

The Multi-site Evaluation of SVORI: Methodology and Analytic Approach

THE MULTI-SITE EVALUATION OF THE SERIOUS AND VIOLENT OFFENDER REENTRY INITIATIVE

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For more information about the SVORI Multi-site Evaluation, please visit our Web site at <http://www.svori-evaluation.org/>.

Abstract

Statement of Purpose

The Serious and Violent Offender Reentry Initiative (SVORI) funded 69 agencies in 2003 to develop programs to improve criminal justice, employment, education, health, and housing outcomes for released prisoners. These programs were to conduct assessments and provide participants with programs and services during and after incarceration. The Multi-site Evaluation of SVORI was funded by the National Institute of Justice to examine the extent to which SVORI program participation improved access to appropriate, comprehensive, integrated services and resulted in better outcomes.

Research Subjects

The study included 1,697 adult males (863 SVORI participants; 834 comparison men), 357 adult females (119 SVORI; 134 non-SVORI), and 337 juvenile males (108 SVORI; 131 non-SVORI). The study participants had extensive criminal and substance use histories, low levels of education and employment skills, and high levels of need across a range of services (e.g., education, driver's license, substance abuse treatment, and job training).

Study Methods

The impact evaluation included interviews 30 days pre-release and 3, 9, and 15 months post-release. Data from state agencies and the National Criminal Information Center documented post-release recidivism. Propensity score techniques were used to improve the comparability between the SVORI and non-SVORI groups. Weighted analyses examined the treatment effects of SVORI program participation.

Major Findings

This report documents the procedures used to identify and recruit evaluation sites and subjects for the Multi-site Evaluation of SVORI. The investigation of potential sources of bias, and adjustments to the data using propensity score models, are also discussed. This report is a companion volume to three reports that describe outcomes for the adult male, adult female, and juvenile male evaluation participants; a report that presents an economic analysis for five programs; and a report that provides a summary and synthesis of the Multi-site Evaluation findings.

Conclusions

Sixteen SVORI programs in 14 states were included in the Multi-site Evaluation of SVORI. These programs included 12 adult and 4 juvenile programs that represented a set of programs that were diverse in approach and geographically distributed. The programs were representative of all SVORI programs along many dimensions, although they were purposively selected. The impact sites did vary from the non-impact sites with respect to planning to have larger enrollments and being further along in terms of full implementation—two of the criteria that were used during the site selection process.

A total of 4,354 cases were fielded. Of these, 2,391 study-eligible men, women, and boys completed the Wave 1 (pre-release) interview. The remaining cases included 718 cases released before interviews could be scheduled, 635 cases that were ineligible for the evaluation, 370 refusals, 192 cases that were not released before the end of the data collection period for the Wave 2, 3-month post-release follow-up interview (declared ineligible for the evaluation), and 48 other noninterviews. Follow-up response rates were 61%, 64%, and 68% for the 3-, 9-, and 15-month post-release interviews, respectively.

Propensity score techniques were used to improve the comparability between the SVORI and non-SVORI groups. Weighted analyses were used to examine the treatment effects of SVORI program participation with respect to outcomes in housing, employment, family/peer/community involvement, substance use, physical and mental health, and criminal behavior and recidivism.

Contents

Section	Page
Abstract	v
Executive Summary	ES-1
Introduction	1
Site Selection and Enlistment	9
Site Selection	9
Identification of Comparison Population Pools and Evaluation Participants	25
Random-Assignment Sites	26
Quasi-Experimental Site-Level Designs	26
Evaluation Eligibility	37
Data Collection Procedures	41
Implementation: SVORI Grantee and Program Director Surveys.....	41
Impact: Interviews with SVORI Program Participants and Comparison Subjects.....	44
Impact: Administrative Data.....	47
Case Flow and Threats to Validity	57
Case Flow	57
Selection Bias.....	68
Nonresponse.....	71
Attrition.....	72
Propensity Score Models	75
Propensity Score Model Development for Adult Male Subjects.....	81
Model Development for Adult Female Subjects	88
Model Development for Juvenile Male Subjects.....	92
Conclusions and Next Steps	97
References	99

Appendix A. Implementation Evaluation Protocols and Data Collection Instruments	A-1
Appendix B. Impact Site Program Descriptions	B-1
Appendix C. Comparisons of Impact and Non-impact Sites	C-1
Appendix D. MOU Template	D-1
Appendix E. Consent Forms and Interview Materials	E-1
Appendix F. Administrative Data Protocols and Data Transfer Protocol	F-1

Exhibits

Number	Page
ES-1. SVORI program logic model and evaluation framework	ES-3
ES-2. Completed interviews by wave, all waves, and any waves by demographic group	ES-8
1. SVORI program logic model and evaluation framework	3
2. Impact evaluation site selection criteria.....	12
3. Planned SVORI program capacity	12
4. Geographic targeting for SVORI participation by SVORI programs.....	13
5. Selection of impact evaluation programs: reasons for program exclusion.....	16
6. Original programs selected for the impact evaluation.....	18
7. Configuration of selected SVORI Multi-site Evaluation impact sites	18
8. Program sizes among impact and non-impact sites (as reported by program directors).....	20
9. Implementation status among adult impact and non-impact sites.....	21
10. Random assignment to SVORI program and identification of potential evaluation participants	27
11. Quasi-experimental identification of potential evaluation participants.....	28
12. Options for the identification of comparison population pools by program geographic composition	31
13. Evaluation selection criteria for SVORI and non-SVORI comparison groups by site.....	33
14. Identification of evaluation respondents	38

15.	Data sources for the Multi-site Evaluation of SVORI	42
16.	Structure of parsed arrest records file	53
17.	Transformed arrest records data	53
18.	Outcomes of Wave 1 interview attempts with eligible respondents	59
19.	Case disposition of ineligible cases (Wave 1 data collection)	61
20.	Wave 2 (3-month post-release) interview case flow	62
21.	Wave 3 (9-month post-release) interview case flow	64
22.	Wave 4 (15-month post-release) interview case flow	65
23.	Completed interviews by wave, all waves, and any waves by demographic group	65
24.	Completed interviews by wave, by demographic group and site	67
25.	t-statistics comparing means of SVORI and non-SVORI groups by demographic group	70
26.	Nonresponse pattern for three waves of follow-up interviews, adult males	73
27.	Results of nonordered multinomial logistic regression examining nonresponse, adult males	74
28.	Variables included in the SVORI propensity score models and numbers of observations with missing values	78
29.	Parameter estimates for the SVORI propensity score models for the adult male sample generated using PROC MI	82
30.	Final propensity model for adult male sample	83
31.	Characteristics of \hat{p} distributions for all adult males, adult male SVORI participants, and non-SVORI comparisons	84
32.	Boxplot of \hat{p} distributions for SVORI (SVORI = 1) and non-SVORI (SVORI = 0) adult males	84
33.	t-statistics and standardized differences from the comparison of mean values (unweighted) for SVORI to Non-SVORI for selected variables from the Wave 1 interview	86
34.	Summary of balance checks using two-sample t-statistics and percentage of standardized differences	87
35.	Balance checks for Wave 1 data based on propensity score weighted regression of the	

	SVORI indicator on each of the variables (adult males).....	88
36.	Balance checks for Waves 2, 3, and 4 data based on propensity score weighted regression of the variable on a SVORI indicator (adult males).....	89
37.	Final propensity model for adult female sample	90
38.	Characteristics of \hat{p} distributions for all adult females, adult female SVORI participants, and non-SVORI comparisons	91
39.	Boxplot of p -hat distributions for SVORI (SVORI = 1) and non- SVORI (SVORI = 0) adult females.....	91
40.	Balance checks for Waves 1 through 4 adult female data, based on PATE-weighted regressions	92
41.	Final propensity model for juvenile male sample.....	93
42.	Characteristics of \hat{p} distributions for all juvenile males, juvenile male SVORI participants, and juvenile male non-SVORI comparisons	94
43.	Boxplot of p -hat distributions for SVORI (SVORI = 1) and non-SVORI (SVORI = 0) juvenile males.....	94
44.	Balance checks for Waves 1 through 4 juvenile male data, based on PATE-weighted regressions.....	95
C-1.	Program director turnover among impact and non-impact sites.....	C-1
C-2a.	Program characteristics of adult impact and non-impact sites	C-2
C-2b.	Program characteristics of juvenile impact and non-impact sites.....	C-2
C-3a.	Outcome foci among adult impact and non-impact sites.....	C-3
C-3b.	Outcome foci among juvenile impact and non-impact sites	C-3
C-4a.	Mean proportion of SVORI offenders receiving pre-release services in adult sites, by site type (as reported by program directors)	C-4
C-4b.	Mean proportion of SVORI offenders receiving post-release services in adult sites, by site type (as reported by program directors).....	C-5
C-4c.	Mean proportion of SVORI offenders receiving pre-release services in juvenile sites, by site type (as reported by program directors)	C-6
C-4d.	Mean proportion of SVORI offenders receiving post-release services in juvenile sites, by site type (as reported by program directors).....	C-7

C-5a. Involvement and contributions of agencies and community-based organizations (CBOs) to SVORI programs in adult sites, by site type (as reported by program directors).....	C-8
C-5b. Involvement and contributions of agencies and community-based organizations (CBOs) to SVORI programs in juvenile sites, by site type (as reported by program directors)	C-9
C-6a. Support and resistance by individual stakeholders to SVORI programs in adult sites, by site type (as reported by program directors)	C-10
C-6b. Support and resistance by individual stakeholders to SVORI programs in juvenile sites, by site type (as reported by program directors).....	C-11
C-7a. Geographic targeting among adult impact and non-impact sites.....	C-12
C-7b. Geographic targeting among juvenile impact and non-impact sites.....	C-12
C-8a. Enhancements to pre-release services in adult sites, by site type (as reported by program directors).....	C-13
C-8b. Enhancements to post-release services in adult sites, by site type (as reported by program directors).....	C-14
C-8c. Enhancements to pre-release services in juvenile sites, by site type (as reported by program directors).....	C-15
C-8d. Enhancements to post-release services in juvenile sites, by site type (as reported by program directors).....	C-16

Executive Summary

This volume describes the methods and analytic approaches that were employed in conducting the Multi-site Evaluation of the Serious and Violent Offender Reentry Initiative (SVORI). SVORI was a collaborative federal effort of the U.S. Department of Justice (DOJ), Department of Labor (DOL), Department of Education (DoEd), Department of Housing and Urban Development (HUD), and Department of Health and Human Services (HHS). The initiative responded to emerging research findings that suggested that providing incarcerated individuals with comprehensive, coordinated services based on needs and risk assessments could result in improved post-release outcomes (e.g., see Lattimore, 2007; National Research Council, 2007; Re-entry Policy Council, 2005; Visher, 2007).

In 2003, DOJ, DOL, DOEd, HUD, and HHS provided more than \$100 million in grant funds to states to develop, enhance, or expand programs to facilitate the reentry of adult and juvenile offenders returning to communities from prisons or juvenile detention facilities. SVORI funded agencies to develop programs to improve criminal justice, employment, education, health, and housing outcomes for released prisoners. Sixty-nine agencies received federal funds (\$500 thousand to \$2 million over 3 years) to develop 89 programs. Grantees were to use their SVORI funding to create a three-phase continuum of services for returning serious or violent prisoners—services that began during the period of incarceration, intensified just before release and during the early months post-release, and continued for several years after release as former inmates took on more productive and independent roles in the community. In addition to the funding, SVORI encouraged agencies to coordinate with correctional and community partners and services.

The SVORI programs attempted to address the initiative's goals and provide a wide range of coordinated services to returning prisoners. Although SVORI programs shared the common goals of improving outcomes across various dimensions and improving service coordination and systems collaboration, programs differed substantially in their approaches and implementations (Lindquist, 2005; Winterfield & Brumbaugh, 2005; Winterfield, Lattimore, Steffey, Brumbaugh, & Lindquist, 2006; Winterfield & Lindquist, 2005).

The Multi-site Evaluation of SVORI was designed to answer the following research questions:

- To what extent did SVORI lead to more coordinated and integrated services among partner agencies?
- To what extent did SVORI participants receive more individualized and comprehensive services than comparable, non-SVORI offenders?
- To what extent did reentry participants demonstrate better recidivism, employment, health, and personal functioning outcomes than comparable, non-SVORI offenders?
- To what extent did the benefits derived from SVORI programming exceed the costs?

In spring 2003, the National Institute of Justice awarded RTI International, a nonprofit research organization, and the Urban Institute, a nonpartisan economic and social policy research organization, a grant to evaluate programs funded by SVORI. The 6-year evaluation involved an implementation evaluation of all 89 SVORI programs, an intensive impact evaluation of 12 adult and 4 juvenile programs, and an economic analysis on a subset of the impact sites (see Lattimore et al., 2005). The goal of the Multi-site Evaluation of SVORI was to document the implementation of SVORI programs and determine whether they accomplished SVORI's overall goal of increasing public safety by reducing recidivism among the populations served.

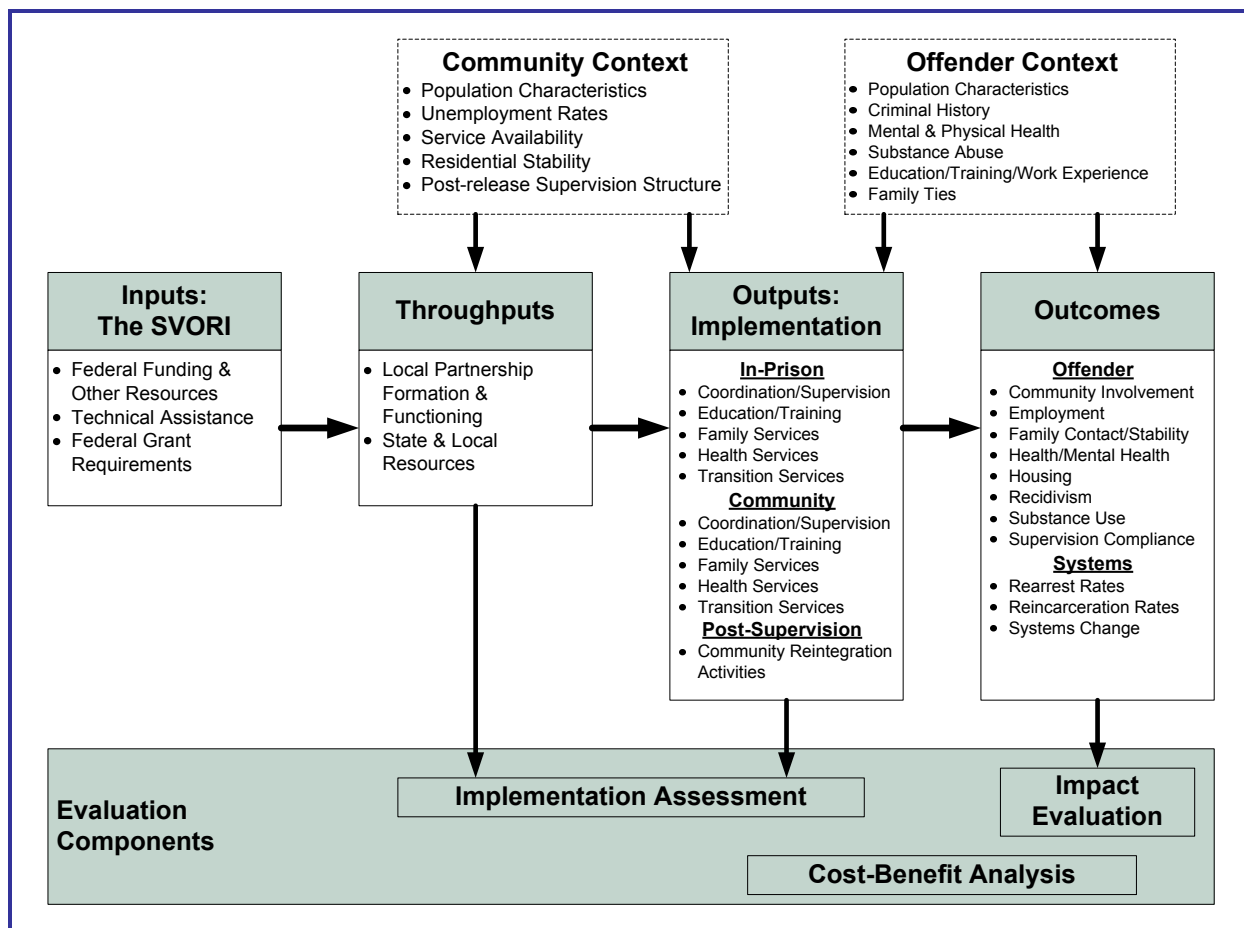
The local nature of the SVORI programs and the expectation that programs would tailor services to meet individual needs meant that the intervention to be evaluated was not a program in the typical conceptualization of the term (e.g., a residential drug program or a cognitive-behavioral program). Instead, SVORI was a funding stream that agencies used to expand and enhance existing programs or to develop and implement new programs. Further, individuals not in SVORI programs also generally received some services. Thus, although the components of the individual programs were identified and the extent of service receipt was measured, the Multi-site Evaluation of SVORI was not designed to examine the impact of specific services or combinations of services. *The evaluation was designed to determine whether individuals who participated in enhanced reentry programming, as measured by their enrollment in SVORI programs, had improved post-release outcomes.*

This report presents the methods and analytic approach for the evaluation. Results from the impact and economic evaluations are presented in the separate reports as noted below.

RESEARCH DESIGN

The evaluation framework is shown in Exhibit ES-1. This framework shows the SVORI logic model and the evaluation components. The SVORI program model identifies SVORI funding, technical assistance (TA), and requirements as *inputs* that, in combination with local resources in the sites (*throughputs*), yield a set of services and programming (*outputs*) that are expected to improve the *outcomes* for SVORI participants, as well as to improve the state and local systems that provide these services and programs. Community and individual participant characteristics influence these throughputs, outputs, and outcomes.

Exhibit ES-1. SVORI program logic model and evaluation framework



SVORI was an outcome- or goal-oriented initiative that specified outcomes, or goals, that should be achieved by programs that were developed locally.

The SVORI program model shows that SVORI was an outcome- or goal-oriented initiative that specified outcomes, or goals, that should be achieved by programs that were developed locally. The initiative imposed few restrictions on the grantees. Criteria specified by the federal partners for the local programs were the following:

- Programs were to improve criminal justice, employment, education, health (including substance abuse and mental health), and housing outcomes.
- Programs were to include collaborative partnerships between correctional agencies, supervision agencies, other state and local agencies, and community and faith-based organizations.
- Program participants were to be serious or violent offenders.
- Program participants were to be 35 years of age or younger.
- Programs should encompass three stages of reentry—in prison, post-release on supervision, and post-supervision.
- Needs and risk assessments should guide the provision of services and programs to participants.

Operating within these broad guidelines, each program was locally designed along a variety of dimensions, including the types of services offered, the focus on pre-release and post-release components, and the types of individuals to be served. Programs varied in terms of what was being provided, when, and to whom. Also, because services were to be delivered to individuals based on their specific needs and risk factors, individuals participating in a SVORI program could receive different types and amounts of services depending upon their particular needs. Thus, one challenge for the evaluation was to attempt to characterize SVORI.

As mentioned above, SVORI was not a specific program or set of services but rather a funding stream that agencies used to expand and enhance existing programs or to develop and implement new programs. SVORI program participants were expected to receive services that directly responded to individual deficits identified through needs and risk assessments, while non-SVORI comparison subjects received treatment as usual.

The evaluation was designed to determine whether individuals who participated in enhanced reentry programming, as measured by their enrollment in SVORI programs, had improved post-release outcomes.

The reentry services provided were mostly services intended to improve intermediate outcomes that have been correlated with recidivism—for example, employment services to improve employment, substance abuse treatment to reduce use, and cognitive programs to address criminal thinking. The underlying logic model suggests that improvements in these outcomes will lead to reductions in criminal behavior—for example, having a job reduces recidivism by 10%. Thus, the SVORI program participants (and, to a lesser extent, the non-SVORI respondents) received a variety of different services, each of which could affect one or more intermediate outcomes that, in turn, could affect recidivism. Little theoretical or empirical guidance exists for the correct specification of such a complex recidivism model, and, thus, the approach to the outcome analyses was to test first-order effects of SVORI program participation on each of the identified outcomes including recidivism. In particular, the Multi-site SVORI Evaluation was intended to answer the following research questions:

- To what extent did SVORI lead to more coordinated and integrated services among partner agencies?
- To what extent did SVORI participants receive more individualized and comprehensive services than comparable, non-SVORI offenders?
- To what extent did reentry participants demonstrate better recidivism, employment, health, and personal functioning outcomes than comparable, non-SVORI offenders?
- To what extent did the benefits derived from SVORI programming exceed the costs?

The Multi-site Evaluation of SVORI included an implementation assessment (to document the programming delivered across the SVORI programs) and an impact evaluation (to determine the effectiveness of programming). Sixteen programs were included in the impact evaluation, comprising 12 adult programs and 4 juvenile programs located in 14 states (adult only unless specified): Colorado (juveniles only), Florida (juveniles only), Indiana, Iowa, Kansas (adults and juveniles), Maine, Maryland, Missouri, Nevada, Ohio, Oklahoma, Pennsylvania, South Carolina (adults and juveniles), and Washington. The impact evaluation included pre-release interviews (conducted approximately 30 days before release from prison) and a series of follow-up interviews (conducted at

3, 9, and 15 months post-release). Nearly 2,400 prisoners returning to society—some of whom received SVORI programming and some of whom received “treatment as usual” in their respective states—were included in the impact evaluation. An economic analysis was also conducted in five of the impact sites to assess the extent to which program benefits exceeded costs; findings from that study are reported separately (Cowell, Roman, & Lattimore, 2009).

A site-specific research design was developed for each impact site. In two sites (Iowa and Ohio), the programs randomly assigned individuals to their SVORI programs. In the remaining sites, comparison groups were developed by identifying the criteria that local site staff used to identify individuals eligible for enrollment in their SVORI program (including such factors as age, criminal history, risk level, post-release supervision, transfer to pre-release facilities, and county of release) and replicating the selection procedures on a different population.

Data collection consisted of four waves of in-person, computer-assisted interviews, oral swab drug tests conducted in conjunction with two of the follow-up interviews, and administrative data obtained from state correctional agencies and the National Crime Information Center (NCIC) at the Federal Bureau of Investigation (FBI). All interviews were conducted in private settings by experienced RTI field interviewers using computer-assisted personal interviewing.

Pre-release interviews were conducted from July 2004 through November 2005 in more than 150 prisons and juvenile detention facilities. Pre-release interviews were conducted approximately 30 days before release and were designed to obtain data on the respondents’ characteristics and pre-prison experiences, as well as incarceration experiences and services received since admission to prison. These interviews also obtained data on the respondents’ post-release plans and expectations about reentry.

Post-release interviews were conducted from January 2005 through May 2007. Interviews were conducted in the community, and in jails or prisons for those who were reincarcerated. The post-release interviews were similar in content across waves and obtained data on reentry experiences, housing, employment, family and community integration, substance abuse, physical and mental health,

supervision and criminal history, service needs, and service receipt. The interview instruments were developed through an extensive process involving substantive domain experts and the use of existing, validated measures and scales. Oral swab drug tests were conducted during the 3- and 15-month interviews for respondents who were interviewed in a community setting.

The interview and drug test data were supplemented with arrest data obtained from the NCIC and with administrative records obtained from state correctional and juvenile justice agencies. These data provided information on criminal history and recidivism. In some instances, the administrative records were supplemented with data obtained from online criminal history databases.

A total of 4,354 cases were fielded for inclusion in the Multi-site Evaluation of SVORI. Wave 1 (30 days pre-release) interviews were obtained for 2,583 cases (59%)¹. Of these, 192 cases were dropped because the respondents were not released during the period when the first post-release interview was being conducted. Thus, 2,391 individuals composed the final sample—1,697 adult men (863 SVORI and 834 non-SVORI), 357 adult females (153 SVORI and 204 non-SVORI), and 337 juvenile males (152 SVORI and 185 non-SVORI). The remaining cases included 718 cases released before interviews could be scheduled, 635 cases that were ineligible for the evaluation, 370 refusals, and 48 other noninterviews. Among eligible subjects approached for interviews, refusal rates were reasonably low—12% for adult men, 7% for adult women, and 8% for juvenile males.

Most of the noninterviews (718) were due to individuals' being released before their Wave 1 (pre-release) interview could be scheduled and completed. Release before an interview could be completed was problematic primarily during the early stages of data collection and was addressed by identifying potential respondents earlier relative to their expected release date. No

¹ The 4,354 cases do not include cases that were fielded during the initial months of the evaluation for populations that were dropped from the study, including juvenile girls, northern Nevada site respondents, Maine juvenile subjects, and Virginia adults. All populations except Virginia adults were excluded because of insufficient case flow; the Virginia site was dropped because of logistical difficulties in identifying and interviewing comparison subjects.

information was uncovered that suggested that the “early releases” affected individuals in the two study groups differently. Furthermore, although the release was “early,” the difference between actual and expected release dates was only a few days.

All eligible cases were fielded for each follow-up wave with few exceptions. Overall, response rates for follow-up interviews increased over time for all groups. Furthermore, one or more interviews were obtained with at least 80% of all subjects. Exhibit ES-2 shows, for each demographic group, the percentages of subjects who participated in (1) Wave 2 interviews, (2) Wave 3 interviews, (3) Wave 4 interviews, (4) all 3 follow-up interviews, and (5) at least one follow-up interview.

Exhibit ES-2. Completed interviews by wave, all waves, and any waves by demographic group

Interview(s)	Completed Interviews (% of Fielded Interviews)		
	Adult Males	Adult Females	Juvenile Males
Wave 2	58.0%	68.4%	70.0%
Wave 3	61.0%	70.9%	70.9%
Wave 4	65.6%	77.3%	73.6%
All 3 follow-ups	42.3%	54.9%	54.3%
Any follow-up	79.3%	87.1%	87.2%

Note: Wave 2 = 3 months post-release; Wave 3 = 9 months post-release; Wave 4 = 15 months post-release.

Although the response rates were reasonable, the possibility remains that attriters differed from those who completed the follow-up interviews. As preliminary evidence that the attrition was random or affected the SVORI and non-SVORI groups similarly, comparisons of the SVORI and non-SVORI groups found them to be similar at each wave on a range of characteristics. Results from models that examined differences between groups with respect to response also suggested that SVORI program participation was not related to whether an individual responded.

Propensity score techniques were used to improve the comparability between the SVORI and non-SVORI groups. Weighted analyses were used to examine the treatment effects of SVORI program participation with respect to outcomes in housing, employment, family/peer/community involvement,

substance use, physical and mental health, and criminal behavior and recidivism.

KEY FINDINGS

Evaluation findings are presented in the following reports:

- Lattimore, P. K., & Visher, C. A. (2009). *The Multi-site Evaluation of SVORI: Summary and synthesis*. Research Triangle Park: RTI International.
- Lindquist, C. H., Barrick, K., Lattimore, P. K., & Visher, C. A. (2009). *Prisoner reentry experiences of adult females: Characteristics, service receipt, and outcomes of participants in the SVORI Multi-site Evaluation*. Research Triangle Park, NC: RTI International.
- Lattimore, P. K., Steffey, D. M., & Visher, C. A. (2009). *Prisoner reentry experiences of adult males: Characteristics, service receipt, and outcomes of participants in the SVORI Multi-site Evaluation*. Research Triangle Park, NC: RTI International.
- Hawkins, S., Dawes, D., Lattimore, P. K., & Visher, C. A. (2009). *Reentry experiences of confined juvenile offenders: Characteristics, service receipt, and outcomes of juvenile male participants in the SVORI Multi-site Evaluation*. Research Triangle Park, NC: RTI International.
- Cowell, A., Roman, J., & Lattimore, P. K. (2009). *An economic evaluation of the Serious and Violent Offender Reentry Initiative*. Research Triangle Park, NC: RTI International.

Introduction

This volume describes the methods and analytic approaches that were employed in conducting the Multi-site Evaluation of the Serious and Violent Offender Reentry Initiative (SVORI). SVORI was a collaborative federal effort of the U.S.

Departments of Justice, Labor, Education, Housing and Urban Development, and Health and Human Services. The initiative responded to emerging research findings that suggested that providing individuals with comprehensive, coordinated services based on needs and risk assessments could result in improved post-release outcomes (e.g., see Lattimore, 2007; National Research Council, 2007; Re-entry Policy Council, 2005; Visher, 2007).

In 2003, SVORI provided more than \$100 million in grant funding to state agencies to develop programs to improve outcomes for adults and juveniles offenders released from prisons and juvenile detention facilities. Sixty-nine agencies (departments of correction and juvenile justice) received \$500 thousand to \$2 million one-time awards to develop reentry programs over a grant period not to exceed 3 years. These agencies used these grant funds to develop 89 SVORI programs that provided services to participants over a three-phase continuum that began during incarceration, continued post-release during supervision, and extended into continuing community integration post-supervision. These programs were intended to improve criminal justice, employment, education, health (including substance abuse and mental health), and housing outcomes (see Lattimore, Visher, Brumbaugh, Lindquist & Winterfield, 2005; Lattimore, Visher, & Steffey, 2008; Winterfield, Lattimore, Steffey, Brumbaugh, & Lindquist, 2006).

In 2003, the National Institute of Justice (NIJ) funded RTI International and the Urban Institute to plan and conduct a

Multi-site Evaluation of SVORI. The Multi-site Evaluation of SVORI began in May 2004, after the completion of a 1-year evaluation design and planning period.² This volume describes site selection, identification of comparison population pools, data collection procedures and response rates, nonresponse, and development of propensity score models.³ Results of the evaluation are provided separately in Lattimore, Steffey, and Visher ; Lindquist, Barrick, Lattimore, and Visher ; and Hawkins, Dawes, Lattimore, and Visher . The remainder of this section provides a brief overview of SVORI and the evaluation design.

The evaluation framework is shown in Exhibit 1. This framework shows the SVORI logic model and the evaluation components. The SVORI program model identifies SVORI funding, technical assistance (TA), and requirements as *inputs* that, in combination with local resources in the sites (*throughputs*), yield a set of services and programming (*outputs*) that are expected to improve the *outcomes* for SVORI participants, as well as to improve the state and local systems that provide these services and programs. Community and individual participant characteristics influence these throughputs, outputs, and outcomes.

SVORI was an outcome- or goal-oriented initiative that specified outcomes/goals that should be achieved by programs that were developed locally.

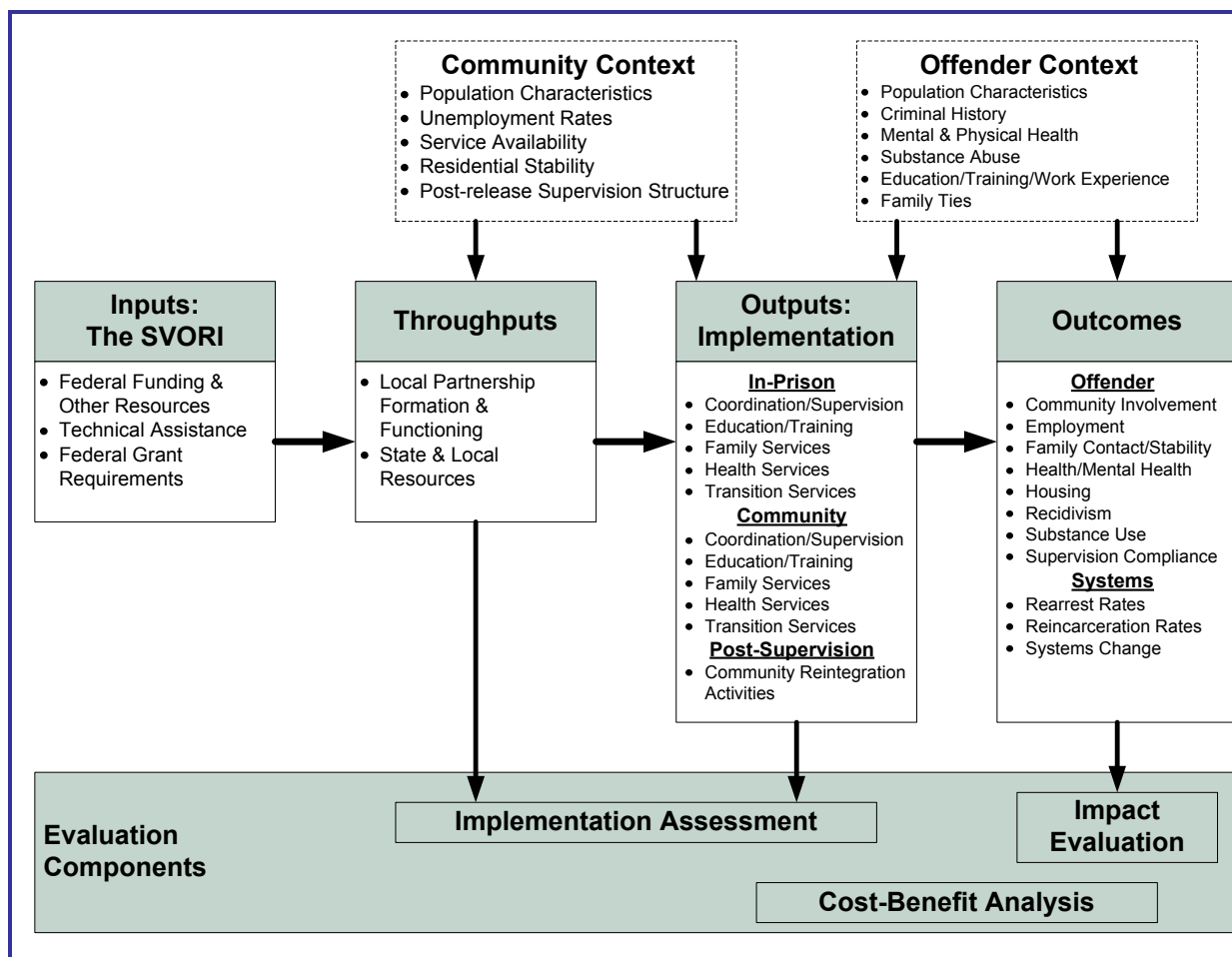
The SVORI program model shows that SVORI was an outcome- or goal-oriented initiative that specified outcomes/goals that should be achieved by programs that were developed locally. The initiative imposed few restrictions on the grantees. Criteria specified by the federal partners for the local programs were the following:

- Programs were to improve criminal justice, employment, education, health (including substance abuse and mental health), and housing outcomes.

² Planning and design work, including documentation of program characteristics, were conducted between May 2003 and December 2004 under NIJ award 2003-RE-CX-K101. Continued documentation of SVORI program progress, the impact evaluation, economic analysis, and dissemination activities began in June 2004 under NIJ award 2004-RE-CX-002.

³ All research activities in support of this evaluation were conducted in accordance with the approval and oversight of an RTI Institutional Review Board (IRB). RTI operates three IRBs under Federalwide Assurance (FWA) granted by the Office of Human Research Protections (FWA #3331, effective until March 5, 2012).

Exhibit 1. SVORI program logic model and evaluation framework



- Programs were to include collaborative partnerships between correctional agencies, supervision agencies, other state and local agencies, and community and faith-based organizations.
- Program participants were to be serious and/or violent offenders.
- Program participants were to be 35 year of age or younger.
- Programs should encompass three stages of reentry—in prison, post-release on supervision, and post-supervision.
- Needs and risk assessments should guide the provision of services and programs to participants.

Operating within these broad guidelines, each program was locally designed along a variety of dimensions, including the types of services offered, the focus on pre-release and post-

release components, and the type(s) of individuals to be served. Programs varied in terms of what was being provided, when, and to whom. Grantees also identified the locations where the program would be provided both pre- and post-release. Thus, a SVORI program could be narrowly focused on a single institution pre-release serving participants who were returning to a single community post-release or could be implemented throughout the correctional (or juvenile justice) system serving participants who were to be released statewide. A combination of multiple (but not all) institutions and multiple (but not all) communities was the modal configuration. Finally, because services were to be delivered to individuals based on their specific needs and risk factors, individuals participating in a SVORI program could receive different types and amounts of services depending upon individual needs.⁴ Thus, one challenge for the evaluation was to attempt to characterize SVORI.

The local nature of the SVORI programs and the expectation that programs would tailor services to meet individual needs meant that the intervention to be evaluated was not a program in the typical conceptualization of the term (e.g., a residential drug program or a cognitive behavior program). Instead, SVORI was a funding stream that agencies used to expand and enhance existing programs or to develop and implement new programs. SVORI program participants were expected to receive services that directly responded to individual deficits identified through needs and risk assessments. A further complication for the evaluation was the reality that individuals not in SVORI programs generally also received some services.

The reentry services provided were mostly services intended to improve intermediate outcomes that have been correlated with recidivism—for example, employment services to improve employment, substance abuse treatment to reduce use, and cognitive programs to address criminal thinking. The underlying logic model suggests that improvements in these outcomes will lead to reductions in criminal behavior—for example, having a job reduces recidivism by 10%. Thus, the SVORI program

⁴ Specific details on the planned characteristics of individual programs are available in the *National Portrait of SVORI* (Lattimore et al., 2004). Also see Lattimore et al. (2005), Winterfield et al. (2006), and Lindquist and Winterfield (2005) for information on the delivery of services and programs by the SVORI programs, along with information on barriers to implementation.

The evaluation was designed to determine whether individuals who participated in enhanced reentry programming, as measured by their enrollment in SVORI programs, had improved post-release outcomes.

participants (and, to a lesser extent, the non-SVORI respondents) received a variety of different services, each of which could affect one or more intermediate outcomes that, in turn, could affect recidivism. Little theoretical or empirical guidance exists for the correct specification of such a complex recidivism model, so the approach to the outcome analyses was to test first-order effects of SVORI program participation on each of the identified outcomes including recidivism. In particular, although the components of the individual programs were identified and the extent of service receipt was measured, the Multi-site Evaluation of SVORI was not designed to examine the impact of specific services or combinations of services. The evaluation was designed to determine whether participation in enhanced reentry programming, as measured by enrollment in SVORI programs, resulted in increased service receipt and better post-release outcomes.

The Multi-site SVORI Evaluation was intended to answer the following research questions:

- To what extent did SVORI lead to more coordinated and integrated services among partner agencies?
- To what extent did SVORI participants receive more individualized and comprehensive services than comparable, non-SVORI offenders?
- To what extent did reentry participants demonstrate better recidivism, employment, health, and personal functioning outcomes than comparable, non-SVORI offenders?
- To what extent did the benefits derived from SVORI programming exceed the costs?

To address these questions, the SVORI evaluation included an implementation assessment, an impact evaluation, and a cost-benefit component.

- The *implementation* assessment component, while not a comprehensive process evaluation, provided context for the impact evaluation. The implementation assessment relied on three surveys of SVORI program directors in 2004, 2005, and 2006 in which data were collected that characterized the 89 SVORI programs (69 grantees) and identified the extent to which SVORI programs increased access to a broad array of services and promoted systems change. A fourth survey was conducted in 2007 that gathered information on efforts to sustain the

The Multi-site Evaluation of SVORI was intended to answer the following research questions:

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- To what extent did reentry participants demonstrate better recidivism, employment, health, and personal functioning outcomes than comparable, non-SVORI offenders?
- To what extent did the benefits derived from SVORI programming exceed the costs?

SVORI programs. A major product of the implementation assessment was *The National Portrait of SVORI* (Lattimore et al., 2004). Other results were presented in Lattimore et al. (2005) and Winterfield et al. (2006) and in a series of *Reentry Research in Action* brief reports, including Lindquist and Winterfield (2005) and Lindquist (2005).

- The *impact evaluation* assessed the effectiveness of SVORI by comparing key outcomes of those who participated in SVORI programming with those of individuals comparable to SVORI participants but who did not participate in SVORI. This evaluation component was based on a longitudinal study of adult male, adult female, and juvenile male returning prisoners in a subset of sites. (Juvenile females were initially included in the longitudinal study but were subsequently excluded due to extremely small numbers.) The impact evaluation was based on data collected during four waves of in-person interviews and administrative recidivism data. The interviews were conducted about 1 month before release from prison (or detention facilities for juvenile participants), and 3, 9, and 15 months post-release.
- The *economic analysis* examined the return on the SVORI investment and included both a cost-benefit and cost-effectiveness analysis. A subset of the impact sites were selected to study the relative costs and benefits of SVORI. The approach taken by the Multi-site Evaluation of SVORI primarily focused on identifying the additional costs of providing services to SVORI participants and then assessed the extent to which these additional funds resulted in improved outcomes. The economic analysis, including data collections procedures, is described in a separate report (Cowell et al., 2009).

The Multi-site Evaluation of SVORI was designed to address several challenges, including: (1) the variety of local program models and treatment populations, (2) a quasi-experimental design that posed challenges in terms of the identification of appropriate comparison subjects, (3) a need to be able to recruit and retain a sample of adequate size to assure sufficient statistical power given expected “small to moderate” effect sizes, and (4) the analysis of non-experimental data.

SVORI site teams were integral in collecting the information necessary for this study. A site team consisted of a site lead and a site liaison. The site lead was a senior evaluation researcher who assessed the evaluability of a program and

worked with the selected impact program and the state agency to secure a research agreement. The site liaison collected information on the programs, maintained contact with the program directors, and, in the impact sites, coordinated the acquisition of study subjects and access to prisons and local jails for the field interviewers.

This methodology report describes the methods and analytic approach that were employed to conduct the Multi-site Evaluation of SVORI. The following sections describe the procedures and criteria that were employed to select the adult and juvenile impact sites and to identify comparison populations in these sites. Data collection procedures are described next, including the procedures for the program director surveys, the four waves of interviews with SVORI program participants and comparison subjects, and the collection and processing of administrative data from state agencies and the Federal Bureau of Investigation (FBI). The subsequent section addresses issues related to threats to validity, including selection, nonresponse, and attrition. The next section describes the development of the propensity score models that were used to adjust for differences between SVORI participants and non-SVORI comparison subjects and the final section describes the analytic methods applied to examine the impact of SVORI.

Site Selection and Enlistment

This section describes the procedures that were followed to identify sites for the impact evaluation and the activities associated with enlisting programs to participate in the impact evaluation. The first objective required the development of an extensive database of information describing the 69 SVORI grantees and 89 SVORI programs, conduct of site visits, analysis, and final selection (in concert with the National Institute of Justice [NIJ]). The second required working closely with each department of correction and juvenile justice to comply with each agency's requirements for the conduct of research in their facilities. These efforts are described in this section.

SITE SELECTION

The initial goal was to identify a set of sites that would provide a total of about 2,000 SVORI participants and 2,000 comparison subjects over a Wave 1 (pre-release) interview period of 12 months while providing geographic and programmatic diversity. The 2,000 subjects in each group were to include 1,000 men, 500 women, and 500 juveniles.⁵

In developing criteria for site selection, the focus was on identifying factors that would provide the best assurance that a program would be evaluable. Six criteria were identified to guide site selection:

1. Program has clearly defined elements and goals.

⁵ These targets were not met. The final dataset of eligible respondents consisted of data for 1,697 men, 357 women, and 337 boys. Additional information is provided in subsequent sections of this report.

2. Program is implemented (or is likely to be implemented).
3. Program target population is accessible and of sufficient size.
4. Appropriate comparison population is available and accessible for inclusion in the study.
5. Administrative data are of good quality and available for the evaluation.
6. Program is amenable to and able to participate in the evaluation.

The strategy implemented to identify the impact programs was based on the following successive data collection activities:

1. Review of SVORI grantee proposals and work plans and follow-up telephone interviews with program directors to obtain information not gleaned from the review and clarification and updates on the programs' status
2. Visits to the sites of a selected subset of programs
3. Review of all information to develop a list of recommended programs for inclusion in the impact evaluation that was submitted to NIJ for approval

Additional information on the conduct of each of these steps is provided below.

Review of Work Plans and Follow-Up Telephone Interviews

The first step in assessing the programs for inclusion in the impact evaluation was a document review by SVORI site liaisons. The site liaisons reviewed the work plans submitted by the SVORI grantees and extracted descriptive information that was entered into a database within the project management information system (SVORIMIS) that was accessible through an internal project Web site.

Subsequently, semi-structured telephone interviews were conducted with all grantees to collect additional information and confirm the number of programs being supported by each grant. A total of 89 distinct SVORI programs were identified.⁶ Follow-up telephone calls with program directors were conducted, as needed, to obtain clarifying information. Copies

⁶ A grant was determined to be supporting different programs if (1) the program director identified multiple programs or (2) programs were operating at different locations headed by different program directors.

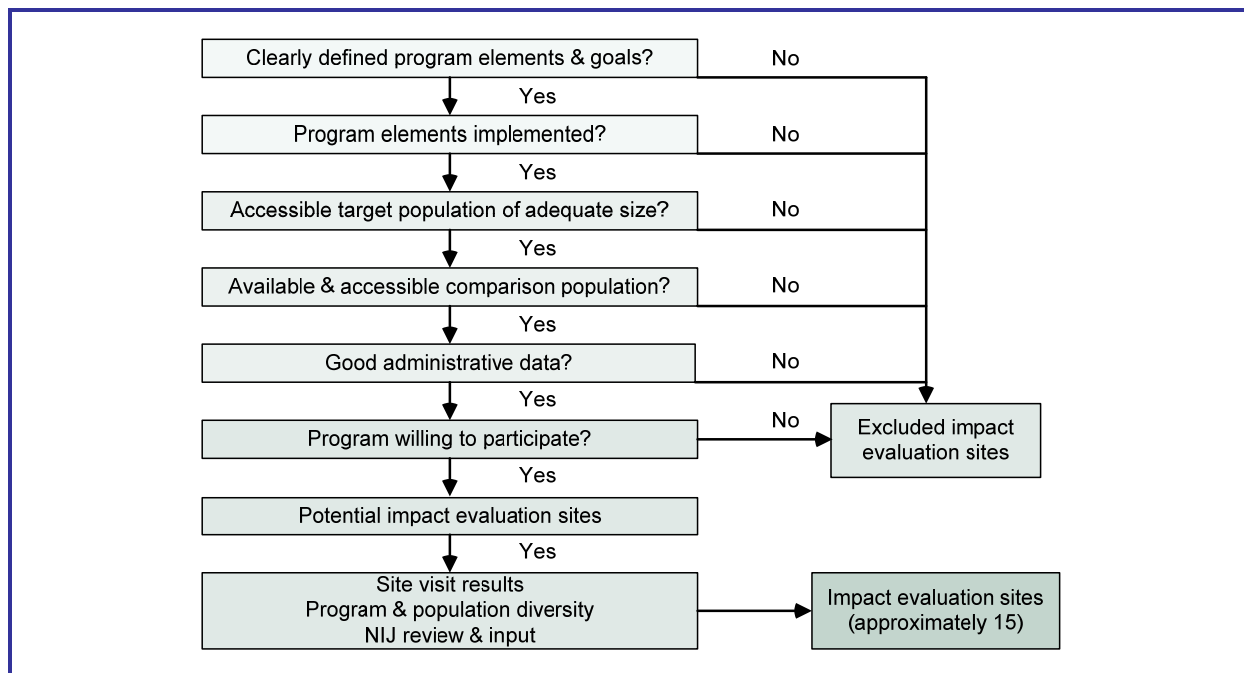
of the data collection protocol and the work plan review form are included in Appendix A.

This review produced information on the characteristics of the SVORI program target population, status of implementation, program components and services, the capacity and willingness to participate in the evaluation, the availability of sufficient treatment and appropriate comparison populations, and additional information on program goals and activities. Other information focused on agency involvement in SVORI, management and oversight of the project, and plans to conduct a local evaluation. Information from these sources was entered by site liaisons into SVORIMIS.

Once the initial data were gathered, the sites were examined using the site selection criteria. Exhibit 2 shows the criteria for site selection. Implementation, target population size, comparison subject availability, and willingness to participate were key factors that were considered.

Reports generated from the project database revealed that the 69 grantees were operating a total of 89 programs, including 37 programs targeting juveniles, 45 programs targeting adults only, and 7 programs targeting both adults and juveniles (sites that are focused primarily on adult offenders but that include offenders younger than 18 years of age if they are housed in adult facilities). For the evaluation, these combination programs were included with the adult programs. Most programs were provided to both males and females, although 17 were provided only to males and one was provided only to females. Sixty-five of the programs specified that they were identifying a broad segment of their serious and violent offenders for participation; the remainder of the programs was focusing on special-needs populations, including those with substance abuse problems or co-occurring disorders, or those charged as sex offenders. (Program descriptions are available in the *National Portrait of SVORI*, Lattimore et al., 2004).

Exhibit 2. Impact evaluation site selection criteria



As shown in Exhibit 3, 34 of the 87 (39%) programs that reported planned to serve fewer than 150 participants over the entire period of their grant (3 years). From a programmatic standpoint, concentrating resources on a few participants suggests a higher likelihood of a strong treatment effect. However, from the standpoint of fielding interview teams, low case flow has substantial cost implications and, thus, small programs were excluded from consideration as impact sites.

Exhibit 3. Planned SVORI program capacity

	Program Size			Total
	Fewer Than 100	101–150	151+	
Adult/Combination	10	5	34	49
Juvenile	12	7	19	38
Total	22	12	53	87

Note: Two programs did not provide estimates.

As understanding of the program configurations developed, additional dimensions of program characterization emerged. Specifically, the programs varied considerably in how broadly based geographically they were during both the pre-release and the post-release phases. In particular, in some sites, programs were provided in only one prison/facility; in other sites,

programs were provided in multiple—but not all—institutions; and, in a few sites, SVORI programs were available in all facilities (i.e., statewide). Analogous service patterns pertained to post-release programming. Some sites restricted the program to individuals who were to be released to a single community (e.g., a single Zip code in Baltimore, Maryland); others provided the program to individuals who were to be released to multiple communities; and a few sites provided the program regardless of post-release community (i.e., with no post-release geographic constraint). The configurations for the SVORI programs along these two dimensions are shown in Exhibit 4. As can be seen, the most common model was one in which there was targeting of institutions and/or communities.

Exhibit 4. Geographic targeting for SVORI participation by SVORI programs

Pre-Release	Post-Release			Total
	Single Community	Multiple Communities	Statewide	
Single prison	5	1	1	7
Multiple prisons	15	25	2	42
All prisons	15	20	4	39
Total	35	46	7	88

Note: One program did not provide information.

The programs were categorized based on pre- and post-release geographic targeting because the various geographic configurations had implications both for the nature and potential effect of the program and for the conduct of the Multi-site Evaluation of SVORI in terms of the feasibility and cost of data collection activities. For the programs, the different pre- and post-geographic configurations reflected

- different resource allocation decisions (i.e., lots of participants in many facilities implies fewer resources per participant than if programs are provided to fewer participants, all else being equal);
- different training requirements (training multiple staff at multiple facilities is a greater challenge than training a few individuals at one facility); and
- different communication strategies (systems integration between one prison and multiple resources in a single community poses substantial communication and coordination issues that are compounded if the program includes many facilities and communities statewide).

Each of these factors has implications for program implementation and impact. For example, programs that were providing programming to inmates in a single facility who were to be released to a single community could concentrate their planning, boundary spanning activities, and coordination among relatively few individuals. Training and communication among staff and community resources were directed to those in one facility and one community rather than to multiple groups. Under these circumstances, one might expect better communication and quicker implementation of new services. On the other hand, reentry programs provide the greatest benefit—assuming they are effective—if they can be implemented to serve large proportions of prison populations, which implies including most prisons and all communities statewide. Finally, of course, the costs implications for the evaluation of collecting data statewide versus in a few jurisdictions had to be accommodated in making site selections.

The primary factors used in developing the list of sites to be visited were anticipated program enrollment (greater than 100, unless the program was in the same site as another program with enrollment greater than 100) and status of program implementation.

After the initial review of program type, enrollment, and geographic targeting, research staff began to narrow down the 69 grantees for site visits. The primary factors used in developing the list of sites to be visited were anticipated program enrollment (greater than 100, unless the program was in the same site as another program with enrollment greater than 100) and status of program implementation, although the other site selection criteria shown in Exhibit 2 were considered.

Site Visits

Twenty-nine grantees providing 39 separate programs in 21 states were selected for site visits to collect additional information from SVORI program directors and staff.⁷ These site visits were conducted by SVORI site teams during the last quarter of 2003. A copy of the site visit protocol, including topics covered by the 2-day visits, is included in Appendix A.

The primary purpose of the site visits was to update information from the work plans, gather information about the availability and quality of administrative data, confirm program implementation progress, assess site willingness to participate, and explore opportunities for identifying comparison subjects (if the site was not randomly assigning SVORI participation). The typical 1.5- or 2-day site visit included interviews (approximately 1 hour) conducted in groups with the following stakeholders

- program director (and program staff they wanted to include),
- local evaluation staff (if the site is doing a local evaluation),
- DOC institutional program staff,
- DOC research/MIS staff,
- community supervision staff (parole/probation), and
- community service providers.

Site visit reports were prepared by the site teams and selected information was entered into the SVORIMIS in preparation for

⁷ Programs operated by the following grantees were visited: Colorado Department of Corrections, Delaware Health and Social Services, Florida Department of Corrections, Florida Department of Juvenile Justice, Georgia Criminal Justice Coordinating Council, Iowa Department of Corrections, Indiana Department of Corrections, Kansas Department of Corrections, Kansas Juvenile Justice Authority, Maryland Department of Public Safety and Correctional Services, Maine Department of Corrections, Michigan Department of Corrections, Michigan Family Independence Agency, Minnesota Department of Corrections, Missouri Department of Corrections, Missouri Department of Social Services, North Carolina Department of Corrections, North Carolina Department of Juvenile Justice and Delinquency Prevention, New Mexico Department of Corrections, Nevada Department of Corrections, Nevada Department of Human Resources, Ohio Department of Rehabilitation and Corrections, Oklahoma Department of Corrections, Oklahoma Office of Juvenile Affairs, Pennsylvania Department of Corrections, Virginia Department of Corrections, and Washington State Department of Corrections.

review and final impact program selection, which is described next.

Review and Final Impact Program Selection

Exhibit 5 summarizes the reasons that programs were excluded from the impact evaluation. Most programs were excluded because of the small number of participants expected to be released from institutions during the projected Wave 1 interview period (July 2004–October 2005 at the time of site selection). Specifically, 32 grantees operating 49 programs were excluded because of expected case flow. In addition, 11 grantees operating 11 programs were excluded because of program characteristics (e.g., program was highly decentralized). The four programs operated by the four grantees in Alaska, Hawaii, and the Virgin Islands were eliminated from consideration because their locations would have made them costly to include and also because they were viewed as not representative of typical states. Three programs operated by two grantees were eliminated because of concerns about the quality of their administrative data. Finally, the program in Texas was excluded because it was targeting prisoners in administrative segregation, and the program in Connecticut was excluded because it was focused on prisoners with serious mental illness.

Exhibit 5. Selection of impact evaluation programs: reasons for program exclusion

	Total Excluded		Remaining After Exclusions	
	Grantees	Programs	Grantees	Programs
Special populations	2	2	67	84
Admin data	2	3	65	81
Geography	4	4	61	77
Program/other	11	11	50	66
Expected case flow (N)	32	49	18	19

The final list of sites proposed for the impact evaluation incorporated a diversity of program types, geographic regions, and corrections philosophies. This list was presented to and discussed with NIJ in December 2003. As noted earlier, the initial goal was to interview about 4,000 subjects. Based on flow analyses conducted at the time of final site selection, this target still appeared feasible, although it had become less obvious that the targets for adult female and juvenile subjects

could be met because of limited case flow of these populations in the selected sites. Thus, although 4,000 was still the goal, it seemed likely that a more realistic goal was 3,000 subjects (1,500 SVORI participants and 1,500 non-SVORI comparison subjects). This total was to be distributed as about 2,000 adult males, 500 adult females, and 500 juveniles. The anticipated contribution of each program to these totals was included in the final program-selection calculus.

Exhibit 6 identifies the sites that were initially identified for inclusion in the impact evaluation. One adult site (Virginia) was dropped shortly after data collection began because of logistical problems associated with the identification and interviewing of subjects.⁸ The juvenile program in Maine, juvenile females in all juvenile impact sites, and adult participants in the northern Nevada site were included in the original list of sites, but were dropped from the impact evaluation because of insufficient case flow.

In the end, 16 programs in 14 states were included in the impact evaluation. The distribution of these sites over pre- and post-release geographic targeting of the SVORI programs is shown in Exhibit 7. Descriptions of the programs are included in Appendix B.

The impact sites represented a set of programs that were diverse in approach and geographically distributed. Although the resulting programs were not randomly selected, the adult programs are in states that, at year-end 2003, incarcerated about 20% of all adult state prisoners and supervised about 23% of all adult state parolees in the United States.⁹

⁸ The Virginia program was a reentry program that was offered to state prisoners who returned home through the Fairfax County jail, where the program that included employment and other transition services was offered. Potential program participants flowed to this program from all Virginia prisons and would have required considerable travel costs to interview comparison subjects.

⁹ Estimates are based on data from the Bureau of Justice Statistics' Adults on Parole in the United States (Glaze & Palla, 2005) and Prisoners under the Jurisdiction of State or Federal Correctional Authorities (Harrison & Beck, 2005). The twelve states had an estimated prison population of 259,971 in mid-year 2004 (19.8% of all state prisoners) and 154,532 individuals on parole at year-end 2004 (22.9% of all individuals under state parole supervision).

Exhibit 6. Original programs selected for the impact evaluation

State	Grantee Agency	Program	Focus of Impact Evaluation
CO	Colorado Department of Corrections	Colorado Affirms Reentry Efforts (CARE)	Juveniles
FL	Florida Department of Juvenile Justice	Going Home	Juveniles (Dade County)
IA	Iowa Department of Corrections	Iowa SVORI	Adults
IN	Indiana Department of Corrections	Allen County SVORI	Adults
KS	Kansas Department of Corrections	Shawnee County Reentry Program (SCRP)	Adults
KS	Kansas Juvenile Justice Authority	Kansas JJA Going Home Initiative (GHI)	Juveniles
ME	Maine Department of Corrections	Maine Reentry Network	Adults
ME ^a	Maine Department of Corrections	Maine Reentry Network	Juveniles
MD	Maryland Department of Public Safety and Correctional Services	Re-Entry Partnership (REP)	Adults
MO	Missouri Department of Corrections	Going Home-SVORI	Adults
NV	Nevada Department of Corrections	Going Home Prepared	Adults
OH	Ohio Department of Rehabilitation and Corrections	Community-Oriented Reentry Program	Adults
OK	Oklahoma Department of Corrections	PROTECT Oklahoma County	Adults
PA	Pennsylvania Department of Corrections	Erie, PA, Reentry Project (EPRP)	Adults
SC	South Carolina Department of Corrections	SC Department of Corrections	Adults
SC	South Carolina Department of Juvenile Justice	SC DJJ Reentry Initiative	Juveniles
VA ^a	Virginia Department of Corrections	Going Home to Stay-VASAVOR	Adults
WA	Washington State Department of Corrections	Going Home	Adults

^aSubsequently dropped from the evaluation.

Exhibit 7. Configuration of selected SVORI Multi-site Evaluation impact sites

Pre-Release	Post-Release		
	Single Community	Multiple Communities	Statewide
Single prison	MD (adult) FL (juvenile; Dade County only)	None	None
Multiple prisons	IA (adult; participants transferred to 1 of 3 facilities for programming) KS (adult; male participants transferred to 1 facility) PA (adult; participants transferred to 1 male and 1 female facility) CO (juvenile)	MO (adult) NV (adult; male participants transferred to 1 facility) OH (adult) WA (adult; male participants transferred to 1 of 3 facilities and female participants transferred to 1 female facility)	SC (adult)
All prisons	IN (adult) OK (adult)	ME (adult) KS (juvenile) SC (juvenile)	

The impact sites were representative of all sites along many dimensions, although they were purposively selected. As expected, the impact sites did vary from the non-impact sites with regard to the selection criteria discussed above. In particular, the impact sites generally planned to have larger enrollments (Exhibit 8); this was true for both adult and juvenile sites. Discrepancies between expected and actual enrollment were similar for adult impact and non-impact sites. However, discrepancies between expected and actual enrollments were not as similar in juvenile impact and non-impact sites: one third of juvenile non-impact sites experienced enrollments that exceeded expectations, while the four juvenile impact sites experienced enrollments that either failed to meet or met expectations. As of March 2006, the adult impact sites had enrolled an average of 326 program participants in comparison with an average enrollment of 290 participants by the non-impact sites. The juvenile impact sites had enrolled an average of 153 SVORI program participants in comparison with an average of 204 participants by the juvenile non-impact sites.

Program directors for the impact sites also were more likely than program directors in non-impact sites to report being further along in terms of full implementation in both the 2005 and 2006 program director surveys (Exhibit 9). Again, this discrepancy between impact and non-impact sites was expected, because likelihood of full program implementation was one of the selection criteria for inclusion in the impact evaluation.

Additional details are provided in Appendix C, which provides additional comparisons of the characteristics of the impact sites, non-impact sites, and all sites that were derived from the surveys of SVORI program directors. Overall, these tables reveal relatively few differences in distributions for adult or juvenile programs with regard to program director turnover (Exhibit C-1), basic program characteristics (Exhibits C-2a and C-2b), targeted outcomes (Exhibits C-3a and C-3b), pre-release and post-release service provision (Exhibits C-4a, C-4b, C-4c, and C-4d), agency involvement and contributions (Exhibits C-5a and C-5b), stakeholder support and resistance (Exhibits C-6a and C-6b), and pre-release and post-release geographic targeting (Exhibits C-7a and C-7b). There were differences in

Exhibit 8. Program sizes among impact and non-impact sites (as reported by program directors)

Program size	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Adult planned^a						
Fewer than 100	—	0	59.0	23	45.1	23
101–150	25.0	3	17.9	7	19.6	10
More than 151	75.0	9	23.1	9	35.3	18
Adult in 2006^b						
Fewer than 100	—	0	51.3	20	39.2	20
101–150	33.3	4	12.8	5	17.7	9
More than 151	66.6	8	35.9	14	43.1	22
Adult compared with planned^c						
Fewer	50.0	6	50.0	19	50.0	25
About the same	25.0	3	23.7	9	24.0	12
More	25.0	3	26.3	10	26.0	13
Juvenile planned^d						
Fewer than 100 planned	25.0	1	67.7	21	62.9	22
101–150	50.0	2	12.9	4	17.1	6
More than 151 planned	25.0	1	19.4	6	20.0	7
Juvenile in 2006^e						
Fewer than 100 enrolled	—	0	54.8	17	48.6	17
101–150	50.0	2	25.8	8	28.6	10
More than 151 enrolled	50.0	2	19.4	6	22.9	8
Juvenile compared with planned^f						
Fewer than originally projected	50.0	2	33.3	10	35.3	12
About the same as projected	50.0	2	36.7	11	38.2	13
More than originally projected	0.0	0	30.0	9	26.5	9

^a Fifty-one programs reporting; source: 2003 program work plan review.

^b Fifty-one programs reporting; source: 2006 program director survey.

^c Fifty programs reporting; source: 2006 program director survey.

^d Thirty-five programs reporting; source: 2003 program work plan review.

^e Thirty-five programs reporting; source: 2006 program director survey.

^f Thirty-four programs reporting; source: 2006 program director survey.

Exhibit 9. Implementation status among adult impact and non-impact sites

Program and status	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Adult, fully operational in 2005^a						
No	16.7	2	37.5	15	32.7	17
Yes	83.3	10	62.5	25	67.3	35
Adult, time to full implementation in 2005^b						
Less than 3 months	—	0	20.0	6	14.6	6
3–5 months	27.3	3	3.3	1	9.8	4
6–8 months	27.3	3	23.3	7	24.4	10
9–11 months	9.1	1	13.3	4	12.2	5
12 months or more	36.4	4	40.0	12	39.0	16
Adult, planned elements fully operational in 2006^c						
No	16.7	2	7.9	3	10.0	5
Yes	83.3	10	92.1	35	90.0	45
Juvenile, fully operational in 2005^d						
No	25.0	1	15.2	5	16.2	6
Yes	75.0	3	84.8	28	83.8	31
Juvenile, time to full implementation in 2005^e						
Less than 3 months	25.0	1	27.6	8	27.3	9
3–5 months	—	0	10.3	3	9.1	3
6–8 months	25.0	1	27.6	8	27.3	9
9–11 months	25.0	1	13.8	4	15.1	5
12 months or more	25.0	1	20.7	6	21.2	7
Juvenile, planned elements fully operational in 2006^f						
No	—	0	3.3	1	2.9	1
Yes	100.0	4	96.7	29	97.1	33

^a Fifty-two programs reporting; source: 2005 program director survey.

^b Forty-one programs reporting; source: 2005 program director survey.

^c Fifty programs reporting; source: 2006 program director survey.

^d Thirty-seven programs reporting; source: 2005 program director survey.

^e Thirty-three programs reporting; 2005 program director survey.

^f Thirty-four programs reporting; source: 2006 program director survey.

expected pre-release and post-release service enhancements, which may have been associated with anticipated strength of implementation (Exhibits C-8a, C-8b, C-8c, and C-8d).

Once sites were selected, the next task was to comply with agency requirements for conducting research in their facilities. This undertaking is described in the following section.

Site Enlistment

In February 2004, letters were sent to the agency heads and to the SVORI program directors explaining their selection for inclusion in the Multi-site Evaluation of SVORI. In addition, an administrator at NIJ also sent letters to the sites thanking them for their past and future cooperation with the evaluation activities. These letters were followed by telephone contacts between the site teams, the SVORI program directors, and individuals in the agencies who could provide information on the research agreement protocols and approval processes that needed to be navigated to proceed with research in the site.

In preparation for this process, a Memorandum of Understanding (MOU) was drafted that served as a template for the development of site-specific MOUs (see Appendix D). This template was used either in lieu of or in conjunction with any state-required research agreements. The primary topics covered by the MOU were

- responsibilities of agency staff, which included providing assistance with identifying, accessing, and tracking study participants;
- responsibilities of RTI field interviewers, including complying with all institutional rules, regulations, and requirements and reporting emotional distress of respondents;
- parameters of the interview process for interviews conducted in prison (or juvenile detention) facilities, including the requirement for a private space for administration of the interview; and
- participant confidentiality and data security, including the requirement that participation in the interview was voluntary and that all individual data would be held confidential and would not be disclosed to the agency.¹⁰

In addition, most sites required the completion of a research application. These applications ranged in complexity from relatively short, straightforward forms to extensive requirements documenting purposes and procedures. In some cases, a copy of RTI's Institutional Review Board (IRB) approval

¹⁰ An exception noted in the agreement was to disclose any statement of intent by the respondent to hurt himself or others. Notification of this exception to confidentiality was included in the informed consent that was reviewed and signed by the participants.

was sufficient; in other cases, the agency requested a full copy of RTI's IRB application and amendments.

Finally, MOUs were executed with each facility in which interviews were conducted (including local jails for Waves 2 through 4 interviews). A copy of the template for this MOU is also included in Appendix D.

Once negotiated research agreements were in place, the next step was to develop evaluation plans for each site (or each program, if a site had multiple programs). To accomplish this task, site leads and site liaisons talked with project directors and agency management information system personnel. This process is described in the next section.

Identification of Comparison Population Pools and Evaluation Participants

The Multi-site Evaluation of SVORI took an “intent to treat” approach.

Two pathways to inclusion in SVORI programs were identified: (1) random assignment to SVORI programming or standard programming after a decision to participate in SVORI was made by the offender and (2) program and offender determination of SVORI program eligibility and participation. For the first pathway, those randomly assigned to standard programming constituted the pool of potential comparison subjects. For the second, evaluation team members worked with local personnel to identify the site-specific SVORI eligibility criteria and to establish procedures for selecting a comparison group. In most cases, the comparison subjects were offenders who would have been eligible for (i.e., offered) SVORI if they had been in a facility that offered the SVORI program or if they had planned to return to a community with a post-release SVORI program. The Multi-site Evaluation of SVORI took an “intent to treat” approach with respect to the classification of subjects as SVORI participants or non-SVORI comparison subjects. Practically, this meant that an individual was classified as SVORI or non-SVORI depending upon whether he/she was enrolled in a SVORI program at any time during the period between when the site first provided the case information to the evaluation team and when the case was fielded. Appendix B provides specific information on the SVORI program eligibility criteria and the

criteria that were used to identify the comparison population for each site.

The following sections summarize the processes for identifying comparison population pools and the criteria applied to identify eligible evaluation participants from those pools. The first section describes the process in the two random-assignment sites. Subsequently, the quasi-experimental process for the remaining sites is described. The final section describes the criteria for the identification of evaluation respondents, which were consistent across all sites.

RANDOM-ASSIGNMENT SITES

The adult program sites in Iowa and Ohio randomly assigned eligible cases to participate in the SVORI program or to receive standard programming. (Note that the assignment probability sometimes differed from 0.5.) This design is shown in Exhibit 10. As can be seen, these two sites present the simplest case, in which random assignment to SVORI or non-SVORI follows the decision to participate by the offender. In this case, eligible individuals who were not offered SVORI and those who refused SVORI were ineligible for inclusion in the evaluation. The remainder of randomly assigned SVORI and Non-SVORI composes the potential evaluation respondent pool.

QUASI-EXPERIMENTAL SITE-LEVEL DESIGNS

In most sites, a quasi-experimental design was developed in close collaboration with site personnel to identify a pool of individuals comparable to those who were offered the SVORI program but who were not asked to participate in SVORI. These were individuals who met the individual-level program eligibility criteria (e.g., offense type, expected release date, age), but who were not included in SVORI. In many cases, these were individuals who met all local SVORI program eligibility criteria except for those related to where they were housed (i.e., in a facility offering SVORI) or where they were returning at release (i.e., to a community with a post-release SVORI program).

Exhibit 10. Random assignment to SVORI program and identification of potential evaluation participants

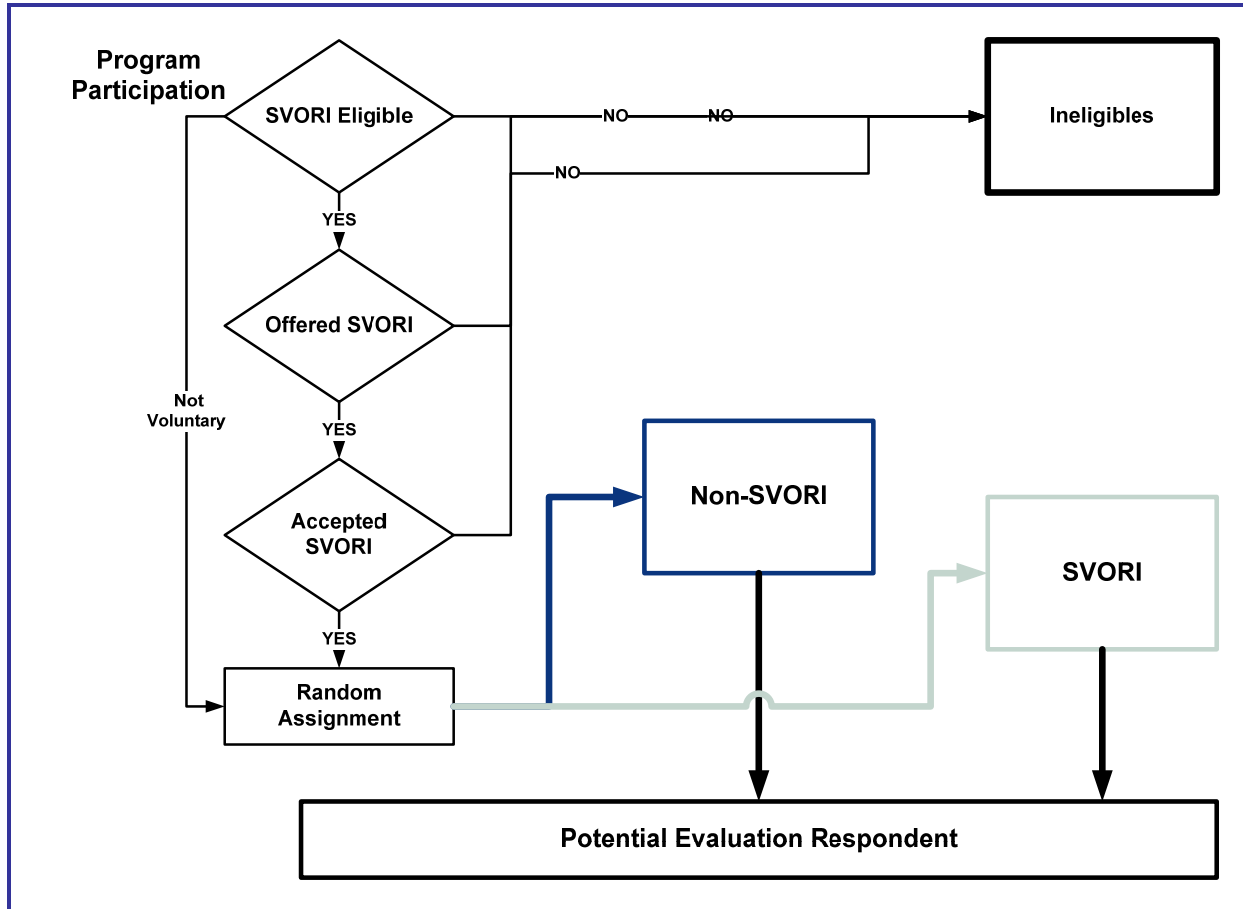
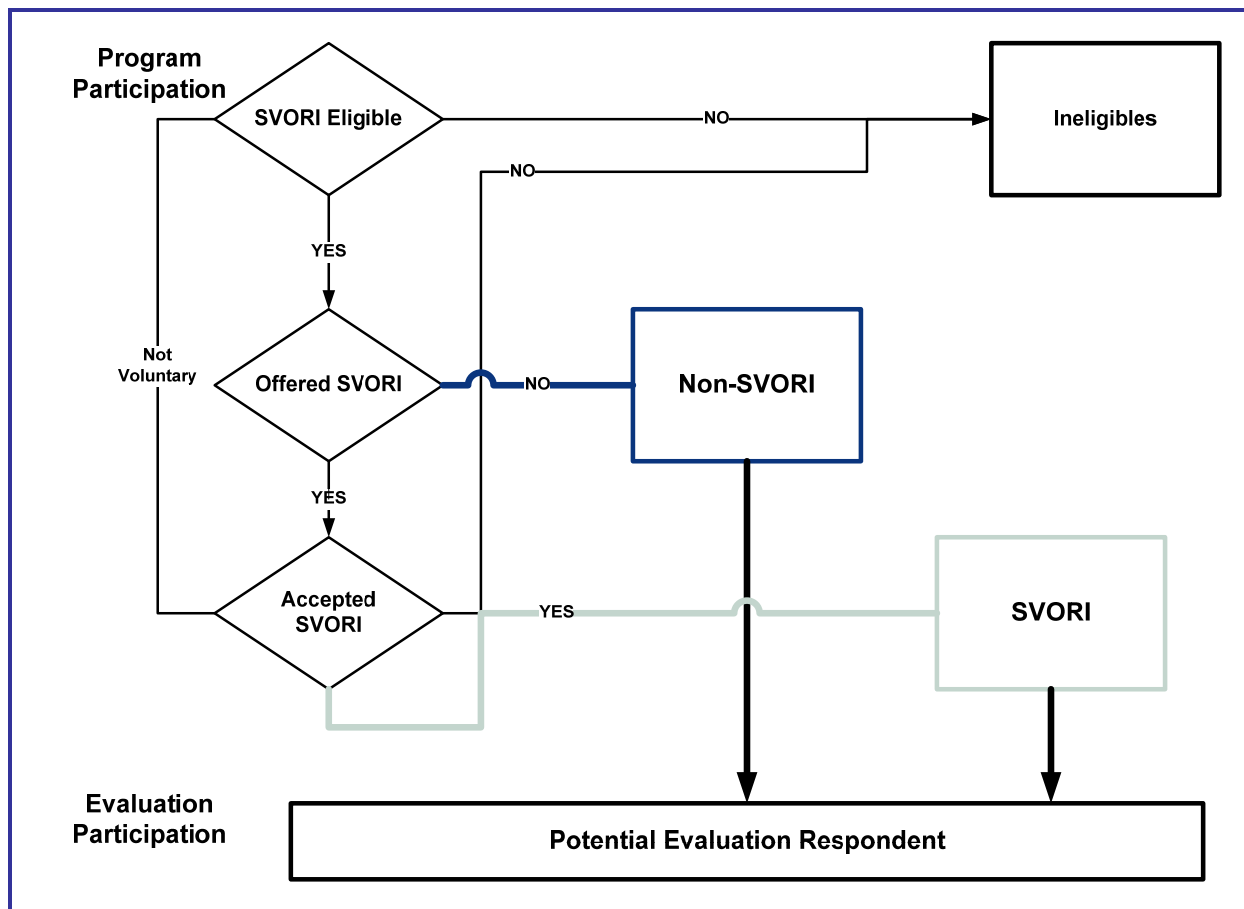


Exhibit 11 shows the process for the quasi-experimental identification of the potential evaluation respondents.

The identification of “Non-SVORI” participants was critical to the individual design decisions that were made with each site. Site teams worked closely with the local sites to identify the criteria that were used to determine SVORI program eligibility and to develop procedures with local program staff (usually in conjunction with agency management information system personnel) for obtaining the names of SVORI participants and for identifying those who were SVORI-eligible but who were not offered the SVORI program. The geographic targeting (Which prisons? Which communities?) of the SVORI programs was used to frame the discussion with the sites.

Exhibit 11. Quasi-experimental identification of potential evaluation participants



The evaluation site teams received guidance with respect to the following factors that (1) were to remain paramount in negotiating the design with the program and agency personnel and (2) guided the development of alternative strategies for comparison pool identification:

- Comparison subjects should be “similar” to SVORI participants to reduce selection bias. Although the determination of how “similar” SVORI and non-SVORI offenders were on most eligibility criteria (e.g., LSI scores, instant offense, county of post-release residence) was straightforward, many of the programs were designed to be voluntary, thereby potentially complicating the identification of a comparison group that was truly comparable to the treatment group in

terms of motivation.¹¹ This was a particular concern for programs that claimed they were enrolling all eligible participants.

- Comparison subjects should be returning to the same (or “similar”) communities to minimize potential differences in effects that could be attributed to unobserved/unmeasured environmental factors (e.g., differences in employment opportunities, treatment resources).
- Comparison subjects should have been incarcerated in the same (or “similar” prisons) to minimize potential differences in effects that could be attributed to unobserved/unmeasured prison environmental factors (e.g., availability of programming). This factor was addressed by attempting to ensure that if “comparison prisons” were to be used as a source of comparison subjects, then those comparison prisons should have similar prison environments (e.g., particularly, custody level).

Exhibit 7 in the previous chapter classified the selected SVORI programs by their pre- and post-release geographic targeting. Options for identifying potential comparison subjects were developed on the basis of this programmatic categorization. In summary, once random assignment was eliminated, the best comparison for any configuration was the same: prisoners from a SVORI facility who were returning to the SVORI post-release community and who were very similar to SVORI participants (but didn’t participate in SVORI for reasons not expected to be related to future success). This is the Similar Subject-SVORI Prison-SVORI Community option. If this wasn’t possible (e.g., if all individuals fitting these criteria either were enrolled in or had rejected the SVORI program), variations were explored on the three components: Different Subjects (and/or) Different Prisons (and/or) Different Communities. Not all options were possible for all program configurations (e.g., Different Prisons is not an option if the program is implemented system wide). The least desirable option was to select subjects from another system (i.e., state), presumably Similar Subjects/Different Prisons/Different Communities, but this option was not

¹¹ Most sites with post-release target areas used pre-prison county of residence to identify potential SVORI participants and evaluation comparison subjects. This was a complicating factor for the identification of both SVORI and non-SVORI participants and was mentioned by at least a few site program directors as a factor that contributed to low enrollment and excessive drop-outs.

needed.¹² Exhibit 12 summarizes the options that were explored for identification of comparison subjects by program configuration.

The results of the negotiating process for each site are shown in Exhibit 13, which also describes the SVORI program participants who were eligible for the evaluation.

One site emerged as potentially problematic in terms of the evaluation design. Specifically, Maryland was one of the two adult programs that had a post-release focus (i.e., most of the program was to be delivered in the community). In Maryland, individuals were identified as potentially eligible for SVORI before release and were identified as such for the evaluation if they attended a meeting describing the Reentry Partnership Program while they were incarcerated and if they indicated interest in the post-release program components. Program participation was not confirmed until after they were released and voluntarily went to the program that was providing SVORI services. *The Multi-site Evaluation took an intent-to-treat approach with respect to all programs and did the same with Maryland:* Individuals who were designated as SVORI participants at any time between when the case information was provided by the site and when RTI fielded the case for the pre-release (Wave 1) interview were considered SVORI participants regardless of whether they attended the program. As a result, not all individuals classified as “SVORI” for evaluation purposes actually received SVORI programming or services, and some individuals who ultimately enrolled in the SVORI program were treated as comparisons for evaluation purposes. The Maryland program focused on individuals returning to a specific neighborhood in Baltimore. The non-SVORI comparison subjects were identified as individuals otherwise eligible for SVORI except that they were returning to neighborhoods in Baltimore where SVORI was not provided.

¹² As is described in more detail in Lindquist et al. (2009), the distribution of female subjects between SVORI and Non-SVORI varied across the 11 sites that included women in their SVORI programming. Approximately half of the 204 Non-SVORI evaluation participants were from Indiana compared with only 12 of the SVORI evaluation participants. In contrast, there were no Non-SVORI comparisons in two states (Missouri and Pennsylvania). The decision was made early in the enrollment of subjects to include these “extra” Non-SVORI comparisons in Indiana in the hopes that they would be appropriate comparisons for SVORI participants in other states.

Exhibit 12. Options for the identification of comparison population pools by program geographic composition

Pre-Release	Post-Release		
	Single Community	Multiple Communities	Statewide
Single prison	Best Comparison		
	Individuals at the participating prison returning to the same community who are (very) similar to SVORI participants but do not participate—optimally for reasons other than motivation or other individual characteristics that would be expected to be related to future success	Individuals at the participating prisons returning to the same communities who are (very) similar to SVORI participants but do not participate—optimally for reasons other than motivation or other individual characteristics that would be expected to be related to future success	Individuals at the participating prison returning to the same communities (i.e., anywhere in the state) who are (very) similar to SVORI participants but do not participate—optimally for reasons other than motivation or other individual characteristics that would be expected to be related to future success
Single prison	Other Options		
	<ol style="list-style-type: none"> 1. Individuals from different prisons in the same system who would have been SVORI-eligible who are returning to the SVORI target community 2. Individuals from SVORI prison who are different in measurable ways from SVORI participants who are returning to the SVORI target community 3. Individuals from SVORI prison returning to communities similar to the SVORI community 4. Individuals from non-SVORI prisons in the same system returning to different communities 5. Individuals similar to SVORI participants from another site 	<ol style="list-style-type: none"> 1. Individuals from different prisons in the same system who would have been SVORI-eligible who are returning to the SVORI target communities 2. Individuals from SVORI prison who are different in measurable ways from SVORI participants who are returning to the SVORI target communities 3. Individuals from SVORI prison returning to communities similar to the SVORI community 4. Individuals from non-SVORI prisons in the same system returning to different communities 5. Individuals similar to SVORI participants from another site 	<ol style="list-style-type: none"> 1. Individuals from different prisons in the same system who would have been SVORI-eligible who are returning to the SVORI target communities (i.e., anywhere in the state) 2. Individuals from SVORI prison who are different in measurable ways from SVORI participants who are returning to the SVORI target communities (i.e., anywhere in the state) 3. NA 4. NA 5. Individuals similar to SVORI participants from another site
Multiple prisons	Best Comparison		
	Individuals at the participating prisons returning to the same community who are (very) similar to SVORI participants but do not participate—optimally for reasons other than motivation or other individual characteristics that would be expected to be related to future success	Individuals at the participating prisons returning to the same communities who are (very) similar to SVORI participants but do not participate—optimally for reasons other than motivation or other individual characteristics that would be expected to be related to future success	Individuals at the participating prisons returning to the same community (i.e., anywhere in the state) who are (very) similar to SVORI participants but do not participate—optimally for reasons other than motivation or other individual characteristics that would be expected to be related to future success

(continued)

Exhibit 12. Options for the identification of comparison population pools by program geographic composition (continued)

Pre-Release	Post-Release		
	Single Community	Multiple Communities	Statewide
Multiple prisons (cont.)	Other Options		
	<ol style="list-style-type: none"> 1. Individuals from different prisons in the same system who would have been SVORI-eligible who are returning to the SVORI target community 2. Individuals from SVORI prisons who are different in measurable ways from SVORI participants who are returning to the SVORI target community 3. Individuals from SVORI prisons returning to communities similar to the SVORI community 4. Individuals from non-SVORI prisons in the same system returning to different communities 5. Individuals similar to SVORI participants from another site 	<ol style="list-style-type: none"> 1. Individuals from different prisons in the same system who would have been SVORI-eligible who are returning to the SVORI target communities 2. Individuals from SVORI prisons who are different in measurable ways from SVORI participants who are returning to the SVORI target communities 3. Individuals from SVORI prisons returning to communities similar to the SVORI community 4. Individuals from non-SVORI prisons in the same system returning to different communities 5. Individuals similar to SVORI participants from another site 	<ol style="list-style-type: none"> 1. Individuals from different prisons in the same system who would have been SVORI-eligible who are returning to the SVORI target communities (i.e., anywhere in the state) 2. Individuals from SVORI prisons who are different in measurable ways from SVORI participants who are returning to the SVORI target communities (i.e., anywhere in the state) 3. NA 4. NA 5. Individuals similar to SVORI participants from another site
All prisons	Best Comparison		
	Individuals at the participating prisons returning to the same community who are (very) similar to SVORI participants but do not participate—optimally for reasons other than motivation or other individual characteristics that would be expected to be related to future success	Individuals at the participating prisons returning to the same community who are (very) similar to SVORI participants but do not participate—optimally for reasons other than motivation or other individual characteristics that would be expected to be related to future success	Individuals at the participating prisons returning to the same community who are (very) similar to SVORI participants but do not participate—optimally for reasons other than motivation or other individual characteristics that would be expected to be related to future success
	Other Options		
	<ol style="list-style-type: none"> 1. NA 2. Individuals from SVORI prisons who are different in measurable ways from SVORI participants who are returning to the SVORI target community 3. Individuals from SVORI prisons returning to communities similar to the SVORI community 4. NA 5. Individuals similar to SVORI participants from another site 	<ol style="list-style-type: none"> 1. NA 2. Individuals from SVORI prisons who are different in measurable ways from SVORI participants who are returning to the SVORI target communities 3. Individuals from SVORI prisons returning to communities similar to the SVORI community 4. NA 5. Individuals similar to SVORI participants from another site 	<ol style="list-style-type: none"> 1. NA 2. Individuals from SVORI prisons who are different in measurable ways from SVORI participants who are returning to the SVORI target community 3. NA 4. NA 5. Individuals similar to SVORI participants from another site

Exhibit 13. Evaluation selection criteria for SVORI and non-SVORI comparison groups by site

Site	SVORI Population Selected for Evaluation	Comparison Population Selected for Evaluation
Adult Programs		
Iowa	<p>Individuals randomly assigned to the KEYS group and projected to be (and actually were) released during the baseline enrollment period. (For the individuals who were released to work-release facilities, “release” was defined as release from the work-release facilities, not from the original institution. Therefore, although the KEYS curriculum was delivered in only three prisons, SVORI interviews took place in five facilities—the three prisons of interest and the two work-release facilities: the Fort Des Moines Community Corrections Center and the Women’s Residential Correctional Facility—where some KEYS participants were sent before being released to the community.)</p> <p>Random assignment entailed the following: once the eligible prisoners from each facility were identified, the names were sent to the parole board for a prescreening process (to verify likelihood of release). Cases receiving prescreen approval were then sent to CJJP for random assignment, which involved an SPSS program to randomly split the sample of eligible and prescreened offenders into two groups and then identify one group as the KEYS group and the other as the control group (Note: the groups were not equally distributed—KEYS slots were filled first and then the remaining individuals were allocated to the control group). An intent-to-treat design was employed (drop-outs could not be considered control group members).</p>	<p>Individuals randomly assigned to the control group and projected to be (and actually were) released during the baseline enrollment period. Random assignment procedures are described in the “SVORI population selected for Evaluation” column.</p>
Indiana	<p>Individuals identified as eligible for the Community Transitions Program (CTP) who had not declined the program, who were released from one of seven designated facilities for the evaluation (Indiana Women’s Prison, Westville, Chain O’Lakes, Rockville, Plainfield, Putnamville, Miami), and who were projected to be (and actually were) released to Allen County Community Corrections during the baseline enrollment period.</p>	<p>Individuals incarcerated in the same seven facilities from which CTP participants could come but who were returning to Marion (rather than Allen) County, who matched the selection criteria used for the CTP program, and who were projected to be (and actually were) released during the baseline enrollment period. If it became known that comparison group members were enrolled in the CTP program or the Community Chaplain Program in Marion County, the cases were dropped from further follow-up.</p>

(continued)

Exhibit 13. Evaluation selection criteria for SVORI and non-SVORI comparison groups by site (continued)

Site	SVORI Population Selected for Evaluation	Comparison Population Selected for Evaluation
Adult Programs (cont.)		
Kansas	All Shawnee County Reentry Program (SCRIP) participants who were projected to be (and actually were) released during the baseline enrollment period.	Individuals in the SCRIP facilities (Lansing and Topeka prisons) who met all of the SVORI eligibility criteria, were projected to be (and actually were) released during the baseline enrollment period, but who were returning to Sedgwick County (using pre-prison county of residence as a proxy, since the DOC database does not have a field for projected post-incarceration residence).
Maine	All SVORI participants from all facilities who were projected to be (and actually were) released during the baseline enrollment period and who were from Washington, Androscoggin, Penobscot, and Knox counties. (Note: on 3/31/2005, it was decided to stop recruiting participants from the juvenile system [i.e., the two juvenile facilities] for interviews.)	Four comparison counties selected to identify male comparisons: Piscataquis County (to compare with SVORI Washington County), York County (to compare with SVORI Androscoggin County), Kennebec County (to compare with SVORI Penobscot County), Lincoln County (to compare with SVORI Knox County). There is no comparison group of women in Maine because women returning to comparison counties receive SVORI-like services through another contract.
Maryland	Individuals flagged for Maryland Reentry Partnership (REP) participation who were projected to be (and actually were) released during the baseline enrollment period.	Individuals who were housed at MTC, were not enrolled in any specific reentry programming, met all other program eligibility criteria except zip code (comparison individuals were those returning to Baltimore zip codes other than those targeted by the REP program), and were projected to be (and actually were) released during the baseline enrollment period.
Missouri	Male SVORI participants at Crossroads Correctional Center (Cameron), Western Missouri Correctional Center (Cameron), or Western Reception Diagnostic and Correctional Center (St. Joseph) who were returning to specific zip codes in Kansas City. Female SVORI participants in Chillicothe Correctional Center (Chillicothe) and Women's Eastern Reception Diagnostic and Correctional Center (Vandalia) who were returning to specific zip codes in Kansas City.	Males and females returning to specific zip codes in Kansas City.

(continued)

Exhibit 13. Evaluation selection criteria for SVORI and non-SVORI comparison groups by site (continued)

Site	SVORI Population Selected for Evaluation	Comparison Population Selected for Evaluation
Adult Programs (cont.)		
Nevada	All individuals 18+ who were enrolled in the Going Home Prepared (GHP) program (and therefore transferred to one of the three facilities in which programming was delivered), who were projected to be (and actually were) released during the baseline enrollment period, and who were returning to the Southern Nevada county of Clark, Lincoln, Nye, or Esmeralda.	Individuals who met all GHP eligibility criteria except for the “subjective” exclusion criteria (e.g., inability to transfer to program facility, insufficient time left on sentence) and post-release geographic parameters. ^a Comparison subjects came from facilities located in Southern Nevada (High Desert State Prison, Indian Springs Conservation Camp, Jean Conservation Camp (female), Southern Desert Correctional Center, Southern Nevada Women’s Correctional Center), and (until 9/23/2004) Northwest Nevada. Comparison group members were projected to be (and actually were) released during the baseline enrollment period.
Ohio	Individuals randomly assigned to the Ohio Community-Oriented Reentry Program (CORE) program and who were projected to be (and actually were) released during the baseline enrollment period. Random assignment entailed the following: offenders who meet the eligibility requirements met with program staff to explain the program, ascertain interest, and make a final eligibility determination; the remaining inmates were randomly assigned to the experimental or control group.	Individuals randomly assigned to the control group and projected to be (and actually were) released during the baseline enrollment period. Random assignment procedures described in the “SVORI Population Selected for Evaluation” column.
Oklahoma	All PROTECT participants from the 19 state prisons (and, beginning 11/23/04, any of the four private prisons and six community corrections centers) who were projected to be (and actually were) released during the baseline enrollment period.	Individuals who met the PROTECT age and LSI criteria, were projected to be (and actually were) released during the baseline enrollment period, but who were projected to return to Tulsa county (based on pre-incarceration county of residence).
Pennsylvania	All EPRP participants who were projected to be (and actually were) released from Erie CCC (males) and Gaudenzia (females) to the community during the baseline enrollment period.	Male state parolees, state re-parolees, technical parole violators (TPVs) with community parole center (CPC) placements (“halfway-backs”), and pre-release cases who were between 18 and 35 years old, returning to Erie, Crawford, or Warren County, and were projected to be (and actually were) released from Erie CCC or Gateway Erie (another treatment facility contracted by DOC) during the baseline enrollment period. There was no female comparison group.

(continued)

Exhibit 13. Evaluation selection criteria for SVORI and non-SVORI comparison groups by site (continued)

Site	SVORI Population Selected for Evaluation	Comparison Population Selected for Evaluation
Adult Programs (cont.)		
South Carolina	All individuals enrolled in SVORI and who were projected to be (and actually were) released during the baseline enrollment period.	Three comparison groups were identified as follows: (a) individuals from the seven SVORI facilities who met all SVORI eligibility criteria (including post-release supervision), (b) non-sex offenders from Tyger River who met all SVORI eligibility criteria (including post-release supervision), and (c) individuals who met all SVORI eligibility criteria (including post-release supervision) but who were incarcerated in three non-SVORI medium- or maximum-security facilities (i.e., Camille Griffin Graham [women's], Allendale, and Evans). For all three comparison groups, individuals must have been projected to be (and actually were) released during the baseline enrollment period.
Washington	Going Home participants returning to King and Pierce Counties (Spokane was excluded) who were projected to be (and actually were) released during the baseline enrollment period.	Individuals who met program criteria, were incarcerated in six correctional facilities and 11 work-release facilities (near Seattle and in and around Walla Walla) in which Going Home programming was not offered, were returning to Pierce and King Counties, and were projected to be (and actually were) released during the baseline enrollment period.
Juvenile Programs		
Colorado	Male Colorado Affirms Reentry Efforts (CARE) participants incarcerated in all facilities served by the program (Lookout Mountain, Ridgeview, and later, Everest) who were projected to be (and actually were) released during the baseline enrollment period.	Male youth within the CARE facilities who were supervised by case managers other than the ones from which CARE participants were recruited, who met all other CARE criteria (e.g., released to the Denver/Metro area, scored 28+ on the CLSI), and who were projected to be (and actually were) released during the baseline enrollment period.
Florida	All SVORI participants at the Miami-Dade site who were projected to be (and actually were) released during the baseline enrollment period. Enrollment was discontinued for females.	Youth who met the same program eligibility criteria, were committed to the same facilities, and were projected to be (and actually were) released during the baseline enrollment period, but who were committed from Broward and West Palm (rather than Dade) counties. Note that YLS/CMI scores are not available on youth who are not participating in SVORI so this criterion could not be applied to them.

(continued)

Exhibit 13. Evaluation selection criteria for SVORI and non-SVORI comparison groups by site (continued)

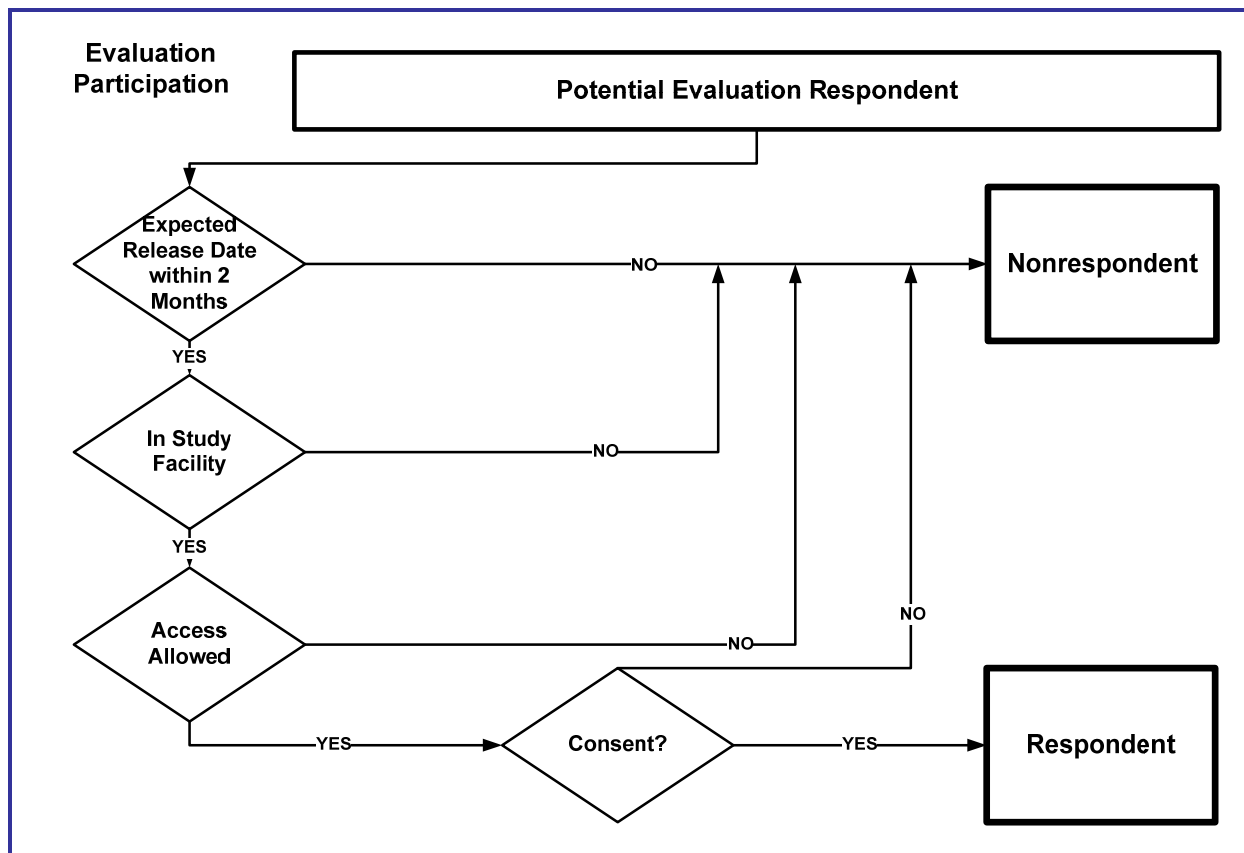
Site	SVORI Population Selected for Evaluation	Comparison Population Selected for Evaluation
Juvenile Programs (cont.)		
Kansas	All GHI participants in the Topeka Juvenile Correctional Facility (JCF) who were projected to be (and actually were) released during the baseline enrollment period.	Individuals at Topeka JCF with a conditional release period of at least six months who were projected to be (and actually were) released during the baseline enrollment period, but who were returning to Shawnee County, Johnson County*, or Wyandotte County*. [*Note: The GHI program in Johnson and Wyandotte counties was not operational during much of the baseline enrollment period, so individuals who otherwise would have been GHI participants were enrolled in the evaluation as comparison subjects. During the brief period of time in the baseline enrollment period when the GHI program in those counties was operational, only individuals returning to Shawnee County were selected as comparisons for the evaluation.]
South Carolina	All individuals enrolled in SVORI and who were projected to be (and actually were) released during the baseline enrollment period.	The comparison group primarily consisted of youth incarcerated in the same facilities served by SVORI but who were committed from different counties (i.e., Greenville, Aiken, and Sumter) but also included a small number of youth incarcerated in the same facilities as served by SVORI and committed from the same counties. (These comparison group members were likely not enrolled in SVORI because of case-flow caps established for the reentry coordinators.)

^aInterviewing was discontinued in northern Nevada due to small numbers of eligible participants in late September 2004; however, before that time, comparison subjects could have released to a county in northwest Nevada, including Washoe, Churchill, Carson City, Douglas, and Lyon counties.

EVALUATION ELIGIBILITY

Exhibit 14 shows the path from the potential respondent pool to the respondent pool. Three criteria were used to identify the individuals in the potential respondent pool to be approached to participate in the evaluation: (1) expected release within the next 3 months between July 2004 and November 2005 (Wave 1 data collection period); (2) housed in a facility where Wave 1 interviews were being conducted; and (3) access to the individual was allowed (e.g., the individual was not in segregation or away from the prison for court appearances or medical treatment).

Exhibit 14. Identification of evaluation respondents



Individuals who were potential respondents and had expected release dates within 3 months were included on lists provided periodically by the program to the evaluation site liaisons.¹³ These lists were reviewed by the site liaison and then provided to the field data collection team task leader who reviewed the lists and uploaded cases to a computerized case management

¹³ Electronic files containing name, prison, state identification number, date of birth, and expected release date were posted by state agency personnel to a secure FTP site, triggering an e-mail to a data manager who immediately moved the file to a server behind RTI's firewall and notified the site liaison that the file was available for processing. Each site liaison maintained the master list of names for his/her site and passed the processed lists on to the evaluation's data collection task leader. Because names of individuals were acquired on a rolling basis (typically monthly), it was necessary to double-check monthly lists against prior lists to ensure that duplicate names were removed. Duplicates occurred because eligibility was based on an individual's expected release date (expected to be released between 60 and 90 days in the future) and an individual who wasn't released when expected could end up on subsequent lists.

system that was designed for the project. Uploaded cases were assigned to field supervisors who subsequently assigned the cases to field interviewers. The field interviewers, in turn, contacted the facilities to verify the locations of potential respondents. If, for example, an individual was not at the indicated facility, sometimes the facility contact could identify where the individual had been transferred; if not, the site liaison contacted his/her agency contact to obtain updated information. If the individual had been transferred to a facility in which interviews were being conducted, the records were updated and the field interviewer approached the new facility with a request to interview the individual.

On some occasions, individuals were released before an interview could be conducted with him or her. This was a particular problem during the start-up of the interviewing process, when individuals with expected release dates within 30 days were initially targeted. This 30-day time period turned out to be too short and resulted in substantial "leakage" from the potential respondent pool. The protocol was adjusted to obtain names 3 months before expected release; this adjustment greatly reduced the number of individuals who were released before interviews could be scheduled.

The third step was to gain access to the individual in the facility. This was generally not a problem, but on occasion access was denied. Also occasionally, the individual was not at the facility when the interviewer arrived for the interview (e.g., the individual had been transported to court or for medical treatment). Finally, on a few occasions, a facility was in "lockdown," or a private space was not available in which the interview could be conducted. In all of these cases, the field interviewers continued to try to obtain the interview until either (1) the individual was released or transferred to a facility that was not included in the evaluation or (2) a change in the expected release date (e.g., parole was denied) made the individual ineligible for the evaluation because the individual would not be released during the data collection period.

Once access to the individual was obtained, the field interviewer explained the study and went through the consent process. Individuals who agreed to participate became respondents. Nonrespondents included those who were moved to a facility not participating in the study, those to whom the

interviewers were not provided access, those who refused, and those who were not released during the data collection period.

The data collection procedures are detailed in the following section.

Data Collection Procedures

Data were collected from four sources for the implementation assessment and the impact evaluation. These sources, purposes, modes, and dates of data collection are shown in Exhibit 15.

The planning and design data collection activities were described in the previous section. The following sections provide details on the implementation and impact data collection activities. The next section describes data collection from SVORI grantees and program directors. Subsequently, data collection from impact evaluation participants is described. The final section in this chapter describes the collection and processing of data from administrative sources.

IMPLEMENTATION: SVORI GRANTEE AND PROGRAM DIRECTOR SURVEYS

The primary source of data for the implementation assessment was four rounds of data collection from the SVORI program directors.

1. The initial data collection from the program directors provided basic information on the nature of the local SVORI program(s), including information on program focus and components, as well as the anticipated enrollment; the target population(s), including inclusion and exclusion criteria; whether the program(s) was (were) targeting one, a few, or all institutions pre-release and one, a few, or all communities statewide post-release (geographic criteria); and program goals. As discussed earlier, data collection included a review by the SVORI site liaisons of the 69 telephone interviews

Exhibit 15. Data sources for the Multi-site Evaluation of SVORI

Source	Purpose	Mode	Dates
Planning and Design^a			
Grantee applications and work plans	Extract information of program characteristics, target population(s)	SVORI site team review; telephone follow-up to clarify and complete information	August–October 2003
SVORI program directors—selected sites	Assess program(s) for inclusion in the SVORI multi-site impact evaluation	Site visits	October–December 2003
Implementation			
SVORI program directors	Collect information on program characteristics and status	1. Telephone follow-up after work plan extraction 2 & 3. Paper interviews mailed to SVORI program directors; telephone follow-up to ensure response and clarify answers	1. August–October 2003 2. March 2005 3. March 2006
	Collect information on plans for sustaining SVORI program elements and other reentry activities	4. E-mail survey; telephone follow-up to encourage response	4. July 2007
SVORI programs—impact sites only	Review program status; discuss administrative data requirements	Site visits	2005 2006
Impact Evaluation			
Treatment and comparison subjects	Wave 1 interview (approximately 30 days before expected release)	Computer-assisted personal interviewing (CAPI)	July 2004–November 2005
	Wave 2 interview (approximately 3 months after release)	CAPI Oral swab drug test	October 2004–April 2006
	Wave 3 interview (approximately 9 months after release)	CAPI	April 2005–October 2006
	Wave 4 interview (approximately 15 months after release)	CAPI Oral swab drug test	October 2005–April 2007
State agency data	Criminal history and recidivism information (incarceration and probation/parole)	Electronic files provided by state agencies	February 2007–March 2009
National Crime Information Center (NCIC) data	Criminal history and recidivism information (arrest)	PDF and hardcopy arrest records	August 2008; March 2009: second request to obtain records not returned in response to the initial request

^aThese activities were described in the *Site Selection* section.

with the program directors. This work began in August 2003 and concluded in October 2003. This effort identified a total of 88 separate SVORI programs (an additional program was later discovered, resulting in a total of 89 separate SVORI programs that were proposed by the 69 SVORI grantees). Site liaisons entered data into a Web-based data entry site that was established on the SVORIMIS. (A copy of the data collection elements is included in Appendix A.) All 69 grantees responded. Results, including descriptions of all programs, were stored in a project management information system (SVORIMIS) and are summarized in Lattimore et al. (2004).

2. The program directors were mailed hard copy surveys in March 2005. This survey collected additional information on the planned structure of the SVORI program, enrollment to date, and information on barriers and challenges to implementation. Information on the types of programming that would have been available for SVORI participants in the absence of the SVORI program was also collected. The site liaisons entered the data on the returned questionnaires into the SVORIMIS, followed up with delinquent respondents, and contacted program directors by telephone to verify and clarify responses. (A copy of the survey is included in Appendix A.) Responses were received from 89 of the 89 program directors, although not every director responded to every question.
3. A second survey was mailed to the program directors in March 2006. This survey collected updated information on enrollment, as well as services provided, implementation, and sustainability. The site liaisons entered the data on the returned questionnaires into the SVORIMIS, followed up with delinquent respondents, and contacted program directors by telephone to verify and clarify responses. (A copy of the survey is included in Appendix A.) Responses were received from 86 of the 89 program directors.
4. A final survey was e-mailed to the 89 program directors in July 2007 to obtain information on ongoing reentry efforts in their states, after the conclusion of the SVORI grants. (A copy of the questions is included in Appendix A.) Data were keyed by project staff, who also made follow-up telephone and e-mail inquiries to increase response rates. Responses were obtained from 52 of the 89 programs.

In addition to the program director surveys, which generated descriptive data (albeit self-reported) for all 89 SVORI programs, two rounds of site visits were conducted with the subset of programs included in the impact evaluation. The site visits generated detailed information from a variety of key stakeholders involved in SVORI (including line staff, supervisors, and top administrators from the pre- and post-release supervision agencies, service provider agencies, and other key partners) and enabled the evaluation team to more fully characterize program implementation, interagency collaboration, and sustainability in the sites selected for the impact evaluation. Copies of the site visit protocols are included in Appendix A.

IMPACT: INTERVIEWS WITH SVORI PROGRAM PARTICIPANTS AND COMPARISON SUBJECTS

The data collection consisted of four in-person interviews with offenders (approximately 1 month before release and 3, 9, and 15 months after release). Drug tests (oral swabs) were conducted at the 3- and 15-month interviews with individuals who were in the community (i.e., not in a correctional or treatment facility) at the time of the interview and provided a separate consent for the tests.

As described previously, eligible respondents (both SVORI and comparison) were identified on a monthly (or more frequent) basis during a 16-month Wave 1 (pre-release) interviewing period (July 31, 2004, through November 30, 2005). A computerized case management system was used to assign cases to field interviewers and to track the status of fielded cases. Reasons that interviews were not conducted were tracked carefully and field interviewers were provided assistance if their data suggested that they were having difficulty (e.g., with conversions).

All interviews were conducted in private settings, using computer-assisted personal interviewing (CAPI) by experienced RTI field interviewers who had completed extensive training on interviewing in correctional settings and locating difficult-to-find respondents. The training also included modules on human subjects' regulations and administering consents (assents for juvenile subjects, passive consent for parents/guardians of

juvenile subjects), as well as information on identifying and responding to distressed respondents. Copies of consent forms are included in Appendix E.

Wave 1 (Pre-release) Interviews

Wave 1 interviews were conducted in about 150 prisons and juvenile detention facilities across the country.¹⁴ Field interviewers contacted the facility where the potential respondent was housed and requested an appointment through the evaluation's facility contact. The MOUs with the facilities included a specification that the potential respondent was to be told only that he or she had a visitor and was not to be provided any information about the evaluation or the potential interview. All information about the research was provided by the field interviewers. The reason for this was (1) to ensure that facility staff did not coerce participation and (2) to ensure that information about the study was provided in a consistent manner (as dictated by the interviewer training).

Each potential respondent was shown a brochure describing the research study (see Appendix E) and the field interviewer described the project. Individuals who indicated that they were willing to participate were read the consent (or assent) form. The consent was witnessed, not signed, to minimize the chance of revealing the identity of a study participant (e.g., if the consent form was lost by the shipping company when it was returned to RTI). For each juvenile subject, a letter describing the research project was mailed several weeks before the anticipated interview date to the parent or guardian whose name had been provided by the juvenile justice agency. The letter described the study and provided a toll-free number to call if the parent/guardian wanted additional information or did not want the juvenile to participate in the research. The juvenile subjects were also queried to ensure that they understood the materials in the assent forms. The juvenile subject was asked eight questions about the content and meaning of the consent form before the field interviewer began the survey. A copy of the questionnaire is included in Appendix E. The remaining procedures for contacting facilities

¹⁴ Interviews were arranged through communication between site team staff, facility staff, and field interviewers. All descriptions of and explanations concerning the study purpose were provided to potential respondents by the field interviewers, who also administered the consent procedures.

and potential juvenile respondents were similar to those for the adults.

Wave 1 interviews lasted approximately 1.5 hours and were conducted approximately 1 month before release. The interview was designed to obtain data on respondents' experiences and receipt of services during incarceration, as well as document respondents' immediate post-release plans.¹⁵ No incentive was provided for the Wave 1 interviews.

Waves 2, 3, and 4 (Follow-up) Interviews

Follow-up interviews were conducted at 3, 9, and 15 months *after* release. The follow-up interviews lasted approximately 1.5 hours and covered topics such as housing, employment, education, family, peer relationships, community involvement, physical and mental health, substance use, crime and delinquency, supervision, service needs, and service receipt.

The follow-up interviews were conducted in the community or, for those reincarcerated, in prison or jail (if possible).¹⁶ For interviews conducted in the community, respondents were paid \$35 for the 3-month interview, \$40 for the 9-month interview, and \$50 for the 15-month interview. At the final interview, respondents were paid an additional \$50 if they completed all four interviews. In addition, respondents were paid an extra \$5 at each follow-up wave if they called a toll-free number to schedule their interview. As the 15-month interviews began, the original protocol with respect to compensation was adjusted. Specifically, where agreements could be negotiated with corrections departments and local jails, participants who were incarcerated were provided compensation. The reason for this change was to boost response rates, but also out of fairness—the additional \$50 for completing all four interviews that was promised at the time of earlier interviews would not

¹⁵ In most sites, SVORI programming began several months before release, although there was wide variability both within and across sites.

¹⁶ Follow-up interviews were also conducted in treatment facilities, when possible. Facility MOUs were negotiated with all prisons, jails, and treatment facilities to protect the confidentiality of the participants and the data collected from them. Site liaisons were responsible for making contact with facilities that were not included in the Wave 1 interviews and for negotiating MOUs. Information on all facilities (i.e., prisons, jails, juvenile detention facilities, or treatment facilities) was maintained in the SVORIMIS.

have been available to these participants.¹⁷ Compensation was provided either (1) to the inmate's canteen or personal account at the prison (or jail) or (2) to an individual in the community whose name and address were provided by the inmate. In the second instance, the offender had to acknowledge that the study team took no responsibility other than to mail the compensation to the person the offender had identified; offenders were specifically told that there was no guarantee that the money would be held for them.

Oral swab drug tests were conducted in conjunction with the 3- and 15-month interviews conducted in the community (i.e., not in prisons, jails, or treatment facilities). Respondents were provided an additional \$15 if they consented to provide an oral swab. The field interviewers were trained to collect, package, and mail the oral swabs to a drug testing laboratory.¹⁸ The chosen test was a six-panel oral fluid screen for amphetamines, cannabinoids, cocaine, methamphetamines, opiates, and phencyclidine. All positive findings were confirmed by gas chromatography/mass spectrometry.

IMPACT: ADMINISTRATIVE DATA¹⁹

The evaluation requested official criminal records data to supplement the self-reported interview data, particularly with respect to measures of criminal history and recidivism. The two sources of data were (1) state DOC/DJJ/Probation and Parole (P&P) agencies and (2) the National Crime Information Center (NCIC). State DOC/DJJ agencies provided data on return to prison after being released, as well as information on performance during post-release parole or probation. The NCIC provided data on arrests, including prior arrests and rearrests, as well as information on convictions and reincarcerations for some states. This section first describes the acquisition and processing of state agency data. Subsequently, the procedures for acquiring and processing NCIC records are described.

¹⁷ Some agencies had a firm policy against the payment of compensation to inmates. In those sites, compensation was not provided to incarcerated participants.

¹⁸ Scientific Testing Laboratories, Inc. (STL) was contracted for the drug testing. STL provided intercept collection oral fluid devices, biohazard bags, packaging materials for shipping, and chain of custody forms, as well as test and confirmatory test results. STL was acquired by Kroll Laboratory Specialists, Inc., in November 2005; the contract was continued with Kroll.

¹⁹ Mark Pope and Debbie Dawes of RTI contributed to this section.

Acquisition and Processing of State Agency Data

The administrative data collection and processing task was a substantial undertaking for several reasons:

- It required coordination between the evaluation and 19 state agencies over the 14 impact sites.
- Data elements of interest available at each site varied such that it was necessary to customize the approach taken for each site.
- The format of each site's recidivism data was different, requiring extensive programming to make each site's data useable.

An administrative data protocol was drafted that was designed to guide site teams in their negotiations with the impact sites and to be shared with appropriate individuals in each site to provide specific information on the data request. The protocol also provided information on the procedures implemented to ensure the secure transmission of data between the sites and RTI. The protocol described the project (including how the administrative data supplemented the interview data), the data sources being accessed, the individuals for whom data were needed, and the data elements being requested. (A copy of the protocol is included in Appendix F.) This protocol was reviewed and approved by an RTI IRB.

The following paragraphs describe the procedures that were followed to acquire and process the agencies' data. These procedures included (1) negotiating with sites, (2) establishing procedures for transferring data from the state agencies to RTI; (3) identifying subjects for whom data were needed; (4) processing data; and, importantly, (5) acquiring data from online criminal history repositories to supplement data provided by some states.

Negotiating with Sites. After the protocol was drafted and reviewed, it was submitted to the RTI IRB for review and approval. Once approval was obtained, site liaisons coordinated with SVORI program directors and agency personnel to identify an initial administrative data contact for each relevant state agency. This individual either served as the point of contact for the administrative data collection or provided a referral to the appropriate individual at the agency. After these individuals were identified, they were sent a notification letter signed by the evaluation co-PIs informing them that a member of the

evaluation team would be contacting them to begin negotiations to obtain administrative data.

The negotiation process with each agency included completing a data use agreement, identifying the desired data elements that were available from their administrative data system(s), describing the individuals for whom data would be needed, and determining the format in which the data would be provided. The negotiation process was ongoing, with some sites able to provide data sooner than others depending on their data systems. In addition, the amount and quality of data available varied substantially across the states.

Transferring Data. The project's IRB requirements necessitated that the administrative data be transferred in a secure manner. To meet these requirements, two data transfer options were available. First, each agency could securely upload their data to RTI using the evaluation's Web site to access an upload process that encrypted the data file(s) using SSL during transmission to RTI; the encryption protected the data during transmission. Second, the site could send the data file(s) to RTI on a password-protected CD using Federal Express. In both cases, all data files were separated such that identifiers (e.g., name, address) and data elements (e.g., incarceration variables) were in two separate files linked by a common site-generated unique identifier. These separated files were uploaded separately or sent via FedEx in separate shipments to ensure that if one file was lost or intercepted it did not contain identifiers and data elements together. As data were received by the evaluation team, the files were stored on an encrypted drive. The data transfer protocol is included in Appendix F.

Identifying Subjects. An important step in the negotiation process entailed identifying the individuals who were to be included in each site's data extraction. The evaluation needed to obtain data for all individuals who participated in pre-release interviews; however, information on an expanded sample would provide an opportunity to examine whether the respondents were comparable to those who refused to be interviewed. Thus, the sites were asked to provide data for either

- all individuals enrolled in the SVORI program and released between the start of the program and December 31, 2005, and all individuals comparable to

those individuals who were released in 2004 and 2005 (but who did not participate in SVORI), or

- all individuals on the lists of eligible respondents provided by the agency during the Wave 1 (pre-release) enrollment period for the offender interviews (July 2005–November 2005).

In a few instances, the sites could not identify either of these two groups in their data systems. In these cases, the evaluation team provided to the agency a list of identifiers that was the cumulative list of identifiers received from the site as potential respondents.

Finally, in some cases, agencies routinely prepare annual admission and release cohort research files and preferred to provide those files to the evaluation team rather than conduct a special data run. In such cases, the evaluation team accepted those files and matched the list of evaluation subjects against the cohort files to identify release dates and new admissions, as well as criminal history information.

Processing Instant Incarceration and Reincarceration Data. Processing began on each site’s administrative data files as they were received. Because each site’s files differed in format (e.g., Excel spreadsheets, relational data tables) and content, there was considerable variation in common data elements. The minimum common set of needed variables was limited to a few key variables related to the instant incarceration and reincarceration events; these variables were extracted from each site’s data. Among the data elements of primary interest to the evaluation were

1. the admission and release dates of the “instant” incarceration (i.e., the incarceration event that led to participation in SVORI or, for comparisons, the event that led to inclusion in the study),
2. the most serious offense associated with the instant incarceration,
3. prison admissions subsequent to the instant incarceration release date, and
4. the most serious offense associated with or reason for (e.g., technical violation, new offense) reincarceration.

Not all sites had sufficient data available to identify the offenses associated with the instant incarceration or reincarceration for all sites. If data allowed, other site-specific data items were

also extracted, such as the number of prison infractions, participation in programs/services, and prior incarcerations.

Obtaining Recidivism Data from Online Resources. In a few cases where the data provided by the states were incomplete (i.e., cases or variables missing), the databases were supplemented with information obtained from online criminal record sites. This somewhat tedious process involved searching for each individual separately on the appropriate Web site(s), downloading the record to PDF, and manually extracting needed information. All files were stored on an encrypted drive.

Acquisition and Processing of NCIC Criminal History/Arrest Data

Originally, arrest data were to be obtained from each state; however, after discussions with NIJ, the evaluation team decided to obtain arrest data from the NCIC. The rationale was twofold: Obtaining the data would entail a single data use/research agreement as opposed to 14 (one for each of the impact sites); and arrest data would be available from all states that participate in the NCIC, ensuring that arrests that occurred outside the study's 14 states would be included. The evaluation team worked with NIJ, which had to request the NCIC data on behalf of the evaluation. Initial contact with NCIC was made in 2006; work to establish a research agreement began in 2007; approval was received from the FBI in spring 2008; and NCIC data were obtained in the summer of 2008.

The evaluation team provided NCIC with a list of identifiers (FBI fingerprint number, state identifier [if any], name, sex, Social Security Number, and date of birth) for use in extracting arrest records. The NCIC provided data in two formats depending upon the state providing the arrest record: PDF files (three files, each approximately 36,000 pages) and hardcopy rap sheets (2 boxes). The PDF files were sent to RTI by the NCIC on password-protected CDs and were stored on the project's encrypted drive at RTI. The hardcopy files were sent to RTI's Survey Support Department, where they were stored in a locked filing cabinet in a secure area.

A second request was made to NCIC in March 2009 in an effort to obtain records for 328 subjects whose arrest records were not returned in the original data received from NCIC. This second request resulted in arrest records for an additional 250

subjects, leaving only 78 of 2,174 without a match^{20,21}. Only 53 of 1,966 adult subjects were not matched to at least one arrest record, a match rate of 97.3%.

Separate procedures were required for the two types of records. The following subsections describe the procedures for processing the PDF files and the hardcopy rap sheets, creating arrest summary variables, and implementing quality control procedures.

Processing PDF Arrest Record Files. The match procedure used by NCIC is broad and returned multiple potential matching criminal history records for each study subject. As a first step in processing both the PDF files and hardcopy records, true record matches had to be identified among all potential record matches provided by the NCIC. The PDF files were converted to text files, and PERL software was used to parse and extract the evaluation study identification and associated identifying information from each potential matching record. A refined electronic matching procedure was employed to identify true matches. Once true matches were identified, the criminal history records associated with each true match were extracted from the file of all potential matching records using the unique FBI number. The extracted arrest data, which consisted of text descriptions of each arrest charge for a specific date, were stored in an Excel spreadsheet as an array variable for each individual, along with the date of arrest, FBI number, and evaluation study identification (Exhibit 16).

²⁰ Of the 78 without an NCIC match, 25 were juvenile subjects from South Carolina or Kansas. NCIC does not contain juvenile records from these two states, suggesting that these “non-matches” were subjects who had not been processed through the adult system at the time of data acquisition.

²¹ There were 103 cases for which no arrest history information (i.e., information on arrests that preceded the release date for the period of instant incarceration) was received. Those 103 cases had at least one arrest after the date of release of interest (so they generated NCIC matches). Of the 103 without a documented arrest history, 96 were juveniles and 6 were adults (4 Nevada, 1 Oklahoma, 1 Pennsylvania). Many states do not submit juvenile arrests to the NCIC.

Exhibit 16. Structure of parsed arrest records file

Study ID	FBI#	Arrest Date	Charge					
			1	2	3	...	40	
1	A2AB4BC23	3/15/2002	Asslt	Prob. Viol				
2	MMMNNN1	2/18/1998	Pos. M/J	Pos. Drug Paraphernalia	Robbery	...	Assault	

The parsing and extraction process successfully produced distinct arrest charges from the electronic rap sheets for each individual; the arrest text literals had to be coded into distinct offense categories to be useful for recidivism analyses. To categorize the arrest charges, the Excel spreadsheets of extracted arrest charges were loaded into an Access database for further processing. The first processing step entailed converting the array format of the arrest record charges to a stacked format; that is, multiple records per individual per arrest date, each one showing a distinct arrest charge. This step was completed by searching each array arrest variable for records that were not null (i.e., that had text in them). For each search, the returned records were written to a new table along with the evaluation study identification, FBI number, and arrest date for the charge in question. (Using the date from Exhibit 16, the resulting format is shown in Exhibit 17.) This process resulted in 84,429 distinct arrest records for 4,286 individuals.

Exhibit 17. Transformed arrest records data

Study ID	FBI#	Arrest Date	Charge
1	A2AB4BC23	3/15/2002	Asslt
1	A2AB4BC23	3/15/2002	Prob. Viol
2	MMMNNN1	2/18/1998	Pos. M/J
2	MMMNNN1	2/18/1998	Pos. Drug Paraphernalia
2	MMMNNN1	2/18/1998	Robbery

Once this conversion was complete, each arrest literal was coded into a specific offense category. The offense categories used by the National Criminal Reporting Program (NCRP) were used for classification. To code the arrest offenses, research staff ran a series of update queries in Access to search for specific keywords in the arrest literal text string. If the

keywords were found, then the record was assigned to the offense category related to the keywords. The offense categorization process began by manually reviewing some records to identify important keywords or groups of keywords that could be used in the update queries. For example, "ASST" would be coded as "Simple Assault," while "Assault Strongarm" would be coded as "Aggravated Assault." This process was iterative, as different jurisdictions coded charges differently such that when identified, additional keywords or groups of keywords were added to each offense category's update query. In addition, some records that could not be assigned using this approach had to be manually reviewed and a determination regarding the correct offense category made by the reviewer. Once all arrest literals were assigned to one of the NCRP offense categories, a final summarization was made to reduce these categories to the following broad categories of offenses—person/violent, property, drug offenses, public order, and other.

Processing Hardcopy Arrest Records. Initial attempts to convert the hardcopy rap sheets into PDF files so that the procedures established for the PDF files could be used were unsuccessful, primarily because of the lack of uniformity in the format of the hardcopy forms. As a result, arrest information had to be extracted manually from these hardcopy records.

As with the PDF files, the first step in processing the hardcopy records was to identify true record matches from all potential record matches provided by NCIC. In this case, the identifiers on each criminal history record were compared to the identifiers of study subjects. True matching records were culled from the pool of record, and the data elements of interest (e.g., date of arrest, charge text, disposition date, convicted offense, disposition) were abstracted from the hardcopy records and keyed into an Excel spreadsheet. Once the Excel spreadsheet was complete, the same offense categorization process using automated queries in Access was employed as was done for the PDF files.

Creating Summary Records for Arrest Data. Once all arrest charges were categorized, the data consisted of multiple arrest records per individual. These records were summarized to provide a single record for each individual. For each individual, the arrest dates were compared to the individual's date of

admission to and date of release from prison for the incarceration that coincided with his/her inclusion in the study. Pre- and post-release flags were then created to identify whether or not the arrest was before or after incarceration. Using these pre- and post-release flags, each person's charges were counted by rolling the offense categories into higher-order levels consisting of person/violent, property, drug, public order, and other charges. In addition, the date of the person's first arrest after release was identified and the time (in days) to first arrest was calculated.

Quality Control. To verify the accuracy of the data extraction procedures, quality control was implemented that consisted of verifying the electronic data against hardcopy or PDF files for 100% of the records.

Case Flow and Threats to Validity

The three primary threats to validity of concern to the Multi-site Evaluation of SVORI are selection bias, nonresponse bias and attrition bias. Each of these is potentially a threat to the ability to draw correct inferences from evaluation findings.

This section provides a description of the flow of cases for the interviews with SVORI program participants and comparison subjects. Subsequently, for each of the threats, the implications of case flow, analyses directed at attempting to understand the potential for bias, and efforts undertaken to address the potential threat are described.

CASE FLOW

A total of 4,354 cases were fielded for inclusion in the Multi-site Evaluation of SVORI. Wave 1 (30 days pre-release) interviews were obtained for 2,583 cases (59%)²². A total of 2,391 individuals comprised the final sample. The remaining cases included 718 cases released before interviews could be scheduled, 635 cases that were ineligible for the evaluation, 370 refusals, 192 cases that were dropped because the respondents were not released during the period when the first post-release interview was being conducted, and 48 other noninterviews. Among eligible subjects approached for

²² The 4,354 cases do not include cases that were fielded during the initial months of the evaluation for populations that were dropped from the study, including juvenile girls, northern Nevada site respondents, Maine juvenile subjects, and Virginia adults. All populations except Virginia adults were excluded because of insufficient case flow; the Virginia site was dropped because of logistical difficulties in identifying and interviewing comparison subjects.

interviews, refusal rates were reasonably low—12% for adult men, 7% for adult women, and 8% for juvenile males. Additional detail is provided below for each of the three study groups.

Exhibit 18 summarizes the case flow for Wave 1 interviews scheduled with 3,527 eligible respondents between July 2004 and November 2005. (Additional information on “ineligible respondents” is provided after Exhibit 18.) As can be seen, 2,391 interviews were completed with eligible respondents—1,697 adult males, 357 adult females, and 337 juvenile males (defined as those who were at least 14 years of age who were housed in a juvenile detention facility).

Pre-release interviews were completed with 66.2% of the adult males, 69.2% of the adult females, and 75.4% of the juvenile males. The likelihood of completing an interview was greater for SVORI program participants than non-SVORI comparisons for the adult males. Specifically, 73.7% of attempted interviews with SVORI adult male subjects were completed but only 59.9% with non-SVORI comparison males. Almost all of the difference, however, was in the percentage of subjects who were released before an interview could be scheduled and completed. Fully 26.5% of the fielded non-SVORI interviews with adult males were not completed because the subject was released before the interview could be scheduled and completed. In contrast, only 14.4% of the SVORI adult male cases were missed because the potential respondent was released before the interview. This difference may be due to the fact that the expected release dates for SVORI program participants that were obtained from SVORI programs were generally more accurate than the expected release dates for non-SVORI comparison subjects obtained from the DOC MIS. Such an explanation, however, doesn't apply to the adult female or juvenile male samples for whom the likelihood of completing an interview was similar for the SVORI participants and the non-SVORI comparison subjects.

The most common reason that an interview was not completed was that the subject was released before an interview could be scheduled and completed. Release prevented interviews with 21% of the eligible adult male cases fielded, 22% of the adult females, and 15% of the juvenile males. There was no reason

Exhibit 18. Outcomes of Wave 1 interview attempts with eligible respondents

Disposition/Demographic Group	SVORI		Non-SVORI		Total	
	N	%	N	%	N	%
Adult Males						
Interview completed-incarcerated	863	73.7	834	59.9	1697	66.2
Released before Wave 1 interview	169	14.4	369	26.5	538	21.0
Final refusal by R, guardian, or other	126	10.8	169	12.1	295	11.5
Access to R denied by prison	6	0.5	8	0.6	14	0.5
R absconded	2	0.2	3	0.2	5	0.2
Private setting not available	2	0.2	1	0.1	3	0.1
R deceased	1	0.1	0	0.0	1	0.0
Language barrier Spanish	1	0.1	5	0.4	6	0.2
Language barrier Other	0	0.0	1	0.1	1	0.0
Physically/mentally incapable	1	0.1	2	0.1	3	0.1
Other noninterview	0	0.0	1	0.1	1	0.0
<i>Total Eligible Adult Male Cases</i>	<i>1,171</i>	<i>100.0</i>	<i>1,393</i>	<i>100.0</i>	<i>2,564</i>	<i>100.0</i>
Adult Females						
Interview completed-incarcerated	153	69.9	204	68.7	357	69.2
Released before Wave 1 interview	48	21.9	66	22.2	114	22.1
Final refusal by R, guardian, or other	12	5.5	26	8.8	38	7.4
Access to R denied by prison	2	0.9	1	0.3	3	0.6
R absconded	1	0.5	0	0.0	1	0.2
Private setting not available	0	0.0	0	0.0	0	0.0
R deceased	0	0.0	0	0.0	0	0.0
Language barrier-Spanish	0	0.0	0	0.0	0	0.0
Language barrier-Other	0	0.0	0	0.0	0	0.0
Physically/mentally incapable	2	0.9	0	0.0	2	0.4
Other noninterview	1	0.5	0	0.0	1	0.2
<i>Total Eligible Adult Female Cases</i>	<i>219</i>	<i>100.0</i>	<i>297</i>	<i>100.0</i>	<i>516</i>	<i>100.0</i>
Juvenile Males						
Interview completed-Incarcerated	152	75.2	185	75.5	337	75.4
Released before Wave 1 interview	31	15.3	35	14.3	66	14.8
Final refusal by R, guardian or other	17	8.4	20	8.2	37	8.3
Access to R denied by prison	1	0.5	2	0.8	3	0.7
R absconded	0	0.0	2	0.8	2	0.4
Private setting not available	0	0.0	0	0.0	0	0.0
R Deceased	0	0.0	0	0.0	0	0.0
Language barrier Spanish	0	0.0	0	0.0	0	0.0
Language barrier Other	0	0.0	0	0.0	0	0.0
Physically/mentally incapable	0	0.0	0	0.0	0	0.0
Other noninterview	1	0.5	1	0.4	2	0.4
<i>Total Eligible Juvenile Male Cases</i>	<i>202</i>	<i>100.0</i>	<i>245</i>	<i>100.0</i>	<i>447</i>	<i>100.0</i>

Note: R= respondent.

that could be identified that suggested that participating in SVORI was in any way associated with “early release” and, therefore, this leakage is assumed to not be a potential source of bias.²³

Refusal rates were relatively low. About 11.5% of adult males, 7.4% of adult females, and 8.3% of juvenile males refused participation (or there was refusal by a guardian or another individual). Exhibit 18 shows that access, absconding, availability of private settings, and language or impairment barriers were not substantial factors in terms of interview completion.

Some cases were erroneously fielded and some cases that were properly fielded at the time were subsequently determined to be ineligible because, for example, the subject was not released during the period in which the 3-month interview was being fielded,²⁴ the group to which the respondent belonged was dropped from the evaluation, or the individual was determined to be ineligible for the evaluation after an interview was completed. Exhibit 19 shows the disposition of the ineligible cases for the Wave 1 data collection.

Exhibit 20 provides information on the attrition of cases between the Wave 1 (pre-release) and Wave 2 (3-month post-release) interviews. As can be seen, the primary reason that an initial follow-up interview was not completed was that the respondent could not be located (or his/her location was known but the subject was unavailable). Among adult females, non-SVORI comparisons were more likely than SVORI participants (13.7% vs. 25.0%) to be unlocatable or unavailable at Wave 2. Although the same pattern was observed among adult males

²³ “Early” in this case means several weeks at most. Initially, the protocol specified that potential respondents were those eligible individuals who were expected to be released within the next 60 days. Although interviews were generally scheduled within 2 to 4 weeks, in a substantial number of cases, the potential respondents had been released before an interview could be completed. The protocol was adjusted to address this problem such that cases were identified who were expected to be released within the next 90 days.

²⁴ As the purpose of the evaluation was to examine post-release behavior, release was a criterion for evaluation eligibility.

Exhibit 19. Case disposition of ineligible cases (Wave 1 data collection)

Disposition/Demographic Group	SVORI		Non-SVORI		Total	
	N	%	N	%	N	%
Adult Males						
R transferred to non-study facility	21	8.9	56	13.9	77	12.6
R not released/releasing during field period	100	42.6	92	22.9	192	31.5
Case fielded incorrectly	5	2.1	158	39.3	163	26.8
R ineligible to participate	86	36.6	12	3.0	98	16.1
Other (non)interview-ineligible	10	4.3	18	4.5	28	4.6
R ineligible—age	0	0.0	0	0.0	0	0.0
Other ineligible (groups dropped)	4	1.7	37	9.2	41	6.7
R being released to non-study area/state	7	3.0	25	6.2	32	5.3
R release date unknown	2	0.9	4	1.0	6	1.0
<i>Total Ineligible Adult Male Cases</i>	<i>235</i>	<i>100.0</i>	<i>402</i>	<i>100.0</i>	<i>609</i>	<i>100.0</i>
Adult Females						
R transferred to non-study facility	2	4.4	5	17.9	7	9.6
R not released/releasing during field period	12	26.7	10	35.7	22	30.1
Case fielded incorrectly	2	4.4	3	10.7	5	6.8
R ineligible to participate	24	53.3	9	32.1	33	45.2
Other (non)interview-ineligible	3	6.7	1	3.6	4	5.5
R ineligible—age	0	0.0	0	0.0	0	0.0
Other ineligible (groups dropped)	0	0.0	0	0.0	0	0.0
R being released to non-study area/state	1	2.2	0	0.0	1	1.4
R release date unknown	1	2.2	0	0.0	1	1.4
<i>Total Ineligible Adult Female Cases</i>	<i>45</i>	<i>100.0</i>	<i>28</i>	<i>100.0</i>	<i>73</i>	<i>100.0</i>
Juvenile Males						
R transferred to non-study facility	2	5.0	1	2.4	3	3.7
R not released/releasing during field period	5	12.5	17	40.5	22	26.8
Case fielded incorrectly	1	2.5	0	0.0	1	1.2
R ineligible to participate	11	27.5	5	11.9	16	19.5
Other (non)interview-ineligible	8	20.0	3	7.1	11	13.4
R ineligible—age	3	7.5	1	2.4	4	4.9
Other ineligible (groups dropped)	7	17.5	10	23.8	17	20.7
R being released to non-study area/state	1	2.5	0	0.0	1	1.2
R release date unknown	2	5.0	5	11.9	7	8.5
<i>Total Ineligible Juvenile Male Cases</i>	<i>40</i>	<i>100.0</i>	<i>42</i>	<i>100.0</i>	<i>82</i>	<i>100.0</i>

Note: R= respondent.

Exhibit 20. Wave 2 (3-month post-release) interview case flow

Disposition/Demographic Group	SVORI		Non-SVORI		Total	
	N	%*	N	%*	N	%*
Adult Males						
Eligible Wave 1 cases	863	100.0	834	100.0	1,697	100.0
Eligible Wave 1 cases fielded**	837	97.0	801	96.0	1,638	96.5
Refusal (by R or guardian)	41	4.8	19	2.3	60	3.5
Unable to contact	222	25.7	263	31.5	485	28.6
Non-study facility/no access	27	3.1	38	4.6	65	3.4
Moved out of area	12	1.4	20	2.4	32	1.9
Other noninterview	32	3.7	39	4.7	71	4.2
Interview Completed Adult Males	529	61.3	455	54.6	984	58.0
Adult Females						
Eligible Wave 1 cases	153	100.0	204	100.0	357	100.0
Eligible Wave 1 cases fielded**	149	97.4	199	97.5	348	97.5
Refusal (by R or guardian)	9	5.9	4	2.0	13	3.6
Unable to contact	21	13.7	51	25.0	72	20.2
Non-study facility/no access	4	2.6	4	2.0	8	2.2
Moved out of area	0	0.0	5	2.5	5	1.4
Other noninterview	9	5.9	6	2.9	15	4.2
Interview Completed Adult Females	110	71.9	134	65.7	244	68.3
Juvenile Males						
Eligible Wave 1 cases	152	100.0	185	100.0	337	100.0
Eligible Wave 1 cases fielded**	151	99.3	183	98.9	334	99.1
Refusal (by R or guardian)	4	2.7	9	4.9	13	3.9
Unable to contact	33	21.8	32	17.5	65	19.3
Non-study facility/no access	3	2.0	4	2.2	7	2.1
Moved out of area	3	1.3	8	4.3	11	3.3
Other noninterview	1	0.7	1	0.5	2	0.6
Interview Completed Juvenile Males	105	69.1	131	70.8	236	70.0

Note: Wave 1 = 30 days pre-release. R = respondent.

*Percentage of all eligible cases, rather than percentage of eligible fielded cases (i.e., based on total number of Wave 1 study-eligible completers).

**Percentage of all eligible cases actually fielded.

(i.e., non-SVORI comparisons were more likely to be unlocatable or unavailable than SVORI participants), the discrepancy was not nearly as great (25.7% of SVORI vs. 31.5% of non-SVORI) as that observed among adult females. The pattern did not hold for juvenile males; SVORI participants were slightly more likely to be unlocatable or unavailable at Wave 2 than the non-SVORI comparisons (19.7% vs. 18.9%, respectively).

The numbers of refusals were relatively small. Only 60 adult males (3.5%) refused to participate at Wave 2. Of those, SVORI participants were more likely than non-SVORI comparisons to refuse participation (4.8% and 2.3%, respectively). Similarly, only 3.6% of adult females and 4.5% of juveniles refused to participate (or had a guardian who refused participation) at Wave 2, and, for both groups, SVORI participants were more likely to refuse to participate than the non-SVORI comparisons.

The “other noninterview” category includes cases for which the release date was not received/unknown; subjects who had absconded, were institutionalized, or were deceased; and cases for which language or physical/mental impairment prevented interview completion. Similar to Wave 1, absconding, availability of private settings, and language or impairment barriers were not substantial factors in terms of interview completion for any of the groups. Among adult males; 59 of the 71 cases in this category were eligible cases that were not fielded at Wave 2, usually because release information was not received in time to field the case for the 3-month follow-up.

Exhibit 21 provides case flow information for the Wave 3 (9-month) follow-up interviews. Most of the eligible cases were fielded at Wave 3, and more interviews were completed at Wave 3 than at Wave 2 for all three groups.

Exhibit 22 provides the case flow information for the 15-month follow-up interview. Again, all cases were fielded and more subjects were found and interviewed at Wave 4 than at Wave 3.

Overall, response rates for follow-up interviews increased over time for all groups. Furthermore, 80% of all subjects completed at least one follow-up interview. Exhibit 23 shows, for each demographic group, the percentages of subjects who completed (1) a Wave 2 interview, (2) a Wave 3 interview, (3) a Wave 4 interview, (4) all 3 follow-up interviews, and (5) at least one follow-up interview.

Exhibit 21. Wave 3 (9-month post-release) interview case flow

Disposition/Demographic Group	SVORI		Non-SVORI		Total	
	N	% ^a	N	% ^a	N	% ^a
Adult Males						
Eligible Wave 1 cases	863	100.0	834	100.0	1,697	100.0
Eligible Wave 1 cases fielded ^b	843	97.7	811	97.2	1,654	97.5
Refusal (by R or guardian)	46	5.3	37	4.4	83	4.9
Unable to contact	188	21.8	228	27.3	416	24.5
Non-study facility/no access	22	2.6	41	4.9	63	3.7
Moved out of area	19	2.2	32	3.8	51	3.0
Other noninterview	16	1.9	18	3.1	34	2.8
Interview Completed Adult Males	565	65.5	470	56.4	1,035	61.0
Adult Females						
Eligible Wave 1 cases	153	100.0	204	100.0	357	100.0
Eligible Wave 1 cases fielded ^b	149	97.4	199	97.5	348	97.5
Refusal (by R or guardian)	6	3.9	7	3.4	13	3.6
Unable to contact	22	14.4	46	22.6	68	19.1
Non-study facility/no access	0	0.0	1	0.5	1	0.3
Moved out of area	4	2.6	12	5.9	16	4.5
Other noninterview	2	1.3	4	2.0	6	1.7
Interview Completed Adult Females	119	77.8	134	65.7	253	70.9
Juvenile Males						
Eligible Wave 1 cases	152	100.0	185	100.0	337	100.0
Eligible Wave 1 cases fielded ^b	151	99.3	183	98.9	334	99.1
Refusal (by R or guardian)	4	2.6	9	4.9	13	3.9
Unable to contact	33	21.7	32	17.3	65	19.3
Non-study facility/no access	3	2.0	4	2.2	7	2.1
Moved out of area	3	2.0	8	4.3	11	3.3
Other noninterview	1	0.7	1	0.5	2	0.6
Interview Completed Juvenile Males	108	71.0	131	70.8	239	70.9

Note: Wave 1 = 30 days pre-release. R = respondent.

^a Percentage of all eligible cases, rather than percentage of eligible fielded cases (i.e., based on total number of Wave 1 study-eligible completers).

^b Percentage of all eligible cases actually fielded.

Exhibit 22. Wave 4 (15-month post-release) interview case flow

Disposition/Demographic Group	SVORI		Non-SVORI		Total	
	N	% ^a	N	% ^a	N	% ^a
Adult Males						
Eligible Wave 1 cases	863	100.0	834	100.0	1,697	100.0
Eligible Wave 1 cases fielded ^b	825	95.6	789	94.6	1,614	95.1
Refusal (by R or guardian)	40	4.6	41	4.9	81	4.8
Unable to contact	153	17.7	162	19.5	315	18.6
Non-study facility/no access	33	3.8	34	4.1	67	4.0
Moved out of area	37	4.3	48	5.8	85	5.0
Other noninterview	18	2.1	17	2.0	35	2.1
Interview Completed Adult Males	582	67.4	531	63.8	1113	65.6
Adult Females						
Eligible Wave 1 cases	153	100.0	204	100.0	357	100.0
Eligible Wave 1 cases fielded	147	96.1	194	95.1	341	95.5
Refusal (by R or guardian)	7	4.6	2	1.0	9	2.5
Unable to contact	10	6.5	36	17.7	46	12.9
Non-study facility/no access	1	0.7	1	0.5	2	0.6
Moved out of area	6	4.0	9	4.4	15	4.2
Other noninterview	5	3.3	4	2.0	9	2.5
Interview Completed Adult Females	124	81.0	152	74.5	276	77.3
Juvenile Males						
Eligible Wave 1 cases	152	100.0	185	100.0	337	100.0
Eligible Wave 1 cases fielded	149	98.0	176	95.1	325	96.4
Refusal (by R or guardian)	5	3.3	5	2.7	10	3.0
Unable to contact	30	19.7	24	13.0	54	16.0
Non-study facility/no access	5	3.3	3	1.6	8	2.4
Moved out of area	4	2.6	10	5.4	14	4.2
Other noninterview	1	0.7	2	1.1	3	0.9
Interview Completed Juvenile Males	107	70.4	141	76.3	248	73.6

Note: Wave 1 = 30 days pre-release. R = respondent.

^a Percentage of all eligible cases, rather than percentage of eligible fielded cases (i.e., based on total number of Wave 1 study-eligible completers).

^b Percentage of all eligible cases actually fielded.

Exhibit 23. Completed interviews by wave, all waves, and any waves by demographic group

Interview(s)	Completed Interviews (% of Fielded Interviews)		
	Adult Males	Adult Females	Juvenile Males
Wave 2	58.0%	68.4%	70.0%
Wave 3	61.0%	70.9%	70.9%
Wave 4	65.6%	77.3%	73.6%
All 3 follow-ups	42.3%	54.9%	54.3%
Any follow-up	79.3%	87.1%	87.2%

Note: Wave 2 = 3 months post-release; Wave 3 = 9 months post-release; Wave 4 = 15 months post-release.

Before turning to bias-related issues, the distribution of cases across the study sites is briefly discussed. Exhibit 24 shows the distribution of cases at each wave for the SVORI and non-SVORI groups. For the adult males, there are substantial differences in the contribution of each site to the evaluation, but overall the contribution of each site of SVORI and non-SVORI participants is roughly equal. The most prominent exceptions (at Wave 1) are Iowa (114 SVORI, 55 non-SVORI), Kansas (23 SVORI, 48 non-SVORI), and Nevada (107 SVORI, 50 non-SVORI).

The distribution looks quite different for the adult females.²⁵ There are fewer cases, and the distribution of SVORI to non-SVORI within site is substantially less even. Most notably, fully 101 of the non-SVORI adult female cases are from Indiana—representing 49.5% of all non-SVORI subjects and 28.3% of all cases.²⁶ Three of the 11 sites contributed fewer than 10 total cases and, in two cases, Missouri and Pennsylvania, contributed no non-SVORI subjects. The distribution of adult female subjects across the two groups and 11 sites limited the ability to address site in any outcome analyses.

²⁵ The Maryland program was for adult males only.

²⁶ The evaluation team was, of course, aware of the large number of Indiana non-SVORI cases that were fielded and chose to include them because of overall concern about the numbers of female subjects that were being identified.

Exhibit 24. Completed interviews by wave, by demographic group and site

State	Wave 1		Wave 2		Wave 3		Wave 4	
	SVORI	Non-SVORI	SVORI	Non-SVORI	SVORI	Non-SVORI	SVORI	Non-SVORI
Adult Males								
IA	114	55	59	29	82	39	87	46
IN	64	94	49	53	41	56	45	59
KS	23	48	11	15	14	15	15	24
MD	130	124	58	63	64	56	65	65
ME	35	44	20	21	24	26	25	30
MO	36	50	26	31	27	24	26	35
NV	107	50	77	31	81	31	82	29
OH	47	38	25	26	28	27	28	26
OK	42	51	26	12	29	17	24	27
PA	57	66	43	50	44	50	46	48
SC	179	166	123	104	119	95	126	109
WA	29	48	12	20	12	34	13	33
Total	863	834	529	455	565	470	582	531
Adult Females								
IA	35	3	19	2	27	2	30	3
IN	12	101	10	62	12	68	11	75
KS	17	31	13	23	11	18	11	20
ME	7	2	4	1	5	2	6	2
MO	22	0	18	0	16	0	19	0
NV	9	8	9	6	9	6	8	7
OH	15	12	12	5	12	4	11	4
OK	3	7	3	5	2	3	1	4
PA	6	0	4	0	4	0	4	0
SC	24	31	16	24	19	24	21	30
WA	3	9	2	6	2	7	2	7
Total	153	204	110	134	119	134	124	152
Juvenile Males								
CO	23	37	11	14	9	15	11	18
FL	40	89	37	81	32	74	36	75
KS	49	20	27	10	34	13	28	15
SC	40	39	30	26	33	29	32	33
Total	152	185	105	131	108	131	107	141

Note: Wave 1 = 30 days pre-release; Wave 2 = 3 months post-release; Wave 3 = 9 months post-release; Wave 4 = 15 months post-release.

The distribution of cases among the four juvenile male sites shows roughly equal numbers of cases from South Carolina, more SVORI participants than non-SVORI from Kansas, and more non-SVORI than SVORI participants from Colorado and Florida.

SELECTION BIAS

Selection bias occurs when the process that generates admission to the treatment group differs from that which leads to inclusion in the control/comparison group. Under these circumstances, the treatment (T) and comparison (C) groups may differ on both observed and unobserved measures that relate both to the likelihood of participating in the treatment and the outcome(s) of interest. For example, if those entering treatment are volunteers (i.e., motivated to participate) and the comparison group is selected from those who did not volunteer, any observed differences in outcomes may be due to differences in motivation between the Ts and the Cs and not to the treatment. Propensity score matching and multivariate techniques can control for observed differences, while instrumental variable approaches can control for differences in unobserved measures (assuming appropriate instruments can be identified). Random assignment theoretically takes care of selection bias because assignment to T or C occurs after the selection has taken place (or, more accurately, random assignment assures that any observed differences are due to chance and not to selection).

Two of the 16 programs (Iowa and Ohio adult programs) included in the impact evaluation used random assignment to assign eligible participants to the SVORI program or to treatment as usual. For the remaining programs, the evaluation team worked with each program to establish procedures for identifying appropriate comparison groups, as was described previously in the chapter *Identifying Comparison Population Pools and Evaluation Eligibles*.

Although it is impossible to determine whether members of the SVORI and non-SVORI groups differed on unobserved variables, the Wave 1 interview contained extensive questions related to the backgrounds of evaluation participants. These data were used to assess the extent to which SVORI and non-SVORI differed on observed characteristics. The questions

related to (1) immutable characteristics (e.g., race, ethnicity, date of birth); (2) pre-prison characteristics and behaviors (e.g., drug and alcohol use); and (3) lifetime experiences (e.g., ever treated for substance abuse or mental health problems; currently have a GED or high school diploma). To examine issues related to selection bias, current measures that could reflect differences that were due to—or potentially occurred subsequent to—program assignment (e.g., have GED or high school diploma) were distinguished from those that predated assignment. Practically, this meant examining measures that either were immutable or reflected values before the instant incarceration, because there was no date for the non-SVORI subjects that was comparable to the SVORI program enrollment date.

SVORI and non-SVORI subjects were compared on a multitude of variables. Few differences were observed between the two adult male groups; greater numbers of differences were observed between the two adult female groups and the two juvenile male groups. *Pre-release Characteristics and Service Receipt among Adult Male Participants in the SVORI Multi-site Evaluation* (Lattimore et al. 2008; also see Lattimore, Steffey, & Visher, 2009) presents a thorough comparison of the characteristics of the adult male SVORI and non-SVORI respondents; similar comparisons for the adult female and the juvenile male subjects are presented in Lindquist et al. and Hawkins et al., respectively. Interested readers are directed to those publications for full descriptions. Here, differences on key variables are examined.

Exhibit 25 shows the t-statistics for comparisons between SVORI and non-SVORI respondents for each demographic group. For the adult males, there are statistically significant differences for several variables, some of which have traditionally been linked to criminal behavior. In particular, those in SVORI programs were younger on average at the time of the instant incarceration (26.1 years versus 27.1 years), were more likely to be black (57% versus 50% black; 32% versus 37% white), and less likely to have been employed either in the 6 months before the current incarceration (64% versus 68%) or ever (89% versus 92%)—although the latter differences are relatively small. Although there were no significant differences in self-reported drug use immediately before the current incarceration, those in the non-SVORI group

Exhibit 25. t-statistics comparing means of SVORI and non-SVORI groups by demographic group

Variable	Adult Males N = 1691	Adult Females N = 357	Juvenile Males N = 337
Age at incarceration	-2.57*	-1.90	-0.85
Race_white	-2.30*	1.32	-2.31*
Race_black	2.74*	-1.78	1.42
Race_other	-0.83	0.59	0.44
Homeless/shelter/no set place to live before incarceration	-0.12	-1.04	-0.70
Intimate relationship 6 mos. before incarceration	-0.28	-0.07	0.19
Employed during 6 mos. before incarceration	-2.04*	-0.55	-1.07
Ever held a job?	-2.21*	-1.31	-1.47
Received substance use treatment before incarceration	0.42	0.67	0.15
Received treatment for MH problem before incarceration	-0.52	-1.96	-0.82
Any victimization 6 months before incarceration	0.61	-0.03	1.25
Any violence perpetration 6 months before incarceration	0.80	-0.26	1.84
Used alcohol 30 days before incarceration	0.43	-0.66	1.22
Used marijuana 30 days before incarceration	-0.76	-0.84	-0.38
Used drugs other than marijuana 30 days before incarceration	-1.92	-0.59	0.94
Ever used marijuana	-1.25	0.30	-1.26
Ever used cocaine	-2.09*	-0.24	-0.20
Ever used heroin	-2.59*	2.04*	-0.24
Conviction Offense: Person/Violent crime	0.92	-0.63	-0.21
Conviction Offense: Property crime	-1.35	0.80	-0.47
Conviction Offense: Drug crime	2.36*	1.22	-2.24*
Conviction Offense: Public order/other crime	-2.58*	-1.37	-2.64*
Currently serving time for parole violation	-3.18*	1.74	0.94
Age first arrest (minimum set at 7 years)	-0.47	-0.33	-1.66
Arrest rate	-0.50	-1.18	-1.77
Conviction rate	-0.25	-0.72	-1.46
Times in juvenile lockup	0.86	-1.31	-2.27
Incarceration rate	-3.28*	-0.43	-1.36
Number previous prison incarcerations	-2.97*	-0.58	NA

Note: NA = not applicable.

*p < 0.05, two-tailed test.

were more likely to report ever using cocaine (58% versus 53%) and heroin (23% versus 18%). SVORI respondents were more likely than non-SVORI respondents to be serving time for a drug crime (36% versus 31%), while non-SVORI respondents were more likely to be serving time for a public order crime (22% versus 17%). This last finding is consistent with non-SVORI respondents' being more likely than SVORI participants to report that they were currently incarcerated for a parole violation (which was coded as a public order crime; 35% versus

27%) and for non-SVORI respondents to report more prior prison incarcerations on average (1.33 versus 1.12).²⁷

There are fewer significant differences between the adult female SVORI and non-SVORI participants. The only difference among the variables included in the table is “ever used heroin,” where 27% of the SVORI participants in comparison to 18% of the non-SVORI participants were more likely to report heroin use.

There also are relatively few differences among SVORI and non-SVORI juvenile males. SVORI participants are less likely to be white (14% versus 24%). Also, SVORI program participants were less likely to be serving time for a drug crime (11% versus 19%) or a public order crime (20% versus 32%).

NONRESPONSE

Nonresponse bias is potentially an issue when less than 100% of a sample is interviewed and nonresponse is unlikely to be at random. In those cases, there may be systematic differences between those who are interviewed and those who are not. If these differences are associated with treatment participation or outcomes, estimates of treatment effect may be biased.

Wave 1 interviews were completed with 68.8% of all eligible cases fielded (2,391 of 3,527). Refusal rates were relatively low (370 of 3,527 or 10.5%).²⁸ The modal reason for no interview was that the offender was released before he or she could be interviewed (41% of all noninterviews), which was probably equally likely to be true for SVORI and non-SVORI potential respondents.

²⁷ Note that respondents were asked to indicate all crimes for which they were currently incarcerated, so an individual could have reported serving time for, e.g., a violent crime and a parole violation.

²⁸ As shown in Exhibit 18, refusals were 295 of 2,564 eligible adult males (11.5%), 38 of 516 eligible adult females (7.4%), and 37 of 447 eligible juvenile males (8.3%). Although adult male and female non-SVORI comparisons were slightly more likely than SVORI program participants to refuse the Wave 1 interview, the differences were not large.

ATTRITION

Attrition bias occurs when respondents who complete Wave 1 interviews do not complete follow-up interviews (similar to nonresponse bias at subsequent waves). The primary validity threat of attrition is that, if the people who complete follow-up interviews are different from the people who do not complete follow-ups, the population to whom findings can be generalized is no longer known. This problem is particularly serious if there is evidence that there is differential attrition from the study groups that could be correlated with outcomes. All eligible cases were fielded at each wave to maximize the likelihood that at least one follow-up interview would be conducted with every respondent.

Throughout the evaluation, various approaches were used to investigate attrition. Differences between groups at successive follow-up waves were similar to those observed at Wave 1, which suggested that attrition was either random or similarly affecting the SVORI and non-SVORI groups. Additionally, balance between the SVORI and the non-SVORI subjects (for each demographic group—i.e., adult males, adult females, and juvenile males) was observed at each wave (see next chapter).

Once data collection was completed and a propensity model for assignment to SVORI was estimated (see next chapter), the issue of attrition bias was addressed from the perspective of whether nonresponse was an issue when controlling for selection into SVORI (see Imai, King, & Stuart, 2008; also Fitzmaurice & Laird, 2000). The following equation was used to examine the pattern of non-response for the adult male subjects. The dependent variable was coded to indicate whether a subject was a completer (completed all follow-up interviews), an attriter (did not complete successive interviews), or missing (had prior and after responses).²⁹

$$Y = \beta_0 + \beta_1 * S + \beta_1 * p(R) + \beta_1 * S * p(R)$$

²⁹ This approach comes from the clinical trials literature, where the regimen of treatment is set and a subject can miss the last treatment. Because the three data collection points in this study are somewhat arbitrary compared with a clinical trial, alternative coding schemes were applied for the dependent variable in this analysis; results were similar.

where

S equals 1 if the individual is a SVORI participant, 0 otherwise;

$p(R)$ is the estimated likelihood of having a follow-up for each observation (based on a logistic regression propensity score model); and

$S * p(R)$ is an interaction term. If the main effect for SVORI and the interaction term are not significant, the findings suggest that there is not differential attrition conditional on SVORI.

The response pattern is shown in Exhibit 26, where 0 = response and 1 = nonresponse. The patterns show that three follow-up interviews were obtained from 718 subjects (42%) and no interviews from 351 subjects (21%). Two interviews were obtained for 351 subjects (21%) and only one interview for 277 subjects (16%).

Exhibit 26. Nonresponse pattern for three waves of follow-up interviews, adult males

Pattern	Classification	Frequency	Percentage
000	Completer	718	42.31
001	Attriter	78	4.60
010	Missing	88	5.19
011	Attriter	100	5.89
100	Missing	185	10.90
101	Attriter	55	3.24
110	Missing	122	7.19
111	Attriter	351	20.68

Exhibit 27 shows the results from the estimation of the equation.³⁰ Once the main effect of response was controlled, SVORI program participation was not related to whether a response was obtained (i.e., none of the parameter estimates for SVORI or the interaction term was statistically significant at any usually accepted level). Given that the propensity score weights generated good balance between the SVORI and non-SVORI groups on data at each wave for all three demographic groups, the determination was made that it was not necessary

³⁰ The model was run as a nonordered multinomial logistic regression using SAS® 9.1.3.

Exhibit 27. Results of nonordered multinomial logistic regression examining nonresponse, adult males

Analysis of Maximum Likelihood Estimates					
Parameter	Function Number	Estimate	Standard Error	Chi-Square	Pr > Chi Sq
Intercept	1	1.2299	0.1266	94.38	<.0001
	2	0.4014	0.1446	7.7	0.0055
SVORI	1	0.0412	0.1266	0.11	0.745
	2	-0.0453	0.1446	0.1	0.7543
Probability of no follow-up (pNOFU)	1	-4.8335	0.5368	81.09	<.0001
	2	-3.7349	0.6188	36.43	<.0001
pNOFU*SVORI	1	-0.324	0.5368	0.36	0.5461
	2	0.7615	0.6188	1.51	0.2185

to control for nonresponse in addition to SVORI program participation because no differential attrition was identified between the two groups.

Propensity Score Models

Propensity score models were used to address potential selection bias due to the quasi-experimental design (see Rubin, 2006, for a collection of seminal papers in propensity score modeling; see D'Agostino, 1998, for an accessible tutorial).³¹ Propensity score models use observed characteristics to model the likelihood that an individual with those characteristics will be selected (or assigned) to the intervention. The approach is to identify a set of parameters that are then used to estimate the probability of assignment to the intervention for each individual in a study. For example, logistic regression can be

³¹ Propensity scoring methods are not without limitations. For example, use of propensity scores can only adjust for included covariates (Glynn, Schneeweiss, & Sturmer, 2006; Rosenbaum & Rubin, 1983). Unlike randomization, which tends to balance treatment and control groups on observed and unobserved covariates, use of propensity scores balances only on observed confounding covariates. The failure to include unobserved covariates can lead to biased estimates of treatment effects. However, if many of the covariates believed to be related to treatment assignment are measured, propensity score approaches (i.e., matching, stratification, regression adjustment) should yield consistent and approximately unbiased estimates of treatment effects (D'Agostino, 1998; Rosenbaum & Rubin, 1983). A second limitation is that propensity score approaches work better in larger samples; in studies with small samples, substantial imbalances of covariates may be unavoidable (Rubin, 1997). However, this is also true of randomized experiments and is not limited to propensity score methods. A third possible limitation is that included covariates that are strongly related to treatment assignment and only weakly correlated with the outcome are treated the same as covariates that are strongly related to both treatment assignment and outcome (Rubin, 1997). This might be considered a limitation because including irrelevant covariates can reduce efficiency. Rubin (1997) notes, however, that the potential biasing effects of failing to control for weakly correlated covariates are worse than the potential loss of efficiency from including them.

used with a dichotomous indicator of intervention participation as the dependent variable and individual characteristics as the independent variables. Coefficients from this model are then applied to the data to produce estimates of the probability of assignment. These probabilities (p-hats or \hat{p}) are then used either (1) to stratify (or “bin”) subjects according to their probabilities of receiving the intervention, (2) to weight observations in subsequent analyses, or (3) to match subjects in the intervention group to subjects with similar \hat{p} in the comparison group. Initially, the assessment of outcomes was conducted using the stratification or binning approach; but the final outcome models were estimated using the weighting approach, as it greatly simplifies the presentation of findings.³² Using the weighting approach allowed the estimation of one set of outcome models for each demographic group. Presenting findings by strata would have multiplied the number of models and results to be presented by the number of strata. For example, if adult male subjects were assigned to one of five strata, differences in outcomes would have to be assessed within each stratum, increasing the number of models by a factor of five.

The success of the propensity score model estimation is judged by the effectiveness of the strata or weights to reduce differences between the treatment and control groups on observed characteristics or, in the common terminology, to achieve balance between the two groups. Two ways of checking for balance are (1) to examine t-statistics comparing group means or (2) to examine standardized differences between the two groups (see, e.g., Rosenbaum & Rubin, 1985). Both approaches were used in this study.

The propensity score approach is useful only if it produces adequate overlap in the \hat{p} between groups. The goal is to develop scores that, for example, can be used to sort individuals into strata where the probability of assignment to the intervention is similar. Once individuals are assigned to strata based on their \hat{p} , the strata should contain individuals

³² Preliminary results showed that population average treatment effects estimated by combining results from the analyses based on strata for the adult male groups were nearly identical to those derived from the weighted models—as would be expected. Results were also similar for the adult female and juvenile males groups; those results are not presented here.

from both groups—otherwise there is no comparison between groups.

Item missingness was relatively rare in the data, but imputation procedures were employed so that no observations had to be dropped from the outcome analyses because of missing p-hats. Logit models to generate the probability of assignment to SVORI [$p(\text{SVORI})$ or $p(S)$] were estimated within the framework of SAS 9.1.3 PROC MI and PROC MIANALYZE for each of the three demographic groups (adult males, adult females, and juvenile males). These SAS procedures accommodated item missingness by imputing values for missing data. A two-step imputation procedure was used within PROC MI in which (1) a Monte Carlo procedure (MCMC) was employed to impute values until the data set reached a pattern of monotone missingness and then (2) regression was employed to impute the remaining values (Allison, 2001; SAS Institute, 2004). As noted earlier, the independent variables for the propensity score models included only variables that reflected the values of measures before program assignment (effectively preincarceration).

Exhibit 28 lists the variables that were included in the propensity score models. Also shown are the numbers of missing values for each of the included variables. Two variables—arrest rate and conviction rate—had the highest missing rate because respondents failed to report the numbers of prior arrests and convictions.

The adult male sample included 1,697 observations, 1,500 (88.4%) of which had no missing values on any of the variables. A MCMC procedure in SAS 9.1.3 was used to impute values until monotone missingness was achieved in the data set. For the adult male sample, monotone missingness was achieved once imputations were generated for all variables except three—Juvie, Convict_rate, and Arrest_rate. Regression was then used to generate values for arrest rate only (4.5% of

Exhibit 28. Variables included in the SVORI propensity score models and numbers of observations with missing values

Variable Name	Variable Description	Number of Observations with Missing Values		
		Adult Males N = 1697	Adult Females N = 357	Juvenile Males N = 337
SVORI	= 1 if SVORI program participant; 0 otherwise	0	0	0
Age_inc	Age (years) at incarceration	0	0	NA
Race_white	= 1 if self-report race/ethnicity is white only; 0 otherwise (black only is reference category)	3	0	0
Race_other	= 1 if self-report race/ethnicity is other than white only or black only; 0 otherwise (black only is reference category)	3	0	0
Nohome	= 1 if homeless/shelter/no set place to live before incarceration; 0 otherwise	2	0	NA
Employed	= 1 if employed during the 6 months before incarceration; 0 otherwise	1	0	NA
Steady_rel	= 1 if report in steady relationship in the 6 months before incarceration; 0 otherwise	4	0	NA
Prior_school	= 1 if regularly attending school before incarceration	NA	NA	5
Parent_relation	Quality of relationship with parents scale	NA	NA	9
Fam_support	Family instrumental support scale	NA	NA	4
Antisoc_fam	Family deviance = 1 if anyone in family ever convicted & anyone in family ever incarcerated & anyone in family ever had alcohol and other drug (substance use) problems (all three questions = 1)	NA	NA	4
Antisoc_peer	Peer deviance = 1 if any friends ever convicted & any friends ever incarcerated & any friends ever had substance use problems (all three questions = 1)	NA	NA	1
AOD_tx_prior	= 1 if received substance use treatment before incarceration; 0 otherwise	1	0	1
MH_tx_prior	= 1 if reported receiving mental health treatment before current incarceration; 0 otherwise	4	0	1
Victim_prior	= 1 if experienced victimization before incarceration; 0 otherwise	1	0	NA
Victim_score	Preincarceration victimization scale	NA	NA	0
Perpetration	= 1 if any perpetration of violence 6 months before incarceration; 0 otherwise	0	0	NA
Perp_score	Preincarceration perpetration scale	NA	NA	1
ALC_30	= 1 if self-report drank alcohol in the 30 days before incarceration; 0 otherwise	4	2	2
MJ_30	= 1 if self-report used marijuana in the 30 days before incarceration; 0 otherwise	3	3	2
Otherdrug_30	= 1 if used drugs other than marijuana 30 days before incarceration; 0 otherwise	1	0	0
Person	= 1 if report incarcerated for a person/violent crime; 0 otherwise	9	1	2
Property	= 1 if report incarcerated for a property crime; 0 otherwise	9	1	2

(continued)

Exhibit 28. Variables included in the SVORI propensity score models and numbers of observations with missing values (continued)

Variable Name	Variable Description	Number of Observations with Missing Values		
		Adult Males N = 1697	Adult Females N = 357	Juvenile Males N = 337
Drug	= 1 if report incarcerated for a drug crime; 0 otherwise	9	1	2
Public_Other	= 1 if report incarcerated for a public order crime or crime other than person/property/drug; 0 otherwise	9	1	2
VO_Parole	= 1 if currently serving for parole violation; 0 otherwise	2	0	0
Age_first	Age (years) at first arrest	12	10	NA
Arrests	Times arrested	NA	NA	19
Arrest_rate	Arrest rate (number of arrests/age at time of incarceration)	113	28	NA
Convictions	Times convicted	NA	NA	10
Convict_rate	Conviction rate (number of convictions/age at time of incarceration)	39	24	NA
Inc_rate	Incarceration rate (number of incarcerations/age at time of incarceration)	9	5	NA
Juvie	Times locked up in juvenile detention	17	8	10

Note: NA = the variable was not included in the respective propensity model.

the observations), arrest and conviction rates (1.53% of observations), and arrest and conviction rates plus number of times in juvenile detention (0.41% of observations).³³

The adult female sample included 357 observations, 293 (82.1%) of which had no missing values on any of the variables. For the adult female sample, monotone missingness was achieved once imputations were generated for all variables

³³ Site indicators were not included because these variables can only capture the likelihood of SVORI in each site compared to the reference site. For the adult male samples, this was roughly 50:50 SVORI:non-SVORI (52% versus 48%). The variation from 50:50 was much greater in the adult female and juvenile male samples. In fact, because this was not an experiment with 50:50 random assignment, the actual (and relative) numbers of SVORI and non-SVORI cases in each site are meaningless, so site is of no use in this analysis of likelihood of assignment to SVORI. Additionally, because some sites diverged from the 50:50 assignment, indicators for site were quite influential. Thus, for the adult male model, the coefficients on site in preliminary models were quite large—i.e., they had a substantial impact on the values of the p-hats. One result of this was that the distribution of sites across the bins was quite skewed. To the extent that site is related to outcomes, site was acting as a confounder and, thus, the site indicator variables were not included in the SVORI propensity score model.

except four—Arrest_rate, Convict_rate, Incar_rate, and Juvie. Regression was then used to generate values for arrest rate only (3.64% of the observations), arrest and conviction rates (3.36% of observations), and arrest and conviction rates plus number of times in juvenile detention (0.56% of observations), and arrest, conviction, number of times in juvenile detention, and incarceration rate (0.28% of observations).

The juvenile male sample included 337 observations, 292 (86.6%) of which had no missing values on any of the variables. For the juvenile male sample, monotone missingness was achieved once imputations were generated for all variables except three—number of times in a juvenile facility (Juvie), number of convictions (Convict), and the number of arrests (Arrests). Regression was then used to generate values for number of arrests only (5.04% of the observations), number of arrests and juvenile detentions (0.30% of observations), and number of arrests, convictions, and times in juvenile detention (0.30% of observations).

The MI and MI ANALYZE procedures generated five data sets for each of the three samples—each data set included different estimates for the missing values—then used logistic regression to generate parameter estimates for each data set. Generally, the five sets of parameter estimates are used to produce a single set of parameters that are then reported to reflect the impact of the independent variables on the dependent, outcome variable. For the propensity score model, however, the parameter values themselves are not of interest—what is of interest are the \hat{p} 's that are generated by applying the parameters to the data. The imputation procedures generated five \hat{p} values for each individual; the five values were then averaged to generate the final \hat{p} -hats that were used in the outcome analyses.³⁴

As noted, separate models were estimated for each of the three demographic groups. The results for the adult male sample are presented below. The results for the adult female and juvenile

³⁴ Note that a review of the literature identified no applications in which missing value imputation was used in the production of propensity scores. After a thorough discussion among the analysis team and the expert panel, it was determined that the average of the five \hat{p} estimates was an appropriate value to use.

male samples follow. Diagnostics (e.g., variation for individual p-hat values) are presented in the discussion below.

PROPENSITY SCORE MODEL DEVELOPMENT FOR ADULT MALE SUBJECTS

The imputation procedures described above generated five sets of parameters, based on five sets of imputed missing values. The five sets of coefficient values for the adult male propensity score model are shown in Exhibit 29. Because the range of parameter estimates is small for all of the variables included in the model, the difference between the minimum and maximum p-hat values is also small for most observations. The difference between the minimum and maximum p-hat values ranged from 0.0008 to 0.1271, with a mean of 0.0120 (standard deviation = 0.0120) and median of 0.0080.³⁵

The final model results derived from the five sets of estimates are shown in Exhibit 30. These estimates are the traditional output that in an outcome analysis would be examined to determine the relationship between the independent and dependent variables. They are of less interest to a propensity score analysis because they are simply a means to an end—the \hat{p} .

The validity of the model is assessed by examining the extent to which the use of the propensity scores achieves balance between the SVORI and the non-SVORI groups. These analyses are discussed below. But first, the distributions of the propensity scores are described. Then, the extent to which the propensity scores improved balance is addressed.

³⁵ Extreme values in the maximum difference between estimated were relatively rare. The 99th, 95th, 90th, and 75th percentiles were 0.063, 0.032, 0.023 and 0.012, respectively.

Exhibit 29. Parameter estimates for the SVORI propensity score models for the adult male sample generated using PROC MI

Variable	Imputed Value 1	Imputed Value 2	Imputed Value 3	Imputed Value 4	Imputed Value 5
Intercept	0.7250	0.7137	0.6902	0.6905	0.6859
Age_inc	-0.0163	-0.0167	-0.0165	-0.0160	-0.0155
Race_white	-0.2406	-0.2446	-0.2321	-0.2421	-0.2419
Race_other	-0.2769	-0.2722	-0.2733	-0.2666	-0.2747
Nohome	-0.0065	-0.0177	-0.0127	-0.0176	-0.0133
Employed	-0.1562	-0.1425	-0.1614	-0.1537	-0.1556
Steady_rel	-0.0461	-0.0514	-0.0383	-0.0483	-0.0297
AOD_tx_prior	0.2086	0.2101	0.2121	0.2099	0.2124
MH_tx_prior	-0.0008	-0.0055	-0.0080	-0.0042	-0.0111
Victim_prior	0.0314	0.0413	0.0337	0.0272	0.0370
Perpetration	0.0014	-0.0075	0.0053	0.0041	-0.0049
Alc_30	0.1412	0.1486	0.1463	0.1445	0.1337
MJ_30	-0.1776	-0.1783	-0.1692	-0.1736	-0.1676
Otherdrug_30	-0.1324	-0.1373	-0.1428	-0.1322	-0.1414
Person	0.1011	0.0902	0.0955	0.1209	0.1039
Property	0.0618	0.0419	0.0580	0.0774	0.0667
Drug	0.3030	0.3094	0.3182	0.3256	0.3015
Public_other	-0.1996	-0.2126	-0.1873	-0.1978	-0.2139
VO_Parole	-0.2962	-0.2975	-0.3027	-0.2963	-0.2940
Age_first	0.0005	0.0011	0.0020	0.0008	0.0010
Arrest_rate	-0.1079	-0.1430	-0.1589	-0.1781	-0.1389
Convict_rate	0.1179	0.2594	0.1711	0.2077	0.2038
Juvie	0.0134	0.0139	0.0189	0.0202	0.0180
Inc_rate	-2.1535	-2.1106	-2.0227	-2.1101	-2.2783
-2 Log Likelihood	-1150.7462	-1150.2227	-1150.4433	-1150.0810	-1150.0189

Exhibit 30. Final propensity model for adult male sample

Parameter	Estimate	SE	95% LCL	95% UCL	DF	Min	Max	t	P-value
Intercept	0.7011	0.3424	0.0299	1.3722	431194.1	0.6859	0.7250	2.0474	0.0406
Age_inc	-0.0162	0.0081	-0.0322	-0.0002	309459.5	-0.0167	-0.0155	-1.9884	0.0468
Race_white	-0.2403	0.1243	-0.4839	0.0034	1284434.7	-0.2446	-0.2321	-1.9329	0.0533
Race_other	-0.2727	0.1610	-0.5883	0.0428	8660040.5	-0.2769	-0.2666	-1.6941	0.0902
Nohome	-0.0136	0.1541	-0.3156	0.2884	3526365.0	-0.0177	-0.0065	-0.0880	0.9299
Employed	-0.1539	0.1104	-0.3702	0.0625	173700.3	-0.1614	-0.1425	-1.3938	0.1634
Steady_rel	-0.0427	0.1089	-0.2562	0.1707	66904.5	-0.0514	-0.0297	-0.3926	0.6946
AOD_tx_prior	0.2106	0.1093	-0.0036	0.4248	58084057.9	0.2086	0.2124	1.9272	0.0540
MH_tx_prior	-0.0059	0.1224	-0.2458	0.2340	2722605.6	-0.0111	-0.0008	-0.0483	0.9615
Victim_prior	0.0341	0.1228	-0.2066	0.2749	760027.8	0.0272	0.0413	0.2777	0.7812
Perpetration	-0.0003	0.1310	-0.2570	0.2564	805724.8	-0.0075	0.0053	-0.0023	0.9981
Alc_30	0.1429	0.1149	-0.0823	0.3680	426821.8	0.1337	0.1486	1.2439	0.2135
MJ_30	-0.1733	0.1111	-0.3909	0.0444	789717.5	-0.1783	-0.1676	-1.5602	0.1187
Otherdrug_30	-0.1372	0.1133	-0.3594	0.0849	781385.5	-0.1428	-0.1322	-1.2111	0.2259
Person	0.1023	0.1473	-0.1864	0.3910	70942.1	0.0902	0.1209	0.6946	0.4873
Property	0.0612	0.1470	-0.2270	0.3493	45301.2	0.0419	0.0774	0.4159	0.6775
Drug	0.3115	0.1513	0.0149	0.6082	131339.2	0.3015	0.3256	2.0583	0.0396
Public_other	-0.2022	0.1400	-0.4767	0.0722	70017.6	-0.2139	-0.1873	-1.4444	0.1486
VO_Parole	-0.2973	0.1170	-0.5267	-0.0680	4628965.5	-0.3027	-0.2940	-2.5408	0.0111
Age_first	0.0011	0.0124	-0.0232	0.0254	586496.0	0.0005	0.0020	0.0883	0.9297
Arrest_rate	-0.1453	0.1486	-0.4368	0.1461	2962.6	-0.1781	-0.1079	-0.9778	0.3283
Convict_rate	0.1920	0.2763	-0.3498	0.7338	2201.0	0.1179	0.2594	0.6949	0.4872
Juvie	0.0169	0.0194	-0.0212	0.0549	4555.8	0.0134	0.0202	0.8683	0.3853
Inc_rate	-2.1350	0.9302	-3.9582	-0.3119	27621.7	-2.2783	-2.0227	-2.2953	0.0217

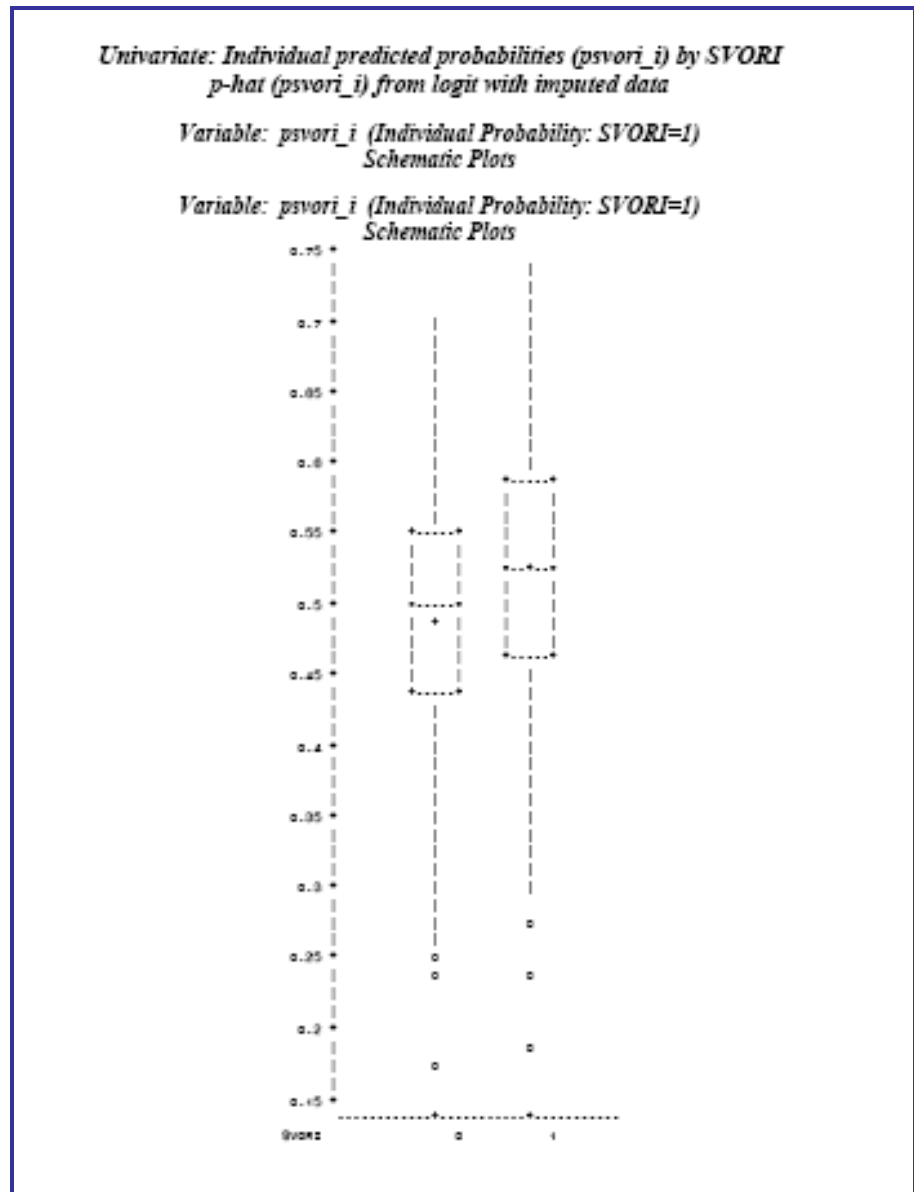
Note: DF = degrees of freedom. LCL = lower confidence limit. Max = maximum value. Min = minimum value. UCL = upper confidence limit.

The distributional findings for \hat{p} are shown in Exhibit 31. As can be seen, \hat{p} ranges from a low of 0.1806 to a high of 0.7412. The means of the distributions of the SVORI and non-SVORI groups are similar—0.5232 for SVORI and 0.4934 for non-SVORI. Not surprisingly, there is considerable overlap, as demonstrated by the box plots shown in Exhibit 32.

Exhibit 31. Characteristics of \hat{p} distributions for all adult males, adult male SVORI participants, and non-SVORI comparisons

Characteristic	All	SVORI	Non-SVORI
N	1,697	863	834
\hat{p} mean	0.5085	0.5232	0.4934
\hat{p} standard deviation	0.0862	0.0823	0.0876
\hat{p} minimum	0.1806	0.1933	0.1806
\hat{p} maximum	0.7412	0.7412	0.7020

Exhibit 32. Boxplot of \hat{p} -hat distributions for SVORI (SVORI = 1) and non-SVORI (SVORI = 0) adult males



The initial investigations used the \hat{p} to assign subjects to five equal probability strata or bins across the observed \hat{p} distribution [0.1806, 0.7412]. These investigations included assessing the extent to which the propensity score weights resulted in balance between the SVORI and non-SVORI groups across waves of data collection and initial investigations of outcomes. Those analyses are not discussed here because, subsequently, a more parsimonious approach to the data was taken in which weights generated from the propensity scores were applied to the data. The discussion here focuses on those methods.

Balance

The purpose of the propensity score matching is to achieve greater comparability between treatment and comparison groups. Two ways of checking for balance are to examine t-statistics comparing SVORI and non-SVORI means or to examine standardized differences (see, e.g., Rosenbaum & Rubin, 1985). Results for both of these approaches are shown below.

Exhibit 33 shows the t-statistics for the comparison of unweighted means between the SVORI and Non-SVORI for the variables included in the propensity model. The exhibit shows that there were significant differences among means ($\alpha = 0.05$; two-tailed t-test) for 8 of the 24 variables for the adult male sample. Specifically, SVORI participants were younger at incarceration than the Non-SVORI, less likely to be white (more likely to be black), less likely to have been employed during the 6 months before incarceration, more likely to have a current conviction for a drug offense and less likely for a public order offense, less likely to be serving time for a parole violation, and have a lower prior incarceration rate.

Rosenbaum and Rubin (1985) described checking for balance using standardized differences as well as t-statistics (p. 34). The standardized difference between two means is defined as

$$\frac{(\bar{x}_1 - \bar{x}_2)}{\sqrt{(s_1^2 + s_2^2)/2}}.$$

Exhibit 33. t-statistics and standardized differences from the comparison of mean values (unweighted) for SVORI to Non-SVORI for selected variables from the Wave 1 interview

Variable	T statistic	Standardized Difference
Age_inc	-2.57*	-12.49
Race_white	-2.30*	-11.18
Race_black (Reference category)	2.74*	13.31
Race_other	-0.83	-4.01
Nohome	-0.12	-0.60
Employed	-2.04*	-9.93
Steady_rel	-0.28	-1.37
AOD_tx_prior	0.42	2.04
MH_tx_prior	-0.52	-2.52
Victim_prior	0.61	2.98
Perpetration	0.80	3.86
Alc_30	0.43	2.10
MJ_30	-0.76	-3.72
Otherdrug_30	-1.92	-9.33
Person	0.92	4.47
Property	-1.35	-6.56
Drug	2.36*	11.48
Public_other	-2.58*	-12.58
VO_Parole	-3.18*	-15.48
Age_first	-0.47	-2.27
Arrest_rate	-0.50	-2.51
Conv_rate	-0.25	-1.23
Juvie	0.86	4.22
Inc_rate	-3.28*	-15.98

*p < 0.05.

Exhibit 33 also shows the standardized differences for the variables included in the propensity score model. Interestingly, 0 of 24 values are greater than 0.20. This suggests good balance between the two groups even before correcting for differences. Exhibit 34 summarizes the results of the balance checks using t-statistics and standardized differences. The results use the same breakpoints for the t-statistic that Rosenbaum and Rubin used—although more logical breakpoints that correspond to p-value breakpoints (e.g., 1.64, 1.96) perhaps would be more meaningful, since the samples are large enough that these values are meaningful.

Exhibit 34. Summary of balance checks using two-sample t-statistics and percentage of standardized differences

Variable	Number of Values (of 24 total)
$0 \leq t < 1$	14
$1 \leq t < 2$	2
$2 \leq t < 3$	6
$ t \geq 3$	2
$0\% \leq \text{std. diff.} < 5\%$	14
$5\% \leq \text{std. diff.} < 10\%$	3
$10\% \leq \text{std. diff.} < 15\%$	6
$15\% \leq \text{std. diff.} < 20\%$	1
$20\% \leq \text{std. diff.} < 25\%$	0
$ \text{std. diff.} \geq 25\%$	0

The propensity scores were used to develop weights to examine the *population average treatment effect* (PATE) for the outcome models. The PATE is the average treatment effect one would expect if the population were treated.³⁶ The PATE weights were calculated as follows:

If subject i was a SVORI participant,

$$w_i = \frac{1}{\hat{p}_i}$$

or else

$$w_i = \frac{1}{1 - \hat{p}_i}.$$

The goal of the balance check is to determine whether knowledge of the value of an independent variable results in better prediction of participation in SVORI. PROC Survey Logistic in SAS® 9.1 was used to regress the SVORI indicator on each of the variables that were included in the model. Exhibit 35 shows the results for the Wave 1 data. As can be seen, the Wald chi square test statistics are effectively zero for all of the significance tests, suggesting that the propensity score weights generated good balance for the data. Balance results for Waves 2, 3, and 4 data sets are shown in Exhibit 36.

³⁶ In contrast, the *average treatment effect on the treated* (ATET) provides an estimate of the effect of treatment on the treated.

Exhibit 35. Balance checks for Wave 1 data based on propensity score weighted regression of the SVORI indicator on each of the variables (adult males)

Variable	Estimate	SE	Wald Chi Sq	Prob Chi Sq	Odds Ratio Est	Lower CL	Upper CL
Age_inc	-0.00006	0.007	0.000	0.993	1.000	0.987	1.013
Race_white	-0.00280	0.104	0.001	0.979	0.997	0.813	1.223
Race_black	0.00206	0.099	0.000	0.983	1.002	0.825	1.217
Race_other	0.00107	0.149	0.000	0.994	1.001	0.748	1.340
Nohome	0.00096	0.148	0.000	0.995	1.001	0.749	1.337
Employed	-0.00077	0.104	0.000	0.994	0.999	0.814	1.226
Steady_rel	0.00225	0.106	0.000	0.983	1.002	0.814	1.234
AOD_tx_prior	0.00696	0.100	0.005	0.945	1.007	0.827	1.226
MH_tx_prior	-0.00293	0.114	0.001	0.980	0.997	0.797	1.248
Victim_prior	-0.00636	0.100	0.004	0.949	0.994	0.816	1.209
Perpetration	0.00000	0.106	0.000	1.000	1.000	0.813	1.230
Alc_30	0.00645	0.106	0.004	0.951	1.006	0.818	1.238
MJ_30	-0.00112	0.099	0.000	0.991	0.999	0.823	1.213
Otherdrug_30	-0.00211	0.099	0.000	0.983	0.998	0.821	1.213
Person	0.00217	0.101	0.000	0.983	1.002	0.823	1.221
Property	0.00226	0.114	0.000	0.984	1.002	0.802	1.253
Drug	-0.00050	0.105	0.000	0.996	0.999	0.814	1.228
Public_other	-0.00151	0.123	0.000	0.990	0.998	0.784	1.272
VO_parole	0.00150	0.114	0.000	0.990	1.002	0.800	1.253
Age_first	0.00048	0.010	0.002	0.962	1.000	0.981	1.020
Arrest_rate	-0.00760	0.108	0.005	0.944	0.992	0.803	1.226
Convict_rate	0.01522	0.206	0.005	0.941	1.015	0.678	1.520
Juvie	-0.00024	0.016	0.000	0.988	1.000	0.970	1.031
Inc_rate	-0.07839	0.874	0.008	0.929	0.925	0.167	5.129

Note: CL = confidence limit.

The following sections address propensity model development for the adult female and the juvenile male samples.

MODEL DEVELOPMENT FOR ADULT FEMALE SUBJECTS

The data included 357 adult female subjects distributed across 11 sites and the two evaluation groups. As noted earlier, the distribution of adult female subjects across site and group was not proportional—some sites had no non-SVORI subjects and one site contributed nearly 30% of the non-SVORI comparison cases.

Exhibit 36. Balance checks for Waves 2, 3, and 4 data based on propensity score weighted regression of the variable on a SVORI indicator (adult males)

Variable	Wave 2		Wave 3		Wave 4	
	Estimate	Prob Chi Sq	Estimate	Prob Chi Sq	Estimate	Prob Chi Sq
Age_inc	-0.0077	0.3774	-0.0098	0.2564	-0.0084	0.3200
Race_white	-0.0216	0.8742	-0.1396	0.2907	0.0177	0.8883
Race_black	-0.0674	0.6047	0.0830	0.5139	-0.0373	0.7601
Race_other	0.2032	0.3011	0.1043	0.5826	0.0486	0.7928
Nohome	0.2444	0.2186	0.0389	0.8417	-0.1163	0.5261
Employed	0.1230	0.3750	-0.0486	0.7228	-0.0195	0.8816
Steady_rel	0.0551	0.6976	-0.0814	0.5567	-0.0044	0.9732
AOD_tx_prior	-0.1035	0.4295	-0.0983	0.4437	0.0155	0.8999
MH_tx_prior	-0.2263	0.1291	-0.1220	0.4051	0.0066	0.9623
Victim_prior	-0.0834	0.5292	-0.1305	0.3140	-0.0332	0.7894
Perpetration	-0.1371	0.3277	-0.0641	0.6379	0.0561	0.6688
Alc_30	0.1614	0.2443	-0.0491	0.7159	-0.0459	0.7232
MJ_30	0.1636	0.2085	0.0370	0.7710	-0.0005	0.9964
Otherdrug_30	0.0519	0.6911	0.0516	0.6852	-0.0360	0.7680
Person	-0.0868	0.5076	-0.1843	0.1497	-0.1030	0.4053
Property	0.0240	0.8740	0.1162	0.4317	0.0772	0.5775
Drug	0.0075	0.9576	0.1310	0.3429	0.0490	0.7109
Public_other	0.1715	0.2910	0.0567	0.7170	0.0588	0.6952
VO_parole	-0.1356	0.3824	0.1351	0.3614	-0.0771	0.5834
Age_first	-0.0095	0.4373	-0.0142	0.2373	-0.0015	0.8983
Arrest_rate	0.0110	0.9394	0.0442	0.7470	-0.0643	0.6287
Convict_rate	0.2251	0.4043	0.0042	0.9864	-0.0091	0.9706
Juvie	0.0000	1.0000	-0.0146	0.4580	-0.0095	0.6268
Inc_rate	0.1353	0.9073	-0.3591	0.7458	-1.8569	0.0688

The propensity score model for the adult females included the same variables as the model that was estimated for adult male subjects. The same procedures were employed. The \hat{p} values were calculated as the average of the five \hat{p} values estimated from the five sets of parameter estimates.³⁷ The final parameter estimates generated by the propensity score models are shown in Exhibit 37. The Min and Max columns show the minimum and maximum parameter estimates from the five models.

³⁷ The parameter estimates provided relatively consistent \hat{p} values; although, with a smaller sample of adult female subjects, the variation around the estimates was somewhat greater than was observed with the adult male sample. Extreme values in the maximum difference between estimates were relatively rare. The 99th, 95th, 90th, and 75th percentiles were 0.075, 0.054, 0.034 and 0.022, respectively.

Exhibit 37. Final propensity model for adult female sample

Parameter	Estimate	SE	95% LCL	95% UCL	DF	Min	Max	t	P value
Intercept	0.9669	0.8385	-0.6766	2.6103	444489.69	0.9042	1.0037	1.1531	0.2489
Age_inc	-0.0344	0.0196	-0.0727	0.0040	80554.24	-0.0364	-0.0325	-1.7549	0.0793
Race_white	0.5749	0.2714	0.0430	1.1068	1132924340.99	0.5716	0.5763	2.1183	0.0341
Race_other	0.4677	0.3456	-0.2096	1.1450	1947009.29	0.4532	0.4801	1.3534	0.1759
Nohome	-0.3825	0.2990	-0.9685	0.2035	3255633.17	-0.3950	-0.3717	-1.2794	0.2007
Employed	-0.2432	0.2390	-0.7116	0.2252	66223368.27	-0.2472	-0.2397	-1.0176	0.3089
Steady_rel	0.0219	0.2584	-0.4847	0.5284	44963961.71	0.0183	0.0282	0.0846	0.9326
AOD_tx_prior	0.2533	0.2508	-0.2382	0.7449	7173216.44	0.2479	0.2609	1.0100	0.3125
MH_tx_prior	-0.5821	0.2433	-1.0589	-0.1053	7483436.49	-0.5883	-0.5735	-2.3928	0.0167
Victim_prior	0.0740	0.2738	-0.4627	0.6107	6264585.26	0.0657	0.0822	0.2701	0.7871
Perpetration	-0.0753	0.2827	-0.6295	0.4788	822117962.48	-0.0785	-0.0729	-0.2665	0.7899
Alc_30	0.0030	0.2419	-0.4712	0.4772	38685.11	-0.0339	0.0207	0.0125	0.9900
MJ_30	-0.2244	0.2595	-0.7330	0.2842	33003.91	-0.2634	-0.2043	-0.8648	0.3872
Otherdrug_30	-0.1526	0.2673	-0.6764	0.3713	3129608.15	-0.1582	-0.1384	-0.5709	0.5681
Person	-0.1307	0.3564	-0.8292	0.5677	647426.90	-0.1524	-0.1071	-0.3668	0.7138
Property	0.2204	0.3231	-0.4128	0.8537	2057745.60	0.2095	0.2354	0.6823	0.4950
Drug	0.1743	0.3388	-0.4896	0.8383	180730.25	0.1411	0.1965	0.5146	0.6068
Public_other	-0.1953	0.3183	-0.8191	0.4285	707334.73	-0.2133	-0.1790	-0.6137	0.5394
VO_Parole	0.6231	0.2912	0.0523	1.1939	36479351.68	0.6176	0.6286	2.1397	0.0324
Age_first	-0.0049	0.0242	-0.0523	0.0426	10781.52	-0.0085	-0.0002	-0.2008	0.8409
Arrest_rate	-0.0355	0.4977	-1.0111	0.9400	124896.52	-0.0850	0.0105	-0.0714	0.9431
Convict_rate	-0.5161	0.7145	-1.9165	0.8843	23406.51	-0.5967	-0.4368	-0.7223	0.4701
Juvie	-0.0370	0.0448	-0.1248	0.0508	12116.40	-0.0456	-0.0324	-0.8254	0.4092
Inc_rate	0.6707	1.8228	-2.9026	4.2440	5678.60	0.3090	1.0549	0.3680	0.7129

Note: LCL = lower confidence limit; UCL = upper confidence interval.

The distributional findings for \hat{p} are shown in Exhibit 38. As can be seen, \hat{p} ranges from a low of 0.0816 to a high of 0.8206. The means of the distributions of the SVORI and non-SVORI groups are 0.4715 for SVORI and 0.3964 for non-SVORI adult females. There is considerable overlap between the two distributions, as demonstrated by the box plots shown in Exhibit 39.

The results of the model with respect to balance are shown in Exhibit 40. The results suggest that the weights generated by the propensity scores model generated balance across all four waves of interview data.

Exhibit 38.
Characteristics of \hat{p}
distributions for all adult
females, adult female
SVORI participants, and
non-SVORI comparisons

Characteristic	All	SVORI	Non-SVORI
N	357	153	204
\hat{p} mean	0.4286	0.4715	0.3964
\hat{p} standard deviation	0.1358	0.1316	0.1303
\hat{p} minimum	0.0816	0.1789	0.0816
\hat{p} maximum	0.8206	0.7627	0.8206

Exhibit 39. Boxplot of
p-hat distributions for
SVORI (SVORI = 1) and
non- SVORI (SVORI = 0)
adult females

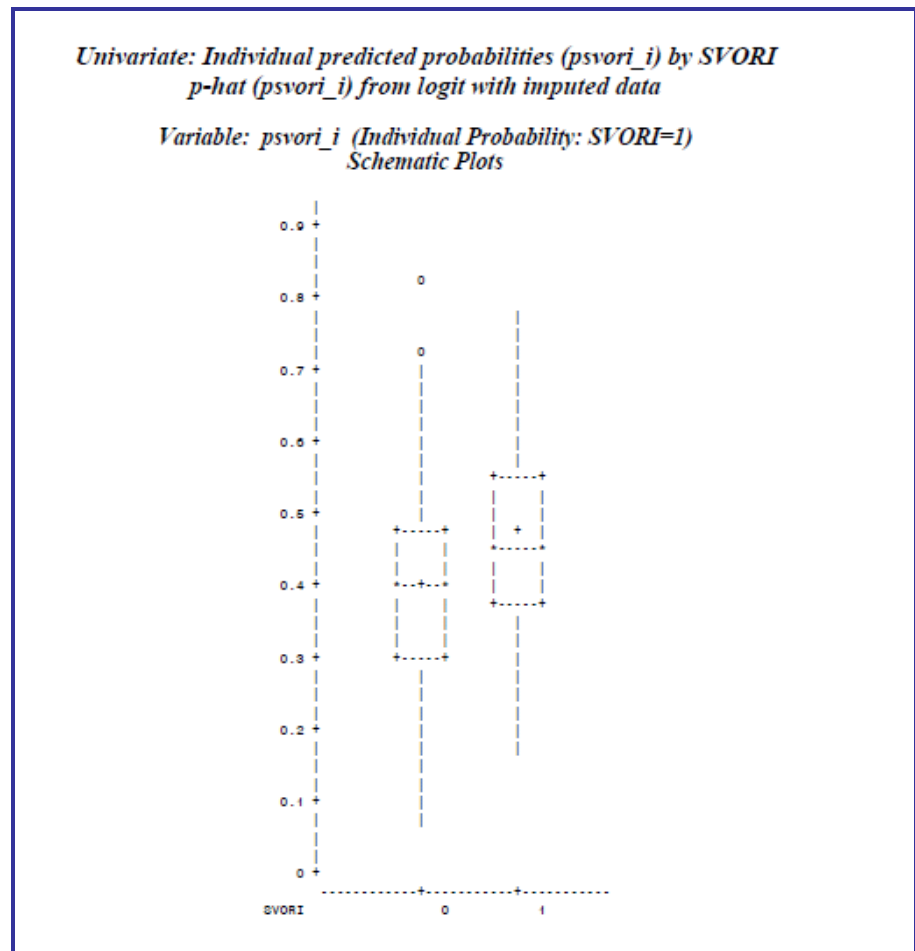


Exhibit 40. Balance checks for Waves 1 through 4 adult female data, based on PATE-weighted regressions

Variable	Wave 1 N = 357		Wave 2 N = 244		Wave 3 N = 253		Wave 4 N = 276	
	Estimate	Prob Chi Sq ^a	Estimate	Prob Chi Sq ^a	Estimate	Prob Chi Sq ^a	Estimate	Prob Chi Sq ^a
Age_inc	-0.0064	0.6847	-0.0231	0.2435	-0.0154	0.4144	-0.0101	0.5745
Race_white	-0.0522	0.8170	-0.2887	0.2893	-0.0295	0.9119	0.0171	0.9465
Race_black	0.0257	0.9108	0.2538	0.3516	0.0080	0.9765	0.0771	0.7649
Race_other	0.0483	0.8749	0.0575	0.8771	0.0407	0.9127	-0.1782	0.6219
Nohome	-0.0703	0.7990	0.0752	0.8230	0.4219	0.2074	0.2004	0.5215
Employed	-0.0566	0.8015	0.0614	0.8211	-0.0542	0.8383	0.0519	0.8382
Steady_rel	0.0327	0.8950	0.1006	0.7541	0.0359	0.9067	-0.0392	0.8908
AOD_tx_prior	-0.0088	0.9689	-0.0544	0.8415	-0.0858	0.7472	-0.0129	0.9597
MH_tx_prior	0.0029	0.9897	0.1380	0.6095	0.1515	0.5667	0.0114	0.9642
Victim_prior	0.0021	0.9928	0.2664	0.3434	0.3153	0.2507	0.1395	0.5917
Perpetration	0.0049	0.9835	0.2332	0.4195	0.1983	0.4808	0.1214	0.6487
Alc_30	0.0454	0.8406	0.0221	0.9355	0.0416	0.8761	0.1665	0.5129
MJ_30	0.0535	0.8147	-0.0034	0.9903	0.0271	0.9201	0.0579	0.8219
Otherdrug_30	-0.0109	0.9621	-0.0201	0.9418	-0.0949	0.7289	-0.1129	0.6651
Person	0.0810	0.7439	0.1394	0.6261	0.1608	0.5677	0.1496	0.5845
Property	-0.0464	0.8390	-0.2306	0.4001	-0.3551	0.1844	-0.1394	0.5862
Drug	-0.0632	0.7976	-0.0675	0.8263	0.1430	0.6407	0.1456	0.6111
Public_other	-0.0088	0.9741	-0.0276	0.9364	-0.0222	0.9477	-0.0778	0.8071
VO_Parole	-0.0066	0.9813	0.0137	0.9697	-0.0100	0.9776	0.1818	0.6093
Age_first	-0.0015	0.9364	-0.0052	0.8211	0.0030	0.8946	0.0030	0.8917
Arrest_rate	-0.0326	0.9259	-0.0354	0.9398	-0.1426	0.7236	0.0044	0.9911
Convict_rate	0.1016	0.8575	0.2004	0.8101	-0.1422	0.8253	0.0982	0.8734
Juvie	-0.0031	0.9365	0.0290	0.6366	0.0083	0.8684	0.0125	0.7827
Inc_rate	-0.0480	0.9761	4.7014	0.0404	0.5751	0.7986	-0.0156	0.9944

Note: Wave 1 = 30 days pre-release; Wave 2 = 3 months post-release; Wave 3 = 9 months post-release; Wave 4 = 15 months post-release.

^ap value of Wald Chi-square statistic tests that the parameter is equal to zero.

MODEL DEVELOPMENT FOR JUVENILE MALE SUBJECTS

The set of variables used to estimate the propensity score model for juvenile male subjects was similar to that used for the adult samples. Exhibit 41 shows the final logistic regression model results for the probability that a juvenile male was assigned to a SVORI program in one of the four juvenile SVORI sites. Again, these values reflect the average of the five estimates from the PROC MI and MI ANALYZE procedures. As can be seen from the Min and Max columns, there was relatively little variability in the estimates produced by the five imputation models.

Exhibit 41. Final propensity model for juvenile male sample

Parameter	Estimate	SE	95% LCL	95% UCL	DF	Min	Max	t	P-value
Intercept	-0.3933	1.8503	-4.0198	3.2332	30218941.15	-0.4362	-0.3471	-0.2126	0.8317
Age_inc	0.0159	0.1005	-0.1812	0.2129	3204594.27	0.0121	0.0206	0.1578	0.8746
Race_white	-1.4279	0.3863	-2.1851	-0.6707	192290.80	-1.4548	-1.3956	-3.6960	0.0002
Race_other	-0.1922	0.3053	-0.7906	0.4063	1700262.98	-0.2069	-0.1805	-0.6294	0.5291
Prior_school	0.5327	0.2648	0.0137	1.0517	79119.70	0.5025	0.5589	2.0119	0.0442
Parent_relation	0.0214	0.0350	-0.0471	0.0899	106715.03	0.0178	0.0240	0.6137	0.5394
Fam_support	-0.0012	0.0363	-0.0724	0.0700	43137.80	-0.0043	0.0042	-0.0324	0.9741
Antisoc_fam	0.1356	0.2617	-0.3774	0.6486	12178.01	0.0841	0.1686	0.5183	0.6043
Antisoc_peer	0.2634	0.2805	-0.2864	0.8132	211525.56	0.2491	0.2868	0.9390	0.3478
AOD_tx_prior	0.5193	0.3092	-0.0867	1.1253	1055328.35	0.5099	0.5399	1.6795	0.0931
MH_tx_prior	-0.1983	0.2937	-0.7740	0.3773	474985.65	-0.2221	-0.1855	-0.6753	0.4995
Victim_score	-0.0419	0.0283	-0.0973	0.0134	477306.91	-0.0438	-0.0402	-1.4844	0.1377
Perp_score	0.0106	0.0237	-0.0358	0.0569	257171.67	0.0089	0.0120	0.4463	0.6554
Alc_30	0.5276	0.3086	-0.0772	1.1324	93705.13	0.5008	0.5563	1.7097	0.0873
MJ_30	-0.4643	0.3149	-1.0815	0.1529	13225.05	-0.5194	-0.4175	-1.4744	0.1404
Otherdrug_30	0.9188	0.3704	0.1928	1.6448	894213.70	0.9011	0.9324	2.4806	0.0131
Person	-0.4157	0.2869	-0.9779	0.1465	477122.23	-0.4315	-0.3930	-1.4492	0.1473
Property	-0.3289	0.2735	-0.8650	0.2072	101329.07	-0.3505	-0.2974	-1.2024	0.2292
Drug	-0.8970	0.3675	-1.6173	-0.1767	292780.31	-0.9171	-0.8689	-2.4408	0.0147
Public_other	-0.5894	0.3104	-1.1978	0.0190	53395.45	-0.6189	-0.5554	-1.8987	0.0576
VO_Parole	0.3996	0.2629	-0.1157	0.9149	4560968.15	0.3901	0.4079	1.5200	0.1285
Arrests	-0.0023	0.0352	-0.0715	0.0668	1704.04	-0.0147	0.0029	-0.0664	0.9471
Convictions	-0.0233	0.0554	-0.1320	0.0854	2771.65	-0.0372	-0.0140	-0.4210	0.6738
Juvie	-0.0777	0.0531	-0.1818	0.0263	260374.43	-0.0826	-0.0742	-1.4639	0.1432

Note: LCL = lower confidence limit; UCL = upper confidence limit.

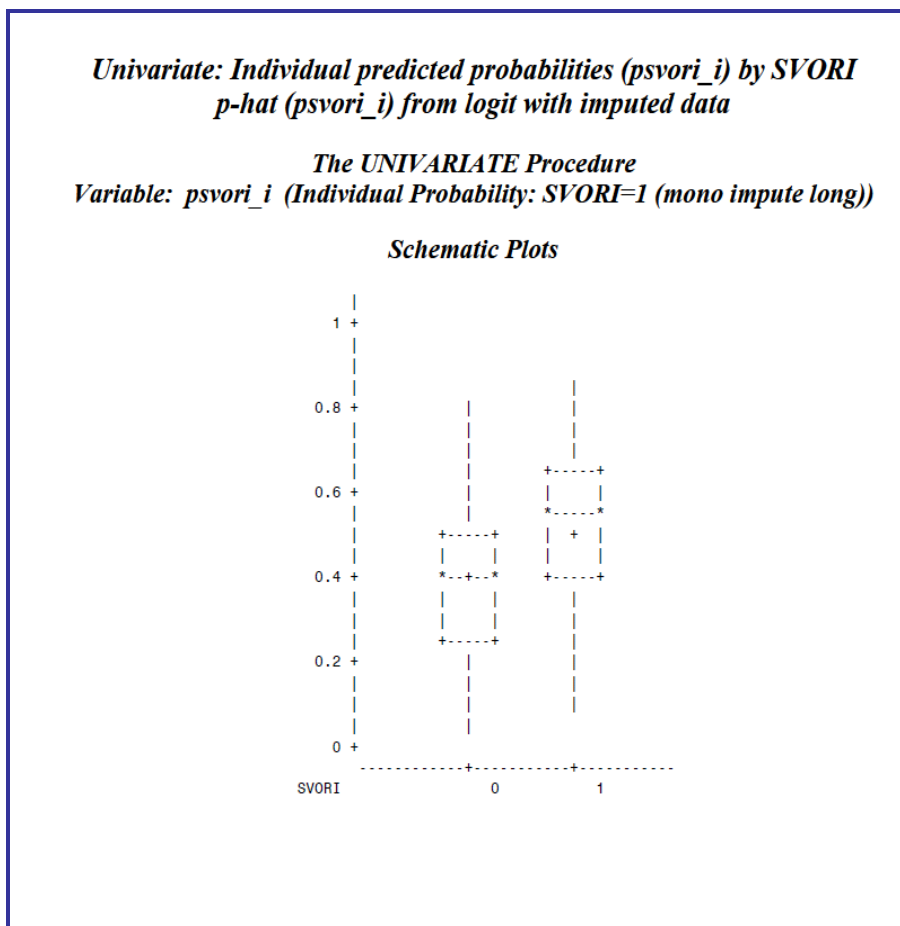
As before, the \hat{p} values were calculated as the average of the five \hat{p} values estimated from the five sets of parameter estimates.³⁸ The resulting distributions of \hat{p} values for all subjects and for each group are shown in Exhibit 42. Exhibit 43 shows the boxplots comparing SVORI and non-SVORI distributions, where it can be seen that there is reasonable overlap between the two distributions.

³⁸ The parameter estimates provided relatively consistent \hat{p} values; although, with a smaller sample of juvenile male subjects, the variation around the estimates was somewhat greater than was observed with the adult male sample. Extreme values in the maximum difference between estimates were relatively rare. The 99th, 95th, 90th, and 75th percentiles were 0.17, 0.07, 0.05 and 0.03, respectively.

Exhibit 42. Characteristics of \hat{p} distributions for all juvenile males, juvenile male SVORI participants, and juvenile male non-SVORI comparisons

Characteristic	All	SVORI	Non-SVORI
N	337	152	185
\hat{p} mean	0.4510	0.5236	0.3914
\hat{p} standard deviation	0.1810	0.1733	0.1651
\hat{p} minimum	0.0701	0.1005	0.0701
\hat{p} maximum	0.8578	0.8578	0.7975

Exhibit 43. Boxplot of \hat{p} -hat distributions for SVORI (SVORI = 1) and non-SVORI (SVORI = 0) juvenile males



The balance check results based on the weighted regressions of these variables on the SVORI indicator are shown in Exhibit 44. The results suggest that the propensity score model provided balance across all four waves of interview data.

Exhibit 44. Balance checks for Waves 1 through 4 juvenile male data, based on PATE-weighted regressions

Variable	Wave 1 N = 337		Wave 2 N = 236		Wave 3 N = 239		Wave 4 N = 248	
	Estimate	Prob Chi Sq ^a	Estimate	Prob Chi Sq ^a	Estimate	Prob Chi Sq ^a	Estimate	Prob Chi Sq ^a
Age_inc	-0.0369	0.1139	-0.0525	0.6374	0.0395	0.7092	0.0158	0.8842
Race_white	-0.1145	0.7065	-0.4218	0.2661	-0.1212	0.7327	-0.2996	0.4332
Race_black	-0.0362	0.8814	-0.0476	0.8701	-0.2975	0.3083	-0.0841	0.7724
Race_other	0.1365	0.6276	0.4515	0.1969	0.5356	0.1382	0.3581	0.3014
Prior_school	0.0212	0.9306	-0.1921	0.5055	-0.2882	0.3205	-0.2387	0.3998
Parent_relation	0.0031	0.9111	-0.0011	0.9755	0.0088	0.7957	-0.0088	0.7859
Fam_support	-0.0118	0.6864	-0.0270	0.4231	-0.0281	0.4132	0.0161	0.6411
Antisoc_fam	-0.0617	0.7992	-0.2749	0.3423	-0.0209	0.9427	-0.4210	0.1353
Antisoc_peer	-0.0087	0.9712	0.2198	0.4471	-0.0332	0.9087	-0.1337	0.6374
AOD_tx_prior	-0.0308	0.9073	-0.1310	0.6870	0.0245	0.9384	-0.2150	0.5007
MH_tx_prior	-0.0921	0.7301	-0.1987	0.5242	-0.1714	0.5793	-0.0581	0.8493
Victim_score	-0.0047	0.8066	0.0144	0.5364	-0.0072	0.7674	-0.0202	0.3975
Perp_score	-0.0019	0.9082	0.0226	0.2576	-0.0024	0.9004	-0.0123	0.4989
Alc_30	-0.1143	0.6348	-0.1806	0.5272	-0.0601	0.8342	0.0279	0.9216
MJ_30	0.0318	0.8964	0.0326	0.9109	0.0524	0.8568	-0.1712	0.5496
Otherdrug_30	0.0417	0.8876	0.3306	0.3503	0.2862	0.4240	0.0275	0.9357
Person	-0.0490	0.8402	-0.2332	0.4215	-0.2049	0.4807	-0.1281	0.6521
Property	-0.0285	0.9062	0.2342	0.4159	0.0451	0.8763	-0.1356	0.6338
Drug	0.0913	0.8051	-0.2029	0.6347	0.0204	0.9620	-0.1643	0.7236
Public_other	0.0619	0.8274	0.1091	0.7450	-0.1726	0.6447	-0.0652	0.8477
VO_Parole	0.0546	0.8311	-0.3594	0.2256	-0.1443	0.6332	-0.1908	0.5347
Arrests	-0.0132	0.6092	-0.0238	0.4179	-0.0469	0.1247	-0.0257	0.4000
Convictions	-0.0115	0.8016	-0.0301	0.5696	-0.0529	0.3354	-0.0407	0.4390
Juvie	0.0038	0.9363	-0.0073	0.8892	0.0139	0.8052	0.0379	0.4915

Note: Wave 1 = 30 days pre-release; Wave 2 = 3 months post-release; Wave 3 = 9 months post-release; Wave 4 = 15 months post-release.

^ap value of Wald Chi-square statistic tests that the parameter is equal to zero.

Conclusions and Next Steps

This report has documented the procedures used to identify and recruit evaluation sites and subjects for the Multi-site Evaluation of SVORI. In addition, the investigation of potential sources of bias and adjustments to the data using propensity score models were discussed.

The \hat{p} generated by the model for each of the demographic groups resulted in good balance between the two study groups and good overlap among the two study groups' propensity score distribution.

Evaluation findings are presented in the following separate reports:

- Lattimore, P. K., & Visser, C. A. (2009). *The Multi-site Evaluation of SVORI: Summary and synthesis*. Research Triangle Park: RTI International.
- Lattimore, P. K., Brumbaugh, S., Visser, C. A., Lindquist, C., Winterfield, L., Salas, M., et al. (2004). *National portrait of SVORI*. Research Triangle Park, NC: RTI International.
- Lattimore, P. K., Visser, C. A., & Steffey, D. M. (2008). *Pre-release characteristics and service receipt among adult male participants in the SVORI Multi-site Evaluation*. Research Triangle Park, NC: RTI International.
- Lindquist, C. H., Barrick, K., Lattimore, P. K., & Visser, C. A. (2009). *Prisoner reentry experiences of adult females: Characteristics, service receipt, and outcomes of participants in the SVORI Multi-site Evaluation*. Research Triangle Park, NC: RTI International.

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Appendix A. Implementation Evaluation Protocols and Data Collection Instruments

**SERIOUS AND VIOLENT OFFENDER REENTRY INITIATIVE
WORKPLAN REVIEW FORM**

1. Grantee Information

State:		Grant Number:	
Grant Agency:			
Authorized Signatory (AS):		AS Title:	
AS E-mail:	AS Phone No.:	AS Fax No.:	
AS Address:			
AS City:	AS State:	AS Zip:	
Project Director (PD):		PD Title:	
PD E-mail:	PD Phone No.:	PD Fax No.:	
PD Address:			
PD City:	PD State:	PD Zip:	
Point of Contact (PC):		PC Title.:	
PC E-mail:	AS Phone No.:	AS Fax No.:	
PC Address:			
PC City:	PC State:	PC Zip:	
Total Award Request:		Total Funded Amount:	
Requested Substance Training Funds:		Actual Substance Training Funds:	
Requested Mental Health Funds:		Actual Mental Health Funds:	
Requested Juvenile Justice Funds:		Actual Juvenile Justice Funds:	
Requested Adult Justice Funds:		Actual Adult Justice Funds:	
Requested Labor Funds:		Actual Labor Funds:	

2. Federal Grant Manager Information

Federal Grant Manager (FGM):	FGM Phone No.:	
FGM E-mail:	FGM Fax No.:	
FGM Address:		
FGM City:	FGM State:	FGM Zip:

3. Problem to Be Addressed/ Target Population

Serving Post Adjudicatory Serious and Violent Offenders: (circle response)		Yes	No
Target Population: (circle response)	Juveniles	Adults	Both
No. of Eligible Offenders (annually):			
Description of High Risk Characteristics of Population:			
Risk Assessment Being Used with Current Population: (Prior to reentry initiative)			
Services Received by Non-participating Eligible Offenders:			
Inducements to Participate in Reentry Initiative: (circle response)		Yes	No
Description of Inducements:			
Age Ranges Being Served:			
No. of Offenders to Be Served Year 1:		No. of Offenders to Be Served Year 2:	
No. of Offenders to Be Served Year 3:		No. of Offenders to Be Served Overall:	

4. Organizational Capacity/Decision Makers

Leveraging Resources:

Plan for Leveraging State, Local, and Tribal Resources to Ensure Sustainability:

Memorandum of Understandings (MOUs):

Areas for Collaboration	Existing MOUs (Y/N)	No. of MOUs	No. of State Partners	No. of Local Gov't. Partners	No. of Other Partners
Labor					
Substance Abuse					
Housing					
Education					
Mental Health					
Faith-based					
Medical Services					
Case Management					
Offender Supervision					
Support Services					

5. Phase One (Institutional)

Comprehensive Needs Assessment Tool:		
Incentives for Participation: (circle response)	Yes	No
Description of Incentives:		

Programs in the Institution:

Program Areas	Existing Programs (Y/N)	List of Agencies	Federal Programs (Y/N)	State Programs (Y/N)	Local Programs (Y/N)	Other Programs (Y/N)	Comments
Employment							
Substance Abuse							
Housing							
Education							
Mental Health							
Faith-based							

Program Areas	Existing Programs (Y/N)	List of Agencies	Federal Programs (Y/N)	State Programs (Y/N)	Local Programs (Y/N)	Other Programs (Y/N)	Comments
Medical Services							
Case Management							
Support Services							

6. Phase Two (Community Reentry)

Name of Reentry Authority:		
Needs Assessment Tool(s):		
Existing Continuity of Services Plan from Phase One to Phase Two: (circle response)	Yes	No
Description of Continuity of Services Plan:		
Existing Continuity of Supervision Plan from Phase One to Phase Two: (circle response)	Yes	No
Description of Continuity of Supervision Plan:		

Transition Programs:

Program Areas	Existing Programs (Y/N)	List of Agencies	Federal Programs (Y/N)	State Programs (Y/N)	Local Programs (Y/N)	Other Programs (Y/N)	Comments
Employment							
Substance Abuse							
Housing							
Education							
Mental Health							
Faith-based							

Program Areas	Existing Programs (Y/N)	List of Agencies	Federal Programs (Y/N)	State Programs (Y/N)	Local Programs (Y/N)	Other Programs (Y/N)	Comments
Medical Services							
Case Management							
Support Services							

7. Phase Three (Stabilization)

Existing Continuity of Services Plan: (circle response)	Yes	No
Description of Continuity of Services Plan:		
Existing Oversight and Case Management Plan: (circle response)	Yes	No
Description of Oversight and Case Management Plan:		
Exit Assessment Tool(s):		

Community Programs (for Stabilization):

Program Areas	Existing Programs (Y/N)	List of Agencies	Federal Programs (Y/N)	State Programs (Y/N)	Local Programs (Y/N)	Other Programs (Y/N)	Comments
Employment							
Substance Abuse							
Housing							
Education							
Mental Health							
Faith-based							

Program Areas	Existing Programs (Y/N)	List of Agencies	Federal Programs (Y/N)	State Programs (Y/N)	Local Programs (Y/N)	Other Programs (Y/N)	Comments
Medical Services							
Case Management							
Support Services							

8. Project Management

Existing Management Information System (MIS):	Yes	No
Description of MIS:		
Plan for Communication with Partnering Agencies:	Yes	No
Description of Communication Plan:		

PROTOCOL FOR SVORI WORKPLAN REVIEWS AND INITIAL TELEPHONE INTERVIEWS

Background

This protocol provides guidelines for the SVORI workplan reviews (which will be conducted in two stages: a “quick scan” and a “comprehensive review”) and the initial telephone interviews with the site’s SVORI project director. The purpose of the workplan reviews and telephone interviews is to collect information from the SVORI sites that will enable us to produce a “portrait” of all 68 sites and to select the 15-20 sites in which we will conduct our intensive evaluation (i.e., the offender longitudinal survey and detailed implementation assessment).

Prior to beginning the workplan reviews and telephone interviews, staff should participate in the SVORI database training and review the following background materials/websites:

- The SVORI site solicitation
- Information about the SVORI initiative (on OJP’s Reentry website at <http://www.ojp.usdoj.gov/reentry/>)
- The SVORI national evaluation solicitation: <http://www.ncjrs.org/pdffiles1/nij/sl000578.pdf>
- RTI/UI’s proposal
- The RTI/UI SVORI national evaluation internal database (<http://svori.rti.org/secure/>)
- The “Site information” in the database for the sites for which you will be gathering information.
- Other background materials about issues in reentry (Travis, Solomon, Waul. *From Prison to Home: the Dimensions and Consequences of Prisoner Reentry*; Lynch and Sabol. *Prisoner Reentry in Perspective*; Travis. *But They All Come Back: Rethinking Prisoner Reentry*.)

Defining “SVORI Programs” within a site

The remainder of this protocol describes the programmatic information we need for the SVORI sites. Because some of the 68 sites appear to be operating more than one program (i.e., with different project directors or program coordinators, sets of services or programs, or special populations), we would like to have the programmatic information collected for each program (we are using the term “SVORI program”). Keep in mind that our use of the term “SVORI program” does not refer to individual stand-alone programs such as an in-prison therapeutic community or a program such as Alcoholics Anonymous (each site will have multiple individual programs), but rather a set of programs delivered to a specific population and coordinated by a program coordinator or project director. For example, a site may be running separate programs for juveniles and adults (or other special populations), each of which would be classified as a separate “SVORI program” (for purposes of the national evaluation). Geographic boundaries should only be used to define “SVORI programs” if the site is truly operating distinct, independent programs (i.e., with different program coordinators, sets of services or programs, geographical parameters or special populations) in multiple geographic regions. We expect many sites to cover several counties or cities in their program, but these geographical regions will not be considered as distinct “SVORI programs” unless they are clearly operated

independently (with different program coordinators or project directors and unique sets of services or programs). Further guidelines determining whether a site operates single or multiple programs based on their workplan descriptions include:

- **Single Program:** The workplan contains only one description of what is being done in phase 1 (the institutional phase), phase 2 (the initial community phase) and phase 3 (the final reintegration). The site MAY include multiple age/gender groups (including juveniles and adults; males and females) and therefore involve multiple pre-release institutions within which the 'program' is working. The site MAY also include multiple counties to which offenders are returning; but there is only a single 'unidimensional' approach that is presented.
- **Multiple Programs:** The site provides either
 - 1) one workplan describing different 'programs' for each phase, based on a specific population (e.g., adults vs. juveniles). So, the programmatic approach varies, based on the population, for phase 1, phase 2, and phase 3. This instance should be set up as two different programs.
 - 2) distinct workplans for different programs (for example, the Michigan Family Independence Agency submitted 5 different workplans, 1 each for a 'juvenile' intervention in a single county, resulting in a total of 5 different programs). This instance should be set up as five different programs.

Our default position is to recognize only one “SVORI program” per site unless there is compelling evidence otherwise. As described in more detail subsequently, you will use the “site information” section of the database to identify the SVORI program for each site (even if the site only has one “SVORI program”).

General Guidelines

This section provides general guidelines regarding completing the workplan reviews (both the “quick scan” and “comprehensive review”) and telephone interviews. It is extremely important that the information obtained during these activities be gathered in a consistent manner across sites and entered into the database in a standardized manner. The information to be gathered from the workplan reviews and telephone interviews is the same (the telephone interviews should be used to confirm that information included in the workplan is still accurate and obtain missing information). In situations in which you encounter inconsistent information (i.e., when confirming something in the telephone interview, you learn that a particular piece of information provided in the workplan is outdated), please enter the most recent information in the database. If substantial changes between what was described in the workplan and what is described during the telephone interview regarding the site’s SVORI population, enrollment numbers, or services provided are evident, please use the database field called “Programmatic Changes” (an open-ended text field) to succinctly describe such modifications.

As you enter information into the database, be sure to save the information frequently. The screen will “time out” after 40 minutes and you will lose any unsaved information. Also, for any topics for which you were not able to obtain information (either in the workplan reviews or telephone interviews), please check the boxes for “unknown” so we know that you attempted to obtain information for that topic but could not find it. For items that are not clearly outlined in the workplan but for which you think you can infer that the correct answer is “no”, please use

“unknown” instead. Assume that information not explicitly provided is unknown until verified through the telephone interview.

Workplan Reviews

Each site was required to submit a workplan outlining the key aspects of its reentry initiative (in essence, a revised application). Staff from Caliber Associates (the technical assistance provider) have reviewed and scored these workplans, creating a brief “workplan summary on SVORI website” for each site. The “site assignment and workplan status” excel file posted on the project website indicates the status of both the workplan and workplan summary for each site. The “workplan summary available” column lists whether the workplan summary is available (if available, open the document called “workplan summaries” from the national evaluation website and print up only the summary for your site – all of the workplans are compiled and saved as one large file so be sure not to print up the whole thing). The “workplan location” column lists the location of the workplan for each site (the SVORI national evaluation website, the OJP SVORI website, or hard copy only). If the workplan is available on the national evaluation website, simply download it. If the workplan is available on the OJP website, you will go to the “State Activities and Resources” section of this website (<http://www.ojp.usdoj.gov/reentry/>), click on the state, then click on the green hyperlink for “workplan” to download it. If the workplan is only available in hard copy, RTI staff should get the copy from Chris Lindquist and UI staff should get the copy from Meghan Salas. For some sites, the workplan is either “on the way” or not yet available in any form. In these cases, please begin with the other sites assigned to you (and we will continue following up with Caliber to get the workplans as soon as possible).

“Quick Scan”. The first step in reviewing workplans will involve conducting a “quick scan” of the sites’ workplans and workplan summaries (if available). During the “quick scan”, staff should only focus on obtaining the “SVORI Population” and “Enrollment Information” items described in detail below (under “Topics to be Covered”) from the workplans and entering this information in the project database. This step should begin immediately after the debriefing on 7/07 and be completed by COB **Tuesday, July 15th** (all tasks and timelines are posted on the website in a document called “Site Liaison Calendar”). Please only spend a short amount of time on this task (around 30 minutes for the review and 1 hour for the database entry for each site) and do not worry if you cannot find every piece of information in the “SVORI Population” and “Enrollment Information” forms. On 7/16, the management team will order the sites in terms of priority and share this information with you so that you can then concentrate on completing the comprehensive reviews for the priority sites first. Please note that if you finish the “quick scan” early and want to proceed with the comprehensive review, please do so. We will be giving some priority to the sites that are likely to have the largest number of participants so if you begin the comprehensive review before receiving our priority order, you may want to start with the larger sites that you have identified.

Comprehensive Review. Based on the priority order the management team establishes, please conduct the comprehensive review (i.e., cover all items in all 4 forms described below) of the workplans. This step will involve going through the workplans in detail and trying to get as much of the relevant information as possible and entering this in the database. In this stage, you might also find that you will need to update some of the information you entered as a result of the “quick scan”. This step should be completed by COB **Wednesday, July 30th**. When you are

finished entering the workplan information into the database, please enter a completion date for the workplan review in the “site information” form in the database.

Telephone Interviews

Once the comprehensive workplan reviews are well underway, we would like you to begin conducting telephone interviews with the sites’ SVORI project directors. Once again, please complete this activity based on the priority order we have established. You should not wait until you have completed all comprehensive workplan reviews before moving onto this step (it might make sense to do, say, three workplan reviews and then conduct the telephone interviews for these three sites) but you do need to wait until July 21st to begin this step (because we will send a generic “lead letter” on 7/17 from Pam and Christy to the PD’s to inform them of the upcoming calls¹). We would like to have the telephone interviews completed for all sites by COB **Friday, August 15th**.

The telephone interviews will be used to confirm the accuracy of any information obtained from the workplan reviews and to obtain any missing information (i.e., information that was not available in the workplan reviews). Staff should contact the individual flagged as “site contact” in the project database and set up an interview time. For sites that have multiple “SVORI programs” with distinct project directors or program coordinators, you will need to talk with each contact about his/her “SVORI program”.

When setting up the interview, staff should cover the following points (most of which will be covered in the lead letter from Pam and Christy):

- You are calling from [RTI/UI]. We are conducting the national evaluation of the “Going Home: Serious and Violent Offender Reentry Initiative”. This evaluation is being supported by the federal agencies that have funded their sites.
- This evaluation is a separate activity from the technical assistance provided by Caliber Associates
- We would like to collect some additional information regarding SVORI activities from the key contact at each site. This information will enable us to produce a description of all 68 sites that will be used in a document to be submitted to the federal government next spring.
- In addition, we are beginning the process of selecting a subset of 15-20 sites in which we will conduct an intensive evaluation. This intensive impact evaluation will include a longitudinal study of offenders and a detailed implementation assessment.
- We have already reviewed their revised work plan and (if applicable), the information they provided to Caliber in their phone interview, in order not to duplicate efforts.
- Confirm that the person is the most knowledgeable person about the site’s SVORI program. If not, please obtain the name and contact information for the appropriate site person and enter this in the database. This new contact should then be called.
- The telephone interview will take approximately 30 minutes (be sure to schedule a specific date and time that you can call the site contact for the interview).

¹ By this time, the site should also have received a lead letter from NIJ introducing RTI and UI as the national evaluators for SVORI.

During this initial conversation, please go ahead and inquire about two topics:

- Whether they have received their SVORI funds yet and if they have received the funds, the date they received them)
 - Please enter this information in the “site information” section of the database, in the field for “date funding received”. If the site has not received their funds, please check the “not yet received” box. If the site has received funds, please enter in the date that the funds were received.
- Which of the implementation activities they have completed
 - For this item, please follow the protocol for item 25

After you set up the interview, please:

- Fax or e-mail the site contact a memo summarizing the background information provided in the bulleted list above, providing your contact information, and listing the date/time of the scheduled interview (this memo is posted on the project website in the “documents” section, but you’ll need to customize it for your site contact)
- Accompanying the memo, please also send the site contact a “site information report” generated from the database. This report will list the topics to be covered in the interview and any information already gathered for the site.
- Try to go to the state’s Department of Corrections website and obtain a list of all correctional institutions in the state (this will be useful information to have when discussing item 8).

When you call back to actually conduct the interview, please go through each of the topics in the “Topics to Cover” section below, making sure to obtain all of the information we need. The information gathered during the telephone interview should be entered in the database as soon as possible following the interview. When you are finished entering the telephone interview information into the database, please enter a completion date for the telephone interview in the “site information” form in the database.

Topics to Cover

The topics below should be covered during both the workplan review (and review of any other available materials from Caliber) and telephone interviews. The topics are listed in the order in which they appear in the database, but it is fine to deviate from this order (if it helps to keep the flow going) during the telephone interviews. In the interviews, you may also encounter situations in which you ask a particular question but receive an answer to a *different* question (which may or may not be a topic that we need), so please try to become as familiar with the topics as possible. This way, you will be able to record their answer for the appropriate topic and make sure that we have the “right” answers for all topics.

Another point related to the ordering of the items is that in the telephone interviews it may be helpful to begin with item 25 (regarding the current stage of implementation) so you will know whether to phrase your questions to ask about what is already happening (i.e., “Is your site doing ...”) or what they plan on happening (i.e., “Does your site plan to do...” or “what is your anticipated monthly enrollment”). The “potential questions/probes” listed below use generic wording to cover as many scenarios as possible.

In addition, the wording of “potential questions/probes” assumes that we did not get any information about the topic during the workplan review (and review of Caliber materials). Obviously, if we do have some existing information, you will only want to confirm what we already have and will modify the wording accordingly (i.e., “According to your workplan, your site will be focusing on offenders between the ages of 18-25. Is this still accurate?”)

Please also note that the sites may be using SVORI funds to simply fill existing service gaps or expand existing programs, rather than implementing a new program. Because it would be extremely difficult for sites to isolate SVORI-funded activities and because even an isolated component funded by SVORI funds is likely to ultimately affect a site’s entire approach to reentry, we are interested in knowing about each site’s overall reentry approach since SVORI funds were awarded, not just components specifically funded by SVORI.

“SVORI Programs” Within the Site

The first thing you will need to find out is whether the site is operating more than one “SVORI program” (see detailed discussion on “Defining ‘SVORI Programs’ Within a Site” above).

1. “SVORI Programs”

- *Description:* We would like to know whether the site appears to be operating more than one “SVORI program” (see description on pages 1-2), because the remaining topics to be covered in the interview will need to be covered separately for each “SVORI program” (you will probably want to focus on one program at a time, going through each question with that program in mind, and then go through the questions for the next program).
- *Potential questions/probes:* “Is your site operating one SVORI program, or are you using your grant money to operate distinct SVORI programs? By “SVORI program” I mean distinct sets of programs serving different target populations, having distinct sets of services, and managed by distinct project directors or program coordinators”. (As you ask this question, keep in mind that if the state has more than one SVORI site, the project director may assume that that is what you are referring to by “program”, so be sure to clarify this by saying “I realize that your state has X grantees, but I am asking specifically about the grant awarded to X agency.”)
- *Database field format/special instructions:* In the “site information” section of the database, select the box that says “add new SVORI program for this site” to set up a program (or multiple programs) and enter a succinct name (50 characters or less) for each “SVORI program”. Most sites should have a specific name for their initiative/program that is separate from their site name but if they do not, then just use the site name. You must enter a “SVORI program” even if the site only has one program. If the site has more than one “SVORI program”, please obtain the remaining information separately for each program.

SVORI Population and Eligibility Criteria

This set of items refers to the population on which the site will focus in their SVORI program.

2. Population Type

- *Description:* We would like to know if the site is focusing on adults, juveniles, or youthful offenders (or a combination of these three population types). “Youthful offenders” only refers to individuals sentenced under the Youthful Offender statutes (which can cover those up to age 25 in some states). Be sure not to confuse the term “young adults” (which some sites may have used in their workplans because it is a separate category specified in the SVORI solicitation) with “youthful offenders”. We do not need to separate young adults from adults.
- *Potential questions/probes:* “Is your site including adult offenders, juvenile offenders, or youthful offenders?”
- *Database field format/special instructions:* check-box (adults, juveniles, youthful offenders, unknown); select each category that applies

3. Age Range

- *Description:* We would like to know the age range (in years) of the site’s SVORI population. Keep in mind that in some cases the concordance between the population type and age range may not be evident (for example, a site may say they are focusing on “adults” but their age range may include those aged 14 and up; this is accurate if they are including juveniles sentenced as adults).
- *Potential questions/probes:* “What age range of offenders are you including in your site?”
- *Database field format/special instructions:* use the two drop-down boxes (“low range” and “high range”) to denote the lower age limit and upper age limit; if the site does not have a lower and/or upper range, select “no lower/upper limit”; if you cannot obtain the age range, select “unknown”

4. Gender

- *Description:* We would like to know whether the site includes males, females, or both
- *Potential questions/probes:* “Does your SVORI population include male offenders, female offenders, or both?”
- *Database field format/special instructions:* check-box (males, females, unknown); select each category that applies

5. Offense Type

- *Description:* We would like to know if the site focuses on offenders who committed specific offenses.
- *Potential questions/probes:* “Is your site focusing on offenders with specific offense types?”
- *Database field format/special instructions:* check-box (offense type not used as an identifying factor, sex offenses, other violent offenses, drug offenses, unknown); select all categories that apply; if necessary, use the “other” open-ended text field to enter a succinct description of an offense type that is not included in the pre-existing categories
 - Note: Only use the check-boxes when a site gives an affirmative statement in its workplan regarding targeting particular offense types. If there are no such statements but the site says that offenders will be assessed with a risk assessment that will include crime type, then check “none” for “offense type”,

“other” for “other inclusion criteria” and write “to be assessed with assessment instrument (under the “other inclusion criteria” item). If there are no such statement made and no mention made of any type of risk assessment, check “unknown” for “offense type”.

6. Criminal History

- *Description:* We would like to know if the site focuses on offenders based on criminal history (i.e., first time serious violent offenders, repeat offenders, etc.). Criminal history covers previous arrests, previous incarcerations (either jail or prison), previous probation terms, etc.
- *Potential questions/probes:* “Is your site focusing on offenders based on any criteria related to criminal history” (*probe:* “for example, are you specifically trying to reach populations such as repeat offenders or first-time prisoners?”)
- *Database field format/special instructions:* check-box (criminal history not used as an identifying factor, first time offenders, repeat offenders, unknown); select all categories that apply; if necessary, use the “other” open-ended text field to enter a succinct description for criminal history that is not included in the pre-existing categories
 - Note: Only use the check-boxes when a site gives an affirmative statement in its workplan regarding targeting offenders with particular criminal histories. If there are no such statements but the site says that offenders will be assessed with a risk assessment that will include criminal history, then check “none” for “criminal history”, “other” for “other inclusion criteria” and write “to be assessed with assessment instrument (under the “other inclusion criteria” item). If there are no such statement made and no mention made of any type of risk assessment, check “unknown” for “criminal history”.

7. Special Populations

- *Description:* In addition to using age, gender, and offense type to identify the SVORI population, sites may also specifically focus on “special populations” such as substance abusers, mentally ill offenders, offenders with co-occurring disorders (or “dual diagnosis” – i.e., mentally ill and substance abusing offenders), or offenders with developmental or physical disabilities. Sites may focus on other special populations not listed above.
- *Potential questions/probes:* “Are you focusing on any other special population characteristics?” (*probe:* For example, are you focusing on substance abusers, mentally ill offenders, offenders with co-occurring disorders, developmentally disabled offenders, or physically disabled offenders?”)
- *Database field format/special instructions:* check-box (none, substance abusers, mentally ill, co-occurring/dual diagnosis, developmentally disabled, physically disabled, unknown); select all categories that apply; if necessary, use the “other” open-ended text field to enter a succinct description for a special population that is not included in the pre-existing categories
 - Note: Only use the check-boxes when a site gives an affirmative statement in its workplan regarding targeting offenders with particular problems such as drug use. If there are no such statements but the site says that offenders will be

assessed with a risk assessment that will include special problems such as drug use, then check “none” for “special populations”, “other” for “other inclusion criteria” and write “to be assessed with assessment instrument (under the “other inclusion criteria” item). If there are no such statement made and no mention made of any type of risk assessment, check “unknown” for “special offenders”.

8. Geographical Parameters – pre-release

- *Description:* It is very important for us to know what the geographical parameters of the site/target are. Some sites may use pre-release facility as a “geographical” parameter for their SVORI participants (i.e., the site may include offenders incarcerated in all state prisons or a subset of prisons). We would like to know whether the site/target includes offenders in all institutions or offenders in selected institutions. Before contacting the project director, please try to go to the state’s Department of Corrections website and obtain a list of all correctional institutions in the state. After you have identified the institutions from which SVORI participants may come (based on the interview), please enter the relevant institutions in the “organization table” of the database (you will need addresses and a contact name for each institution).
- *Potential questions/probes:* “Do your SVORI participants come from all institutions in the state or from targeted institutions?” “Can you give me the facility names and a contact person for each facility?” (*note: use your list of state correctional institutions to help with this question*)
- *Database field format/special instructions:* check-box (all state prisons, selected state prisons, unknown); if a site/SVORI program targets the majority of institutions (excluding only highly specialized institutions such as correctional hospitals), please check “all state prisons”; please also enter each institution in the “organization table” of the database (be sure to flag them as pre-release facilities and select the type of facility) and a contact person’s name in the “client table” of the database

9. Geographical Parameters – post-release

- *Description:* Some sites may use post-release residence as a geographical parameter for their SVORI participants. We would like to know whether the site/target includes offenders who reside (upon release) in a specific city or cities, a specific county or counties, or the entire state.
- *Potential questions/probes:* “Do your program include participants whose post-release residence is a specific city or cities, a specific county or counties, or throughout the entire state?”
- *Database field format/special instructions:* check-box (single city or county, multiple cities or counties, statewide, unknown) and open-ended text field; use the check-box to check all that apply and use the “specify” field to list each city or county included in the site (if the entire state is targeted, you do not need to list each county)

10. Other inclusion criteria

- *Description:* Sites may use other criteria to select their program participants. For example, their SVORI program may only include offenders who participated in a

specific pre-release program (such as a particular treatment program) or the site may say it is targeting “serious and violent” offenders or offenders at “high risk of reoffending” (based on some type of assessment instrument). Make sure you any information that you obtain for this item is not already covered in any of the previous topics.

- *Potential questions/probes:* “Are there any other inclusion criteria for SVORI participants?” or “Do you use any other criteria to select your program participants?”
- *Database field format/special instructions:* drop-down box (yes, no, unknown) and open-ended text field; in the drop-down box, select “yes” or “no” depending on whether they have any other inclusion criteria; if you select “yes”, use the open-ended text field (“specify”) to enter a succinct description of other inclusion criteria used by the site (for example, if the site targets “high risk” offenders based on an assessment instrument, you could enter “ser/viol offenders; high on assmnt tool”)

11. Exclusion criteria

- *Description:* Sites may use all the age, gender, offense type, geographic, special populations, and any other inclusion criteria above to select their population but then apply exclusion criteria to potential participants. For example, some programs may exclude sex offenders or severely mentally ill offenders (even if they meet the other parameters discussed in items 2-9).
- *Potential questions/probes:* “Does your program have any criteria that would exclude offenders from participating?”
- *Database field format/special instructions:* check-box (none, sex offenders, severely mentally ill, unknown); select all categories that apply; if necessary, use the “other” open-ended text field to enter a succinct description of exclusion criteria that are not included in the check-box categories

Enrollment Information

This set of items pertains to the stage at which SVORI participants are identified for the program and projected (or actual) enrollment information for the site/program. Most of the items distinguish between the “pre-release” (i.e., institutional) phase and the “post-release” (i.e., community) phase of the program.

12. Stage of enrollment

- *Description:* For this item we are interested in knowing the point at which offenders officially begin participation in the SVORI program. We are defining “beginning” participation as the point at which they are initially assessed for SVORI participation, not the point at which they actually begins receiving services. The site’s solicitation recommended that programming begin 12 months prior to release, which suggests that assessment/enrollment should begin at least 12 months prior to release.
- *Potential questions/probes:* “At what point do SVORI participants officially begin the program? Do you enroll in the institution?” (*probe:* “Does participation begin prior to release?” [if so, “how many months prior to release, on average?”])

- *Database field format/special instructions:* check-box (more than 1 year pre-release, 10-12 months pre-release, 7-9 months pre-release, 4-6 months pre-release, 1-3 months pre-release, less than 1 month pre-release, within 1 month after release, 1-3 months post-release, 4 or more months post-release, unknown); select the category that applies; if necessary, use the “other” open-ended text field to enter information that is not included in the drop-down categories
 - Note: if a site’s stage of enrollment is a range that overlaps with two categories (i.e., a program enrolls people 8-10 months prior to release), please select the category that is closest to the release date (in the example above, you would select the box for “7-9 months prior to release)
 - Note: if a single program serves more than one population types with different stages of enrollment (for example, Georgia includes juvenile and adult offenders and the juvenile offenders are enrolled 2 months pre-release and the adults are enrolled 6-9 months pre-release), please check multiple boxes (i.e., 1-3 months pre-release and 4-6 months pre-release) and make a note in the “other” box.
 - If the site only discusses enrollment in terms of time since admission, then use the “other” category and enter a succinct description.
 - If the site states that its SVORI program will target offenders at diagnostic using a variety of assessment instruments, please use the “other” category and enter “at diagnostic”.

13. Date of enrollment of first participant – pre-release phase

- *Description:* We would like to know both the month and year of the actual first participant placement into the pre-release programming component of their SVORI program. If the program is not yet operational, we would like to get the anticipated month and year of placement of their first participant.
- *Potential questions/probes:* “Have you placed your first client into the pre-release programming component of your reentry program yet?”; “(if yes) What was the day and month of the first participant enrollment?”; “(if no) When do you anticipate that the first client will be enrolled?”
- *Database field format/special instructions:* “forced date format” (mm/dd/yy) and drop-down box (actual, anticipated); enter the date (mm/dd/yy) in the “forced date” box and then use the drop-down box to select whether the date is the “actual” date of enrollment (i.e., for programs that have already begun enrolling participants) or “anticipated” date of enrollment (i.e., for programs that have not yet begun enrolling participants)

14. Date of enrollment of first participant – post-release phase

- *Description:* We would like to know both the month and year of the actual first participant placement into the post-release programming component of their SVORI program. If the program is not yet operational, we would like to get the anticipated month and year of placement of their first participant.
- *Potential questions/probes:* “Have you placed your first client into the post-release programming component of your reentry program yet?”; “(if yes) What was the day

and month of the first participant enrollment?"; "(if no) When do you anticipate that the first client will be enrolled?"

- *Database field format/special instructions:* "forced date format" (mm/dd/yy) and drop-down box (actual, anticipated); enter the date (mm/dd/yy) in the "forced date" box and then use the drop-down box to select whether the date is the "actual" date of enrollment (i.e., for programs that have already begun enrolling participants) or "anticipated" date of enrollment (i.e., for programs that have not yet begun enrolling participants)

15. Monthly Case Intake – pre-release

- *Description:* We would like to know the site's actual or anticipated average monthly intake (i.e., the # of newly enrolled individuals per month) during the pre-release phase of the program. This number should only include those actually placed into the pre-release programming component (exclude those assessed and/or accepted but waiting placement). If a site only provides total monthly intake (i.e., not separated by pre- or post-release stages), please enter the information in the pre-release field and do not repeat it in the post-release field. Also, if a site provides annual case intake or program capacity but not monthly breakdowns, do not use this number to calculate monthly case intake (just select "unknown" for this field).
- *Potential questions/probes:* "What is your actual case intake of persons into the pre-release programming component of your reentry program?"; (If client placement has not taken place long enough to provide a typical case intake) "What is your anticipated average monthly case intake into the pre-release component of your reentry program?"
- *Database field format/special instructions:* check-box (0-10, 11-20, 21-30, 31-40, 41-50, more than 50, unknown) and drop-down box (actual, anticipated); use the check-box to select the category that applies and the drop-down box to indicate whether the intake estimate is the "actual" or "anticipated" monthly intake.

16. Monthly Case Intake – post-release

- *Description:* We would like to know the site's actual or anticipated average monthly intake (i.e., the # of newly enrolled individuals per month) during the post-release phase of the program. This number should include those actually placed into the post-release programming component (exclude those assessed and/or accepted but waiting placement). If a site only provides total monthly intake (i.e., not separated by pre- or post-release stages), please enter the information in the pre-release field and do not repeat it in the post-release field. Also, if a site provides annual case intake or program capacity but not monthly breakdowns, do not use this number to calculate monthly case intake (just select "unknown" for this field).
- *Potential questions/probes:* "What is your actual case intake of persons into the post-release programming component of your reentry program?"; (If client placement has not taken place long enough to provide a typical case intake) "What is your anticipated average monthly case intake into the post-release component of your reentry program?"
- *Database field format/special instructions:* check-box (0-10, 11-20, 21-30, 31-40, 41-50, more than 50, unknown) and drop-down box (actual, anticipated); use the

check-box to select the category that applies and the drop-down box to indicate whether the intake estimate is the “actual” or “anticipated” monthly intake.

17. Year 1 program capacity – pre-release

- *Description:* We would like to know the total number of offenders the site plans on accommodating in the pre-release phase through their SVORI funds during the first year of the site’s project (i.e., the first year of SVORI funds). If a site only provides total Year 1 capacity (i.e., not separated by pre- or post-release stages), please enter the information in the pre-release field and do not repeat it in the post-release field.
- *Potential questions/probes:* “What is the total number of offenders your site plans on enrolling in the pre-release phase during the first year of your SVORI program?”
Database field format/special instructions: check-box (less than 50, 51-100, 101-150, 151-200, more than 200, overall capacity/annual provided, unknown); select the appropriate category
 - Note: if the site only provides overall or annual capacity (i.e., not broken down by year and phase), please select the “overall capacity/annual provided” response option and enter the enrollment numbers in the appropriate field. Only select one of the enrollment ranges if the site actually provides capacity information for year 1.

18. Year 2 program capacity – pre-release

- *Description:* We would like to know the total number of offenders the site plans on accommodating in the pre-release phase through their SVORI funds during the second year of their SVORI program (i.e., the second year of SVORI funds). If a site only provides total Year 2 capacity (i.e., not separated by pre- or post-release stages), please enter the information in the pre-release field and do not repeat it in the post-release field
- *Potential questions/probes:* “What is the total number of offenders your site plans on enrolling in the pre-release phase during the second year of your SVORI program?”
- *Database field format/special instructions:* check-box (less than 50, 51-100, 101-150, 151-200, more than 200, overall capacity/annual provided, unknown); select the appropriate category
 - Note: if the site only provides overall or annual capacity (i.e., not broken down by year and phase), please select the “overall capacity/annual provided” response option and enter the enrollment numbers in the appropriate field. Only select one of the enrollment ranges if the site actually provides capacity information for year 2.

19. Year 1 program capacity – post-release

- *Description:* We would like to know the total number of offenders the site plans on accommodating in the post-release phase through their SVORI funds during the first year of the site’s project (i.e., the first year of SVORI funds). If a site only provides total Year 1 capacity (i.e., not separated by pre- or post-release stages), please enter the information in the pre-release field and do not repeat it in the post-release field
- *Potential questions/probes:* “What is the total number of offenders your site plans on enrolling in the post-release phase during the first year of your SVORI program?”

- *Database field format/special instructions:* check-box (less than 50, 51-100, 101-150, 151-200, more than 200, overall capacity/annual provided , unknown); select the appropriate category
 - Note: if the site only provides overall or annual capacity (i.e., not broken down by year and phase), please select the “overall capacity/annual provided” response option and enter the enrollment numbers in the appropriate field. Only select one of the enrollment ranges if the site actually provides capacity information for year 1.

20. Year 2 program capacity – post-release

- *Description:* We would like to know the total number of offenders the site plans on accommodating in the post-release phase through their SVORI funds during the second year of their SVORI program (i.e., the second year of SVORI funds). If a site only provides total Year 2 capacity (i.e., not separated by pre- or post-release stages), please enter the information in the pre-release field and do not repeat it in the post-release field.
- *Potential questions/probes:* “What is the total number of offenders your site plans on enrolling in the pre-release phase during the second year of your SVORI program?”
- *Database field format/special instructions:* check-box (less than 50, 51-100, 101-150, 151-200, more than 200, overall capacity/annual provided ,unknown); select the appropriate category
 - Note: if the site only provides overall or annual capacity (i.e., not broken down by year and phase), please select the “overall capacity/annual provided” response option and enter the enrollment numbers in the appropriate field. Only select one of the enrollment ranges if the site actually provides capacity information for year 2.

21. Overall Capacity

- *Description:* Some sites may only report overall program capacity (i.e., the total number of offenders the site plans on accommodating over the course of the project through SVORI funds). For these sites/programs, please use this field to enter enrollment information. As stated for items 17-20, if a site only reports overall program capacity, do not divide by 3 to calculate year 1 and year 2 estimates (we will only use year-specific estimates if they are provided by the site); for items 17-20, please check the option for “overall capacity/annual provided”.
- *Potential Questions/Probes:* “What is the total number of offenders your site plans on accommodating over the course of your SVORI funding period?”
- *Database field format/special instructions:* check-box (less than 50, 51-100, 101-150, 151-200, more than 200, unknown); select the appropriate category

22. Annual Capacity

- *Description:* Some sites may only report annual program capacity (i.e., the number of offenders the site plans on accommodating each year over the course of the project through SVORI funds). For these sites/programs, please use this field to enter enrollment information. Do not calculate annual capacity based on other enrollment information, and do not use annual capacity to create overall program capacity or year

1 or year 2 program capacity (for items 17-20, please check the option for “overall capacity/annual provided”).

- *Potential Questions/Probes:* “How many offenders does your site plans on accommodating each year over the course of your SVORI funding?”
- *Database field format/special instructions:* check-box (less than 50, 51-100, 101-150, 151-200, more than 200, unknown); select the appropriate category

23. Current program enrollment – pre-release

- *Description:* We would like to know the number of offenders currently enrolled in the pre-release phase of the site’s SVORI program (or whatever the most recent enrollment numbers are that the site maintains). This number should only include those actually placed into the pre-release programming component (exclude those assessed and/or accepted but waiting placement). If a site only provides total current program enrollment (i.e., not separated by pre- or post-release stages), please enter the information in the pre-release field and do not repeat it in the post-release field.
- *Potential questions/probes:* “What is the current number of offenders enrolled in the pre-release phase of your SVORI program?” and “What date do these numbers reflect?”
- *Database field format/special instructions:* check-box (not applicable, 0-25, 26-50, 51-75, 76-100, 101-125, 126-150, more than 150, unknown) and “forced date format” (mm/dd/yy); using the check-box, select the category that applies (for sites that have not begun enrolling clients yet, select “not applicable”); using the “forced date” field, enter the date that these numbers reflect (mm/dd/yy)

24. Current program enrollment – post-release

- *Description:* We would like to know the number of offenders currently enrolled in the post-release phase of the site’s SVORI program (or whatever the most recent enrollment numbers are that the site maintains). This number should only include those actually placed into the post-release programming component (exclude those assessed and/or accepted but waiting placement). If a site only provides total current program enrollment (i.e., not separated by pre- or post-release stages), please enter the information in the pre-release field and do not repeat it in the post-release field
- *Potential questions/probes:* “What is the current number of offenders enrolled in the post-release phase of your SVORI program?” and “What date do these numbers reflect?”
- *Database field format/special instructions:* check-box (not applicable, 0-25, 26-50, 51-75, 76-100, 101-125, 126-150, more than 150, unknown) and “forced date format” (mm/dd/yy); using the check-box, select the category that applies (for sites that have not begun enrolling clients yet, select “not applicable”); using the “forced date” field, enter the date that these numbers reflect (mm/dd/yy)

Program Information

This section covers the actual content of the site’s SVORI program, including services available and other program components. Several of the items distinguish between what is planned for the “pre-release” phase and the “post-release” phase of the program.

25. Current stage of implementation

- *Description:* We expect substantial variability in how far along the sites are in implementing their SVORI programs (especially depending on whether they are using SVORI funds to expand an existing program or to implement a brand new program). We have identified some key “progress points” (roughly based on the steps outlined in the site’s solicitation) and would like to know which ones the sites have completed: selected SVORI population (this does not mean that the site’s actual SVORI participants must be identified but rather that the site has identified the population to be served by the program), identified key partners/agencies, identified program components and services, have the service delivery systems in place (i.e., worked out MOUs and other background arrangements), and have already enrolled participants.
- *Potential questions/probes:* “We’d like to know more about your site’s current stage of implementation. Can you tell me if each of the following has been completed: target population selected, key partners/agencies identified, program components/services identified, service delivery systems in place, participants already enrolled? For each of the activities I just mentioned, can you tell me the date that the activity was complete or, if it hasn’t yet happened, the anticipated date of completion?”
- Database field format/special instructions: check-box (funding received, SVORI population selected, key partners/agencies identified, program components/services identified, service delivery systems in place, participants already enrolled) and “forced date format”; use the check-boxes to select all activities that have been completed (do not check activities that have not been completed); use the date fields to enter the date that they were completed and, for activities that have not yet been completed, the anticipated date that they will take place; for activities that were already in place before the SVORI initiative and for which the site does not know the date of completion, try to get an approximation

26. Post-Release reentry authority

- *Description:* While offenders are incarcerated, they are clearly under the authority of the Department of Corrections. However once they are released, the “authority” may be transferred to another agency, such as the judiciary (i.e., for sites that are operating reentry courts and have worked out arrangements for reentry authority to be maintained by the courts), a community board, or an independent parole board. We would like to know which agency has the authority over the offender once s/he is released to the community as part of their SVORI program. In cases in which a smaller division/unit within a larger organization is the reentry authority (i.e., Division of Juvenile Services under the umbrella of DOC), please use the “parent” organization (which will be the legally binding one).
- *Potential questions/probes:* “In your site, who has post-release reentry authority? The post-release reentry authority is the agency that has the ability to impose conditions of a reentry plan and graduated sanctions and/or revocation of release if an offender fails to comply with those conditions.” (*Probe:* Is your post-release reentry authority held by the judicial branch, Department of Corrections, an independent parole board, or a community board?)

- *Database field format/special instructions:* check-box (Department of Corrections, judicial branch, independent parole board, community, unknown); select all that apply; if necessary, use the “other” open-ended text field to enter a succinct description of another type of reentry authority

27. Relationship to existing reentry efforts

- *Description:* The sites may be using SVORI funds to implement a brand new program (where none existed before) or to expand existing programs. We would like to know the extent to which their reentry initiative is related to existing efforts/programs. That is, were their SVORI grant funds used to develop and implement a new program or expand an existing program?
- *Potential questions/probes:* “Is your site using SVORI funds to implement a new program, or to expand an existing program (i.e., such as filling service gaps)
Database field format/special instructions: check-box (new program, expansion of existing program, unknown); select each category that applies

28. Pre-release programming - duration

- *Description:* We would like to know the average length of time the site’s pre-release programming component is expected to take to complete. It is understood that pre-release programming may vary tremendously (especially if a needs assessment is conducted and programming is tailored to individual needs) but we are looking for the average amount of time needed to complete the pre-release programming component of their SVORI program.
- *Potential questions/probes:* “What is the average duration of the pre-release programming component of your reentry initiative?” (*probe:* “What is the typical length of time it is expected to take the average offender in your reentry initiative to complete the institutional phase of the program?”)
- *Database field format/special instructions:* check-box (unknown, less than 1 month, 1-3 months, 4-6 months, 7-9 months, 10-12 months, more than 12 months); select the category that applies; if necessary, use the “other” open-ended text field to describe situations in which the programming duration varies depending on the sentence length
 - If the duration crosses categories (i.e., 6-12 months), use the “other” field and enter the appropriate range (“6-12 months”)

29. Pre-release programming - timeframe

- *Description:* We also would like to know the timing at which the pre-release programming takes place. For example, even though the average *duration* of pre-release programming may be 6 months, this programming could take place 6 months prior to release or 1 year prior to release. We are looking for the average number of months prior to release at which pre-release programming generally begins.
- *Potential questions/probes:* “When does pre-release programming generally begin?” (*probe:* What is the typical number of months prior to release at which pre-release programming generally begins?”)
- *Database field format/special instructions:* check-box (unknown, less than 1 month, 1-3 months, 4-6 months, 7-9 months, 10-12 months, more than 12 months); select the

category that applies; if necessary, use the “other” open-ended text field to describe situations in which the programming timeframe varies depending on the sentence length

- If the duration crosses categories (i.e., 6-12 months), use the “other” field and enter the appropriate range (“6-12 months”)

30. Pre-release components and services

- *Description:* We would like to know the different components and services that make up the site’s pre-release program. Specifically, we are interested in knowing whether the pre-release phase of their program includes a risk assessment (formal assessment of an offender’s risk of recidivism or revocation), needs assessment (formal assessment of an offender’s treatment needs), case management, treatment plan , release/reentry plan, substance abuse treatment, mental health counseling, medical services, dental services, employment skills/vocational training, education, housing assistance, parenting skills, domestic violence counseling, life skills training, anger management, or any other types of services. Note: the treatment plan and release plan may be quite similar, so go with what the site provides (if they say one or the other then code only what they say). In theory, a reentry plan is more inclusive of a treatment plan (including post-release treatment needs as well) but do not add this unless the site says it.
- *Potential questions/probes:* “Please tell me the which of the following are included for offenders in the pre-release phase: risk assessment, needs assessment, case management, treatment plan, release plan, substance abuse treatment, mental health counseling, medical services, dental services, employment skills/vocational training, education, housing assistance, parenting skills, domestic violence counseling, life skills training, anger management. Does your SVORI program include any other program components or services that I didn’t mention?”
- *Database field format/special instructions:* check-box (risk assessment, needs assessment, case management, treatment plan, release plan, substance abuse treatment, mental health counseling, medical services, dental services, employment skills/vocational training, education, housing assistance, parenting skills, domestic violence counseling, life skills training, anger management, unknown); select all that apply; if necessary, use the “other” field to enter a succinct description of other services available

31. Transfer to pre-release facility

- *Description:* Some sites may transfer all (or the majority of) SVORI participants to a special pre-release facility for special services (or other purposes) prior to release, while offenders are still serving out their sentence. For example, offenders may be transferred to a jail, correctional work release facility, residential treatment facility, or other pre-release facility. We are interested in knowing whether the site uses such a facility for **most or all of** its SVORI participants.
- *Potential questions/probes:* “Does your site transfer most or all of the SVORI participants to a pre-release facility for special programming or services prior to release?”

- *Database field format/special instructions:* Check-box (yes, no, unknown) and open-ended text field; use check-box to select appropriate category; use open-ended text field (“specify”) to provide a succinct description of how the program uses transfers to pre-release facilities

32. Post-release programming - duration

- *Description:* We would like to know the average length of time their post-release programming component is expected to take to complete. Once again, there may be variation in program duration among offenders (and some offenders may technically be required to be in the program for the entire length of their parole) but we are looking for the average amount of time needed to complete the post-release component of their SVORI program. Also, some programs may divide their post-release phase into sub-phases (in which they have an intensive initial phase followed by a less intensive phase) and we are interested in knowing whether they have separate sub-phases among the post-release phase.
- *Potential questions/probes:* “What is the average duration of the post-release component of your reentry initiative?” (*probe:* “What is the typical length of time it is expected to take the average offender in your reentry initiative to complete the post-release phase of the program?”)
- *Database field format/special instructions:* Check-box (less than 3 months, 4-6 months, 7-9 months, 10-12 months, 13-24 months, more than 24 months); select the category that applies; if necessary, use the “other” text box to enter additional information about sub-phases used by the site in the post-release phase

33. Post-release components and services

- *Description:* We would like to know the different components and services that make up the site’s post-release phase. Specifically, we are interested in knowing whether the post-release phase of their program includes a risk assessment (formal assessment of an offender’s risk of recidivism or revocation), needs assessment (formal assessment of an offender’s treatment needs), case management, treatment plan, release/reentry plan, substance abuse treatment, mental health counseling, medical services, dental services, employment skills/vocational training, education, housing assistance, parenting skills, domestic violence counseling, life skills training, anger management, or any other types of services. Note: the treatment plan and release plan may be quite similar, so go with what the site provides (if they say one or the other then code only what they say). In theory, a reentry plan is more inclusive of a treatment plan (including post-release treatment needs as well) but do not add this unless the site says it.
- *Potential questions/probes:* “Please tell me the which of the following are included for offenders in the pre-release phase: risk assessment, needs assessment, case management, treatment plan, release plan, substance abuse treatment, mental health counseling, medical services, dental services, employment skills/vocational training, education, housing assistance, parenting skills, domestic violence counseling, life skills training, anger management. Does your SVORI program include any other program components or services that I didn’t mention?”

- *Database field format/special instructions:* check-box (risk assessment, needs assessment, case management, treatment plan, release/reentry plan, substance abuse treatment, mental health counseling, medical services, dental services, employment skills/vocational training, education, housing assistance, parenting skills, domestic violence counseling, life skills training, anger management, unknown); select all that apply; if necessary, use the “other” field to enter a succinct description of other services available
34. Key partnering agencies (note: this information will be entered in the “organization table” in the database, rather than as a separate field with the other programmatic information)
- *Description:* We would like to know the names of all of the key partnering agencies involved in the site’s SVORI initiative. These are agencies involved in the planning, implementation (i.e., service delivery), and/or management of the site’s program. These agencies do not need to be funded directly from SVORI (they could be part of the SVORI program but funded from separate sources. Even if the workplan includes a long list of partner agencies, if these are agencies that will be involved in delivering services to offenders, then please enter them in the “organization” table. If the workplan includes a “laundry list” and the agencies do not appear to be involved in service delivery, then do not enter them. If the workplan doesn’t specify the level of involvement, wait until the telephone interview before entering them. In cases in which one or more smaller division/unit within a larger organization are key partnering agencies and are involved in providing separate services, please enter each division/unit in the “organization” table.
 - *Potential questions/probes:* “Can you tell me the key partnering agencies involved in the planning, implementation, and management of your SVORI program?” (note: you might want to ask if the site contact has a directory or some type of document that he/she could fax to you because you will want to get addresses, telephone numbers, and fax numbers). “For each agency you named, can I please have the address and telephone number?” “For each agency you named, can you tell me 1) whether you have an MOU established with that agency (and if no, whether an MOU is in progress) and 2) whether there has been previous collaboration between the lead SVORI agency and the agency prior to receiving your 2003 SVORI grant award (and if yes, whether this collaboration could be described as significant or minimal)?”
 - *Database field format/special instructions:* list the key agencies as organizations in the “organization table” of the database (enter addresses and telephone numbers for each agency) and be sure to flag the “organization type” as “partner agency”; for each partner agency, indicate the status of their MOU in the “MOU” field (“yes”, “no but MOU in progress”, or “no”); for each partner agency, indicate whether previous collaboration existed between the agency and the lead SVORI agency in the “previous collaboration” field (“yes – significant collaboration”, “yes – minimal collaboration”, and “no)
35. Key stakeholders (note: this information will be entered in the “client table” in the database, rather than as a separate field with the other programmatic information)
- *Description:* We would like to know the names of the individuals you consider to be “key stakeholders” in your SVORI program. In many cases, these individuals will be

the main representatives from the agencies described for item 31. Even if the workplan includes a long list of stakeholders, if the stakeholders are with agencies that will be involved in delivering services to offenders, then please enter them in the “client” table. If the workplan includes a “laundry list” and the stakeholders do not appear to be involved in service delivery, then do not enter them. If the workplan doesn’t specify the level of involvement, wait until the telephone interview before entering them.

- *Potential questions/probes:* “Whom do you consider to be the key stakeholders involved in your SVORI program. We are interested in key representatives from the agencies you just named as well as stakeholders who may be with other agencies?” “For each individual, can I please have the address and telephone number?” (note: you might want to ask if the site contact has a directory or some type of document that he/she could fax to you because you will want to get addresses, telephone numbers, fax numbers, and e-mail address).
- *Database field format/special instructions:* list the key stakeholders as clients in the “client table” of the database (enter contact information for each client and be sure to link the client to the appropriate organization); identify the individual as a “key partner”

36. Formal Steering Committee/Management Organization

- *Description:* We would like to know if the site uses a formal steering committee or some other “high level” management organization. This group would typically include senior-level agency representatives (likely the key stakeholders identified in the previous item) who would meet to provide guidance on planning and implementation to the SVORI program.
- *Potential questions/probes:* “Does your site have a formal steering committee or other type of management organization for your SVORI program?” “(if yes) How often does this group meet and what is its primary function?”
- *Database field format/special instructions:* drop-down box (yes, no, unknown); use the drop-down box to select whether the site has a formal steering committee or other high level management organization

37. SVORI-induced change in business

- *Description:* We would like the site contact’s opinion of how SVORI funding has influenced the way of “doing business” in the site (i.e., the types of services that are now available, the collaboration among agencies, the number of offenders who receive services, etc.). This piece of information will only come from the telephone interviews.
- *Potential questions/probes:* “Can you tell me how SVORI funding has changed the way you do business in your site?”
- *Database field format/special instructions:* open-ended text field; enter succinct description

38. Programmatic Changes

- *Description:* This is not a stand-alone piece of information that we want you to specifically look for or ask about. This database field will be used to document major

changes in the site's program over time (including target population, enrollment numbers, services/components, etc.). Do not worry about any major changes that occurred between the original application and the workplan (only focus on major changes occurring subsequently to the workplan). Because the database will only reflect the most "current" information, this field will be used to document information that has changed. For example, if in the telephone interview you learn that something that was described in the workplan is now outdated, you would briefly describe the change. This field should only be used to note substantial changes in the site's SVORI population, enrollment numbers, or services provided.

- *Database field format/special instructions:* open-ended; enter a succinct description

Other Evaluability Issues

This section covers other issues that will help inform the decision regarding whether the site would be an appropriate candidate for our subset of impact evaluation sites.

39. Local Evaluation Efforts

- *Description:* While the SVORI does not require a local evaluation, some sites are planning on using some of their funds for a local evaluation of their program. We would like to know whether they have any plans for a local evaluation and if, so, who is leading the local evaluation effort.
- *Potential questions/probes:* "Is your site planning on conducting a local evaluation for your SVORI program?" (*probe if yes:* "Who do you expect to lead this local evaluation effort?")
- *Database field format/special instructions:* drop-down box (yes, no, unknown); select whether a local evaluation is planned or not; also, if you receive the name of a local evaluator, be sure to enter this name and contact information (try to obtain) in the "client table" and flag this individual as the "local evaluator"

40. MIS flagging SVORI participants

- *Description:* For the subset of sites in which we conduct our longitudinal offender study, we will need a way to identify SVORI participants (and appropriate comparison subjects) prior to their being release from prison. We are interested in knowing whether the site contact knows of any management information system (MIS) that contains offender-level data and somehow allows for the identification of SVORI participants prior to their release from prison. In some cases, the MIS might contain all offenders incarcerated in state prisons or on parole (SVORI and non-SVORI offenders). For example, the State Department of Corrections (DOC) may have a comprehensive database of all offenders under state supervision (i.e., those on parole, probation, and incarcerated in state prisons), with a "flag" for SVORI participants. In other cases, the site may have set up a database that only includes information SVORI participants.
- *Potential questions/probes:* "Do you know of any centralized databases or management information systems that identify offenders as SVORI participants prior

to their release from prison?” (if yes) “Can you identify a contact person who knows about this MIS?” (get contact information)

- *Database field format/special instructions:* check-box (no MIS that identifies SVORI participants, SVORI-specific MIS, other MIS that identifies SVORI participants, unknown); select each category that applies; enter a “client” record for the MIS contact person and select “MIS contact” as the person’s “role”

41. Potential comparison subjects – within the site

- *Description:* For our longitudinal offender study, in addition to identifying the SVORI participants, we are going to need to identify a comparison group of offenders within each site (i.e., inmates released from prison who are not part of the SVORI program). We are interested in any relevant information about where to recruit a comparable group of offenders within the site (i.e, within the same geographical parameters as their SVORI program) that is not receiving SVORI services. Even though the SVORI site contact may not know much about it, it would be very helpful to get the site contact’s opinion about what an appropriate comparison group for the SVORI participants in their site would be. But it is fine if the project director cannot provide any information about this. Also, you may be able to use the workplan descriptions about local evaluation efforts (involving a comparison group) to find appropriate information for this field. Be sure to use your own knowledge about the site (rather than relying strictly on the PD’s opinion).
- *Potential questions/probes:* “Do you have any ideas about what a comparable group of offenders within your site but not receiving SVORI services would be?”
- *Database field format/special instructions:* open-ended text field; enter succinct information

42. Potential comparison subjects – outside the site

- *Description:* We may need to go outside the geographical parameters of the SVORI site to obtain a large enough comparison group (especially for sites that state that they will be able to serve all eligible offenders). Once again, even though the SVORI site contact may not know much about it, it would be very helpful to get the site contact’s ideas about an appropriate comparison group for their SVORI participants but that are located outside of the site. For example, they may know of a geographic region with comparable demographic characteristics, crime rates, etc. as their site or similar correctional institutions (if they are identifying SVORI participants based on correctional institutions). Once again, it is fine if the project director cannot provide any information about this, and be sure to use the workplan descriptions about local evaluation efforts (involving a comparison group) to find appropriate information for this field.
- *Potential questions/probes:* “Do you have any ideas about what a comparable group of offenders outside your site would be?”
- *Database field format/special instructions:* open-ended text field; enter succinct information

After you have covered all of these items in the telephone interviews, be sure to thank the site contact for his/her help and tell them that we will be in touch with them regarding future SVORI national evaluation activities.

SVORI Evaluation “Short List” Site Visit Protocol

Purpose and Overview of Site Visits

- Purpose is to determine which “short list” programs appear most suitable for inclusion in the impact evaluation
 - Note: the site visits are primarily “feasibility” visits – for sites that are selected for the impact evaluation, we will regularly gather additional information as needed
 - Be sure to stress to the PDs that the purpose is not to evaluate or judge their programs, we are simply trying to select the programs that meet our criteria for inclusion in the cross-site evaluation
- Site visits will be approximately 1.5-2 days, depending on scheduling issues and the geographical dispersion of the programs within the site
- The site visits will consist of semi-structured interviews and (if possible) observations of programmatic activities (such as steering committee meetings)
 - Note: We definitely do not want to meet with/interview any offenders, due to human subjects protection concerns, so if the PD suggests this, please indicate that among the sites ultimately selected for the impact evaluation we will likely hold SVORI participant focus groups, but that we do not intend to meet with them during the current site visits.
- The interviews will be conducted in “groups” (approximately 1 hour in duration), with the following stakeholders:
 - Project director (and whatever project staff they would like to include)
 - Local evaluation (if the site is doing a local evaluation)
 - DOC institutional program staff
 - DOC research/MIS staff
 - Community supervision staff (parole/probation)
 - Community service providers
- An ideal ordering of the meetings would consist of:
 - Afternoon of Day 1
 - Project director (and whatever project staff they would like to include)
 - Local evaluator
 - Morning of Day 2
 - DOC institutional program staff
 - DOC research/MIS folks
 - Afternoon of Day 2
 - Community supervision staff
 - Community Service providers
 - Final site visit “wrap up” meeting with Project Director

Site Visit Prep Work

The steps below should be completed for each program within a site. Short list programs and staff assignments are provided in a spreadsheet (posted on the database under "Site Liaison Materials").

1. For all programs within a site, the staff member who conducted the original PD interview will send an e-mail to the PD(s) indicating that we have developed a short list of programs that we would like to visit in person and that their program(s) is one of them. The staff member should convey that the primary goal of the site visit is to gather additional information that would enable us to determine whether the program would be appropriate for inclusion in our intensive evaluation and indicate that while on site, we would like to speak with the PD (and key project staff), local evaluator, key DOC institutional programming staff, key DOC research and MIS staff, key community supervision staff, and key service agency representatives.
 - for sites in which the staff member will be going on the site visit him/her-self, s/he should indicate in the e-mail that s/he will be following up shortly with a phone call to talk about dates for the site visit
 - for sites in which the staff member will not be going on the site visit him/her-self, the staff member should indicate that another RTI or UI staff member will be contacting them to set up the site visit (after the staff member has e-mailed the PD, he/she should let the "backup" site visit staff member know that the PD has been sent the e-mail)

2. Once the PD(s) have received this notification, the "backup" site visit staff member should contact the PD by telephone and:
 - Reiterate the information conveyed in the e-mail
 - Obtain dates in October and November that would NOT work for the site (note: 10/13 is Columbus day and some gov't offices will be closed), as well as dates that would be particularly good (i.e., special SVORI events such as steering committee meetings, orientations, etc. - in geographically dispersed sites staff should particularly ask about occasions in which key people will be in the same place at the same time). The PD may need to consult with the individuals with whom you will be meeting while on site, but we don't want this step to drag on very long.
 - note: the site visits will take approximately a day and a half to 2 days
 - if the lead and/or backup already have a date in mind, they should convey this to the PD and find out whether this is acceptable
 - determine which cities in the state need to be visited (in order to keep the site visit manageable, we will likely just visit the city where the central office is located and perhaps 1 satellite program)
 - this will be based on the number of sites and programs within the state (the PD for each program on our list will need to be contacted)
 - if a "low priority" program is not located in close proximity to the "high priority" program, we do not necessarily need to visit that program in person (we could try to get whatever information is available at the state office)
 - if a program serves multiple counties, it will most likely not be necessary to visit each county

- this step could get complicated, but the point is to try to get a feel for where we need to be while on site (keeping in mind that we would like to do as much as possible within the city where the central office is located, only traveling to a satellite program as necessary)
 - determine the "head" agency individual at the state who should be notified of the site visit (i.e., DOC commissioner) and get contact information for this person
 - notify the PD that we will be sending a letter to this individual notifying them of our upcoming site visit (a copy of this letter can be shared with the PD)
3. Once the backup staff member has gotten the dates from the PD(s) and determined the cities that need to be visited, the staff member should convey this to the lead staff member and work with the lead staff member (and PD[s]) to finalize the site visit date.
- if scheduling conflicts prevent the backup staff member from being able to attend the site visit, the staff member should contact Chris L to arrange for alternate coverage.
4. Once the site visit date has been finalized, the backup staff member should download the head grantee agency letter from the website and mail this to the head individual identified in #2 above. Note that several fields in this letter will need to be filled in by the backup (please enter your name and contact information in the field for "site liaison").
5. Once the head grantee agency letter has been mailed, the backup staff member should work with the PD to schedule the meetings with the individuals listed in #1 (group meetings are preferable).
- our preference would be for the PD to arrange these interviews but since we don't want to burden the PD's, the backup should volunteer to contact the individuals to set up the meetings
 - the PD's may want something in writing to give the interviewees ahead of time; staff members can cut and paste relevant sections from the head grantee agency letter for this purpose
 - note: we should allow at least 1 hour per "group" meeting (and longer for the PD meeting)
6. The backup and lead staff members should coordinate their travel plans and make airline, rental car, and hotel reservations (be sure to get gov't rates). The backup staff member should acquire maps, directions, contact information (etc.) from the PD(s) and prepare an itinerary of the individual meetings for the site visit (note: in many cases, the PD will probably prepare an itinerary for you). The backup should provide the PD with RTI/UI staff member's contact information while on site (i.e., cell phone number, hotel name and number), and, if the PD was not involved in scheduling the individual meetings, a copy of your itinerary. Other "heads up" materials to be sent to the PD ahead of time include the 2-page overview of the cross-site evaluation (posted on the website) and a list of the site visit questions (you will need to cut and paste these from the protocol but be sure not to include the "front" and "back" material or the "site visit wrap-up" material).

7. Prior to the site visit, both the backup and lead staff member should familiarize themselves with all site materials (i.e., workplans, database information, 1-page narratives) and the site visit protocol. The backup should download relevant documents from state websites, such as lists of correctional institutions (and any available information about enrollment, transfers, etc. at the institutions), state MIS information, information about parole in the state, etc. Other relevant documents to bring include business cards, a copy of the SVORI award notice (if necessary in order to qualify for government rates), copies of the cross-site evaluation overview (to distribute to the PD), and a re-formatted list of the site visit questions below (formatted conducive to note-taking) with any existing information derived from the telephone interviews already inserted.

Site Visit Activities

While on the site visit, the lead staff member will lead the meetings and the backup will take notes and help as needed. The lead and backup should keep a list of outstanding issues/discrepancies to discuss with the PD at the final debriefing.

Below are the topics and questions that should be covered in each stakeholder meeting:

Project Director/staff

1. Program phases and components

- How many phases does your project have?
- What services and components are available to SVORI participants in each phase (include case management, assessment, release planning, supervision, etc.)?
- In the pre-release phase, do you know the extent of variation among participation institutions regarding what services they deliver through SVORI (note: this question pertains to institutional-level variation rather than individual-level variation)?
- Are SVORI participants transferred to a special facility for pre-release programming (i.e., while they are still serving their sentence)?
- Does the post-release phase involve group/institutional housing for participants?
- When does each phase begin (for a given participant)?
- How long do offenders spend in each phase?
- Have all phases been developed (i.e., finalized decisions about the content of each phase, service contracts in place, etc.)?
- Have participants been enrolled in each phase yet?
- Can participants be enrolled in phases independently of one another (e.g., can someone enter the community phase of the program without having completed the institutional phase)?

2. Intake case processing/pipeline

- When are offenders screened as 'paper eligible'? (by "paper eligible", we mean an initial screening conducted in a standardized way)
- Who screens potential participants?
- What are the eligibility criteria (if not clear from existing information about the site)?
- What pre-release institutions do SVORI participants come from?
- What geographic areas can SVORI participants return to (if not clear from existing information about the site)?

- What is the recruitment and admission process?
- Is entry voluntary or mandatory? (if it differs among participants, in what situations is it voluntary/mandatory?)
- If voluntary, what incentives are used to encourage participation?
- What proportion of eligible offenders are ultimately enrolled in the program?
- (If demand exceeds supply) How do you determine which offenders to admit into the program?
- (if demand exceeds supply) Would your program consider random assignment?
- What type of screening information do you track (i.e., offender-level information on screening scores, etc.)?
- How soon prior to release are participants officially identified as SVORI participants?
- How soon prior to release do participants actually begin receiving SVORI services?

3. *Enrollment*

- How many participants does your program expect to serve over the course of your project (once a number is provided, determine what time period the PD is talking about)?
- How many participants does your program expect to serve annually (once a number is provided, determine what time period the PD means [i.e., 10/03-9/04, 10/04-9/05, etc.]?)
- How many participants are currently enrolled in the program (total and by phase, if possible)?
- **How many total participants does your program expect to serve during the time period from 5/04 through 10/05 (the “enrollment” period for our offender study)?**
- Do you expect your enrollment to be relatively evenly distributed by month (or is the program planning on enrollment en masse)?

4. *Tailoring and Coordination of Services*

- How are offenders matched to available services (e.g., are some mandatory and others available based on institutional availability or client self-selection)?
- What is your program’s approach to coordinating services for individual participants (i.e., individual case management approach, team approach, etc.)?
- What is your program’s approach to coordinating services among agencies (i.e., aggregate-level coordination)?

- Who is responsible for coordinating services for SVORI participants in the pre-release phase?
- Who is responsible for coordinating the transition from the pre-release phase to the post-release phase (i.e., community “reach in”)?
- Who is responsible for coordinating services in the post-release phase?

5. *Comparison group construction*

- In the pre-release phase, what are the differences in the services (and service coordination) received by SVORI participants and non-SVORI offenders?
- In the community phase, what are the differences in the services (and service coordination) received by SVORI participants and non-SVORI offenders?
- Do you have any thoughts about how what an appropriate comparison group to the SVORI participants would be (both within the geographical boundaries of the site and outside of the geographical boundaries)?

6. *Key agencies and stakeholders*

- What agencies or organizations do you consider to be “key partnering agencies”?
- What agencies/organizations do you have MOU’s with?
- What individuals do you consider to be key partners for the SVORI project?

7. *Barriers and Solutions*

- What has been necessary to get SVORI “done?”
- What have been the difficulties and barriers?
- Have there been any major changes in the scope of your program?
- Why did you decide to serve this specific population (i.e., what factors influenced the decision to focus on this target population?)
- Would you categorize your SVORI program as “UP and running”?
- Do you foresee any major changes to your program in the future?

Local Evaluator

1. *Local Evaluation*

- What do you have planned for your local evaluation?
 - What comparison group are you using for your local evaluation?

2. *Management information system*

- Do you know what type of databases are available for offenders under state supervision?
- Do you know what data elements these databases contain (try to obtain print out)?

- Do you know what offenders are included in this database (i.e., only incarcerated offenders, those on probation, etc.)?
- Do you know whether there is a SVORI-specific MIS?
- (if not) Is there another MIS that identifies SVORI participants?
- Do you know how often is the database updated?

3. *Institutional Data*

- Are you aware of any state-level policies regarding conducting research in state prisons?

4. *Comparison Group Construction*

- Do you have any thoughts about how what an appropriate comparison group to the SVORI participants would be (both within the geographical boundaries of the site and outside of the geographical boundaries)?

5. *National Evaluation*

- If the program were selected for the cross-site evaluation, would you have any concerns about the program's participation in both the cross-site and local evaluations?

DOC institutional program staff (note: while we intend to initially obtain this information from central DOC institutional program staff, variability among individual institutions in the processes below may necessitate that we obtain the information from individual facilities, if feasible)

1. *Case Flow Information (only cover if staff are involved with SVORI assessment/screening/intake)*

- When are offenders screened as 'paper eligible?' (by "paper eligible", we mean an initial screening conducted in a standardized way)
- Who screens potential participants?
- What are the eligibility criteria (if not clear from existing information about the site)?
- What pre-release institutions do SVORI participants come from?
- What geographic areas can SVORI participants return to (if not clear from existing information about the site)?
- What is the recruitment and admission process?
- Is entry voluntary or mandatory? (if it differs among participants, in what situations is it voluntary/mandatory?)
- If voluntary, what incentives are used to encourage participation?
- What proportion of eligible offenders are ultimately enrolled in the program?

- (If demand exceeds supply) How do you determine which offenders to admit into the program?
- (if demand exceeds supply) Would your program consider random assignment?
- What type of screening information do you track (i.e., offender-level information on screening scores, etc.)?
- How soon prior to release are participants officially identified as SVORI participants?
- How soon prior to release do participants actually begin receiving SVORI services?

2. *Tailoring and Coordination of Services*

- What services and components are available to SVORI participants during the pre-release phase?
- In the pre-release phase, do you know the extent of variation among participation institutions regarding what services they deliver through SVORI (note: this question pertains to institutional-level variation rather than individual-level variation)?
- How does do the pre-release services for SVORI participants differ from what is available to non-SVORI offenders?
- How are offenders matched to available service (e.g., are some mandatory and others available based on institutional availability or client self-selection)?
- What is your program's approach to coordinating services for individual participants (i.e., individual case management approach, team approach, etc.)?
- What is your program's approach to coordinating services among agencies (i.e., aggregate-level coordination)?
- Who is responsible for coordinating services for SVORI participants in the pre-release phase?
- Who is responsible for coordinating the transition from the pre-release phase to the post-release phase (i.e., community "reach in")?

DOC research/MIS staff

1. *Management information system*

- What type of databases are available for offenders under state supervision?
- What data elements do these databases contain (try to obtain print out)?

- What offenders are included in this database (i.e., only incarcerated offenders, those on probation, etc.)?
- Is there a SVORI-specific MIS?
- (if not) Is there another MIS that identifies SVORI participants?
- How often is the database updated?

2. *Institutional Data*

- Do you have any institution-level enrollment data for the pre-release facilities included in the SVORI program (try to get total enrollment, as well as any breakdowns by age, race, gender, etc.)?
- Do you have any institution-level data on transfer rates?
- Are you aware of any state-level policies regarding conducting research in state prisons?

3. *Comparison Group Construction*

- Do you have any thoughts about how what an appropriate comparison group to the SVORI participants would be (both within the geographical boundaries of the site and outside of the geographical boundaries)?

Community service providers

1. *Staff involvement*

- Can you describe how your agency's staff are involved in SVORI?

2. *Service provision*

- What services are available to SVORI participants through your agency?
- How do these services differ for non-SVORI offenders?
- How are offenders matched to services?
- Who brokers service availability and referral (i.e., coordinates services)?
- Who monitors service use?

3. *Interagency linkages and cooperation*

- Can you describe how your agency communicates w/ others regarding SVORI participants' status?
- How would you describe the degree of information sharing?
- How would you describe the level of collaboration among key partnering agencies in the SVORI project?

5. *MIS information*

- Does your agency utilize an automated system which captures information on the services received by SVORI participants?
- What data elements are contained in that system?

- How often is the data updated?
- Does this system contain individual-level or aggregate data?
- Would it be possible to share this information with external researchers (if the site were to be selected for the impact evaluation)?

Community supervision agents

1. Staff involvement

- Can you describe how your agency's staff are involved in SVORI?

2. Service provision

- What services are available to SVORI participants through your agency?
- How do these services differ for non-SVORI offenders?
- How are offenders matched to services?
- Who brokers service availability and referral (i.e., coordinates services)?
- Who monitors service use?

3. Interagency linkages and cooperation

- Can you describe how your agency communicates w/ others regarding SVORI participants' status?
- How would you describe the degree of information sharing?
- How would you describe the level of collaboration among key partnering agencies in the SVORI project?

4. Community Supervision Conditions

- Are SVORI participants on some type of formal supervision after release?
- If so, what type of supervision?
- What is the average length of time for post-release supervision?
- How (if at all) are the expectations of SVORI integrated into post-release conditions?
- How does supervision differ for SVORI participants and regular parolees?
- Are there specific rewards or sanctions used for SVORI?
- (if yes) What are these?

5. MIS information

- Does your agency utilize an automated system which captures information on the services received by SVORI participants?
- What data elements are contained in that system?
- How often is the data updated?
- Does this system contain individual-level or aggregate data?

- Would it be possible to share this information with external researchers (if the site were to be selected for the impact evaluation)?

Site Visit “Wrap-Up” with PD

- Use this time to ask for clarification on any unresolved questions or major discrepancies you noticed. Also, ask the PD the following questions:
 - What strengths do you think your program could bring to the cross-site evaluation?
 - What concerns do you have about participation in the cross-site evaluation?
- Regarding our next steps in site selection, let the PD know that after we have completed site visits this fall to each of the 28 grantees on our “short list”, we will, in consultation with NIJ, select about half of these sites for the impact evaluation. In making these decisions, we will examine the short list sites with an eye for selecting a variety of programs across different regions of the country that represent distinct approaches to reentry, represent a variety of population types, and that have enrollment sufficient to support our survey field operations. We hope to make our final decisions regarding site selection in January, and they will be notified as soon as any decisions are made. We may also need to contact them in the meantime, in case we need any additional information to make our decision.
- Convey to the PD that you enjoyed learning about their program and were glad to have the opportunity to visit.

Post-Site Visit Activities

After the site visit, the backup staff member should follow-up with the PD to make sure that any outstanding materials have been received (i.e., program materials) and send a thank-you letter to the PD.

Any hard copy materials obtained during the site visit (i.e., program brochures, documents, etc.) should be photocopied (2 copies) so that both RTI and UI can keep a copy in our respective central filing cabinets. RTI's SVORI files are in Chris's office and UI's are in Meghan's office.

As soon after (or even during, if possible) the site visit, the backup staff member will enter the information gathered during the site visit in the "site visit information" section of the database. After the lead staff member has reviewed and approved/edited the information, the backup should enter a completion date for "site visit complete".

Then, the backup should generate an auto-report containing the site visit information entered in the database and edit the report to generate a 5-page summary for each program. The summary should contain the following sections:

- Current program status
- Overview of the program (intake, phases, key components by phase, service coordination, supervision)
- enrollment/case flow information
- potential comparison group members
- MIS and service data availability

After the lead has reviewed and approved/edited the report, please e-mail the report to Laura and Chris for posting on the website.

SVORI MIS –Tables and Data Elements for SVORI Program Information

Program Table (i.e., programmatic information for each program)

Target Population (form heading)

- Population type
 - *Drop down box: adults, juveniles*
- Age range
 - *2 drop down boxes – one for “lower age range” and one for “upper age range” (for each box, the values should be “no limit” and the numbers 12-99)*
- Gender
 - *Drop down box: males, females*
- Offense Type(s)
 - *Drop-down box: sex offenses, other violent offenses, drug offenses, other*
- Criminal history (i.e., number of previous offenses or incarcerations)
 - *Drop-down box: first time offenders, repeat offenders, other*
- Special populations
 - *Drop down box: substance abusers, mentally ill, co-occurring (dual diagnosis), developmentally disabled, physically disabled, other*
- Geographical parameters (e.g., released into a specific county or area/quadrant)
 - *Open-ended text box*
- Other inclusion criteria
 - *Open-ended text box*
- Exclusion criteria
 - *Drop-down box: sex offenders, severely mentally ill, other*

Enrollment/Program Entry Procedures (form heading)

- Screening procedures – when
 - *Open-ended text box*
- Screening procedures – who
 - *Open-ended text box*
- Screening procedures – what
 - *Drop-down box: substance abuse problems, mental illness, risk of recidivism, educational needs, vocational/employment needs, housing needs, other issues*
- Screening procedures – formal risk assessments
 - *Drop-down box: Level of Service Inventory-Revised (LSI-R), Correctional Offender Management Profiling for Alternative Sanctions (COMPAS), Salient Factor Score, CMC (aka Wisconsin System), Risk of Reconviction (ROC) and Criminogenic Needs Inventory (CNI), Community Risk/Needs Management Scale (CRNMS), Case Needs Identification and Analysis (CNIA), Rapid Risk Assessment for Sexual Offense Recidivism (RRASOR),*

Static 99, Minnesota Sex Offender Screening Tool, Sexual Violence Risk – 20 (SVR-20), Hare Psychopathy Checklist –Revised (PCL-R), Violence Risk Assessment Guide (VRAG), Youth Level of Service/Case Management Inventory, Other (specify)

- Stage of enrollment
 - *Open-ended text box*
- Procedures for program entry
 - *Open-ended text box*
- Degree of coercion for participation
 - *Drop-down box: voluntary, mandatory, other*
- Incentives for participation
 - *Open-ended text box*

Program Information (form heading)

- Current stage of implementation
 - *Drop-down box: target population selected, key partners/agencies identified, program components/services identified, service delivery systems in place, participants already enrolled*
- Post-release reentry authority
 - *Drop down box: traditional judge (judicial branch), administrative law judge, parole board (executive branch), community board, other*
- Date of enrollment of first participant
 - *Open-ended text box (Mark – can we **also** have a drop down box associated with this text box with the following categories: anticipated, actual)*
- Monthly caseload
 - *Open-ended text box (Mark – can we **also** have a drop down box associated with this text box with the following categories: anticipated, actual)*
- Total program capacity
 - *Open-ended text box*
- Current program enrollment
 - *Open-ended text box*
- Goals/objectives of program
 - *Open-ended text box*
- Compliance with SVORI 3 phase model
 - *Open-ended text box*
- Relationship to existing reentry efforts
 - *Drop-down box: new program, expansion of existing program, filling service gaps*
- Pre-release programming - duration
 - *Open-ended text box*
- Pre-release programming - timeframe
 - *Open-ended text box*
- Pre-release program components

- *Drop-down box: risk assessment, needs assessment, case management, treatment plan development, other)*
- Pre-release program services
 - *Drop-down box: substance abuse treatment, mental health counseling, medical services, dental services, employment skills/ vocational training,, education, housing assistance, parenting skills, domestic violence counseling, life skills training, anger management, other*
- Post-release programming - duration
 - *Open-ended text box*
- Post-release program components
 - *Drop-down box: risk assessment, needs assessment, case management, treatment plan development, other (Mark – for the “other” category, can we have an associated open-ended text box?)*
- Post-release program services
 - *Drop-down box: substance abuse treatment, mental health counseling, medical services, dental services, employment skills/ vocational training,, education, housing assistance, parenting skills, domestic violence counseling, life skills training, anger management, other (Mark – for the “other” category, can we have an associated open-ended text box?)*
- Post-release - supervision type
 - *Drop-down boxes: parole, probation, other (Mark – for the “other” category, can we have an associated open-ended text box?)*
- Post-release supervision contacts
 - *Open-ended text box*
- Post-release supervision conditions
 - *Open-ended text box*
- Post-release sanctions available
 - *Drop-down box: jail time, community service, more intensive supervision type, more supervision contacts, curfew/travel/other restrictions, more frequent drug testing, increased treatment intensity, writing assignment, jury box, fines, other (Mark – for the “other” category, can we have an associated open-ended text box?)*
- Post-release rewards available
 - *Drop-down box: decreased community service requirements, less intensive supervision type, fewer supervision contacts, fewer curfew/travel/other restrictions, less frequent drug testing, decreased treatment intensity, forgoing fines, less time in court, decreased length of supervision, vouchers, trinkets, certificates, graduation ceremony, praise, other*
- Restitution requirement
 - *Open-ended text box*
- Participant payment for program/treatment
 - *Open-ended text box*
- Formal steering committee/management organization
 - *Open-ended text box*

Other Evaluability Issues (form heading)

- Local evaluation efforts
 - *Open-ended text box*
- MIS flagging SVORI participants
 - *Open-ended text box*
- MIS – content
 - *Drop-down box: offender name, offender address, pre-release facility, offender demographic information, offense history, supervision type, supervision contacts, UA results, court contacts, re-arrests*
- MIS – accuracy and speed
 - *Open-ended text box*
- MIS – maintaining agency
 - *Open-ended text box*
- Other follow-up study participant identification info
 - *Open-ended text box*
- Possibility of random assignment – sample size issues
 - *Open-ended text box*
- Possibility of random assignment – feasibility
 - *Open-ended text box*
- Potential comparison subjects – within site
 - *Open-ended text box*
- Potential comparison subjects – outside site
 - *Open-ended text box*

SVORI Project Director Interview—2005

[Site Name]
[Program Name]

Completed by: _____

Screening and Enrollment

The first questions have to do with how SVORI participants are currently identified and enrolled.		
1. According to the information that was provided or confirmed for the National Portrait, your program eligibility criteria are: [import from <i>National Portrait</i>]. Is this correct?	Y	N
a. <i>[If no]</i> What are the eligibility criteria you are currently using to determine an offender's eligibility for your SVORI program?		
2. Does your agency (DOC or DJJ) maintain an electronic management information system (MIS) or other type of database containing information on offenders under the jurisdiction of the agency?	Y	N
a. <i>[If yes]</i> Do you use the MIS to generate a list of eligible SVORI participants?	Y	N
b. <i>[If yes]</i> Does the MIS contain a "flag" for SVORI participants or otherwise identify offenders who are participating in SVORI?	Y	N
(1) <i>[If no]</i> Does your program maintain a complete electronic list of all individuals who are enrolled in SVORI?	Y	N
3. Do you receive referrals for potential SVORI participants?	Y	N
a. <i>[If yes]</i> Who makes these referrals? Please check <i>all</i> that apply.	<input type="checkbox"/> Facility staff <input type="checkbox"/> Community corrections staff <input type="checkbox"/> Offenders (self-referral) <input type="checkbox"/> Other (specify at left)	

<p>4. Are all offenders who meet the eligibility criteria accepted into the SVORI program (or, if your program is voluntary, invited to participate in the program)?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If no]</i> What are some reasons for rejecting an offender who meets all of the eligibility criteria? Please check <i>all</i> that apply.</p>	<p><input type="checkbox"/> Insufficient capacity <input type="checkbox"/> Offender has highly specialized needs <input type="checkbox"/> Offender is too much of a risk (likely to fail) <input type="checkbox"/> Offender's crime is too notorious <input type="checkbox"/> Offender will likely not be released by parole board <input type="checkbox"/> Other (specify at left)</p>
<p>b. <i>[If no]</i> Approximately what proportion of eligible offenders are NOT accepted into the program (or, if your program is voluntary, invited to participate)?</p>	<p><input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)</p>
<p>5. Is program participation voluntary?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes]</i> Approximately what proportion of eligible offenders decide NOT to participate?</p>	<p><input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)</p>
<p>b. <i>[If yes]</i> Has this changed during the course of the program, and, if so, how?</p>	<p><input type="checkbox"/> The percentage has not changed <input type="checkbox"/> The percentage has decreased <input type="checkbox"/> The percentage has increased</p>
<p>c. <i>[If yes]</i> What do you think is the main reason that offenders decline to participate? Please check <i>only one</i>.</p>	<p><input type="checkbox"/> SVORI requires too much time or effort <input type="checkbox"/> SVORI interferes with their ability to participate in other programs (e.g., work release) <input type="checkbox"/> SVORI involves too much oversight post-release <input type="checkbox"/> They don't think they need the services <input type="checkbox"/> Other (specify at left)</p>
<p>6. What are the consequences of dropping out during the pre-release phase? Please check <i>all</i> that apply.</p>	<p><input type="checkbox"/> None <input type="checkbox"/> Institutional infraction lodged <input type="checkbox"/> Lose privileges <input type="checkbox"/> Not be permitted in other programs <input type="checkbox"/> Lengthen time until release date <input type="checkbox"/> Other (specify at left)</p>
<p>7. Approximately what proportion of enrolled participants end up dropping out prior to release?</p>	<p><input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)</p>

<p>8. What are the consequences of dropping out during the post-release phase? Please check <i>all</i> that apply.</p>	<input type="checkbox"/> None <input type="checkbox"/> Returned to prison <input type="checkbox"/> Technical violation filed but held in abeyance <input type="checkbox"/> Graduated sanction imposed <input type="checkbox"/> Additional conditions imposed <input type="checkbox"/> Other (specify at left)
<p>9. Approximately what proportion of enrolled participants end up dropping out post-release?</p>	<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (76-99%, most) <input type="checkbox"/> A (All)
<p>10. Once they are enrolled, can offenders be terminated from the program (i.e., by program staff) during the pre-release phase?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes]</i> To date, approximately what proportion of enrolled participants have been terminated from the program prior to release?</p>	<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)
<p>b. <i>[If yes]</i> Of those terminated prior to release, what was the main reason for termination? Please check <i>only one</i>.</p>	<input type="checkbox"/> Transferred to another facility <input type="checkbox"/> Drug use <input type="checkbox"/> Behavioral infractions <input type="checkbox"/> Failure to participate/noncompliance with program requirements <input type="checkbox"/> Poor attitude <input type="checkbox"/> Other (specify at left)
<p>11. Once they are enrolled, can offenders be terminated from the program during the post-release phase?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes]</i> To date, approximately what proportion of enrolled participants have been terminated after release?</p>	<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)
<p>b. <i>[If yes]</i> Of those terminated after release, what was the main reason for termination? Please check <i>only one</i>.</p>	<input type="checkbox"/> Transferred outside the post-release geographical area of the program <input type="checkbox"/> Drug use <input type="checkbox"/> Committed technical violation <input type="checkbox"/> Committed new crime <input type="checkbox"/> Reincarcerated <input type="checkbox"/> Failure to comply with program requirements <input type="checkbox"/> Poor attitude <input type="checkbox"/> Other (specify at left)

Assessment Tools

Now we'd like to know about the current assessment practices in your state.

Pre-Release Assessment Tools

First we'd like to know about any assessments that are currently administered **prior to release**.

Throughout this survey, when we refer to "comparable non-SVORI" offenders, we mean individuals comparable to SVORI participants in terms of age, needs, and risk criteria but who are not actually enrolled in the program.

12. Please indicate which of the following assessments are used with offenders while they are incarcerated prior to release. For each type of assessment, please indicate whether the assessment is used with SVORI offenders only (**S**), comparable non-SVORI offenders only (**C**), both SVORI and comparable non-SVORI offenders (**B**), or none (**N**).

a. Risk assessment	S	C	B	N
b. Needs assessment	S	C	B	N
c. Classification assessment (supervision level)	S	C	B	N
d. Substance abuse assessment	S	C	B	N
e. Medical/dental screening	S	C	B	N
f. Psychology/mental health assessment	S	C	B	N
g. IQ test	S	C	B	N
h. Literacy/educational assessment	S	C	B	N
i. Employment/vocational assessment	S	C	B	N
j. Sex offender assessment	S	C	B	N
k. Other (specify: _____)	S	C	B	N
13. Does your state use the Level of Service Inventory (LSI) or a variation on it (LSI-R, Y-LSI, YLS/CMI, YO-LSI) as part of the pre-release assessment process (during incarceration)?	Y			N

Post-Release Assessment Tools

14. Please indicate which of the following assessments are used with offenders **after release**. For each type of assessment, please indicate whether the assessment is used with SVORI offenders only (**S**), comparable non-SVORI offenders only (**C**), both SVORI and comparable non-SVORI offenders (**B**), or none (**N**).

a. Risk assessment	S	C	B	N
b. Needs assessment	S	C	B	N
c. Classification assessment (supervision level)	S	C	B	N
d. Substance abuse assessment	S	C	B	N
e. Medical/dental screening	S	C	B	N
f. Psychology/mental health assessment	S	C	B	N
g. IQ test	S	C	B	N

h. Literacy/educational assessment	S	C	B	N
i. Employment/vocational assessment	S	C	B	N
j. Sex offender assessment	S	C	B	N
k. Other (specify: _____)	S	C	B	N
15. Does your state use the Level of Service Inventory (LSI) or a variation on it (LSI-R, Y-LSI, YLS/CMI, YO-LSI) as part of the post-release assessment process (following incarceration)?	Y			N

Program Focus

The next questions ask about your program’s focus, in terms of target population and programming priorities.	
16. Would you say that your program primarily focuses its resources and efforts on working with the offender prior to release (Pre), after release (Post), or emphasizes pre- and post-release equally (Both)? Please check <i>only one</i> .	<input type="checkbox"/> Pre <input type="checkbox"/> Post <input type="checkbox"/> Both
17. For your pre-release programming, is your SVORI program serving all facilities in the state or targeting select facilities only? Please check <i>only one</i> .	<input type="checkbox"/> All facilities <input type="checkbox"/> Select facilities only
18. For your post-release programming, is your SVORI program primarily serving individuals who are returning to all communities within the state or targeting select communities within the state? Please check <i>only one</i> .	<input type="checkbox"/> All communities <input type="checkbox"/> Select communities
19. Is your program primarily serving the general "serious and violent" offender population or targeting a subset of offenders with specific service needs? Please check <i>only one</i> .	<input type="checkbox"/> General "serious and violent" offender population <input type="checkbox"/> Subset of offenders with specific service needs <input type="checkbox"/> Other (specify at left)
20. Would you classify your program’s service provision as general , in that you attempt to provide <i>all</i> needed services for participants, or targeted , in that you focus on a <i>specific</i> service or small set of <i>specific</i> services? Please check <i>only one</i> .	<input type="checkbox"/> General service provision <input type="checkbox"/> Targeted service provision (specify at left)
21. Is the post-release phase of your program run primarily by a government agency or a private agency? Please check <i>only one</i> .	<input type="checkbox"/> Government agency <input type="checkbox"/> Private agency
22. Would you say your program is using SVORI funds primarily to fill service gaps, expand existing services, or start a new program? Please check <i>only one</i> .	<input type="checkbox"/> Fill service gaps <input type="checkbox"/> Expand existing services <input type="checkbox"/> Start a new program

<p>23. When thinking about providing programming or services to offenders, what are the top three areas on which your program focuses its resources and efforts? Please rank the three areas by putting a "1" next to most important area, "2" next to second most, and "3" next to the third most. (Rank <i>only three</i>.)</p>	<p><i>Rank</i></p> <p>_____ Employment and vocational training</p> <p>_____ Physical health</p> <p>_____ Mental health</p> <p>_____ Substance abuse</p> <p>_____ Family support/unification</p> <p>_____ Community integration</p> <p>_____ Education and skills building</p> <p>_____ Other (specify at left)</p>
<p>24. Besides recidivism, what outcomes does your program hope to affect? Please list your program's top three outcomes.</p>	<p>1.</p> <p>2.</p> <p>3.</p>
<p>25. If you were to be given more federal funding for reentry programming, would you use the funds primarily to fill service gaps, expand existing services, start a new program, or serve a population not eligible for SVORI under the current funding guidelines? Please check <i>only one</i>.</p>	<p><input type="checkbox"/> Fill service gaps</p> <p><input type="checkbox"/> Expand existing services</p> <p><input type="checkbox"/> Start a new program</p> <p><input type="checkbox"/> Serve a population not eligible for SVORI under the current funding guidelines</p>
<p>26. If you were to be given more federal funding for reentry programming, which three programming areas would you consider the three most important? Please rank the three areas by putting a "1" next to most important area, "2" next to second most, and "3" next to the third most. (Rank <i>only three</i>.)</p>	<p><i>Rank</i></p> <p>_____ Employment and vocational training</p> <p>_____ Physical health</p> <p>_____ Mental health</p> <p>_____ Substance abuse</p> <p>_____ Family support/unification</p> <p>_____ Community integration</p> <p>_____ Education and skills building</p> <p>_____ Other (specify at left)</p>

Services

Next we'd like to know about services that offenders in your state are currently receiving during incarceration and after release. For both **SVORI** enrollees and comparable **non-SVORI** offenders (individuals comparable to SVORI enrollees in terms of age, needs, and risk criteria but who are not actually in the program), please circle the letter corresponding to (1) the *proportion* who receive or are referred to the service while they are still incarcerated (**pre-release**), (2) whether the **pre-release** service is provided by *faith-based organizations* (yes or no), (3) whether the **pre-release** service is provided by other *community-based organizations* (yes or no), (4) the *proportion* who receive or are referred to the service after they have been released (**post-release**), (5) whether the **post-release** service is provided by *faith-based organizations* (yes or no), and (6) whether the post-release service is provided by other *community-based organizations* (yes or no).

Service Type	Pre-Release						Post-Release																							
	Proportion Receiving?						Provided by faith-based organization?		Provided by other community-based organization?		Proportion Receiving?						Provided by faith-based organization?		Provided by other community-based organization?											
	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
	N (None) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)																													
27. Risk assessment																														
a. SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
b. Non-SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
28. Needs assessment																														
a. SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
b. Non-SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
29. Treatment/release plan																														
a. SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
b. Non-SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
30. AA/NA																														
a. SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
b. Non-SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
31. Counseling sessions (e.g., individual or group; please do not include drug education classes)																														
a. SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
b. Non-SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
32. Comprehensive drug treatment programs (e.g., residential, therapeutic communities, etc.)																														
a. SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N
b. Non-SVORI	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N	N	F	U	O	M	A	Y	N	Y	N

Service Type	Pre-Release				Post-Release			
	Proportion Receiving? N (None) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)	Provided by faith-based organization?	Provided by other community-based organization?		Proportion Receiving? N (None) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)	Provided by faith-based organization?	Provided by other community-based organization?	
33. Mental health services								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
34. Medical services								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
35. Dental services								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
36. Education/GED/tutoring/literacy								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
37. Vocational training								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
38. Employment referrals/job placement								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
39. Resume and interviewing skills development								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
40. Work release program								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
41. Cognitive skills development/behavioral programming								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
42. Life skills training								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
43. Legal assistance								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	

Service Type	Pre-Release				Post-Release			
	Proportion Receiving? N (None) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)	Provided by faith-based organization?	Provided by other community-based organization?	Provided by faith-based organization?	Provided by other community-based organization?			
44. Assistance obtaining identification (e.g., driver's license, social security card)								
a. SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
45. Assistance obtaining benefits and completing applications (e.g., Medicaid, disability benefits)								
a. SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
46. Financial support/emergency assistance (e.g., housing, clothing)								
a. SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
47. Domestic violence services (e.g., victim and/or perpetrator)								
a. SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
48. Parenting skills development								
a. SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
49. Family reunification								
a. SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
50. Family counseling								
a. SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
51. Anger management/violence counseling								
a. SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
52. Peer support groups								
a. SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N	N F U O M A	Y N	Y N	Y N	

Service Type	Pre-Release				Post-Release			
	Proportion Receiving? N (None) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)	Provided by faith-based organization?	Provided by other community-based organization?		Proportion Receiving? N (None) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)	Provided by faith-based organization?	Provided by other community-based organization?	
53. 1-on-1 mentoring								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
54. Housing placements or referrals								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
55. Transportation								
a. SVORI		n/a	n/a		N F U O M A	Y N	Y N	
b. Non-SVORI	n/a	n/a	n/a		N F U O M A	Y N	Y N	
56. Other service (specify):								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
57. Other service (specify):								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
58. Other service (specify):								
a. SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	
b. Non-SVORI	N F U O M A	Y N	Y N		N F U O M A	Y N	Y N	

<p>59. Of all of the services you indicated (in questions 27–58) are offered in your state, which three have been enhanced the most as a result of SVORI funding?</p>	<p>1.</p> <p>2.</p> <p>3.</p>
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Program Components

<p>The next set of questions pertains to other components of your program. For each component, we'd like to know how it currently applies to both SVORI participants and comparable non-SVORI offenders. Once again, when we refer to "comparable non-SVORI" offenders, we mean individuals comparable to SVORI participants in terms of age, needs, and risk criteria but who are not actually enrolled in the program.</p>				
60. For any offenders in your state, does a representative from the post-release supervision agency begin working with them while they are still incarcerated?		Y	N	
a. <i>[If yes]</i> Does this happen for none, a few (1-25%), just under half (26-50%), just over half (51-75%), most (76-99%), or all of the SVORI enrollees?		<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)		
b. <i>[If yes]</i> Does this happen for none, a few (1-25%), just under half (26-50%), just over half (51-75%), most (76-99%), or all of comparable non-SVORI offenders?		<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)		
61. Are any offenders in your state placed on post-release supervision?		Y	N	
a. <i>[If yes]</i> How many SVORI participants are on some type of post-release supervision: none, a few (1-25%), just under half (26-50%), just over half (51-75%), most (76-99%), or all?		<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)		
b. <i>[If yes]</i> How many of the comparable non-SVORI offenders are on some type of post-release supervision: none, a few (1-25%), just under half (26-50%), just over half (51-75%), most (76-99%), or all?		<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)		
c. <i>[If yes]</i> For the SVORI participants, is the pre-release supervision agent the same person who supervises them post-release ?		Y	N	
62. Does your state use any reentry courts to manage returning prisoners?		Y	N	
a. <i>[If yes]</i> Are reentry courts used for SVORI offenders (S), comparable non-SVORI offenders (C), or both (B)?		S	C	B
b. <i>[If yes]</i> Is the reentry plan imposed by the court as a condition of the offender's release?		Y	N	
63. Has your SVORI program created a set of graduated sanctions specifically for SVORI?		Y	N	
64. Has your SVORI program created a set of rewards specifically for SVORI?		Y	N	

<p>65. Which of the following activities are available to SVORI participants in your state? Please check <i>all</i> that apply.</p>	<input type="checkbox"/> Animal training/care <input type="checkbox"/> Habitat for Humanity <input type="checkbox"/> Community beautification/landscaping <input type="checkbox"/> Community service <input type="checkbox"/> Weed & Seed <input type="checkbox"/> Restitution <input type="checkbox"/> Victim mediation <input type="checkbox"/> Victim awareness/education
<p>66. Do any offenders in your state participate in “restorative justice” activities?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes] Prior to release</i>, are these activities used for SVORI offenders (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>
<p>b. <i>[If yes] After release</i>, are these activities used for SVORI offenders (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>
<p>Items 67 and 68 ask about Community Accountability Panels and Offender-Specific Reentry Teams, respectively. Community Accountability Panels are a group of agency and/or community members who meet regularly to review the status of returning offenders. The offender appears before this board to have his or her case reviewed, and the panel makes recommendations. The members of this panel are the same (for the most part) for all offenders who appear before it. Offender-Specific Reentry Teams are groups consisting of agency representatives (i.e., supervision, service providers) and/or community members. The team composition is unique to each individual offender. The team meets to review the offender’s progress and make recommendations.</p>	
<p>67. For any offenders in your state, are Community Accountability Panels or Boards utilized in the reentry process?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes] Prior to release</i>, are Community Accountability Panels used for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>
<p>b. <i>[If yes] After release</i>, are Community Accountability Panels used for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>
<p>c. <i>[If yes]</i> Which of the following are represented on/members of the Community Accountability Panel? Please check <i>all</i> that apply.</p>	<input type="checkbox"/> Faith-based organization <input type="checkbox"/> Other community service providers <input type="checkbox"/> Law enforcement <input type="checkbox"/> Community Corrections/Supervision <input type="checkbox"/> Corrections agency <input type="checkbox"/> Former prisoner representative <input type="checkbox"/> Victim <input type="checkbox"/> Family members or other community members <input type="checkbox"/> Other (specify at left)
<p>d. <i>[If yes]</i> Is the composition of the Community Accountability Panel different during the pre- and post-release phases? (Please select “n/a” if a Community Accountability is not used both prior to and after release.)</p>	<p style="text-align: center;">Y N n/a</p>

68. For any offenders in your state, are offender-specific reentry teams used? (See definition on previous page.)	Y	N		
a. <i>[If yes]</i> Prior to release , are Offender-Specific Reentry Teams used for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?	S	C	B	N
b. <i>[If yes]</i> After release , are Offender-Specific Reentry Teams used for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?	S	C	B	N
c. <i>[If yes]</i> What agencies or organizations have representatives on the Team? Please check <i>all</i> that apply.	<input type="checkbox"/> Faith-based organization <input type="checkbox"/> Other community service providers <input type="checkbox"/> Law enforcement <input type="checkbox"/> Community Corrections/Supervision <input type="checkbox"/> Corrections agency <input type="checkbox"/> Former prisoner representative <input type="checkbox"/> Victim <input type="checkbox"/> Family members or other community members <input type="checkbox"/> Other (specify at left)			
d. <i>[If yes]</i> Is the composition of the Offender-Specific Reentry Team different during the pre- and post-release phases? (Please select "n/a" if offender-specific reentry teams are not used both prior to and after release.)	Y	N	n/a	
69. Does your state use video-conferencing technology to facilitate the involvement of individuals and organizations in the reentry process?	Y	N		
a. <i>[If yes]</i> Prior to release , is video-conferencing used to facilitate communication across SVORI partnering agencies, with individual offenders, or for some other reason? Please check <i>all</i> that apply. (If video-conferencing is not used pre-release, please check "n/a.")	<input type="checkbox"/> Across SVORI partnering agencies <input type="checkbox"/> With individual offenders <input type="checkbox"/> Other (specify at left) <input type="checkbox"/> n/a			
b. <i>[If yes]</i> After release , is video-conferencing used to facilitate communication across SVORI partnering agencies, with individual offenders, or for some other reason? Please check <i>all</i> that apply. (If video-conferencing is not used post-release, please check "n/a.")	<input type="checkbox"/> Across SVORI partnering agencies <input type="checkbox"/> With individual offenders <input type="checkbox"/> Other (specify at left) <input type="checkbox"/> n/a			
c. <i>[If yes]</i> Is video-conferencing used for SVORI enrollees (S), comparable non-SVORI offenders (C), or both (B)?	S	C	B	
70. For prisoners in your state, do any individuals in pre-release facilities attend curriculum-based classroom programs prior to release ?	Y	N		
a. <i>[If yes]</i> Is this curriculum completed by SVORI offenders (S), comparable non-SVORI offenders (C), or both (B)?	S	C	B	

<p>b. <i>[If yes]</i> What topics are addressed in the program(s)? Please check <i>all</i> that apply.</p>	<input type="checkbox"/> Basic education/GED/college courses <input type="checkbox"/> Cognitive skills <input type="checkbox"/> Computer skills <input type="checkbox"/> Basic vocational training <input type="checkbox"/> Employment issues <input type="checkbox"/> Money management <input type="checkbox"/> Family issues <input type="checkbox"/> Time management <input type="checkbox"/> Substance abuse issues <input type="checkbox"/> Health/nutrition <input type="checkbox"/> Mental health <input type="checkbox"/> Finding a place to live <input type="checkbox"/> Where to go for legal assistance <input type="checkbox"/> Other (specify at left)
<p>c. <i>[If yes]</i> Do the programs involve staff from faith-based organizations, other community-based organizations, both faith-based and other community-based organizations, or neither type of organization?</p>	<input type="checkbox"/> Faith-based organizations only <input type="checkbox"/> Other community-based organizations <input type="checkbox"/> Both faith- and other community-based organizations <input type="checkbox"/> Neither type of organization
<p>The next questions are about individuals and organizations that may be involved in the reentry process in your correctional system in a routine or systematic way.</p>	
<p>71. For any offenders in your state, are family members routinely involved in the reentry process?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes]</i> Prior to release, are family members routinely involved for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>
<p>b. <i>[If yes]</i> After release, are family members routinely involved for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>
<p>72. For any offenders in your state, is a victim routinely involved in the reentry process?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes]</i> Prior to release, are victims routinely involved for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>
<p>b. <i>[If yes]</i> After release, are victims routinely involved for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>
<p>73. For any offenders in your state, is law enforcement routinely involved in the reentry process?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes]</i> Prior to release, is law enforcement routinely involved for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>
<p>b. <i>[If yes]</i> After release, is law enforcement routinely involved for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?</p>	<p style="text-align: center;">S C B N</p>

74. For any offenders in your state, are former prisoners routinely involved in the reentry process?	Y	N
a. <i>[If yes]</i> Prior to release , are former prisoners routinely involved for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?	S	C B N
b. <i>[If yes]</i> After release , are former prisoners routinely involved for SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?	S	C B N
75. Are any offenders in your state offered the option of having a mentor during the reentry process?	Y	N
a. <i>[If yes]</i> Prior to release , are mentors offered to SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?	S	C B N
b. <i>[If yes]</i> After release , are mentors offered to SVORI enrollees (S), comparable non-SVORI offenders (C), both (B), or none (N)?	S	C B N
76. Of all the program components covered in this section (questions 60–74), which three have been enhanced the most as a result of SVORI funding?	1.	2. 3.

Coordination

Service Coordination

The next set of questions pertains to different methods of service coordination. For each type of service coordination strategy, we'd like to know whether you offer it and the extent to which the strategy has been affected by SVORI.	
77. Does your program provide case management to offenders prior to release?	Y N
a. <i>[If yes]</i> Please indicate the proportion of SVORI offenders who receive case management during the pre-release period.	<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)
b. <i>[If yes]</i> Who provides the pre-release case management for SVORI participants? Please check <i>all</i> that apply.	<input type="checkbox"/> Facility staff <input type="checkbox"/> Grantee agency staff (other than facility staff) <input type="checkbox"/> Faith-based organization <input type="checkbox"/> Other community organization or service provider <input type="checkbox"/> Other (specify at left)

c. <i>[If yes]</i> Please indicate the proportion of comparable, non-SVORI offenders who receive case management during the pre-release period.	<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)
78. Does your program provide case management to offenders after release?	<p style="text-align: center;">Y N</p>
a. <i>[If yes]</i> Please indicate the proportion of SVORI offenders who receive case management during the post-release period.	<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)
b. <i>[If yes]</i> For SVORI participants, is the pre-release case manager the same person who will work with them post-release ?	<p style="text-align: center;">Y N</p>
c. <i>[If yes]</i> Who provides the post-release case management for SVORI participants? Please check <i>all</i> that apply.	<input type="checkbox"/> Supervision agency <input type="checkbox"/> Grantee agency staff (other than supervision agent) <input type="checkbox"/> Other community organization or service provider <input type="checkbox"/> Faith-based organization <input type="checkbox"/> Other (specify at left)
d. <i>[If yes]</i> Please indicate the proportion of comparable, non-SVORI offenders who receive case management during the post-release period.	<input type="checkbox"/> N (None) <input type="checkbox"/> F (A few, 1-25%) <input type="checkbox"/> U (Just under half, 26-50%) <input type="checkbox"/> O (Just over half, 51-75%) <input type="checkbox"/> M (Most, 76-99%) <input type="checkbox"/> A (All)
79. Does your program use a “continuity of care” model in which a case manager, supervision officer, or service provider is involved with an individual from the pre-release facility to the community?	<p style="text-align: center;">Y N</p>
a. <i>[If yes]</i> Who provides the continuity of care? Please check <i>all</i> that apply.	<input type="checkbox"/> Supervision officer <input type="checkbox"/> Case manager <input type="checkbox"/> Service provider <input type="checkbox"/> Other (specify at left)
b. <i>[If yes]</i> How has the use of this practice changed as a result of SVORI funding? Is there no change (NC) as a result of SVORI, is it a new practice (N), or has the use of the practice been expanded or enhanced (E)?	<p style="text-align: center;">NC N E</p>
80. Does your program have an individual or set of individuals who work to develop or build service provider networks (sometimes termed a boundary-spanner)?	<p style="text-align: center;">Y N</p>

<p>a. <i>[If yes]</i> What are some responsibilities of this (these) individual(s)? Please check <i>all</i> that apply.</p>	<input type="checkbox"/> Building relationships with community agencies <input type="checkbox"/> Educating community service providers about the unique needs of former prisoners <input type="checkbox"/> Encouraging providers to prioritize or begin serving returning prisoners <input type="checkbox"/> Ensuring the availability of service providers able and willing to accept referrals <input type="checkbox"/> Other (specify at left)
<p>b. <i>[If yes]</i> How has the use of this practice changed as a result of SVORI funding? Is there no change (NC) as a result of SVORI, is it a new practice (N), or has the use of the practice been expanded or enhanced (E)?</p>	<p style="text-align: center;">NC N E</p>
<p>81. Does your program use a one-stop shop within which a variety of treatment providers are available to provide referrals or services to offenders in a single location?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes]</i> Are representatives from the post-release supervision agency (e.g., parole officers) located in the one-stop shop?</p>	<p style="text-align: center;">Y N</p>
<p>b. <i>[If yes]</i> Are faith-based organizations among the providers available in the one-stop shop?</p>	<p style="text-align: center;">Y N</p>
<p>c. <i>[If yes]</i> How has the use of this practice changed as a result of SVORI funding? Is there no change (NC) as a result of SVORI, is it a new practice (N), or has the use of the practice been expanded or enhanced (E)?</p>	<p style="text-align: center;">NC N E</p>
<p>82. Does your program use a “wrap-around” approach where a broad set of interested agencies are involved in developing and delivering a comprehensive, individualized treatment plan that takes into account the offender’s entire social network?</p>	<p style="text-align: center;">Y N</p>
<p>a. <i>[If yes]</i> What types of agencies are involved in this process? Please check <i>all</i> that apply.</p>	<input type="checkbox"/> Law enforcement <input type="checkbox"/> Facility staff <input type="checkbox"/> Post-release supervision <input type="checkbox"/> Employment <input type="checkbox"/> Health <input type="checkbox"/> Mental health <input type="checkbox"/> Substance abuse <input type="checkbox"/> Education <input type="checkbox"/> Faith-based <input type="checkbox"/> Other (specify at left)
<p>b. <i>[If yes]</i> How has the use of the wrap-around approach changed as a result of SVORI funding? Is there no change (NC) as a result of SVORI, is it a new practice (N), or has the use of the practice been expanded or enhanced (E)?</p>	<p style="text-align: center;">NC N E</p>

Program Coordination

Think of the primary agencies you work with to serve SVORI offenders	
83. How often does phone or e-mail contact occur between SVORI program staff and the primary agencies?	<input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually <input type="checkbox"/> Not at all
84. Since SVORI funding began, has the frequency of phone or e-mail contact among the agencies increased, decreased, or stayed the same?	<input type="checkbox"/> Increased <input type="checkbox"/> Decreased <input type="checkbox"/> Stayed the same
85. How often are meetings held between SVORI program staff and the primary agencies to discuss the quality and content of the overall services provided?	<input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually <input type="checkbox"/> Not at all
86. Since SVORI funding began, has the frequency of meetings among the agencies discussing the quality and content of the overall services increased, decreased, or stayed the same?	<input type="checkbox"/> Increased <input type="checkbox"/> Decreased <input type="checkbox"/> Stayed the same
87. How often are meetings held between SVORI program staff and the primary agencies to discuss services to individual SVORI offenders?	<input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually <input type="checkbox"/> Not at all
88. Since SVORI funding began, has the frequency of meetings among the agencies to discuss services to individual offenders increased, decreased, or stayed the same?	<input type="checkbox"/> Increased <input type="checkbox"/> Decreased <input type="checkbox"/> Stayed the same
89. How often are meetings held between SVORI program staff and the primary agencies to strategize about the implementation of approaches to serve SVORI offenders? (For example, shared decision-making about offender accountability and how the system will address it.)	<input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually <input type="checkbox"/> Not at all
90. Since SVORI funding began, has the frequency of meetings to strategize about the implementation of approaches to serve offenders increased, decreased, or stayed the same?	<input type="checkbox"/> Increased <input type="checkbox"/> Decreased <input type="checkbox"/> Stayed the same
91. How often do SVORI program staff and the primary agencies contact one another to facilitate referrals for SVORI participants?	<input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually <input type="checkbox"/> Not at all
92. Since SVORI funding began, has the frequency of agency contact with one another to facilitate referrals for offenders increased, decreased, or stayed the same?	<input type="checkbox"/> Increased <input type="checkbox"/> Decreased <input type="checkbox"/> Stayed the same
93. Please indicate whether you strongly agree (SA), agree (A), neither agree nor disagree (N), disagree (D), or strongly disagree (SD) with each of the following statements about your SVORI program:	
a. A core group of SVORI staff is responsible for handling the day-to-day implementation of program (grant) activities.	SA A N D SD

b. Information sharing about specific offenders across partnering agencies has improved as a result of SVORI.	SA A N D SD
c. Communication across partnering agencies has improved as a result of SVORI.	SA A N D SD
d. Partnering agencies have developed a common vision of reentry as a result of SVORI.	SA A N D SD
e. Partnering agencies have created common goals related to reentry as a result of SVORI.	SA A N D SD
f. SVORI is a collaborative effort among different agencies.	SA A N D SD

Current Program Status

94. Would you say your SVORI program is fully operational? By “fully operational” we mean that the program is up and running and, although the program may evolve, all of the program components are currently being implemented.	Y N <i>[If no, skip to 94d]</i>
a. <i>[If yes]</i> When would you say your program became fully operational? (month/year)	____/____
b. <i>[If yes]</i> When did you enroll your first participant? (month/year)	____/____
c. <i>[If yes]</i> How long did it take to get your program up and running once all of the federal funds were released?	<input type="checkbox"/> < 3 months <input type="checkbox"/> 3–5 months <input type="checkbox"/> 6–8 months <input type="checkbox"/> 9–11 months <input type="checkbox"/> 12+ months
d. <i>[If no]</i> Please describe what part(s) of your program still need(s) to be implemented and explain the reasons for the delay.	
e. <i>[If no]</i> Provide an estimate of the earliest date by which your program will be fully operational.	Estimate: ____/____
95. How many total SVORI participants had you enrolled by 12/31/04?	Number:
96. How does this number compare with your original projections?	<input type="checkbox"/> Fewer than originally projected <input type="checkbox"/> About the same as originally projected <input type="checkbox"/> More than originally projected
97. How many SVORI participants are currently enrolled in the pre-release phase of your program?	Number:
a. As of what date?	(month/year): ____/____
98. How many SVORI participants are currently enrolled in the post-release phase of your program?	Number:
a. As of what date?	(month/year): ____/____

The next set of questions pertains to issues that you may have encountered regarding recruiting or enrolling SVORI participants.	
99. Please indicate the extent to which you agree or disagree that the following issues have limited the number of offenders you were able to enroll. Please indicate whether you strongly agree (SA), agree (A), neither agree nor disagree (N), disagree (D), or strongly disagree (SD) with each of the following statements:	
a. Not enough offenders are being screened for potential eligibility. (Select "n/a" if your program does not have a screening process.)	SA A N D SD n/a
b. The agency's management information system (MIS) or electronic database does not include the data we need to determine if someone is eligible. (Select "n/a" if your agency does not have an MIS.)	SA A N D SD n/a
c. The agency's MIS is difficult to use or is hard to access. (Select "n/a" if your agency does not have an MIS.)	SA A N D SD n/a
d. We have had difficulty obtaining information on eligible offenders from the facilities. (Select "n/a" if facilities are not involved with the identification of eligible participants.)	SA A N D SD n/a
e. Accurate current information about release dates for potential participants has not routinely been available.	SA A N D SD
f. Accurate current information about post-release plans (e.g., post-release area of residence) has not routinely been available.	SA A N D SD
g. Our program's eligibility criteria have been too stringent.	SA A N D SD
h. Inadequate referrals have been made by staff at the facilities. (Select "n/a" if facility staff are not responsible for making referrals in your program.)	SA A N D SD n/a
i. Facility or agency policies have made it difficult to transfer eligible offenders to other facilities for SVORI programming or to prevent the transfer of SVORI participants to facilities that do not offer SVORI programming. (Select "n/a" if participants are not transferred for programming or if SVORI is offered at all facilities.)	SA A N D SD n/a
j. Offenders have been identified but decline to participate. (Select "n/a" if your program is not voluntary.)	SA A N D SD n/a
k. Offenders have been identified too late to complete pre-release programming (i.e., too close to release date). (Select "n/a" if your program does not provide pre-release programming.)	SA A N D SD n/a
l. We have not had the resources to serve the number of offenders that are identified.	SA A N D SD

m. Please describe any other obstacles to recruitment or enrollment that you have encountered in your program.

Issues Surrounding SVORI Implementation

100. Please indicate the extent to which you agree or disagree with the following statements about issues that might have arisen regarding SVORI program implementation. Please indicate whether you strongly agree (SA), agree (A), neither agree nor disagree (N), disagree (D), or strongly disagree (SD) with each of the following statements:

a. We have encountered resistance from...	
(1) top administrators at the facilities.	SA A N D SD
(2) supervisors at the facilities.	SA A N D SD
(3) line staff at the facilities.	SA A N D SD
(4) top administrators at the post-release supervision agency.	SA A N D SD n/a
(5) supervisors at the post-release supervision agency.	SA A N D SD n/a
(6) line officers of the post-release supervision agency.	SA A N D SD n/a
(7) some of the SVORI partner agencies in the community.	SA A N D SD
(8) members of the community to which SVORI offenders return (the 'not in my backyard' syndrome).	SA A N D SD
b. Existing agency regulations or policies have made it difficult to implement SVORI.	SA A N D SD
c. There has been poor communication <i>within</i> agencies.	SA A N D SD
d. There has been poor communication <i>between</i> agencies.	SA A N D SD
e. We have experienced turf battles.	SA A N D SD
f. Funding for reentry is inadequate.	SA A N D SD
g. The available funding has been poorly allocated.	SA A N D SD
h. We have had insufficient staff available.	SA A N D SD
i. Staff training has been inadequate.	SA A N D SD
j. Staff turnover has been high.	SA A N D SD
k. There has been inadequate availability of services for referrals we have made.	SA A N D SD

Sustainability

101. Do you consider the current political climate in your community to be favorable to your reentry programming?	Y	N
102. Are there other reentry initiatives under way in your state?	Y	N
103. What are your plans for your reentry program once SVORI funds are no longer available? Please check <i>all</i> that apply.	<input type="checkbox"/> Discontinue the program <input type="checkbox"/> Continue the program <input type="checkbox"/> Expand the program <input type="checkbox"/> Replace the program	
a. <i>[If you plan to continue or expand the program]</i> Do you think that you have sufficient resources to continue the initiative at the current level?	Y	N
b. <i>[If you plan to continue or expand the program]</i> Will your initiative continue beyond the grant period without additional funds from the federal government?	Y	N
c. <i>[If you plan to continue or expand the program]</i> Are you currently working on ways to sustain the initiative beyond the grant period?	Y	N
d. <i>[If you plan to continue or expand the program]</i> For each of the following strategies, please indicate whether (1) you have used or are currently using the strategy (Y/N), and (2) whether you are planning to use (or continue to use) the strategy in the future (Y/N).	Have used/ currently using	Planning to use/ continue using
(1) Pursue additional federal funding	Y N	Y N
(2) Pursue additional state funding	Y N	Y N
(3) Pursue additional funding from local sources	Y N	Y N
(4) Pursue additional funding from other sources (Specify: _____)	Y N	Y N
(5) Reallocate resources within the current agency	Y N	Y N
(6) Reallocate resources across the partnering agencies	Y N	Y N
(7) Communicate with policy makers about the program	Y N	Y N
(8) Conduct a local evaluation	Y N	Y N
(9) Develop a Web site to convey information about the program	Y N	Y N
(continued)	Have used/ currently using	Planning to use/ continue using
(10) Develop printed materials to convey information about the program	Y N	Y N

(11) Work with the media (e.g., press releases, conferences, interviews, newspaper articles)	Y	N	Y	N
(12) What other strategies are you using or planning to use to sustain or expand your program? (Specify: _____ _____ _____)	Y	N	Y	N
104. Please indicate whether you strongly agree (SA), agree (A), neither agree nor disagree (N), disagree (D), or strongly disagree (SD) with the following statements:				
a. The SVORI initiative is not worth continuing.	SA	A	N	D SD
b. Reentry programming is no better now than it was before SVORI.	SA	A	N	D SD
c. SVORI is helpful to the current target population.	SA	A	N	D SD
d. SVORI would be helpful to all returning offenders.	SA	A	N	D SD
105. Finally, from your perspective, what characteristics of your SVORI program make it particularly unique or innovative?				
<p>Thank you so much for taking the time to complete this survey.</p> <p>If we need to follow up on any of the responses, whom is the most appropriate person for us to contact?</p> <p>Name: _____</p> <p>Phone No.: _____</p> <p>Please make a photocopy of this survey and mail the original to RTI using the Federal Express mailing label. If you have misplaced the label, please contact Mark Pope at (919) 485-5701.</p>				

«SiteName»
«TargetName»

Completed by: _____
Date completed: _____

Program Status

The first set of questions pertains to the status of your SVORI program.	
1. When would you say all of the planned elements of your SVORI program became fully operational (<i>month/year</i>)?	<input type="checkbox"/> Program became fully operational on ___/___ <input type="checkbox"/> Program has not become fully operational
2. Does your program still have a SVORI program director?	Y N
3. Over the course of your grant, how many individuals have held the SVORI program director position?	Number:
4. Have you applied for a no-cost extension for your original SVORI grant?	Y N
5. What is the current end date of your SVORI grant (including any no-cost extensions you have received or will receive on your SVORI grant)? <i>Please do not include extensions as a result of any supplementary funds you may have received from other sources.</i>	(month/year): ___/___
6. What was the original end date of your SVORI grant?	(month/year): ___/___

Enrollment

The next questions pertain to your program’s enrollment.	
7. When did you enroll your first participant (month/year)?	<input type="checkbox"/> We enrolled our first participant on ___/___ <input type="checkbox"/> We have not enrolled any participants
8. As of 3/1/2006, what was the total cumulative enrollment in your SVORI program (i.e., how many individuals did you enroll in your program from its inception to 3/1/06?)	Number:
9. How does this number compare with your original projections?	<input type="checkbox"/> Fewer than originally projected <input type="checkbox"/> About the same as originally projected <input type="checkbox"/> More than originally projected
10. How many SVORI participants are currently enrolled in the pre-release phase of your program?	Number:
11. How many SVORI participants are currently enrolled in the post-release phase of your program?	Number:

12. Are you still enrolling new participants into your program?	Y	N
a. <i>[If yes]</i> How long do you expect to continue enrolling new participants into your program?	<input type="checkbox"/> Plan to continue enrolling until approximately (month/year) ___/___ <input type="checkbox"/> Plan to continue enrolling indefinitely	
b. <i>[If no]</i> When did you stop enrolling new participants into your program?	(month/year): ___/___	
13. Did your SVORI grantee agency (e.g. your Department of Corrections or Juvenile Justice agency) set an enrollment target for your program?	Y	N
a. <i>[If yes]</i> Did your SVORI grantee agency monitor progress toward this target?	Y	N
14. Did the top administrators at your SVORI grantee agency (e.g., DOC or DJJ) set implementation goals for your program?	Y	N
a. <i>[If yes]</i> Did your SVORI grantee agency monitor progress toward these goals?	Y	N
15. Which phase of your program was more difficult to implement? <i>(Please check only one.)</i>	<input type="checkbox"/> Pre-release <input type="checkbox"/> Post-release	
16. What were the three most significant factors that limited the number of participants you were able to enroll in your program? Please rank these three factors by putting a "1" next to the most significant factor "2" next to second most significant, and "3" next to the third most significant. <i>(Please rank only three.)</i>	<i>Rank</i> ___ Not screening enough offenders for potential eligibility ___ Your program's eligibility criteria being too restrictive (i.e., not enough eligible offenders available) ___ The federal funding agency's eligibility criteria being too restrictive ___ Your pre-release agency's management information system (MIS) or electronic database not including the data needed to determine if someone is eligible ___ Your pre-release agency's MIS being difficult to use or hard to access ___ Accurate current information about release dates for potential participants not routinely being available ___ Accurate current information about post-release plans not routinely being available ___ Inadequate referrals by facility staff ___ Facility or agency policies making it difficult to deliver SVORI programming ___ Offenders declining to participate ___ Offenders being identified too late to complete post-release programming (i.e., too close to release date) ___ Inadequate resources to serve the number of offenders identified by facility staff	

Services

<p>The next questions ask about your program’s programming priorities and desired outcomes.</p>	
<p>17. When thinking about providing programming or services to offenders, how has your program focused its resources and efforts overall throughout the course of your program? Please rank the areas by putting a “1” next to your top focus, “2” next to the second focus, “3” next to the third focus, “4” next to the fourth focus, and “5” next to the fifth focus. <i>(Please rank <u>all</u> areas.)</i></p>	<p><i>Rank</i></p> <p>_____ Assessment, Coordination, and Supervision Services (e.g., risk/needs assessments, treatment/release plan development, post-release supervision)</p> <p>_____ Transition Services (e.g., housing placements/referrals, assistance obtaining identification and benefits, legal assistance, financial support/emergency assistance, peer support, mentoring)</p> <p>_____ Health Services (e.g., substance abuse treatment, counseling, mental health services, anger management/violence counseling, medical services, dental services)</p> <p>_____ Employment, Education, and Skills Development Services (e.g., education/GED/tutoring/literacy services, vocational training, employment referrals/job placement, resume/ interviewing skills, work release, cognitive skills development/behavioral programming, life skills)</p> <p>_____ Family services (e.g., family reunification, family counseling, parenting skills, domestic violence services)</p>
<p>18. If you were to be given more federal funding for reentry programming, how would you focus your resources? Please rank the areas by putting a “1” next to your top focus, “2” next to the second focus, “3” next to the third focus, “4” next to the fourth focus, and “5” next to the fifth focus. <i>(Please rank <u>all</u> areas.)</i></p>	<p><i>Rank</i></p> <p>_____ Assessment, Coordination, and Supervision Services (e.g., risk/needs assessments, treatment/release plan development, post-release supervision)</p> <p>_____ Transition Services (e.g., housing placements/referrals, assistance obtaining identification and benefits, legal assistance, financial support/emergency assistance, peer support, mentoring)</p> <p>_____ Health Services (e.g., substance abuse treatment, counseling, mental health services, anger management/violence counseling, medical services, dental services)</p> <p>_____ Employment, Education, and Skills Development Services (e.g., education/GED/tutoring/literacy services, vocational training, employment referrals/job placement, resume/ interviewing skills, work release, cognitive skills development/behavioral programming, life skills)</p> <p>_____ Family services (e.g., family reunification, family counseling, parenting skills, domestic violence services)</p>

<p>19. Besides recidivism, what outcomes does your program hope to affect for individual participants? Please rank the three most important outcomes by putting a "1" next to most important outcome, "2" next to second most, and "3" next to the third most. <i>(Please rank only three.)</i></p>	<p><i>Rank</i></p> <p>_____ Reduced substance use</p> <p>_____ Improved physical and/or mental health</p> <p>_____ Employment</p> <p>_____ Educational attainment</p> <p>_____ Housing</p> <p>_____ Family reunification/functioning</p> <p>_____ Community integration/connectedness</p> <p>_____ Improved decision-making or self-sufficiency</p> <p>_____ Other (please specify in the box at the left)</p>
<p>20. If someone were evaluating the effectiveness of your SVORI program, what measurable outcomes do you think it would be fair to use to determine program effectiveness? <i>(Please check all that apply.)</i></p>	<p><input type="checkbox"/> Reduced recidivism</p> <p><input type="checkbox"/> Reduced substance use</p> <p><input type="checkbox"/> Improved physical and/or mental health</p> <p><input type="checkbox"/> Employment</p> <p><input type="checkbox"/> Educational attainment</p> <p><input type="checkbox"/> Housing</p> <p><input type="checkbox"/> Family reunification/functioning</p> <p><input type="checkbox"/> Community integration/connectedness</p> <p><input type="checkbox"/> Improved decision-making or self-sufficiency</p> <p><input type="checkbox"/> Other (please specify in the box at the left)</p>

Next we'd like to know about services that offenders in your state are currently receiving during incarceration and after release. For each service type in the table below, please indicate the following by circling the appropriate letter:

Pre-release services

- Whether *pre-release* services of this type have changed (N, S, NC, NA) as a result of SVORI [if the service is not available to any offenders, circle NA and skip the following two steps related to proportions served]
- The proportion (N, F, U, O, M, A) of **SVORI** participants who receive or are referred to the service *pre-release* [circle the letter on the "a" line]. If you are not currently serving any SVORI participants pre-release, please leave the "a" line blank.
- The proportion (N, F, U, O, M, A) of the general serious and violent offender (**General SVO**) inmate population who receive or are referred to the service *pre-release* [circle the letter on the "b" line"]

Post-release services

- Whether *post-release* services of this type have changed (N, S, NC, NA) as a result of SVORI [if the service is not available to any offenders, circle NA and skip the following two steps related to proportions served]
- The proportion (N, F, U, O, M, A) of **SVORI** participants who receive or are referred to the service *post-release* [circle the letter on the "a" line]. If you are not currently serving any SVORI participants post-release, please leave the "a" line blank.
- The proportion (N, F, U, O, M, A) of the general serious and violent offender (**General SVO**) inmate population who receive or are referred to the service *post-release* [circle the letter on the "b" line"]

	Pre-Release		Post-Release	
	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1-25%) U (Just under half, 26-50%) O (Just over half, 51-75%) M (Most, 76-99%) A (All)	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1-25%) U (Just under half, 26-50%) O (Just over half, 51-75%) M (Most, 76-99%) A (All)
21. Case management	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
22. Risk assessment	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
23. Needs assessment	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
24. Treatment/release plan	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
25. Formal post-release supervision	not applicable		N S NC NA	
a. SVORI				N F U O M A
b. General SVO population				N F U O M A

	Pre-Release		Post-Release	
	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)
26. In-person contact from the post-release case manager or supervision officer while the offender is still incarcerated	N S NC NA		not applicable	
a. SVORI b. General SVO population		N F U O M A N F U O M A		
27. Reentry courts	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
28. Video-conferencing	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
29. Offender-specific reentry teams (groups consisting of agency representatives and/or community members that review and develop a plan for the offender)	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
30. AA/NA	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
31. Counseling sessions for drug or alcohol use (e.g., individual or group; please do not include drug education classes)	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A

	Pre-Release		Post-Release	
	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)
32. Comprehensive drug treatment programs (e.g., residential, therapeutic communities, etc.)	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
33. Mental health services	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
34. Anger management/violence counseling	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
35. Education/GED/tutoring/literacy	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
36. Employment referrals/job placement	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
37. Resume and interviewing skills development	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
38. Cognitive skills development/behavioral programming	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
39. Life skills training	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A

	Pre-Release		Post-Release	
	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)
40. Pre-release curriculum	N S NC NA		not applicable	
a. SVORI b. General SVO population		N F U O M A N F U O M A		
41. Assistance obtaining identification (e.g., driver's license, social security card)	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
42. Assistance obtaining benefits and completing applications (e.g., Medicaid, disability benefits)	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
43. Financial support/emergency assistance (e.g., housing, clothing)	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
44. Parenting skills development	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
45. Family reunification	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
46. Peer support groups	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A
47. One-on-one mentoring	N S NC NA		N S NC NA	
a. SVORI b. General SVO population		N F U O M A N F U O M A		N F U O M A N F U O M A

	Pre-Release		Post-Release	
	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)	How has the service changed as a result of SVORI? N (Newly implemented) S (Substantially enhanced) NC (No substantial change) NA (Service not available)	Proportion receiving the service: N (None, but service available) F (A few, 1–25%) U (Just under half, 26–50%) O (Just over half, 51–75%) M (Most, 76–99%) A (All)
48. Housing placements or referrals	N S NC NA		N S NC NA	
a. SVORI		N F U O M A		N F U O M A
b. General SVO population		N F U O M A		N F U O M A
49. Transportation	not applicable		N S NC NA	
a. SVORI				N F U O M A
b. General SVO population		N F U O M A		N F U O M A

50. Please describe your program’s approach to service coordination.
 We may post your response on your program’s profile on the SVORI Multi-Site Evaluation website. Please check here if you do **not** want your response posted:

51. Please describe any programming delivered to SVORI participants once the formal post-release supervision phase is complete (i.e., the “Sustain and Support” phase described in the original SVORI solicitation).
 We may post your response on your program’s profile on the SVORI Multi-Site Evaluation website. Please check here if you do **not** want your response posted:

Organizational Context

The next set of questions asks about organizational context, including interagency communication and collaboration.					
52. What were the most significant barriers to implementation that your program encountered? Please rank the top three barriers by putting a "1" next to biggest barrier "2" next to second biggest, and "3" next to the third biggest. (Please rank only three.)		<p><i>Rank</i></p> <p>___ Existing agency regulations or policies</p> <p>___ Turf battles</p> <p>___ Inadequate funding</p> <p>___ Poor allocation of available funding</p> <p>___ Insufficient staff</p> <p>___ Inadequate staff training</p> <p>___ Staff turnover</p> <p>___ Inadequate availability of services</p> <p>___ Poor intra-agency communication</p> <p>___ Poor inter-agency communication</p> <p>___ Other (please specify in the box at left)</p>			
53. Please complete the table below, indicating whether each of the following agencies or community-based organizations (CBO) has been involved in your SVORI programming and the extent to which you agree or disagree with the statements about the agency's involvement. (Please complete the entire row for each agency/CBO, even if you answer "no" in the first column.)					
	Has this agency/CBO been involved in your SVORI program?	Do you strongly agree (SA), agree (A), neither agree nor disagree (N), disagree (D), or strongly disagree (SD) with the following?			
		We have encountered resistance from this agency/CBO as we implemented SVORI.	Support for SVORI from this agency/CBO has been strong.	This agency/CBO made major contributions toward SVORI programming.	
a.	Pre-release supervision agency (e.g., DOC/DJJ)	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
b.	Post-release supervision agency	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
c.	Faith-based organizations	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
d.	Substance abuse agencies or CBO's	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
e.	Mental health agencies or CBO's	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
f.	Family/social services agencies or CBO's	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
g.	Law enforcement agency	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
h.	Housing agencies or CBO's	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
i.	Employment agencies or CBO's	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
j.	Vocational training agencies or CBO's	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
k.	Technical institutions, community colleges, and universities	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD
l.	[Juvenile programs only] Local school systems	Y N SA A N D SD	SA A N D SD	SA A N D SD	SA A N D SD

54. Please complete the table below, indicating whether you strongly agree (SA), agree (A), neither agree nor disagree (N), disagree (D), or strongly disagree (SD) with the following statements about the groups below.		
	We have encountered resistance from this group as we implemented SVORI.	Support for SVORI from this group has been strong.
a. Top administrators at the pre-release facilities	SA A N D SD	SA A N D SD
b. Supervisors at the pre-release facilities	SA A N D SD	SA A N D SD
c. Line staff at the pre-release facilities	SA A N D SD	SA A N D SD
d. Top administrators at the post-release supervision agency	SA A N D SD	SA A N D SD
e. Supervisors at the post-release supervision agency	SA A N D SD	SA A N D SD
f. Line staff at the post-release supervision agency	SA A N D SD	SA A N D SD
g. Members of the community to which SVORI participants are returning	SA A N D SD	SA A N D SD

55. Please indicate whether you strongly agree (SA), agree (A), neither agree nor disagree (N), disagree (D), or strongly disagree (SD) with each of the following statements about your SVORI program:	
a. Information sharing about specific offenders across partnering agencies has improved as a result of SVORI.	SA A N D SD
b. Communication across partnering agencies has improved as a result of SVORI.	SA A N D SD
c. Partnering agencies have developed a common vision of reentry as a result of SVORI.	SA A N D SD
d. Partnering agencies have created common goals related to reentry as a result of SVORI.	SA A N D SD
e. SVORI is a collaborative effort among different agencies.	SA A N D SD
f. The original SVORI partnering agencies are still very involved in SVORI.	SA A N D SD
g. The culture within your SVORI grantee agency (e.g., DOC or DJJ) is supportive of reentry programs in general.	SA A N D SD
h. The culture within your SVORI grantee agency is supportive of SVORI.	SA A N D SD
i. The current political climate in your community is favorable to reentry programming in general.	SA A N D SD
t. Support for SVORI from the state legislature has been strong.	SA A N D SD
u. Support for SVORI from the executive branch of the state government has been strong.	SA A N D SD

Sustainability and Lessons Learned

The final set of questions addresses program sustainability, local evaluation efforts, technical assistance, and lessons learned.	
56. Since you received your original SVORI grant, has your SVORI program received funding from any of the following sources? <i>(Please check all that apply.)</i>	<input type="checkbox"/> Supplemental SVORI funds from the Federal government <input type="checkbox"/> Funds other than SVORI funds from the Federal government <input type="checkbox"/> Funds from state agencies other than your SVORI grantee agency (e.g., DOC or DJJ) <input type="checkbox"/> Funds (additional or reallocated) from your SVORI grantee agency <input type="checkbox"/> Funds from local government(s) <input type="checkbox"/> Funds from non-profit, not-for-profit, or other private organizations <input type="checkbox"/> Other (please specify in the box at left)
57. Are there other reentry initiatives (besides SVORI) under way in your state?	Y N
58. Are you planning to continue any elements of your SVORI program once SVORI funds are no longer available?	Y N [skip to 58c]
a. <i>[If yes to 58]</i> Which elements are you planning to retain?	<input type="checkbox"/> Steering committee <input type="checkbox"/> Other partnerships formed through SVORI <input type="checkbox"/> Staff hired through SVORI <input type="checkbox"/> Curriculum developed through SVORI <input type="checkbox"/> Service coordination approach <input type="checkbox"/> Approach for screening offenders for eligibility <input type="checkbox"/> Specific pre-release services enhanced through SVORI <input type="checkbox"/> Specific post-release services enhanced through SVORI <input type="checkbox"/> Other (please specify in the box at left)
b. <i>[If yes to 58]</i> Are you planning to expand your program?	Y N
b1. <i>[If yes to 58b]</i> In which of the following ways are you planning to expand your program? Please check all that apply.	<input type="checkbox"/> Expand pre-release programming to additional facilities <input type="checkbox"/> Expand post-release programming to additional communities <input type="checkbox"/> Expand offender eligibility criteria <input type="checkbox"/> Offer more pre-release services <input type="checkbox"/> Offer more post-release services <input type="checkbox"/> Lengthen the duration of the pre-release phase <input type="checkbox"/> Lengthen the duration of the post-release phase <input type="checkbox"/> Hire more staff <input type="checkbox"/> Other (please specify in the box at left)

<p>c. [If no to 58] What are the main reasons that you are not planning to continue your SVORI program? (Please check all that apply.)</p>	<p><input type="checkbox"/> Insufficient funding <input type="checkbox"/> Lack of support from your SVORI grantee agency (e.g., DOC or DJJ) <input type="checkbox"/> Lack of support from other partnering agencies <input type="checkbox"/> Too many barriers to program implementation/operation <input type="checkbox"/> Insufficient numbers of eligible participants <input type="checkbox"/> Program model was not viewed as successful <input type="checkbox"/> Other (please specify in the box at left)</p>
<p>59. In order to take reentry programming (not just SVORI programming) “to scale” in your state (i.e., provide comprehensive reentry services to all returning offenders in the state), which factors are necessary <u>in addition to state or local funding for reentry programming</u>? Please rank the top three areas by putting a “1” next to what you consider to be the most important factor, “2” next to the second most important, and “3” next to the third most important. (Please rank only three.)</p>	<p><i>Rank</i> ___ Support from elected state officials ___ Support from top administration at DOC/DJJ ___ Support from other partnering agencies ___ Support from the community ___ An effective model for service coordination ___ An accessible, easy-to-use management information system (MIS) containing detailed information on offenders ___ Policies that make reentry programming part of the agency’s standard operating procedure ___ Other (please specify in the box at left)</p>
<p>60. Please indicate whether your SVORI partnership has engaged in the following sustainability strategies.</p>	
<p>a. Held sustainability planning meetings</p>	<p>Y N</p>
<p>b. Assessed progress achieved compared with original goals</p>	<p>Y N</p>
<p>c. Assessed resource needs</p>	<p>Y N</p>
<p>d. Developed a sustainability plan</p>	<p>Y N</p>
<p>e. Extended MOAs with partnering agencies</p>	<p>Y N</p>
<p>f. Sought out other partnering agencies</p>	<p>Y N</p>
<p>g. Pursued additional federal funding</p>	<p>Y N</p>
<p>h. Pursued additional state funding</p>	<p>Y N</p>
<p>i. Pursued additional funding from local sources</p>	<p>Y N</p>
<p>j. Pursued additional funding from private funding sources</p>	<p>Y N</p>
<p>k. Reallocated resources within your SVORI grantee agency (e.g., DOC or DJJ) in order to continue SVORI</p>	<p>Y N</p>

l. Reallocated resources across the partnering agencies in order to continue SVORI	Y	N																																																					
m. Cross-training of staff	Y	N																																																					
n. Other (please specify: _____)	Y	N																																																					
61. Has your program conducted a local evaluation or made an attempt to document the success of the program in affecting offender outcomes such as recidivism?	Y	N																																																					
a. [If yes] Have any reports been produced from your local evaluation?	Y	N																																																					
b. [If yes] Have you communicated the results of your local evaluation/analyses to local, state, or federal policy makers?	Y	N																																																					
<p>c. [If yes] For each outcome below, please indicate whether the outcome was evaluated in your local evaluation, and, for each outcome that was evaluated, whether the analyses demonstrated a positive program effect.</p> <table border="1" data-bbox="305 806 1438 1220"> <thead> <tr> <th data-bbox="305 869 792 898">Outcome</th> <th colspan="2" data-bbox="808 842 1019 898">Was the Outcome Evaluated?</th> <th colspan="2" data-bbox="1062 806 1438 898">[If yes] Did the analyses demonstrate a positive program effect?</th> </tr> </thead> <tbody> <tr> <td data-bbox="305 905 792 934">c1. Service utilization</td> <td data-bbox="850 905 876 934">Y</td> <td data-bbox="948 905 974 934">N</td> <td data-bbox="1192 905 1218 934">Y</td> <td data-bbox="1273 905 1299 934">N</td> </tr> <tr> <td data-bbox="305 934 792 963">c2. Recidivism</td> <td data-bbox="850 934 876 963">Y</td> <td data-bbox="948 934 974 963">N</td> <td data-bbox="1192 934 1218 963">Y</td> <td data-bbox="1273 934 1299 963">N</td> </tr> <tr> <td data-bbox="305 963 792 993">c3. Substance use</td> <td data-bbox="850 963 876 993">Y</td> <td data-bbox="948 963 974 993">N</td> <td data-bbox="1192 963 1218 993">Y</td> <td data-bbox="1273 963 1299 993">N</td> </tr> <tr> <td data-bbox="305 993 792 1022">c4. Physical or mental health</td> <td data-bbox="850 993 876 1022">Y</td> <td data-bbox="948 993 974 1022">N</td> <td data-bbox="1192 993 1218 1022">Y</td> <td data-bbox="1273 993 1299 1022">N</td> </tr> <tr> <td data-bbox="305 1022 792 1052">c5. Educational attainment</td> <td data-bbox="850 1022 876 1052">Y</td> <td data-bbox="948 1022 974 1052">N</td> <td data-bbox="1192 1022 1218 1052">Y</td> <td data-bbox="1273 1022 1299 1052">N</td> </tr> <tr> <td data-bbox="305 1052 792 1081">c6. Employment</td> <td data-bbox="850 1052 876 1081">Y</td> <td data-bbox="948 1052 974 1081">N</td> <td data-bbox="1192 1052 1218 1081">Y</td> <td data-bbox="1273 1052 1299 1081">N</td> </tr> <tr> <td data-bbox="305 1081 792 1110">c7. Housing</td> <td data-bbox="850 1081 876 1110">Y</td> <td data-bbox="948 1081 974 1110">N</td> <td data-bbox="1192 1081 1218 1110">Y</td> <td data-bbox="1273 1081 1299 1110">N</td> </tr> <tr> <td data-bbox="305 1110 792 1140">c8. Family unification/support</td> <td data-bbox="850 1110 876 1140">Y</td> <td data-bbox="948 1110 974 1140">N</td> <td data-bbox="1192 1110 1218 1140">Y</td> <td data-bbox="1273 1110 1299 1140">N</td> </tr> <tr> <td data-bbox="305 1140 792 1169">c9. Community integration</td> <td data-bbox="850 1140 876 1169">Y</td> <td data-bbox="948 1140 974 1169">N</td> <td data-bbox="1192 1140 1218 1169">Y</td> <td data-bbox="1273 1140 1299 1169">N</td> </tr> <tr> <td data-bbox="305 1169 792 1199">c10. Other (please specify: _____)</td> <td data-bbox="850 1169 876 1199">Y</td> <td data-bbox="948 1169 974 1199">N</td> <td data-bbox="1192 1169 1218 1199">Y</td> <td data-bbox="1273 1169 1299 1199">N</td> </tr> </tbody> </table>	Outcome	Was the Outcome Evaluated?		[If yes] Did the analyses demonstrate a positive program effect?		c1. Service utilization	Y	N	Y	N	c2. Recidivism	Y	N	Y	N	c3. Substance use	Y	N	Y	N	c4. Physical or mental health	Y	N	Y	N	c5. Educational attainment	Y	N	Y	N	c6. Employment	Y	N	Y	N	c7. Housing	Y	N	Y	N	c8. Family unification/support	Y	N	Y	N	c9. Community integration	Y	N	Y	N	c10. Other (please specify: _____)	Y	N	Y	N
Outcome	Was the Outcome Evaluated?		[If yes] Did the analyses demonstrate a positive program effect?																																																				
c1. Service utilization	Y	N	Y	N																																																			
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c9. Community integration	Y	N	Y	N																																																			
c10. Other (please specify: _____)	Y	N	Y	N																																																			
62. Has your program engaged in communication/public relations designed to convey information about the program to the public?	Y	N																																																					
63. For each of the following types of technical assistance (from the SVORI technical assistance provider), please indicate whether you needed it, whether you received it, and if you received it, how helpful it was (very helpful, somewhat helpful, not at all helpful).																																																							
Type of Assistance	Did you need the assistance?		Did you receive the assistance?		[If yes] How helpful was the assistance?																																																		
	Y (Yes) N (No)		Y (Yes) N (No)		V (Very helpful) S (Somewhat helpful) N (Not at all helpful)																																																		
a. Assistance with federal fiscal reporting	Y	N	Y	N	V	S	N																																																
b. Assistance with performance measurement (GPRA) reporting	Y	N	Y	N	V	S	N																																																
c. Assistance forming a steering committee	Y	N	Y	N	V	S	N																																																
d. Assistance with staff training	Y	N	Y	N	V	S	N																																																

Type of Assistance	Did you need the assistance?		Did you receive the assistance?		[If yes] How helpful was the assistance?		
	Y (Yes) N (No)		Y (Yes) N (No)		V (Very helpful) S (Somewhat helpful) N (Not at all helpful)		
e. Assistance with evidence-based program selection	Y	N	Y	N	V	S	N
f. Assistance with risk/needs assessments	Y	N	Y	N	V	S	N
g. Assistance with substance use programming	Y	N	Y	N	V	S	N
h. Assistance with mental health programming	Y	N	Y	N	V	S	N
i. Assistance with employment programming	Y	N	Y	N	V	S	N
j. Assistance with housing programming	Y	N	Y	N	V	S	N
k. Assistance with family/community integration programming	Y	N	Y	N	V	S	N
l. Local evaluation assistance	Y	N	Y	N	V	S	N
m. Other assistance (please specify: _____)	Y	N	Y	N	V	S	N
n. Other assistance (please specify: _____)	Y	N	Y	N	V	S	N
o. Other assistance (please specify: _____)	Y	N	Y	N	V	S	N

64. What is the key component of your SVORI program that you think has made the biggest difference for program participants?
*We may post your response on your program's profile on the SVORI Multi-Site Evaluation website. Please check here if you do **not** want your response posted:*

65. What components of your SVORI program did not appear to work?
*We may post your response on your program's profile on the SVORI Multi-Site Evaluation website. Please check here if you do **not** want your response posted:*

66. What have been the most significant organizational or systems-level changes as a result of SVORI?
*We may post your response on your program's profile on the SVORI Multi-Site Evaluation website. Please check here if you do **not** want your response posted:*

Thank you very much for taking the time to complete this survey.

If we need to follow up on any of the responses, who should we contact?

Name: _____

Phone No.: _____

Email address: _____

In order to update our records, please provide the contact information for the individual responsible for your program's local evaluation (if applicable).

Name: _____

Phone No.: _____

Email address: _____

Please make a photocopy of this survey and mail the original to RTI by *March 31, 2006*, using the Federal Express mailing label. If you have misplaced the label, please contact Mark Pope at (919) 485-5701.

2007 Sustainability E-mail Survey for all Project Directors

1. Is your agency (DOC or DJJ) continuing any activities that were initially created with SVORI funding (e.g. additional staff, expanded programming)?
 - a. Please indicate whether any aspects of the following core elements initiated or enhanced through SVORI are being continued [a) screening and assessment processes; b) case management; c) coordination of services between pre-release and post-release; d) specific programs or services]
 - b. Are you continuing all of the activities that were initiated or enhanced through SVORI?
2. Is your agency currently implementing other reentry components or initiatives that were not created with SVORI funding?
3. Funding for reentry activities originally created with SVORI funding (SVORI-specific activities)...
 - a. Has your agency reallocated funds internally to continue all or some SVORI-specific activities?
 - b. Has your state legislature provided a direct allocation (SVORI-specific line item) to your agency to continue all or some SVORI-specific activities?
4. Funding for other reentry activities or initiatives...
 - a. Has your agency reallocated funds internally to support other (non-SVORI) reentry activities or initiatives?
 - b. Has your state legislature provided a direct allocation (reentry-specific line item) to implement other (non-SVORI) reentry activities or initiatives?

SVORI Implementation Assessment Site Visit Protocol for Impact Evaluation Sites (Spring/Summer 2005)

Overview and Purpose

The site team will conduct an implementation assessment site visit to each impact evaluation site in the spring and summer of 2005 (June-August). For multi-program sites, the site visit will focus on only the programs involved in the impact evaluation. The primary purpose of the site visits is to get the perspective of a variety of key stakeholders on several important implementation assessment topics. The secondary purpose is to identify and resolve any problems related to impact data collection. The site visits will last approximately 2-3 days and will consist of semi-structured interviews with key stakeholders. The site team will use the information gathered during the site visit to produce a site visit report.

This protocol describes pre-site visit activities, outlines the key stakeholders to be interviewed and the topics to be covered in each interview, lists the questions to be asked, and provides guidance on the site visit report generated from the site visit.

Pre-Site Visit Activities

The site team should contact the Project Director to convey the purpose of the site visits and to identify potential dates for the site visit. The site team should send the PD a description of the key stakeholder roles (using their prior knowledge of the site to customize the list) and a copy of the "site visit topics by stakeholder" table (both of which are provided in the following section), so that the PD can help identify the individuals with whom you need to meet and customize the topics to be covered during each interview. When discussing potential interviewees, please be sure to discuss with the PD which types of "line staff" can most appropriately answer the questions on treatment/supervision of non-SVORI (comparison) offenders. If the staff that provide treatment/supervision to SVORI offenders do not have an understanding of business as usual, work with the PD to identify similar line staff who work with non-SVORI offenders.

Ideally, the PD will schedule the actual interviews for the site team. The PD should allow 2 hours for your meeting with him/her, 30 minutes for the local evaluator and key

6/07/05

research staff meetings, and approximately 1 hour for the other interviews. The interview schedule should also factor in any necessary driving time for the site team, particularly if remote facilities are to be visited (in situations in which Lucinda has indicated a need for troubleshooting interviewing issues in a certain facility). The interviews can either be individual or in small groups of related stakeholders. The PD does not need to attend the meetings (and in fact our preference would be for the PD not to attend the meetings in order to ensure more candid responses). The site team should plan to have the first meeting of the site visit be with the PD, and, if possible, should schedule a debriefing meeting with the PD after the other interviews have taken place.

Although it can be advantageous to schedule the site visit to coincide with a pre-scheduled meeting of relevant stakeholders (such as a steering committee meeting), the disadvantage of this approach is that it becomes difficult for the site team to have detailed discussions with each stakeholder group (particularly if other business needs to be conducted or if the stakeholders are expected to wait around while the site team interviews other stakeholders). If the PD suggests this approach, be sure to talk through these details ahead of time, in order to ensure that you are able to have one-on-one (or small group) meetings with the stakeholders whom you need to interview.

Once the site visit and the individual meetings have been scheduled, the site team should cut and paste from the list of questions in the “Interview Guide” section of this protocol to create a customized interview guide for each stakeholder or group of stakeholders (be sure to use “paste special” and select “unformatted text” in order to avoid the item numbers from being automatically renumbered). The determination of the specific questions to include in each customized interview guide will be based on the “site visit topics by stakeholder” table and the site teams’ understanding of the stakeholders’ ability to cover the specified topics.¹ This step may take some detailed discussions with the PD regarding the individuals with whom he/she has scheduled meetings (you will want to maximize your limited time on site, requiring a good understanding of the individuals with whom you will be meeting). The site team should bring the customized interview guides on site and use the guides to facilitate the interview and to take notes on the stakeholders’ responses. The site team will also

¹ As described in a later section, when you meet with service providers (line staff and agency heads), for the questions on pre- and post-release services available, you only need to discuss the service type that they are involved in delivering.

6/07/05

need to bring several copies of the informed consent forms developed for the site visits to pass out to the interviewees prior to the interview.

Also prior to the site visit, the site team should review the site's PD survey, the previous site visit information entered in the database, and any other relevant information about the site. In addition, the site team should talk to Lucinda and the field supervisor assigned to the site to get a general understanding of how data collection is going at the site and (if necessary) to ask any questions you may have about the "site problems" spreadsheet circulated by Lucinda on 5/27/05.

Key Stakeholders to be Interviewed

While on site, the site team will conduct either individual or small group interviews with the following key stakeholders:

- **SVORI Project Director**
- **Person in charge of programs and/or services at the grantee agency**
 - This would be the highest level person (e.g., the director of programs and services) at the grantee agency (e.g., DOC, DJJ) who knows, in broad terms what is happening in the pre-release component of SVORI, as well as pre-release services for comparable, non-SVORI offenders²
- **Pre-release case managers** (line staff)
 - We are interested in talking with a subset of the actual staff members who provide pre-release case management to SVORI participants. If numerous facilities are involved, try to identify staff from the facilities that serve the largest number of SVORI participants.
 - If the SVORI case managers only provide case management to SVORI participants and do not know what comparable, non-SVORI offenders receive, you will need to try to identify the people that provide pre-release case management to comparison offenders³

² Ideally, this will be the specific comparison group that we are using for the site in the impact evaluation.

³ Pre-release line staff who **only** work with comparison offenders will only be asked questions 11, 18, 20-21, and 36.

- **Pre-release service providers** (line staff) (if different from pre-release case managers)
 - We are interested in talking with a subset of the actual staff members who provide pre-release services to SVORI participants. If numerous facilities are involved, try to identify staff from the facilities that serve the largest number of SVORI participants.
 - If the SVORI service providers only provide services to SVORI participants and do not know what comparable, non-SVORI offenders receive, you will need to try to identify the people that provide pre-release services to comparison offenders⁴

- **Head of the agency that provides post-release supervision**
 - We want to talk to the highest level person at the agency (this may be the agency head or it may be another high-level staff member) who knows, in broad terms, what is going on in terms of the post-release supervision provided to SVORI and comparison offenders

- **Post-release supervision officers** (line staff)
 - We are interested in talking with a subset of the actual staff members (such as parole officers) who provide post-release supervision to SVORI offenders. If numerous counties are involved, with specific supervision officers for each county, try to identify staff from the counties that serve the largest number of SVORI participants.
 - If the SVORI supervision officers only supervise SVORI participants and do not know what comparison offenders receive, you will need to try to identify some supervision officers that supervise comparison offenders⁵

- **Head of the agency that provides post-release case management** (if different from supervision agency or if there is no supervision agency)
 - In some sites, this will be the same agency that provides post-release supervision; once again, we want to talk to the highest level person at the

⁴ Pre-release line staff who **only** work with comparison offenders will only be asked questions 11, 18, 20-21, and 36.

⁵ Post-release line staff who **only** work with comparison offenders will only be asked questions 12, 18, 20-21, and 36.

agency (this may be the agency head or it may be another high-level staff member) who knows, in broad terms, what is going on in terms of the post-release case management provided to SVORI and comparison offenders.

- **Post-release case managers** (line staff) (if different from supervision agency or if there is no supervision agency)
 - We are interested in talking with a subset of the actual staff members who provide post-release case management to SVORI offenders. If numerous counties are involved, with separate case managers in each county, try to identify staff from the counties that serve the largest number of SVORI participants.
 - If the SVORI case managers only provide case management to SVORI participants and do not know what comparison offenders receive, you will need to try to identify the people that provide post-release case management to comparison offenders⁶ if case management is not provided by the parole officers

- **Heads of the key agencies that provide post-release services**
 - We want to talk to the highest level person at each agency (this may be the agency head or it may be another high-level staff member at the agency) who knows, in broad terms, what is going on in terms of the post-release services received by SVORI and comparison offenders. If numerous agencies are involved, try to identify the ones that are most involved in serving SVORI participants (i.e., the services utilized by most SVORI participants or agencies that exclusively or primarily serve SVORI participants).
 - If the “SVORI” agencies do not provide services to comparison offenders, try to identify similar agencies that provide services to comparable, non-SVORI offenders

- **Post-release service providers** (line staff)
 - We are interested in talking with a subset of the actual service providers who work with SVORI participants in the post-release phase. If service providers from numerous agencies are involved, try to identify the agencies that are most

⁶ Post-release line staff who **only** work with comparison offenders will only be asked questions 12, 18, 20-21, and 36.

involved in serving SVORI participants (i.e., the services utilized by most SVORI participants or agencies that exclusively or primarily serve SVORI participants).

- If particular agencies do not provide services to comparison offenders, try to identify service providers from similar agencies who work with comparable, non-SVORI offenders.⁷

- **Local evaluator**
 - If the site is conducting a local evaluation, we would like to talk with the lead local evaluator

- **MIS/research staff**
 - If you work with any MIS or research staff at the site who can speak to issues of caseflow, we would like to talk with these individuals.

- **Other integral staff**
 - If there are any other staff that are integral to the initiative and who can speak to the topics to be covered in the site visit protocol (i.e., individuals who do not fit into one of the categories above but who are integral to the project, such as boundary spanners), we would like to talk with these individuals.

- **Facility contacts**
 - In addition to the interviews conducted for the implementation assessment, while on site the site team should try, if feasible, to visit the pre-release facilities identified by Lucinda as having issues that need to be resolved.

The topics to be covered during the interviews are summarized in the “topics by stakeholder” table below. Once again, the actual interview topics to be covered with each type of stakeholder will be customized for each site, depending on the individual’s knowledge of the topic to be covered. The topics to be covered for “other integral staff” are not identified in the table because they will be site specific.

⁷ Post-release line staff who **only** work with comparison offenders will only be asked questions 12, 18, 20-21, and 36.

Implementation Assessment Topics for Site Visits

	PD	Grantee Agency Programs Division Head	Pre-release Case Manager	Pre-release Service Providers	Post-release Supervision Agency Head	Post-release Supervision Officers	Post-release Case Management Agency Head	Post-release Case Managers	Post-release Service Agency Heads	Post-release Service Providers	Local Evaluator	Key Research Staff	Facility Contacts
Approach for site visit													
Case Flow													
Perceptions regarding why case flow expectations have/ have not been met	✓	✓	✓								✓	✓	
Strategies for overcoming enrollment barriers	✓	✓	✓								✓	✓	
Program Focus													
Degree of "targeting"		✓			✓		✓		✓		✓		
Rationale for program focus	✓	✓			✓		✓		✓		✓		
Goals of program	✓	✓			✓		✓		✓		✓		
Services and Components													
Pre-release services/ components	✓		✓	✓*									
Post-release services/ components	✓					✓*		✓*		✓*			
Differences in service provision between SVORI and non-SVORI offenders	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			
Impact of SVORI on service provision	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			
Service Coordination													
Strategies for facility-community linkages	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			
Impact of SVORI on service coordination	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			
Barriers/solutions related to	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓			

Approach for site visit	PD	Grantee Agency Programs Division Head	Pre-release Case Manager	Pre-release Service Providers	Post-release Supervision Agency Head	Post-release Supervision Officers	Post-release Case Management Agency Head	Post-release Case Managers	Post-release Service Agency Heads	Post-release Service Providers	Local Evaluator	Key Research Staff	Facility Contacts	
service coordination														
Program Coordination														
Organizational structure of program	✓													
Partnering agencies	✓													
Approach for inter-/intra-agency coordination	✓	✓			✓		✓		✓					
Organizational context	✓	✓			✓		✓		✓					
Sustainability														
Perceptions of support for SVORI	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓				
Sustainability strategies		✓			✓		✓		✓					
Other reentry initiatives	✓	✓												
Perceived success of program	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓				
Local evaluation results											✓			
Other Topics														
Data collection issues	✓												✓	

*Service providers only need to be asked about the specific services they deliver.

Interview Guide

This section contains the questions designed to elicit information regarding each topic of interest. As stated above, you will not be asking all questions of all stakeholders (you will use the “topics by stakeholder” table to create a customized interview guide for each stakeholder). As referenced in the key stakeholder descriptions above, line staff who only work with non-SVORI offenders will only be asked questions 11 (pre-release line staff), 12 (post-release line staff), 18, 21-22, and 36. In addition, these questions will need to be slightly reworded, as shown in the footnotes for the specific items affected. For all respondents who are affiliated with the SVORI program, when asking the questions please use the actual name of the SVORI program at the site, rather than saying “the program” or “SVORI”.

As you will notice, some of the questions were already asked in the PD survey and are therefore not earmarked to be covered with the PD during the site visit. We do, however, want to get other key stakeholders’ opinions on the topic. For questions that were covered in the PD survey, the PD’s responses will be imported into the relevant items below (Mark will generate an Interview Guide for each program and post this on the project website). These responses will assist the site team in understanding what is happening at the site. At the conclusion of the site visit, the site team might want to discuss any inconsistencies for these items with the PD to try to reconcile major differences.

Finally, please note that one of the goals of the site visit is to get at the consistency of stakeholder opinions, so please try to ask the earmarked questions of all relevant stakeholders (even if you feel that you have learned the “right” answer from a previous interviewee).

Informed Consent

Be sure to hand the interviewee the informed consent form prior to beginning the interview. You do not need to read the form (and it is not designed for the respondent to sign it), but you should say “This form provides some information about the study and the interview. Please note that this interview is voluntary and that you can choose to not answer any question. We will use the information you provide to generate a site visit report, but we will not attribute responses to individual respondents.”

Case Flow

Perceptions regarding why case flow expectations have/have not been met

1. Do you feel that the program has met its case flow expectations? [*import PD Survey item 96*]
 - (if yes) How do you think the program has achieved its case flow expectations? (probes: In many programs, the actual case flow has been much lower than expected, so we are really interested in learning how some programs have been able to achieve estimated case flow. In your opinion, what strategies or situations have made this possible?)
 - (if no) Why do you think the program has not achieved its case flow expectations? [*import PD survey item 99*] (probes: In many programs, the actual case flow has been much lower than anticipated, so we are really interested in learning more about this issue.
 - What do you see as the major issue(s)?
 - How have the program's eligibility criteria affected the number of people that are enrolled?
 - How has the quality or setup of the agency's management information system (MIS) or offender tracking system affected enrollment?
 - How have your state's incarceration patterns or sentencing policies affected enrollment?
 - How has the amount of time it took the program to get up and running affected enrollment?
 - How has staff recruitment or retention affected enrollment?
 - How has agency and facility staff "buy-in" affected enrollment?
 - [if applicable] How has the referral process affected enrollment?
 - [if applicable] How has the voluntary nature of the program affected enrollment?)?

Strategies for Overcoming Enrollment Barriers

2. What strategies has the program used to overcome enrollment barriers?
 - (if any) Which strategies have been the most effective?

Program Focus

Degree of "Targeting"

3. Would you say that the program **primarily** focuses its resources and efforts on working with the offender prior to release, after release, or emphasizes pre- and post-release equally? *[import PD survey item 16]*
4. Is the program **primarily** serving the general "serious and violent" offender population or targeting a subset of offenders with specific service needs? *[import PD survey item 19]*
 - (if subset) What type of population would you say the program is primarily targeting?
5. Would you classify the program's service provision as **general**, in that it attempts to provide *all* needed services for participants, or **targeted**, in that it focuses on a *specific* service or small set of specific services? *[import PD survey item 20]*
 - (if targeted) What type of service would you say the program primarily focuses on?
6. Is the post-release phase of the program run **primarily** by a government agency or a private agency? *[import PD survey item 21]*
 - What is the government or private agency that is primarily responsible for the post-release component?
7. Would you say the program is using SVORI funds **primarily** to fill service gaps, expand existing services, or start a new program? *[import PD survey item 22]*
8. What would you say are the top 3 programmatic areas on which the program focuses its resources and efforts: *[import PD survey item 23]*
 - employment/vocational training
 - physical health
 - mental health
 - substance abuse
 - family support/unification
 - community integration

6/07/05

- education and skills building
- or something else?

Rationale for Program Focus

9. What was the rationale behind the current focus of the program, in terms of the population that is served and the main components of the program? (probe: What factors led the lead agency/steering committee to focus on this specific population and to offer the current components of the program?)

Goals of Program

10. What would you say are the top three goals of the program?

Services and Components

Pre-Release Services and Components

- *For the site teams' reference, general information about pre- and post-release services and components is covered in the PD interview in items 27-58 and 60-75. PD survey responses to these items will be provided in a supplementary worksheet for you. It might be helpful for you to review the answers to this survey ahead of time to have a better understanding of the types of services that are received by any SVORI offenders. However, please note that the purpose of questions 11 and 12 below is to obtain more detail regarding **what** specifically is being delivered through that service/component type.*

11. I am going to list several categories of program services and components and I would like to know whether the service or component is available at all for SVORI or non-SVORI offenders⁸ **prior to release**. Then, for the services and components that are available, I would like to know what specifically is being offered prior to release. For example, if you indicate that substance abuse treatment is available, I'd like to know what types of treatment components or programs are offered.

- *As you read each service/component type in the table below, check the ones*

⁸ For line staff who only work with non-SVORI offenders, please word the question as: "...I would like to know whether the service or component is available at all for the offenders with whom you work prior to release."

that the respondent indicates are available at all for SVORI or non-SVORI offenders prior to release. Then, go back to the services/components that are checked and ask about what, specifically, is offered for SVORI participants and for non-SVORI participants (and record this information in the “specifics” columns).

- *For line staff service providers, as you read the service/component types, find out which ones they feel comfortable providing the specifics for and only cover these topics in detail.*

Pre-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Services			
Risk assessment	<input type="checkbox"/>		
Needs assessment	<input type="checkbox"/>		
Treatment plan/release plan	<input type="checkbox"/>		
Substance abuse treatment	<input type="checkbox"/>		
Mental health services	<input type="checkbox"/>		

6/07/05

Pre-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Medical services	<input type="checkbox"/>		
Dental services	<input type="checkbox"/>		
Educational/GED/tutoring/literacy	<input type="checkbox"/>		
Vocational training	<input type="checkbox"/>		
Employment referrals/job placement	<input type="checkbox"/>		
Resume and interviewing skills development	<input type="checkbox"/>		
Work-release	<input type="checkbox"/>		

Pre-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Cognitive skills development/behavioral programming	<input type="checkbox"/>		
Life skills training	<input type="checkbox"/>		
Legal assistance	<input type="checkbox"/>		
Assistance obtaining identification (e.g., driver's license, social security card)	<input type="checkbox"/>		
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability benefits)	<input type="checkbox"/>		
Financial support/emergency assistance (e.g., housing, clothing)	<input type="checkbox"/>		
Domestic violence services (e.g., victim and/or perpetrator)	<input type="checkbox"/>		

Pre-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Parenting skills development	<input type="checkbox"/>		
Family reunification	<input type="checkbox"/>		
Anger management/violence counseling	<input type="checkbox"/>		
Peer support groups	<input type="checkbox"/>		
1-on-1 mentoring	<input type="checkbox"/>		
Housing placements or referrals	<input type="checkbox"/>		
Components			
Reentry courts	<input type="checkbox"/>		

Pre-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Sanctions	<input type="checkbox"/>		
Rewards	<input type="checkbox"/>		
Programs such as animal training, Habitat for Humanity, community beautification, community service, Weed & Seed, restitution, victim mediation, victim awareness	<input type="checkbox"/>		
Restorative justice activities	<input type="checkbox"/>		
Community Accountability Panels ⁹	<input type="checkbox"/>		
Offender-specific reentry teams ¹⁰	<input type="checkbox"/>		

⁹ Community Accountability Panels are a group of agency and/or community members who meet regularly to review the status of returning offenders; the offender appears before this board to have his or her case reviewed, and the panel makes recommendations

¹⁰ Offender-specific reentry teams are groups consisting of agency representatives and/or community members; the team composition is unique to each individual offender. The team meets to review the offender's progress and make recommendations.

Pre-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Video-conferencing technology	<input type="checkbox"/>		
Pre-release curriculum	<input type="checkbox"/>		
Routine involvement of family members	<input type="checkbox"/>		
Routine involvement of victims	<input type="checkbox"/>		
Routine involvement of law enforcement	<input type="checkbox"/>		
Routine involvement of former prisoners	<input type="checkbox"/>		
Mentoring	<input type="checkbox"/>		
Any other services or components?	<input type="checkbox"/>		

Post-Release Services and Components

12. I am going to list several categories of program services and components and I would like to know whether the service or component is available at all for SVORI or non-SVORI offenders **after release**.¹¹ Then, for the services and components that are available, I would like to know what specifically is being offered after release. For example, if you indicate that substance abuse treatment is available, I'd like to know what types of treatment components or programs are offered.

- *Please note that the services and components covered in question 12 are identical to those covered in question 11 except the list does not include work release or pre-release curriculum and includes transportation and post-release supervision*
- *As you read each service/component type, check the ones that the respondent indicates are available at all for SVORI or non-SVORI offenders after release. Then, go back to the services/components that are checked and ask about what, specifically, is offered for SVORI participants and for non-SVORI participants (and record this information in the "specifics" columns).*
- *For line staff service providers, as you read the service/component types, find out which ones they feel comfortable providing the specifics for and only cover these topics in detail.*

Post-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Services			
Risk assessment	<input type="checkbox"/>		
Needs assessment	<input type="checkbox"/>		

¹¹ For line staff who only work with non-SVORI offenders, please word the question as: "...I would like to know whether the service or component is available at all for the offenders with whom you work after release."

Post-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Treatment plan/release plan	<input type="checkbox"/>		
Substance abuse treatment	<input type="checkbox"/>		
Mental health services	<input type="checkbox"/>		
Medical services	<input type="checkbox"/>		
Dental services	<input type="checkbox"/>		
Educational/GED/tutoring/literacy	<input type="checkbox"/>		
Vocational training	<input type="checkbox"/>		

Post-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Employment referrals/job placement	<input type="checkbox"/>		
Resume and interviewing skills development	<input type="checkbox"/>		
Cognitive skills development/behavioral programming	<input type="checkbox"/>		
Life skills training	<input type="checkbox"/>		
Legal assistance	<input type="checkbox"/>		
Assistance obtaining identification (e.g., driver's license, social security card)	<input type="checkbox"/>		
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability benefits)	<input type="checkbox"/>		

Post-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Financial support/emergency assistance (e.g., housing, clothing)	<input type="checkbox"/>		
Transportation	<input type="checkbox"/>		
Domestic violence services (e.g., victim and/or perpetrator)	<input type="checkbox"/>		
Parenting skills development	<input type="checkbox"/>		
Family reunification	<input type="checkbox"/>		
Anger management/violence counseling	<input type="checkbox"/>		
Peer support groups	<input type="checkbox"/>		

Post-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
1-on-1 mentoring	<input type="checkbox"/>		
Housing placements or referrals	<input type="checkbox"/>		
Components			
Post-release supervision	<input type="checkbox"/>		
Reentry courts	<input type="checkbox"/>		
Sanctions	<input type="checkbox"/>		
Rewards	<input type="checkbox"/>		
Programs such as animal training, Habitat for Humanity, community beautification, community service, Weed & Seed, restitution, victim mediation, victim awareness	<input type="checkbox"/>		

Post-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Restorative justice activities	<input type="checkbox"/>		
Community Accountability Panels ¹²	<input type="checkbox"/>		
Offender-specific reentry teams ¹³	<input type="checkbox"/>		
Video-conferencing technology	<input type="checkbox"/>		
Routine involvement of family members	<input type="checkbox"/>		
Routine involvement of victims	<input type="checkbox"/>		

¹² Community Accountability Panels are a group of agency and/or community members who meet regularly to review the status of returning offenders; the offender appears before this board to have his or her case reviewed, and the panel makes recommendations

¹³ Offender-specific reentry teams are groups consisting of agency representatives and/or community members; the team composition is unique to each individual offender. The team meets to review the offender's progress and make recommendations.

Post-Release Services/Components	Offered?	Specifics for SVORI	Specifics for non-SVORI
Routine involvement of law enforcement	<input type="checkbox"/>		
Routine involvement of former prisoners	<input type="checkbox"/>		
Mentoring	<input type="checkbox"/>		
Any other services or components?	<input type="checkbox"/>		

Differences in Service Provision Between SVORI and Non-SVORI

13. Would you say that SVORI participants are prioritized over non-SVORI offenders for any services or components?

- (if yes) How are SVORI participants prioritized?

14. Would you say that SVORI participants receive a higher quality of service compared to non-SVORI offenders for any services? (probes: Are there differences in terms of the follow-through of referrals between SVORI and non-SVORI offenders? Are there differences in the intensity or length of the services delivered to SVORI and non-SVORI offenders? Are there differences in the degree of aftercare received by SVORI and non-SVORI offenders? Are there differences in the qualifications of the staff who deliver services to SVORI and non-SVORI participants?)

- (if yes) In what ways would you say that SVORI participants receive higher

quality services?

15. Are there differences between SVORI and non-SVORI offenders in terms of who is responsible for delivering the services? (probes: For example, does involvement of faith-based or other community-based service organizations differ for SVORI and non-SVORI offenders?)

Impact of SVORI on Service Provision

16. Are there any other ways in which service provision has been influenced by SVORI? (Note that there is a separate set of questions on service coordination, so coordination issues do not need to be covered here)

17. Are there any other differences in service provision between SVORI and non-SVORI offenders?

Service Coordination

Strategies for Facility-Community Linkages

18. What is the program's strategy for facilitating the "inside-outside" linkage¹⁴ (probes: What are you doing to facilitate an individual transitioning from incarceration to home? In what ways are community and post-release supervision agencies "reaching in" to the institutions to work with offenders prior to release? How are facility staff working with and communicating with community and post-release supervision agencies prior to release?)

Impact of SVORI on Service Coordination

19. How has SVORI funding influenced the way that services are coordinated for individual offenders? (probe: Has SVORI funding changed the way organizations work (or work together) to ensure offenders get services they need? Has case

¹⁴ For line staff who only work with non-SVORI offenders, please replace "the program's strategy" with "the agency's strategy".

6/07/05

management been influenced by SVORI funding? Have approaches such as continuity of care, development of service provider networks, one-stop shops, or “wrap-around” provision been implemented or enhanced as a result of SVORI funding?)

Barriers/Solutions Related to Service Coordination

20. What barriers to effective service coordination has the program¹⁵ experienced?

21. What strategies have been implemented to address these barriers?

Program Coordination

Organizational Structure of Program

22. How would you describe the organizational structure of the program, in terms of program leadership, advisory groups, and committees?

Partnering Agencies

23. What are the specific agencies involved in the program?

Approach for Inter-/Intra-agency Coordination

24. What is the approach for coordination among the agencies involved in SVORI?

25. How has SVORI changed the way agencies coordinate with one another?

26. What is the approach for coordination within your agency, as it relates to SVORI?

27. How has SVORI changed the way staff within your agency coordinate with one another?

Organizational Context

¹⁵ For line staff who only work with non-SVORI offenders, please replace “the program” to “your agency”.

6/07/05

28. How have the goals and expectations of the agencies involved in SVORI influenced the development of the program?

29. How have the various partners invested in SVORI?

Sustainability

Perception of Support for SVORI

30. How would you describe the level of support for the SVORI program from:

- The grantee agency?
- The post-release supervision agency (if offenders are under parole supervision)?
- The post-release case management agency (if different from post-release supervision agency)?
- The post-release service provider agency(ies)?
- The state legislature?
- The community(ies) to which offenders are returning?

Sustainability Strategies

31. What are your plans for SVORI once grant funding ends? [*import PD survey item 103*]

32. What strategies have been undertaken to sustain the program once federal funding ends? [*import PD survey item 103d*]

33. What additional strategies are you considering implementing to sustain the program once federal funding ends? [*import PD survey item 103d*]

Other Reentry Initiatives

34. What other reentry initiatives are underway in your state?

- (if any) How do these initiatives relate to SVORI? (prompt: Did they precede SVORI or come after? How well-integrated are these efforts?)

Perceived Success of Program

35. In your opinion, to what extent have the goals and objectives established by the program been met?

36. In your opinion, how successful has the program¹⁶ been at:

- Improving family and community reintegration among participants?
- Reducing substance use among participants?
- Preventing recidivism among participants?

37. What would you say have been the biggest improvements at the system-level as a result of SVORI funding?

Local Evaluation Results

38. What has your local evaluation shown in terms of the effectiveness of the program?

39. Are the results from your evaluation being used to make any programmatic changes?

Other Topics

Data Collection Issues

40. *[Add questions or discussion starters here for any topics related to data collection issues the field interviewers are experiencing in specific facilities.]*

¹⁶ For line staff who only work with non-SVORI offenders, please replace “the program” with “your agency” and replace “participants” with “offenders.”

Post Site-Visit Activities

After the site visit, the site team should send an e-mail or letter to the stakeholders with whom they met, thanking them for their time and providing your contact information in case they have any questions about the evaluation. The site team may also need to engage in telephone follow-up for individuals with whom they were not able to meet while on site, or obtain outstanding information.

The site team should also update the information on “Clients” and “Organizations” in the database to reflect the most recent information for the site.

Finally, the site team should prepare a site visit report summarizing the information learned during the site visit. The report should include a list of the individuals (and roles) interviewed while on site and should be organized using the major headings in this protocol. The report should be as concise as possible (10-15 pages) and should not attribute responses to individual stakeholders. A template for the report is included on the following page. In addition, the site visit reports from the pilot site visits will be available as a resource.

6/07/05

SVORI – [Site name] Site Visit (dates of visit)

People interviewed -(name-affiliation/title)

Case Flow – (Perceptions regarding why case flow expectations have/ have not been met, Strategies for overcoming enrollment barriers)

Program Focus – (Degree of “targeting”, Rationale for program focus, Goals of program)

Services/Components – (Specifics for services and components received by SVORI and non-SVORI offenders prior to release and after release, Differences in service provision between SVORI and non-SVORI offenders, Impact of SVORI on service provision)

Service Coordination – (Strategies for facility-community linkages, Impact of SVORI on service coordination, Barriers/solutions related to service coordination)

Program Coordination – (Organizational structure of program, Partnering agencies, Approach for inter-/intra- agency coordination, Organizational context)

Sustainability – (Perceptions of support for SVORI, Sustainability strategies, Other reentry initiatives, Perceived success of program, Local evaluation results)

Appendix B. Impact Site Program Descriptions

Florida DJJ – Study Design

The FL DJJ reentry initiative, *Going Home*, targets Dade County youth who are committed for a violent felony or burglary to any of the following facilities: Bay Point Schools, Inc. (has 3 campuses), Everglades Youth Development Center, Florida City Youth Center, Southern Glades Youth Camp, and Wings for Life South Florida (girls). The youth must be at least 16 years of age by the time they leave the residential facility and not have a High School diploma or have completed a GED by the time they leave the residential facility. YLS/CMI scores are also used to determine program eligibility.

For the comparison group will consist of youth who meet the eligibility criteria¹ except for county of admission / post-release geographical parameters. Comparison youth will release to either Broward or Palm Beach County.

¹ YLS/CMI scores are not available on juveniles who are not participating in the Going Home initiative. MAYSI scores are available on all juveniles in the state and the MAYSI provides a similar measure of functioning to that which is provided by the YLS/CMI. However, comparison subjects are not being matched to treatment subjects based on their MAYSI scores at this time.

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DATE: January 12, 2005
SUBJ: Site Design Memo - Indiana

Facilities that are Included:

We are drawing our sample from the following facilities:

- 1) Chain O'Lakes
- 2) Indiana Women's Prison
- 3) Miami
- 2) Plainfield
- 5) Putnamville
- 6) Rockville
- 7) Westville

To date, SVORI participants in Indiana are receiving no pre-release programming that is specific to SVORI participants. Allen County Community Corrections (the grantee agency) is piloting some pre-release programming in one Indiana facility, but at this point these services are not offered to all SVORI participants and shouldn't affect many, if any, of our sample. Therefore, we do not consider someone officially enrolled in the SVORI program until they have been released to Allen County Community Corrections.

The Treatment Group:

The treatment group is made up of those persons (both males and females) who are incarcerated in one of the seven facilities listed above who are returning to Allen County and agree to participate in the Community Transition Program (CTP) at Allen County Community Corrections.

Ted Gallmeier from Allen County Community Corrections sends weekly files to Meghan Salas listing those who are eligible for the reentry program in Allen County and those who have denied the program. She keeps track of this information and sends those eligible who have not (to our knowledge) denied the program on to Lucinda for fielding. There is a bit of lag time between when someone is determined eligible and when ACCC finds out whether or not they have denied the program. The system is imperfect, but we are doing our best to catch as many of the eligible participants. If Meghan Salas finds out later that one of the people who she indicated as a SVORI program participant ends up denying the program, she notifies Lucinda that this person should not be contacted for a follow-up interview.

Eligibility and the Decision to Participate in the Reentry Program at ACCC

Almost all persons returning from DOC to Allen County are eligible for programming at ACCC unless they have been terminated from reentry twice, they have a pending suit against ACCC (4-5 right now), they have severe medical requirements (if they have a really serious physical or mental handicap), or if they are serving less than a two-year sentence.

Additionally, Indiana recently signed new legislation in terms of eligibility for CTP. Now prisoners do not have the choice to select early release. Instead, they are given 10 days after notification (60 days pre-release) to either accept the program or to petition to the courts to allow them to opt-out with no penalty. If they decline to participate without getting proper approval from the court, they will lose their earned-time. As a result, the program is no longer purely voluntary, it is now “voluntarily coerced” according to ACCC staff. [** This is the information that Meghan Salas receives via email on a weekly basis from Ted Galmeier]

Stan Pflueger of ACCC mentioned that the new legislation might exacerbate the already existing disincentive to participate. People who accept the program are, in a sense, volunteering to do three times as much time on electronic monitoring to get out 60 days early. Therefore, those with a short release are more likely to decline. The early release varies by crime. The parole board in almost every case has waived the balance of the parole time if someone goes through the reentry program.

The Comparison Group:

The comparison group is made up of those persons (both males and females) who are incarcerated in one of the seven facilities listed above who are returning to Marion County and match the selection criteria used for the Reentry program at Allen County Community Corrections (with the exception of post-release county of residence). Also, participants will be excluded if they are enrolled in the Community Transition Program or the Community Chaplain Program in Marion County.

Whether or not one of the comparison subjects enrolls in the Community Transition Program in Marion County or the Community Chaplain Program is not known by UI or the DOC until this person has been released and we receive the Actual Release Confirmation File from the DOC. Since this only affects a very small percentage of the total eligible comparison subjects, we do not anticipate that it will be a big issue. Currently, the procedure is as follows: If Meghan Salas finds out that an eligible comparison subject from a previous month, has entered the CTP program in Marion County, she sends Lucinda an update so that this person is not contacted for a follow-up interview.

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TO: Christy Visher, Pam Lattimore
DATE: January 13, 2005
SUBJ: Iowa design--Revised

The Iowa SVORI project supports a same-same design and serves prisoners who are returning to Polk County (Des Moines) and who meet the following criteria: (1) being ages 18 to 40 for males, and 18-48 for females (an increase from original design), and (2) having one year or more to serve on their sentence at the time of their release. The SVORI (or Keys) programming is a 12-week, in prison program for offenders to participate in as close to their time of release as possible. It is conducted in the state's three medium-security facilities: Fort Dodge Correctional Facility, Fort Dodge (Webster county); Iowa Correctional Institution for Women, Mitchellville, (Polk county); and Newton Correctional Facility, Newton, (Jasper county). By design, all Keys-eligible prisoners are supposed to be transferred from higher-level security facilities to one of these three facilities (in the case of the male facilities) in order to receive programming before they are released. Although by design SVORI participants are supposed to be directly released to community supervision with a dedicated parole officer and intensive case management services provided by the Des Moines Area Community College, some SVORI participants (about 20 percent) end up being sent by the parole board to work release facilities for three to six months before release to the community. There are two work-release facilities in Polk County – one for men and one for women – run by the Fifth Judicial District (the community supervision agency with the dedicated SVORI parole officer).

Participants who are eligible for KEYS are randomly assigned in those facilities to the program or comparison group. At the end of the first three cycles of enrollment, the Iowa numbers were lower than were originally projected and as a result the control group was smaller than we had hoped. The numbers for the Iowa site were n=171, of which 118 are treatment. This includes those participants who may have refused participation or those participants that we have missed. In an effort to increase the numbers of the treatment and control groups the Iowa team conducted a conference call with site representatives at which time we proposed that the current period of data collection be extended for another round of KEYS programming (for a total of five rounds) as opposed to the four rounds we planned for. With the implementation of our proposal, Round 5 of KEYS programming will be May 30, 2005-August 29, 2005. There will likely be some lag for people in the treatment and control group for these rounds to be released and that those paroled to work release rather than directly to the community will experience a greater lag. The site is working hard to get participants “program ready” meaning the offender has completed all other treatment provided by the facility that has been identified as a need by their facility counselor or the parole board before being eligible for KEYS. The age criteria have been increased to 40 for males and 48 for females.

Our site visit took place from March 30th through April 2nd and was very productive. The process for offender flow into the study was designed and the interviewing logistics were articulated. Specific decisions were made in collaboration with the Iowa Department of Corrections (DOC), the Criminal and Juvenile Justice Planning (CJJP) agency, and the Fifth Judicial District . We have also met with the parole board, DOC officials, the local evaluators/MIS staff (these are government agency people, not independent evaluators), the Fifth Judicial District directors (the supervision agency), and have visited the three KEYS facilities and the two work-release facilities.

Kansas Adults

The Shawnee County Reentry Program (SCRCP) is a voluntary program serving adults who are incarcerated in any correctional facility and who are returning to Shawnee County (Topeka). All males who are incarcerated in facilities other than the Lansing Correctional Facility (LCF) are transferred to LCF before beginning the program. There is only one female facility in Kansas, which is located in Topeka (TCF). Additional eligibility criteria for SCRCP include the following: 18-34 years old; convicted of a serious, violent, or sex offense; and identified at least 12 months prior to earliest possible release date (to allow for completion of pre-release programming). Some SVORI participants will have post-release supervision, while others will be max-outs. We are interviewing all SVORI participants who are released during the data collection period. Our original estimate of the number of SVORI participants who would be released between 9/04 and 11/05 was 88-100 (6-7 per month). However, actual numbers have been much lower: a total of 11 SVORI participants have been released during the first five months of data collection.

Our comparison group includes offenders from LCF and TCF who are 18-34 years old, have been convicted of a serious, violent, or sex offense, and who are returning to Sedgwick County (Wichita). The DOC does not have a field in their database that indicates where offenders will reside after release from prison, so we are using pre-prison county of residence to identify a sample of potential comparison subjects.

Kansas Juveniles

All juveniles returning to one of three judicial districts in south central Kansas who have a conditional release period of at least six months can participate in the Going Home Initiative. The three judicial districts to which participants return comprise five counties: Sedgwick (Wichita), Butler, Elk, Greenwood, and Cowley.* The GHI participants can come from any of the four juvenile correctional facilities (JCF's) in Kansas. The four JCF's serve different populations: Beloit JCF houses female offenders; Larned JCF houses offenders with serious mental health and/or substance abuse issues; Atchison JCF houses the youngest offenders; and Topeka JCF houses the most serious offenders (it is also the largest JCF).

For the purposes of the national evaluation, only GHI participants from two of the four juvenile correctional facilities, Beloit (females) and Topeka (males), are being interviewed. The major factors that were taken into account when deciding to include only two of the four facilities were: [1] there likely would not be enough participants at the three "specialty" facilities to conduct an adequate study of their populations, and pooling them involves too much risk of type II error (e.g., there are not enough of any of them to make an adequate test of moderation of any intervention effect); [2] if we take the notion of "severe and violent offenders" at face value, only the kids at the fourth facility fit the definition.

The comparison group includes offenders at Topeka JCF and Beloit JCF who have a conditional release period of at least six months and are returning to Shawnee (Topeka), Johnson, or Wyandotte County (Kansas City area).**

*The GHI program used to serve offenders returning to one of five judicial districts in the northeastern and south central regions of the state. The post-release geographic areas included the Kansas City area in the northeast and Wichita and surrounding rural areas in the south central region of the state. Around the time we started data collection, the two GHI staff in the Kansas City area resigned, and the program is no longer operating in that part of the state. GHI participants returning to the two judicial districts in the northeast were supposed to account for half of our total sample.

**If and when new GHI staff are hired to work with offenders returning to the northeast region (Johnson and Wyandotte counties) and the program resumes operations in the Kansas City area, we will interview offenders returning to the northeast as SVORI participants, and our comparison group will be limited to offenders returning to the Topeka area.

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TO: Christy Visher, Pam Lattimore
DATE: March 22, 2004
SUBJ: Draft of Maine design

Maine's SVORI program targets prisoners in all six adult facilities and two youth facilities ranging in age from 16 to 25 and returning to four counties (Washington, Androscoggin, Penobscot, and Knox). Initially, the facility staff members refer people to the program based only on these two criteria, but the SVORI project director conducts a second level screening checking a referral's risk of recidivism (high risk) and level of need (moderate to high). Although the second level of screening is conducted, the SVORI project takes virtually all the referrals it receives because if a person is in prison in Maine, then they are considered high risk (based on the very low incarceration rate for the state).

The pre-release SVORI programming (intensive transition planning with reentry specialists and teams) starts six months before release. Right now, the program has about 60 people enrolled (up from 23 in December and 44 in January) with 20 having been released. The project director estimates that 177 adult SVORI participants and 96 juvenile SVORI participants will be released from prison between June 2004 and June 2005 (information provided January 2004).

The only design option possible for Maine is a same-different design because SVORI programming occurs in all the facilities of the state. As a result, the ME team and the project director have identified four counties that are similar to the SVORI counties, from which we can recruit a returning comparison sample. Specifically, the county pairings are:

1. Washington County (SVORI) and Piscataquis County
2. Androscoggin County (SVORI) and York County
3. Penobscot County (SVORI) and Kennebec County
4. Knox County (SVORI) and Lincoln County

An analysis of county characteristics shows that these pairings are quite similar in a number of ways, including: the gender and racial/ethnic breakdown of the population; the proportions of the population who are high school graduates and who have bachelor's degrees or more; the median household income; the percent of population living below poverty; and unemployment rates. (Specific information can be provided if you would like to review it.) The project director also believes the county pairings are similar on service availability in the community.

The project director provided us with data from CORIS (their recently initiated data system) that includes a list of the current prison population with each prisoner's county of origin (assumed in

most cases to be the county of return), projected release date (between June 04 through June 05), gender, and current facility location. The information is summarized in the two attached tables. As you can see, the numbers presented in the tables are lower than the estimated numbers presented in January. I talked with the project director about this discrepancy and describe the response below. (Either way, we should scrutinize carefully the enrollment numbers toward the beginning of the study.)

For adults, the number of prisoners that SVORI will actually enroll and release, and therefore that we will be able to enroll in the study, should be higher for three reasons: (1) good time calculation does not show up in CORIS and some people will have good time calculated into their release date, therefore pushing their release forward into the timeframe when we will be enrolling sample; (2) a group of people with less than one year sentences (9 months and 1 day), who do not currently show up in CORIS, will be released into the SVORI counties over the next year (about 2 to 5 per month according to current SVORI referrals); and (3) the county of origin designations may be somewhat inaccurate because a number of people have a null county field and others end up returning to SVORI counties, although they are not from there, to receive services.

For juveniles, the numbers in the table are totally inaccurate because the information provided was only for youth with projected release dates in CORIS. Because the youth program is a treatment program and participants are released based on their individual progress, projected release dates are generally not entered into CORIS because they are ultimately inaccurate.

Addendum, (01/14/05):

As of February 2005, Cumberland County will be added as a SVORI county and the baseline enrollment period will be extended through Sept-Oct of 2005.

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SUBJ: Site Design Memo - Maryland

Treatment Group Construction

The Enterprise Foundation is providing reentry services through the REP program. Those enrolled in the voluntary REP program make up the treatment group for SVORI. The group is selected from the Metropolitan Transition Center (MTC) in Baltimore. Those eligible must also be returning to five specific Baltimore zip codes: 21213, 21215, 21216, 21217 and 21218.

Potential REP participants are made aware of the program through REP caseworkers who are typically ex-offenders. Offenders are excluded if they committed a crime against a child. In a formal exit interview, Enterprise ensures that caseworkers, and various representatives are present in MTC to give the inmates information about the program and to try to develop interest and to get them signed on for participation.

Once an inmate decides to become a part of the REP program (it is voluntary), they are enrolled in the three pre-release programs available for REP participants as well as are given a thorough risk and needs assessment by a REP caseworker (assessment takes over 1 hour to complete). The three courses are Outreach (life skills training), Strive (job readiness training), and a weekly relapse prevention meeting through Patrick Allen House.

If a REP participant moves out of their original zip code residence the REP team will still provide services as long as participants stay within the city of Baltimore.

Comparison Group Construction

Those in the comparison group are also housed at MTC, but are returning to other Baltimore zip codes and are not enrolled in any specific reentry programming. Andy Stritch, the Resource Coordinator at MTC, uses the same search criteria to identify the comparison group (with the exception of zip code).

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SUBJ: Site Design Memo - Virginia

****A decision was made in late October to stop doing offender interviews in Virginia due to a smaller than expected sample size. Administrative data collection and analysis of the treatment and comparison groups will still continue.**

Treatment Group

The treatment group is made up of those incarcerated persons returning to Fairfax County Virginia from all of the Virginia state prisons. Those eligible are those imprisoned for sexual or other violent offenses. These individuals sent to the Fairfax Adult Detention Center (jail) where they begin to receive transition services and finish out their sentence. While there, they begin to receive services from OAR of Fairfax County.

Comparison Group

Those in the comparison group have similar characteristics to those returning to Fairfax County, but instead are returning to the City of Alexandria and Arlington County. These individuals are not receiving reentry programming.

1. **Eligibility:** The MO DOC reentry initiative is a mandatory program serving incarcerated adults with a prior criminal history.
 - Prior criminal history can consist of two convictions, one prior incarceration, serving a minimum mandatory prison term (MMPT) because of a prior incarceration or dangerous felony, or a conviction of a serious violent offense (NCIC violent and class A or B). Selection criteria were recently extended to MMPT offenders and violent offenders without a prior criminal history. The targeted population includes first releases or violator returns.
 - Additional selection criteria are that the adults: be between the ages of 17-34, have a vocational skills score of 3-5 (unskilled to semi-skilled), have at least 12 months of incarceration remaining after intake to participate in pre-release planning/programming, and must be released returning to the community with supervision required.

The program accepts both male and female prisoners. Males must be returning to specific zip codes within Kansas City, which are the most populous downtown area, but a fairly small part of the metro area:

- 64101-64109
- 64123-64133
- 64110-64113
- 64120

Females can be returning to the same Kansas City zip codes or to St. Louis city or county.

2. **Pre-release facilities:** Offenders meeting criteria are identified roughly 15 months pre-release and transferred to one of five facilities for SVORI programming 12 months prior to release. There are 3 male facilities (all located north of Kansas City) and 2 female (one NE of Kansas City and the other NW of St. Louis):

Male:

- Crossroads Correctional Center (CRCC), a maximum security prison (C-5)
- Western Missouri Correctional Center (WMCC), a medium to maximum security facility (C-3 & C-5)
- Western Reception Diagnostic Correctional Center (WRDCC), a minimum security (C-2)

Female:

- Chillicothe Correctional Center (CCC), a minimum to maximum security prison (C-1 to C-5). Female SVORI participants leaving CCC will return to Kansas City for post-release programming.
- Women's Eastern Reception Diagnostic and Correctional Center (WERDCC), a minimum to maximum security (C-1 to C-5). Female SVORI participants leaving WERDCC will return to St. Louis for post-release programming.

3. **SVORI Case Flow:** 102 participants were enrolled in the program between April 2003 & May-early June 2004. The Director of Research & Evaluation (our MIS contact) indicated that enrollment could increase 25-50% due to the newly extended selection criteria of MMPT and violent offenders without prior criminal histories [this could also expand the comparison case flow].

They currently estimate the maximum number of SVORI participants who would be available for enrollment in our study **from 9/04 to 10/05 is 153:**

Male: 96

- 12 CRCC [maximum security C-5]:
- 45 WMCC [medium to maximum security C-3 & C-5]:
- 39 WRDCC [minimum security C-2]:

Female: 57

- 12 CCC [minimum to maximum security prison C-1 to C-5]
- 45 WERDCC [minimum to maximum security C-1 to C-5]

It is possible, but unlikely to expand the treatment group to include St. Louis.

4. **Comparison group:** MO is among the early states participating in Transition from Prison to Community (TPCI). This will make re-entry business-as-usual, essentially following a model very close to their SVORI program, beginning in August 04. All offenders in TPCI facilities will receive both pre- and post-release planning & services.

TPCI is being piloted in 5 institutions – and unfortunately, 2 are the same as the SVORI-designated facilities: WRDCC (male) and WERCC (female). Unfortunately, WRDCC is the facility that contributed heavily to prior estimates of comparison case flow.

Nevertheless, the decision was made by RTI/UI to proceed with including WRDCC in the comparison sample selection, on the grounds that TPCI may not implement as it intends.

Males:

In Fall, 2004: Applying the same eligibility criteria as for SVORI, the estimated number of males who would be available for enrollment in our study from 9/04 to 10/05 is not large (the exact number is still in question as the spreadsheet provided does not sum properly within rows or columns, and does not square with summary tables provided):

- 48 [if we exclude WRDCC and limit selection to those returning to the same target areas as for the SVORI group]:
 - 7 CRCC -> Jackson County
 - 4 CRCC -> St. Louis city/county

- 29 WMCC -> Jackson County
 - 8 WMCC -> St. Louis city/county
- 63 [if we expand to the counties abutting the counties in which KC and St. L are located]:
 - 12 CRCC -> Jackson County & 5 surrounding counties
 - 4 CRCC -> St. Louis city/county
 - 39 WMCC -> Jackson County
 - 8 WMCC -> St. Louis city/county

After baselining began, in order to generate a larger comparison sample, we instructed site representatives to expand the geographic criteria to include Jackson County.

Females:

Applying the same eligibility criteria as for SVORI, the estimated number of females who would be available for enrollment in our study from 9/04 to 10/05 is:

- 15 (5 from CCC and 10 from WERDCC), if we limit selection to those returning to the same target areas as for the SVORI group; the MIS contact estimates this could swell to 23
- **69** (17 from CCC and 52 from WERDCC), if we count those returning anywhere in the state

There is no female comparison group in MO.

5. Data: We are receiving monthly lists of both pre- and post-release individuals (so long as they remain under supervision) from centralized MIS. Glen Meier (Research Analyst) is the point of contact. The centralized database is the best source for actual release dates, but we also can verify these with facility contacts. Our information can be updated at the end of each month.

- This information is provided in Excel spreadsheets in an automated format.
- They provide all needed elements: name, DOC#, SSN, DOB, gender, race & ethnicity (Hispanic/nonhispanic), current facility, date of admission, commission offense as general NCIC classification and also MO charge code prior commitments, custody level (which is determined largely by prison they are in), county of admission, and expected release date
- They also provide an institutional risk indicator: e.g., how many conduct violations in past 6 months. They have both old and new salient factor scores used inside prison. Also, supervising officers do risk/need scales within 30 days post-release.
- They provide updated home addresses centrally for those in custody as home plans are updated, and for those in the community under supervision [note that all

participants are under supervision at time of release, but some may not remain under supervision 6 months post-release].

6. Transfer Agreement for research approval

- The transfer agreement is complete, and has been sent to affected facilities, probation and parole, and state supervisors.

7. Letter of Support

- We have a letter of support executed by Gary Kempker, DOC Director.

8. MOUs

- We have executed a general MOU with the DOC Director (Gary Kempker).
- A MOU has been executed and signed by each superintendent with customized information specific to his/her facility.
 - Crossroads Correctional Center (CRCC);
 - Western Missouri Correctional Center;
 - Western Reception Diagnostic Correctional Center;
 - Western Reception Diagnostic Correctional Center (WRDCC)
 - Chillicothe Correctional Center
 - Women's Eastern Reception Diagnostic and Correctional Center

9. Interviewer requirements (unchanged)

1. Custody staff are mixed gender, so interviewers can be as well
2. Cell phones are probably ok, but it would be better if they can be left locked in car
3. Can use laptops, and also can tape record if desired. Video recording would be a problem for them
4. There are private rooms in visiting areas. The visiting areas are not open Monday & Tuesday (and sometimes Wed) so that might be when most interviews could be conducted

Study Design – Nevada DOC

Nevada Department of Correction's reentry program, *Going Home Prepared*, is designed to serve adult and juvenile offenders between the ages 14 and 35, both males and females. Participants must be eligible for parole between 2003 through June 30, 2005. Offense types targeted include category A and B felons, sex offenders whose victims are adults of the opposite sex and offenders that have committed drug offenses combined with a history of criminal activity are included as well. Preference is given to offenders with a history of weapons use, prison disciplinary incidents, gang affiliation, prior convictions, habitual offending, and other criminogenic factors. Sex offenders are excluded if their offense is against a child or senior or if their offense includes 'perverted things.' Participants may be released from any of the state's prisons but must serve their parole sentence in Clark, Lincoln, Nye, or Esmeralda Counties (Southern Nevada). All male participants are transferred to Southern Desert Correctional facility for SVORI programming. Female participants receive programming at Jean Conservation Camp and Southern Nevada Women's Correctional Facility. Participants are screened for eligibility through MIS and project staff after which a selection committee reviews offenders' files to make final selections six months to a year prior to release. Participation in *Going Home Prepared* is mandatory once enrolled and is made a condition of the offender's parole. Enrollment of the first participants began in June 2003. It is anticipated that 250 offenders will be served throughout the duration of the grant.

The comparison group will consist of individuals that meet all eligibility criteria except for the post-release geographic parameters¹ and those screened out of SVORI for additional reasons.² Comparison subjects may be incarcerated in any of the following facilities: High Desert State Prison, Indian Springs Conservation Camp, Jean Conservation Camp (women's), Southern Desert Correctional Center, Southern Nevada Women's Correctional Center (women's). In addition to the above facilities, through the end of September 2004 comparison subjects could have been incarcerated in the following Northern Nevada facilities: Lovelock Correctional Center, Northern Nevada Correctional Center, Northern Nevada Restitution Center, Nevada State Prison, Stewart Conservation Camp, Silver Springs Conservation Camp (women's), Warm Springs Correctional Center.

¹ Interviewing was discontinued in Northern Nevada due to small numbers of eligible participants in November 2004.

² Individuals that are determined to not be eligible due to subjective reasons (e.g., disciplinary history) are excluded from the comparison group. Individuals that are determined to not be eligible for other reasons (e.g., enemy gang in yard, not enough time on sentence to participate) are included as comparison subjects.

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MEMORANDUM

TO: Christy Visher

DATE: January 12, 2005

SUBJ: Ohio Site Design – update¹

Facilities:

Experimental and control group sample is being drawn from the following Ohio DRC facilities:

- Allen Correctional Institution (Lima)
- Pickaway Correctional Institution (Orient)
- Richland Correctional Institution (Mansfield)
- Ross Correctional Institution (Chillicothe)
- Southern Ohio Correctional Facility (Lucasville)
- Belmont Correctional Institute (St. Clairsville)
- Mansfield Correctional Institution (Mansfield)
- Grafton Correctional Institution (Grafton) – added late 2004, due to addit. funding
- Chillicothe Correctional Institution (Chillicothe) – added late 2004, due to addit. funding
- Madison Correctional Institution (London) – added late 2004, due to addit. funding
- Franklin Pre-Release Center (Columbus)
- Northeast Pre-Release Center (Cleveland)
- Ohio Reformatory for Women (Marysville)

Sample members may also be drawn from a privately operated Transitional Control facility in Cleveland:

- Harbor Light (Cleveland)

Post-Release Counties:

All study participants (experimental and control) are returning to one of three Ohio Counties:

- Allen County
- Cuyahoga County
- Franklin County

¹ Much of the information included in this memo was drawn from a document being prepared by the Ohio Institute of Correctional Best Practices. When it is finalized I will forward to copy to Christy and Pam.

Ohio Site Design Memo
Page 2.

Assignment to Experimental and Control Group

Ohio is using random assignment to assign prisoners who are eligible to either the experimental or the control group. The process is as follows:

Offenders who meet the eligibility requirements for participation in the CORE program are identified from three sources:

- Reception Center – during reception, offenders who meet the criteria are identified and the list is forwarded to the PD;
- Institutions – Institutional staff review their existing population to determine if inmates meet the criteria for the program;
- Central Office – The PD generates a Future Release Report List on a monthly basis. Names on the list are reviewed to determine eligibility.

Once a list of eligible inmates is generated, the Reentry Management Team (RMT) in conjunction with the community partners and parole officer meets with each inmate and explains the program. If the inmate is interested, he/she must complete the CORE Entry Questionnaire. The completed questionnaire is forwarded to the PD for review and final determination. Once the PD makes the final eligibility determination, the inmate's name is placed on a list. The list is consecutively numbered. The names (numbers) are then drawn randomly and assigned to the experimental or control group. The RMT is notified of who will be part of the experimental group and the team begins meeting with the inmates to develop their Reentry Accountability Plans (RAP).

Offenders in the experimental group receive intensive case management services and treatment programs in the domain areas that are identified as necessary, while in the institution, for twelve months in the community while on parole or PRC, and for an additional twelve months once released from supervision. Inmates in the control group still receive treatment services through the normal institutional process, but will not receive the extended case management services in the community, after release.

Prisoners are tracked for two years following release from prison even if they voluntarily withdraw or are terminated from the CORE program.

Revisions to Eligibility

The determination of eligibility has been refined since the initial application. The initial federal guidelines precluded sex offenses. This has since been changed and sex offenders are now eligible for participation in the CORE program and therefore may be assigned to the experimental and/or control group.

Ohio Site Design Memo
Page 3.

Ohio has defined the target population as:

- Offenders convicted of murder, robbery, aggravated assault, burglary, theft, and arson²;
- Offenders convicted of high felony level such as murder, felony 1, 2, or 3 or the offender is considered a serious offender;
- Offenders between the ages of 18-35 at the time of the interview for the program;
- Static risk assessment score of 5 or higher;
- More than one dynamic domain at 3 or more need level;
- Offenders receiving a sentence of incarceration of twelve months or more;
- Offender who will be released to Allen, Cuyahoga, or Franklin Counties;
- Offenders who will be on parole or post release control for at least one year following release from prison;
- Offender is eligible to be housed at one of the facilities listed above.

² In 2004 additional money became available to expand services for offenders with serious mental illness. Ohio is using these funds to implement a pilot program called ACT which will provide intensive wrap around services for offenders designated as seriously mentally ill. As part of the new program, starting in October 2004 sex offenders are eligible for inclusion.

Oklahoma Adults

Offenders are eligible for PROTECT if they are returning to Oklahoma County, are between the ages of 18 and 35, and have an LSI score of 29 or greater. Offenders from all state prisons, private (contract) prisons, community work centers, and community corrections centers are eligible for PROTECT. For the national evaluation, we initially targeted only those PROTECT participants who were incarcerated in one of the state prisons (n=18). We projected between 60 and 115 PROTECT participants would be released from the state prisons during the baseline data collection period. However, because case flow was lower than originally projected, the decision was made on 11/23/04 to include in the study PROTECT participants who are incarcerated in any of the four private prisons and six community corrections centers.

Our comparison group consists of offenders who meet the PROTECT age and LSI criteria but who are returning to TULSA County. We are using offenders' pre-incarceration county of residence to identify a sample of comparison offenders likely to return to Tulsa.

Pennsylvania

In Pennsylvania, the Erie PA Reentry Project (EPRP) serves male and female adults from any of the secure correctional institutions (SCI's) who are returning to Erie County. EPRP participants are transferred to Albion SCI (males) or Cambridge Springs SCI (females) to begin EPRP programming. Other eligibility criteria are that the offender is between 18 and 35 years old at the time of release from the SCI and is going to be released on state parole or state re-parole. All EPRP participants are paroled to a community corrections facility in Erie as part of their transition back into the community. Males are paroled to Erie Community Corrections Center (CCC), a state-run community corrections center, and females are paroled to Gaudenzia, a contract treatment/community corrections facility. The average length of stay for EPRP participants at the community corrections facilities is 90 days.

For our evaluation, we will conduct baseline interviews at the community corrections facilities, rather than at the prisons, to ensure that offenders are actually in the community at the time of the 3-month follow-up interview. Male study participants will be identified and interviewed at two of the community corrections facilities in Erie, PA: Erie CCC (EPRP participants and comparisons) and Gateway Erie (comparisons only), another treatment facility contracted by DOC. We will interview female EPRP participants at Gaudenzia; we will not have a female comparison group in PA. We plan on interviewing all of the EPRP participants and an equal number of male comparison subjects. The comparison group will comprise state parolees, state re-parolees, technical parole violators (TPV's) with community parole center (CPC) placements ("halfway-backs"), and pre-release cases who are between 18 and 35 years old and are returning to Erie, Crawford, or Warren County. Several DOC and Pennsylvania Board of Probation and Parole (PBPP) staff believe that pre-release cases are comparable to state parolees and halfway-back cases (TPV-CPC cases) are comparable to state re-parolees. We are including Warren and Crawford counties as post-release target areas for comparison subjects to ensure an adequate sample size.

For study participants from PA, the "release date" will actually be the date the offender is released FROM the community corrections facility TO the community. Baseline interviews will be scheduled according to the offender's expected or actual DATE OF ARRIVAL at the CCC. At two of the three facilities (Erie CCC and Gaudenzia), study participants will be interviewed during their first week at the facility. Offenders will then spend approximately 3 months at the facility before being released to the community. The 3-month follow-up interview will be conducted 3 months after the offender is released from the center to the community, so there will be more time (~6 months) in between the baseline interview and first follow-up interview than there will be in other sites. At the third facility, Gateway Erie, some offenders will complete inpatient substance abuse treatment before moving into a work release phase, while other offenders will go straight into work release upon entering the facility. Because offenders at Erie CCC will not be in inpatient treatment, the timing of baseline interviews at Gateway will be most comparable to the timing of baseline interviews at Erie CCC if offenders at Gateway are interviewed during the first week of work release.

SC Adults – Study Design

Study Design

The SC DC reentry initiative is a voluntary program serving adults who are incarcerated in one of 7¹ medium or maximum security institutions (Kershaw, Leath [women's], Lee, MacDougall, Ridgeland, Tyger River [this program targets sex offenders], and Wateree River) and who are returning to any county in the state. The only additional selection criteria are that the adults be between the ages of 17-35 (no age restrictions for sex offenders), have post-release supervision (TIS sentences/splits, CSP, a few who are paroled, and possibly some that are on supervised furlough), have a prior conviction (this criteria does not apply to sex offenders), not have been sentenced under the Youthful Offender Act, and be 12 months from the projected release date. Our best estimate for the number of SVORI participants who would be available for enrollment in our study from 9/04 to 8/05 is 345.

For the comparison group (n=403), we will use two subgroups: “same-same” and “different-same”. The “same-same” group will consist of individuals from the 7 targeted facilities who meet all eligibility criteria except post-release supervision (n=189). The “same-same” group will also include 66 non sex offenders from Tyger River who meet all eligibility criteria (including post-release supervision). The “different-same” group will consist of individuals who meet all SVORI eligibility criteria (including post-release supervision) but who are incarcerated in the following medium or maximum security comparison facilities: Camille Griffin Graham (women's; n=8), Allendale (n=68), and Evans (n=23). SC DC is willing to flag the comparison group so that they are not transferred to facilities in which we are not conducting interviews.

Interviewing at Watkins Pre-Release Center began in December 2004 since many eligible study participants are transferred there 30 days prior to release.

¹ As of 4/01/04, participants from all 7 facilities except Kershaw and Ridgeland had been enrolled in the program. SVORI programming at Tyger River was suspended from June – November 2004 due to staff turnover.

SC Juveniles – Study Design

Study Design

The SC DJJ reentry initiative is a non-voluntary program (it is the new “standard” way the youth will be released) serving youth who are incarcerated and released from one of 4 maximum security institutions in the Broad River Complex (Birchwood Institution, John G. Richards Institution, and Willow Lane Institution [to house females]) or any of the medium security community corrections facilities (including Camp Bennettsville I and II, Camp Sandhills, Camp White Pines I and II, Generations Bridges Camp, and Aspen Alternative). Basically, the only institutions that are excluded from SVORI are the 3 evaluation centers and the juvenile detention center. The program targets youth who meet eligibility criteria, including being committed from the following counties: Orangeburg/Calhoun, Dorchester, Spartanburg, and Florence (the later two counties were “rolled in” with participants enrolled in October 2004).¹ We estimate that approximately 68 SVORI youth (from all 5 participating counties) will be released from October 2004 – September 2005.

For the comparison group (target n = 138), we will use primarily a “same-different” design (youth incarcerated in the same facilities but returning to Greenville, Aiken, and Sumter counties), but will be able to include some “same-same” youth (program-eligible youth who are not able to enter the program because of caseload caps). The “same-same” group will likely not be very large (and it may be impossible to even come up with an estimated number ahead of time), but since we are going to be in the facilities anyway, it would be easy to include these youth in our study.

¹ Three additional counties (Kirhaw, Marion, and York) are trying to implement the same model but are not receiving funding; these counties will not be included in either the treatment or comparison group.

Site-Specific Design for Washington “Going Home”

Overview

In Washington, SVORI offenders will come from four facilities in the state (three near Seattle, and one in Walla Walla) and will return to Pierce and King Counties (both near Seattle). Comparison offenders will come from six corrections facilities and eleven work/pre release facilities in the state (near Seattle, and in or on the way to Walla Walla) and will return to Pierce and King Counties (the same communities as the SVORI offenders).

Background

The SVORI program in WA targets offenders returning to three counties (Pierce, King, and Spokane), and offenders are immediately transferred to one of four facilities once they are enrolled in the program.

Pre-release geographical considerations: Three of the four SVORI facilities are located in or near Seattle; one SVORI facility is located in Walla Walla, which is in the southern portion of the state but within reasonable driving distance of Seattle. Because the majority of offenders are held in the Walla Walla facility, we cannot exclude this facility from the study.

Post-release geographical considerations: Pierce and King Counties are located near Seattle; Spokane County is located on the far eastern edge of the state. Based on a snapshot of potential releases and an analysis of actual releases from last year, it appears that there are also far more offenders returning to Pierce and King Counties than returning to Spokane. Because Spokane is so remote, and there are relatively few offenders returning to that community, we have made the decision to exclude offenders returning to Spokane from the impact evaluation.

Considerations for selection of comparison offenders: There appear to be at least twice as many offenders returning to Pierce and King Counties than the program can accommodate. Although the DOC is not open to random assignment, their MIS person is willing to work with us to select matched comparison offenders for each participants enrolled in the SVORI program. The Department would agree not to later enroll any offenders selected as our comparison subjects. These comparison offenders, unfortunately, cannot be limited to the same four facilities as the SVORI offenders will be in (although some comparison offenders may be held in those four facilities). Based on an analysis of release trends and the snapshot of potential releases, we should have enough comparison cases if we limit the data collection facilities to those in or next to Pierce and King Counties, and the facility in Walla Walla (and one facility between

Seattle and Walla Walla). This would exclude three facilities in Jefferson, Clark, and Franklin Counties due to geographic distance.

SVORI Multi-Site Evaluation Sample Selection Procedures: Colorado Juvenile Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The scope of the Colorado Affirms Reentry Efforts (CARE) program evolved over the course of the grant. For the first 1.5 years, the program’s focus was preparing youth for release through the involvement of a parole advocate. This was accomplished through funding a new position—parole advocates. Parole advocates worked with the regular institutional case managers to whom youth are assigned (with the case manager converting to the youth’s parole officer after release) prior to release and then served as a safety net after release. The parole advocates provided more intensive, personalized support to participants. The program then shifted to incorporate more evidence-based programs and services, and focused on delivering these programs at one primary facility. The program delivered at this facility was built on the “Integrated Treatment Model” and incorporates the family as an integral part of the incarceration and transition process.

Differences Between SVORI and “Business as Usual”

Although case managers work with all juveniles as part of the DYC system (and then serve as parole officers after release), the parole advocate role was specifically funded by the CARE grant and was not available to youth in the general DYC population. Parole advocates provided an additional, more concentrated resource for youth during the reentry process, and youth participating in the CARE program had access to services typically not available to other youth due to lack of resources. Some services provided by the Parole Advocates included participating in client manager/family meetings, participating in job readiness groups, and working with the workforce center to secure jobs for participants. .

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

CARE initially drew male participants from the Lookout Mountain and Ridgeview facilities, then began focusing primarily on the Everest facility. For females, the Girls’ View facility was initially part of the CARE program; however, it was shut down and has since re-opened under a new name (Marler Center). It had limited involvement with the CARE program. In order to be eligible for the program, boys had to be returning to the Denver/Metro area (Denver, Adams, Arapahoe, Douglas, and Jefferson Counties). Girls were not limited to a particular geographic area of return in order to obtain sufficient numbers of female participants).

Other Eligibility Criteria

Youth must have scored 28+ on the Colorado Youth Level of Supervision Inventory (which has a range of 15-40 and is administered to all youth upon entry into the DYC system) to be eligible. CARE participants who were supervised by certain case managers were recruited for the program.

Voluntary/Mandatory Nature of Program

According to the program director, participation in the program was voluntary.

Program Enrollment Period

The program began enrolling cases in September 2003 and stopped enrolling in April of 2006. As of March 2006, the program had enrolled 211 individuals (cumulative enrollment) over the course of the grant.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Colorado Juvenile)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> Male CARE participants incarcerated in all facilities served by the program (Lookout Mtn, Ridgeview, and then later Everest) who were projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> PD sent file for CARE participants and periodically provided release date updates. When case releases fell within our 3-month time window, site liaison requested the additional fields from PD. As new cases were enrolled in CARE, PD forwarded information.</p>	<p>All CARE participants included in the sampling frame for the interview component.</p>	<p><u>Selection Criteria:</u> Male youth within the CARE facilities who were supervised by case managers other than the ones from which CARE participants were recruited, who met all other CARE criteria (released to the Denver/Metro area, scored 28+ on the CLSI), and who were projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> PD identified appropriate comparison subjects based on case manager assignments and sent file containing information.</p>	<p>All comparison participants included in the sampling frame for the interview component.</p>

SVORI Multi-Site Evaluation Sample Selection Procedures: Florida Juvenile Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

Going Home is designed to facilitate a smooth transition from residential placement to community living and offer constructive alternatives for economic self-sufficiency to youth coming out of residential programs. The program includes a pre-release curriculum, which spans a wide array of life skills and moral reconnection topics, and extensive release planning activities. Post-release services are focused on educational and vocational support (including job development and job coaching). Both the pre-release curriculum and the provision of post-release support services are contracted to Transition, Inc. Youth can access the post-release services even after the conditional release period has ended, up until the age of 21.

Differences Between SVORI and “Business as Usual”

For the most part, all youth in FL DJJ facilities have access to the same services. All youth are given a needs assessment, which is used to develop a performance plan. However, SVORI youth also receive a YLS/CMI assessment. This more intense level of evaluation and definition of needs may generate increased referrals for SVORI youth. For all youth, an exit conference is held 14 days before release, with the conditional release case manager sometimes in attendance. All youth who are on conditional release are monitored for 6 to 9 months, during which the treatment plan developed prior to release is reviewed and updated monthly. “Conditional release agencies” provide case management, conduct assessments, supervise compliance with conditional release plans, make home visits, and conduct random drug testing.

The primary difference between SVORI and non-SVORI youth is the pre-release curriculum (which only SVORI youth receive except at the Bay Point facility, in which the curriculum is provided to all youth) and access to enhanced post-release educational and vocational services available through Transition, Inc. Although all youth can access these services until age 19, the contract with Transition allows SVORI youth to access these services until the age of 21.

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

Although grant funds were divided among Miami-Dade, Hillsborough, and Duval Counties, only Miami-Dade was selected for the impact evaluation. Youth for this site must be committed from Dade County into one of the following facilities: Bay Point Schools, Inc., Everglades Youth Development Center, Florida City Youth Center, Southern Glades Youth Camp, and Wings for Life South Florida (girls).

Other Eligibility Criteria

Youth must be committed for a violent felony or burglary. In addition, youth must be at least 16 years of age by the time they leave the residential facility and not have a high school diploma or have completed a GED by the time they leave the residential facility. YLS/CMI scores are also

used to determine program eligibility (originally, youth needed to be rated as “high” risk; later, this was modified to “medium” or “high” risk).

Voluntary/Mandatory Nature of Program

Participation in the program is voluntary.

Program Enrollment Period

The program began enrolling participants in August of 2003. The program continued enrollment until March of 2006. A total of 102 youth were enrolled over the course of the grant.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Florida Juvenile)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> All SVORI participants at the Miami-Dade site who were projected to be (and actually) released during the baseline enrollment period. Enrollment was discontinued for females.</p> <p><u>Sample Identification Procedures:</u> Dade county sent a master file of program participants on an ongoing basis. The SL identified cases with relevant release dates.</p>	<p>All SVORI participants included in sampling frame for interview component</p>	<p><u>Selection Criteria:</u> Youth who meet the same program eligibility criteria, were committed to the same facilities, and were projected to be (and actually) released during the baseline enrollment period, but who were committed from Broward and West Palm (rather than Dade) counties. Note that YLS/CMI scores are not available on youth who are not participating in SVORI so we were not able to apply this criterion to them.</p> <p><u>Sample Identification Procedures:</u> Broward and Palm Beach County each sent files (on an ongoing basis) containing comparison subjects who had the appropriate release dates.</p>	<p>Comparison individuals included in sampling frame for interview component</p>

Table 2. Summary Information about SVORI (S) and Comparison (C) Cases at each Interview Wave (Florida Juvenile)

Description	Baseline				3 Month				9 Month				15 Month				
	Males		Females		Males		Females		Males		Females		Males		Females		
	S	C	S	C	S	C	S	C	S	C	S	C	S	C	S	C	
Number of Cases identified for Evaluation			n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Number of Cases Fielded			n/a	n/a			n/a	n/a			n/a	n/a			n/a	n/a	
Number of Cases Interviewed			n/a	n/a			n/a	n/a			n/a	n/a			n/a	n/a	

SVORI Multi-Site Evaluation Sample Selection Procedures: Iowa Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The Iowa Going Home KEYS program included a 12-week life skills and reentry course (topics include communication skills, conflict management, future goal setting and reentry case planning, substance abuse treatment, computer skills and vocational training, education, employment, mental and physical health, money management, family issues, housing, time management, legal assistance, recreational activities) delivered in-prison (taught by staff from Des Moines Area Community College [DMACC]) as close to participants' time of release as possible. During the class, post-release case managers and parole officers met with participants and develop reentry case plans. The plans identified areas of need and began planning services and resources to address those needs prior to release and once released. During the course, representatives from many community-based organizations and government agencies conducted sessions to explain how the processes work for offenders after release and to provide contact people with whom participants can connect upon release.

Although KEYS participants were supposed to be directly released to community supervision, approximately 20% ended up being sent by the parole board to work release facilities (there were two in Polk County) for 3-6 months before release to the community. During the post-release phase (which lasted for at least 6 months after release), DMACC provided intensive case management and two dedicated parole staff members, who had offices at DMACC, provided enhanced parole supervision (together, the DMACC case manager and dedicated PO were the “Transition Team” and made contact while the participants were still in the institution). Participants also participated in community Accountability Boards and were offered a weekly peer support group to address reentry concerns and emotional issues. In addition, DMACC offered a support group for family members of offenders.

Differences Between SVORI and “Business as Usual”

The KEYS curriculum was not available to the general prison population. The general prison population received a prison treatment plan but had to do its own release planning (in contrast to the release plan developed for KEYS participants and reentry services covered in the KEYS curriculum). In addition, KEYS participants were the only ones who had DMACC case managers and dedicated parole officers (the general population of inmates on parole are supervised by “general” parole officers who are housed at the parole building, rather than the DMACC campus).

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

In order to be eligible, prisoners must have been returning to Polk County (Des Moines). The KEYS curriculum was delivered at three facilities (Fort Dodge Correctional Facility, Newton Correctional Facility, and Iowa Correctional Institution for Women). Although the original plan was to recruit from all facilities and have “KEYS eligible” individuals transferred to the KEYS

facilities (which are all medium security) for programming, this plan was not implemented (due to concerns about individuals who would otherwise be released from minimum security facilities, which are a majority of inmates, being transferred to a higher security prison only for programmatic reasons) and KEYS participants were only identified from the three medium security facilities listed above.

Other Eligibility Criteria

Participants must have been between the ages of 18-40 (for males) or 18-48 (for females), although originally the program used a lower upper age limit (35 for males). Additionally, inmates must have had one year or more to serve on their sentence at the time of their release. Individuals with life sentences were excluded, as were people who were currently serving time for parole violations. Originally, the program also limited participation to individuals with LSI-R scores of 20 or above, but this criterion was relaxed over the course of recruitment and prisoners with lower LSI-R scores were accepted. Finally, facilities only put offenders who were considered to be “program ready” into KEYS—meaning the offender had completed all other treatment provided by the facility that had been identified as a need by their facility counselor or the parole board

If after going through a pre-screening process by the parole board (to verify likelihood of release) prisoners were approved, eligible individuals were randomly assigned to receive either KEYS programming or business as usual. Random assignment took place only during the baseline enrollment period for the multi-site evaluation.

Voluntary/Mandatory Nature of Program

According to the program director, participation in the program was voluntary.

Program Enrollment Period

The program began enrolling participants in January of 2003. Enrollment ended in April of 2006, with a total cumulative enrollment of 490.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Iowa Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> Individuals randomly assigned to the KEYS group and projected to be (and actually) released³ during the baseline enrollment period. Random assignment entailed the following: once the list of names of eligible prisoners from each facility were identified, the names were sent to the parole board for a prescreening process (to verify likelihood of release), cases receiving prescreen approval were then sent to CJJP for random assignment, which involved an SPSS program to randomly split the sample of eligible and prescreened offenders into two groups and then identify one group as the KEYS group and the other as the control group (note: the groups were not equally distributed – KEYS slots were filled first and then the remaining individuals were allocated to the control group). An intent to treat design was employed (drop-outs could not be considered control group members).</p> <p><u>Sample Identification Procedures:</u> CJJP sent data files to site liaison.</p>	<p>All individuals randomly assigned to KEYS and on the sampling frame for the interview component</p>	<p><u>Selection Criteria:</u> Individuals randomly assigned to the control group and projected to be (and actually) released during the baseline enrollment period. Random assignment procedures are described in the “SVORI population selected for Evaluation” column.</p> <p><u>Sample Identification Procedures:</u> CJJP sent data files to site liaison.</p>	<p>All individuals randomly assigned to the control group and on the sampling frame for the interview component.</p>

³ Note that for the individuals who were released to work release facilities, “release” was defined as release from the work release facilities (not the original institution). Therefore, although KEYS curriculum was only delivered in three prisons, SVORI interviews took place in five facilities (the three prisons of interest and the two work-release facilities--the Fort Des Moines Community Corrections Center and the Women’s Residential Correctional Facility--where some portion of KEYS participants were sent before being released to the community.

SVORI Multi-Site Evaluation Sample Selection Procedures: Indiana Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The portion of the Indiana SVORI grant that went toward adult programming was small, with funds used to support two reentry programs in Allen County: a Reentry Court and a Community Transitions Program (CTP). Both programs are strictly post-release, with official enrollment occurring upon release to Allen County Community Corrections (ACCC). Program participants are those who choose to forgo the remainder of their prison sentence to be released early on electronic monitoring.

Offenders going into the reentry court program are released from prison (to parole) more than 60 days pre-release. Those only receiving the Community Transitions Program (CTP) have an early release date of less than 60 days and are released to probation. Many of the services provided to these two groups at ACCC are the same, but the Reentry Court participants have more time to access the services available (because they are under the jurisdiction of ACCC for longer than those in the CTP program) and are responsible for appearing in court. In addition, Reentry Court participants are followed by a reentry case manager for at least one year whereas those on CTP only receive case management for the duration of their sentence (60 days or fewer); separate case managers are assigned to the two groups. In addition to the case management services and intensive supervision received by both groups, numerous courses (including behavior modification) and services (employment, education, substance abuse treatment, etc.) are offered through ACCC. Participants are required to pay for the services that they receive while on electronic monitoring (with DOC paying half the cost). Because the Reentry Court program was not included in the SVORI Multi-Site Evaluation, the remainder of this document focuses on the CTP program only.

Differences Between SVORI and “Business as Usual”

Because the program is post-release in nature, there are no differences in the pre-release services received by SVORI and non-SVORI offenders. Out of the 92 counties in Indiana, 60 have a community corrections agency; however, few are as large and developed as the ACCC in Fort Wayne. In general, former prisoners outside of ACCC are not supervised as closely and do not have as many services readily available to them. In addition, the general probation population is not typically on electronic monitoring (something that is standard for both the Reentry Court and CTP populations, because they have chosen the early release option).

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

In order to be eligible for the program, individuals must be returning from any IDOC facility to Allen County.

Other Eligibility Criteria

Initially, in order to be eligible prisoners had to choose to forgo the remainder of their prison sentence to be released early to the ACCC on electronic monitoring. However, due to a new piece of legislation, prisoners were required to either accept the program or to petition to the courts to allow them to opt out with no penalty within 10 days of their 60 day pre-release notification.

The following groups are excluded from participation: individuals who have been terminated from reentry court twice, those who have a pending suit against ACCC, those who have severe medical requirements, and those serving less than a two-year sentence.

Voluntary/Mandatory Nature of Program

Although the program director considers participation to be voluntary, the way an individual chooses to enter the program is complicated. Originally, participants had to choose to forgo the remainder of their prison sentence to be released early to the ACC on electronic monitoring. However, Indiana then signed new legislation that said that prisoners do not have the choice to select early release. Instead, they were given 10 days after their 60 day pre-release notification to either accept the program or to petition to the courts to allow them to opt out with no penalty. If they decline to participate without getting proper approval from the court, they will lose their earned time.

Program Enrollment Period

The program began enrolling participants in July 2002. As of March 2006, the program had enrolled a total of 527 individuals over the course of the grant, and planned to continue enrollment indefinitely.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

Table 1. Selection Criteria for Interview and Administrative Data Components (Indiana Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> Individuals identified as eligible for the CTP program (who have not denied the program), who were released from one of 7 designated facilities for the evaluation (Indiana Women’s Prison, Westville, Chain O’Lakes, Rockville, Plainfield, Putnamville, Miami), and who were projected to be (and actually) released to ACCC during our baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> A DOC staff member sent a list of potential CTP participants each month. An ACCC staff member also sent weekly files listing individuals eligible for the CTP program and who have not (to their knowledge) denied the program. As it becomes known that someone ends up denying the program, cases that have already been baselined are dropped from further follow-up.</p>	<p>Individuals identified as eligible for the CTP program who were released in 2004, 2005, and 2006</p>	<p><u>Selection Criteria:</u> Individuals incarcerated in the same 7 facilities from which CTP participants could come but who were returning to Marion (rather than Allen County), who matched the selection criteria used for the CTP program, and who were projected to be (and actually) released during our baseline enrollment period. If it becomes known that comparison group members became enrolled in the CTP program or the Community Chaplain Program in Marion County, the cases were dropped from further follow-up.</p> <p><u>Sample Identification Procedures:</u> A DOC staff member sends a list of potential comparison group members each month.</p>	<p>From 2004-2006 release cohort files, will subset to individuals on sampling frame for interview component (and possibly an alternative expanded sample)</p>

SVORI Multi-Site Evaluation Sample Selection Procedures: Kansas Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The Shawnee County Reentry Program (SCRCP) attempts to provide high-risk offenders with a smooth transition into the community. All male program participants who are incarcerated in facilities other than the Lansing Correctional Facility (LCF) are transferred to LCF before beginning the program. Program participants are assigned to specialized case managers, who are highly qualified and have a smaller case load than typical parole officers. While incarcerated, program participants meet with case managers, who conduct a risk assessment (LSI-R) and develop a case plan. Program participants receive intensive case management and pre-release planning. Reentry participants also receive individual housing assistance and are prioritized for the cognitive behavior, life skills, and, for females, family transition classes offered in the facilities. Prior to release, participants have post-release services lined up for them by the case manager. A major program component is the Accountability Panel, which, after release, welcomes the inmate home, hold him/her accountable for what happens in the community, and provides options to re-incarceration when an offender commits an act that could result in revocation. Grant funds also supported the position of boundary spanner, a staff member that meets with agencies and improves coordination at the systems level.

Differences Between SVORI and “Business as Usual”

All inmates meet with a treatment team upon entry to a KS facility and have a “program plan” (based on LSI-R scores) developed, including recommendations and details requirements the inmate must complete. While inmates who are participating in SCRCP are assigned to reentry case managers with a specialized caseload, non-SCRCP inmates are assigned to parole officers. Although the parole officers do meet with inmates while they are still incarcerated, they do not have the time or resources to spend significant time with an inmate before release. All KS DOC inmates receive a release plan prior to release. However, SCRCP participants receive more individual attention to prepare for release, more extensive follow-through, and more advance release preparation. Non-SCRCP inmates do not meet with an Accountability Panel upon release.

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

The program serves adults who are incarcerated in any correctional facility and who are returning to Shawnee County. All males who are incarcerated in facilities other than the Lansing Correctional Facility (LCF) are transferred to LCF before beginning the program. There is only one female facility in KS, which is located in Topeka (TCF).

Other Eligibility Criteria

Additional eligibility criteria include the following: 18-34 years old (note: the upper age limit was later dropped), a minimum of 12 months from the projected release date, and convicted of a serious or violent offense (or a sex offense).

Voluntary/Mandatory Nature of Program

According to the program director, participation in the program is voluntary.

Program Enrollment Period

The program began enrolling participants in April of 2003. As of March 2006, the program had enrolled 148 individuals over the course of their grant and planned to continue enrolling indefinitely.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Kansas Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> SVORI participants in the Lansing and Topeka facilities who were projected to be (and actually) released during the baseline enrollment period. 8/05.</p> <p><u>Sample Identification Procedures:</u> SCRCP prepared monthly files containing all eligible cases.</p>		<p><u>Selection Criteria:</u> Offenders from the Lansing and Topeka facilities who meet all the SVORI eligibility criteria (18-34 years old, have been convicted of a serious, violent, or sex offense), projected to be (and actually) released during the baseline enrollment period, but who are returning to Sedgwick County (using pre-prison county of residence as a proxy, since the DOC database does not have a field for projected post incarceration residence).</p> <p><u>Sample Identification Procedures:</u> SCRCP prepared monthly files containing all eligible cases.</p>	

SVORI Multi-Site Evaluation Sample Selection Procedures: Kansas Juvenile Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The Kansas Going Home Initiative (GHI) was designed to provide intensive support for serious and violent juvenile offenders in the period leading up to and following release from a correctional facility. Youth participating in the program receive intensive support and planning services by a Community Reentry Facilitator (CRF; focused on serving the youth from program enrollment through the period immediately following release) and a Long Term Support Specialist (LTSS; focused on serving the youth once they are back in the community). The work of these staff members augments the existing case management provided by facility and community case managers, who have formal control over the cases (the CRFs and LTSSs do not have the authority to sanction youth). The CRF's meet with the youth monthly prior to release and focus on release preparation. A major component of the program is family group conferencing (involving family members, service providers, education representatives, law enforcement officers, community case managers, and other individuals important to the youth), with the conference taking place immediately following release. The LTSSs can maintain contact with youth for up to a year after supervision ends.

Differences Between SVORI and “Business as Usual”

All youth in Kansas juvenile facilities receive case management by facility case managers while they are incarcerated and community case managers during the period of conditional release (community case managers typically do not visit the youth prior to release, but communicate with the facility case manager). However, only youth participating in GHI receive the services of the CRFs and LTSSs. These staff members focus on building relationships with youth and their families, which they are able to do because they have small caseloads and because they do not have the authority to sanction the youth (resulting in a supportive relationship). GHI participants also benefit from having the CRFs and LTSSs participate in the “180 day staffings” on the youth's behalf, in which the facility treatment team revises the original service plan and plans for release.

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

All juveniles returning to one of five judicial districts in northeastern and south central KS can participate in the Going Home Initiative. Participants can come from any of the four juvenile correctional facilities (JCF) in KS. The four JCF's serve different populations: Beloit JCF houses female offenders; Larned JCF houses offenders with serious mental health and/or substance abuse issues; Atchison JCF houses the youngest offenders; and Topeka JCF houses the most serious offenders (it is also the largest JCF).

Other Eligibility Criteria

Youth must have a conditional release period of at least one year in order to be eligible.

Voluntary/Mandatory Nature of Program

According to the program director, participation in the program is voluntary.

Program Enrollment Period

The program began enrollment in May of 2003 and stopped enrolling participants in January of 2006. The program enrolled a total of 180 individuals over the course of the grant.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Kansas Juvenile)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> For the purposes of the national evaluation, only GHI participants from two of the four juvenile correctional facilities, Beloit (females) and Topeka (males), were included. This decision was made because there would not be enough participants at the three "specialty" facilities to conduct an adequate study of their populations, and pooling them involves too much risk of type II error. All GHI participants from Beloit and Topeka who were projected to be (and actually) released during the baseline enrollment period were included in the sampling frame.</p> <p><u>Sample Identification Procedures:</u> SVORI PD sent lists of all SVORI participants at Topeka (males) and Beloit (females) facilities to SL.</p>		<p><u>Selection Criteria:</u> Because the five judicial districts to which GHI participants return account for >50% of all released juvenile offenders, we decided not to have a comparison group of juvenile offenders in KS. Instead we will use data from the Juvenile Justice Authority to construct a historical comparison group.</p> <p><u>Sample Identification Procedures:</u> n/a (no comparison subjects)</p>	

Table 2. Summary Information about SVORI (S) and Comparison (C) Cases at each Interview Wave (Kansas Juvenile)

Description	Baseline				3 Month				9 Month				15 Month				
	Males		Females		Males		Females		Males		Females		Males		Females		
	S	C	S	C	S	C	S	C	S	C	S	C	S	C	S	C	
Number of Cases identified for Evaluation		n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Number of Cases Fielded		n/a	n/a	n/a		n/a	n/a	n/a		n/a	n/a	n/a		n/a	n/a	n/a	n/a
Number of Cases Interviewed		n/a	n/a	n/a		n/a	n/a	n/a		n/a	n/a	n/a		n/a	n/a	n/a	n/a

SVORI Multi-Site Evaluation Sample Selection Procedures: Maryland Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

For the Maryland Reentry Partnership (REP), The Enterprise Foundation is contracted to provide case management and service coordination for male offenders. Pre-release activities usually begin 90 days prior to release and begin with eligible offenders taking part in “exit orientations” held for those who will be released within 90 days. During these orientations, potential participants meet with their parole officer, community case managers (CCM), advocate, service providers, law enforcement staff¹, and Maryland Department of Public Safety and Correctional Services (MDPSCS) staff, who inform them about the program and ask if they would like to participate. Those who agree to participate are assigned a CCM (each REP participant was assigned to a CCM employed at one of three community-based organizations in the community in which the participant was returning) and an Advocate (usually an ex-offender) who have regular contact with them post-release, link them to services, and help the participant comply with his treatment plan. The pre-release phase of the program consists of an intense risk and needs assessment (conducted pre-release) and two pre-release programs (life skills/cognitive behavioral training and job readiness training). Upon release, a case plan is created from the participants’ needs assessment. The CCM and Advocate work together to see that the case plan is followed and collaborate with the parole officer if the participant is on parole. Post-release activities may continue for as long as 3 years.

Differences Between SVORI and “Business as Usual”

Some pre-release activities are available to all inmates at the Metropolitan Transition Center. All inmates at the MTC participate in an exit program called PREP, which involves community members and agencies that can be of assistance to them upon release. Each inmate at the MTC is also assigned to a case manager.

The involvement of the CCMs (who provide direct linkages to services in their community, as well as case management and oversight) and the advocates are unique to the REP program (with the both the CCMs and advocates working in partnership with parole officers). Other major differences are that the REP clients were assigned to their parole officer prior to release (and met with them prior to release) and that the parole officers were actively involved in the development of the discharge plans.

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

REP participants are selected from the Metropolitan Transition Center (MTC) in Baltimore. In order to be eligible, individuals must be returning to five specific Baltimore zip codes (21213, 21215, 21216, 21217, and 21218)

¹ Law enforcement representatives were initially involved but then stopped participating in the orientations.

Other Eligibility Criteria

The program only serves males. The target population is the general “serious and violent” offender population between the ages of 18 and 35. The program excludes those convicted for sex offenses or crimes against children, those with active detainers, and the severely mentally ill.

Voluntary/Mandatory Nature of Program

Participation in the program is voluntary.

Program Enrollment Period

The program began enrollment in December of 2001. As of March 2006, a total of 411 individuals had been enrolled (from the inception of the program), and the program was planning to continue enrollment indefinitely.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.² For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.³ Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

² Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

³ Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Maryland Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> Individuals flagged for REP participation* who were projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> A DPSCS staff member sent a monthly file after getting confirmation of REP participants from MTC (the list is confirmed by Enterprise as well).</p> <p>*note that not all “treatment” group members received treatment</p>	<p>All individuals flagged for REP participation included in sampling frame for the interview component</p>	<p><u>Selection Criteria:</u> Individuals who were housed at MTC, were not enrolled in any specific reentry programming, met all other program eligibility criteria except zip code (comparison individuals were those returning to Baltimore zip codes other than those targeted by the REP program), and were projected to be (and actually) released during our baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> The MIS staff at DPSCD developed computer- and hand-generated screening procedures to select eligible comparison cases on a monthly basis</p>	<p>All comparison individuals included in sampling frame for the interview component</p>

Table 2. Summary Information about SVORI (S) and Comparison (C) Cases at each Interview Wave (Maryland Adult)

Description	Baseline				3 Month				9 Month				15 Month				
	Males		Females		Males		Females		Males		Females		Males		Females		
	S	C	S	C	S	C	S	C	S	C	S	C	S	C	S	C	
Number of Cases identified for Evaluation			n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Number of Cases Fielded			n/a	n/a			n/a	n/a			n/a	n/a			n/a	n/a	
Number of Cases Interviewed			n/a	n/a			n/a	n/a			n/a	n/a			n/a	n/a	

SVORI Multi-Site Evaluation Sample Selection Procedures: Maine Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The Maine Reentry Network is a collaborative model for community reintegration that begins before release and involves the work of a Reentry Team (for juveniles, Family Systems Teams are used) consisting of both DOC staff and community members. Intensive transition planning (using a case management approach, which results in a case plan) begins six months before release. Videoconferencing technology is used so that community-based service providers and family members can participate in pre-release planning. Team members have resources in place before release, and the team reconvenes after release as needed to implement the case plan that was developed. In addition, in the later years of the grant, Resource Coordinator positions were developed for regional probation offices to help coordinate services for adult offenders once they are released.

Differences Between SVORI and “Business as Usual”

The adult Reentry Network was built based on the juvenile model that has been in place for years – the FST collaborative, intensive case management approach. For adult males, there are substantial differences in service receipt between treatment and comparison offenders. However, many of the services that the Reentry Network has created (e.g., pre-release MaineCare applications, pre-release Social Security Disability Income applications, and pre-release MOU’s with DOL Career Centers) have begun to be translated to all inmates and not just the Reentry Network participants.

Volunteers of America has a contract to provide all women (Reentry and non-Reentry) being released the same service package.

Because the Reentry Network was based on the existing juvenile model, there are not many differences between treatment and comparison youth (unless they age out of the system, in which case Reentry is their only resource for help). Having the Reentry Specialist on the FST for case management only occurs for juveniles returning to counties targeted by the programs. This feature enhances the work of the juvenile FSTs.

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

Maine’s SVORI program targets prisoners in all six adult facilities (Bolduc Correctional Facility, Central Maine Pre-Release Center, Charleston Correctional Facility, Downeast Correctional Center, Maine State Prison, and Maine Correctional Center) and two youth facilities (Long Creek Youth Development Center and Mountain View Youth Development Center) ranging in age from 16 to 25 and returning to four counties (Washington, Androscoggin, Penobscot, and

Knox).¹

Other Eligibility Criteria

Facility staff refer people to the program based only on the two above criteria, and then the SVORI program director conducts a second level screening, checking the individuals risk of recidivism and level of need. Despite the second level of screening, the project takes virtually all referrals received because if a person is in prison in Maine, they are considered high risk (based on the very low incarceration rate for the state).

Voluntary/Mandatory Nature of Program

According to the program director, participation in the program was voluntary.

Program Enrollment Period

The program began enrolling participants in July of 2003. As of March 2006, the program had enrolled 439 individuals over the course of their grant and planned to continue enrollment until March of 2007.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.² For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.³ Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

¹ An additional county--Cumberland County--was added as a SVORI county in 2005.

² Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

³ Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Maine)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> All SVORI participants from all facilities who were projected to be (and were actually) released during the baseline enrollment period and who were from Washington, Androscoggin, Penobscot, and Knox counties. Note: on 3/31/05 we made the decision to stop recruiting participants from the juvenile system (the two juvenile facilities) for interviews.</p> <p><u>Sample Identification Procedures:</u> Site data contact ran a report from the Maine DOC data system, screening for client age range (16-25), release date (within 3-months). Facility liaisons verified client data (checking file against the SVORI enrollment file), file returned to Maine DOC and then sent to site liaison. Additional information (on guardian, address clarifications, etc.) provided. List screened for targeted counties then uploaded.</p>	<p>All SVORI participants (male and female, aged 16-25) released to Washington, Androscoggin, Penobscot, and Knox counties from any facilities during the baseline interview window.</p>	<p><u>Selection Criteria:</u> Four comparison counties selected to identify male comparisons: Piscataquis County (to compare against SVORI Washington County), York County (to compare against SVORI Androscoggin County), Kennebec County (to compare against SVORI Penobscot County), Lincoln County (to compare with SVORI Knox County). There is no comparison group of women in Maine because women returning to comparison counties receive SVORI-like services through another contract.</p> <p><u>Sample Identification Procedures:</u> (same procedures used for SVORI and comparison)</p>	<p>All males aged 16-25 returning released to Piscataquis, York, Kennebec, or Lincoln counties from any facilities during the baseline interview window.</p>

SVORI Multi-Site Evaluation Sample Selection Procedures: Nevada Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

Once enrolled in the Going Home Prepared program (6 to 12 months prior to release), GHP participants complete a SVORI-specific curriculum and are assigned to one of two reentry caseworkers that provide case management services. All male participants are transferred to Southern Desert Correctional Center (SDCC) for SVORI programming and go through the program while being housed on the same unit; females receive programming at one of two facilities. Upon release, program participants are supervised by one of four GHP-dedicated parole officers who have a split caseload with both GHP and non-GHP parolees on intensive supervision. They also receive case management services from one of two GHP-dedicated social workers housed at P&P. The pre-release and post-release case managers work closely together to facilitate GHP participants' transition from prison to the community. Participants receive GHP and community-based services and are tracked by the program for 12 months following release, at which time the formal program participation ends (however, if an offender needs more services beyond the 12th month of phase 2, the service providers agree to provide these services).

Differences Between SVORI and “Business as Usual”

GHP participants receive more intensive case management and more service coordination. The reentry caseworkers have a different role than other prison caseworkers--they are more proactive and focus more on release than reincarceration. GHP participants receive assessments, more referrals, and a greater degree of follow-through on those referrals from the pre-release caseworkers and P&P social workers working together. The GHP participants are more prepared upon release. While in prison, GHP participants:

- get an individualized reentry plan
- receive assistance with obtaining birth certificates and identification cards
- attend an orientation session in which community service providers, the P&P social workers, and the GHP-dedicated parole officers explain what community services are available and supervision expectations
- receive referrals to community service providers, which results in the ability to immediately get services when released

GHP participants also have access to services from the subcontracted GHP-specific job developer/trainer and mental health clinician.

Supervision is the same for GHP offenders as it is for other offenders on intensive supervision; however, the GHP parole officers may watch more closely if the GHP client flounders because the client has an advantage and greater support through program participation. In addition, the P&P social workers have a greater awareness of community resources and can share this knowledge and extra information with the parole officers (which benefits the participant). An additional difference in post-release services is that GHP requires participants to attend reentry court, and participate in groups facilitated by the mental health clinician.

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

Participants from any of the state's prisons are eligible but must serve their parole sentence in Clark, Lincoln, Nye, or Esmeralda Counties (southern Nevada). All male participants are transferred to Southern Desert Correctional Center (SDCC) for SVORI programming, while female participants receive programming at one of two facilities—Jean Conservation Camp or Southern Nevada Women's Correctional Facility.

Other Eligibility Criteria

The GHP program targets male and female adult and juvenile offenders between the ages of 14 and 35 incarcerated in the adult NDOC system. Participants are screened for eligibility by Offender Management and then GHP staff, after which the GHP Selection Committee reviews offenders' files to make final selections. Criteria that could keep a person out of the program include insufficient time left on sentence to participate and inability to transfer to program facility due to enemy gang on yard

Voluntary/Mandatory Nature of Program

Participation in the program is mandatory following enrollment and is made a condition of the offender's parole.

Program Enrollment Period

The program began enrolling participants in July of 2003 and continued enrollment until June of 2005. The program enrolled a total of 321 individuals over the course of the grant.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the "master file" for the program) and the final group actually enrolled in the baseline interview component (the "baseline sample"), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the "interview-only" sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

Table 1. Selection Criteria for Interview and Administrative Data Components (Nevada Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> All individuals 18+ who were enrolled in GHP (and therefore transferred to one of the 3 facilities in which programming was delivered), who were projected to be (and actually) released during the baseline enrollment period, and who were returning to a Southern Nevada county: Clark, Lincoln, Nye, or Esmeralda.</p> <p><u>Sample Identification Procedures:</u> PD uploaded file with both comparison and treatment subjects identified. SL excluded treatment cases that were in a facility in which we were not conducting interviews.</p>	<p>All GHP participants included in sampling frame for the interview component</p>	<p><u>Selection Criteria:</u> Individuals who met all GHP eligibility criteria except for the "subjective" exclusion criteria (e.g., inability to transfer to program facility, insufficient time left on sentence) and post-release geographic parameters³. Comparison subjects came from facilities located in Southern Nevada (High Desert State Prison, Indian Springs Conservation Camp, Jean Conservation Camp (female), Southern Desert Correctional Center, Southern Nevada Women's Correctional Center) and (until 9/23/04) Northwest Nevada . Comparison group members must have been projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> PD uploaded file with both comparison and treatment subjects identified. SL excluded 1) all cases in a facility in which we were not conducting interviews), 2) all cases that were reviewed by the reentry program and that had the potential to be reviewed again, 3) all cases that were reviewed by the reentry program and that were denied participation for a subjective reason (e.g., disciplinary history). Cases that were reviewed for GHP but were determined to be ineligible for</p>	<p>All comparison individuals included in sampling frame for the interview component</p>

³ Interviewing was discontinued in northern Nevada due to small numbers of eligible participants in late September 2004; however prior to that time, comparison subjects could have released to a county in northwest Nevada, including Washoe, Churchill, Carson City, Douglas, and Lyon counties.

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
		other reasons (e.g., from a Northern NV county, enemy gang in yard, not enough time on sentence to participate) were included as comparison subjects.	

SVORI Multi-Site Evaluation Sample Selection Procedures: Ohio Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The Ohio Community-Oriented Reentry Program (CORE) entails intensive case management services and treatment programs in the domain areas that are identified as necessary for program participants. Prior to release, CORE participants meet frequently with the Reentry Management Team (RMT) formed for them, which uses the results of various risk/needs assessments to develop a Reentry Accountability Plan (RAP) and consists of: institutional and community case managers, community reentry coordinators, institutional treatment and programming personnel, Adult Parole Authority officers, faith-based organizations, regional service coordinators, and institutional and community service providers. CORE participants also receive two programs offered to CORE participants only: a career exploration program and a CD-ROM-based program that entails the creation of career and financial goals, a resume, a job search strategy, a personal budget, and a savings and investment plan. For any programs that the RMT identifies as important or necessary, CORE participants are prioritized in the institutions. After release, CORE participants meet regularly with their Community Reentry Management Team (CRMT), which consists of the same stakeholders as the RMT (with the exception of institutional based providers) and have access to funds for things such as emergency housing, rental assistance, bus passes, phone cards, and application fees.

The program also provides for intensive wrap around services for offenders designated as seriously mentally ill (with a disproportionately high rates of co-occurring mental health and substance abuse problems evident in the CORE population).

Differences Between SVORI and “Business as Usual”

All inmates receive formal risk and needs assessments upon entry into the Ohio prison system. In addition, all “reentry intensive” cases (individuals considered to be at high risk, based on the risk assessment) receive a dynamic needs/domain assessment. However, CORE participants have this assessment reviewed on a much more frequent basis (monthly, as opposed to quarterly). All “reentry intensive” inmates are assigned an RMT and have an RAP developed for them. However, CORE participants meet with their RMT at least once a month whereas other offenders meet only twice a year with their RMT. Another difference pre-release is that CORE participants are the only inmates who receive the career exploration program and the CD-ROM-based program described above, and that CORE participants are prioritized for existing pre-release services.

Upon release, all reentry intensive inmates meet with a CRMT at least once a year, with CORE participants meeting more frequently (monthly for the first 6 months and then bimonthly). The only differences between CORE and non-CORE offenders post-release is that CORE offenders meet with their CRMT more frequently, are supervised by parole officers that have smaller average caseloads, and are able to access funds for miscellaneous costs.

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

CORE participants were enrolled from 10 Ohio DRC facilities. In order to be eligible, participants must be released to one of three Ohio Counties (Allen, Cuyahoga, and Franklin).

Other Eligibility Criteria

Eligible offenders must have been convicted of murder robbery, aggravated assault, burglary, theft, and arson; convicted of high felony level such as murder, felony 1, 2, or 3 or be considered a serious offender (a serious offender was defined as anyone with more than two felony convictions or with a lengthy juvenile history and confined as an adult at an early age); be between the ages of 18-35 at the time of program enrollment; have a static risk assessment score of 5 or higher; have more than one dynamic domain at 3 or more need level; have a sentence of incarceration of 12 months or more; and be on parole or post-release control for at least one year following release from prison.

Sex offenders were initially excluded from participation, but were later included if they met criteria as a 'seriously mentally ill' offender under supplemental funding guidelines and met other federal criteria.

After being screened and meeting with program staff to confirm interest in the program, eligible inmates were randomly assigned to receive either CORE programming or "business as usual" for offenders classified as "reentry intensive".

Voluntary/Mandatory Nature of Program

Participation in the program was voluntary.

Program Enrollment Period

The program began enrolling participants in January of 2003. It continued enrollment until December 2005, enrolling a total of 202 individuals over the course of the grant.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the "interview-only" sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Ohio Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> Individuals randomly assigned to the CORE program and who were projected to be (and actually) released during the baseline enrollment period. Random assignment entailed the following: offenders who meet the eligibility requirements met with program staff to explain the program, ascertain interest, and make a final eligibility determination; the remaining inmates were randomly assigned to the experimental or control group.</p> <p><u>Sample Identification Procedures:</u> SL received files from site staff listing all experimental and control cases, and identified those with eligible release dates.</p>	<p>All CORE participants enrolled from program inception to December 2005.</p>	<p><u>Selection Criteria:</u> Individuals randomly assigned to the control group and projected to be (and actually) released during the baseline enrollment period. Random assignment procedures described in the "SVORI population selected for Evaluation" column.</p> <p><u>Sample Identification Procedures:</u> SL received files from site staff listing all experimental and control cases, and identified those with eligible release dates.</p>	<p>All comparison subjects identified as part of random assignment process from program inception to December 2005.</p>

SVORI Multi-Site Evaluation Sample Selection Procedures: Oklahoma Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

PROTECT was established to fill service gaps and expand existing services for returning prisoners. The program attempts to provide a broad set of needed services to participants. Program participants are assigned to transition workers (in addition to the facility case manager, which is part of “business as usual”) who provide intensive case management due to smaller caseloads and more specialized skills. The transition workers work with clients prior to release (developing a release plan and lining up housing, identification, and other needed services for after the client is released) and follow the clients after release (making contact several times a week during the early days of release). In addition, PROTECT clients (except for sex offenders) are assigned to a single probation officer, in order to facilitate communication and information-sharing between the transition worker and probation officer.

PROTECT participants can receive vocational training after release and receive intensive employment services by one of the partnering agencies. PROTECT participants also have access to housing (for women with children) and flexible funds (assistance with utility bills, bus tokens, gas allowance, etc.) not available to other former prisoners.

Differences Between SVORI and “Business as Usual”

The general population of inmates receives a release plan completed by a case manager and unit manager 6 months prior to leaving. Post-release, inmates on supervision are supervised by probation or parole agents who have larger caseloads and only make contact once a month. PROTECT participants are prioritized for some services and receive longer periods of services in terms of intensity and length.

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

Inmates must be returning to Oklahoma City after incarceration in order to be eligible for the program. Offenders from all state prisons, private (contract) prisons, community work centers, and community corrections centers are eligible.

Other Eligibility Criteria

Inmates must be between the ages of 18-35 and have an LSI score of 29 or greater.

Voluntary/Mandatory Nature of Program

Participation in the program is voluntary.

Program Enrollment Period

The program began enrolling participants in September of 2003. As of March 2006, 139 participants had been enrolled (cumulative enrollment) and the program planned on continuing enrollment indefinitely.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Oklahoma Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> PROTECT participants from the 19 state prisons (and, as of 11/23/04, any of the four private prisons and six community corrections centers) who were projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> SL received files (originally from program director and then from the MIS contact, who received the lists from the program director) listing all PROTECT participants with expected release dates within the next 3 months.</p>	<p>All PROTECT participants ever enrolled in the PROTECT program up until March 2007</p>	<p><u>Selection Criteria:</u> Offenders who meet the PROTECT age and LSI criteria but who are returning to Tulsa county (based on pre-incarceration county of residence) and projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> SL received files (originally from program director, who received lists from MIS contact, and then from the MIS contact himself) listing all individuals who met the comparison group criteria and had with expected release dates within the next 3 months.</p>	<p>All comparison individuals included in sampling frame for interview component.</p>

SVORI Multi-Site Evaluation Sample Selection Procedures: Pennsylvania Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The Erie PA Reentry Project (EPRP) provide a broad range of services (primarily focusing on the pre-release phase, which is implemented by a contractor, Greater Area Community Action Committee) and continuity of care. Under the EPRP, a community support specialist begins working with the offender and the institutional case manager to oversee pre-release services and plan for transition to the community. The community support specialist provides continued services to the offender throughout the phases of the program. All EPRP participants are paroled to a community corrections facility in Erie as part of their transition back into the community. The average length of stay for EPRP participants at the community corrections facilities is 90 days.

Differences Between SVORI and “Business as Usual”

All offenders are offered a curriculum-based pre-release program (including education, job training, resume development, interviewing skills, etc.) and have an institutional case manager. However, EPRP participants have the assistance of the community support specialist (which increases access to and intensity of services) and receive longer follow-up care (up to one year after release). There are also specific accommodations made for EPRP participants for substance abuse treatment (EPRP are given priority for group therapy, have residential beds reserved for them, receive drug and alcohol assessments, and have extended treatment available) and financial assistance (EPRP has a pool of funding for participants to attend training and obtain housing)

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

The program serves male and female adults from any of the secure correctional institutions (SCI) who are returning to Erie County. EPRP participants are transferred to Albion SCI (males) or Cambridge Springs SCI (females) to begin EPRP programming.

Other Eligibility Criteria

Other eligibility criteria are that the offender is between 18 and 35 years old and is going to be released on state parole or state re-parole. All EPRP participants are paroled to a community corrections facility in Erie.

Voluntary/Mandatory Nature of Program

Participation in the program is voluntary.

Program Enrollment Period

The program began enrolling participants in March of 2004 and stopped enrollment in December of 2006. As of March 2006, the program had enrolled 133 participants (cumulative enrollment) over the course of the grant.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Pennsylvania Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> Interview participants identified from community corrections centers, not prisons. Male EPRP participants residing in Erie CCC and female EPRP participants at Gaudenzia who were projected to be (and actually) released from the community corrections facility to the community during the baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u></p>		<p><u>Selection Criteria:</u> Male state parolees, state re-parolees, technical parole violators (TPV's) with community parole center (CPC) placements ("halfway-backs"), and pre-release cases who were between 18 and 35 years, returning to Erie, Crawford, or Warren County, and projected to be (and actually) released from Erie CCC and Gateway Erie (another treatment facility contracted by DOC) during the baseline enrollment period. No female comparison group.</p> <p><u>Sample Identification Procedures:</u> FIs confirm that the individual is returning to Erie, Crawford, or Warren County.</p>	

Table 2. Summary Information about SVORI (S) and Comparison (C) Cases at each Interview Wave (Pennsylvania Adult)

Description	Baseline				3 Month				9 Month				15 Month				
	Males		Females		Males		Females		Males		Females		Males		Females		
	S	C	S	C	S	C	S	C	S	C	S	C	S	C	S	C	
Number of Cases identified for Evaluation				n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Number of Cases Fielded				n/a				n/a				n/a					n/a
Number of Cases Interviewed				n/a				n/a				n/a					n/a

SVORI Multi-Site Evaluation Sample Selection Procedures: South Carolina Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The South Carolina adult SVORI program was designed to provide desperately lacking services and to increase coordination (particularly improving the link from the facility to the community). The SVORI program entailed a Transition Coordinator (hired by the grant) being assigned to each of seven medium and maximum security facilities served by SVORI. The Transition Coordinators served as the case managers for SVORI participants and had the additional responsibility of identifying community resources in the counties surrounding the facility. While incarcerated, SVORI participants received intensive case management and services provided directly by the Transition Coordinators (through curriculum topics, groups, etc.). The program also entailed SVORI participants having the Transition Coordinators check in with them approximately 3 months after release. There were no other post-release components of the program.

Differences Between SVORI and “Business as Usual”

Because of severe budget cuts for SCDC over the past several years, the general prison population¹ receives virtually no services. For the general prison population (including the specific groups of comparison offenders selected for the multi-site evaluation), the only pre-release case management they could receive was offered by the classification case managers (who are primarily responsible for classifying offenders and who have caseloads of 250-350 individuals), clinical counselors (for the small number of offenders who are referred to the clinical counselor), and facility Chaplains. There was no equivalent of the Transition Coordinator for non-SVORI offenders, and no follow-up after release.

All SVORI and virtually all comparison group members received post-release supervision by a parole officer. The SVORI grant does not appear to have affected post-release supervision for individual offenders. The program could have affected service delivery after release, however, in that SVORI participants may have been more likely to leave the facility with referrals in hand or post-release services already set up, or received additional help from the post-release contact made by the facility Transition Coordinator.

Detailed information on specific services available pre- and post-release to both SVORI participants and the group of comparable, non-SVORI offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

The program served individuals incarcerated in one of the 7 medium or maximum security institutions (Kershaw, Leath [women’s], Lee, MacDougall, Ridgeland, Tyger River [sex offenders only], and Wateree River). Post-release community was not an eligibility criterion; the program served individuals returning to any county in the state.

¹ As mandated by law, youthful offenders do receive some services.

Other Eligibility Criteria

The program served adults between the ages of 17-35 (with no age restrictions for sex offenders), who had post-release supervision (TIS sentences/splits, CSP, a few who are paroled, and possibly some that were on supervised furlough), had a prior conviction (this criterion did not apply to sex offenders), were not sentenced under the Youthful Offender Act, and who were 12 months from their projected release date.

Voluntary/Mandatory Nature of Program

Eligible prisoners were offered the program and those who agreed to participate were enrolled in the program.

Program Enrollment Period

The program began enrolling participants in November 2003, with date of program inception varying across facilities. As of 4/01/04, all facilities except Kershaw and Ridgeland had enrolled participants. SVORI programming at Tyger River was suspended from June through November of 2004 (due to staff turnover). As of March 2006, the program had enrolled a total of 649 individuals (cumulatively) and was planning on continuing enrollment indefinitely.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.² For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.³ Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

² Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

³ Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (South Carolina Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> All individuals enrolled in SVORI and who were projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> SCDC MIS staff member wrote a program to identify eligible SVORI and comparison group members and submitted monthly files</p>	<p>All SVORI participants released in 2004 and 2005</p>	<p><u>Selection Criteria:</u> Three comparison groups were identified, as follows: a) individuals from the 7 SVORI facilities who met all SVORI eligibility criteria (including post-release supervision) b) non-sex offenders from Tyger River who met all SVORI eligibility criteria (including post-release supervision), and c) individuals who met all SVORI eligibility criteria (including post-release supervision) but who were incarcerated in three non-SVORI medium or maximum security facilities (Camille Griffin Graham [women’s], Allendale, and Evans). For all 3 comparison groups, individuals must have been projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification Procedures:</u> SCDC MIS staff member wrote a program to identify eligible SVORI and comparison group members and submitted a monthly file; Although we initially planned to recruit an additional comparison group that did not have the post-release supervision requirement, we had a sufficiently high number of comparison group members to preclude this necessity.</p>	<p>From 2004-2005 release cohort files, will subset to individuals meeting SVORI eligibility criteria for an “expanded” comparison group</p>

Table 2. Summary Information about SVORI (S) and Comparison (C) Cases Fielded at each Interview Wave (South Carolina Adult)

Description	Baseline				3 Month				9 Month				15 Month				
	Males		Females		Males		Females		Males		Females		Males		Females		
	S	C	S	C	S	C	S	C	S	C	S	C	S	C	S	C	
Number of Cases identified for Evaluation																	
Number of Cases Fielded																	
Number of Cases Interviewed	185	175	24	31	123	104	16	24	119	96	19	24	107	86	17	19	

SVORI Multi-Site Evaluation Sample Selection Procedures: South Carolina Juvenile Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The South Carolina juvenile program is intended to improve service coordination and was heavily influenced by the Intensive Aftercare Program (IAP) model. For the SVORI grant, DJJ hired specialized community caseworkers (called “Reintegration Coordinators”) to serve SVORI youth. The SVORI participants are assigned to a Reintegration Coordinator in place of the community caseworker that all DJJ youth who are identified for post-release supervision are assigned. Each of the five counties served by SVORI also developed a Planning and Review (P&R) Team that consists of various local service providers and education representatives and that meets on a monthly basis to review individual cases prior to release. The team assists the Reintegration Coordinator in developing the youth’s aftercare treatment plan and identifying needed services for the youth. Following release, the P&R Team reviews the youth’s progress and aftercare plan, offers services, and helps ensure that services are provided following release.

Differences Between SVORI and “Business as Usual”

The primary difference between youth identified for the SVORI program and non-SVORI youth is assignment to a Reintegration Coordinator rather than a community caseworker. This assignment occurs during incarceration for youth who are identified for post-release supervision. Theoretically, both the community caseworkers and the Reintegration Coordinators work to prepare the youth for release. However, the community caseworkers do not have a specialized caseload (they supervise youth on probation as well as parole, and have much larger caseloads overall) and typically do not provide services to youth who are committed to a DJJ facility until after release. The SVORI Reintegration Coordinators have a specialized (and smaller) caseload, begin the transition/reintegration planning process earlier, provide a more intensive level of case management and supervision, and receive multidisciplinary assistance from the P&R Team.

All youth in DJJ facilities (including SVORI and comparison) are also assigned to an institutional case manager, who provides case management during the period of incarceration. This component is the same for SVORI and comparison youth.

SVORI Population Served

Geographical Eligibility Criteria

The program served individuals incarcerated in one of the maximum security institutions in the Broad River Complex (Birchwood Institution, John G. Richards Institution, and Willow Lane Institution [females]) or any of the medium security community corrections facilities (including Camp Bennettsville I and II, Camp Sandhills, Camp White Pines I and II, Generations Bridges Camp, and Aspen Alternative). The only institutions that the program excluded from SVORI were the 3 evaluation centers and the juvenile detention center. Regarding post-release eligibility criteria, the program only served youth who were returning to the following counties: Orangeburg/Calhoun, Dorchester, Spartanburg, and Florence.

Other Eligibility Criteria

The program serves juvenile males and females between the ages of 14 and 17 who (1) have committed a serious or violent offense, (2) have committed a technical violation related to a serious or violent offense, or (3) are chronic offenders. All participants must be assigned to a Department of Juvenile Justice (DJJ) facility with either a determinate commitment of at least 90 days or an indeterminate commitment of at least 3-6 months. Offenders who are committed to DJJ with a requirement that they transfer to an adult facility at the age of 18 are excluded from the program. The SVORI case managers are responsible for identifying eligible participants.

Voluntary/Mandatory Nature of Program

Assignment to SVORI was not voluntary (it was the “standard” way that youth were released).

Program Enrollment Period

The program began enrolling participants on October 2003, but the date of program inception varied across post-release counties. Spartanburg and Florence were rolled in last (October 2004). As of March 2006, the program had enrolled 120 individuals (cumulatively) and planned to continue enrolling indefinitely.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> All individuals enrolled in SVORI and who were projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification</u> <u>Procedures:</u> SL reviewed the monthly parole board release lists, determined SVORI enrollment status based on SVORI enrollment rosters submitted (monthly) from program director, and submitted the file to SC DJJ research staff member. SC DJJ research staff member added additional data elements required for fielding not contained on the original lists.</p>	<p>All individuals enrolled in SVORI from program inception and released at any point up through 12/31/2006</p>	<p><u>Selection Criteria:</u> The comparison group primarily consisted of (a) youth incarcerated in the same facilities served by SVORI but who were committed from different counties (Greenville, Aiken, and Sumter) but also included a small number of (b) youth incarcerated in the same facilities as served by SVORI and committed from the same counties (these comparison group members were likely not enrolled in SVORI because of case flow caps established for the reentry coordinators)</p> <p><u>Sample Identification</u> <u>Procedures:</u> SL screened the monthly parole board release lists (screened out non-study facilities, non-study counties, and youth who had not met their minimum time served), determined SVORI/comparison status based on SVORI enrollment rosters submitted (monthly) from program director, and submitted the file to SC DJJ research staff member. SC DJJ research staff member added additional data elements required for fielding not contained on the original lists.</p>	<p>All comparison individuals included in sampling frame for interview component</p>

SVORI Multi-Site Evaluation Sample Selection Procedures: Washington Adult Program

Description of the SVORI Program and “Business as Usual”

Overview of SVORI

The Washington Going Home (GH) Project provided reentry services to the highest risk offenders under the supervision of the Washington Department of Correction (DOC), using a team approach that emphasized community involvement. The GH program built on an existing Risk Management Intensive Transition (RMIT) process—the standard post-release planning process for high risk/high needs offenders in the WA DOC system—which includes developing an Offender Accountability Plan (described below). In addition, GH program participants were connected with a Community Advisor (CA) and Neighborhood Readiness Team (NRT) prior to release. The Community Advisor was an individual in each county of release who marshaled community resources for returning offenders; essentially serving as a conduit between the community and the Going Home program. The NRT in each county was made up of individuals from the offender’s community of return and supports the offender during release. The NRT was expected to meet with returning offenders via video-conference prior to release, as well as regularly post-release, in order to provide continuity between the pre- and post-release phases and increase offender “buy-in” to the program.

In addition to the CA and NRT, the GH program was intended to increase reentry coordination service availability (e.g., use of video-conferencing, funding for community mental health services). Enhanced coordination began 18 months prior to release when Going Home participants were identified for inclusion in the program and intensified 9 months prior to release when the post-release components (e.g., NRT, CA) began meeting with the offender to plan for release. After release, GH participants were assigned to a dedicated (i.e., assigned only to GH participants) Risk Management Specialist (RMS), who provided intensive case management services and worked with the CA to identify community resources that would meet each participant’s reentry needs.

Although the program also targeted juvenile offenders, using a different model, the juvenile component was not included in the multi-site evaluation (due to low estimated enrollment) and is therefore not described further in this document.

Differences Between SVORI and “Business as Usual”

In Washington, all high risk/high needs offenders go through an existing RMIT process, which begins 28 months prior to release. The RMIT process consists of developing a Risk Management Team (RMT) which identifies resources based on an offender’s risk factors. This process culminates in an Offender Accountability Plan (OAP) which guides the post-release phase of reentry. The membership of the offender-specific RMT is often modified between the pre-release and post-release phases to best target the needs of the specific offender. The RMT and RMS work with the offender throughout the mandatory community custody period. Prior to release, all prisoners receive two pre-release curricula (a life skills course and employment course) and have access to numerous services.

GH participants were prioritized for several pre-release services (including substance abuse, tutoring, employment seminars, housing assistance, and videoconferencing). The primary difference between GH and “business as usual” was the addition of several post-release components, all of which were involved with the offender prior to release. These include the use

of GH-only RMSs, who had greater access to community resources and more concentrated time with each offender, and the involvement of the NRT and the CA, both of which were available only to GH participants and provided a unique experience to returning offenders because they were outside the “system”.

Detailed information on specific services available pre- and post-release to both GH participants and the group of comparable, non-GH offenders identified in the multi-site evaluation is included in Appendix ?.

SVORI Population Served

Geographical Eligibility Criteria

The program served offenders releasing to King, Pierce, or Spokane counties and recruited participants from the Washington State Penitentiary (Walla Walla), Monroe Correctional Complex-Special Offender Unit (Monroe), Monroe Correctional Complex -Twin Rivers Corrections Center (Monroe) for male enrollees and Washington Corrections Center for Women (Gig Harbor) for female enrollees.

Other Eligibility Criteria

The program served offenders under the age of 35, who met one of the following categories: 1) “high risk” (defined as having an LSI score of at least 41 or having at least one violent conviction), 2) “high needs” (disabled or have other health problems), 3) sex offenders, 4) dangerous mentally ill offenders, or 5) offenders who are an imminent risk or threat.

Voluntary/Mandatory Nature of Program

Participation in the SVORI program was mandatory.

Program Enrollment Period

The program began enrolling participants in August 2005. Enrollment ceased in February 2006, with 150 total individuals enrolled over the course of the grant.

SVORI and Comparison Populations Selected for the Evaluation

The impact component of the multi-site evaluation of SVORI entailed the identification of a specific group of SVORI participants and comparable, non-SVORI offenders for which individual-level data was obtained. Table 1 (below) is intended to convey information about how these individuals were identified. The table provides details regarding the specific SVORI and comparison groups included in the two main data collection components of the impact evaluation: the longitudinal offender interview data and the administrative data.¹ For the interview component, the table presents the selection criteria used to identify the appropriate group and the specific procedures through which the sample was identified. For the administrative data component, the table describes the specific groups for which we were able to obtain data. For both data collection components, it should be noted that our treatment group assignment protocol specified that individuals are considered to have enrolled in SVORI if they were in the program for more than one day.

Finally, it is important to understand the relationship between the population identified as being eligible for inclusion in the interview component (i.e., the individuals who were identified through

¹ Some administrative data analyses will be limited to only the sample for which interviews were conducted (the “interview-only” sample). However other analyses will be based entirely on administrative data and are designed to include an expanded sample of SVORI and comparison individuals.

the procedures outlined in Table 1 and are included in the “master file” for the program) and the final group actually enrolled in the baseline interview component (the “baseline sample”), as well as subsequent interview waves.² Table 2 provides detailed information about all cases fielded at each interview wave, listing the number of cases assigned to each final code maintained in the field management system developed for the interview component of the study. Data are provided separately by group status (SVORI vs. comparison), gender, and interview wave.

² Only individuals in the baseline sample were pursued for the subsequent interview waves.

Table 1. Selection Criteria for Interview and Administrative Data Components (Washington Adult)

SVORI Population Selected for Evaluation		Comparison Population Selected for Evaluation	
Interview Component	Administrative Data Component	Interview Component	Administrative Data Component
<p><u>Selection Criteria:</u> GH participants returning to King and Pierce Counties (Spokane was excluded) who were projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification</u> <u>Procedures:</u> SL received lists of all adult GH participants (excluding those being released to Spokane County).</p>	<p>All individuals ever enrolled in GH (including those released to King, Pierce, and Spokane)</p>	<p><u>Selection Criteria:</u> Individuals who met program criteria, were incarcerated in 6 correctional facilities and 11 work release facilities (near Seattle and in and around Walla Walla) in which GH programming was not offered, were returning to Pierce and King Counties, and were projected to be (and actually) released during the baseline enrollment period.</p> <p><u>Sample Identification</u> <u>Procedures:</u> SL received lists of comparison subjects meeting the selection criteria (excluding those being released to Spokane County)</p>	<p>All individuals who met program criteria, were incarcerated in 6 correctional facilities and 11 work release facilities (near Seattle and in and around Walla Walla) in which GH programming was not offered, were returning to Pierce, King, and Spokane Counties, and were released from 2004-2006</p>

Appendix C. Comparisons of Impact and Non-impact Sites

Exhibit C-1. Program director turnover among impact and non-impact sites

Adult Programs	Impact Sites		Non-impact Sites		All Sites	
	Mean	Programs (N)	Mean	Programs (N)	Mean	Programs (N)
Number of individuals serving as program director^a						
Adult sites	1.75	12	1.81	38	1.80	50
Juvenile sites	2.00	4	1.39	31	1.45	35

^a Source: 2006 program director survey.

Exhibit C-2a. Program characteristics of adult impact and non-impact sites^a

Adult Programs	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Primary program phase focus (52 programs reporting)						
Pre-release	8.3%	1	—	0	1.9%	1
Post-release	25.0%	3	32.5%	13	30.8%	16
Both pre- and post-release	66.7%	8	67.5%	27	67.3%	35
Population focus (52 programs reporting)						
General serious and violent offenders	91.7%	11	82.5%	33	84.6%	44
Offenders with specific needs	8.3%	1	17.5%	7	15.4%	8
Service focus (51 programs reporting)						
General service focus	91.7%	11	89.7%	35	90.2%	46
Targeted service provision	8.3%	1	10.3%	4	9.8%	5
Program participation (52 programs reporting)						
Voluntary	75.0%	9	82.5%	33	80.8%	42
Mandatory	25.0%	3	17.5%	7	19.2%	10
How SVORI funds used (51 programs reporting)						
Fill service gaps	27.3%	3	45.0%	18	41.2%	21
Expand existing services	18.2%	2	37.5%	15	33.3%	17
Start a new program	54.5%	6	17.5%	7	25.5%	13

^a Source: 2005 program director survey.

Exhibit C-2b. Program characteristics of juvenile impact and non-impact sites^a

Juvenile Programs	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Primary program phase focus						
Pre-release	—	0	6.1%	2	5.4%	2
Post-release	—	0	18.2%	6	16.2%	6
Both pre- and post-release	100.0%	4	75.7%	25	78.4%	29
Population focus						
General serious and violent offenders	100.0%	4	84.8%	28	86.5%	32
Offenders with specific needs	—	0	15.2%	5	13.5%	5
Service focus						
General service focus	75.0%	3	81.8%	27	81.1%	30
Targeted service provision	25.0%	1	18.2%	6	18.9%	7
Program participation						
Voluntary	50.0%	2	48.5%	16	48.6%	18
Mandatory	50.0%	2	51.5%	17	51.4%	19
How SVORI funds used						
Fill service gaps	75.0%	3	42.4%	14	46.0%	17
Expand existing services	25.0%	1	33.3%	11	32.4%	12
Start a new program	—	0	24.2%	8	21.6%	8

^a Source: 2005 Program Director Survey, 37 programs responding: 4 impact and 33 non-impact sites.

Exhibit C-3a. Outcome foci among adult impact and non-impact sites^a

Adult Programs	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Outcomes targeted (program director ranked in top 3)						
Community integration	66.70%	8	48.72%	19	52.94%	27
Employment	58.30%	7	66.67%	26	64.71%	33
Improved decision-making or self-sufficiency	58.30%	7	43.59%	17	47.06%	24
Reduced substance use	50.00%	6	43.59%	17	45.10%	23
Housing	33.30%	4	46.15%	18	43.14%	22
Educational attainment	16.70%	2	12.82%	5	13.73%	7
Improved physical and/or mental health	8.30%	1	12.82%	5	11.76%	6
Family reunification/functioning	8.30%	1	12.82%	5	11.76%	6
Outcomes fair to determine program effectiveness						
Community integration/connectedness	100.00%	12	69.23%	27	76.47%	39
Employment	100.00%	12	84.62%	33	88.24%	45
Reduced recidivism	91.70%	11	79.49%	31	82.35%	42
Reduced substance use	75.00%	9	71.79%	28	72.55%	37
Family reunification/functioning	75.00%	9	38.46%	15	47.06%	24
Educational attainment	66.70%	8	38.46%	15	45.10%	23
Housing	66.70%	8	66.67%	26	66.67%	34
Improved physical and/or mental health	50.00%	6	46.15%	18	47.06%	24

^a Source: 2006 program director survey, 51 programs reporting: 12 impact and 39 non-impact sites.

Exhibit C-3b. Outcome foci among juvenile impact and non-impact sites^a

Juvenile Programs	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Outcomes targeted (ranked in top 3)						
Community integration	100.0%	4	54.8%	17	60.0%	21
Educational attainment	75.0%	3	58.1%	18	60.0%	21
Employment	50.0%	2	25.8%	8	28.6%	10
Family reunification/functioning	25.0%	1	45.2%	14	42.9%	15
Improved physical and/or mental health	0.0%	0	25.8%	8	22.9%	8
Improved decision-making or self-sufficiency	25.0%	1	41.9%	13	40.0%	14
Reduced substance use	25.0%	1	35.5%	11	34.3%	12
Housing	0.0%	0	3.2%	1	2.9%	1
Outcomes fair to determine program effectiveness						
Community integration/connectedness	100.0%	4	71.0%	22	74.3%	26
Educational attainment	100.0%	4	80.6%	25	82.9%	29
Employment	100.0%	4	64.5%	20	68.6%	24
Family reunification/functioning	75.0%	3	58.1%	18	60.0%	21
Improved physical and/or mental health	50.0%	2	48.4%	15	48.6%	17
Reduced recidivism	100.0%	4	93.5%	29	94.3%	33
Reduced substance use	50.0%	2	64.5%	20	62.9%	22
Housing	50.0%	2	29.0%	9	31.4%	11

^a Source: 2006 program director survey, 35 programs reporting: 4 impact and 31 non-impact sites.

Exhibit C-4a. Mean proportion of SVORI offenders receiving pre-release services in adult sites, by site type (as reported by program directors)

Pre-release Services in Adult Sites	Mean (SD)		
	Impact Sites	Non-impact Sites	All Sites
Bundle 1: Coordination Services			
Risk assessment	0.88 (0.30)	0.93 (0.21)	0.92 (0.23)
Needs assessment	0.88 (0.30)	0.93 (0.21)	0.92 (0.23)
Treatment/release plan development	0.91 (0.29)	0.92 (0.24)	0.92 (0.25)
Bundle 2: Transitional Services			
Legal assistance	0.24 (0.25)	0.40 (0.45)	0.37 (0.41)
Assistance obtaining identification (e.g., driver's license, Social Security card)	0.60 (0.42)	0.63 (0.41)	0.62 (0.41)
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability)	0.44 (0.35)	0.47 (0.44)	0.46 (0.42)
Financial support/emergency assistance	0.45 (0.43)	0.27 (0.40)	0.31 (0.41)
Peer support groups	0.42 (0.38)	0.47 (0.42)	0.46 (0.41)
One-on-one mentoring	0.50 (0.42)	0.37 (0.40)	0.40 (0.40)
Housing placements or referrals	0.54 (0.39)	0.56 (0.38)	0.56 (0.38)
Bundle 3: Health Services			
Comprehensive drug treatment programs	0.31 (0.20)	0.37 (0.36)	0.36 (0.33)
AA/NA	0.39 (0.33)	0.46 (0.37)	0.44 (0.36)
Counseling sessions	0.60 (0.37)	0.71 (0.39)	0.69 (0.38)
Mental health services	0.35 (0.31)	0.51 (0.38)	0.47 (0.37)
Anger management/violence counseling	0.52 (0.34)	0.64 (0.38)	0.61 (0.37)
Medical services	0.70 (0.41)	0.82 (0.33)	0.79 (0.35)
Dental services	0.70 (0.41)	0.79 (0.36)	0.77 (0.37)
Bundle 4: Employment, Education, and Skills Development Services			
Education/GED/tutoring/literacy	0.67 (0.29)	0.59 (0.34)	0.61 (0.33)
Vocational training	0.33 (0.29)	0.39 (0.33)	0.38 (0.32)
Employment referrals/job placement	0.51 (0.35)	0.51 (0.45)	0.51 (0.43)
Résumé and interviewing skills development	0.68 (0.33)	0.66 (0.41)	0.67 (0.39)
Work-release program	0.17 (0.30)	0.23 (0.33)	0.22 (0.32)
Cognitive skills development/behavioral programming	0.49 (0.35)	0.70 (0.37)	0.65 (0.37)
Life skills training	0.71 (0.39)	0.74 (0.34)	0.74 (0.35)
Bundle 5: Family Services			
Domestic violence services	0.38 (0.35)	0.32 (0.39)	0.33 (0.38)
Parenting skills development	0.40 (0.37)	0.52 (0.40)	0.49 (0.39)
Family reunification	0.39 (0.34)	0.41 (0.40)	0.41 (0.38)
Family counseling	0.18 (0.26)	0.13 (0.27)	0.14 (0.27)

Note: Source: 2005 program director survey. Values were calculated by taking the midpoint of the response categories (0%, 1%–25%, 26%–50%, 51%–75%, 76%–99%, and 100%) reported by the SVORI adult program directors for each of the services. AA = Alcoholics Anonymous, GED = general educational development, NA = Narcotics Anonymous.

Exhibit C-4b. Mean proportion of SVORI offenders receiving post-release services in adult sites, by site type (as reported by program directors)

Post-release Services in Adult Sites	Mean (SD)		
	Impact Sites	Non-impact Sites	All Sites
Bundle 1: Coordination Services			
Risk assessment	0.86 (0.29)	0.91 (0.27)	0.89 (0.27)
Needs assessment	0.81 (0.35)	0.91 (0.27)	0.88 (0.29)
Treatment/release plan development	0.91 (0.29)	0.92 (0.24)	0.92 (0.25)
Formal post-release supervision	0.82 (0.27)	0.96 (0.08)	0.92 (0.16)
Bundle 2: Transitional Services			
Legal assistance	0.21 (0.24)	0.16 (0.27)	0.17 (0.26)
Assistance obtaining identification (e.g., driver's license, Social Security card)	0.46 (0.35)	0.62 (0.41)	0.58 (0.40)
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability)	0.47 (0.35)	0.58 (0.42)	0.55 (0.40)
Financial support/emergency assistance	0.63 (0.29)	0.56 (0.40)	0.57 (0.37)
Peer support groups	0.37 (0.34)	0.39 (0.40)	0.39 (0.39)
One-on-one mentoring	0.45 (0.38)	0.27 (0.31)	0.31 (0.33)
Housing placements or referrals	0.66 (0.29)	0.55 (0.38)	0.58 (0.36)
Transportation	0.60 (0.34)	0.53 (0.37)	0.55 (0.36)
Bundle 3: Health Services			
Comprehensive drug treatment programs	0.32 (0.28)	0.31 (0.31)	0.31 (0.30)
AA/NA	0.44 (0.30)	0.45 (0.30)	0.45 (0.30)
Counseling sessions	0.48 (0.31)	0.69 (0.36)	0.64 (0.36)
Mental health services	0.35 (0.30)	0.43 (0.37)	0.41 (0.35)
Anger management/violence counseling	0.35 (0.25)	0.45 (0.36)	0.42 (0.34)
Medical services	0.30 (0.32)	0.37 (0.39)	0.35 (0.37)
Dental services	0.24 (0.23)	0.27 (0.36)	0.26 (0.33)
Bundle 4: Employment, Education, and Skills Development Services			
Education/GED/tutoring/literacy	0.37 (0.29)	0.38 (0.37)	0.38 (0.35)
Vocational training	0.34 (0.30)	0.36 (0.36)	0.35 (0.34)
Employment referrals/job placement	0.65 (0.33)	0.76 (0.31)	0.73 (0.31)
Resume and interviewing skills development	0.56 (0.37)	0.70 (0.38)	0.67 (0.38)
Work-release program	0.24 (0.39)	0.09 (0.20)	0.13 (0.26)
Cognitive skills development/behavioral programming	0.46 (0.35)	0.54 (0.40)	0.52 (0.39)
Life skills training	0.62 (0.37)	0.53 (0.42)	0.55 (0.40)
Bundle 5: Family Services			
Domestic violence services	0.32 (0.32)	0.30 (0.35)	0.30 (0.34)
Parenting skills development	0.48 (0.34)	0.33 (0.34)	0.37 (0.34)
Family reunification	0.50 (0.34)	0.33 (0.35)	0.37 (0.35)
Family counseling	0.24 (0.25)	0.19 (0.27)	0.20 (0.26)

Note: Source: 2005 program director survey. Values were calculated by taking the midpoint of the response categories (0%, 1%–25%, 26%–50%, 51%–75%, 76%–99%, and 100%) reported by the SVORI adult program directors for each of the services. AA = Alcoholics Anonymous, GED = general educational development, NA = Narcotics Anonymous.

Exhibit C-4c. Mean proportion of SVORI offenders receiving pre-release services in juvenile sites, by site type (as reported by program directors)

Pre-release Services in Juvenile Sites	Mean (SD)		
	Impact Sites	Non-impact Sites	All Sites
Bundle 1: Coordination Services			
Risk assessment	1.0 (0.00)	0.96 (0.18)	0.96 0.17
Needs assessment	1.0 (0.00)	0.95 (0.18)	0.96 0.17
Treatment/release plan development	1.0 (0.00)	1.0 (0.02)	1.0 0.02
Bundle 2: Transitional Services			
Legal assistance	0.17 (0.19)	0.42 (0.43)	0.40 (0.42)
Assistance obtaining identification (e.g., driver's license, Social Security card)	0.97 (0.06)	0.46 (0.41)	0.52 (0.42)
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability)	0.78 (0.44)	0.45 (0.44)	0.49 (0.44)
Financial support/emergency assistance	0.35 (0.33)	0.30 (0.38)	0.31 (0.37)
Peer support groups	0.63 (0.44)	0.72 (0.41)	0.71 (0.40)
One-on-one mentoring	0.26 (0.14)	0.54 (0.40)	0.51 (0.39)
Housing placements or referrals	0.28 (0.48)	0.48 (0.43)	0.46 (0.43)
Bundle 3: Health Services			
Comprehensive drug treatment programs	0.66 (0.38)	0.48 (0.38)	0.50 (0.38)
AA/NA	0.44 (0.41)	0.38 (0.33)	0.39 (0.33)
Counseling sessions	0.72 (0.27)	0.94 (0.14)	0.91 (0.17)
Mental health services	0.54 (0.37)	0.63 (0.36)	0.62 (0.36)
Anger management/violence counseling	0.60 (0.29)	0.82 (0.30)	0.80 (0.30)
Medical services	1.0 (0.00)	0.94 (0.21)	0.94 (0.20)
Dental services	1.0 (0.00)	0.87 (0.31)	0.89 (0.30)
Bundle 4: Employment, Education, and Skills Development Services			
Education/GED/tutoring/literacy	1.0 (0.0)	0.97 (0.11)	0.97 (0.11)
Vocational training	0.81 (0.30)	0.54 (0.35)	0.57 (0.35)
Employment referrals/job placement	0.75 (0.14)	0.45 (0.38)	0.48 (0.37)
Resume and interviewing skills development	0.93 (0.07)	0.60 (0.35)	0.63 (0.35)
Work-release program	0.25 (0.31)	0.07 (0.14)	0.09 (0.17)
Cognitive skills development/behavioral programming	0.94 (0.07)	0.88 (0.22)	0.89 (0.21)
Life skills training	0.94 (0.07)	0.82 (0.27)	0.83 (0.26)
Bundle 5: Family Services			
Domestic violence services	0.38 (0.44)	0.28 (0.36)	0.29 (0.36)
Parenting skills development	0.44 (0.46)	0.30 (0.31)	0.31 (0.32)
Family reunification	0.66 (0.38)	0.67 (0.38)	0.67 (0.37)
Family counseling	0.69 (0.24)	0.57 (0.40)	0.58 (0.37)

Note: Source: 2005 program director survey. Values were calculated by taking the midpoint of the response categories (0%, 1%–25%, 26%–50%, 51%–75%, 76%–99%, and 100%) reported by the SVORI juvenile program directors for each of the services. AA = Alcoholics Anonymous, GED = general educational development, NA = Narcotics Anonymous..

Exhibit C-4d. Mean proportion of SVORI offenders receiving post-release services in juvenile sites, by site type (as reported by program directors)

Post-release Services in Juvenile Sites	Mean (SD)		
	Impact Sites	Non-impact Sites	All Sites
Bundle 1: Coordination Services			
Risk assessment	0.25 (0.50)	0.77 (0.40)	0.71 (0.43)
Needs assessment	0.5 (0.58)	0.81 (0.34)	0.78 (0.37)
Treatment/release plan development	0.75 (0.50)	0.96 (0.15)	0.94 (0.22)
Formal post-release supervision	0.53 (0.54)	0.90 (0.19)	0.86 (0.27)
Bundle 2: Transitional Services			
Legal assistance	0.13 (0.00)	0.40 (0.41)	0.37 (0.40)
Assistance obtaining identification (e.g., driver's license, Social Security card)	0.75 (0.42)	0.61 (0.39)	0.62 (0.39)
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability)	0.57 (0.50)	0.55 (0.39)	0.56 (0.40)
Financial support/emergency assistance	0.47 (0.42)	0.47 (0.41)	0.47 (0.40)
Peer support groups	0.35 (0.26)	0.52 (0.41)	0.51 (0.40)
One-on-one mentoring	0.19 (0.13)	0.47 (0.35)	0.44 (0.34)
Housing placements or referrals	0.35 (0.44)	0.51 (0.42)	0.49 (0.42)
Transportation	0.50 (0.32)	0.67 (0.37)	0.65 (0.36)
Bundle 3: Health Services			
Comprehensive drug treatment programs	0.44 (0.41)	0.44 (0.36)	0.44 (0.36)
AA/NA	0.29 (0.28)	0.35 (0.31)	0.34 (0.31)
Counseling sessions	0.60 (0.29)	0.77 (0.26)	0.75 (0.27)
Mental health services	0.47 (0.37)	0.53 (0.34)	0.52 (0.34)
Anger management/violence counseling	0.38 (0.20)	0.61 (0.37)	0.59 (0.36)
Medical services	0.57 (0.50)	0.64 (0.35)	0.63 (0.36)
Dental services	0.57 (0.50)	0.51 (0.41)	0.52 (0.41)
Bundle 4: Employment, Education, and Skills Development Services			
Education/GED/tutoring/literacy	0.85 (0.15)	0.86 (0.16)	0.86 (0.16)
Vocational training	0.57 (0.24)	0.43 (0.32)	0.44 (0.31)
Employment referrals/job placement	0.69 (0.24)	0.67 (0.36)	0.67 (0.35)
Resume and interviewing skills development	0.57 (0.24)	0.64 (0.37)	0.63 (0.36)
Work-release program	0.03 (0.07)	0.12 (0.28)	0.11 (0.26)
Cognitive skills development/behavioral programming	0.60 (0.41)	0.65 (0.37)	0.64 (0.37)
Life skills training	0.63 (0.35)	0.65 (0.37)	0.65 (0.36)
Bundle 5: Family Services			
Domestic violence services	0.26 (0.25)	0.20 (0.27)	0.21 (0.26)
Parenting skills development	0.35 (0.44)	0.36 (0.31)	0.36 (0.32)
Family reunification	0.66 (0.38)	0.76 (0.32)	0.75 (0.32)
Family counseling	0.50 (0.25)	0.68 (0.33)	0.66 (0.32)

Note: Source: 2005 program director survey. Values were calculated by taking the midpoint of the response categories (0%, 1%–25%, 26%–50%, 51%–75%, 76%–99%, and 100%) reported by the SVORI juvenile program directors for each of the services. AA = Alcoholics Anonymous, GED = general educational development, NA = Narcotics Anonymous.

Exhibit C-5a. Involvement and contributions of agencies and community-based organizations (CBOs) to SVORI programs in adult sites, by site type (as reported by program directors)

SVORI Agency Involvement and Contributions in Adult Sites	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Percentage of PDs in adult sites reporting agency involvement with SVORI						
Pre-release supervision agency	100.0%	12	94.9%	37	96.1%	49
Post-release supervision agency	100.0%	12	100.0%	39	100.0%	51
Faith-based organizations	100.0%	12	82.1%	32	86.3%	44
Substance abuse agencies or CBOs	91.7%	11	97.4%	38	96.1%	49
Mental health agency or CBOs	100.0%	12	97.4%	38	98.0%	50
Family/social service agencies or CBOs	91.7%	11	82.1%	32	84.3%	43
Law enforcement agency	75.0%	9	76.9%	30	76.5%	39
Housing agencies or CBOs	83.3%	10	79.5%	31	80.4%	41
Employment agencies or CBOs	100.0%	12	94.9%	37	96.1%	49
Vocational training agencies or CBOs	100.0%	12	87.2%	34	90.2%	46
Technical institutions, community colleges or universities	91.7%	11	66.7%	26	72.5%	37
Local school systems	8.3%	1	15.4%	6	13.7%	7
Percentage of PDs in adult sites reporting agency contributions to SVORI						
Pre-release supervision agency	91.7%	11	69.2%	27	74.5%	38
Post-release supervision agency	75.0%	9	76.9%	30	76.5%	39
Faith-based organizations	66.7%	8	38.5%	15	45.1%	23
Substance abuse agencies or CBOs	75.0%	9	66.7%	26	68.6%	35
Mental health agency or CBOs	66.7%	8	74.4%	29	72.5%	37
Family/social service agencies or CBOs	75.0%	9	46.2%	18	52.9%	27
Law enforcement agency	25.0%	3	35.9%	14	33.3%	17
Housing agencies or CBOs	58.3%	7	48.7%	19	51.0%	26
Employment agencies or CBOs	75.0%	9	64.1%	25	66.7%	34
Vocational training agencies or CBOs	66.7%	8	59.0%	23	60.8%	31
Technical institutions, community colleges or universities	58.3%	7	30.8%	12	37.3%	19
Local school systems	8.3%	1	10.3%	4	9.8%	5

Source: 2006 program director survey, 51 programs reporting: 12 impact and 39 non-impact programs.

Exhibit C-5b. Involvement and contributions of agencies and community-based organizations (CBOs) to SVORI programs in juvenile sites, by site type (as reported by program directors)

SVORI Agency Involvement and Contributions in Juvenile Sites	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Percentage of PDs in juvenile sites reporting agency involvement with SVORI						
Pre-release supervision agency	75.0%	3	93.5%	29	91.4%	32
Post-release supervision agency	100.0%	4	93.5%	29	94.3%	33
Faith-based organizations	100.0%	4	87.1%	27	88.6%	31
Substance abuse agencies or CBOs	50.0%	2	93.5%	29	88.6%	31
Mental health agency or CBOs	75.0%	3	96.8%	30	94.3%	33
Family/social service agencies or CBOs	100.0%	4	90.3%	28	91.4%	32
Law enforcement agency	75.0%	3	58.1%	18	60.0%	21
Housing agencies or CBOs	75.0%	3	61.3%	19	62.9%	22
Employment agencies or CBOs	100.0%	4	80.6%	25	82.9%	29
Vocational training agencies or CBOs	100.0%	4	58.1%	18	62.9%	22
Technical institutions, community colleges or universities	100.0%	4	54.8%	17	60.0%	21
Local school systems	100.0%	4	90.3%	28	91.4%	32
Percentage of PDs in juvenile sites reporting agency contributions to SVORI						
Pre-release supervision agency	75.0%	3	71.0%	22	71.4%	25
Post-release supervision agency	75.0%	3	77.4%	24	77.1%	27
Faith-based organizations	75.0%	3	48.4%	15	51.4%	18
Substance abuse agencies or CBOs	25.0%	1	67.7%	21	62.9%	22
Mental health agency or CBOs	25.0%	1	67.7%	21	62.9%	22
Family/social service agencies or CBOs	75.0%	3	58.1%	18	60.0%	21
Law enforcement agency	50.0%	2	32.3%	10	34.3%	12
Housing agencies or CBOs	25.0%	1	35.5%	11	34.3%	12
Employment agencies or CBOs	50.0%	2	61.3%	19	60.0%	21
Vocational training agencies or CBOs	50.0%	2	38.7%	12	40.0%	14
Technical institutions, community colleges or universities	75.0%	3	45.2%	14	48.6%	17
Local school systems	50.0%	2	64.5%	20	62.9%	22

Source: 2006 program director survey, 35 programs reporting: 4 impact and 31 non-impact programs.

Exhibit C-6a. Support and resistance by individual stakeholders to SVORI programs in adult sites, by site type (as reported by program directors)

SVORI Support and Resistance in Adult Sites	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Percentage of PDs in adult sites reporting support for SVORI from the following individuals						
Top administrators at the pre-release facilities	83.3%	10	69.2%	27	72.5%	37
Supervisors at the pre-release facilities	66.7%	8	69.2%	27	68.6%	35
Line staff at the pre-release facilities	58.3%	7	51.3%	20	52.9%	27
Top administrators at the post-release supervision agency	83.3%	10	76.9%	30	78.4%	40
Supervisors at the post-release supervision agency	83.3%	10	71.8%	28	74.5%	38
Line staff at the post-release supervision agency	66.7%	8	71.8%	28	70.6%	36
Members of the community	41.7%	5	38.5%	15	39.2%	20
Percentage of PDs in adult sites reporting resistance to SVORI from the following individuals						
Top administrators at the pre-release facilities	16.7%	2	5.1%	2	7.8%	4
Supervisors at the pre-release facilities	25.0%	3	12.8%	5	15.7%	8
Line staff at the pre-release facilities	33.3%	4	17.9%	7	21.6%	11
Top administrators at the post-release supervision agency	8.3%	1	10.3%	4	9.8%	5
Supervisors at the post-release supervision agency	8.3%	1	12.8%	5	11.8%	6
Line staff at the post-release supervision agency	33.3%	4	10.3%	4	15.7%	8
Members of the community	33.3%	4	48.7%	19	45.1%	23

Source: 2006 program director survey, 51 programs reporting: 12 impact and 39 non-impact programs.

Exhibit C-6b. Support and resistance by individual stakeholders to SVORI programs in juvenile sites, by site type (as reported by program directors)

SVORI Support and Resistance in Juvenile Sites	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Percentage of PDs in juvenile sites reporting <i>support</i> for SVORI from the following individuals						
Top administrators at the pre-release facilities	75.0%	3	71.0%	22	71.4%	25
Supervisors at the pre-release facilities	75.0%	3	74.2%	23	74.3%	26
Line staff at the pre-release facilities	75.0%	3	51.6%	16	54.3%	19
Top administrators at the post-release supervision agency	75.0%	3	71.0%	22	71.4%	25
Supervisors at the post-release supervision agency	75.0%	3	67.7%	21	68.6%	24
Line staff at the post-release supervision agency	25.0%	1	64.5%	20	60.0%	21
Members of the community	50.0%	2	48.4%	15	48.6%	17
Percentage of PDs in juvenile sites reporting <i>resistance</i> to SVORI from the following individuals						
Top administrators at the pre-release facilities	25.0%	1	9.7%	3	11.4%	4
Supervisors at the pre-release facilities	25.0%	1	29.0%	9	28.6%	10
Line staff at the pre-release facilities	25.0%	1	9.7%	3	11.4%	4
Top administrators at the post-release supervision agency	0.0%	0	6.5%	2	5.7%	2
Supervisors at the post-release supervision agency	0.0%	0	16.1%	5	14.3%	5
Line staff at the post-release supervision agency	50.0%	2	35.5%	11	37.1%	13
Members of the community	25.0%	1	9.7%	3	11.4%	4

Source: 2006 program director survey, 35 programs reporting: 4 impact and 31 non-impact programs.

Exhibit C-7a. Geographic targeting among adult impact and non-impact sites^a

Adult Programs	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Pre-release geographic targeting						
One facility	—	0	10.0%	4	7.7%	4
Multiple facilities	50.0%	6	42.5%	17	44.2%	23
All facilities	50.0%	6	47.5%	19	48.1%	25
Post-release geographic targeting						
One community	50.0%	6	45.0%	18	46.2%	24
Multiple communities	41.7%	5	45.0%	18	44.2%	23
All communities (statewide)	8.3%	1	10.0%	4	9.6%	5

^a Source: 2003 program workplan review of 52 programs: 12 impact and 40 non-impact sites.

Exhibit C-7b. Geographic targeting among juvenile impact and non-impact sites^a

Juvenile Programs	Impact Sites		Non-impact Sites		All Sites	
	%	N	%	N	%	N
Pre-release geographic targeting						
One facility	—	0	9.1%	3	8.1%	3
Multiple facilities	50.0%	2	51.5%	17	51.4%	19
All facilities	50.0%	2	39.4%	13	40.5%	15
Post-release geographic targeting						
One community	—	0	42.4%	14	37.8%	14
Multiple communities	100.0%	4	48.5%	16	54.1%	20
All communities (statewide)	—	0	9.1%	3	8.1%	3

^a Source: 2003 program workplan review of 37 programs: 4 impact and 33 non-impact sites.

Exhibit C-8a. Enhancements to pre-release services in adult sites, by site type (as reported by program directors)

Percentage of PDs in adult sites reporting newly implemented services or enhancements to pre-release services through SVORI	Impact Sites		Non-Impact Sites		All Sites	
	%	N	%	N	%	N
Case management	83.3%	10	69.2%	27	72.5%	37
Risk assessment	50.0%	6	51.3%	20	51.0%	26
Needs assessment	66.7%	8	69.2%	27	68.6%	35
Treatment/release plan development	75.0%	9	69.2%	27	70.6%	36
In-person contact from post-release case manager while offender is still incarcerated	91.7%	11	71.8%	28	76.5%	39
Reentry courts	0.0%	0	10.3%	4	7.8%	4
Video-conferencing	33.3%	4	20.5%	8	23.5%	12
Offender-specific reentry teams	75.0%	9	66.7%	26	68.6%	35
AA/NA	0.0%	0	5.1%	2	3.9%	2
Counseling sessions for drug or alcohol use	33.3%	4	20.5%	8	23.5%	12
Comprehensive drug treatment programs	0.0%	0	7.7%	3	5.9%	3
Mental health services	25.0%	3	28.2%	11	27.5%	14
Anger management/violence counseling	25.0%	3	25.6%	10	25.5%	13
Education/GED/tutoring/literacy	25.0%	3	23.1%	9	23.5%	12
Employment referrals/job placement	66.7%	8	53.8%	21	56.9%	29
Resume and interviewing skills development	66.7%	8	51.3%	20	54.9%	28
Cognitive skills development/behavioral programming	58.3%	7	33.3%	13	39.2%	20
Life skills training	58.3%	7	43.6%	17	47.1%	24
Pre-release curriculum	75.0%	9	51.3%	20	56.9%	29
Assistance obtaining identification (e.g., driver's license, Social Security card)	75.0%	9	53.8%	21	58.8%	30
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability)	83.3%	10	48.7%	19	56.9%	29
Financial support/emergency assistance	50.0%	6	35.9%	14	39.2%	20
Parenting skills development	41.7%	5	15.4%	6	21.6%	11
Family reunification	50.0%	6	28.2%	11	33.3%	17
Peer support groups	16.7%	2	20.5%	8	19.6%	10
One-on-one mentoring	108.3%	13	10.3%	4	33.3%	17
Housing placements or referrals	75.0%	9	51.3%	20	56.9%	29

Note: Source: 2006 program director survey, 51 programs reporting: 12 impact, 39 non-impact sites. AA = Alcoholics Anonymous, GED = general educational development, NA = Narcotics Anonymous.

Exhibit C-8b. Enhancements to post-release services in adult sites, by site type (as reported by program directors)

Percentage of PDs in adult sites reporting newly implemented services or enhancements to post-release services through SVORI	Impact Sites		Non-Impact Sites		All Sites	
	%	N	%	N	%	N
Case management	100.0%	12	64.1%	25	72.5%	37
Risk assessment	58.3%	7	51.3%	20	52.9%	27
Needs assessment	66.7%	8	59.0%	23	60.8%	31
Treatment/release plan development	66.7%	8	64.1%	25	64.7%	33
Formal post-release supervision	91.7%	11	53.8%	21	62.7%	32
Reentry courts	25.0%	3	12.8%	5	15.7%	8
Video-conferencing	50.0%	6	5.1%	2	15.7%	8
Offender-specific reentry teams	83.3%	10	69.2%	27	72.5%	37
AA/NA	100.0%	12	82.1%	32	86.3%	44
Counseling sessions for drug or alcohol use	66.7%	8	41.0%	16	47.1%	24
Comprehensive drug treatment programs	100.0%	12	87.2%	34	90.2%	46
Mental health services	83.3%	10	51.3%	20	58.8%	30
Anger management/violence counseling	25.0%	3	28.2%	11	27.5%	14
Education/GED/tutoring/literacy	66.7%	8	38.5%	15	45.1%	23
Employment referrals/job placement	100.0%	12	71.8%	28	78.4%	40
Resume and interviewing skills development	83.3%	10	66.7%	26	70.6%	36
Cognitive skills development/behavioral programming	58.3%	7	28.2%	11	35.3%	18
Life skills training	66.7%	8	35.9%	14	43.1%	22
Assistance obtaining identification (e.g., driver's license, Social Security card)	91.7%	11	53.8%	21	62.7%	32
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability)	100.0%	12	59.0%	23	68.6%	35
Financial support/emergency assistance	83.3%	10	61.5%	24	66.7%	34
Parenting skills development	41.7%	5	15.4%	6	21.6%	11
Family reunification	75.0%	9	33.3%	13	43.1%	22
Peer support groups	41.7%	5	33.3%	13	35.3%	18
One-on-one mentoring	75.0%	9	41.0%	16	49.0%	25
Housing placements or referrals	100.0%	12	59.0%	23	68.6%	35
Transportation	66.7%	8	51.3%	20	54.9%	28

Note: Source: 2006 program director survey, 51 programs reporting: 12 impact, 39 non-impact sites. AA = Alcoholics Anonymous, GED = general educational development, NA = Narcotics Anonymous.

Exhibit C-8c. Enhancements to pre-release services in juvenile sites, by site type (as reported by program directors)

Percentage of PDs in juvenile sites reporting newly implemented services or enhancements to pre-release services through SVORI	Impact Sites		Non-Impact Sites		All Sites	
	%	N	%	N	%	N
Case management	100.0%	4	61.3%	19	65.7%	23
Risk assessment	50.0%	2	48.4%	15	48.6%	17
Needs assessment	75.0%	3	54.8%	17	57.1%	20
Treatment/release plan development	100.0%	4	71.0%	22	74.3%	26
In-person contact from post-release case manager while offender is still incarcerated	75.0%	3	64.5%	20	65.7%	23
Reentry courts	0.0%	0	16.1%	5	14.3%	5
Video-conferencing	25.0%	1	29.0%	9	28.6%	10
Offender-specific reentry teams	75.0%	3	61.3%	19	62.9%	22
AA/NA	0.0%	0	22.6%	7	20.0%	7
Counseling sessions for drug or alcohol use	25.0%	1	38.7%	12	37.1%	13
Comprehensive drug treatment programs	100.0%	4	74.2%	23	77.1%	27
Mental health services	0.0%	0	32.3%	10	28.6%	10
Anger management/violence counseling	100.0%	4	100.0%	31	100.0%	35
Education/GED/tutoring/literacy	75.0%	3	35.5%	11	40.0%	14
Employment referrals/job placement	75.0%	3	41.9%	13	45.7%	16
Resume and interviewing skills development	75.0%	3	35.5%	11	40.0%	14
Cognitive skills development/behavioral programming	75.0%	3	41.9%	13	45.7%	16
Life skills training	75.0%	3	51.6%	16	54.3%	19
Pre-release curriculum	100.0%	4	32.3%	10	40.0%	14
Assistance obtaining identification (e.g., driver's license, Social Security card)	50.0%	2	96.8%	30	91.4%	32
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability)	50.0%	2	25.8%	8	28.6%	10
Financial support/emergency assistance	75.0%	3	35.5%	11	40.0%	14
Parenting skills development	100.0%	4	83.9%	26	85.7%	30
Family reunification	50.0%	2	38.7%	12	40.0%	14
Peer support groups	0.0%	0	22.6%	7	20.0%	7
One-on-one mentoring	75.0%	3	45.2%	14	48.6%	17
Housing placements or referrals	50.0%	2	19.4%	6	22.9%	8

Note: Source: 2006 program director survey, 35 programs reporting: 4 impact, 31 non-impact sites. AA = Alcoholics Anonymous, GED = general educational development, NA = Narcotics Anonymous.

Exhibit C-8d. Enhancements to post-release services in juvenile sites, by site type (as reported by program directors)

Percentage of PDs in juvenile sites reporting newly implemented services or enhancements to post-release services through SVORI	Impact Sites		Non-Impact Sites		All Sites	
	%	N	%	N	%	N
Case management	100.0%	4	74.2%	23	77.1%	27
Risk assessment	75.0%	3	45.2%	14	48.6%	17
Needs assessment	100.0%	4	45.2%	14	51.4%	18
Treatment/release plan development	75.0%	3	74.2%	23	74.3%	26
Formal post-release supervision	75.0%	3	67.7%	21	68.6%	24
Reentry courts	0.0%	0	19.4%	6	17.1%	6
Video-conferencing	25.0%	1	22.6%	7	22.9%	8
Offender-specific reentry teams	100.0%	4	67.7%	21	71.4%	25
AA/NA	25.0%	1	29.0%	9	28.6%	10
Counseling sessions for drug or alcohol use	50.0%	2	48.4%	15	48.6%	17
Comprehensive drug treatment programs	50.0%	2	29.0%	9	31.4%	11
Mental health services	75.0%	3	41.9%	13	45.7%	16
Anger management/violence counseling	100.0%	4	100.0%	31	100.0%	35
Education/GED/tutoring/literacy	100.0%	4	41.9%	13	48.6%	17
Employment referrals/job placement	100.0%	4	48.4%	15	54.3%	19
Resume and interviewing skills development	75.0%	3	54.8%	17	57.1%	20
Cognitive skills development/behavioral programming	75.0%	3	48.4%	15	51.4%	18
Life skills training	75.0%	3	58.1%	18	60.0%	21
Assistance obtaining identification (e.g., driver's license, Social Security card)	75.0%	3	51.6%	16	54.3%	19
Assistance obtaining benefits and completing applications (e.g., Medicaid, disability)	50.0%	2	41.9%	13	42.9%	15
Financial support/emergency assistance	100.0%	4	93.5%	29	94.3%	33
Parenting skills development	100.0%	4	83.9%	26	85.7%	30
Family reunification	100.0%	4	48.4%	15	54.3%	19
Peer support groups	50.0%	2	38.7%	12	40.0%	14
One-on-one mentoring	100.0%	4	48.4%	15	54.3%	19
Housing placements or referrals	75.0%	3	38.7%	12	42.9%	15
Transportation	100.0%	4	61.3%	19	65.7%	23

Note: Source: 2006 program director survey. 35 programs reporting: 4 impact, 31 non-impact sites. AA = Alcoholics Anonymous, GED = general educational development, NA = Narcotics Anonymous.

Appendix D. MOU Template

Memorandum of Understanding between [Facility/Agency] and RTI International (RTI) and the Urban Institute (UI) Regarding Data Collection for the Multi-Site Evaluation of the Serious and Violent Offender Reentry Initiative

The multi-site evaluation of the Serious and Violent Offender Reentry Initiative (SVORI) is a research project that will help determine whether federal SVORI funding received by local and state correctional agencies is having an impact on public safety and the social functioning of returning offenders in [STATE].

The protocols of this study have been approved by [STATE CORRECTIONS AGENCY] and RTI's Institutional Review Board. By signing this Memorandum of Understanding, we agree to ensure that [STATE CORRECTIONS AGENCY], RTI, and UI staff follow the data collection, confidentiality, voluntary participation, and data security protocols and guidelines outlined below and those included in the attached Data Security Plan and Privacy Certification, and Staff Confidentiality Pledge.

Facility Staff

[AGENCY/FACILITY] staff will assist RTI and UI research staff by providing the data and information necessary to identify, access, and track eligible study participants. Such information includes but is not limited to current lists of soon-to-be-released offenders who meet the sampling requirements of the study, parental/guardian addresses for soon-to-be-released juvenile offenders, updated release dates of study participants, contact information, and other information as necessary that will assist in the post-release locating of study participants.

By signing this agreement, [STATE CORRECTIONS AGENCY] staff further acknowledge that offender participation in the pre-release interviews *must* be voluntary and that offenders who choose not to participate in the study will not be subjected to any adverse punishment or consequences as a result of that decision.

Trained Field Interviewers

Pre-release interviews will be conducted by trained field interviewers from RTI and UI, or their subcontractors and consultants. RTI and UI certify that field interviewers will comply with [STATE CORRECTIONS AGENCY] and [FACILITY] rules and regulations regarding entering the facility and conducting interviews with prisoners in the facility.

For security clearance purposes, RTI and UI agree to provide the appropriate facility staff person with the names of field interviewers who will be entering the facility to conduct interviews, at least 48 hours in advance.

Field interviewers will be trained to recognize signs of serious emotional distress. If a study participant becomes distressed during the course of an interview, the field interviewer will notify the appropriate facility staff person, as designated by the facility director.

Pre-release Interviews

The inmates to be included in the study sample will be selected and pre-release interviews conducted from [MONTH 2004] through [MONTH 2005]*.

This agreement authorizes trained research staff from RTI and UI, or their subcontractors and consultants, to interview soon-to-be-released offenders who consent to participate in the study. Interviews will be conducted using laptop computers, which field interviewers will be permitted to bring into the facility. RTI staff will work with facility leadership to ensure that facility security is not breached by the possession and use of the project laptops.

The interviews must be conducted in a private setting in [FACILITY] that ensures the confidentiality of the information discussed by the interviewers and the study participants but for safety reasons, still permits visual observation by facility staff.

*The end dates may be extended for up to 3 months, if necessary to achieve optimal sample size.

Participant Confidentiality & Data Security

Participation in this study is voluntary and the information collected is confidential. Facility staff will not attempt to determine who agrees to participate and who does not. Facility staff will not have access to any information provided in the interviews, with the exception of a study participant expressing his or her intention to escape or seriously hurt him/herself or someone else. If a study participant discloses such information to an interviewer, the interviewer will notify the appropriate facility staff person, as designated by the facility director.

As described in the attached Data Security Plan, subjects' names will appear only on a locator form identifying the study as a national reentry study, and subjects will be identified in the laptop's case management system only by a case ID number. Access to both the individual laptops and the case management system on the laptops will be password protected at all levels. Reports and other products generated from this study will present aggregate data and individual facilities will not be identified.

RTI and UI agree to use the data only for research purposes and to maintain the confidentiality of the data. All information will be kept strictly confidential and is protected under Federal law by 28 CFR Part 22 -Confidentiality of Identifiable Research and Statistical Information, which regulates the disclosure of identifiable information and requires that RTI protect the confidentiality information provided. RTI, UI, and subcontracted project staff will sign the attached Certificate of Confidentiality. All parties agree that electronic and faxed signatures are both acceptable forms of signature.

NAME
Agency Director/Facility Director
Agency/Facility

Pamela K. Lattimore, Ph.D.
Co-Principal Investigator
Research Triangle Institute

Christy Visher, Ph.D.
Co-Principal Investigator
The Urban Institute

RESEARCH TRIANGLE INSTITUTE & THE URBAN INSTITUTE'S DATA SECURITY PLAN

While interviews conducted in correctional facilities will take place within the line of sight of prison staff (for safety reasons), they will be conducted at enough distance that staff cannot overhear or see the interview and with the subject facing away from staff so that what is being said cannot be discerned. In addition, those electing not to participate will spend enough time with the interviewer to ensure that staff cannot determine who did or did not participate.

To protect confidentiality, locator information will be gathered early in the interview, and automatically secured in a separate file so that it cannot be accessed from the laptop computer during the remainder of the interview nor linked with information contained on the laptop. Likewise, near the end of the interviewing process, after all interview response data is collected but prior to finalizing the case, all data collected thus far will again be automatically secured and made inaccessible from the laptop. Subjects' names will appear only on a locator form identifying the study as a national reentry study, and subjects will be identified in the laptop's case management system solely by a case ID number. Access to both the individual laptops and the case management system on the laptops will be password protected at each level.

As an added precaution, all interviewers will be required to sign a pledge of confidentiality and the interviewer training will strongly emphasize the privacy and confidentiality aspects of the study.

We will treat all data as confidential and it will be released to the public only as aggregate data in statistical tables that protect respondents' identities.

CERTIFICATION OF PRIVACY
Multi-Site Evaluation of the Serious and Violent Offender Reentry Initiative

Pamela K. Lattimore and Christy Visher, as Co-Principal Investigators (hereinafter collectively referred to as Grantees) certify on behalf of Research Triangle Institute and the Urban Institute, that data *identifiable to a private person*¹ will not be used or revealed, except as authorized in 28 CFR Part 22, Sections 22.21 & 22.22.

Grantee certifies that access to the data will be limited to those employees having a need for such data and that such employees shall be advised of and agree in writing to comply with the regulations in 28 CFR Part 22.

Grantee certifies that all contractors, subcontractors, and consultants requiring access to identifiable data will agree, through conditions in their subcontract or consultant agreement, to comply with the requirements of 28 CFR §22.24, regarding information transfer agreements. Grantee also certifies that NIJ will be provided with copies of any and all transfer agreements before they are executed as well as the name and title of the individual(s) with the authority to transfer data.

Grantee certifies that any private person from whom identifiable information is collected or obtained shall be notified, in accordance with 28 CFR §22.27, that such data will only be used or revealed for research or statistical purposes and that compliance with the request for information is not mandatory and participation in the project may be terminated at any time. In addition, grantee certifies that where findings in a project cannot, by virtue of sample size or uniqueness of subject, be expected to totally conceal the identity of an individual, such individual shall be so advised.

Grantee certifies that project plans will be designed to preserve the confidentiality of private persons to whom information relates, including where appropriate, name-stripping, coding of data, or other similar procedures.

¹*Information identifiable to a private person* is defined in 28 CFR §22.2(e) as “information which either--(1) Is labeled by name or other personal identifiers, or (2) Can, by virtue of sample size or other factors, be reasonably interpreted as referring to a particular person.”

Grantee certifies that copies of all questionnaires that have already been designed for use in the project are attached to this Privacy Certificate. Grantee also certifies that any questionnaires developed during the project period will be provided to NIJ at the end of the project.

Grantee certifies that project findings and reports prepared for dissemination will not contain information which can reasonably be expected to be identifiable to a private person, except as authorized by 28 CFR §22.22.

Grantee certifies that adequate precautions will be taken to ensure administrative and physical security of identifiable data and to preserve the confidentiality of the personally identifiable information.

Grantee certifies that all project personnel, including subcontractors, have been advised of and have agreed, in writing, to comply with all procedures to protect privacy and the confidentiality of personally identifiable information.

STAFF CONFIDENTIALITY PLEDGE

Pursuant to Title 28 of the Code of Federal Regulations, Part 22, project staff have an obligation to those we interview to protect their identities and the information they provide to the **Multi-Site Evaluation of the Serious and Violent Offender Reentry Initiative** project. The identity of persons interviewed and the related data are to remain confidential. Removal of names or disclosure of identities and related information is strictly forbidden. Contents of interviews are not to be discussed with anyone except project staff, and only as it is necessary to complete the assigned work. Additionally, sensitive interview information should not be discussed anywhere it could be overheard by persons who are not authorized to know this information. There are exceptions to the mandate of confidentiality. If I reasonably suspect that a participant is planning an escape, in immediate danger, intends to harm someone else, or is a victim or perpetrator of child abuse, I may be required to inform the appropriate authorities according to project protocol and in compliance with state and local law.

As a member of the site personnel, contractor, or subcontractor staff of the **Multi-Site Evaluation of the Serious and Violent Offender Reentry Initiative** project, I, _____, agree that I will protect the confidentiality of all information identifiable to a private person that is collected in the conduct of my work for the project.

I agree that I shall not discuss any identifiable information that I may learn of during the course of my employment as part of the site personnel, contractor, or subcontractor staff with anyone other than project staff members who have a need-to-know this information.

I agree to follow the procedures established by the project to prevent unauthorized access to information identifiable to a private person.

I certify that I have been informed that, the **Multi-Site Evaluation of the Serious and Violent Offender Reentry Initiative** project, which is being funded in whole or in part by the National Institute of Justice, is governed by the Department of Justice Regulations in 28 CFR Part 22 & Part 46, which govern the use and revelation of research and statistical information identifiable to a private person, and that I, as a member of the project's site personnel, contractor, or subcontractor staff am governed by these regulations as well.

I certify that I have been given copies of the regulations at 28 CFR Part 22 & Part 46 and that I understand the obligations imposed by them.

I understand that my signing this agreement is a condition of my employment as part of the **Multi-Site Evaluation of the Serious and Violent Offender Reentry Initiative** project's site personnel, contractor, or subcontractor staff.

By signing this statement, I am acknowledging that I understand the rules surrounding the protection of confidential information and, if I am found to be in violation of these provisions, I can be fined not to exceed \$10,000 in addition to any other penalty imposed by law.

Full Legal Name (please print): _____

Signature

Date

Appendix E. Consent Forms and Interview Materials

Case ID Number: _____

INFORMED CONSENT FOR ADULT PARTICIPANTS
Baseline Interview
National Re-Entry Study

About the Study

The National Re-Entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We will be interviewing approximately 4,000 individuals selected from 15 states nationwide. You are invited to participate in the study.

Participation in the Study

If you decide to be in the study, we will ask you to complete an interview. This interview will take about 1 and ½ hours. The interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive. Once you have been released, we would like to get additional data about your period of criminal justice supervision and employment by contacting the agency in charge of your supervision and state or national agencies responsible for keeping this data. We have a separate form we will ask you to sign to give your permission. This form will have more detail about who we would like to contact and what we will ask them. You can decline to allow us to obtain this data and still participate in the interview.

Voluntary Participation

The choice of whether to participate in this study is completely up to you. No one will be upset or angry if you decide not to participate. It will not affect your treatment or supervision in any manner. If you decide to participate in the study, you can refuse to answer any of the questions asked in the interview. Just tell the interviewer you want to skip a question and the interviewer will go on to the next question.

Benefits

There are no direct benefits to you from participating in this study. However, by participating, you are helping us learn more about the kinds of services and activities that might help people as they return to the community after being in a correctional facility.

Risks of Study Participation

There are two risks involved in study participation. One risk is that the questions we ask might make you feel uncomfortable or be upsetting. If you should feel uncomfortable or upset during the interview, you may ask the interviewer to take a break and/or to skip any of the questions. The other risk is that someone might find out what you tell us during the interview. In order to avoid that, we will do the interview in a private setting where no one can overhear the answers. Also, we will replace your name with an ID number to identify your interview in the computer.

Confidentiality

We will keep what you tell us in the interview confidential. Only the people working on the study will be able to see your answers. No one else, including, for example, correctional facility staff, will be able to find out what you said in the interview. We will not use your name in connection with any of your answers to the interview questions. Instead, we will enter an ID number into the computer. This ID number replaces your name and only we will be able to link it to you. Once the study is over, we will delete the answers you gave us and the list that links your name and ID number.

Exceptions to Confidentiality

There are some exceptions to our promise of confidentiality. If you tell us that you are planning an escape, that you are in immediate danger, or that you intend to harm someone else, we may need to inform the appropriate authorities according to state and local law.

Future Contacts

We will contact you again for three more interviews. We would like you to participate in these interviews at three, nine, and fifteen months from when you are released. Each time we do one of these interviews, you will have another chance to read a consent form like this and decide if you want to do the interview. For those interviews conducted outside of a correctional facility, you will receive a monetary payment of \$35 for the three month interview, and \$50 each for the nine and fifteen month interviews. You will also receive an additional \$5 each time you call us to schedule an appointment for one of these follow-up interviews. Finally, if you participate in all 4 interviews, you will receive an additional \$50.

Case ID Number: _____

Questions

If you have any questions about the study, you may call 1-877-475-7056 (toll free) and leave a message so that someone from the project can contact you; or you can write to us at National Re-Entry Study, 3040 Cornwallis Road, PO Box 12194, Research Triangle Park, North Carolina, 27709-2194. If you have any questions about your rights as a research study participant, you may call the RTI International Office of Human Subject Protections toll-free at 1-866-214-2043; or you can write to them at RTI International Office of Human Subject Protections, 3040 Cornwallis Road, PO Box 12194, Research Triangle Park, North Carolina, 27709-2194.

Do you have any questions that might help you decide if you do or do not want to participate in the study?

By checking the box below, you are agreeing to participate in the study. Please check the box only if:

- ✓ You understand the information about the study in this consent form,
- ✓ You have had all of your questions answered fully, and
- ✓ You want to participate in the study.

Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR YOUTH PARTICIPANTS
Baseline Interview
National Re-Entry Study

About the Study

The National Re-entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We will be interviewing approximately 4,000 individuals selected from 15 states nationwide. You are invited to participate in the study.

Participation in the Study

If you decide to be in the study, we will ask you to complete an interview. This interview will take about 1 and ½ hours. The interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive. Once you have been released to the community, we would like to get additional data about your period of criminal justice supervision and employment by contacting the agency in charge of your supervision and state or national agencies responsible for keeping this data. We have a separate form we will ask you to sign to give your permission. This form will have more detail about who we would like to contact and what we will ask them. You can decline to allow us to obtain this data and still participate in the interview.

Voluntary Participation

The choice of whether to participate in this study is completely up to you. No one will be upset or angry if you decide not to participate. It will not affect your treatment or supervision in any manner. If you decide to participate in the study, you can refuse to answer any of the questions asked in the interview. Just tell the interviewer you want to skip a question and the interviewer will go on to the next question.

Benefits

There are no direct benefits to you from participating in this study. However, by participating, you are helping us learn more about the kinds of services and activities that might help people as they return to the community after being in a correctional facility.

Risks of Study Participation

There are two risks involved in study participation. One risk is that the questions we ask might make you feel uncomfortable or be upsetting. If you should feel uncomfortable or upset during the interview, you may ask the interviewer to take a break and/or to skip any of the questions. The other risk is that someone might find out what you tell us during the interview. For example, if you tell us that you used drugs or committed a crime, someone might overhear this. In order to avoid that, we will do the interview in a private setting where no one can overhear the answers. Also, we will replace your name with an ID number to identify your interview in the computer.

Confidentiality

We will keep what you tell us in the interview confidential. Only the people working on the study will be able to see your answers. No one else, including, for example, your parents or correctional facility staff, will be able to find out what you said in the interview. We will not ask your parents' permission for you to participate; however we have sent them a letter to let them know that you have been invited to be in the study. We will not use your name in connection with any of your answers to the interview questions. Instead, we will enter an ID number into the computer. This ID number replaces your name and only we will be able to link it to you. Once the study is over, we will delete the answers you gave us and the list that links your name and ID number.

Exceptions to Confidentiality

There are some exceptions to our promise of confidentiality. If you tell us that you are planning an escape, that you are in immediate danger, that you intend to harm someone else, or that you are being mistreated, we may need to inform the appropriate authorities according to state and local law.

Future Contacts

We will contact you again for three more interviews. We would like you to participate in these interviews at three, nine, and fifteen months from when you are released. Each time we do one of these interviews, you will have another chance to read a consent form like this and decide if you want to do the interview. For those interviews conducted outside of a correctional facility, you will receive a monetary payment of \$35 for the three months interview, and \$50 each for the nine and fifteen month interviews. You will also

Case ID Number: _____

receive an additional \$5 each time you call us to schedule an appointment for one of these follow-up interviews. Finally, if you participate in all 4 interviews, you will receive an additional \$50.

Questions

If you have any questions about the study, you may call 1-877-475-7056 (toll free) and leave a message so that someone from the project can contact you; or you can write to us at National Re-Entry Study, 3040 Cornwallis Road, PO Box 12194, Research Triangle Park, North Carolina, 27709-2194. If you have any questions about your rights as a research study participant, you may call the RTI International Office of Human Subject Protections toll-free at 1-866-214-2043; or you can write to them at RTI International Office of Human Subject Protections, 3040 Cornwallis Road, PO Box 12194, Research Triangle Park, North Carolina, 27709-2194.

Do you have any questions that might help you decide if you do or do not want to participate in the study?

By checking the box below, you are agreeing to participate in the study. Please check the box only if:

- ✓ You understand the information about the study in this consent form,
- ✓ You have had all of your questions answered fully, and
- ✓ You want to participate in the study.

Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR ADULT PARTICIPANTS
Three-Month Follow Up Interview - Community
National Re-Entry Study

About the Study

The National Re-Entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

You may remember that you first enrolled in the study before you were released from a correctional facility. At that time, you completed a computer interview with one of our interviewers. If you now agree to continue to be in the study, we will ask you to complete a follow up interview. This interview will take about 1 and ½ hours. Like last time, the interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive. In an effort to thank you for taking the time for the interview, we will give you \$35.00 upon completion of the interview.

Voluntary Participation

The choice of whether to continue to participate in this study is completely up to you. No one will be upset or angry if you decide not to participate. It will not affect your treatment or supervision in any manner. If you decide to participate in the study, you can refuse to answer any of the questions asked in the interview. Just tell the interviewer you want to skip a question and the interviewer will go on to the next question.

Benefits

There are no direct benefits to you from participating in this study. However, by participating, you are helping us learn more about the kinds of services and activities that might help people as they return to the community after being in a correctional facility.

Risks of Study Participation

There are two risks involved in study participation. One risk is that the questions we ask might make you feel uncomfortable or be upsetting. If you should feel uncomfortable or upset during the interview, you may ask the interviewer to take a break and/or to skip any of the questions. The other risk is that someone might find out what you tell us during the interview. In order to avoid that, we will do the interview in a private setting where no one can overhear the answers. Also, we will replace your name with an ID number instead of a name to identify your interview in the computer.

Confidentiality

We will keep what you tell us in the interview confidential. Only the people working on the study will be able to see your answers. No one else will be able to find out what you said in the interview. We will not use your name in connection with any of your answers to the interview questions. Instead, we will enter an ID number into the computer. This ID number replaces your name and only we will be able to link it to you. Once the study is over, we will delete the answers you gave us and the list that links your name and ID number.

Exceptions to Confidentiality

There are some exceptions to our promise of confidentiality. If you tell us that you are in immediate danger or that you intend to harm someone else, we may need to inform the appropriate authorities according to state and local law.

Future Contacts

We will contact you again for two more interviews. We would like you to participate in these interviews at nine and fifteen months from when you were released. You will have another chance to read a consent form like this and decide if you want to do each of the interviews. For interviews conducted outside of a correctional facility, you will receive a monetary payment of \$50 each for the nine and fifteen month interviews. You will also receive an additional \$5 each time you call to schedule an appointment for one of the follow-up interviews. Finally, if you participate in all 4 interviews, you will receive an additional \$50.

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Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR YOUTH PARTICIPANTS
Three-month Follow Up Interview - Community
National Re-Entry Study

About the Study

The National Re-entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

You may remember that you first enrolled in the study before you were released from a correctional facility. At that time, you completed a computer interview with one of our interviewers. If you now agree to continue to be in the study, we will ask you to complete a follow up interview. This interview will take about 1 and ½ hours. Like last time, the interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive. In an effort to thank you for taking the time for the interview, we will give you \$35.00 upon completion of the interview.

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Future Contacts

We will contact you again for two more interviews. We would like you to participate in these interviews at nine and fifteen months from when you were released. You will have another chance to read a consent form like this and decide if you want to do each of the interviews. For interviews conducted outside of a correctional facility, you will receive a monetary payment of \$50 each for the nine and fifteen month interviews. You will also receive an additional \$5 each time you call us to schedule an appointment for one of the follow-up interviews. Finally, if you participate in all 4 interviews, you will receive an additional \$50.

Case ID Number: _____

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- ✓ You want to continue to participate in the study.

Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR ADULT PARTICIPANTS
Three-Month Follow Up Interview - Facility
National Re-Entry Study

About the Study

The National Re-Entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

You may remember that you first enrolled in the study before you were released from a correctional facility about three months ago. At that time, you completed a computer interview with one of our interviewers. If you now agree to continue to be in the study, we will ask you to complete a follow up interview. This interview will take about 1 and ½ hours. Like last time, the interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive.

Voluntary Participation

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Benefits

There are no direct benefits to you from participating in this study. However, by participating, you are helping us learn more about the kinds of services and activities that might help people as they return to the community after being in a correctional facility.

Risks of Study Participation

There are two risks involved in study participation. One risk is that the questions we ask might make you feel uncomfortable or be upsetting. If you should feel uncomfortable or upset during the interview, you may ask the interviewer to take a break and/or to skip any of the questions. The other risk is that someone might find out what you tell us during the interview. In order to avoid that, we will do the interview in a private setting where no one can overhear the answers. Also, we will replace your name with an ID number to identify your interview in the computer.

Confidentiality

We will keep what you tell us in the interview confidential. Only the people working on the study will be able to see your answers. No one else, including, for example, correctional facility staff, will be able to find out what you said in the interview. We will not use your name in connection with any of your answers to the interview questions. Instead, we will enter an ID number into the computer. This ID number replaces your name and only we will be able to link it to you. Once the study is over, we will delete the answers you gave us and the list that links your name and ID number.

Exceptions to Confidentiality

There are some exceptions to our promise of confidentiality. If you tell us that you are planning an escape, that you are in immediate danger, or that you intend to harm someone else, we may need to inform the appropriate authorities according to state and local law.

Future Contacts

We will contact you again for two more interviews. We would like you to participate in these interviews at nine and fifteen months from when you were released. You will have another chance to read a consent form like this and decide if you want to do each of the interviews. For interviews conducted outside of a correctional facility, you will receive a monetary payment of \$50 each for the nine and fifteen month interviews. You will also receive an additional \$5 each time you call to schedule an appointment for one of the follow-up interviews. Finally, if you participate in all 4 interviews, you will receive an additional \$50.

Case ID Number: _____

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Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR YOUTH PARTICIPANTS
Three-month Follow Up Interview-Facility
National Re-Entry Study

About the Study

The National Re-entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

You may remember that you first enrolled in the study before you were released from a correctional facility. At that time, you completed a computer interview with one of our interviewers. If you now agree to continue to be in the study, we will ask you to complete a follow up interview. This interview will take about 1 and ½ hours. Like last time, the interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive.

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Benefits

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There are two risks involved in study participation. One risk is that the questions we ask might make you feel uncomfortable or be upsetting. If you should feel uncomfortable or upset during the interview, you may ask the interviewer to take a break and/or to skip any of the questions. The other risk is that someone might find out what you tell us during the interview. For example, if you tell us that you used drugs or committed a crime, someone might overhear this. In order to avoid that, we will do the interview in a private setting where no one can overhear the answers. Also, we will replace your name with an ID number to identify your interview in the computer.

Confidentiality

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Future Contacts

We will contact you again for two more interviews. We would like you to participate in these interviews at nine and fifteen months from when you were released. You will have another chance to read a consent form like this and decide if you want to do each of the interviews. For interviews conducted outside of a correctional facility, you will receive a monetary payment of \$50 each for the nine and fifteen month interviews. You will also receive an additional \$5 each time you call us to schedule an appointment for one of the follow-up interviews. Finally, if you participate in all 4 interviews, you will receive an additional \$50.

Case ID Number: _____

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Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR ADULT PARTICIPANTS
Nine-Month Follow Up Interview - Community
National Re-Entry Study

About the Study

The National Re-Entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

You may remember that you first enrolled in the study before you were released from a correctional facility. At that time, and probably 3 months after you were released, you completed computer interviews with one of our interviewers. If you now agree to continue to be in the study, we will ask you to complete a follow up interview. This interview will take about 1 and ½ hours. Like last time, the interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive. In an effort to thank you for taking the time for the interview, we will give you \$50.00 upon completion of the interview.

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Benefits

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Exceptions to Confidentiality

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Future Contacts

We will contact you again for one more interview. We would like you to participate in this interview at approximately fifteen months from when you were released. You will have another chance to read a consent form like this and decide if you want to do the interview. If the interview is conducted outside of a correctional facility, you will receive a monetary payment of \$50 for the fifteen month interview. You will also receive an additional \$5 if you call to schedule an appointment for the final follow-up interview. If you participate in all 4 interviews, you will receive an additional \$50.

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Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR YOUTH PARTICIPANTS
Nine-month Follow Up Interview - Community
National Re-Entry Study

About the Study

The National Re-entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

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Future Contacts

We will contact you again for one more interview. We would like you to participate in this interview at approximately fifteen months from when you were released. You will have another chance to read a consent form like this and decide if you want to do the interview. If the interview is conducted outside of a correctional facility, you will receive a monetary payment of \$50 for the fifteen month interview. You will also receive an additional \$5 if you call us to schedule an appointment for the final follow-up interview. If you participate in all 4 interviews, you will receive an additional \$50.

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Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR ADULT PARTICIPANTS
Nine-Month Follow Up Interview - Facility
National Re-Entry Study

About the Study

The National Re-Entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

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Exceptions to Confidentiality

There are some exceptions to our promise of confidentiality. If you tell us that you are planning an escape, that you are in immediate danger, or that you intend to harm someone else, we may need to inform the appropriate authorities according to state and local law.

Future Contacts

We will contact you again for one more interview. We would like you to participate in this interview at approximately fifteen months from when you were released. You will have another chance to read a consent form like this and decide if you want to do the interview. If the interview is conducted outside of a correctional facility, you will receive a monetary payment of \$50 for the fifteen month interview. You will also receive an additional \$5 if you call to schedule an appointment for the final follow-up interview. Finally, if you participate in all 4 interviews, you will receive an additional \$50.

Case ID Number: _____

Questions

If you have any questions about the study, you may call 1-877-475-7056 (toll free) and leave a message so that someone from the project can contact you; or you can write to us at National Re-Entry Study, 3040 Cornwallis Road, PO Box 12194, Research Triangle Park, North Carolina, 27709-2194. If you have any questions about your rights as a research study participant, you may call the RTI International Office of Human Subject Protections toll-free at 1-866-214-2043; or you can write to them at RTI International Office of Human Subject Protections, 3040 Cornwallis Road, PO Box 12194, Research Triangle Park, North Carolina, 27709-2194.

Do you have any questions that might help you decide if you do or do not want to continue to participate in the study?

By checking the box below, you are agreeing to continue to participate in the study. Please check the box only if:

- ✓ You understand the information about the study in this consent form,
- ✓ You have had all of your questions answered fully, and
- ✓ You want to continue to participate in the study.

Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR YOUTH PARTICIPANTS
Nine-month Follow Up Interview-Facility
National Re-Entry Study

About the Study

The National Re-entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

You may remember that you first enrolled in the study before you were released from a correctional facility. At that time, and probably three months after you were released, you completed computer interviews with one of our interviewers. If you now agree to continue to be in the study, we will ask you to complete a follow up interview. This interview will take about 1 and ½ hours. Like last time, the interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive.

Voluntary Participation

The choice of whether to continue to participate in this study is completely up to you. No one will be upset or angry if you decide not to participate. It will not affect your treatment or supervision in any manner. If you decide to participate in the study, you can refuse to answer any of the questions asked in the interview. Just tell the interviewer you want to skip a question and the interviewer will go on to the next question.

Benefits

There are no direct benefits to you from participating in this study. However, by participating, you are helping us learn more about the kinds of services and activities that might help people as they return to the community after being in a correctional facility.

Risks of Study Participation

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Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED CONSENT FOR ADULT PARTICIPANTS
Fifteen-Month Follow Up Interview - Community
National Re-Entry Study

About the Study

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Voluntary Participation

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Case ID Number: _____

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Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED ASSENT FOR YOUTH PARTICIPANTS
Fifteen-month Follow Up Interview - Community
National Re-Entry Study

About the Study

The National Re-entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

You may remember that you first enrolled in the study before you were released from a correctional facility. At that time, and probably 3 and 9 months after you were released, you completed computer interviews with one of our interviewers. If you now agree to continue to be in the study, we will ask you to complete a final follow up interview. This interview will take about 1 and ½ hours. Like last time, the interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive. In an effort to thank you for taking the time for the interview, we will give you \$50.00 upon completion of the interview.

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Benefits

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Case ID Number: _____

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- ✓ You want to continue to participate in the study.

Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

**INFORMED CONSENT FOR ADULT PARTICIPANTS
Fifteen-Month Follow Up Interview - Facility
National Re-Entry Study**

About the Study

The National Re-Entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

You may remember that you first enrolled in the study before you were released from a correctional facility. At that time, and probably 3 and 9 months after you were released, you completed computer interviews with one of our interviewers. If you now agree to continue to be in the study, we will ask you to complete a final follow-up interview. This interview will take about 1 and ½ hours. Like last time, the interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive.

Voluntary Participation

The choice of whether to continue to participate in this study is completely up to you. No one will be upset or angry if you decide not to participate. It will not affect your treatment or supervision in any manner. If you decide to participate in the study, you can refuse to answer any of the questions asked in the interview. Just tell the interviewer you want to skip a question and the interviewer will go on to the next question.

Benefits

There are no direct benefits to you from participating in this study. However, by participating, you are helping us learn more about the kinds of services and activities that might help people as they return to the community after being in a correctional facility.

Risks of Study Participation

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Confidentiality

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Future Contacts

We will not contact you again.

Questions

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Case ID Number: _____

Do you have any questions that might help you decide if you do or do not want to continue to participate in the study?

By checking the box below, you are agreeing to continue to participate in the study. Please check the box only if:

- ✓ You understand the information about the study in this consent form,
- ✓ You have had all of your questions answered fully, and
- ✓ You want to continue to participate in the study.

Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Case ID Number: _____

INFORMED ASSENT FOR YOUTH PARTICIPANTS
Fifteen-month Follow Up Interview-Facility
National Re-Entry Study

About the Study

The National Re-entry Study is a research study that is being led by RTI International and the Urban Institute and paid for by the National Institute of Justice. We are hoping that this evaluation will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities. We are interviewing approximately 4,000 individuals selected from 15 states nationwide.

Participation in the Study

You may remember that you first enrolled in the study before you were released from a correctional facility. At that time, and probably 3 and 9 months after you were released, you completed computer interviews with one of our interviewers. If you now agree to continue to be in the study, we will ask you to complete a final follow up interview. This interview will take about 1 and ½ hours. Like last time, the interviewer will read questions from a computer screen and type your answers into the computer. The interviewer will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have or may receive.

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Benefits

There are no direct benefits to you from participating in this study. However, by participating, you are helping us learn more about the kinds of services and activities that might help people as they return to the community after being in a correctional facility.

Risks of Study Participation

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Check here if the above statements are true.

Interviewer's Signature _____ Date _____

Questions and Answers About the National Re-Entry Study

What is the purpose of the study?

The National Re-Entry study is a research study being conducted by RTI International, in partnership with the Urban Institute, and is sponsored by the National Institute of Justice.

We hope that this study will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities.

Why was I selected?

You were chosen through scientific sampling procedures from a list of people who are scheduled to be released from a correctional facility. The information you provide will be kept confidential and will not be shared with anyone in a manner in which it can be linked to you.

What is involved?

If you agree to participate, you will take part in a computerized, face-to-face interview conducted in a private setting by one of our field interviewers. We will interview you again three months after your release, then again at both nine and fifteen months after your release. You can refuse to answer any question, and you may also stop the interview at any time.

What types of questions will be asked?

The questions will touch on your attitudes and experiences, your health, your use of drugs and alcohol, and any programs and services you may have received.

How long will it take?

The time varies, but each of the interviews generally takes about an hour to an hour and a half.

Do I have to participate?

No. You do not have to participate in this survey or respond to any questions you do not want to answer. Your decision to participate or not will **not** affect your incarceration term or any social service(s) you may be receiving. In fact, correctional facility staff will not know you agreed to participate in this study unless you choose to tell them.

Will I be paid?

You will receive a study information packet after the first interview. You will then receive \$35 for the first follow-up interview you complete and \$50 for each of the remaining two follow-up interviews. If you keep your contact information up-to-date with us and speak with one of our supervisors prior to each follow-up interview, you will receive an additional \$5 upon completion of each interview. If you complete all four interviews, you will receive an additional \$50 upon completion of the last follow-up interview.

Are my answers safe in the computer?

Parts of the interview will be made inaccessible as we move through the questions, and the entire interview will be inaccessible once it is complete. On the day the interview is completed, it is electronically transmitted to RTI International and identified only by a code number. Your answers are then combined with all other participants' answers and turned into statistics for analysis.

Who will see my answers?

Only the researchers and project staff at RTI International will see the data, and your name and any other identifying information will not be linked with your individual answers. All information will be kept strictly confidential and is protected under Federal law by 28 CFR Part 22 —Confidentiality of Identifiable Research and Statistical Information, which regulates the disclosure of identifiable information and requires that RTI International protect the confidentiality of the information you provide.

What is RTI International?

RTI International is an independent, not-for-profit contract research organization located in North Carolina. Dedicated to conducting research that improves the human condition, RTI International performs various types of laboratory and social research for government and industrial clients.

For more information, write National Re-entry Study, 3040 Cornwallis Rd., P.O. Box 12194, RTP, NC 27709-2194, or call 1-877-475-7056 (toll-free) and leave a message. Someone from the project staff will contact you.

If you have questions about your rights as a study participant, you may write RTI International's Office of Research Protection (same address as above) or call 1-866-214-2043

Additional information about the National Institute of Justice is available at:

<http://www.ojp.usdoj.gov/nij>

Additional information about RTI International is available at:

<http://www.rti.org>

RTI International is a trade name of Research Triangle Institute.

QUESTIONS AND ANSWERS ABOUT THE

National Re-Entry Study

Sponsored by

National Institute of Justice (NIJ)

Conducted by

RTI International
3040 Cornwallis Road
Research Triangle Park, NC
27709

Questions and Answers About the National Re-Entry Study

What is the purpose of the study?

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QUESTIONS AND
ANSWERS ABOUT THE

National Re-Entry Study

Sponsored by

*National Institute of
Justice (NIJ)*

Conducted by

RTI International
3040 Cornwallis Road
Research Triangle Park, NC
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Your child was chosen through scientific sampling procedures from a list of people who are scheduled to be released from a correctional facility.

How long will it take?

The time varies, but each of the interviews generally takes about an hour to an hour and a half.

What is involved?

We would like your child to participate in a computerized face-to-face interview conducted by one of our field interviewers in a private setting at the correctional facility. We will interview your child again three months after his or her release, then again at both nine and fifteen months after release. In each interview, your child can refuse to answer any question, and he or she may also stop the interview at any time. At three and fifteen months, we will also request an oral fluids sample, which your child, not the interviewer, will collect. Your child is free to allow the interview but decline participation in the oral fluids sample collection.

What types of questions will be asked?

The questions will touch on your child's attitudes and experiences, health, use of drugs and alcohol, and any programs and services he or she may have received. The information your child provides will be kept confidential and will not be shared with anyone in a manner in which it can be linked to him or her.

Does my child have to participate?

No. Your child does not have to participate in this survey or respond to any questions he or she does not want to answer. The decision to participate or not will **not** affect his or her incarceration term or any social service(s) he or she may be receiving. In fact, correctional facility staff will not know your child agreed to participate in this study unless your child chooses to tell them.

Are there any risks to participating?

The only risks are that the questions might make your child feel uncomfortable or be upsetting, or that someone might hear what your child tells us during the interview. If your child feels uncomfortable or upset during the interview, he or she can ask the interviewer to take a break and/or to skip any of the questions. To avoid someone overhearing what your child tells us in the interview, we will do all interviews in a private setting. For any follow-up interviews conducted in your home, we would appreciate your help identifying a private setting.

What happens to the information?

Parts of the interview will be made inaccessible as we move through the questions, and the entire interview will be inaccessible once it is complete. On the day the interview is completed, it is electronically transmitted to RTI International and identified only by a code number. Your child's answers are then combined with all other participants' answers and turned into statistics for analysis.

What about confidentiality?

Only the researchers and project staff at RTI International will see the data, and your child's name and any other identifying information will not be linked with his or her individual answers. All information will be kept strictly confidential and is protected under Federal law by 28 CFR Part 22 —Confidentiality of Identifiable Research and Statistical Information, which regulates the disclosure of identifiable information and requires that RTI International protect the confidentiality of the information your child provides.

What is RTI International?

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If you have questions about your rights as a study participant, you may write RTI International's Office of Research Protection (same address as above) or call 1-866-214-2043

Additional information about the National Institute of Justice is available at:

<http://www.ojp.usdoj.gov/nij>

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QUESTIONS AND
ANSWERS FOR PARENTS
ABOUT THE

National Re-Entry Study

*Sponsored by
National Institute of
Justice (NIJ)*

Conducted by
RTI International
3040 Cornwallis Road
Research Triangle Park, NC
27709

Preguntas y respuestas sobre el Estudio nacional de reingreso

¿Cuál es el propósito del estudio?

El Estudio nacional de reingreso (National Re-Entry Study) es un estudio de investigación que realiza RTI International, en colaboración con el Instituto de Urbanización (Urban Institute) y es patrocinado por el Instituto nacional de justicia (National Institute of Justice).

Esperamos que este estudio nos ayude a comprender los tipos de servicios y otras actividades que pudieran afectar las vidas de las personas que salen de los establecimientos correccionales.

¿Cómo seleccionaron a mi hijo(a)?

Su hijo(a) fue seleccionado(a) por medio de procedimientos de muestreo científicos, a partir de una lista de personas que van a ser liberadas de un establecimiento correccional.

¿Cuánto tiempo va a tomar?

El tiempo para completar la entrevista varía, pero por lo general, cada una de las entrevistas se puede completar en una hora o una hora y media.

¿Qué hay que hacer para participar?

Nos gustaría que su hijo(a) participe en una entrevista computarizada en la que un entrevistador personalmente le haría la preguntas en un lugar privado en el establecimiento de la correccional. Volveremos a entrevistar a su hijo(a) tres meses después de que haya sido puesto(a) en libertad. Luego nuevamente entrevistaremos a su hijo(a) nueve meses y quince meses después de haber salido de la correccional. Durante cada entrevista su hijo(a) se puede rehusar a contestar cualquier pregunta que él o ella no desee contestar; y además puede detener la entrevista en cualquier momento. A los tres y quince meses, también le vamos a pedir a su hijo(a) que nos proporcione una muestra de saliva, que su mismo(a) hijo(a) obtendrá, sin la intervención del entrevistador. Su hijo(a) puede decidir libremente participar en la entrevista y puede negarse a participar en la recopilación de muestras de saliva.

¿Qué tipos de preguntas le van a hacer?

Las preguntas se refieren a las actitudes y experiencias de su hijo(a), la salud, el uso de drogas y alcohol, y sobre los programas y servicios que él o ella pudieran haber recibido. La información que su hijo(a) proporcione se mantendrá confidencial y no se compartirá con ninguna persona de tal manera que se pudiera asociar con su hijo(a).

¿Es obligatoria la participación de mi hijo(a)?

No, su hijo(a) no tiene que participar en esta encuesta ni responder a ninguna pregunta que él o ella no desee contestar. La decisión de participar o de no hacerlo, **no** afectará el periodo de encarcelamiento ni los servicios sociales a los que él o ella pudiera estar recibiendo. De hecho, el personal del establecimiento correccional no sabrá que su hijo(a) estuvo de acuerdo en participar en este estudio, a menos que su hijo(a) decida informarles al respecto.

¿Hay algún riesgo al participar?

Los únicos riesgos pudieran ser: que la preguntas hicieran que su hijo(a) se sintiera incómodo(a) o enojado(a), o que alguien pudiera escuchar lo que dice su hijo(a) durante la entrevista. Si su hijo(a) se siente incómodo o enojado(a) durante la entrevista, él o ella puede pedir un descanso al entrevistador, o le puede pedir que se salte todas las preguntas que no desee contestar. Para evitar que alguien llegará a escuchar lo que su hijo(a) nos dice durante la entrevista, haremos todas las entrevistas en un lugar privado. Para las otras entrevistas de seguimiento que se realicen en su hogar, le pediremos a usted que por favor nos ayude a encontrar un lugar privado para realizar la entrevista.

¿Qué sucede con la información?

Conforme pasamos de una pregunta a otra, se bloqueará el acceso a ciertas partes de la entrevista y toda la entrevista se bloqueará una vez que se complete la entrevista. El mismo día en que se completa, se transmite de manera electrónica a RTI International y sólo se identifica con un número de código. Entonces las respuestas de su hijo(a) se combinan con las de todos los otros participantes y se analizan en forma de estadísticas.

¿Cómo se mantiene la confidencialidad?

Sólo los investigadores y el personal del proyecto en RTI International verán los datos y el nombre de su hijo(a). Ninguna otra información que lo/la pudiera identificar será asociado con sus respuestas individuales. Toda la información se mantendrá estrictamente confidencial y está protegida de acuerdo a la parte 22 del Código del Reglamento Federal 28 llamada: 'La confidencialidad de la información de la investigación y estadística identificables', la cual regula la divulgación de información identificable, que requiere que RTI International proteja la confidencialidad de la información que proporcione su hijo(a).

¿Qué es RTI International?

RTI International es una organización de investigación independiente, no lucrativa ubicada en Carolina del Norte. Esta organización está dedicada a realizar estudios que mejoren la condición humana, y realiza varios tipos de investigación de laboratorio y social para dependencias del gobierno y clientes industriales.

Para obtener más información, puede escribir al Estudio nacional de reingreso, 3040 Cornwallis Rd., P.O. Box 12194, RTP, NC 27709-2194, o puede llamar al 1-877-475-7056 (gratis) y dejar un mensaje. Alguien del personal del proyecto se comunicará con usted.

Si tiene preguntas sobre sus derechos como participante en un estudio, usted puede escribir a la Oficina de RTI International para la protección de participantes (a la misma dirección arriba mencionada) o puede llamar al 1-866-214-2043 (gratis).

La información adicional acerca del Instituto nacional de justicia está disponible (en inglés):

<http://www.ojp.usdoj.gov/nij>

La información adicional acerca de RTI International está disponible en:

<http://www.rti.org>

RTI International es una marca registrada del Research Triangle Institute.

PREGUNTAS Y RESPUESTAS PARA LOS PADRES, ACERCA DEL

Estudio nacional de reingreso

*Patrocinado por el
Instituto nacional de justicia
(National Institute of Justice)*

Realizada por
RTI International
3040 Cornwallis Road
Research Triangle Park, NC
27709

Questions and Answers About the National Re-Entry Study

What is the purpose of the study?

The National Re-Entry study is a research study being conducted by RTI International, in partnership with the Urban Institute, and is sponsored by the National Institute of Justice.

We hope that this study will help us understand the kinds of services and other activities that might affect the lives of people leaving correctional facilities.

Why was I selected?

When you were selected for the first interview, you were chosen through scientific sampling procedures from a list of people who were scheduled to be released from a correctional facility. Now we need to follow-up with you and gather additional information. Like before, the information you provide will be kept confidential and will not be shared with anyone in a manner in which it can be linked to you.

What is involved?

If you agree to participate, you will take part in a computerized, face-to-face interview conducted in a private setting by one of our field interviewers at a time most convenient to you. As before, you can refuse to answer any question, and you may also stop the interview at any time.

What types of questions will be asked?

Similar to the first interview, the questions will touch on your attitudes and experiences, your health, your use of drugs and alcohol, and any programs and services you may have received.

How long will it take?

The time varies, but each of the interviews generally takes about an hour to an hour and a half.

Do I have to participate?

No. You do not have to participate in this survey or respond to any questions you do not want to answer. Your decision to participate or not will **not** affect your supervision term or any social service(s) you may be receiving. In fact, your supervision officer will not know you are participating in this study unless you choose to tell him or her.

Will I be paid?

You will receive \$35 for the first follow-up interview you complete and \$50 for each of the remaining two follow-up interviews. If you keep your contact information up-to-date with us and speak with one of our supervisors prior to each follow-up interview, you'll receive an additional \$5 upon completion of each interview. If you complete all four interviews, you will receive an additional \$50 upon completion of the last follow-up interview.

Are my answers safe in the computer?

Parts of the interview will be made inaccessible as we move through the questions, and the entire interview will be inaccessible once it is complete. On the day the interview is completed, it is electronically transmitted to RTI International and identified only by a code number. Your answers are then combined with all other participants' answers and turned into statistics for analysis.

Who will see my answers?

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Sponsored by

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What is involved?

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Similar to the first interview, the questions will touch on your attitudes and experiences, your health, your use of drugs and alcohol, and any programs and services you may have received.

How long will it take?

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Questions asked of Juvenile Respondents to Ensure they Understood the Consent Form

- 1) So that I can be certain you understand how much of your time I need today, please tell me how long this interview will take.

ANSWER: 1 ½ hours. IF R DOES NOT SAY “1 ½ HOURS,” RE-READ THE FOLLOWING STATEMENT: This interview will take about 1 and ½ hours.

- 2) Since some of the questions are sensitive, I also need to be sure you understand the topics I will be asking you about. What topics will we ask about in the interview?

ANSWER: HOUSING, MENTAL AND PHYSICAL HEALTH, FAMILY AND FRIENDS, JOB, ALCOHOL AND DRUG USE, OTHER ILLEGAL BEHAVIOR, SERVICES OR TREATMENT. IF R DOES NOT LIST ALL THE TOPICS, RE-READ THE FOLLOWING STATEMENT: We will ask you questions about your housing situation, mental and physical health, family and friends, job, alcohol and drug use, other illegal behavior, and services or treatment you have received.

- 3) Again so that I can be certain you understand what I’ve just read; please tell me whether you can choose not to do the interview.

ANSWER: YES. IF R DOES NOT ANSWER THAT HE/SHE CAN CHOOSE NOT TO DO THE INTERVIEW, RE-READ THE FOLLOWING STATEMENT: The choice of whether to participate in this pilot study is completely up to you. You can choose not to do the interview.

- 4) If you choose to do the interview, tell me what you should do if you do not want to answer a specific question?

ANSWER: TELL ME YOU DON’T WANT TO ANSWER THAT QUESTION. IF R ANSWERS INCORRECTLY, RE-READ THE FOLLOWING STATEMENT: You can refuse to answer any of the questions asked in the interview. Just tell me you want to skip a question and I will go on to the next question.

- 5) Again, I need to be sure you understand what I’ve just read to you. Please tell me what the risks are of doing the interview.

ANSWER: THE QUESTIONS MIGHT MAKE ME FEEL UNCOMFORTABLE OR BE UPSETTING; SOMEONE MIGHT FIND OUT WHAT I TELL YOU DURING THE INTERVIEW. IF THE R DOES NOT LIST BOTH RISKS, RE-READ THE ENTIRE PARAGRAPH ABOVE.

- 6) I want to make sure you understand what I just read about confidentiality. Can you please tell me what confidential means?

ANSWER: IT MEANS THAT NO ONE ELSE BESIDES THE PEOPLE WORKING ON THE STUDY WILL BE ABLE TO SEE MY ANSWERS OR FIND OUT WHAT I SAID IN THE INTERVIEW. IF THE R DOES NOT STATE THIS, RE-READ THE FOLLOWING STATEMENT: It means that no one else besides the people working on the study will be able to see your answers or find out what you said in the interview.

- 7) Can you tell me what it means to replace your name with an identification number?

ANSWER: IT MEANS THAT RATHER THAN ENTERING MY NAME INTO THE COMPUTER, YOU WILL ENTER AN ID NUMBER INSTEAD. THIS ID NUMBER REPRESENTS ME BUT ONLY YOU WILL BE ABLE TO LINK IT TO ME. IF THE R DOES NOT STATE THIS, RE-READ THE FOLLOWING STATEMENT: It means that rather than entering your name into the computer, we will enter an ID number instead. This ID number represents you but only we will be able to link it to you. Once the study is over, we will delete the answers you gave us and the list that links your name and ID number.

- 8) It is really important that I'm sure you understand why we might need to break our promise of confidentiality, so I need you to answer one more question before we finish reading this form. What are some things you could tell us that might cause us to break our promise of confidentiality?

ANSWER: I AM PLANNING AN ESCAPE; I AM IN IMMEDIATE DANGER; I INTEND TO HARM SOMEONE ELSE; I AM BEING MISTREATED. IF THE R DOES NOT LIST ALL 4 CONDITIONS, RE-READ THE ENTIRE PARAGRAPH ABOVE.

Appendix F. Administrative Data Protocols and Data Transfer Protocol

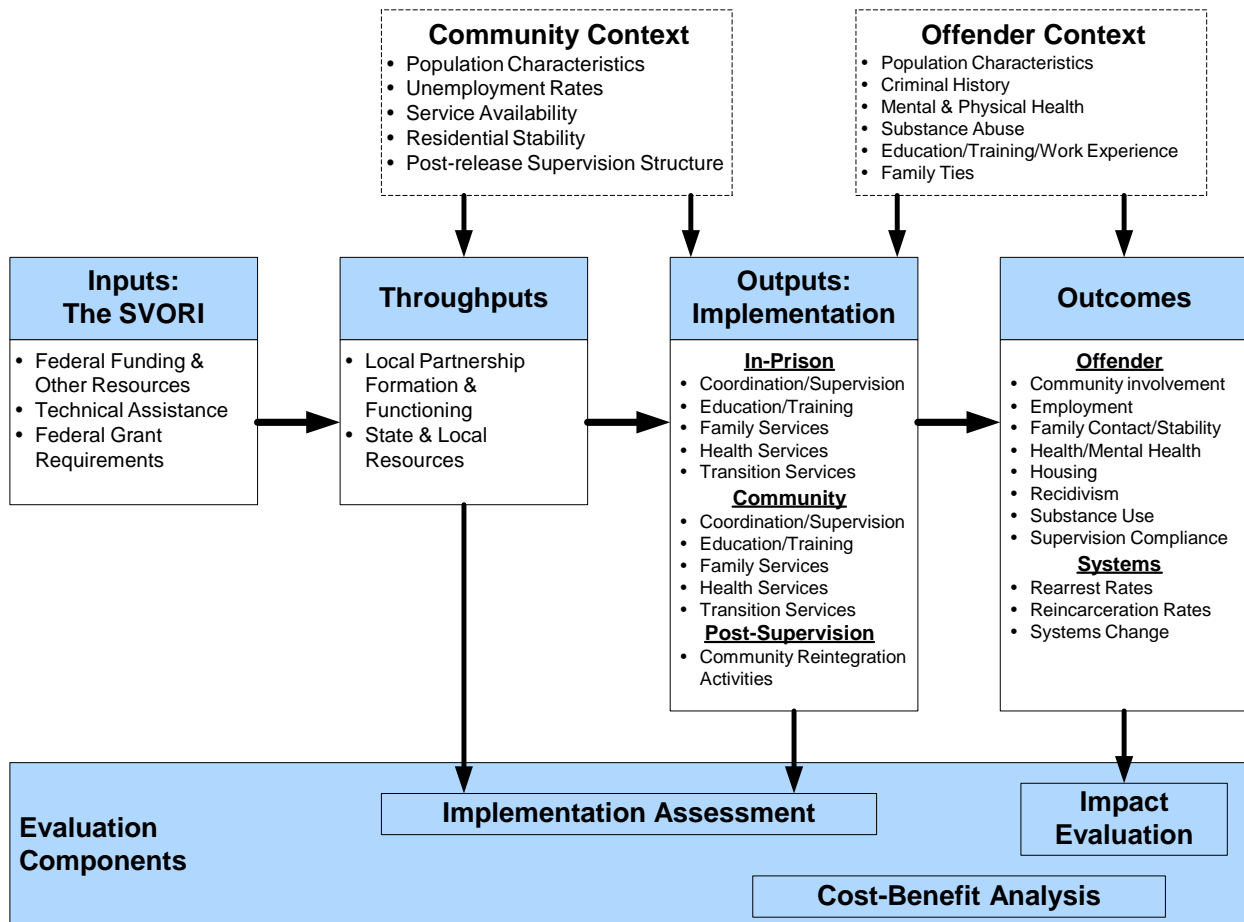
SVORI Multi-site Evaluation Administrative Data Collection Protocol Information for Adult Correctional and Juvenile Justice Agencies with authority over Probation/Parole data

This document provides information on the SVORI multi-site evaluation, describes the types of administrative data needed from the impact sites for the impact evaluation, and identifies the target population for which data are needed as well as the anticipated schedule for obtaining data.

Background

The SVORI impact evaluation is focused on determining the extent to which SVORI program participants have better post-release outcomes than comparable individuals who did not participate in SVORI programming. The evaluation design is shown in Figure 1. Annual surveys (in 2003, 2005, and 2006) of the local SVORI program directors are informing the implementation assessment. Data for the impact evaluation are being collected from two sources—offender interviews and agency administrative data.

Figure 1. SVORI Evaluation framework.



The SVORI evaluation model begins with the use of Federal funding, technical assistance and Federal grant requirements (*Inputs*) to facilitate local partnership formation and function in combination with state and local resources (*Throughputs*) to yield a comprehensive SVORI program that begins during imprisonment and continues into the community (*Outputs*).

The *outputs* include programming and services provided to and received by subjects prior to and after release. Examples of programming and services include the following:

- counseling programs (e.g., anger management, batterer intervention treatment programs, mental health counseling, sex offender treatment, and substance abuse treatment)
- educational programs (e.g., GED classes or vocational training)
- employment programs (e.g., resume preparation, interview preparation)
- health services (e.g., dental or medical)
- life skills classes
- reentry (or release) planning

SVORI participants are expected to receive more programming and services than comparison subjects. However, comparison subjects are also expected to receive some services and, in fact, some early analyses suggest that comparison subjects in some impact sites are receiving more services than SVORI subjects in other sites. This was expected since each site began its SVORI program from a baseline level of services that varies across states. Thus, it is important for the impact evaluation to have individual-level data on services and programs. The subject interviews ask about service receipt, but it is important to obtain any data from agency records to supplement the interview data.¹

The primary *outcome* of interest is recidivism, which will be measured from official records as the following:

- Technical violation and/or revocation
- Arrest
- Conviction
- Reincarceration

In addition, we will have self-report criminal behavior information from follow-up interview data.

The key *intermediate outcomes* are as follows:

- Employment
- Mental and physical health
- Housing
- Substance use
- Supervision compliance

Other intermediate outcomes that will be more difficult to evaluate because they pose particular measurement challenges are community reintegration and family contact/stability. These intermediate outcomes will be assessed from interview data.

Figure 1 also explicitly acknowledges the potential impact of *Community and Offender Contexts* (characteristics) on the provision of services (i.e., the outputs) and outcomes. These characteristics include measures at the community level (e.g., population demographics and employment rates that will be obtained from official statistics) and of subject characteristics, including, importantly, measures of the following:

- Demographic information

¹ Cost-benefit evaluations are being conducted in a subset of impact sites. The availability of detailed, individual-level data on services and programming is particularly important to these evaluations as they are the source of information for the estimation of costs.

- Criminal history
- Education, training, and work experiences
- Physical and mental health
- Substance use

In addition, to the extent that data are available, measures of family stability will be important for the analyses (these data will come primarily from interview data).

Data sources

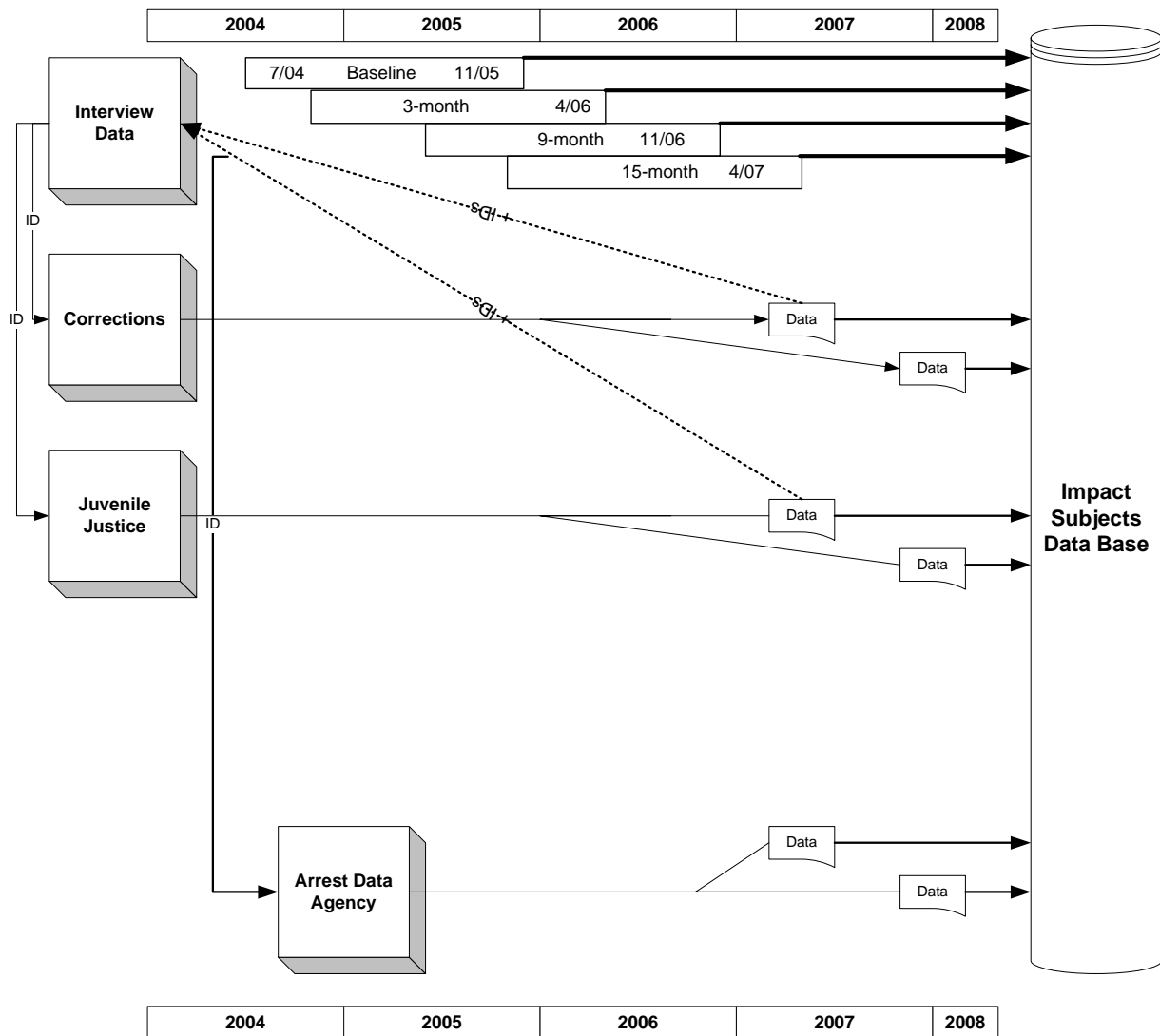
Data for the impact evaluation come from two sources:

- **Interviews** with SVORI participants and comparison subjects—four rounds of interviews are being conducted. Baseline data collection ended in November 2005 with interviews being completed with approximately 2,700 SVORI/non-SVORI respondents in fourteen states (16 SVORI programs). Follow-up interviews at 3 and 9 months post release have also been completed. The final wave of follow-up interviews is being conducted 15 months post release and will be completed in April/May 2007.
- **Administrative data from state agencies** will be used to supplement the offender interview data.
 - Data are needed from all states originally selected as adult impact sites (IN, IA, KS, ME, MD, MO, NV, OH, OK, PA, SC, VA, and WA) from the following agencies:
 - adult correctional agencies (DOC)
 - probation and parole agencies (P/P) [if separate from DOC]
 - state-level agencies who manage arrest data (Arrest Data Agency)
 - Data are needed from all states originally selected as juvenile impact sites (CO, FL, KS, ME, and SC) from the following agencies:
 - juvenile justice agencies (DJJ)
 - adult correctional agencies (DOC)
 - probation and parole agencies (P/P) [if separate from DJJ/DOC]
 - state-level agencies who manage arrest data (Arrest Data Agency)
 - In four sites (IA, MD, PA, and SC), we also plan to be seek employment-related data from the state Employment Security Commission (ESC). (This is a special data collection undertaking and is not addressed further in this document.)

Figure 2 shows the SVORI administrative data sources (other than ESC), the relationship between these sources and the schedule for data collection. Importantly, the figure illustrates the need to have appropriate **identification numbers** in order to link the various data files at the individual subject level. ***The individual-level data from the agencies will be merged with the individual interview data. Because we will merge data from various sources, all data must have identifiers that will allow us to link subjects across different data sources.***²

² All aspects of this evaluation, including obtaining and managing administrative data, have been and continue to be thoroughly reviewed by an RTI Institutional Review Board (IRB). We will be happy to provide detailed information on our protocols and any other information pertinent to the security of these data.

Figure 2 SVORI data collection.



The DOC and DJJ agencies will be asked for data in February 2007. These data should provide information through December 31, 2006 (or the date of file creation) These data will be used for our initial outcome analyses, and importantly will be the main source for offender identifiers that we will subsequently supply to other agencies.³ We will make a second request for data in early 2008; this second data set should include information for calendar year 2007.

We are asking for recidivism and updated demographic information data twice in order to accomplish the following:

1. Provide short-term impact findings: Data through the end of December 2006 will provide us with at least 12 months of follow-up data on all subjects and will facilitate interim reporting.

³ The issue of cross-linking identifiers may be more difficult for juvenile agencies and subjects and will be addressed individually with each site.

2. Provide long-term impact findings: Data through the end of December 2007 will provide us with at least 24 months of follow-up data on all subjects and will be used for the final report.

The administrative data collection involves two components, each of which are addressed below:

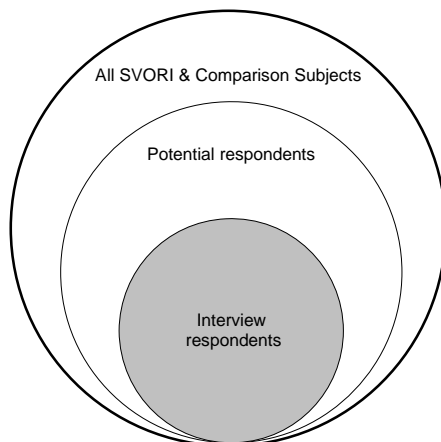
1. For whom will we request administrative data?
2. Which data elements (variables) and When (schedule) will we request data?

For whom will we request administrative data?

Figure 3 provides a diagram illustrating the three potential groups of subjects for whom a corrections or juvenile justice agency could provide administrative data. The core subjects of interest to the impact evaluation are those who participated in offender interviews, i.e., the **interview respondents**. However, we are requesting data on one of the following two groups:

- (1) all individuals enrolled in the SVORI program between the start of the program and December 31, 2005 *and* all individuals comparable to those individuals who were released in 2004 and 2005 (but did not participate in SVORI)⁴ **OR**
- (2) all individuals on the lists of eligible respondents⁵ provided by the agency during the baseline enrollment period for the offender interviews (7/04-11/05).

Figure 3. Potential groups for administrative data.



By having administrative data on either (1) **all SVORI participants** (enrolled through 12/31/2005) *and* **all comparison subjects** released between 1/1/2004 and 12/31/2005 or (2) **all eligible respondents** submitted to the evaluation, we will have larger site-level samples than are available through our interview respondent samples.

These expanded samples will provide greater statistical power to detect treatment effects. Specifically, these “admin-only” analyses will be based on substantially larger samples than “interview-only” analyses, providing greater statistical power to assess treatment effects (albeit with fewer measures). As the numbers of subjects interviewed very greatly over the 16 programs included in the impact

evaluation, the need to obtain data on additional subjects is especially critical in some sites and for some demographic groups, such as women. To the extent that sites are interested in site-level analyses, it is important that they provide us with administrative data on larger samples.

⁴ Although some impact sites released SVORI participants in 2003, most released few participants prior to 2004. For simplicity, we are seeking comparison subjects who were released only in 2004 or 2005.

⁵ For confidentiality reasons, it is important that we obtain data on the full list of potential respondents so that we do not reveal to agencies which individuals did and did not choose to participate in the interviews. This “masking” affords an additional protection of the confidentiality that was promised to those who consented to interviews.

In addition, these larger samples will be useful as we examine selection issues: How comparable are the subjects we interviewed to those eligible for interviews? How comparable are the subjects we interviewed and the subjects eligible for interviews to all SVORI participants and 2004-2005 comparisons? Answering these questions will improve our ability to generalize our findings beyond our interview samples.

In summary, therefore, we would like the **sites to provide administrative data on one of the following groups** listed in Table 1. The groups are listed in order of our preference (reflecting our ability to conduct the most thorough examination of impact).

Table 1. Subjects for whom administrative data are requested (listed in order of preference).

SVORI	COMPARISON
1. All program participants from local SVORI program initiation through 12/31/2005	1. All 'comparison' individuals released between 1/1/2004 and 12/31/2005. This group would include both: <ol style="list-style-type: none"> a. Those submitted to the evaluation as eligible respondents and b. Any other individuals who met SVORI eligibility criteria but who did not participate in SVORI (excluding those who refused to participate in the SVORI program if known)
OR 2. All SVORI participants submitted to the evaluation as eligible respondents.	OR 2. All comparison subjects submitted to the evaluation as eligible respondents.

Please Note: If your agency routinely produces annual release cohort research data files, it may be easier for you to provide us with these files (since in so doing, you will not have to produce a “special” dataset for the SVORI evaluation). If you wish to provide annual release files for the years of interest—e.g., all releases during calendar year 2004 and 2005—we will accept these files instead of a “special” SVORI file as long as the files contain necessary identifiers (including name, gender, DOB, and any agency and state identifiers [e.g., DOC# or DJJ#]) so that we can link the administrative data to our interview data as well as to the administrative data we receive from other agencies (arrest and employment security commissions).

Which data elements will we request and when will we request them?

The analysis plan for the evaluation is based on estimating models of outcomes that include independent variables (either control or explanatory variables) as measures of factors theoretically linked to the outcome of interest. Thus, for example, our models of criminal recidivism will include measures of criminal history as well as demographic variables plus measures of treatment needs and service receipt. In particular, it will be important—to the extent that data are available—to have the following:

- Pre-release measures of the outcomes of interest (e.g., previous criminal history for recidivism models; employment quality (stability, etc.) for employment models)
- Demographic characteristics
- Measures that describe risk factors or treatment needs related to each outcome
- Measures of program and service delivery
- Measures of outcomes.

We will work with each DOC or DJJ agency to determine the most efficient way to extract records for the appropriate individuals, depending on which of the two options in Table 1 is approved. This may involve working with existing annual release files (as mentioned above), providing the agency with a file (in whatever format would be best) that contains identifiers⁶ (e.g., DOC numbers, DOB), or developing a set of filters to limit the records to those offenders who meet SVORI criteria.

Table 2 provides information on the types of data and relevant time periods we would like to obtain by year of request. We are aware that the availability and quality of data will vary by state. In some cases, the information may only be available and/or retrievable manually, which we will need to note.⁷

Information is needed for both the “instant incarceration” (the admission related to the sentence being served at inclusion in study) and any returns to incarceration (reincarcerations)⁸. The data on the instant incarceration will be used to construct independent variables for the outcome models. The reincarceration data will be used to construct dependent variables for the outcome models.

Community supervision (probation/parole) data will also be needed to develop measures of post-release service/program receipt and performance on the supervision following the instant incarceration. In particular, measures of technical violations, revocations, positive drug tests, and other indicators of supervision compliance (payment of fees for example) will be used to develop outcome indicators (dependent variables). Information on program participation (e.g., participation in substance abuse treatment) will be used to construct independent variables.

Our initial data request to correctional and juvenile justice agencies will be made in early 2007 for the time period through December 31, 2006. A second request will be made in early 2008 for data through December 31, 2007.

Finally, as noted earlier, we are willing to accept 2004 and 2005 release cohort data files if these are easier for the agency to produce.

⁶ These identifiers would be provided for respondents (which includes SVORI and comparison offenders) provided to us during the baseline enrollment period (July 2004 through December 2005), as well as an expanded list of SVORI participants enrolled outside of our baseline sampling period that was provided to us by SVORI program directors in early 2006. We do not have identifiers for potential comparison offenders other than those provided during the baseline sampling period and would therefore need the agency’s assistance to identify potential comparison offenders from the remaining months in the two-year range.

⁷ If automated data are not available, the researchers may decide to manually code some data in certain sites, depending on the type of data needed by the research team.

⁸ In addition to returns to DOC, we will also be making a separate request to the appropriate state agency for information regarding subsequent arrests and convictions.

Table 2. Data constructs for Correctional Agencies (O=Obtain; U=Update)

Note on 2008 update requests: If it is easier for an agency to provide complete information in 2008 (rather than updating information), we will accept a full “data dump.”

Constructs	2007	2008
<i>Instant Incarceration (incarceration that led to inclusion in study) data</i>		
SVORI flag	O	
Identifiers (specific to the person, admission, sentence, or charge); any available statewide ID numbers used across agencies within the state would be particularly helpful	O	U
Demographic information: age (DOB), gender, race, ethnicity, education	O	U
Employment at time of admission (employed, wages, other indicators as available)	O	
Family status at time of admission including marital status, number of children	O	
County (and/or city) of residence at time of admission	O	
County (and/or city, circuit, or judicial district) of conviction	O	
Criminal history: <i>number</i> of prior convictions, commitments, or community supervisions; <i>type</i> of prior convictions, commitments, or community supervisions	O	
Instant offense(s) [i.e., offense(s) for incarceration that led to inclusion in the dataset]: number and types of charges, sentence length(s), date of admission	O	
Assessments during incarceration (risk, needs, substance use, other) information (scores and dates)	O	
Infractions (if available)	O	
Visitation records (if available)	O	
Programs, services, and treatment participation information (if available), including types of programs, length of participation (dates)	O	U
Release information: date of facility release, sentence end date (if different from date of release), parole/community supervision flag (type of release)	O	U*
Enrollment criteria: fields needed to identify comparison offenders that are not otherwise included in the request	O	
<i>Instant Community Supervision (community supervision immediately following prison sentence that led to inclusion in study) data</i>		
Contact information (e.g., current address if available—to help us locate interview participants for follow-up interviews)	O	
Type of supervision (e.g., probation, parole, or any state-specific labels)	O	U
Offense(s) that led to the supervision term: number and type of offenses, length of supervision term, date supervision began	O	U

Constructs	2007	2008
<i>Instant Community Supervision (community supervision immediately following prison sentence that led to inclusion in study) data (cont.)</i>		
Initial county of supervision (if available)	O	U
Supervision level (initial and final; all changes if available)	O	U
Initial conditions of supervision (any offender-specific conditions in addition to standard conditions, if available)	O	U
Compliance with conditions (payment of fines, fees and restitution)	O	U
Violations and infractions (number, date, type, disposition)	O	U
Supervision contacts (type and number of each; dates and length of contacts if available)	O	U
Programs, services, treatment (begin and end dates, completion status, if available)	O	U
UA results (type tests, drugs positive, dates if available)	O	U
Employment (months employed, type of employment, etc. if available)	O	U
Date supervision ended (projected or actual termination dates)	O	U
Termination code [if applicable—some cases will not yet have terminated] (e.g., successful, unsuccessful, any available detail on reason for termination)	O	U
<i>Recidivism data</i>		
Reincarcerations		
Reincarceration offense(s): number and type of charges, sentence length(s), date of admission	O	U
Release information: date of facility release(projected if still incarcerated), sentence end date (if different from date of release), parole/community supervision flag (type of release) If revocation , type and date	O	U
New community supervisions		
Type of supervision (e.g., probation, parole, or any state-specific labels)	O	U
Initial county of supervision	O	U
Offense(s) that led to the supervision term: number and type of offenses, length of supervision term, date supervision began	O	U
Termination code (e.g., successful, unsuccessful, any available detail on reason for termination)	O	U

*Release information for the instant incarceration will be needed in 2007 and 2008 because not all individuals in either the interview sample or the potential-interview sample had been released when we concluded baseline interviews in November 2005.

Data Transfer

RTI and UI evaluation staff will work with the relevant agencies on the format and transmission of the data. The data must be transferred to RTI in a secure manner and options have been developed to submit the files securely using either the evaluation website or via FedEx. Evaluation staff working with the agencies will ask that two sets of electronic data files be generated as an additional measure to protect this potentially sensitive information:

1. one data file should contain only the identifiers and a special unique ID# (e.g., an auto or sequential number) generated for the purpose of transfer of these data;
2. the other data file should contain only the requested data elements and the special unique ID#.

For either transfer method (website or FedEx), the two files should be sent in two separate transmissions. If the agency chooses to upload data using the evaluation website, a short period of time should be allowed to elapse between transferring the two files. If FedEx is used, the files containing the data should be sent one day and the file containing the ID#s should be sent the next day. These measures are important to assuring the security of the data and the confidentiality of the individuals whose data we are obtaining.

Summary

In summary, the purpose of the administrative data collection is to obtain data that will allow us to construct measures for the models that will be used to assess the impact of SVORI in the sixteen impact sites.

The schedule for data collection is as follows:

- Early 2007: Initial data run to obtain all requested information on identifiers, criminal history, instant incarcerations and community supervisions through December 31, 2006; recidivism data will also be obtained for those returned to prison or starting new community supervision sentences by 12/31/2006.
- Early 2008: Updates to obtain additional release, programming (if available), and recidivism information through December 2007.

SVORI Multi-site Evaluation Administrative Data Collection Protocol

Part 2: Internal Guide for RTI and UI Staff

This internal document was developed for RTI and Urban staff members who are requesting administrative data from state and local agencies for the SVORI Multi-site evaluation. This document describes the process and schedule for requesting data and outlines the information we need to collect from each agency as negotiations proceed.

Purpose: We will use administrative data from Departments of Corrections or Juvenile Justice [DOC/DJJ], Probation and Parole/Community Corrections Agencies [P/P], agencies that manage state arrest data [Arrest Data Agency or ADA] and Employment Security Commissions [ESC] to supplement the offender interview data being collected in the multi-site evaluation impact sites (as well as data for Maine juveniles and Virginia adult SVORI programs). This data collection will:

1. Provide additional information, including recidivism information, on survey respondents and
2. Expand, where feasible, the sample of SVORI participants and non-participants by including all SVORI participants and additional comparison subjects.

In addition, we will use the administrative data to examine issues related to selection bias (i.e., to determine whether our interview respondents are representative of the sampling frame from which they were drawn and whether the sampling frame is representative of the entire population of SVORI participants and comparable, non-SVORI participants).

This document accompanies “Part 1” of the protocol. The companion document, which is intended to be shared with local site staff, provides information on the SVORI multi-site evaluation, describes the types of administrative data needed, identifies the target population for which data are needed, and includes a less-detailed schedule for obtaining data. We have created different versions of this companion document for each type of agency (DOC/DJJ, P/P, and Arrest) in order to reduce confusion of those receiving the documents (e.g., the P/P version doesn’t go into nearly as much detail about the various pools of offenders we are requesting data for or make such a strong pitch for getting identified data).

For whom will we request administrative data?

The core subjects of interest to the impact evaluation are those who participated in offender interviews, i.e. the ***interview respondents***. However, we are requesting data on one of the following two groups:

- (1) all individuals enrolled in the SVORI program between the start of the program and December 31, 2005 *and* all individuals comparable to those individuals who were released in 2004 and 2005 (but did not participate in SVORI)¹ **OR**
- (2) all individuals on the lists of eligible respondents provided by the agency during the baseline enrollment period for the offender interviews (7/04-11/05).

PLEASE NOTE: We are also willing to accept a cohort release file (data on all offenders released during a calendar year) if that is easier for the site and specific agencies involved. If the agency prefers to provide cohort release files, we will need data that include releases during Calendar Years 2004 and 2005. There is also a small set of sites where the DOC may limit the

¹ Although some impact sites released SVORI participants in 2003, most released few participants prior to 2004. For simplicity, we are seeking comparison subjects who were released only in 2004 or 2005.

data they provide only to those offenders who agreed to release administrative data on their consent forms.

Table 1 shows the options for the samples for which we wish to obtain administrative data. The specific sample on which we request data will depend upon which is easiest for a specific site. The groups are listed in order of our preference (reflecting our ability to conduct the most thorough examination of impact).

PLEASE NOTE: “Part 1” of the protocol that we are sharing with sites emphasizes Options 1 and 2 (and mentions the possibility of 3—providing cohort release files); option 4 is listed only in this internal document as it is not relevant in most sites and would be potentially confusing.

Table 1. Subjects for whom administrative data are requested (listed in order of preference).

OPTION	SVORI	COMPARISON
Option 1	All program participants from local SVORI program initiation through 12/31/2005	All ‘comparison’ individuals released between 1/1/2004 and 12/31/2005. This group would include both: <ol style="list-style-type: none"> 1. Those submitted to the evaluation as eligible respondents and 2. Any other individuals who met SVORI eligibility criteria but who did not participate in SVORI (excluding those who refused to participate in the SVORI program if known)
OR Option 2	OR All SVORI participants submitted to the evaluation as eligible respondents.	OR All comparison subjects submitted to the evaluation as eligible respondents.
OR Option 3	Option 3. All offenders released in Calendar Years 2004 or 2005.	
OR Option 4	OR All SVORI participants who completed baseline interviews and signed administrative data release consent forms.	OR All comparison subjects who completed baseline interviews and signed administrative data release consent forms.

For DOC/DJJ agencies

For Option 1 (all SVORI enrollees, plus comparison subjects released in 2004 and 2005), we will provide to the agency:

1. a list of DOC/DJJ numbers (and any other identifiers the agency might need to uniquely and correctly identify records) for all offenders enrolled as SVORI participants based on enrollment lists we obtained from each SVORI program;
2. a list of DOC/DJJ numbers (and any other necessary identifiers) for all comparison subjects submitted to us as eligible respondents on the monthly release lists.

PLEASE NOTE: The second list will not include the full set of comparison offenders released since the beginning of 2004 because our list of eligible respondents only includes offenders released between July 2004 and December 2005. Therefore, we need to work with the DOC (or DJJ for juvenile sites) staff person fulfilling our administrative data request to develop and apply a set of filters that approximates the original process used to identify the eligible comparison

offenders on the monthly lists. The process the site (MIS person and/or PD) used to identify appropriate comparison subject was documented earlier by site liaisons at RTI or UI. We will need to work with the administrative data MIS person to ensure that similar filters are developed for the expanded comparison set.

For Option 2, we will provide the agency with a list of DOC/DJJ numbers (and any other identifiers the agency might need to uniquely and correctly identify records) for all offenders contained on our “master list” of SVORI and comparison offenders submitted to us as eligible respondents on monthly release lists.²

For Option 3, which represents full release cohorts, we will not need to provide identifiers to the agency.

For Option 4, we will provide the agency with a list of DOC/DJJ numbers (and any other identifiers the agency might need to uniquely and correctly identify records) for SVORI and comparison subjects for whom we have consent forms.

For other agencies

Once we have worked with the DOC/DJJ to identify the full set of offenders for whom we will receive administrative data, we need to get as many identifiers as possible from DOC/DJJ so that we can provide a list of appropriate identifiers to the probation/parole and arrest data agencies, as well as the adult DOC for juvenile sites (see Table 2 below).

Note on our enrollment lists: We have requested (or compiled based on rolling enrollment information we have been receiving from sites) enrollment lists that are supposed to contain a complete list of every offender who has ever been enrolled in SVORI for each site. We requested identifiers (in addition to other information) for these lists to enable us to merge the information with our offender data, and we are also hoping to use these numbers to identify offenders for administrative data requests, as described above. Table 2 shows the types of identifiers contained in each enrollment list.

Table 2. Enrollment list identifiers

Site	Last Name	First Name	Middle Name	DOC/DJJ#	DOB	SSN	Other	specify
Adults:								
IA	X	X	X	X	X	X		
IN	X	X		X	X	X		
KS	X	X	some	X	X	X		
MD	X	X			X	X		
ME	X	X		X				
MO	X	X	some initials	X				
NV	X	X		X	X	X	X	SID
OH	X	X		X	X	X		
OK	X	X		X	X	X		
SC	X	X	some	X	X	X	X	SID, Loc Code (?)
WA	X*	X		X	X			

² For confidentiality reasons, it is important that we obtain data on the full list of potential respondents so that we do not reveal to the agencies who did and did not choose to participate in the interviews (unless, as noted in option 4, an agency agrees to provide data only on consented individuals). This “masking” affords an additional protection of the confidentiality that was promised to those who consented to interviews.

Table 2. Enrollment list identifiers

Site	Last Name	First Name	Middle Name	DOC/DJJ#	DOB	SSN	Other	specify
Juveniles:								
CO	X	X						
FL	X	X		X	X			
KS	X	X	some	X	X	X		
SC	X	X	some	X	X			

*some names missing

Administrative Data Sources

We are seeking administrative data in all impact sites from adult correctional agencies (DOC), probation and parole agencies (P/P), and state-level agencies who manage arrest data (Arrest Data Agency). In the juvenile impact sites, we are also seeking administrative data from the juvenile justice agency (DJJ). In four sites (IA, MD, PA, and SC), we also hope to be able to obtain employment-related data from the state Employment Security Commission (ESC). Figure 2 in the Part 1 document for DOC/DJJ agencies shows the SVORI data sources (other than those from ESC), the relationship between these sources and the schedule for data collection.

Importantly, the figure illustrates for the agencies the need to have appropriate **IDs** in order to link the various data together at the individual subject level. The goal is to obtain individual-level data from appropriate agencies that will be merged with the individual interview data. Because we will merge data from various sources, all data will have to have identifiers that will allow us to link subjects across different data sources. **Also, with all files, we need to be certain they communicate to us the date of extraction.**

Table 3 summarizes the approach to data collection, identifying the five agency types from which data will be sought and the programs for which data will be required. The DOC/DJJ data provide the base for the administrative data collection by (1) identifying all of the individuals who will be included in the analyses, and (2) providing administrative data on the instant incarceration that led to inclusion in the sample. In addition, these data will be used to provide reincarceration information. Thus, data from these agencies will need to be collected first; but will also be needed later to track recidivism. (Per NIJ's request, we plan to follow all subjects for at least 24 months following release, which means that we will need recidivism data from these agencies through December 2007.)

Negotiations with DOC and DJJ agencies began in spring 2006 and are ongoing. **We need to obtain DOC/DJJ data first.** The first data file to be received should contain data through 12/31/2006. We anticipate that most agencies will be able to generate this data no later than February of 2007, although this will need to be confirmed with each site. We would like to finalize the list of data elements and file format with DOC/DJJ agencies by the end of 2006 so that we are prepared to make the formal request in early 2007. We anticipate providing identifiers to P/P and ADA agencies with a formal request for data through December 2006 (or to date) in May or June of 2007 and would like to obtain data from them no later than August 2007.

Note that the list of data elements in the "Part 1" document for agencies has been updated, so you should compare any list you reviewed with agencies earlier in 2006 with the current list to see if there any new elements we need to pursue.

Table 3. Data sources

Agency	Domains and Time Frames (see Part 1 companion document for more detail)	When to Request
Department of Correction (DOC)	<p><u>Data through December 2006</u></p> <ul style="list-style-type: none"> • Demographic data • Criminal history (including information on current and prior convictions and incarcerations) • Institutional data on instant incarceration (e.g., programs, assessments, treatment, infractions) • Family visitation and contact information (if available) • Identifiers for use in obtaining data from Probation/Parole and Arrest Data Agency • Reincarceration (revocation or new offense—including offense, sentence, length of stay) 	February 2007
	<p><u>Data through December 2007</u></p> <p>Reincarceration—including offense, sentence, length of stay, infractions), updated release and programming information</p>	February 2008
Department of Juvenile Justice (DJJ) [<i>juvenile impact programs only</i>]	<p><u>Data through December 2006</u></p> <ul style="list-style-type: none"> • Demographic data • Criminal history (including information on instant incarceration) • Institutional data (e.g., programs, assessments, treatment, infractions) • Family visitation and contact information (if available) • Identifiers for use in obtaining data from DOC, Probation/Parole and Arrest Data Agency • Reincarceration (revocation or new offense—including offense, sentence, length of stay) 	February 2007
	<p><u>Data through December 2007</u></p> <ul style="list-style-type: none"> • Reincarceration—including offense, sentence, length of stay), updated release and programming information 	February 2008
Probation/parole [i.e., community supervision] departments (P/P)	<p><u>Data through December 2006</u></p> <ul style="list-style-type: none"> • Criminal history • Performance on instant supervision • Recidivism (including offense, sentence, and termination information) 	June 2007
	<p><u>Update through December 2007</u></p> <ul style="list-style-type: none"> • Performance on instant supervision • Recidivism (including offense, sentence, and termination information) 	June 2008
Agency that maintains statewide arrest records (Arrest Data Agency—ADA)	<p><u>Data through date of data extract</u></p> <ul style="list-style-type: none"> • Criminal history (e.g., prior arrests) • Recidivism 	June 2007
	<p><u>Update through date of data extract</u></p> <ul style="list-style-type: none"> • Recidivism 	June 2008
Employment Security Commission (ESC) [<i>Adult programs in IA, MD, PA and SC</i>]	<p><u>Data through 2007</u></p> <ul style="list-style-type: none"> • Post-release employment and wages 	June 2008

Departments of Correction/Juvenile Justice

- These are the agencies from whom we obtained our lists of potential respondents. We have research agreements and/or MOAs with these organizations. However, not all of these agreements negotiated in 2004 include agreements for administrative data so an additional agreement may be needed for some sites.
- Data from these agencies will provide data for our impact analyses, but also are needed to obtain identifiers that will be used to request (and match) data from other agencies. Specifically, we will need the appropriate identifier(s) to request probation/parole data and arrest data. Also, for our juvenile subjects, we will need identifiers/identifying information in order to request DOC data. When discussing available identifiers with the agency, it may be helpful to ask what identifiers are used by the state agencies themselves when merging data across agencies.
 - Necessary identifiers include full name, DOB, DOC/DJJ#, state identification number (if available in the state), and, if the state does not use a state identification number, SSN. If it is possible to avoid obtaining SSN's yet still enable the probation/parole agency and arrest agencies to obtain a match on our respondent, we should make every attempt to do so. The cases in which this should be possible are states that use a statewide identification number to link data for individuals across all state agencies.
 - Please see notes in the *Data Transmission* section (page 9) about special procedures that are necessary if a transmission contains SSN.
- Care needs to be taken in obtaining records to be sure that the correct identifier is used. For example, some states assign different 'admit-IDs' for each separate admission that an individual offender may have. That means that a single offender may have multiple different 'DOC IDs.' However, in order to obtain criminal history and subsequent offending beyond readmission to the DOC, we need a single unique 'person-ID.' Thus, we will need *both* the identifier associated with the incarceration of interest *and* the unique person identifier (if the state assigns one) or some other unique person identifying information (e.g. DOB) to locate all records for the individual subjects. Please see notes in the *Data Transmission* section (page 9) about special procedures that may be necessary if a transmission contains SSN.
- The issue of identifiers is particularly difficult for juvenile cases. Many states do NOT assign a unique subject identifier or even create a fingerprint record for a juvenile upon arrest. Thus, we need to work very closely with the juvenile justice agencies to obtain sufficient identifying information to be able to obtain the criminal record and subsequent adult DOC data we need for these juvenile subjects. The challenges in obtaining administrative data for our juvenile subjects include (1) assuring that we obtain records for each juvenile admission for each of our juvenile subjects; (2) obtaining identifiers to be able to track the juvenile into the adult system (DOC, P/P); and (3) obtaining sufficient information to be able to obtain adult arrest records.
- When reviewing the list of data elements with DOC/DJJ agencies, please be sure to note any elements we need that are not available electronically but could be obtained by extracting information from hard-copy files. Although we are likely to pursue this only in economic impact sites (IA, MD, PA, and SC) and possibly juvenile sites (CO, FL, KS, and SC) and only for certain types of elements (likely programs and services data), please document what is available on paper in all sites. In order to be useful to us, these data need to be (1) available for both SVORI and comparison offenders, and (2) available systematically in a consistent location.

Probation/Parole Agencies

- In many cases, **Probation and Parole** agencies (P/P) are NOT part of the Department of Correction. (Note that Probation and Parole may also be two separate agencies or in some cases may be county based). Study participants may be released to parole and/or to probation supervision—depending upon the state’s sentencing structure and the offender’s sentence.
- We need state-level information from P/P for the following purposes:
 - Information on performance on supervision following release for the instant sentence, including revocation/new offending information (recidivism indicators).
 - Information on criminal history (i.e. probation sentences and parole supervision prior to the instant sentence).
 - Information on future offending that is separate from the instant sentence (e.g., individual successfully completed parole but is subsequently arrested and sentenced to probation).
- We will use identifiers obtained from the DOC and DJJ to generate lists of individuals for whom we need data. Thus, our request for P/P data follows that for DOC/DJJ data. We will begin working with P/P agencies in 2007 as soon as we have received DOC/DJJ data and know the identifiers we will have for each site. Agencies’ abilities to compile calendar year data for our requests will vary, but we hope to have 2006 calendar year data for all sites by August of 2007. We would like to obtain P/P data for all individuals included in the dataset provided to us by the DOC or DJJ agency.
- If probation and parole *is* part of the DOC/DJJ, it may be fairly easy for the agency to include probation/parole (community supervision) data at the same time they send us data on incarcerations. If this is the case, please explore the degree to which the DOC/DJJ is willing and easily able to provide P/P data along with the data request made in early 2007.
- In juvenile sites, we will need information on our juvenile subjects from both the juvenile parole agency and from the adult P/P agency.
- Initial data request for 2006 data: This request should be for data that includes all historical information for each individual (i.e., every probation or parole term up through 12/31/2006).
- Second data request for 2007 data: The agencies can provide either (1) an update that includes information for each individual for the year 1/1/2007 through 12/31/2007; or (2) a complete “dump” of records for the individual that would include both the data we obtained in 2007 and the new data obtained in 2008.

Arrest Data Agencies

- We would like to obtain from each **State Arrest Data Agency** arrest information (arrest date, offense date, charge(s), and, if available, conviction and sentence information) for all individuals included in the dataset provided to us by the DOC or DJJ agency.
- We will need identifiers from DOC (& DJJ) to provide to the agency for matching purposes. It would be helpful to find out from the arrest agency what information we will need to provide to them in order to request data so that we can be sure to obtain it from the DOC (or DJJ). (Note that DOC/DJJ personnel may know which identifiers are needed to obtain arrest data.)
- We will need to negotiate data agreements with the agency in each state that maintains the state’s arrest records.

- We plan to request these data in early 2007 and early 2008. Each request will be for complete data (i.e., the full set of available arrest data through to the date of the data extract) because in some sites arrest data entry may be backlogged.

Employment Security Commissions

- We plan to obtain **Employment Security Commission** data in selected sites (IA, MD, PA, and SC—a subset of the Cost-Benefit sites).
- We will be able to obtain these data only for adults who signed administrative data consent forms.
- We will request these data only once—in early 2008—for all activity through December 2007.
- Because we are collecting ESC data in so few states, members of the management team will carry out the requests to these agencies.

Data Constructs and Elements

In the companion (“Part 1”) document to be distributed to DOC/DJJ agencies, the section titled “***Which data elements will we request and when will we request them?***” outlines the rationale for obtaining various types of administrative data elements and describes the overall constructs for which we are seeking data. If the agency you are working with has multiple data items related to a construct (for example, multiple indicators of ‘sentence length’), it is better to get all of them. If you have not already done so, we strongly encourage each site lead and liaison to schedule a conference call with the site’s MIS/research staff to review our request and the data they collect in order develop a plan for specifying the sampling frame and the specific data items to be received.

RTI project staff are working on a “meta-data” database where we will be able to store *information about* the data (we will develop a separate database to store the actual data). Therefore, it is very important that you request as much documentation as possible about the individual data items we will be receiving. We need to know how each data item relates to our various data constructs, what each item measures, format information, labels for values, data quality limitations, relationships to other items, etc. We will also use the database to begin developing common cross-site measures. When asking for documentation, although we would prefer not to receive the entire data manual for their MIS system if it is possible for them to provide documentation specific to the individual items we receive, please assure the site that they should provide whatever is easiest for them.

Data Transmission

Detailed instructions for transmitting data to agencies and receiving data from agencies are contained in a separate document: “Admin data protocol Part 3_Data Transmission.doc”. Mark Pope will coordinate the production and transmittal of these files.

Detailed Timeline

Table 4 on the following page outlines the timeline and process for requesting administrative data from the data sources described above.

Table 4. Timeline and tasks

When, Which , Who	What
<ul style="list-style-type: none"> – December 2005 – DOC or DJJ – Site liaisons 	<p>Work with site staff to identify who to contact and whether a research agreement or MOU will be needed. In many cases, the request for administrative data was included in the research agreement with DOC and DJJ.</p> <p><u>Site liaisons</u> confirm those agencies for which MOUs are complete and identify other agencies for which we will need to execute MOUs (or research agreements) to acquire data.</p>
<ul style="list-style-type: none"> – January 2006 – DOC or DJJ – Mgmt staff 	<p>Letter sent to the identified contacts, explaining the project and requesting a telephone meeting between the contact and Senior Staff to discuss the project’s data needs.</p>
<ul style="list-style-type: none"> – Feb 2006–Jan 2007 – DOC or DJJ – Site leads & liaisons 	<p><u>Administrative site leads</u> conduct telephone call with agency contacts. This call should conclude with an understanding of:</p> <ul style="list-style-type: none"> (1) whether a formal request should be submitted (e.g., letter, MOU, research application); (2) any data elements that are not available or are available only through manual extraction of paper records; (3) the cohorts for which the data will be obtained (see Table 1); (4) the time ranges of releases for whom data can be obtained; (5) if a full release cohort is NOT being provided: the identifiers required to access their data (e.g., specific admission identifiers versus unique person identifiers) including the format in which the identifying data should be sent to the agencies (e.g. ASCII, excel, SAS; CD or disk); (6) whether the agency can provide a sample “mini-dump”; and (7) the site-specific timeline for requesting and receiving the full administrative dataset. <p><u>Site liaisons</u> prepare any MOUs or research agreements that will be needed for these data requests.</p>
<ul style="list-style-type: none"> – February 2007 – DOC or DJJ – Site liaisons 	<p><u>Site liaisons</u> submit initial request for data (through December 31, 2006) to sites. The exact date to be determined in negotiations with sites</p>
<ul style="list-style-type: none"> – Feb-March 2007 – DOC or DJJ – DOC/DJJ staff 	<p><u>Agencies</u> send initial administrative data.</p>
<ul style="list-style-type: none"> – Jan- April 2007 – P/P (if separate from DOC/DJJ), DOC (in juvenile sites), & ADA – Site liaisons 	<p>If probation/parole data are not obtained as part of DOC or DJJ request:</p> <ul style="list-style-type: none"> • Work with community corrections agency staff to identify who to contact and whether a research agreement or MOU will be needed. As we have not had contact with separate P/P, we will need agreements with these agencies unless DOCs are willing to obtain data on our behalf. <p><u>Site liaisons</u> work with site staff to identify who to contact for obtaining (1) community supervision data (if not obtained through DOC/DJJ request), (2) adult incarceration data (for juvenile sites), and/or (3) state arrest records.</p>

Table 4. Timeline and tasks

When, Which , Who	What
<ul style="list-style-type: none"> – January-May 2007 – P/P (if separate from DOC/DJJ), DOC (in juvenile sites), & ADA – Site leads & liaisons 	<p><u>Administrative site leads</u> conduct telephone call with agency contacts. This call should conclude with an understanding of:</p> <ul style="list-style-type: none"> (1) what type of formal request should be submitted (e.g., letter, MOU, research application; (2) any data elements that are not available or are available only through manual extraction of paper records; (3) the cohorts for which the data will be obtained (see Table 1); (4) the time ranges of releases for whom data can be obtained; (5) the identifiers required to access their data (e.g., state identification number, FBI number) including the format in which the identifying data should be sent to the agencies (e.g. ASCII, excel, SAS; CD or disk); (6) whether the agency can provide a sample “mini-dump”; (7) the site-specific timeline is for requesting and receiving the full administrative dataset. <p><u>Site liaisons</u> work with site staff to identify request protocols and prepare MOUs or research agreements to obtain access to the data.</p>
<ul style="list-style-type: none"> – June 2007 – P/P (if separate from DOC/DJJ), DOC (in juvenile sites), and ADA – Site liaisons 	<p><u>Site liaisons</u> submit requests for data (through December 31, 2006). This will be the initial request for P/P agencies not connected with DOC/DJJ, for DOC agencies in juvenile sites, and for arrest data agencies.</p>
<ul style="list-style-type: none"> – August 2007 – P/P (if separate from DOC/DJJ), DOC (in juvenile sites), and ADA – Agency staff 	<p><u>P/P and Law Enforcement Agencies</u> send administrative data. The timing of when agencies will be able to provide data through the end of the previous calendar year will vary. We would like to have agencies send data to us as soon as they can—by August at the latest.</p>
<ul style="list-style-type: none"> – January 2008 – DOC, DJJ, P/P, and ADA – Site liaisons 	<p><u>Site liaisons</u> submit requests for data (through December 31, 2007). This will be an update request for all agencies.</p>
<ul style="list-style-type: none"> – Feb-April 2008 – DOC, DJJ, P/P, and ADA – Agencies 	<p><u>Agencies</u> send administrative data.</p>

Talking Points

The following “talking points” may be helpful in creating an agenda for phone calls as we negotiate access to administrative data. We need to determine (and enter in the project database), for every agency providing administrative data to us, the following pieces of information:

- Type of offender for whom the agency is willing to provide data, i.e., which of the four options in Table 1:
 1. All program participants from local SVORI program initiation through 12/31/2005 AND all comparison individuals released between 1/1/2004 and 12/31/2005
 - this second group includes two subsets: (a) those submitted to us as eligible respondents PLUS (b) any other individuals who met SVORI eligibility criteria but who did not participate in SVORI (excluding those who refused to participate in the SVORI program if known). OR
 2. All SVORI participants and comparison subjects submitted to the evaluation as eligible respondents OR
 3. All offenders released in 2004 or 2005 OR
 4. All SVORI participants and comparison subjects who completed baseline interviews and signed administrative data release consent forms (do not offer this option unsolicited—it is not relevant in most sites and would be potentially confusing).
- If the site is providing data to us based on a list from us (i.e., not giving us the full release cohort) we need to find out the particular identifiers we need to send them so that we can uniquely identify the correct individuals, and the format for these identifiers (e.g., Excel, SPSS, SAS). If providing data for consented offenders only, what do we need to provide to them to “prove” consent? (Ask this last question ONLY if the agency is only willing to provide data for consented individuals.)
- Are there constraints on the time period for which they are willing to provide data? We would like to get a full criminal history (i.e., of all prison terms) in response to our initial request—can they give us all historical and current information (as of the date of the data extract)? If providing release cohorts, can they give us releases from 2004 and 2005 calendar years?
- As you walk through the list of data constructs and elements, are there constructs for which they have no available data? Note that if they have multiple fields for a specific construct, discuss with them how the various fields are defined and then get guidance about which ones are most appropriate. If there is no obvious choice, get all the possible fields.
- Are there fields that are likely to contain a lot of missing or poor-quality data?
- Are there any fields we need that are not available electronically but could be obtained by extracting information from hard-copy files? Note that we are likely to only pursue this in economic impact sites (IA, MD, PA, and SC) and possibly juvenile sites (CO, FL, KS, and SC) and only for certain types of elements (likely programs and services data), but please document what is available on paper in all sites. We can only use data that are (1) available for both SVORI and comparison offenders, and (2) available systematically in a consistent location.
- What identifiers are stored in their dataset (e.g., DOCNUM, state ID#, individual, case, or sentence identifiers) and how reliable/complete are they? We may need to combine the

data we receive from this agency with data from other agencies, and they may use different identifiers.

- What kind of documentation can they provide to help us understand the data fields they are providing to us? At a minimum, we need names for each field; labels for codes, descriptions of what's in the field, etc.
- What do we need to do as part of the formal request? Memo, MOU, research application? Who does the request go to? Any details on what we need to do or include should be entered in the database.
- When can we submit the formal request? Some sites might want us to wait until after a certain time.
- What format will the data be in (e.g., SAS, SPSS, Excel or Access database, text file)?
- What will the file structure of the data be? Will it be a flat file? What will be the unit of analysis (a person? an admission?) Or will it be a relational database (where there are separate 'files' for content areas such as demographics or charge information.) If it is relational, what will the keys to link across subfiles be?
- Will the site be able to create separate files—one containing only identifiers and a row ID# and the other(s) containing the data elements and the row ID# (but not the identifiers)?
- Will the site be able to Fed-ex the files to us in two separate shipments on two separate days? (We will pay for the shipping charges.)
- Once they receive our formal request, how long will it take at their end until we can we expect to get the full set of cases?

SVORI Multi-site Evaluation Administrative Data Collection Protocol

Part 3: Data Transfer Procedures

Transmissions received from agencies

RTI and UI evaluation staff will work with the relevant agencies on the format and transmission of the data. The data must be transferred to RTI in a secure manner, and Mark Pope will be coordinating all data transfer arrangements. Essentially, evaluation staff working with the agencies will ask the agencies to generate two sets of electronic data files:

1. One data file should contain only the identifiers (without SSN) and a special unique ID# (e.g., an auto or sequential number) generated by the agency for the purpose of transfer of these data;
2. The second data file should contain only the requested data elements and the special unique ID#.

If SSN must be obtained from the agency (see page 6 of the internal "Part 2" protocol), please consult with Mark Pope to work through additional steps required (likely the generation of a third file containing only the special ID# generated by the agency and the SSN).

The password-protected files can be transferred in one of two ways: via a secure website (preferred) or in separate Fed-Ex submissions.

Transmission via website

Data files will be transferred from the local SVORI sites to RTI using the following steps:

1. A page located on the SVORI public website (<http://www.svori-evaluation.org/admin>) will be used by the various state agencies to upload administrative data files. This page will also contain text fields where the site can enter its state, the organization that is providing the data, and a description of the file being uploaded. This site uses Secure Sockets Layer which means that the uploaded file and text information are encrypted during the transfer. This page will not be "advertised" on the SVORI public website and only those individuals who are providing data to us will be given the URL. The site will also be hidden from any web crawlers or bots that might try to index it.
2. Upon uploading, the file will be saved to a secure directory on the RTI webserver that is not accessible from the web except by using the upload function on the above mentioned page (i.e., anyone trying to type the directory structure directly into their browser cannot get to this directory).
3. After the file has been uploaded, the information entered into the text fields above and the file name are logged to a table in the SVORI database and a notification e-mail is sent to Mark Pope alerting him that a new file has been uploaded. He will then remove the uploaded file from the webserver and transfer it to the SVORI share drive on RTI's private network.

The files should be uploaded in two (or three, depending on whether SSN will be transmitted) separate transmissions. When the agency uploads files to the website, a short period of time should be allowed to elapse between transferring files containing data and files containing identifiers. After uploading one file, the webpage automatically reports that the file uploaded successfully and then gives the user the option of uploading another file.

Transmissions via FedEx

The password-protected files should be copied onto media such as a CD or flash drive (which will be provided by RTI on request) and sent to RTI via Fed-Ex (using pre-paid labels provided by RTI).

The files should be sent in two (or three, depending on whether SSN will be transmitted) separate transmissions. The files containing the data should be sent one day and the file containing the ID#s should be sent the next day (the file containing SSN should be sent on a third day).

Post-transmission Procedures

Once received by RTI, the data files will be merged. The identifiers will be retained only in the master files for the project. The analysis files used by project staff will not contain any identifying information; individual cases will be identified only by a study-assigned ID. The linked files will be destroyed at the end of the study, unless an IRB amendment is approved to extend the period of storage of these data.

Transmissions sent to agencies

If our request to an agency involves our staff submitting a list of identifiers to their staff, the transmission procedures differ depending on the content of the list and the preference of the agency. Mark Pope will coordinate the production and transmittal of these files that contain identifiers and will ensure RTI/UI staff have the software they need to properly encrypt files.

Files provided to the sites from RTI/UI will be encrypted prior to transfer using PGP to create a self-decrypting archive. A self-decrypting archive encrypts the file but allows it to be decrypted by someone who does not have PGP software on their machine, *provided that* the recipient has the passphrase that was used to create the self-decrypting archive. The encrypted file will be placed on the regular project FTP site developed for the project (used to transmit release lists and confirmation files), unless the agency specifically requests that the file (also encrypted) be submitted on CD/diskette (via FedEx). The passphrase will be given to the agency contact person via telephone to ensure security.