general, the foregoing results are comparable to results obtained in previous studies. Discrepancies are more likely due to variable definitions than substance.

The overall results of this dissertation are such that when all defined factors are applied to the behavioral pattern of the subject inmates, no factor or combination of factors provided an explanation of the variance in behavior that was not essentially inconsequential. In view of the fact that the overall variance explained by all factors is less than 16 percent policy recommendation or programmatic or operational developments by the author would not be reasonable based upon the results of the study. This dissertation data tends to confirm a slight tendency towards a stress related association between release proximity and misbehavior. Further, this dissertation appears to validate general findings in previous studies concerning characteristics associated with misbehavior.

Based on the minimal explanatory results produced, no further analysis utilizing enhancement techniques such as TOBIT are justified.

Prior to concluding this dissertation, the following chart has been included which compares the Flanagan (1983), Goetting (1986) and this study in terms of the variables which are not the focus of this study.

TABLE 19

Comparative Independent Variable Analysis

<u>VARIABLE</u>	<u>FLANAGAN</u>	<u>GOETTING</u>	<u>MARKEY</u>
Current Age Under 25	Increases	Increases	Increases
Incarceration Age Under 25	Increases	Increases	Increases
Multiple Indictment	Not Tested	Not Tested	No Effect
Pre-Crime Employment	Unemployed Increases	Same	No Effect
Pre-Incarceration Literacy	Not Reported	Low Education Increases	No Effect
Plea/Trial	Not Tested	Not Tested	Trial Increases
Violent Crime Conviction	Not Reported	Not Reported	No Effect
Prior Felony Conviction	Not Reported	Increases	Recidivism Increases
Crime Caused Death	Lower	Not Reported	Lower
Prison College Enrolled	Not Reported	Not Reported	No Effect
+ 5 Year Incarcerated	Not Reported	Increases	Increases in GLM
Drug & Alcohol Abuse	Increases	Not Reported	Decreases
Alcohol Abuse	Increases	Not Reported	No Effect
Drug Abuse	Increases	Not Reported	Decreases
Race	Non-White Increases	Non-White Increases	Spanish Increases
Religion	Not Reported	Not Reported	No Effect
Marital Status	Single Increases	Single Increases	No Effect
Urban/Rural Area	Not Reported	Not Reported	No Effect
+5 Year To Release	Not Reported	Not Reported	No Effect

Table 19 (Continued)

Comparative Independent Variable Analysis

VARIABLE	FLANAGAN	GOETTING	MARKEY
Cell Front Type	Not Reported	Not Reported	No Effect
Indeterminate Sentence	Increases	Not Tested	Not Tested
Sex	Not Tested	Male Increases	Not Tested
Visits	Not Tested	No Effect	Not Tested
Phone Calls	Not Tested	No Effect	Not Tested
Mail	Not Tested	No Effect	Not Tested
Time Out of Cell	Not Tested	No Effect	Not Tested
Military Service	Not Tested	No Effect	Not Tested
Income	Not Tested	No Effect	Not Tested

It is important to note that the rate of misbehavior by the subjects of this study were approximately 2/3's of an incident of misbehavior per subject per year. When contrasted to the results of a survey of New York's inmates which recorded an average of 2 incidents per subject, per year (Chapman, 1981), this is an exceedingly low rate of misbehavior, possibly brought on by the fact that the facility was undergoing accreditation procedures suppressing misbehavior rates. Further research should be accomplished using this model in a non-accredited facility and that a comparison of the misbehavior data in an unaccredited facility be undertaken.

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