DISTRICT OF COLUMBIA
COURT SERVICES AND OFFENDER SUPERVISION AGENCY &
PRETRIAL SERVICES AGENCY
RESEARCH REVIEW COMMITTEE

MEMORANDUM

DATE: April 5, 2006

TO: Susan W. Shaffer

CC: Paul A. Quander, Jr.

FROM: Claire M. Johnson

RE: RRC Recommendations for Proposed Research

The Research Review Committee (RRC) has reviewed the proposal from Teresa Grant, a doctoral student at Howard University, to conduct a study that requires PSA data. The RRC recommends that PSA support the project. Support for this recommendation is provided in the Recommendation Statement which reflects the concurrence of all RRC members. The recommendation statement is attached.

If you have any questions or would like a copy of the complete review file, please feel free to contact me at 202-220-5553 or *claire.johnson@csosa.gov.*

Thank you.

Enclosure: Researcher request
RRC recommendation statement

DISTRICT OF COLUMBIA
COURT SERVICES AND OFFENDER SUPERVISION AGENCY &
PRETRIAL SERVICES AGENCY
RESEARCH REVIEW COMMITTEE

RECOMMENDATION STATEMENT

DATE: April 3, 2006

I. RESEARCH PROPOSAL SUMMARY

Principal Researcher: Teresa Grant, Doctoral Student at Howard University, Department of Counseling Psychology, Washington, D.C.

Title: The Relationship of Risk Factors to the Level of Criminal Offenses for Persons Diagnosed with a Psychiatric Disorder Involved in the Criminal Justice System

Institution: Howard University

Description: The purpose of this study is to explore risk factors that contribute to asult persons diagnosed with psychiatric disorders and their involvement in the criminal justice system. While previous studies have investigated one risk factor and its association with this population, this study will examine multiple risk facts including satasfication with mental health services, substance abuse patterns, housing status, social support systems, and life stressors.

This study applies only to PSA. The research requests that PSA provide drug test results for participants that voluntarily agree to participate in the study.

Type of Data and Analysis: The researcher will recruit subjects voluntarily from the DC Superior Court. Defendants that volunteer will be asked to sign Consent for Investigative Procedures and Release of Information (ROI) forms. The researcher will assign each participant a unique identifier to protect his/her identity and confidentiality. For each participant, the researcher will administer a Data Demographic Questionnaire to obtain self-reported demographic information, as well as the Client Satisfaction Questionnaire, Life Stressors and Social Resources Inventory, and the Multidimensional Scale of Perceived Social Support. At the completion of the interviews (approximately one hour), the participant will be compensated a nominal fee of $5.00.

Once this process is completed, the researcher will provide PSA with the PDID numbers and ROIs and requests that PSA provide the researcher with drug test results (lock up and/or any other drug test submitted within a 30-day period) for participants.

The research design is a between-subject design with data collected at the time the participant has agreed to participate in the study. The dependant variable in the study will be criminal offense,. The independent variables are satisfaction with mental health treatment, substance abuse patterns, social support systems, life stressors and housing status.

Subjects: The subjects and sample size will be approximately 100 defendants on pretrial status between ages 21 and 65.

II. RECOMMENDATION

The RRC recommendation for this study:

■ **Support** ☐ Support with Conditions ☐ Do Not Support

The RRC recommends that the Agency support this request as proposed.

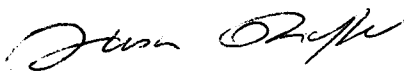
III. SUPPORTING INFORMATION

Regulatory:

- The proposed study is compliant with Federal regulations regarding the protection of human subjects as certified by the Howard University, Office of the Provost, institutional review Board (FWA00000891) on August 8, 2005.
- The proposed research shows no evidence of non-compliance with Agency policies pertaining to research.
- The researcher, who is a PSA staff member in the Specialized Supervision Unit, has obtained approval from the designated Agency Ethics Officer as per the Standards of Employee Conduct Directive.

Benefits to the Agency:

The Researcher anticipates that this study will (a) reveal which risk factors or combination of risk factors contribute to this population becoming involved in the criminal justice system, and (b) which criminal offenses are most prevalent (violent/dangers or non-violent) with respect to this population.

I **ACCEPT** the RRC recommendation	I **DO NOT ACCEPT** the RRC recommendation
	
Susan W. Shaffer, Director, D.C. Pretrial Services Agency	
Comments:	

Proposal to Conduct Non-Agency Research and Research Involving Human Subjects

Section B – Requirements for Non-Agency Research and Research Involving Human Subjects

Part B – Section I

A. Name of Researcher: Teresa Grant
Doctoral Candidate at Howard University
Department of Counseling Psychology
Washington, D.C.

Employer: D.C. Pretrial Services Agency
Specialized Supervision Unit
Researcher will be working part-time while completing a required internship

B. Title of Study: The relationship of risk factors to the level of criminal offenses for persons diagnosed with psychiatric disorders involved in the criminal justice system.

C. Purpose of the Project: The purpose of this study is to explore risk factors that contribute to adult persons diagnosed with psychiatric disorders and their involvement in the criminal justice system. While previous studies have investigated one risk factor that contribute to persons diagnosed with psychiatric disorders and their involvement in the criminal justice system, this study will examine multiple risk factors, namely satisfaction with mental health services, substance abuse patterns (lock-up drug test or any drug test submitted within 30 days), housing status, social support systems, and life stressors. The researcher is requesting that PSA provide drug test results for participants that voluntarily agreed to participate in the study.

D. Location of the Project: The researcher will recruit participants voluntarily at D.C. Superior Court. A substantial amount of time will be devoted by the researcher to courtrooms legally sensitive to persons diagnosed with psychiatric disorders for the recruitment of participants for the study.

E. Duration of the Study: The Researcher will begin data collection immediately and anticipates having a datafile ready for PSA by February 2006.

F. Research methods to be employed: The researcher will recruit subjects voluntarily from D.C. Superior Court. The researcher will afford attorneys and prospective participants the opportunity to participate in the study. Defendants and their attorney's will be advised that their participation in the study is voluntary and will not affect their supervision or the outcome of their criminal case. If the defendant decides to voluntarily participate in the study, the researcher will execute the Consent for Investigative Procedures and the Release of Information – Privacy Act. Participants will be advised during the informed consent process that their personal information to include criminal history, mental health, and substance abuse information will be protected and not revealed during the course of the study. The Researcher will assign each participant a unique identifier to protect his or her identity and confidentiality. After the defendant has signed all

consent forms, the Researcher will complete a Data Demographic Questionnaire to obtain self-reported demographic information to include housing status. The Researcher will also administer the Client Satisfaction Questionnaire, the Life Stressors and Social Resources Inventory, and the Multidimensional Scale of Perceived Social Support. Maximum time to complete all inventories is approximately one hour. At the completion of all inventories, the participant will be compensated a nominal fee of $5. The Researcher will subsequently provide PSA with the PDID numbers and a copy of the Release of Information – Privacy Act on all participants' to PSA management who will in turn provide the researcher with the drug test (lock up or any drug test submitted within a 30 day period) of the participants. The research design is a between subject design with data collected at the time the participant has agreed to participate in the study. The dependent variable in this study will be criminal offense. The independent variables are satisfaction with mental health treatment, substance abuse patterns, social support systems, life stressors, and housing status.

Ordinal Logistic Regression will be conducted on the data set with criminal offense as the categorical variable with two outcomes (dangerous/violent or non-violent) and the predictor variables (mental health treatment, substance abuse patterns, social support systems, life stressors, and housing status) to obtain which risk factor or combination of risk factors contribute to this population becoming involved in the criminal justice system.

At the request of Howard University's IRB, the researcher will also be applying for a Certificate of Confidentiality which is issued by the National Institute of Health. A Certificate of Confidentiality helps researchers protect the privacy of human research participants enrolled in behavioral, clinical or other forms of sensitive research. The certificate protects against compulsory legal demands, such as court orders and subpoenas for identifying information or identifying characteristics of research participants. A copy of this certificate will also be forwarded to the RRC.

G. Sample Size: The sample size for this study will be approximately 100 defendants on pretrial status between the ages of 21-65. All defendants will reside within the Washington – Metropolitan area and will reflect the ethnic diversity of the city, namely African American, Latino American, Asian American, and other groups. The socioeconomic status is projected to be primarily low-income persons, including under-educated persons and the non-working.

H. Agency Staff and Resources Needed for the Project: The Researcher is requesting the assistance of PSA and its IT Department to provide the Researcher with the drug test results of participants' that voluntarily agreed to participate in the study. The Researcher will provide PSA with the participant's PDID numbers along with a signed copy of the Release of Information – Privacy Act.

I. Risk or Discomfort to the Subject: Possible risks or discomforts to the participants are: (a) anxiety, and (b) possible loss of confidentiality. To minimize possible anxiety to the participant, the Researcher will allow time to ask questions, rest, or terminate the interview without penalty. To minimize the possible loss of confidentiality, the Researcher will develop a unique identifier, which will be placed on all documentation pertaining to the participant. All inventories, consents, and drug test results will be secured in a private office maintained by the researcher.

J. Anticipated Results: The Researcher anticipates that this study will (a) reveal which risk factors or combination of risk factors contribute to this population becoming involved in the criminal justice system, and (b) which criminal offenses are most prevalent (violent/dangers or non-violent) with respect to this population.

K. List of Deliverables: The Researcher will publish findings in a dissertation and provide copies of all deliverables and datasets to PSA at the conclusion of the project.

Part B – Section II

A. Review of the Literature: Review of the literature attached.

B. Detailed Description of Research Method: The researcher will voluntarily recruit participants for the study at D.C. Superior Court. A substantial amount of time will be devoted by the researcher in courtrooms legally sensitive to persons diagnosed with psychiatric disorders. The researcher will afford attorneys and prospective participants the opportunity to participate in the study. Defendants will be advised that their participation in the study is voluntary and will not affect their supervision with DCPSA or the outcome of their criminal case. If the defendant voluntarily decides to participate in the study, the researcher will execute the Consent for Investigative Procedures and the Release for Information – Privacy Act. Participants will be advised during the informed consent process that their personal information to include criminal history, mental health, and substance abuse information will be protected and not revealed during the course of the study. The Researcher will assign each participant a unique identifier to protect his or her identity and confidentiality. After the defendant has signed all consent forms, the Researcher will complete a Data Demographic Questionnaire to obtain self-reported demographic information to include housing status. The Researcher will also administer the Client Satisfaction Questionnaire, the Life Stressors and Social Resources Inventory, and the Multidimensional Scale of Perceived Social Support. Maximum time to complete all inventories is approximately one hour. At the completion of all inventories, the participant will be compensated a nominal fee of $5. The Researcher will subsequently provide PSA with the PDID numbers and a copy of the Release of Information –Privacy Act to management who will subsequently provide the researcher with the drug test (lock up or any drug test submitted within a 30 day period) of the participants.

The research design is a between subject design with data collected at the time the participant has agreed to participate in the study. The dependent variable in this study will be level of criminal offense. The independent variables are satisfaction with mental health treatment, substance abuse patterns, social support systems, life stressors, and housing status.

Ordinal Logistic Regression will be conducted on the data set criminal offense as the categorical variable with two outcomes and the predictor (independent) variables to obtain which risk factor or combination of risk factors contribute to this population becoming involved in the criminal justice system.

At the request of Howard University's IRB, the researcher will also be applying for a Certificate of Confidentiality which is issued by the National Institute of Health. A Certificate of Confidentiality helps researchers protect the privacy of human research participants enrolled in behavioral, clinical or other forms of sensitive research. The certificate protects against compulsory legal demands, such as court orders and subpoenas for identifying information or identifying characteristics of research participants. A copy of the certificate will be forwarded to the RRC.

C. Significance of anticipated results and their contribution to the advancement of knowledge: The anticipated results of this study will assist the criminal justice community as well as community based social service agencies in establishing protocols with respect to working with persons diagnosed with a psychiatric disorder involved in the criminal justice system in an effort to decrease the recidivism of this population. This research will identify those risk factors or combination of risk factors that most often contribute to this population being arrested so that measures and resources can be implemented to address the risk factors.

D. Benefits of research and/or participation to CSOSA/PSA: There are several benefits to PSA in granting the researcher access to data collected by PSA. These benefits are: (1) the study will be published acknowledging PSA's role in the study, (2) factors that impact pretrial supervision of this population, (3) the results of the data may reveal a significant need for additional resources in order to supervise and provide services for this population, (4) the results may reveal the need for a collaborative effort between the criminal justice community and local community service providers to implement protocol and mechanisms to work more effectively with this population in an effort to reduce recidivism, (5) the data may be an avenue to apply for grants and federal assistance to assist in providing services for this population i.e., the Mentally Ill Offender Treatment and Crime Reduction Act grant, which was passed October 2004.

E. Specific Resources required from the Agency: The Research will provide PSA Management with the PDID numbers and a copy of the Release of Information – Privacy Act, which will be signed by each participant. The Researcher is requesting the assistance of PSA's IT department to provide the researcher with drug test results of the participants' that voluntarily agreed to participate in the study.

F. Description of Risk, Discomforts, and Benefits to Subjects: Possible risks or discomforts to the participants are: (a) anxiety, and (b) possible loss of confidentiality. To minimize possible anxiety to the participant, the Researcher will allow time to ask questions, rest, or terminate the interview without penalty. To minimize the possible loss of confidentiality, the Researcher will develop a unique identifier, which will be placed on all documentation pertaining to the participant. All inventories, consents, and drug test results will be secured in a private location.

G. Description of Steps Taken to Minimize Risk and/or Discomforts: To minimize possible risk to the participants' confidentiality, the researcher will (a) develop and assign each participant a unique identifier known only to the researcher. All data collected will be secured in an off-site location. Only the Researcher will have access to the unique identifiers, questionnaires, and inventories. (b) If the participant experiences any anxiousness during the course of the interview, the Researcher will allow the participant time to ask questions, rest, or terminate the interview without penalty.

H. Description of Procedures to be followed to ensure the security of any individually identifiable data being collected and b) destroy research records or remove individual identifiers from those records when the research is completed: All participants that voluntarily participate in the study will be assigned a unique identifier known only to the Researcher. All participant information will be kept confidential throughout the entire course of the study. The Researcher will maintain all data collection instruments such as the data

demographic form, client satisfaction questionnaire, multidimensional scale of perceived social support, and the life stressor inventory in a locked off-site office maintained by the Researcher. Once the Researcher has completed the study, all data collected will be destroyed, however the informed consents will be kept by the Researcher for a period of three years.

I. Description of any anticipated effects of the research project on the Agency programs and operations: The Researcher does not anticipate any negative effects of the study on the Agency's programs and operations.

J. Relevant research materials such as vitae, endorsements, descriptions of similar work undertaken, sample informed consent statements, questionnaires, and interview work schedules: The Researcher's vitae, informed consent statements, and instruments utilized in the study are enclosed (see attachments). The Researcher is conducting this study as part of a dissertation for completion of requirements for a Doctorate of Philosophy (Ph.D) at Howard University. The Researcher has never participated in a research project in the past, however will be closely supervised by a committee of individuals at Howard University including the Institutional Review Board (IRB). The Researcher will be working on a part time basis with PSA and completing a required internship at Spring Grove Hospital.

K. Statement indicating that copies of all deliverables will be provided CSOSA/PSA: Once the Researcher has completed analyzing the data and defended the study (dissertation), a copy of the dissertation will be provided to PSA.

L. Statement that copies of any datasets will be provided to CSOSA/PSA at the conclusion of the project: A copy of all datasets will be provided to CSOSA/PSA at the conclusion of the project.

Part B – Section III:

Copy of certification from IRB attached.

Part D. Requirements for Informed Consent

See attachments for a copy of the Consent for Investigative Procedures and the Release of Information – Privacy Act to obtain substance abuse information from PSA.