

TEXAS DEPARTMENT OF CORRECTIONS

TREATMENT DIRECTORATE

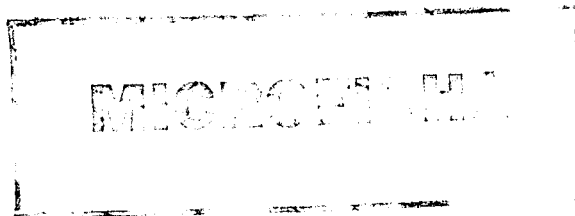
RESEARCH AND DEVELOPMENT DIVISION

HUNTSVILLE, TEXAS

569413

EXTRA-DEPARTMENTAL RESEARCH

1976



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ACQUISITIONS

TEXAS DEPARTMENT OF CORRECTIONS
TREATMENT DIRECTORATE
RESEARCH AND DEVELOPMENT DIVISION
HUNTSVILLE, TEXAS

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EXTRA-DEPARTMENTAL RESEARCH

The Research and Development Division of the Texas Department of Corrections (TDC) assists the following people in the conduct of various research project concerning TDC:

(1) organizations engaged in professional research, (2) students who are writing master's theses or doctoral dissertations, and (3) other professional persons in academic settings.

Extra-departmental projects of this type are beneficial as they provide non-TDC individuals with a testing ground for ideas and theories through empirically conducted research, as well as afford opportunities for them to observe the operations and realities of a correctional system. These cooperative projects also expose TDC research personnel to various perspectives and insights into the correctional system by virtue of association with external agencies, institutions, and individuals.

It is the policy of TDC to furnish assistance in these research efforts provided the researcher complies with the guidelines for extra-departmental research as set forth by Directive 5-76 from Mr. W. J. Estelle, Director of TDC (Appendix 1). These guidelines, which delineate the necessary procedures involved in requesting assistance for extra-departmental research, are designed to expedite research proposals by insuring that a cooperative effort is maximized. They also reflect TDC's policy of encouraging only high quality research that meets rigid criteria and professional ethical standards (Appendix 2).

The procedure for requesting Research and Development

Division services will vary according to the magnitude and type of services requested. There are two basic types of requests, informal and formal. Informal requests for services are those that can be accomplished within a reasonable time frame with a limited amount of manpower. These requests can be implemented by a mere telephone call or memo to the Research and Development Division. Examples of this type of service would be a request for limited inmate population characteristics or requests for available technical information on specific problem areas.

Formal requests are those that require a considerable amount of time and a substantial amount of manpower; consequently they require a written request (Appendix 3). Examples of this type of request are requests for evaluation or programs, requests for information that requires extensive research to develop, or requests for grant development services.

During 1976 the Texas Department of Corrections assisted various individuals in the conduct of extra-departmental research. The following is a collection of abstracts that summarize these research projects including theses, doctoral dissertations, and independent projects.

RESEARCH COMPLETED IN 1976

Author's Name - Scott W. Thornsley

Nature - Thesis

Author's Affiliation - Sam Houston State University, Huntsville

Abstract

Purpose - The objectives of this study were: (1) to determine if certain demographic data influence the perceptions of the correctional officer while describing the "ideal" and "average" inmate; (2) to determine if there is a significant difference between the "ideal" and "average" inmate; (3) to determine what variables frequently display a significant difference when describing inmate characteristics of the "average" and "ideal" inmate.

Methods - The methods used in this study were: (1) the collection of general data on the responding officers, (2) use of the Gough Adjective Check List to survey the correctional officers' perception of the "average" and "ideal" inmate; (3) conducting a computer analysis of the data in order to obtain standard scores for the 24 scales and indices of the Adjective Check List; (4) conducting a computer analysis of the standard scores in order to obtain the mean scores of each variable, standard deviation and level of probability; and (5) using a probability of 0.05 or less for statistical significance.

Findings - 1. The study indicates that the correctional officer perceives the "average" inmate quite unlike the "ideal" inmate.

2. In describing the "average" inmate, the variables achievement, endurance, order, intraception, nurturance, affiliation, autonomy, aggression, succorance, and deference all displayed means which yielded a deviation of the greater than 10 percent (50 percent on a scale of 100 represents the standard score for each variable). The variables autonomy, aggression and

Succorance were positioned in the high scoring range with the remaining variables appearing in the low scoring range. The variables change and abasement displayed no significant difference in the mean scores of the "average" and "ideal" inmate.

3. In describing the "ideal" inmate the mean scores of all 15 variables fell in an 18 point range, from 41 percent to 58 percent.

4. Correctional officers were divided into two groups so as to determine if variances in their background could account for alterations in their perception of the two types of inmates. No significant variances resulted when officers described the inmates in terms of their age, education or length of employment. The variables change, abasement, and heterosexuality were the only variables which did not display a significant difference in the mean scores of the "average" versus "ideal" inmate throughout the study.

5. In describing either the "average" or "ideal" inmate the only officer characteristic which yielded a significant difference in the profiles was that of family history in correctional employment. The profile had five variables (dominance, endurance, order, succorance and abasement) yielding a significant difference in the mean scores as officers described the "average" inmate. The variables dominance, endurance, and order yielded a lower mean score on the profile of officers with a family background in corrections than officers who had no family background in correctional employment. Officers without a

family background in correctional employment showed the variables succorance and abasement yielding a lower mean score than did officers who have a family background in correctional employment.

Author's Name - Raymond H. Teske, Ph.D.

Nature - Independent Study

Author's Affiliation - Sam Houston State University, Huntsville
Prospectus

Purpose - To examine experimentally the attitudes of TDC Correctional officers toward certain key treatment programs and to identify the characteristics of the correctional officers who are supportive or unsupportive of treatment.

Methods - Raw data of the experiment based upon the use of the Masters Scale. This is a paper and pencil measure which ranges from a possible low score of zero (most positive attitude toward treatment) to a possible high of 59 (most negative attitude toward treatment). Number of Subjects: 235 TDC Correctional Officers. Statistical Analysis: Was based on multiple regression techniques.

Findings - Twelve variables were found to be significantly correlated with scores on the Masters Scale ($r=.10$, $p.05$). In short the data revealed the following information: (1) Lower ranking officers view treatment more positively than higher ranking officers; (2) the longer the number of years of service, the more negative the attitude toward treatment; (3) the higher the level of education completed, the more positive the attitude toward treatment; (4) officers with supplemental income are more

positive toward treatment; (5) officers who view the primary function of the Texas Department of Corrections as punishment are more negative toward treatment and those who view the primary function as rehabilitation are more positive; (6) officers who are retired from military service (14 percent of the sample) are more positive toward treatment; (7) officers who attend church regularly are more positive toward treatment; (8) the larger the community of childhood residence, the more positive the attitude toward treatment; (9) inside picket officers are more positive toward treatment programs than outside picket officers or field officers; (10) officers who selected the Texas Department of Corrections as a career, as well as those who selected corrections in general as a career, are more positive toward treatment--as opposed to needing a job, to facilitate college education, wanted to remain in the area, and so forth; (11) officers who view work as more important in rehabilitation than treatment were axiomatically more negative toward treatment programs; and (12) older officers are more positive in their attitudes toward treatment than are younger officers.

It seems worthwhile to briefly note the characteristics of the average correctional officer responding to the survey. The average officer has graduated from high school or had attended college, but had not graduated. He does not attend church and lives within 250 miles of the community of his childhood residence. Moreover, he plans to remain employed by the Texas Department of Corrections until retirement. He tends to view himself, i.e., the correctional officer in general, as being

the most important person involved with the inmate in terms of the impact on the inmate and he has a positive attitude toward the treatment programs.

The findings from this study suggest that the correctional officers are very much aware of the significance of their role as exemplified by the fact that they tended to identify themselves as being the most important person in relation to rehabilitation of the inmate.

Therefore, determination of those significant variables affecting the attitude set of the officers toward the treatment programs could lead to the placement of officers in positions and on units wherein they can operate most effectively with the prevailing programs with a minimum of internal conflict. Moreover, the data suggest that correctional institutions would increase the value and effectiveness of treatment programs by placing increased emphasis on educational achievement in the recruitment of correctional officers. Also, retired military personnel are a valuable resource for employment in correctional facilities, particularly if attitudes toward treatment programs are taken into account.

INCOMPLETED RESEARCH IN 1976*

Author's Name - James Barrum, Ed.D.

Nature - Independent Study

Author's Affiliation - Sam Houston State University, Huntsville

* Research that was initiated in 1976 but not complete as of December 31, 1976.

Purpose - In June of 1976, the Institute of Contemporary Corrections and the Behavioral Sciences of Sam Houston State University was awarded a grant by the Criminal Justice Division to develop training materials for law enforcement, probation, and parole which would aid in the identification and diversion of the mentally handicapped offender. There exists a need for establishing baseline data on the incidence of mentally handicapped offenders and to understand to some degree his or her involvement in crime. Therefore, it is the purpose of this investigation to determine the number of inmates in the Texas Department of Corrections that manifest the characteristics of being mentally handicapped and to further analyze the types of offenses for which they have been committed.

The methodology of this study will consist of the following steps:

(1) Identification of all mentally retarded (I.Q. of 70 or below) inmates who entered TDC in 1975 and 1976.

(2) Identification of all inmates in the Texas Department of Corrections who were or are mentally ill (mental illness being defined as those inmates who have been diagnosed as psychotic, suicide prone, or dangerous to others and who have, therefore, been referred to the Medical Treatment Unit for observation or rehabilitation within the calendar years of 1975 and 1976.

(3) Analysis of each of the above groups broken down by sex in order to obtain frequency distributions for each by

type of offense. If the computer lists more than one offense for an inmate, we are interested in all offenses listed.

Importance - This investigation will establish a baseline data characteristic of the above mentioned groups in a different manner than now exists. It will aid the field of criminal justice by helping us establish some perspective of this problem of the mentally handicapped offender in terms of indices and something of the role or the mentally handicapped in crime.

Utility - As mentioned previously, the results as well as written material generated from the results will be used in training materials to be provided to law enforcement and probation and parole personnel within the State of Texas in the identification and handling of the mentally handicapped offender.

Author's Name - Thomas W. Baxter

Nature - Thesis

Author's Affiliation - TDC Employee

Purpose - The purpose of this project is to determine the effect of receiving a General Educational Development (GED) certificate, while serving sentence at the Texas Department of Corrections (TDC), on the rate of recidivism. All inmates who received GED at TDC from 1970 through 1972 will be examined. A 10 percent random sample will be utilized to construct the data. This project will compare the rate of recidivism between inmates receiving their GED and inmates who did not. Null hypothesis--inmates receiving the GED show

no significant difference in their rate of recidivism.

Procedure - The procedure for this study will be to select a 10 percent random sample of inmates who have received a GED certificate and have been released from prison. A control group of equal size will also be randomly selected. The experimental and control groups will be stratified to match on certain variables. The variables which will be controlled are age, educational achievement level at the time of admission to TDC, marital status and type of release, i.e., parole or discharge. Educational achievement level at the time of admission will be controlled since the study will focus on a form of educational achievement. Age, marital status, and type of release will be controlled since these variables have been used to predict success after release. Demographic and criminal history data will be reported on both groups.

Importance - The successful completion of the study will provide TDC and the Windham School District with information on the effects of the GED program on recidivism. This study is of importance because it is the first study of this type to be conducted in TDC.

Author's Name - Barbara Jean Callaway

Nature - Thesis

Author's Affiliation - Department of Statistics, Southern
Methodist University

Purpose - To parole or not to parole? That is the question often asked by corrections theorists. A random sample of

prisoners released from the Texas Department of Corrections will be studied from several aspects. A predictive equation to measure the chance of "success" ("success" meaning a lack of prison recommitment) of a prisoner leaving the Texas penal system will be developed from the data. This preliminary study will attempt to determine any differences between prison discharges and parolees, with emphasis on their "success" measures. Because the entire population of releasees is so broad, thereby reducing the strength of utilizing one prediction equation, an attempt will be made to identify homogeneous subpopulations of prisoners.

The predictive equation will answer the pre-stated question in relative terms rather than absolutely; prisoners may be ranked by their chance of success. If there is an increased number of prisoners that must be paroled, then those with the highest success rate ranking would be the first to be seriously considered for parole.

Procedure - Multivariate research methods will be used to determine what variables should be used for prediction. TDC prisoners released in 1972 will be sampled. A follow-up will have to be done on the prisoners to determine if they were recommitted to TDC in the subsequent 3 years.

Author's Name - Dorothy Gamble Dubose

Nature - Independent Study

Author's Affiliation - Consultant to State Representative
Sarah R. Weddington

Purpose - The purpose of the proposed study is to identify

the various effects on minor children of their mother's incarceration. As shown by the enclosed questionnaire used as a guideline in interviews, information is sought regarding the setting and custody in which the children are kept. Family structure and stability are to be examined as well as financial resources.

Social and emotional problems which may accompany separation from the mother by her incarceration will be explored. The quality of the mother-child relationship before incarceration and subsequent to it, and expectations for the future of the relationship will be aspects considered.

The role, if any, of social agencies, state and other, in the childrens' lives will also be inquired into.

Interviews with the mothers are an important part of the research, but discussions with DPW workers and juvenile and adult probation people are also sources of information used in the study.

A pilot study was conducted at the Federal Correctional Institution at Fort Worth in 1974. With permission of some mothers there, several homes were visited where their children were being cared for. Every effort to obtain a full understanding of circumstances and problems is being made.

Procedure - Interviews with approximately 25 mothers of minor children would be conducted with a questionnaire used as a guideline. The participation of the women would be voluntary and a careful explanation would be given to them that solutions to their own problems could not be a product of their

participation. The identity of the participants and their children would be guarded scrupulously.

The interviews would be conducted over a 3-month period at the womens unit of TDC at Mountain View.

Importance - Rep. Sarah Weddington is interested in finding ways to coordinate the work and resources of existing agencies in responding to the needs of the children the study will focus on. It is felt that early awareness and response to crises and on-going deprivation in their lives could be an important step in preventing future inability to function successfully in society. Early intervention would, in some cases, lessen the burden on the corrections system in the years ahead.

The possibilities of successful re-entry into society on the part of the women might be enhanced by the functioning of an effective support system on behalf of their children during the time they are in custody.

Author's Name - Robert Shamburger

Nature - Thesis

Author's Affiliation - Sam Houston State University, Huntsville

Abstract - Shamburger, Robert. The Violent Offender and His Prison Disciplinary Record: A Comparative Study. Master of Arts (Institute of Contemporary Corrections and the Behavioral Sciences), December, 1976, Sam Houston State University, Huntsville, Texas.

Purpose - The purpose of this research was to collect data from inmate personnel files and corresponding disciplinary records, involving a sample of violent and non-violent offenders.

It was hypothesized 1) that violent conviction inmates do not exhibit greater inclination of institutional violence, as indicated by a greater number of rule infractions of violent character, than inmates without either a violent conviction or a noted jail confinement for a violent offense and 2) that violent conviction inmates are refused parole for a longer duration, compared to inmates without either a violent conviction or a noted jail confinement for a violent offense.

These data will add to past studies and will provide new data for future studies. Assessment of the above hypotheses will provide additional knowledge of the violent offender and his probability of parole.

Methods - Examination was undertaken of records of 40 violent conviction inmates, particularly in relation to further aggressive propensity and to parole likelihood. Records of 40 non-violent conviction inmates were investigated comparatively. Analysis of the data included a chi square statistical evaluation of the numbers of rule infractions of violent character during a 2-year period and of parole refusal length.

Findings - 1) No significant difference existed between the violent and non-violent typologies with respect to an inclination of institutional violence indicated by a greater number of rule infractions of violent character.

2) The difference between parole refusal lengths relative to offender typologies of violent conviction classifications

or non-violent conviction classifications was not significant.

Author's Name - Geoffrey Alpert, Ph.D.

Nature - Independent Study

Author's Affiliation - University of Texas, Dallas

Abstract - Subject wishes to administer a questionnaire to 200 inmates at the Diagnostic Unit. The test takes approximately 1 hour, and groups of 30 can be tested at one time. The test will measure attitudes toward the law and lawyers. Subject also wishes to test the same individuals approximately 6 months later to determine if their attitudes have changed after being in prison and after using the Inmate Legal Service.

Author's Name - David Desmond

Nature - Independent Study

Author's Affiliation - University of Texas, San Antonio

Abstract - The U.T. Medical School of San Antonio is conducting a life history study of 248 heroin users. They would like to review Department records to ascertain if any of their missing subjects are in prison. Also, they will need to review our records on subjects found in prison to see if they coencide with their records.

Author's Name - W. Maurice Hurley, Ed.D

Nature - Independent Study

Author's Affiliation - Ouachita Baptist University

Abstract - Applicant wishes to administer a questionnaire to determine inmate self-concept. Subject wishes to test,

at the Diagnostic Unit, 15 inmates convicted of forgery
and 15 convicted of sex crimes.

Author's Name - Howard Kurtz

Nature - Independent Study

Author's Affiliation - Denton County Jail Program, Denton, Texas

Abstract - 1. To assure the inmates that the community continues
to be interested in them.

2. To obtain input from the inmates about the
effectiveness of the Denton County Jail Program.

Author's Name - Tracy L. Stokely

Nature - Thesis

Author's Affiliation - TDC employee

Abstract - Compare the TDC promotion program with the promotion
program of other agencies.

APPENDIX 1

TEXAS DEPARTMENT OF CORRECTIONS

Huntsville, Texas

March 29, 1976

Directive No. 5-76

FROM: Director

TO: All Assistant Directors and Wardens

The following guidelines apply to requests for the conduct of research in the Texas Department of Corrections by extra-departmental personnel. These guidelines are intended to facilitate coordination, cooperation, and reduce the possibility of duplication.

- 1.0 COORDINATION. In order that all research requests be effectively coordinated, it is necessary that the Assistant Director for Treatment and the Chief of the Research and Development Division be furnished with adequate prior information concerning all formal research projects within the Department of Corrections. To facilitate coordination and review, the Assistant Director for Treatment has established a Committee on Research. This Committee, composed of personnel from the Research and Development Division, will assist the Assistant Director for Treatment in considering proposals, arranging for services in support of research, and monitoring research projects to determine if the proposals are being executed as specified.
- 2.0 RESEARCH PROPOSALS. After a prospective researcher has informally discussed his research ideas with either the Director, Assistant Director for Treatment or Research and Development personnel, a formal research proposal must be prepared and submitted to the Chief of the Research and Development Division. Proposals should contain the following information and should be arranged and organized as follows:

All Assistant Directors and Wardens
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- 2.1 Title of the project
- 2.2 Research applicant. List full name, address, phone number, the institution or university for whom the project is being conducted, and the name of the person's supervisor or project chairman.
- 2.3 Purpose. A specific explanation of the problem(s) to be investigated and the theoretical foundation upon which the research is based.
- 2.4 Procedure. When possible, this should include the methodology of the study, the number of types of subjects, the period of investigation, the testing instrument(s) to be employed (if any), the institutions involved, and the number and composition of the staff who are expected to take part. One copy of all test instruments to be used must accompany the proposal.
- 2.5 Importance. This section should describe the ways the study will specifically benefit the Texas Department of Corrections and/or corrections in general.
- 2.6 Utility. This section should specify whether the results are to be used for college or university credit, publication, etc.
- 3.0 APPROVAL. Prior to the initiation of a research project, the written prospectus must be reviewed by the Research Committee of the Research and Development Division. The Research Committee will recommend the approval or disapproval of the research proposal. The Committee's recommendation will be submitted to the Assistant Director for Treatment who will make the final decision on all research projects. The Assistant Director for Treatment will review the proposal and, if it is approved, authorize the Chief of the Research and Development Division to advise the research applicant to proceed with the project.

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- 4.0 SECURITY OF RESEARCH DATA. Researchers engaging in data collection must respect the privacy, dignity, and legal rights of all inmates and must uphold the confidentiality of any document or information intended for official use only. No information which would identify any individual inmate is to be used in the research report.
- 5.0 DISSEMINATION OF RESULTS. One copy of any manuscript, thesis, dissertation or subsequent publication must be submitted to the Research and Development Division for retention in the Division's Research Library. Researchers will be encouraged to submit their findings for possible publication in the Research and Development Division's research monograph series.
- 6.0 AGREEMENT. The principal investigator will be required to sign an agreement stating that he will abide by the provisions of this directive concerning research, and that he will abide by the rules and regulations of the Department of Corrections as stated in the Employees Manual of Rules and Regulations (Revised November, 1973).

APPENDIX 2

THE ETHICAL PRINCIPLES IN RESEARCH

1. In planning a study the investigator has the personal responsibility to make a careful evaluation of its ethical acceptability, taking into account these Principles for research with human beings. To the extent that this appraisal, weighing scientific and humane values, suggest a deviation from any Principle, the investigator incurs an increasingly serious obligation to seek ethical advice and to observe more stringent safeguards to protect the rights of the human research participant.

2. Responsibility for the establishment and maintenance of acceptable ethical practice in research always remains with the individual investigator. The investigator is also responsible for the ethical treatment of research participants by collaborators, assistants, students, and employees, all of whom, however, incur parallel obligations.

3. Ethical practice requires the investigator to inform the participant of all features of the research that reasonably might be expected to influence willingness to participate and to explain all other aspects of the research about which the participant inquires. Failure to make full disclosure gives added emphasis to the investigator's responsibility to protect the welfare and dignity of the research participant.

4. Openness and honesty are essential characteristics of the relationship between investigator and research participant.

When the methodological requirements of a study necessitate concealment or deception, the investigator is required to ensure the participant's understanding of the reasons for this action and to restore the quality of the relationship with the investigator.

5. Ethical research practice requires the investigator to respect the individual's freedom to decline to participate in research or to discontinue participation at any time. The obligation to protect this freedom requires special vigilance when the investigator is in a position of power over the participant. The decision to limit this freedom increases the investigator's responsibility to protect the participant's dignity and welfare.

6. Ethically acceptable research begins with the establishment of a clear and fair agreement between the investigator and the research participant that clarifies the responsibilities of each. The investigator has the obligation to honor all promises and commitments included in that agreement.

7. The ethical investigator protects participants from physical and mental discomfort, harm, and danger. If the risk of such consequences exists, the investigator is required to inform the participant of that fact, secure consent before proceeding, and take all possible measures to minimize distress. A research procedure may not be used if it is likely to cause serious and lasting harm to participants.

8. After the data are collected, ethical practice requires the investigator to provide the participant with a full clarification

of the nature of the study and to remove any misconceptions that may have arisen. Where scientific or humane values justify delaying or withholding information, the investigator acquires a special responsibility to assure that there are no damaging consequences for the participant.

9. Where research procedures may result in undesirable consequences for the participant, the investigator has the responsibility to detect and remove or correct these consequences, including, where relevant, long-term aftereffects.

10. Information obtained about the research participants during the course of an investigation is confidential. When the possibility exists that others may obtain access to such information, ethical research practice requires that this possibility, together with the plans for protecting confidentiality, be explained to the participants as a part of the procedure for obtaining informed consent.

APPENDIX 3

REQUEST FOR
RESEARCH AND DEVELOPMENT DIVISION SERVICES

REQUESTER _____
Name (Please Print)

_____ Job Title _____ Telephone Number _____

ASSISTANT DIRECTOR
OR WARDEN Request _____
Approved _____ Disapproved _____
Signature _____ Date _____

ASSISTANT DIRECTOR
FOR TREATMENT Request _____
Approved _____ Disapproved _____
Signature _____ Date _____

DIVISION CHIEF, RESEARCH AND
DEVELOPMENT DIVISION Priority _____
Signature _____ Date _____

PROBLEM DEFINITION - (INCLUDE AS MUCH INFORMATION AS IS AVAILABLE)
New Program - _____; Continuation or Modification of Existing
Program - _____

1. STATEMENT OF THE PROBLEM. (Use additional sheets if necessary)

2. STATEMENT OF OBJECTIVES. (Purpose, Whom It Will Serve, How It Is
Related to The Current Methods)

3. ANTICIPATED SOURCES OF INFORMATION.

4. ESTIMATED COSTS INVOLVED FOR BOTH TDC AND OTHER FUNDING SOURCES. (Discuss costs in terms of personnel, professional and contract services, travel, equipment, and supplies, primarily for request for grant services).

5. BRIEF DESCRIPTION OF RESULTS AND OUTPUT DESIRED.

6. STATEMENT AS TO THE ANTICIPATED EFFECT AND IMPORTANCE OF THE PROGRAM TO THE DEPARTMENT.

7. PROJECTED BEGINNING DATE AND LENGTH OF PROGRAM. (If the request is for the development of a grant application for federal funds, the Development Branch should be informed of this request at least 120 days or 4 months prior to the beginning date of the grant project).

8. NAMES OF PERSONNEL TO BE CONTACTED FOR ADDITIONAL INFORMATION.

NOTE: PLEASE ADD ADDITIONAL COMMENTS OR INFORMATION THAT MIGHT BE USEFUL IN EVALUATING THIS REQUEST.

END