

Attachment 7

NSYC-2 State and Non-State Agency and Facility Enrollment Materials

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Email Template for Initial Contact with Liaisons

Good (morning/afternoon/evening). My name is [NAME]. I left a message for you this (morning/afternoon/evening) and am following up by email. I understand that you will be out of the office until [DATE]. [I spoke with {NAME} and learned that you have been designated as the liaison to the National Survey of Youth in Custody (NSYC).

The purpose of my call was to introduce myself and to review your role in the study. Specific issues that I would like to discuss include the following:

1. Authorization and research review requirements: I would like to talk about procedures that we will need to follow to obtain study clearance. For example, some (states/agencies) require that the study be reviewed by a (state/agency) institutional review board (IRB). If IRB or any other type of review is required, I would like to obtain a copy of the review procedures and necessary forms so we can start completing them as soon as possible.

2. Security clearances for Westat staff: I need to identify any special requirements for the survey team to gain access to the facilities, for example, background checks. If there are special procedures or forms to be completed, I would like to get copies of these materials.

3. Mandatory reporting procedures: We consider our survey teams to be mandatory reporters when youth make verbal allegations of abuse or harm, and therefore we will comply with all state and local reporting requirements. We would like to review any written guidelines pertaining to mandatory reporting for individuals housed in juvenile facilities. For example, we would be looking for information on types of allegations that must be reported and how the reports should be submitted including what office should receive the reports, what medium (e.g., hardcopy, electronic) we will use, and what information to include in the reports.

4. Consent procedures: NSYC can implement various strategies to obtain consent for minors to participate in the study:

A. *In loco parentis*, in which the agency or facility provides consent in lieu of the parent/guardian. This procedure has been approved by Westat's IRB in cases where the agency or facility is willing to accept responsibility for providing consent. It was used successfully in the first NSYC (2008) and found to lessen the burden on facility staff and increase response rates. If the agency or facility wishes to notify parents/guardians about the study, Westat is able to assist with contacting them by mail and/or telephone.

B. *Active parent/guardian consent*, in which written or verbal consent is required from the parent/guardian of each youth. This procedure was also successfully used in the first NSYC. It does require relatively more involvement by the liaison and facility staff. For example, we would need to define the contact strategy (e.g., mail, telephone, face-to-face) and schedule, assign responsibilities to Westat, facility, and state staff for producing materials (e.g., letters, case status forms, instructions), contacting

households, and tracking results. Westat is willing to take responsibility for as much of this process as possible. If we are to contact parents/guardians, we will need the names, addresses, and telephone numbers of parents/guardians and the names of youth.

5. Counseling procedures: Since some of the survey questions ask about sensitive topics, our IRB requires that facility counselors and outside counselors are available if youth request services. We will need to identify appropriate options for providing external counselors (e.g., someone from the agency central office).

6. Documentation: Before we contact facilities, we will need documentation that the (state/agency) has agreed to support NSYC.

I have also attached a study brochure, agency administration information sheet, agency roles and responsibilities sheet, and the facility roles and responsibilities sheet for your convenience. I will call you on [DATE] to discuss the study. In the meantime, please reply or call me if you have any questions. My contact information is listed below. Thank you.

Sincerely,

National Survey of Youth in Custody (NSYC)



Sponsored by

**Bureau of Justice Statistics
U.S. Department of Justice**



The Bureau of Justice Statistics (BJS) carries out the **National Survey of Youth in Custody (NSYC)** in response to the Prison Rape Elimination Act of 2003 (P.L. 108-79) (PREA). The Act requires BJS to collect data on the prevalence of sexual victimization of youth living in juvenile correctional facilities according to the prevalence of sexual victimization.

BJS conducted the first NSYC study in 2008; over 10,000 youth from almost 200 facilities nationwide took part. In 2011, the second NSYC study (NSYC-2) will begin, and over 23,000 youth will be asked to be a part of the study.

Adjudicated youth in state facilities or placed by the state in non-state facilities are eligible to participate.

Minors will be asked to take part in the study only if (1) the state or facility provides consent *in loco parentis* or (2) a legal guardian provides consent. Minors (with consent) and adult youth will be asked to complete an interview.

The NSYC interview is done on a **computer**. Youth spend about 30 minutes completing the survey. Youth who agree to take part will be seated in front of a laptop computer and will put on a pair of headphones.



The survey questions and possible answer choices will appear on the computer screen. At the same time, the youth can listen through the headphones to a recorded voice reading the text that appears on the screen. Youth will touch the computer screen to select an answer for each question, moving along at their own pace.

Questions will ask about their experiences while living at the facility.

This includes questions about the staff, the health services the youth might have used, and other youth who live in the facility. Some youth will also be asked questions about alcohol and drug use prior to admission to the facility, and some will be asked about any sexual experiences that might have happened in the facility.



Youths' answers on the survey will remain private and anonymous.

However, if a youth makes a verbal allegation to the researcher about any abuse or harm to himself or herself, or another child, occurring in the facility, it will be reported to the state or local government agency that investigates these kinds of problems.

State and non-state agencies will be asked to support the study in the following ways:

- **Define clearance procedures.** Identify procedures that are required for the study to be conducted in the selected juvenile facilities (e.g., submitting study protocols for review, performing background checks on data collection staff).
- **Determine consent requirements.** Confirm state or non-state agency standards for obtaining permission to interview youth (i.e., *in loco parentis* or active parent/guardian consent).
- **Define mandatory reporting procedures.** Communicate the requirements and procedures for reporting verbal allegations of abuse or neglect made by youth to the research team.
- **Identify counseling support.** Arrange for counseling resources to be available at each participating facility. Both facility-based and non-facility based counselors (e.g., central office staff) must be identified.



Facilities will be asked to support the study in the following ways:

- **Report on facility characteristics.** Provide information on general facility and unit characteristics (e.g., number of state-placed adjudicated youth) needed to plan the logistical details of study activities at the facility.
- **Provide youth rosters.** Provide an initial roster of state-placed adjudicated youth and weekly updates on discharges and newly admitted youth.
- **Assist with consent requirements:** If active parent/guardian consent is required, work with Westat (the research firm conducting the study for BJS) to determine and conduct the appropriate procedures.
- **Arrange for visits by Westat researchers.** Schedule the data collection visit and facilitate data collection procedures (e.g., providing private areas for youth to complete the interview, escorting youth to and from the interview areas).

- **Complete a facility survey.** The survey focuses on facility and unit characteristics such as staffing, surveillance, and other facility and unit characteristics (e.g., facility type).
- **Provide administrative records on youth.** Supply information on all state-placed adjudicated youth at the facility (e.g., most serious offense).

Further information on NSYC is available. The study is sponsored by the Bureau of Justice Statistics (BJS), an agency within the U.S. Department of Justice.



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National Survey of Youth in Custody (NSYC) Agency Information Sheet

U.S. Department of Justice
Bureau of Justice Statistics

Implementation Process

June 2011 – November 2011

- Westat will contact the agency director to learn who will serve as the liaison for your agency.
- The liaison will define the consent requirements for state-placed adjudicated minors to participate in the study.
- The liaison will confirm the state mandatory reporting requirements and procedures for reporting alleged abuse or neglect based on verbal statements made by youth.

July 2011 – June 2012

- Westat will provide the liaison with a list of facilities selected to participate in NSYC.
- The liaison will contact the facility administrators to inform them of the agency's support of the study.
- Westat will mail an NSYC information packet to facility administrators.
- Westat will contact the facility administrators to learn who will serve as the coordinator for the facility.
- Westat will provide the coordinators with study materials and begin planning and preparing for data collection at the facility. Planning activities will be completed by the end of December 2011.
- If the agency or facility cannot provide consent on behalf of parents, Westat will work with the facility coordinator (and agency liaison, if needed) to define procedures for obtaining verbal or written parent/guardian consent. If Westat has a role in contacting parents/guardians for consent, the coordinator will provide contact information for the parents/guardians of minors selected to participate in the study.
- Westat and the coordinator will schedule the data collection visit. Several weeks before the visit, the coordinator will provide and update (weekly) a roster of all state-placed adjudicated youth.

January 2012 – June 2012

- A survey team will visit each facility to conduct data collection. This will include meeting individually with youth, and supporting the coordinator in responding to the Facility Survey and providing administrative records data for all state-placed adjudicated youth.



NATIONAL SURVEY OF YOUTH IN CUSTODY (NSYC) State Roles and Responsibilities

U.S. Department of Justice
Bureau of Justice Statistics

State Director/Commissioner

- 1. Designate a State Liaison:** The State Director/Commissioner will select a state staff person who will serve as a liaison to the study. This liaison will work with the residential juvenile facilities and Westat to prepare for and coordinate the survey team visit.
- 2. Provide State Clearance:** The State Director/Commissioner will provide authorization, via the State Liaison, for Westat to contact the selected facilities in your state to arrange for participation in this survey.

State Liaison

- 1. Inform Facility Superintendent/Administrator and Identify a Facility Coordinator:** The State Liaison will contact the superintendents/administrators of the selected facilities in the state to inform them of the NSYC study and identify a staff person in the facility who will serve as the point-of-contact for scheduling and arranging for the survey team visit.
- 2. Communicate Requirements to Obtain Informed Consent for Minors:** The State Liaison will identify whether the state/facility will provide consent for adjudicated minors to participate in the survey on behalf of the parents (i.e., *in loco parentis*). If this is not an option for your state, the Liaison will work with the facility and Westat to define the procedures for obtaining written or verbal consent from the minors' parents/guardians.
- 3. Communicate Requirements for Reporting Data and Date of Destruction of Data:** The State Liaison will provide the state's requirement for reporting NSYC's state data and will provide the date of destruction requirements.
- 4. Confirm State Mandatory Reporting Procedures:** The State Liaison will confirm how incidents should be reported to child welfare authorities if a youth informs the survey team of abuse or neglect. Prior to the survey visit, the team will need to understand the state mandatory reporting procedures and will need the telephone number and paperwork requirements (if applicable) for submitting a report.
- 5. Assist in Obtaining Youth Rosters:** The State Liaison will support NSYC to ensure each facility provides complete and accurate rosters of all adjudicated youth in a timely manner.
- 6. Specify Security Clearance Requirements for Westat Survey Staff:** The State Liaison will specify any special requirements for the survey team to gain access to the facilities. This may include special identification requirements or background checks.
- 7. Identify External Counseling Resources:** The State Liaison will confirm that both internal and external counseling will be available to youth who participate in the survey. The Westat Institutional Review Board (IRB) requires that youth receive counseling if they become upset after the survey or if they ask to speak to a counselor. If the youth requests to speak to someone who is not a facility counselor, arrangements must be in place for the youth to speak privately with an outside counselor.



NATIONAL SURVEY OF YOUTH IN CUSTODY (NSYC) Facility Roles and Responsibilities

U.S. Department of Justice
Bureau of Justice Statistics

Facility administrator

1. **Designate a facility coordinator:** The facility administrator will designate a staff person who will work with Westat to prepare for the survey team visit and to complete the facility survey.

Facility coordinator

1. **Describe facility characteristics:** The coordinator will provide information about the facility (e.g., number of living units, number of youth) through a series of brief telephone interviews. This information will be used to plan for the visit.
2. **Schedule the facility visit:** The coordinator and Westat staff will schedule the visit based on the facility schedule, expected number of youth, and availability of researchers. Typically the research team will consist of two to five Westat staff.
3. **Provide youth roster:** Several weeks prior to the visit date, the coordinator will provide Westat with a roster of state-placed adjudicated youth in the facility. The roster will contain an identification number for each youth (unrelated to other identifiers maintained by the facility), the gender, date of birth, and date of admission.
4. **Provide roster updates:** The coordinator will provide Westat with weekly roster updates to add newly admitted youth and remove youth as they are discharged from the facility.
5. **Support efforts to obtain consent for youth to participate:** When possible, the agency or facility will grant permission to interview youth *in loco parentis*. If this is not possible, Westat will work with the coordinator to determine appropriate procedures to obtain permission from parents/guardians. If Westat assists in obtaining permission, the coordinator will provide parent/guardian contact information as needed.

- 6. Plan visit logistics:** In preparation for the survey visit, the coordinator will identify private rooms where each researcher will conduct the interviews and arrange the daily schedule so youth can be available. These plans will be prepared in advance and then confirmed when the team supervisor meets with the coordinator on the first day of the visit.
- 7. Arrange for counseling services:** The coordinator will ensure that counseling is available for youth, if requested. If the youth asks to speak with a counselor who is not affiliated with the facility, services from an outside counselor should be arranged.
- 8. Define mandatory reporting procedures:** NSYC researchers are considered subject to state and local mandatory reporting requirements. When youth make verbal allegations of abuse or harm to a researcher, a report will be made. General procedures will be specified by the agency liaison. However, the facility coordinator will be asked to define the specific procedures for the facility (e.g., name and contact information for the agency designated to receive the report).
- 9. Provide administrative records data:** The coordinator will complete an administrative data form that collects information (e.g., reason for placement, most serious offense) about all state-placed adjudicated youth in the facility.
- 10. Provide support during data collection visit:** The coordinator will be the point of contact while the interviews are taking place. This includes scheduling the interviews for the selected youth and arranging for staff to escort youth to and from the interview rooms.

DATE

AGENCY LETTERHEAD

TO: Westat
FROM: [INSERT STATE/AGENCY AUTHORITY]
SUBJECT: National Survey of Youth in Custody

[INSERT STATE/AGENCY AUTHORITY] endorses the National Survey of Youth in Custody (NSYC) and agrees to support data collection at the following facilities:

LIST OF FACILITIES
[INSERT FACILITIES]

We understand that Westat, a research corporation located in Rockville, Maryland, will soon contact these facilities to enroll them in NSYC, a national survey of youth in custody sponsored by the U.S. Department of Justice, Bureau of Justice Statistics. NSYC is designed to obtain information about all adjudicated youth in state facilities and state-placed adjudicated youth in non-state facilities in [INSERT STATE]and nationwide. Ultimately, the findings from the NSYC will inform policymakers at the national and state levels about the experiences of youth in custody.

Westat will send materials to [this facility/each of these facilities] which will detail the process to be used to conduct the survey. The materials will advise facilities that BJS and Westat will keep confidential all information identifiable to a youth, with the exception of verbal statements by youth indicating abuse or harm.

We will encourage facilities to cooperate in this effort. If facilities have any questions regarding this cooperative effort, they may contact [INSERT LIAISON AND CONTACT INFO].

State Liaison Contact Worksheet

Questions for State Liaison Contacts Regarding New and Closed Facilities

Recruiter: _____

Date: _____

State: _____

New Facility Information

1a. Have any new facilities with 90+ adjudicated youth opened within the last two years (i.e., since February 2006)?

Yes	No
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1b. List names of new facilities, current total population, and number of adjudicated youth, and opening date.

a. New facility name	b. Current total population	c. Number of adjudicated youth	d. Opening date
1.			
2.			
3.			
4.			
5.			
6.			
7.			

Of the facilities sampled for NSYC:

2. List any of the sampled facilities that have closed or are scheduled to close this year? (*IF NONE, write "None" in 2a.*)

- In Column 2b, provide scheduled closing date for each facility.
- In Column 2c, provide transfer information.
- In Column 2d, provide name of new facility.

2a. Facility Name	2b. Scheduled closing date	2c. Were youth transferred (or will youth be transferred to a NEW* facility)? <small>(Circle one, if yes, complete Col 2d.)</small>			2d. Name of new facility
		Yes	No	DK	
1.		1	2	3	
2.		1	2	3	
3.		1	2	3	
4.		1	2	3	
5.		1	2	3	
6.		1	2	3	
7.		1	2	3	

*new facility = opened since February 2006.

As you complete each worksheet, email or send it to Trey Author, RW2602.

However, if you discover one of the following about a new facility, please contact John Hartge immediately to determine whether facility will be added to the NSYC sample:

- a. Facility closing is scheduled for July 1, 2008 or later
- b. Youth will be transferred to a new facility (i.e., Q2, Col2c = yes).



NATIONAL SURVEY OF YOUTH IN CUSTODY (NSYC) Facility Information Sheet

U.S. Department of Justice
Bureau of Justice Statistics

Implementation Process

July 2011 – June 2012

- Westat will mail an NSYC information packet to the facility administrator.
- Westat will contact the facility administrator to learn who will serve as the coordinator for the facility.
- Westat will provide the coordinator with study materials and begin planning and preparing for data collection at the facility. Planning activities will be completed by the end of December 2011.
- If the agency or facility cannot provide consent on behalf of parents, Westat will work with the facility coordinator (and agency liaison, if needed) to define procedures for obtaining verbal or written parent/guardian consent. If Westat has a role in contacting parents/guardians for consent, the coordinator will provide contact information for the parents/guardians of minors selected to participate in the study.
- Westat and the coordinator will schedule the data collection visit. Several weeks before the visit, the coordinator will provide and update (weekly) a roster of all state-placed adjudicated youth.

January 2012 – June 2012

- Survey team visits will be conducted between January and June 2012.
- The coordinator will find private space in the facility where each Westat team member can meet individually with youth to conduct the interviews. The coordinator will assign facility staff to escort youth to and from the interview area(s).
- The coordinator will gather information requested on the NSYC Facility Survey and provide the completed survey to Westat.
- The coordinator will provide administrative records data (approximately 6 data items, such as "most serious offense") on all state-placed adjudicated youth in the facility.

National Survey of Youth in Custody Facility Information Worksheet

This worksheet highlights the topics that NSYC study staff will need to discuss with the facility coordinator. You are not asked to return this form; rather, we offer it as a tool to help you prepare for the call with our staff. We will followup with you periodically to learn of any changes.

If you have any questions, please contact your NSYC study contact person at Westat (800-XXX-XXXX).

Thank you for your assistance and cooperation.

Facility characteristics

- **Who operates this facility?**

- State
- County agency
- Municipal agency
- Private agency
- Other (*Please obtain the name, address, and telephone number of the operator.*)

- **Is this facility part of a larger agency?**

- Yes
- No

- **Are there any other buildings with sleeping units that are associated with this facility that are not next to this building or on the same campus?**

- Yes (*Please obtain the names, addresses, and telephone numbers of those other places.*)
- No

- **How many youth (minors and adults) have assigned beds in this facility?**

_____ youth

- **How many youth (minors and adults) in this facility are court-adjudicated for an offense?** *(An “offense” is any behavior that is illegal in your state for underage persons alone or for both underage persons and adults.)*

_____ youth

- **Other than for gender separation, does this facility have one or more living/sleeping units, designed to keep any youth separate in housing and activities from other residents for specialized care or security?** *(By “separate living/sleeping units,” we mean places such as other buildings on campus, wings, floors, dorms, barracks, classrooms, or cottages. We do not mean time-out rooms, isolation rooms, or infirmaries.)*

- Yes
- No

NSYC data collection logistics

- **When will the visit be conducted? Are there dates when the facility cannot accommodate the visit (e.g., holidays, school testing days)?**

- **What private areas will be available for the youth to complete the computer-assisted interviews? One area will be needed for each researcher visiting the facility.**

- **What conditions have been established for parent/guardian consent?**
Typically, the conditions are set by the state or other agency. Roles and responsibilities of Westat and facility staff are left to be defined through discussions with the facility coordinator.

- **What will be the reporting procedures if a youth makes a verbal statement alleging abuse or neglect?** Again, the general procedures have been defined by the state or other agency. Specific instructions must be discussed with the facility coordinator.

- **Who will be available to provide counseling services if a youth makes such a request to a researcher?** The state or other agency will have already agreed that services will be available from both facility-based and external counselors as needed.

- **When and how will the facility coordinator provide Westat with youth rosters and updates?** What information must be conveyed?

- **Are researchers required to undergo any background checks or complete any other security procedures?**

- **Are there recommended hotels where our researchers should stay?**
