



Biennial Report of Research and Evaluation Projects

**For the Period of
July 1, 2014 through June 30, 2016**

**Office of Research
January 2017**

You can obtain reports by contacting the Department of Corrections and Rehabilitation at the following address:

California Department of Corrections and Rehabilitation
Office of Research, Research and Evaluation Branch
1515 S Street, Suite 221N
Sacramento, California 95811
916.445.1310

Or

On the internet at:

http://www.cdcr.ca.gov/adult_research_branch/

CDCR Office of Research

"Providing quality research, data analysis and evaluation to implement evidence-based programs and practices, strengthen policy, inform management decisions and ensure accountability."



Produced by

Scott Kernan, Secretary
Kenneth Pogue, Undersecretary
Bryan Beyer, Director
Office of Research
Julie Basco, Deputy Director
Denise Allen, Chief of Research
Ashley L. Gabbard, Section Chief
Veronica Parker, Research Program Specialist I

This report would not have been possible without the generous support of others. Specifically, the Office of Research would like to thank the following: the various divisions and offices of CDCR that contributed to this report, and Sithiphone Phanthaamat and Angela Costantino from the Office of Research for providing quality assurance.

Permission is granted to reproduce reports.
For questions regarding the contents of this report, please contact
Denise Allen, Chief of Research

Table of Contents

1	Introduction	2
1.1	CDCR Research Approval Process	4
1.2	Biennial Report Methodology	5
1.3	Summary of Research Projects	5
2	Research and Evaluation Projects Conducted Internally by the California Department of Corrections and Rehabilitation	7
3	Contracted Research and Evaluation Projects, California Department of Corrections and Rehabilitation’s Office of Research.....	15
4	Contracted Research and Evaluation Projects, Other Divisions, California Department of Corrections and Rehabilitation.....	22
5	External Research and Evaluation Projects (Not Commissioned by the California Department of Corrections and Rehabilitation)	25
	Appendix A.....	53
	CDCR Divisions Surveyed	53
	Appendix B.....	54
	Survey of Research and Evaluation Activities	54

California Department of Corrections and Rehabilitation Biennial Report of Research and Evaluation Projects

1 Introduction

California Penal Code Section 3520ⁱ requires the California Department of Corrections and Rehabilitation (CDCR) to prepare a biennial report documenting each research project approved and/or conducted within the Department.

The research projects summarized in this report were active, completed, anticipated or canceled/suspended during the reporting period of July 1, 2014 through June 30, 2016. A description of the project and a summary of findings are presented for projects completed or commissioned by the Department and for external projects when the information is available.

Research projects are grouped based on the entity responsible for completing the project and include the following: 1) projects conducted internally by CDCR's Office of Research; 2) projects contracted by CDCR's Office of Research with external organizations; 3) projects contracted by other divisions within CDCR with external organizations; and 4) projects that are external to CDCR and are not commissioned/contracted by CDCR.

External research and evaluation projects may be conducted by private or governmental research entities, universities, students, and independent scholars whose research was approved by CDCR, but was not initiated by CDCR. Information on projects contracted by a CDCR division outside of the Office of Research was obtained by a survey sent to 20 divisions/offices within CDCR (Appendix A).

There were a total of 87 projects for the reporting period of July 1, 2014 through June 30, 2016. Areas of research that were studied most frequently by all researchers include recidivism, substance abuse treatment, and mental health programs. The CDCR's Office of Research had several major projects examining recidivism, population projections, and evaluations of programs within the Division of Adult Parole Operations (DAPO), and the Division of Adult Institutions (DAI).

Projects contracted by the Office of Research dealt with a wide range of correctional-related subjects including an evaluation of the Housing, Employment and Linking (HEAL) for female parolees conducted by the University of California, Irvine (UCI), and an evaluation of the Integrated Services for Mentally Ill Parolees (ISMIP) and Case Management Reentry Pilot (CMRP) conducted by the University of California, Los Angeles. Contracted research conducted in collaboration with CDCR and UCI focused on the evaluation of Division of Juvenile Justice programs and outcome reporting.

Research contracted by other CDCR divisions examined mental health programs, community reentry practices to reduce recidivism, and gender responsiveness.

External researchers studied a wide range of topics including recidivism, mental health issues of inmates and parolees, juvenile offenders, substance abuse, and community treatment.

The CDCR receives numerous requests from a variety of internal and external researchers seeking access to, or information about, prison inmates and parolees for research and evaluation projects. In addition, CDCR conducts its own research and evaluation projects to guide operational practices and departmental policies.

The Office of Research's processes are set forth by law, as well as departmental policies and procedures. Penal Code Sections 3502ⁱⁱ and 3515 require the following:

1. Biomedical research shall not be conducted on any prisoner in this State.
2. Risks to inmates and parolees consenting to research are outweighed by the sum of the benefits to the prisoners and parolees and the importance of the knowledge gained.
3. Rights and welfare of prisoners and parolees are adequately protected, including the security of any confidential personal information obtained about them.
4. Procedures for selection of prisoners are equitable and subjects are not unjustly deprived of the opportunity to participate.
5. Conduct of the activity will be reviewed at timely intervals.
6. Legally effective informed consent must be obtained by adequate and appropriate methods.

In addition, Penal Code Section 3505 states "behavioral research shall be limited to studies of the possible causes, effects and processes of incarceration and studies of prisons as institutional structures or of prisoners as incarcerated person." All of the projects must present minimal or no risk to prisoners or parolees, and no more than mere inconvenience to the subjects of the research. Penal Code Section 3517 states "The Department shall promulgate rules and regulations reasonably necessary for the effective administration of the provisions of this title."

1.1 CDCR Research Approval Process

To facilitate the consideration of research and evaluation projects, California Code of Regulations, Title 15, Article 9.1, 3369.5 requires review of a research request through a formal review process, before an external researcher can conduct research on inmates. The intent of this process is to protect the rights of human subjects, ensure legality, and consider a research project's viability in conjunction with resource availability.

External researchers must go through the following steps before initiating a project within CDCR:

1. First, the researcher submits the preliminary assessment forms to the Office of Research.
2. The CDCR Research Advisory Committee reviews the preliminary assessment forms based on the following criteria: permissibility under State and Federal laws and regulations related to research on inmates and use of confidential State data; potential added value to CDCR in carrying out its mission; potential contribution to general knowledge of correctional practice; basic methodological soundness, and impact of proposed study on CDCR programs and resources (e.g., time, data, cost, security, and/or staffing needs).
3. The Research Advisory Committee assesses the feasibility (i.e., logistics and cost to the Department) and appropriateness of the research. If the Research Advisory Committee approves the concept of the study, the Office of Research writes a letter of approval contingent on other factors as described below. If the Research Advisory Committee disapproves the study, the Office of Research writes a formal denial letter.
4. There are additional steps external researchers must take in order to conduct research within the Department. An outside researcher must have their organization's Institutional Review Board (IRB) approve the project. The Board must review research projects for the quality of the methodological design, for identification of any potential problems, and for adherence to ethical requirements.
5. The last step before the Office of Research will formally approve a project, is an Information Practices Act review and approval by the Committee for the Protection of Human Subjects within the Office of Statewide Health Planning and Development, as required by Civil Code 1798.24 (t).ⁱⁱⁱ These requirements also apply to contracted researchers working for CDCR.

Penal Code Section 3520 requires CDCR to report to the California State Legislature on research projects approved and conducted on inmates. This report summarizes research and evaluation projects that are active, completed, anticipated or canceled/suspended for the biennial period from July 1, 2014 through June 30, 2016.

1.2 Biennial Report Methodology

In order to develop this report, information was gathered from a survey disseminated to 20 divisions/offices within the Department. Appendix A identifies the 20 divisions/offices who received the survey and Appendix B contains a copy of the survey.

A distinction is made between projects that are conducted by, or for, CDCR and projects that are initiated by other governmental or private research persons or organizations. Research initiated by CDCR focuses on Departmental needs, while external research reflects the interests of outside researchers or their affiliated organizations.

1.3 Summary of Research Projects

Overall, recidivism, substance abuse treatment, and mental health programs were frequently studied subjects across all research groups. Projects conducted during the reporting period by CDCR’s Office of Research included offender outcomes, population projections, and evaluation of programs within the DAPO and the DAI.

There were a total of 87 departmental, contracted, and external research and evaluation projects for the reporting period of July 1, 2014 through June 30, 2016, as presented in the table below. Anticipated projects include any projects that are not currently active, but are anticipated to be active or completed during the next reporting period (July 1, 2016 – June 30, 2018).

	Active	Completed	Anticipated	Canceled or Suspended	Total
Office of Research	7	8	9	0	24
Office of Research Contracted Research	5	0	0	1	6
Other CDCR Divisions Contracted Research	1	1	0	0	2
External Research	42	8	0	5	55
Total	55	17	9	6	87

* Projects that are completed on an annual basis (e.g., Evaluation of Contracted Sex Offender Treatment Program) or twice a year (e.g., Population Projections) by the Office of Research are represented accordingly in the table above, but are only described once in the following sections.

The Office of Research’s major research projects include Population Projections, the Annual Outcome Evaluation Report (Recidivism Report), the PEW – MacArthur Foundation Results First Initiative, and the PEW – MacArthur Foundation and National Center for Juvenile Justice Multi-State Recidivism Study. Two of the six active projects completed by the Office of Research have mandates for regular reporting. These projects are the Annual Evaluation of Contracted Sex Offender Treatment Program Report, and this report (Biennial Report of Research and Evaluation Projects Conducted by the Department).

The following sections are organized by the entity responsible for completing research and evaluating projects. A brief description of the research, status, and findings (when available) are presented for each project that is considered active, completed, or canceled/suspended for the reporting period.

2 Research and Evaluation Projects Conducted Internally by the California Department of Corrections and Rehabilitation



The following section lists CDCR Office of Research projects by status of active, completed, canceled, or suspended for the period July 1, 2014 through June 30, 2016.

Project Title: **Population Projections**
CDCR Staff Assigned: Denise M. Allen and Loran Sheley
Institutional Affiliation: CDCR – Office of Research

Project Description: The CDCR provides institution (adult and juvenile) and parole population projections in the Fall and Spring of each year in accordance with the Governor’s budget. The projections forecast short and long-term effects of existing laws and regulations on the state prison and parole populations. Projections do not include proposed legislation, programs, propositions or policy changes that have not been signed, affirmed or implemented as of the date of the report. Projections are developed using historical trend data and time series forecasting techniques. The Fall 2014 Population Projections covered Fiscal Years (FY) 2014-15 and 2015-16. The Spring 2015 Projections covered FY 2014-15 through 2018-19. The Fall 2015 and the Spring 2016 Projections covered FY 2015-16 through FY 2019-20.

In Fall 2014, the institution population was projected to show a very gradual growth from FY 2014-15 through FY 2015-16. On June 30, 2015, the institution population was projected to increase by 0.6 percent (827 inmates). On June 30, 2016, the institution population was projected to increase another 0.3 percent (0.9 percent or 1,212 inmates). Unlike the projected increase in the institution population, the parole population was projected to decrease during this same time period. On June 30, 2015, the parole population was projected to decrease by 7.4 percent and 6.3 percent on June 30, 2016.

The Spring 2015 institution population projections showed a decline in FY 2014-15. The institution population was projected to be 130,380 on June 30, 2015, a 3.8 percent (5,104 inmates) decrease from the actual institution population on June 30, 2014. The parole population was projected to be 46,046 on June 30, 2015, a 3.4 percent (1,547 parolees) increase from the actual parole population on June 30, 2014. The Spring 2015 projection expected the parole population to decline through FY 2015-16.

The Fall 2015 institution population projections showed a decline in FY 2015-16. The institution population was projected to be 127,815, a 0.8 percent decrease (1,085 inmates) from the actual population on June 30, 2015. The Fall 2015 projection expected the parole population to decrease by 5.2 percent through FY 2015-16. The decrease reflects the continued impact of Proposition 47 and other court-ordered initiatives.

In the Spring 2016 Population Projections report, the institution population definition was modified to include inmates in alternative custody, reentry programs, as well as inmates on medical parole who were not previously counted in the institution population. On June 30, 2016, the institution population was projected to decrease by 0.8 percent (1,038 inmates). The parole population was anticipated to decline 4.8 percent (2,200 parolees).

Each report presents the actual and projected institution population by gender, actual and projected felon prison commitments, actual and projected parole populations and projected placement needs by reception center housing, housing security level and special housing.

Date Initiated: Ongoing, Semi-annual
Date Completed: Fall 2014 Population Projections completed in November 2014
 Spring 2015 Population Projections completed in May 2015
 Fall 2015 Population Projections completed in January 2016
Status: Fall 2016 Population Projections in progress

Project Title: **Population Projections Simulation Model Development**
CDCR Staff Assigned: Denise M. Allen and Loran Sheley
Institutional Affiliation: CDCR – Office of Research

Project Description: The CDCR’s Office of Research began a consulting agreement with Applied Research Services to develop a discrete event simulation model, which will be completed in FY 2016-17. The model is being built with off the shelf software (Simul8). The model is designed to be transparent and will be constructed with visual building blocks with an easy-to-follow flow. Most meaningfully, the model can be adjusted to test proposed policies and programs, work that is difficult and time consuming under the current projections methodology to perform. The simulation model is being constructed in four main stages: 1) admissions; 2) institution and classification; 3) release; and 4) parole. We are currently in the testing phase of stage 1 and work is underway on phase 2.

Date Initiated: June 2016
Status: Active

Project Title: **2014 Annual Outcome Evaluation Report**
CDCR Staff Assigned: Denise M. Allen, Kevin Grassel, Matt Nakao, and Kendra Jensen
Institutional Affiliation: CDCR – Office of Research

Project Description: The CDCR measures recidivism by tracking arrests, convictions, and returns to State prison. The 2014 Annual Outcome Evaluation Report used the three-year return-to-prison rate as the primary measure of recidivism and followed all offenders released from a CDCR adult institution in FY 2009-10 for a three-year period.

The three-year return-to-prison rate for offenders released in FY 2009-10 was 54.3 percent, which was a 6.7 percentage point decrease from the previous rate of 61 percent. The decrease in the FY 2009-10 rate marked the fourth year in a row the three-year return-to-prison rate had declined and was the most substantial decrease at the time the report was published. The substantial decrease in the three-year return-to-prison rate was largely attributed to Assembly Bill 109, California’s Public Safety Realignment Act (2011). Returns to prison for parole violations, property crimes, drug crimes, and other crimes all decreased following the implementation of Realignment and had a substantial impact on the State’s three-year return-to-prison rate. Supplemental measures of recidivism (arrests and convictions) remained fairly static: the three-year arrest rate for the FY 2009-10 release cohort was 74.6 percent (a decrease of 0.7 of a percentage point from the previous rate of 75.3 percent) and the three-year conviction rate for the FY 2009-10 release cohort was 49.5 percent (an increase of 0.4 of a percentage point from the previous rate of 49.1 percent).

The Annual Outcome Evaluation Report presents the three-year return-to-prison rate by offender demographics (e.g. race/ethnicity, age at release) and offender characteristics (e.g. length of stay, commitment offense). The 2014 Annual Outcome Evaluation Report also provided the three-year return-to-prison rate by participation in Substance Abuse Treatment (SAT) programming. The three-year return-to-prison rate for offenders participating in a SAT program and completing aftercare was 20.9 percent. The return-to-prison rate for offenders only completing aftercare was 42.3 percent. The return-to-prison rate for offenders who did not participate in SAT or complete aftercare was 55.6 percent.

Date Initiated: Annual Report
Date Completed: 2014 Annual Outcome Evaluation Report completed in July 2015
Status: 2015 Annual Outcome Evaluation Report completed in August 2016
2016 Annual Outcome Evaluation Report in progress

Project Title: **PEW MacArthur Foundation Results First Initiative**
CDCR Staff Assigned: Denise M. Allen and Michelle A. Martinez
Institutional Affiliation: CDCR – Office of Research

Project Description: The PEW-MacArthur Results First Initiative is a capacity building tool used to train states on how to use program inventory investments and assess the evidence behind each program, then apply cost-benefit methodology to identify which programs will produce the greatest estimated return on investment for the type of populations served. The CDCR is working with PEW to develop a CDCR specific modeling tool. In the initial phase of the Results First Initiative, CDCR is focusing on the cost-benefit (marginal cost of service delivery compared to the expected recidivism reduction) of substance use disorder treatment programs (both in-prison and community-based), which may be expanded to other program areas in the future. The effect sizes (expected recidivism reduction outcomes) are drawn from a nation clearinghouse of programs demonstrated to work based on empirical research collected by PEW. The CDCR can compare (match) these expected outcomes with our own programs to see if programs are achieving the results we expect. The matching phase will allow CDCR to review and assess the expected effectiveness of our programs based on the results of evidence-based programs (contained in the Results First Clearinghouse) that have been deemed effective through rigorous evaluation. The CDCR has also created and will use a recidivism cohort to establish a baseline recidivism rate and calculate the monetary benefits of a CDCR program based on its expected effect on recidivism within the state.

Date Initiated: December 2015
Status: Active

Project Title: **PEW MacArthur Foundation and National Center for Juvenile Justice Multi-State Recidivism Study**
CDCR Staff Assigned: Denise Allen, Kevin Grassel, and Matt Nakao
Institutional Affiliation: CDCR – Office of Research

Project Description: California was selected to participate in a multi-state study examining both state and county-level recidivism outcomes for juvenile offenders. The CDCR was selected to lead this effort in California. Partners include the Pew-MacArthur Foundation, the National Center for Juvenile Justice, Los Angeles County, and Marin County. The Office of Research attended several work group meetings and provided offender-level information on releases for three calendar years. Data analysis and reporting is expected to be completed in early 2017.

Date Initiated: February 2015
Status: Active

Project Title: **Evaluation of Contracted Sex Offender Treatment Programs**
CDCR Staff Assigned: Ashley Gabbard, Matthew Nakao, and Kendra Jensen
Institutional Affiliation: CDCR – Office of Research

Project Description: California Penal Code Section 3007 mandates the CDCR to include a research component for any sex offender treatment contract funded by the Department. The CDCR’s Office of Research or an independent contractor is permitted to evaluate the effectiveness of each treatment provider in reducing recidivism among program participants. The enabling legislation requires an annual report be submitted to the Legislature by January 10th of each year. In January 2015, the CDCR submitted the FY 2013-14 Evaluation of the Sex Offender Treatment Program (SOTP) and in January 2016, the CDCR submitted the FY 2014-15 Evaluation of the SOTP.

The January 2015 report provided a discussion of the active contracts during the FY and the demographics (e.g. race/ethnicity, age at release) and characteristics (e.g. length of stay, commitment offense) of offenders who were referred to the SOTP or received treatment through the SOTP in FY 2013-14. During FY 2013-14, 6,714 treatment slots were made available through the SOTP.

The January 2016 report also provided demographics and characteristics of offenders who were referred to the SOTP or received treatment through the SOTP in FY 2014-15. Additionally, the January 2016 report provided one-year arrest, conviction, and return-to-prison rates for 4,860 offenders whose demographics and characteristics were presented in the previous evaluation.

The 4,860 offenders were grouped into two categories: 1) a services cohort, which included 3,707 offenders who received services in FY 2013-14, and; 2) a comparison group, which included 607 offenders who were referred to the SOTP but had not yet received services at the close of FY 2013-14. Data show the one-year arrest, conviction, and return to State prison rates for offenders who received services through the SOTP (services cohort) were lower than offenders who did not receive services through the SOTP (comparison group).

After a one-year follow-up period, 40.7 percent of the offenders in the services group were arrested and 54 percent of the offenders in the comparison group were arrested. Less than ten percent (9.1 percent) of the offenders in the services group were convicted, while 21.2 percent of the offenders in the comparison group were convicted. Offenders in the

services group were also returned to State prison after a one-year follow-up period at a lower rate (3.1 percent) than offenders in comparison group (9.4 percent).

Date Initiated: Annual Report to Legislature
Date Completed: January 2015 and January 2016
Status: FY 2013-14 Evaluation of Contracted Sex Offender Treatment Programs completed in January 2015
FY 2014-15 Evaluation of Contracted Sex Offender Treatment Programs completed in January 2016
FY 2015-16 Evaluation of Contracted Sex Offender Treatment Programs in progress.

Project Title: **Biennial Report of Research and Evaluation Projects Conducted in the California Department of Corrections and Rehabilitation**

CDCR Staff Assigned: Ashley Gabbard and Kendra Jensen

Institutional Affiliation: CDCR – Office of Research

Project Description: California Penal Code Section 3520 requires the CDCR to prepare a biennial report presenting each research project approved and conducted within the Department. The January 2015 Biennial Report, covering the period from July 1, 2012 through June 30, 2014, was completed for the Legislature. The report covers research and evaluation projects conducted internally by CDCR’s Office of Research, projects contracted by the Office of Research, projects contracted by other CDCR Divisions, and external research and evaluation projects that are not commissioned by CDCR. There were a total of 82 projects that were active, completed or suspended during the reporting period.

During the reporting period, the Office of Research had several major projects that examined recidivism, programs with the Division of Adult Parole Operations and programs with the Division of Juvenile Justice. Contracted projects examined a new model for parole supervision and reintegration of CDCR parolees, substance abuse treatment, prison vocational education programs and inmate classification. Researchers contracted by non-Office of Research CDCR divisions examined community reentry for nonviolent felons, gang violence and sex offender treatment. External researchers studied a wide range of topics such as recidivism, mental health issues of inmates and parolees, risk assessment instruments, substance abuse community treatment and the inmate grievance process.

Date Initiated: November 2012
Date Completed: January 2015
Status: Active, 2014-16 in progress

3 Contracted Research and Evaluation Projects,
California Department of
Corrections and Rehabilitation's Office of Research



The following section lists projects contracted by the Office of Research, by status of active or completed for the period July 1, 2014 through June 30, 2016.

Project Title: **Development and Recalibration of the California Static Risk Assessment**
Principal Investigator: Susan Turner, Ph.D.
Institutional Affiliation: UCI

Project Description: The Office of Research, in collaboration with the Reentry Strike Team, commissioned work to develop a risk prediction model based on static risk factors derived from existing data sources at the CDCR and the California Department of Justice (DOJ). The California Static Risk Assessment (CSRA) was developed to predict individual risk to re-offend using existing static data in CDCR and DOJ. The risk assessment may be used in a parole violation matrix to guide supervision and treatment decisions, and for use in other structured decision-making tools.

The tool was developed using a sample of approximately 103,000 inmates released to parole in FY 2002-03. Multiple data systems were used to extract data for the development of the risk assessment tool. The CDCR’s automated databases provided information such as demographics, available Correctional Offender Management Profiling Alternative Sanction (COMPAS) scores and Level of Service Inventory Revised (LSI-R) items, and some offense history data. Automated “rap sheet” data were provided by the DOJ.

An initial report, completed in November 2009, had the following conclusions: (1) the CSRA was developed as a static risk assessment tool by adopting the tool created by the Washington State Institute for Public Policy for use in Washington State; (2) the tool considered age at release, gender, and prior convictions for certain felonies and misdemeanors as a means to place offenders into one of five risk groups: Low Risk, Moderate Risk, High Risk Drug, High Risk Property, and High Risk Violent; (3) the tool used information from automated DOJ rap sheets to calculate risk group assignment; and (4) an automated tool (compared to manual coding) is much faster and more consistent since it uses automated computer scoring algorithms which reduces inter-rater reliability issues.

The UCI Center for Evidence-Based Corrections (CEBC) has explored several ways to improve its accuracy, and has found the non-parametric methods seem to increase accuracy only slightly and inclusion of information about where an offender returns (primarily county of return) increases accuracy. The CEBC has also checked whether the CSRA maintains the same predictive ability post-realignment, and established that it is robust.

Now, the CEBC will test whether adding information from COMPAS subscales (e.g., residence, drug use, vocation, and education) adds to the accuracy of the CSRA. In addition, the CEBC will explore whether information about participation in, and completion of, in-prison programs helps predict recidivism after release. The CEBC will also test a short screening tool developed by the Pennsylvania Department of Corrections using seven items that were shown to be effective for that state. The analysis would also compare predictions for males and females and for members of different racial/ethnic groups to ensure no systematic bias results by including dynamic factors. The CEBC selection of dynamic factors will examine several currently used methodologies, from bivariate to multivariate screening techniques, including perhaps the use of sophisticated machine learning techniques, such as random forests.

The final deliverables will be delivered in four phases. The Phase 1 final report will provide a “deep dive” into different ways the tool might be improved and the trade-offs for using different versions. The current tool would serve as the baseline; the CEBC will measure the increase in prediction for each new item considered (e.g., drug treatment needs) over and above the baseline prediction. The CEBC will also measure improvement in sets of variables, such as adding all “needs” items and all program completion items. Outcomes to be examined will include felony arrests and convictions, using the existing CSRA breakdown into “any felony,” “any drug felony,” “any violent property felony,” or “any violent felony.” The Phase 2 deliverable will consist of a memo to CDCR with different options on whether to modify or keep the current tool as-is, based on empirical measures. If the decision is made to replace the current CSRA with a revision developed during the course of the project, CEBC will deliver the revised instrument to CDCR in the form of annotated computer code suitable for integration with CDCR data systems as the deliverable for Phase 3. The CEBC will pilot test the software and ensure accurate transfer and implementation of the revised tool, including all necessary look-up tables, and documentation. Phase 4 deliverables will be determined based on additional testing of the instrument, but will include, at a minimum, a memo outlining the suggested changes and resulting impact on the area under curves for the CSRA.

Date Initiated:

June 2016

Status:

Active

Project Title: **Housing, Employment and Linking**
Principal Investigator: Susan Turner, Ph.D.
Institutional Affiliation: UCI

Project Description: The CDCR’s DAPO introduced the Housing, Employment and Linking (HEAL) services initiative to reduce female recidivism. The HEAL is a multi-faceted initiative that incorporates a range of existing services and strategies into a coordinated and targeted approach aimed at improving outcomes for female offenders in California. The HEAL integrates programming, services and supervision for female offenders as they are released from an institution and enter into a period of parole supervision. The HEAL recognizes that a gender responsive and trauma informed approach to supervision is likely to produce better recidivism outcomes. Parole Agents received training in the area of gender responsivity; in addition, specialized female offender caseloads have been implemented.

The DAPO developed a number of preliminary research questions to examine both individual HEAL components (such as the effectiveness of specialized caseloads) and the initiative as a whole (for example, whether HEAL reduces recidivism). The UCI is performing a comprehensive literature review followed by process and outcome evaluations to address the majority of the DAPO research questions.

Date Initiated: June 2016
Status: Active

Project Title: **Recidivism and Program Evaluations for Division of Juvenile Justice**
Principal Investigator: Susan Turner, Ph.D.
Institutional Affiliation: UCI and Public Policy Institute of California (PPIC)

Project Description: The UCI is working with the Division of Juvenile Justice (DJJ) and CDCR’s Office of Research to create an outcome evaluation report for the population supervised by the DJJ. The DJJ cohort consists of youth released from the DJJ institutions prior to 2012 in order to provide the standard three-year recidivism follow-up reporting period. Automated “rap sheet” from the DOJ and additional information maintained by the DJJ related to offender background characteristics, sentence type, length of stay, admission, and release dates will be examined in the recidivism study.

The process evaluation will include a program checklist to determine whether programs embody concepts and components associated with

effective correctional programming and to evaluate the extent to which a selected program were implemented as planned by the DJJ.

Date Initiated: June 2016
Status: Active

Project Title: **Realignment Collaboration with Public Policy Institute of California**
Principal Investigator: Susan Turner, Ph.D.
Institutional Affiliation: UCI and PPIC

Project Description: The PPIC, in collaboration with the California Board of State and Community Corrections (BSCC), has initiated a multi-county project to identify the most effective and efficient practices under California’s Public Safety Realignment Act. The purpose of the project is to document county activities and analyze outcomes across a set of key performance measures. The ultimate goals of the project are to identify the sanctions, interventions and services that are most effective in reducing recidivism, and to provide the necessary information for counties to plan further steps to reduce criminal justice costs while maintaining public safety. The study enables PPIC to use the variation across counties in these practices to identify effective practices and then share this information with participating and non-participating counties to inform policy interventions statewide. Finally, the findings from this project will also be useful in the interpretation of state level findings on the effects of realignment on recidivism.

Date Initiated: June 2016
Status: Active

Project Title: **Research on the Impact of the Installation of Surveillance Cameras at High Desert State Prison**
Principal Investigator: Susan Turner, Ph.D.
Institutional Affiliation: UCI

Project Description: The purpose of this project is to examine the impact of the installation of surveillance cameras at High Desert State Prison. The UCI will utilize existing CDCR data collected by various CDCR data systems of records. These analyses will include a pre/post-post methodology which will include the examination of data prior to the implementation of cameras and at two points in time following implementation. Variables of interest include: RVRs, inmate appeals, use of force, and other incident data. The Office of

Research is working to produce data files that will be sent to UCI. Some of the data will be aggregate and some will be offender-level.

Date Initiated: June 2016
Status: Active

Project Title: **Earned Discharge**
Principal Investigator: Susan Turner, Ph.D.
Institutional Affiliation: UCI

Project Description: The DAPO sought to explore an Earned Discharge program in which parolees might be discharged from parole or conditionally discharged if they met certain eligibility criteria. The UCI was contracted to conduct research to assist the CDCR in developing and understanding the implementation and impact of the program. The scope of work with UCI included developing a literature review by examining Earned Discharge policies, practices and use, and theories behind its development (a) in jurisdictions across the United States, and (b) other criminal justice agencies within California (e.g. probation, prison, and jail facilities).

The UCI planned to develop a training curriculum incorporating information gathered from the literature review in order to provide Parole Agents with training in tool development, supporting theoretical and empirical evidence, and use. The UCI were to evaluate the extent to which earned discharge was implemented as planned by DAPO by (a) analyzing parolee case files to determine correct implementation of the earned discharge tool and a review of reasons for ineligibility of the program, (b) conducting Stakeholder and Parole Agent interviews, and (c) Parole Agent surveys to identify perceptions of the program, major implementation hurdles, and whether the implemented program differed from the planned program model and why.

The outcome evaluation would have included a comparison group to measure program success, where parolees would be selected into “experimental” and “comparison” groups on an equal probability basis. The outcome evaluation was to address the following research questions: (1) What was the recidivism rate for parolees recommended for discharge by DAPO under the pilot project? What percent were arrested for new crimes, for what types of offenses, and how soon after the recommendation for discharge? (2) What was the recidivism rate for parolees not recommended for discharge under the pilot project? What percent had technical violations, new criminal charges, for what types of offenses/violations? How did these

rates vary by where offenders “fell out” along the eligibility pipeline? (3)
Compared to parolees not in the earned discharge program, what was the average reduction in the time under parole? How did this vary by parolee characteristics, such as age, gender, ethnicity, and type of offense?

A cost analysis was planned to compare the average costs, in terms of program supervision, recidivism and incarceration for the Earned Discharge program compared to routine supervision parole, if all information were to be gathered.

Date Initiated:

June 2016

Status:

Canceled

4 Contracted Research and Evaluation Projects, Other Divisions, California Department of Corrections and Rehabilitation



The following section lists projects contracted by other CDCR Divisions by status of active, completed, or suspended for the period July 1, 2014 through June 30, 2016.

Division of Adult Parole Operations Projects

Project Title: **Integrated Services for Mentally Ill Parolees and Case Management Reentry Pilot**

Principal Investigators: Elizabeth Hall, Ph.D. and David Farabee Ph.D.

Institutional Affiliation: University of California, Los Angeles (UCLA)

Project Description: The purpose of this project with the Regents of the UCLA, Integrated Substance Abuse Programs, Criminal Justice Research Group is to provide a comprehensive evaluation of CDCR’s Integrated Services for Mentally Ill Parolees (ISMIP) and Case Management Reentry Pilot (CMRP), and to implement promising and evidence-based practices and strategies that promote improved public safety outcomes for offenders reentering society. The UCLA evaluators are conducting a cost analysis to compare the costs of implementing these programs relative to the state’s avoided costs as a result of reduced recidivism.

Pursuant to California Senate Bill Number 1013, Penal Code Sections 2985-2985.5, the CDCR established the ISMIP, which specifies services and adds provision of housing subsidies for the mentally ill parolee population under the jurisdiction of the CDCR’s DAPO. In addition, the CDCR established the CMRP pursuant to Penal Code Section 3016, Article 2.4 for offenders who have been sentenced to a term of imprisonment and who are likely to benefit from a case management reentry strategy designed to address homelessness, joblessness, mental disorders, and developmental disabilities while released to parole.

The UCLA evaluators will provide detailed analysis of ISMIP and CMRP programs process and outcomes. The process evaluation tasks shall describe ISMIP and CMRP programs functions, and the eligible parolees’ participation levels in the available services. The outcome evaluation tasks will focus on program referral participants’ arrests and convictions in comparison to first time parolees historical or concurrent release samples.

A cost-benefit analysis will determine the effectiveness of the ISMIP and CMRP programs. The analysis will form a cost-benefit baseline relative to the comparison subjects (coexistent or historical). The cost analysis report will include two basic components: A direct cost comparison of ISMIP and CMRP programs against the comparison. Cost data from both programs will be obtained to examine the relative cost of administering the ISMIP and CMRP programs. The outcomes can determine the potential costs of ISMIP and CMRP to correctional agencies to implement over time, relative to the

comparison model. The second component is treatment effects that gauge the economic impact of treatment outcomes in contrast to the direct cost comparison of the ISMIP and CMRP programs.

Date Initiated: June 2016
Status: Active

Division of Rehabilitative Programs

Project Title: **The Gender-Responsive Policy & Practice Assessment Full Assessment of the Quality of Program Implementation and Facility Design of the McFarland Women’s Community Correctional Facility**
Principal Investigator: Nena Messina
Institutional Affiliation: GEO Group, UCLA Integrated Substance Abuse Programs

Project Description: The evaluation is designed to (1) assess the degree to which the treatment and correctional staff are able to implement the goals and objectives of the McFarland Community Correctional Facility, and (2) determine the degree to which the treatment and custody staff conform to the therapeutic model of gender-responsive and trauma-informed treatment as specified in the *Gender-Responsive Strategies: Research, Practice, and Guiding Principles for Women Offenders* Report (Bloom, Owen, & Covington, 2003).

The Gender-Responsive Policy and Practice Assessment (GRPPA), a process designed to guide assessment of research-based, gender-responsive policies and practices in community corrections programs for women, will be used to measure program quality assurance. The instrument incorporates multiple approaches to assess facilities and programs across five domains. Data will be collected from site visits, fidelity check lists, and staff interviews to monitor the proper implementation of program curricula. Program fidelity will likewise be monitored.

In addition to these efforts, the researcher will train program staff in the continued use of the GRPPA for future monitoring of program quality and procedures. The researcher will also provide training for specific administrative staff in the continued use of the fidelity measures.

Date Initiated: May 2014
Date completed June 2015
Status: Complete

5 External Research and Evaluation Projects (Not Commissioned by the California Department of Corrections and Rehabilitation)



The following section lists external research and evaluation projects by status of active or completed for the period July 1, 2014 through June 30, 2016.

Project Title: **Center for Advancing Longitudinal Drug Abuse Research (CALDAR)**

Principal Investigator: Yih-Ing Hser

Institutional Affiliation: UCLA Drug Abuse Research Center

Project Description: The literature on drug patterns have indicated that patterns exist between drug addiction and Human Immunodeficiency Virus (HIV) infection. Similarly, drug patterns exist between drug treatment and other service systems such as mental health, criminal justice, welfare, and medical care. Data will be obtained from a number of different sources including CDCR, in an attempt to identify these patterns. The researchers are analyzing relevant individual-level data maintained by CDCR.

Date Initiated: November 2006

Status: Active, CALDAR continues to request updated information from CDCR.

Project Title: **Assessing the Needs and Risks of Substance-Abusing Parolees: Developing a Strategy to Reduce Recidivism**

Principal Investigator: Roxanne Clark

Institutional Affiliation: Contra Costa County Department of Education and California State University, Long Beach

Project Description: The aim of this study is to delineate and define risk factors and needs of substance-abusing parolees who have entered the Substance Treatment and Abuse Reduction program in Contra Costa County using previously collected demographic questionnaires and risk assessment surveys.

Date Initiated: July 2007

Status: Active

Project Title: **Continuation of the Substance Abuse and Crime Prevention Act Evaluation (Evaluation of Proposition 36)**

Principal Investigator: Darren Urada

Institutional Affiliation: UCLA Integrated Substance Abuse Programs

Project Description: This is a continuation of an existing study of the Substance Abuse and Crime Prevention Act of 2000, also known as Proposition 36. The California Department of Health Care Services has contracted with UCLA Integrated

Substance Abuse Programs for the initial and continuing evaluations, with the potential for one-year extensions through June 30, 2012. Data from CDCR is utilized to evaluate the variations in promising practices in implementing Proposition 36 across counties.

Findings from the 2008 evaluation reported a selected number of promising practices to improve Proposition 36 performance and outcomes. These include some practices already being facilitated by the Offender Treatment Program such as, greater use of narcotic treatment programs, residential treatment, and drug testing and sanctions, as well as the introduction of new practices such as employment assistance. UCLA also recommended that permanent and predictable funding be made available for these practices.

Date Initiated: August 2007
Date completed Annual reports published for Years 2008 and 2009
Status: Active

Project Title: **Extension of Parole Violators and Revocations in California to Examine Parole Violations and Revocations Among Fire Camp and Non-Fire Camp Inmates**
Principal Investigator: Ryken Grattet, Ph.D.
Institutional Affiliation: University of California, Davis

Project Description: This study examines parole violations and revocations of inmates housed in a fire camp while incarcerated by CDCR as compared to similar inmates not housed in a camp. Individual, system, and community-level variables will be considered in the analysis. This study builds upon existing data collected for a previous study of parole violations and revocations in California. The original data consists of CDCR administrative records of parolee behavior, as well as data on parole units, parole officers, and the communities within which parolees are released. The data track violations, revocations, and arrests for roughly 120,000 parolees in California from 2003 to 2004.

Date Initiated: May 2010
Status: Active

Project Title: **An Experimental Comparison of Tele-psychiatry and Conventional Psychiatry for Mentally Ill Parolees**

Principal Investigator: David Farabee, Ph.D.

Institutional Affiliation: UCLA Integrated Substance Abuse Program

Project Description: This research project will compare the effectiveness of tele-psychiatry relative to face-to-face sessions with regard to satisfaction with treatment/therapeutic alliance, medication adherence, session attendance, psychological functioning, and recidivism among mentally-ill parolees. Newly admitted parolee outpatients from CDCR's DAPO in Bakersfield and Fresno were randomized into two groups to receive either: 1) psychiatric services using telemedicine; or 2) conventional face-to-face sessions. Various instruments are administered to both groups at the time of interviews such as, the Brief Symptom Inventory, the Working Alliance Inventory, and the Morisky Medication Adherence Scale. Levels of recidivism between participants in the tele-psychiatry group and those receiving conventional sessions are compared using data from the CDCR Strategic Offender Management System.

Date Initiated: November 2011

Status: Active

Project Title: **Predictors of Violence and Suicide Risk and Psychiatrically Hospitalized Inmate/Patients**

Principal Investigator: Robert Horon

Institutional Affiliation: California Department of State Hospitals - Vacaville Psychiatric Program

Project Description: This study involves an analysis of chart reviews of inmates who committed suicide. The researcher is evaluating whether standardized suicide risk measures have clinical utility with correctional psychiatric inpatients. The researcher also wants to know if measures used in community inpatient and outpatient settings can be used reliably and validly within a correctional population. The hypothesis is as follows: If findings from chart reviews of suicides reflect the same risk factors summarized in the Chronic-Acute-Idiosyncratic, then CDCR's Office of Suicide Prevention and the California Department of State Hospitals will be confident that the factors being used for assessment and intervention are correctly identified.

Date Initiated: March 2012

Status: Active

Project Title: **Methamphetamine Abuse: Long-Term Trajectories, Correlates and Treatment Effects-Follow-up Interviews**

Principal Investigator: Mary-Lyn Brecht
Institutional Affiliation: UCLA Integrated Substance Abuse Programs

Project Description: The 2003 longitudinal study of approximately 500 methamphetamine users in a community setting is designed to better understand the consequences of methamphetamine use, its treatment participation patterns, and its impact on the criminal careers of study participants. The data collection methods for this study include face-to-face follow-up interviews with study participants through 2013. During this period of follow-up interviews, approximately 11 study participants have been incarcerated in California State Prisons.

Date Initiated: March 2012
Status: Active

Project Title: **The Prison University Project Evaluation Study at the California State Prison, San Quentin**

Principal Investigator: Amy Lerman and Molly Reisman
Institutional Affiliation: Princeton University

Project Description: The evaluation is a quantitative and qualitative study of program performance (including institutional behavioral data) of CDCR's Prison University Project inmate-participants and the outcomes of those released to parole for at least one full semester. The analysis also examines their rates of recidivism, higher education, academic performance, rates of employment, rates of substance abuse and relapse, social relationships, and quality of life.

Date Initiated: May 2012
Status: Active

Project Title: **Phase 2 Evaluation of California Parole Supervision and Reintegration Model**

Principal Investigator: Susan Turner
Institutional Affiliation: UCI

Project Description: Phase 2 of the evaluation will examine recidivism to determine whether parolees supervised under the California Parole Supervision Reintegration

Model have better outcomes than parolees supervised under the traditional methods of supervision.

Date Initiated: May 2012
Status: Active

Project Title: **Pre and Post Evaluation: Prison Arts Demonstration Project**
Principal Investigator: Larry Brewster
Institutional Affiliation: University of San Francisco School of Management

Project Description: The purpose of this study is to measure “personal development” changes such as behavior and attitudes among participating inmate-artists. The scales are adopted from the “Life Effectiveness Questionnaire” (Dr. James Neill, author). These forms will be administered by the art instructor to inmate-participants during the first and final days of instruction. To determine whether there was a reduction in disciplinary reports among inmate-artist participants, data on their disciplinary reports during and after participation were collected and compared to their disciplinary records prior to starting the class.

Date Initiated: December 2012
Status: Active

Project Title: **Evaluation of the Bureau of Justice Assistance Second Chance Act Adult Demonstration Projects**
Principal Investigator: Carrie Markovitz
Institutional Affiliation: NORC, University of Chicago

Project Description: The purpose of this evaluation is to further understand the supports and services necessary to facilitate prisoners’ successful reentry into their communities, including strategies to reduce recidivism and subsequent criminal behavior, enhance employment and earnings, facilitate retraining, stabilize housing, and reduce the instance of substance abuse.

Date Initiated: December 2013
Status: Active

Project Title: **Violent Behavior of Male and Female Inmates While in Custody: An Evaluation of Gender Responsive Anger Management Program with a Look at Motivation for Treatment and Treatment Outcomes regarding Incidents of Violence while Incarcerated**

Principal Investigator: Stephanie Waldron

Institutional Affiliation: California State University, Stanislaus

Project Description: The researcher is interested in measuring motivation for participation in the Alternatives to Violence Program (AVP) offered to inmates in prison. The interview portion will consist of 30 qualitative interviews with a random sample of ten violent male offenders who are AVP participants, ten violent male offenders who are non-AVP participants and ten violent female offenders who participated in the Anger Management Program. The interviews will be conducted at the Central California Women’s Facility and the Valley State Prison for Men.

Date Initiated: December 2013

Status: Active

Project Title: **Art and Creativity within Prison**

Principal Investigator: Laura Pecenco

Institutional Affiliation: University of California, San Diego

Project Description: The purpose of this research is to examine how social and individual factors lead to the gendering of artists and art in the male prison environment. The study examines the question in terms of the process of art creation and the art products created.

Date Initiated: December 2013

Status: Active

Project Title: **San Joaquin Community Data Co-op**

Principal Investigator: Campbell Bullock

Institutional Affiliation: San Joaquin County

Project Description: The San Joaquin County Local Arrest Study builds upon a study conducted by the Justice Center entitled: *The Impact of Probation and Parole Population on Arrests in Four California Cities*. The purpose of this study is to determine whether offenders arrested in San Joaquin County 18 months pre-alignment and 18 months post-realignment were on probation or parole

at the time of their arrest, or if they had ever been on supervision. San Joaquin County is seeking to understand what drives crime in the county as measured by arrests. The findings of this study could provide San Joaquin County with information to determine resource allocation and effective interventions to keep crime rates down and reduce recidivism.

Date Initiated: December 2013
Status: Active

Project Title: **Implementation and Effects of Proposition 36**
Principal Investigator: Elsa Chen, Ph.D.
Institutional Affiliation: Santa Clara University

Project Description: The research objectives are to determine: (1) how much variation between counties exists in the process and outcomes of Proposition 36 (Prop. 36) resentencing, and in the application of Three Strikes as modified by Prop. 36; (2) how much variation in resentencing outcomes and post-Prop. 36 Three Strikes is explained by legally relevant variables; (3) how much disparity is associated with certain extralegal variables; (4) the most likely explanations for any remaining geographic disparity in Three Strikes implementation and outcomes after Prop. 36; (5) differences, if any, between the Prop. 36-eligible population and comparable inmates who are not eligible for resentencing in terms of risk to public safety; and, (6) reentry plans and needs of offenders who are likely to be released or to receive reduced sentences as a result of Prop. 36.

Date Initiated: February 2014
Status: Active

Project Title: **“Life After Life”: An Evaluation of the Peer Reentry Navigators & Network Pilot Program**
Principal Investigator: Elizabeth Kita, Ph.D. & LCSW
Institutional Affiliation: CDCR, DAPO

Project Description: The purpose of this study is to examine the DAPO’s Peer Reentry Navigators & Network Pilot Program implemented at the Los Angeles, Sacramento, and San Francisco parole units. The objectives of this study are to evaluate the program’s implementation, assess its impact on long-term offenders, and gather information regarding the longitudinal needs of participants in the program. The research method is participant interviews, either in-person or by telephone. The results of this study could provide information on best

practices to successfully re-integrate long-term offenders into their communities.

Date Initiated: August 2014
Status: Active

Project Title: **California Youth Transitions to Adulthood Study**
Principal Investigator: Mark Courtney, Ph.D.
Institutional Affiliation: University of Chicago

Project Description: This study will evaluate the impact of the California Fostering Connections to Success Act on outcomes from transition to adulthood for foster youth. The California Youth Transitions to Adulthood Study survey will answer research questions utilizing the following topics: individual and family background; experiences during foster care and extended foster care; socioeconomic status; health and development; social support and community connections; parenting; relationships; crime and justice involvement; and services and public system involvement. The results of this evaluation will be used to improve services that could prevent or reduce involvement in criminal behavior among young adults exiting the foster care system.

Date Initiated: December 2014
Status: Active

Project Title: **A Critical Exploration of the Causes, Experiences, and Consequences of Intergenerational Incarceration**
Principal Investigator: Mark Halsey
Institutional Affiliation: Flinders University

Project Description: This research project measures the prevalence and depth of intergenerational incarceration among inmates at San Quentin Prison by focusing on two areas: 1) information about the inmate (demographics); and 2) knowledge of family members' incarceration experiences. The data collected from this study will be compared to and supplement survey results from the Australian Research Council Grant. The results of this project will assist in developing prevention and rehabilitation strategies, and enhance public safety.

Date Initiated: March 2015
Status: Active

Project Title: **Decision-making Factors Influencing the Wearing of Body Armor: A National Study**

Principal Investigator: Bruce Taylor

Institutional Affiliation: NORC at the University of Chicago

Project Description: This study gathers information about the use of body armor, when it is not used, and the reasons for using or not using body armor for Correctional Officers (COs). The intent of the research is to better understand correctional officers' decision-making process regarding the use of body armor and to apply that information to inform strategies to improve officer safety in correctional environments. Of the 150 correctional agencies sampled nationally, 10-12 COs will be interviewed at seven California prison institutions at the micro and macro level – a facility survey and an officer survey. The facility survey will capture aggregate level information from administrative records such as incidents of assaults on officers, level of security, disciplinary actions, overall inmate demographics and sentences, size of facility, capacity, programming available, policies related to body armor, union membership, and climate/temperature of the facility. The officer-level survey will measure the knowledge, attitude, and behavior of individual correctional officers regarding body armor. The results of this study could provide the Department with information on how the use of body armor could improve COs safety.

Date Initiated: March 2015

Status: Active

Project Title: **Realignment and Recidivism**

Principal Investigator: Ryken Grattet, Ph.D.

Institutional Affiliation: PPIC

Project Description: This purpose of this study is to compare post-release outcomes from offenders released to Post-Release Community Supervision (PRCS) and State Parole in order to answer the following question: "Are the recidivism rates of supervised populations changing as a result of realignment?" The researcher is interested in knowing if the California Public Safety Realignment Act (2011) has affected patterns of recidivism outcomes. The researcher will be utilizing nonparametric survival estimation based on Helland and Tabarrok's (2007) methodology. The results of this study could provide a better understanding of how the most significant correctional

system reform in 40 years has impacted patterns of recidivism at the state- and county-level.

Date Initiated: March 2015
Status: Active

Project Title: **Assessing Prison Volunteer Programs to Determine What Works**
Principal Investigator: Peter York
Institutional Affiliation: Algorhythm – contracted by California Volunteers

Project Description: The research project will determine which volunteer programs are effective for which segments of the inmate population by creating an inventory and analysis of volunteer programs in California adult institutions. The five-step approach to this research project are: conduct a review of all volunteer programs and collect data in order to establish a typology of programs and outcomes; create a standardized set of survey instruments; gather survey data and combine it with existing inmate volunteer program data; conduct descriptive, predictive and prescriptive analytic modeling; and produce a report of research findings. Participants in the research project are inmates who participate in volunteer programs, prison staff and prison program volunteers. Information from this evaluation could provide the department with an understanding of which targeted volunteer programs most positively affect the behavior of inmates and reduce recidivism.

Date Initiated: March 2015
Status: Active

Project Title: **Juvenile Residential Facility Census**
Principal Investigator: Alonzo Johnson
Institutional Affiliation: US Census Bureau for the Office of Juvenile Justice and Delinquency Prevention

Project Description: The US Census Bureau, Office of Juvenile Justice and Delinquency Prevention obtains DJJ facilities data on an annual basis. In conjunction with other states' data, the Office of Juvenile Justice and Delinquency, will continue to develop a system of collection information on juvenile corrections and develop and implement new policies, practices and programming across the nation. The point-in-time data will include static demographic information about juvenile offenders housed in DJJ's facilities. This project will include a survey to be conducted at DJJ facilities. The survey includes questions regarding general institution design, available program

overviews, type and frequency of assessments conducted, type of available education programming, type of assessments conducted and treatment available for substance abuse, and the number/type of deaths that may have occurred while under the jurisdiction of DJJ. This study could provide an understanding of other states’ juvenile system and how California compares in an effort to strengthen prevention and rehabilitation strategies.

Date Initiated: March 2015
Status: Active

Project Title: **Multiple Studies Related to Center on Juvenile and Criminal Justice Continued Statistical Research on Prison Populations and Policies That Affect Them**
Principal Investigator: Mike Males
Institutional Affiliation: Center on Juvenile and Criminal Justice

Project Description: The purpose of this project is to update offender characteristic data (admissions, race, gender, offense, and county) already posted on the Center on Juvenile and Criminal Justice’s website for the public to view and use. The project will provide offender characteristics to the public, which could help inform strategies for incarcerating offenders and developing effective rehabilitative strategies.

Date Initiated: May 2015
Status: Active

Project Title: **Second Chance Act Evaluation**
Principal Investigator: Ronald D’Amico
Institutional Affiliation: Social Policy Research Associates

Project Description: In accordance with the Second Chance Act (SCA) Adult Demonstration program, this research project will implement new models of serving returning offenders and reducing recidivism. These models will be based on the results of a two-part evaluation – a random assignment impact study and descriptive analysis of recidivism outcomes. The intent of this study is to provide information on the impact and outcomes of recidivism and services such as employment.

Date Initiated: May 2015
Status: Active

Project Title: **Screening, Brief Intervention and Referral to Treatment in Mental Health Treatment Settings – Ventura County Behavioral Health**

Principal Investigator: Samuel Ballou

Institutional Affiliation: UCLA Integrated Substance Abuse Programs

Project Description: The objective of this research study is to examine the Screening, Brief Intervention, and Referral to Treatment health promotion approach in mental health clinics in Ventura County. The participants in this study will consist of males and females with mental health diagnoses who also have co-occurring substance abuse disorders, such as alcohol, cannabis and stimulant use. Information from this study could provide CDCR with effective interventions to assist in managing offenders with mental health diagnoses.

Date Initiated: June 2015

Status: Active

Project Title: **A Program Evaluation of the Inmate Council Program**

Principal Investigator: Stacy Calhoun

Institutional Affiliation: UCI

Project Description: The purpose of the evaluation is to document pre-post attitudinal and behavioral changes in inmates and staff to determine if participation in the Inmate Council Program is effective in improving behavioral and mental health outcomes for CDCR inmates. The study includes three surveys (baseline, mid-program, and program completion). In addition, the study includes focus groups at the end of the training program to give inmates the opportunity to provide feedback about the program. The surveys were developed using the following scales: Interpersonal Reactivity Index, Connor-Davidson Resilience Scale, Cognitive and Affective Mindfulness Scale-Revised, Social Connectedness Scale-Revised, Short-Form Buss-Perry Aggression Questionnaire, and The Active-Empathetic Listening Scale. The results of this evaluation could provide CDCR with information on how to improve rehabilitative programs to successfully integrate offenders with behavior and mental health diagnoses.

Date Initiated: June 2015

Status: Active

Project Title: **Evaluation of the FY 2011 Bureau of Justice Assistance Second Chance Act Adult Offender Reentry Demonstration Projects**

Principal Investigator: Pamela Lattimore

Institutional Affiliation: RTI, International

Project Description: The purpose of the research is to provide recidivism (parole and return) data to be used in the FY 2011 SCA Adult Offender Reentry Demonstration Project Evaluation conducted by RTI International and the Urban Institute, sponsored by the National Institute of Justice. The data will be used to determine the effectiveness and cost effectiveness of various models for managing prisoner reentry, with recidivism being one of the key outcomes assessed in the evaluation. The three components of the study are: a process evaluation, a cost study, and an outcome study. The data requested from CDCR will be used in the outcome study. The study will generate information that could be used by the CDCR to develop or refine reentry programming to better address public safety needs by reducing the criminal behavior of released offenders.

Date Initiated: September 2015

Status: Active

Project Title: **2016 Survey of Prison Inmates**

Principal Investigator: Timothy Smith

Institutional Affiliation: RTI International

Project Description: The research project, being conducted by RTI International in collaboration with the Bureau of Justice Statistics, is to conduct interviews with inmates, age 18 or older, at CDCR institutions to generate national estimates of the characteristics of prisoners. These characteristics include commitment offense, criminal history, medical, mental health, substance abuse and dependency problems, behavior in prison, rules infractions, and participation in the program. In addition, the research project will examine certain risk and reentry factors such as employment, housing, past and current family structure, social support, mental health, drug abuse, programming, and motivation. The results of this study could assist CDCR in decision-making regarding safe and secure incarceration, as well as rehabilitation strategies.

Date Initiated: December 2015

Status: Active

Project Title: **Gangs, Gang Members, and Housing Survey**
Principal Investigator: David Pyrooz
Institutional Affiliation: University of Colorado, Boulder

Project Description: This study involves the completion of a self-administered survey on issues and practices related to housing, programming, and placement of gang members in prison facilities in order to gain a better understanding of agency-level similarities and differences. In the self-administered survey, aggregate data on gang activity, the number of inmates affiliated with gangs, and housing assignments of gang members were reported. In addition, estimates on the number of confirmed and suspected gang members in protective custody, restrictive housing, and administrative segregation, as well as estimates on the number of violent infractions for gang-related inmates were reported.

Date Initiated: January 2016
Status: Active

Project Title: **Exploring the Cognitive Style of a Correctional Population Through Perceptual Accuracy and Thought Complexity Measures**
Principal Investigator: Alberto Miranda
Institutional Affiliation: American School of Professional Psychology, Argosy University

Project Description: The research study will examine archival Rorschach assessment batteries, which include a cognitive measure, a self-report objective measure, a protective/performance-based measure, as well as demographic information to determine whether or not there is a correlation between other neurophysiological measures in relation to social functioning and/or criminal behavior. The researcher will examine 50 inmates at the California Institution for Men who previously participated in a psychological assessment. The goals of this study is to understand inmates cognitive styles, correctly classify individuals with poor intellectual functioning, and help clinicians in secure forensic settings better address the specific needs of their patients.

Date Initiated: January 2016
Status: Active

Project Title: **Life Sentences in the United States: An Update**
Principal Investigator: Ashley Nellis
Institutional Affiliation: Sentencing Project

Project Description: The Sentencing Project provides a national view of lengthy prison sentences by reporting an annual disaggregate count of each state’s life sentences, life sentences without parole, and sentences of 50 years or more (virtual life). In particular, for each of the categories, the Sentencing Project is requesting disaggregated data by race, ethnicity, gender age, and crime of conviction. The information provided by this research would facilitate a better understanding of other state’s prison sentences compared to CDCR.

Date Initiated: January 2016
Status: Active

Project Title: **Enhanced Drug and Contraband Interdiction Program**
Principal Investigator: Magnus Lofstrom, Ph.D., Brandon Martin and Steven Raphael, Ph.D.
Institutional Affiliation: PPIC

Project Description: The research study assists the CDCR in measuring the effectiveness of the Enhanced Drug and Contraband Interdiction Program (EDCIP) by using offender-level data to track participants’ outcomes in the short-term and long-term to determine if positive Urinary Analysis decrease with participation in the program, treatment compliance, community behavior upon release, and future arrests and convictions. In addition, the PPIC will utilize institutional level data to conduct more in depth, rigorous and high-quality methods to ensure the observed changes in outcomes are definitely attributable to the EDCIP.

Date Initiated: January 2016
Status: Active

Project Title: **Literacy Intervention Strategies in Low-income Communities**
Principal Investigator: Summer Brenner
Institutional Affiliation: Community Works West

Project Description: The purpose of the Literacy Intervention Strategies in Low-income Communities study is to use CDCR’s most recent literacy rates and reading levels of inmates to support grant proposals on literacy intervention strategies. The research could provide a better understanding of the

relationship between literacy and limited potential, which may lead to involvement in criminal activity. The CDCR could use this information to strengthen educational rehabilitative programs.

Date Initiated: February 2016
Status: Active

Project Title: **Impact of Technical Violations on Prison Populations**
Principal Investigator: Mark Myrent
Institutional Affiliation: Justice Research and Statistics Association

Project Description: The study is a collaborative effort between the Justice Research and Statistics Association in collaboration with the Pew Charitable Trusts and the Statistical Analysis Center. The purpose of the study is to understand the proportion of admissions, releases, and stock population in each state’s prison system that is comprised of offenders sent to prison for technical violations. In addition, the study will also differentiate between offenders who revoked for “purely” technical violations involving non-compliance with the terms of probation or parole and those who revoked for committing a new crime while on probation or parole. The study will generate information on how to reduce the technical violator population by developing alternatives to prison as sanctions in order to focus prison space on offenders that are more likely to be dangerous to the community.

Date Initiated: March 2016
Status: Active

Project Title: **Using Machine Learning to Identify Inmates at Imminent Risk of Deliberate Self-Injury and Suicide**
Principal Investigator: David Leidner
Institutional Affiliation: CDCR and Harvard University

Project Description: The purpose of this research project is to determine if machine learning algorithms (MLAs) identify inmates at imminent risk of deliberate self-injury and suicide. The project will examine CDCR administrative variables that best predict deliberate self-injury and suicide among CDCR inmates. The results of the prospective tests, including specificity, sensitivity, positive predictive value, and the area under the received operating characteristic curve will be evaluated to determine whether or not the MLA ensemble should be automated to create an “early warning” system for CDCR staff

and the California Correctional Health Care Services (CCHCS). The findings from this research project could provide the CDCR and CCHCS with information to predict early detection of inmates at-risk of imminent self-injury, enhance inmate’s well-being, improve staff safety, and save health care resources.

Date Initiated: March 2016
Status: Active

Project Title: **A Mixed Methods Qualitative and Quantitative Research Study Investigating the Effects of Art Therapy on Depression and Suicide Ideation with Correctional Clinical Case Management System Inmate-Patients**
Principal Investigator: Linnea Hagens, M.A.
Institutional Affiliation: Notre Dame de Namur University

Project Description: The research study will determine if art therapy reduces depression and ideation amongst death-row psychiatric inmate patients at San Quentin State Prison. The study will use qualitative and quantitative research methods. Participants of the study will participate in 12 art therapy sessions with registered art therapists to assess each inmate participant’s mental and emotional well-being. In addition, each participant will complete the Beck Inventory questionnaire, the William Reynolds Adult Suicidal Ideation questionnaire and the Personal Boundary questionnaire. The results of these questionnaires will determine if art therapy is effective by comparing the groups based on depression and suicidal ideation.

Date Initiated: April 2016
Status: Active

Project Title: **A Longitudinal Study of Parolees with Serious Mental Illness**
Principal Investigator: David Farabee, Ph.D.
Institutional Affiliation: Charles Koch Foundation

Project Description: The research project is a longitudinal study with 100 serious mental illness (SMI) offenders to assess their access to and utilization of psychiatric services, reasons why they entered or did not enter care, the reasons for remaining or dropping out of care, perception of services, whether or not they were transferred from CDCR-funded to county-funded care overall psychological functioning, conditions around revocations and re-arrests, and how existing post-release psychiatric services can be better tailored to meet

the needs of this population. Over the 12-month period, SMI offenders will participate in five different questionnaires. At the conclusion of interviewing, the researcher will analyze program participation and re-arrest data to provide CDCR with information on the recidivism rate of SMI's, the reasons for recidivating, and the psychiatric treatment services that will best fit the needs of this population. The study will provide CDCR with information on the rate of recidivism for offenders with SMIs, the reasons why this population recidivate, and what psychiatric treatment services will best fit the needs of the SMI population.

Date Initiated: April 2016
Status: Active

Project Title: **Prison University Project – Longitudinal Study**
Principal Investigator: Amy Lerman
Institutional Affiliation: University of California, Berkeley

Project Description: The PUP College Program is a longitudinal study to evaluate the program's impact on participants at San Quentin State Prison. The PUP seeks to examine whether in-prison higher education programs diminish in-prison misconduct, post-release recidivism, and have the capacity to reduce the otherwise negative socialization during imprisonment. The researcher will conduct an in-custody survey and a post-release behavioral outcomes assessment. The results of this study could provide evidence of programs that increases the outcomes of offenders with advanced education.

Date Initiated: April 2016
Status: Active

Project Title: **National Longitudinal Survey of Youth 1979 and National Longitudinal Survey of Youth 1997**
Principal Investigator: Ruppa Datta
Institutional Affiliation: Carnegie Mellon University in collaboration with NORC, University of Chicago

Project Description: The NORC at the University of Chicago is conducting a longitudinal study, sponsored by the U.S. Department of Labor, Bureau of Labor Statistics to understand the nation's employment needs and understand factors that influence an offender's decision to enter or leave the workforce, and return after a period of being away from the workforce. In 1979 and 1997, participants were selected to participate in part one of the study. Part two

of the study consists of conducting 50 interviews with inmates at various CDCR institutions. The results of this project could assist CDCR in identifying effective vocational and employment training to prepare offenders for reentry and reintegration to their communities.

Date Initiated: May 2016
Status: Active

Project Title: **End-of-Life Care in Correctional Settings**
Principal Investigator: Heath Hoffmann
Institutional Affiliation: College of Charleston

Project Description: This study involves the completion of a self-administered survey on end-of-life programming and services in CDCR prisons. The study seeks to understand how state and federal prisons manage the healthcare needs of terminally ill patients, the extent to which states have utilized medical parole/geriatric release statutes to move chronically/terminally-ill inmates into the community, and how end-of-care has evolved since 2011. The study will generate information that could be used by the CDCR to understand how medical parole and geriatric release statutes affect the prison population.

Date Initiated: May 2016
Status: Active

Project Title: **Utilizing the Rorschach as a Measurement of Emotional Intelligence with Incarcerate Populations**
Principal Investigator: Ashley Ginter, M.A.
Institutional Affiliation: Argosy University

Project Description: The research study will use Rorschach and Wechsler Adult Intelligence Scale-Fourth Edition assessments on archival CDCR data at the CIM to determine the emotional intelligence of inmates and their level of intellectual abilities compared to outpatient participants who have no known history of incarceration. The research study could provide a better understanding of the emotional intelligence of inmates at CIM and improved treatment options to increase success and reduce recidivism.

Date Initiated: June 2016
Status: Active

Project Title: **Youth Offender Parole Study**
Principal Investigator: Kristen Bell
Institutional Affiliation: University of Southern California

Project Description: The Youth Offender Parole Study will use race and ethnicity administrative data to answer how the Board of Parole Hearings weighs evidence of youth at Youth Offender Parole hearings in accordance to Senate Bill Number 260, Chapter 312, September 2013 and Senate Bill Number 261, Chapter 471, October 2015. The administrative data will be used to conduct standard regression techniques to determine what factors tend to influence decisions at Youth Offender Parole Hearings. The research study will facilitate a better understanding of how evidence of youth at Youth Offender Parole Hearings is weighed and influence the Board’s decisions at these hearings.

Date Initiated: June 2016
Status: Active

Project Title: **Four Models of Telephone Support for Stimulant Recovery**
Principal Investigator: David Farabee, Ph.D.
Institutional Affiliation: UCLA

Project Description: The overall objective of this research was to develop and refine empirically supported aftercare interventions that promote healthy behavior and help sustain abstinence from illicit drug use. The goals of this study were:

- 1) Test the efficacy of telephone support.
- 2) Compare the effectiveness of four types of telephone support.
- 3) Ascertain the direct, and indirect, effects of telephone support on stimulant use and related behavior 12 months following the completion of the intensive treatment period.
- 4) Test the hypothesized interactions between patient characteristics and counseling styles to develop a set of matching criteria that could be implemented and tested in a subsequent study.

Outcomes were tracked at 3 and 12 months following completion of primary treatment and will include measurement of participation in drug-avoidance activities (e.g., aftercare participation), as well as self-reported and objective measures of substance use and associated pro-social behavior change.

Date Initiated: July 2007

Date Completed: September 2011
Status: Complete^{iv}

Project Title: **National Former Prisoner Survey**
Principal Investigator: Candace Johnson
Institutional Affiliation: NORC, University of Chicago

Project Description: The Former Prisoner Survey (FPS) is part of the BJS National Prison Rape Statistics Program, which was mandated to gather data on the prevalence of sexual assault in correctional facilities under the Prison Rape Elimination Act. The Act required the collection of information from former inmates on any experiences of sexual assault while incarcerated. Data was collected directly from inmates in a private setting using Audio Computer-Assisted Self Interview technology with a touch-screen laptop and an audio feed to maximize inmate confidentiality and minimize literacy issues. The sample included approximately 18,000 interviews with former inmates on active parole supervision in over 200 parole offices in 40 states.

As of November 2012, the NORC completed all data weighting activities, prepared final data files, undertook disclosure analysis, and provided BJS with analytical support in preparation for BJS reports on the National Former Prisoner Survey.

Date Initiated: March 2008
Date Completed: May 2012
Status: Complete^v

Project Title: **Mental Health Court Evaluation**
Principal Investigator: Lisa Callahan
Institutional Affiliation: Policy Research Associates

Project Description: This was a longitudinal study with the aim of determining whether mental health courts (MHC) are effective in meeting their goals. The MHC are criminal courts for persons with mental illness and were developed to reduce the repeated cycling of this population through the criminal justice system, to engage them in community treatment, and divert them from jail and prison stays.

Date Initiated: May 2009
Date Completed: March 2013

Status: Complete^{vi}

Project Title: **Using Incentives to Improve Parolee Enrollment and Attendance in Community Treatment**

Principal Investigator: Michael Prendergast

Institutional Affiliation: UCLA

Project Description: For general substance abuse populations, research supports the effectiveness of behavioral reinforcement, primarily in the form of contingency management (CM). CM had not yet been tested or adapted for use in community-based programs for offender populations, particularly to encourage treatment attendance.

The UCLA ISAP, in collaboration with Walden House and CDCR, conducted a five-year research study which involved a randomized test of the use of incentives with parolees in a community-based therapeutic treatment program to increase treatment admission and treatment retention, and to increase the likelihood of improved outcomes. Study participants were recruited from clients in a prison-based treatment program who had a referral to the Walden House community program. The Admission Phase of the study assessed the effect of an incentive (voucher) on enrolling in the Walden House program.

The Attendance Phase assessed the effect of incentives on treatment attendance and on post-treatment drug use, crime, and psychosocial behaviors. The intervention lasted six months. Study participants were interviewed at baseline and again at 12 months following the intervention. Treatment and criminal justice data were obtained. Data on acceptability, satisfaction, and sustainability were collected from focus groups conducted with staff and clients.

The study had four specific aims: (1) determine whether offering an incentive (voucher) increases admission to community treatment by parolees who have participated in prison treatment; (2) for parolees who enter community treatment, determine whether providing incentives for attendance results in greater retention in treatment; (3) assess the long-term impact of the use of incentives on drug use, crime, and psychosocial outcomes at 12 months following the end of the six-month intervention; and, (4) assess issues of acceptability, satisfaction, and sustainability of the use of incentives to increase admission and retention of program participants.

Date Initiated: May 2010

Date Completed: October 2015
Status: Complete^{vii}

Project Title: **Violence Risk Assessments of Indeterminate Life-Sentenced Inmates Conducted to Inform Decision-Making regarding Parole Suitability**
Principal Investigator: Cliff Kusaj
Institutional Affiliation: Board of Parole Hearings, Forensic Assessment Division, CDCR

Project Description: The evaluation examined relationships between offender demography (e.g., age, classification score, security level of institution), violence risk factors coded within standardized assessment instruments (HCR20, PCL-R, and LS-CMI), and outcome variables (parole suitability decisions, institutional infractions).

Date Initiated: February 2012
Date Completed: November 2014
Status: Complete^{viii}

Project Title: **California Parolee Reentry Evaluation**
Principal Investigator: Shannon M. Carey
Institutional Affiliation: Northwest Professional Consortium Research

Project Description: The CDCR agreed to share demographic characteristics and recidivism data from January 2006 through June 2014 with the Principal Investigator. In 2009, the State of California committed American Recovery and Reinvestment Act of 2009 State Justice Assistance Grant monies for a statewide pilot project that established or enhanced six parolee reentry courts. These courts are designed to prevent eligible parole violators from returning to prison by providing enhanced supervision and services. The pilot project was established to address California’s return-to-prison rate of 66 percent, the highest in the nation (Grattet, Petersilia, & Lin, 2008).

The Judicial Council is legislatively mandated to conduct an evaluation of the pilot reentry courts, with cooperation from the CDCR. To carry out this evaluation, the Judicial Council contracted with Northwest Professional Consortium Research in collecting administrative data for reentry court program participants and their appropriate comparison group. The data variables included demographic characteristics such as, age, gender, risk level, and those pertaining to criminal history and recidivism.

Date Initiated: February 2013
Date completed December 2014
Status: Complete^{ix}

Project Title: **Recidivism Analysis of the Evaluation of the Re-integration of Ex-Offenders**
Principal Investigator: Andrew Wiegand
Institutional Affiliation: SPR Associates

Project Description: This study is a national longitudinal study of 24 programs funded under the Prisoner Reentry Initiative. The project is funded by the U.S. Department of Labor. The purpose of the evaluation was to examine the impact of comprehensive employment-centered services provided to formerly incarcerated individuals participating in the Re-Integration of Ex-Offender demonstration project. Three of these programs were run by providers in California.

Date Initiated: December 2013
Date completed May 2015
Status: Complete^x

Project Title: **AB 109 in Los Angeles County: A Process and Outcome Evaluation**
Principal Investigator: Katherine Tellis
Institutional Affiliation: LA County Probation Department

Project Description: The research project was part of a larger process and outcome evaluation being conducted by the Los Angeles County Police Chief’s Association. The research project was designed to compare offenders who were released from prison under PRCS and State parole post AB 109 Realignment. The results of this study provided CDCR and local probation departments with information on effective supervision in order to successfully integrate offenders into their respective communities.

Date Initiated: May 2015
Date completed May 2016
Status: Complete^{xi}

Project Title: **Making the Transition: Socioemotional Adjustment of Youthful Offenders into Adulthood**

Principal Investigator: Elizabeth Cauffman and Joseph Tatar

Institutional Affiliation: UCI, Department of Psychology and Social Behavior

Project Description: The goal of the study was to complete a longitudinal follow-up of a prior study (conducted from 2005-2007) on adolescent offenders' adjustment to incarceration in the Southern Youth Reception Center and Clinic (Norwalk facility of the CDCR). This study re-contacted youths on an average of six years later (now ages 19-24 years of age) and examined their adjustment to adult incarceration or their reintegration to the community. Specifically, offenders were re-interviewed in order to identify those emotional, mental health, and institutional factors that impacted their success in avoiding continued contact with the justice system. The project represented a longitudinal follow-up to a study of incarcerated youth; however, participants only completed one interview for the final phase of the study.

Date Initiated: April 2013

Status: Canceled

Project Title: **A Randomized Study of Dialectical Behavior Therapy for Inmates with a History of Substance Abuse One-Year Return-to-Custody Analysis**

Principal Investigator: Betsy Hall, Ph.D.

Institutional Affiliation: UCLA Integrated Substance Abuse Program

Project Description: The objectives of this study were to: (1) measure the impact of Dialectical Behavioral Therapy on psychological functioning of SATF clients (as measured over the course of the intervention); and (2) measure the impact of this intervention on return-to-custody.

Date Initiated: April 2014

Status: Canceled

Project Title: **Institutions of Higher Education Targeted Violence Study**

Principal Investigator: Andre Simons

Institutional Affiliation: Federal Bureau of Investigation (FBI)

Project Description: The FBI implemented a study designed to examine the characteristics of offenders who committed attacks, utilizing lethal force or lethal weapons, at Institutions of Higher Education in the United States between January 1,

1985 and December 31, 2010. The FBI was to conduct interviews with offenders who were identified in their target population using the questionnaire entitled Campus Incidents: Targeted Violence in Institutions of Higher Education. The results of this study could have provided schools and educators, and federal, state and city law enforcement with information that could have prevented future violent attacks on school campuses.

Date Initiated: September 2014
Status: Canceled

Project Title: **Reduction in Security Housing Units: Course and Consequences**
Principal Investigator: Burt Useem
Institutional Affiliation: Purdue University

Project Description: The purpose of the research was to conduct interviews with inmates to determine the impacts of changes to the Secure Housing Unit (SHU) policies. In particular, the study would have examined changes in SHU policies on order, safety, and productivity of four CDCR prisons. The research study also called for data access to the number, type, and details of inmates housed in SHU over a three to five year period. The findings of this project could have provided insight on SHU’s policies and practices in order for CDCR to provide safe and secure offender housing.

Date Initiated: September 2015
Status: Canceled

Project Title: **Step Down Program**
Principal Investigator: Ryan Labrecque
Institutional Affiliation: Portland State University

Project Description: The purpose of this research project was to examine administrative data to facilitate a better understanding of the effects of the SHU Step Down Program has on institutional safety and order. The researcher would have examined the impacts of the Step Down Program by looking at institutional misconduct, differences in various types of inmates, and the amount of time spent in SHU. The study could have provided CDCR with information in order to make evidence-based policy decisions regarding the management of offenders who have issues with conduct.

Date Initiated: December 2015
Status: Canceled

Appendix A

CDCR Divisions Surveyed

Board of Parole Hearings
California Prison Industry Authority
Division of Adult Institutions
Division of Adult Parole Operations
Division of Administrative Services
Division of Facility Planning, Construction & Management
Division of Health Care Services
Division of Juvenile Justice
Division of Rehabilitative Programs
Enterprise Information Services
Office of Audits & Court Compliance
Office of Correctional Safety
Office of Fiscal Services
Office of Internal Affairs
Office of Labor Relations
Office of Legal Affairs
Office of Legislative Affairs
Office of Public and Employee Communications
Office of the Ombudsman
Office of Victim Services & Survivor Rights & Services

Appendix B

Survey of Research and Evaluation Activities



Office of Research

JULY 2016

Survey of Research and Evaluation Activities, Contracts and Pilot Projects

**Please return completed surveys
by August 19, 2016 to:**

Ashley Gabbard
Ashley.Gabbard@cdcr.ca.gov
California Department of
Corrections and Rehabilitation
Office of Research – Research & Evaluation Branch
1515 S Street, Room 212 North
Sacramento, CA 95811-7243

Definitions

Anticipated Research

Future or proposed research.

Contracted Research

Conducted by external contracted researchers funded by CDCR for CDCR-sponsored research projects.

Current/Active Research

Research in progress.

External Research

Conducted strictly by and for outside research entities such as research academics or other organizations without concern for the CDCR.

Internal Research

Conducted strictly within the CDCR by CDCR staff.

Pilot Project

A research or evaluation project planned as a test or trial.

Published Research

Research available to special interest groups that is made available in public listings or on websites.

Research and Evaluation Activities

A systematic investigation, including research development, testing and evaluation, designed to develop or contribute to knowledge of CDCR programs and/or projects. (Note: This does not include data developed and used purely for management analysis.)

California Department of Corrections and Rehabilitation
Departmental Research Survey

The CDCR Office of Research, Research & Evaluation, is conducting this survey of all CDCR behavioral research and evaluation activities, contracts and pilot projects either in progress or anticipated during the period of July 1, 2014 to June 30, 2016. The results will be compiled to satisfy the California Penal Code Section 3520 requirement to prepare a biennial report summarizing each CDCR behavioral research study. This information will also provide CDCR stakeholders with a centralized source of information on all CDCR research and evaluation activities.

Organization Name:

Contact Name:

Phone Number:

Email:

13. Estimated time required of inmate subjects:

14. Will there be any compensation to inmates for participation in research? Please specify:

15. The mission of the CDCR is to enhance public safety through safe and secure incarceration of offenders, effective parole supervision, and rehabilitative strategies to successfully reintegrate offenders into our communities. Describe any potential value that your research may contribute to CDCR's mission:

16. Describe the objectives and purpose of the proposed study (include specific research questions):

17. Description of research methods and approaches:

18. Description of the measuring devices to be used (e.g. scales, tests, questionnaires, etc.). If conducting interviews, please describe how interviews will be conducted (i.e. logistics, process, estimated time required, number of inmates involved, etc.):

19. Institution(s) and/or parole unit(s) where researcher intend to collect data. Also include the desired/target sample population and size:

20. If requesting access to administrative data and records, please describe the type of data needed, and/or list of data variables and time period. Specify whether identifiable information is requested and explain why access to this information is necessary to conduct this study (Note: If requesting access to administrative data and records, IRB approval needs to be obtained from the Committee for the Protection of Human Subjects in Phase II):

21. Description of security measures that ensures safeguards against loss or unauthorized (accidental or intentional) access, use, disclosure, modification, or destruction of confidential data. Include data storage procedures:

22. Received Institutional Review Board approval? (*Unknown*)
Yes_____ No_____ Pending_____

23. Other relevant information related to this study:

Please submit this completed survey to:

Ashley.Gabbard@cdcr.ca.gov

**California Department of
Corrections and Rehabilitation
Office of Research – Research & Evaluation Branch
1515 S Street, Room 212 North
Sacramento, CA 95811-7243**

Thank you for your time and participation!

-
- i www.leginfo.ca.gov/cgi-bin/displaycode?section=pen&group=03001-04000&file=3515-3520
 - ii www.leginfo.ca.gov/cgi-bin/displaycode?section=pen&group=03001-04000&file=3501-3509.5
 - iii <http://www.leginfo.ca.gov/cgi-bin/displaycode?section=civ&group=01001-02000&file=1798.24-1798.24b>
 - iv <https://clinicaltrials.gov/ct2/show/NCT00744068>
 - v <https://www.bjs.gov/content/pub/pdf/svrfsp08.pdf>
 - vi https://csgjusticecenter.org/wp-content/uploads/2013/03/MHC_Program_Evaluation_Slides.pdf
 - vii <http://cjb.sagepub.com/content/42/10/1008.abstract>
 - viii <https://www.ncbi.nlm.nih.gov/pubmed/25365474>
 - ix <http://www.courts.ca.gov/documents/lr-caparoleeentry-pc3015.pdf>
 - x https://wdr.doleta.gov/research/FullText_Documents/ETAOP_2015-04.pdf
 - xi Spohn, C. and Tellis, K. 2016. "AB 109 In Los Angeles County." California State University, Los Angeles: School of Criminal Justice & Criminalistics.