



Texas Juvenile Justice Department RESEARCH AGREEMENT

THIS IS AN AGREEMENT between the State of Texas, represented by and through the **Texas Juvenile Justice Department**, hereinafter the "**Department**," and **Baylor University**, through its faculty member **Dr. Sung Joon Jang**, hereinafter the "**Researcher**."

WHEREAS, the Researcher has submitted a written request and research proposal to the Department dated May 25, 2017, attached hereto and incorporated by reference as **Attachment 1**; and

WHEREAS, the Department may, pursuant to Texas Family Code Section 58.009, grant certain entities access to juvenile justice information, which is otherwise confidential, for research and statistical purposes or any other purpose approved by the Department or for a purpose beneficial to and approved by the Department; and

WHEREAS, based upon the information provided in the written request and research proposal, the Department has determined that Researcher is an entity that may receive juvenile justice information and is requesting such information for an approved purpose;

NOW, THEREFORE in consideration of the foregoing the Department has determined that it will release the requested juvenile justice information to Researcher as allowed by Section 58.009 of the Texas Family Code and pursuant to the terms of this Agreement.

I. Purpose

The purpose of this Agreement is to delineate the terms and conditions of an approved and authorized disclosure of confidential juvenile justice information collected and maintained for statistical and research purposes by the Department pursuant to Texas Family Code Section 58.009, in response to a request from the Researcher.

II. Confidentiality

The Researcher hereby acknowledges the confidential nature of the information disclosed and agrees to comply with each and every restriction and obligation set forth herein. The Researcher further acknowledges and agrees that the disclosure of information by the Department does not constitute a waiver of any applicable provisions or exceptions to disclosure under Chapter 58 of the Texas Family Code or Chapter 552 of the Texas Government Code, the Public Information Act.

**III.
Scope of Department's Release**

The Department will provide the Researcher the following:

-Commitment/revocation records, to include: TJJD # (unique key variable that allows linking between datasets), admission type, committing county, committing/revocation offense, start date, end date, and discharge date/reason if applicable.

-Socio-demographic variables, to include: birthdate, gender, race, Medicaid eligibility, parents' marital status, family history of criminal involvement, suspected history of abuse.

-Education/psychological variables, to include: IQ, last grade completed prior to commitment, all TABE reading and math scores, special education eligibility, GED/HS diploma attainment.

-Specialized treatment needs from 060D form, to include: level of need for alcohol/other drug, mental health, sexual behavior, and capital/serious violent offender treatment.

-Treatment service records from 120 form, to include: treatment type, treatment end reason (e.g. successful completion, failure, etc.), treatment start date, treatment end date.

-Assignment records, to include: location, location type, assignment start date, assignment end date, move reason.

-Offense history variables, to include: number of prior referrals, number of prior adjudications, number of prior felony adjudications.

-Incident/behavior violation report records from 225 form, to include: incident date, incident location, incident type (major/minor), incident category (e.g. disruption of program, threatening, etc.), security referral, security admission.

-Indication of possible gang affiliation, noted by intake staff or case manager in the special considerations section of the safe housing assessment form (035, 036 forms).

-DPS data elements:

Arrest Date
Offense Date
Level and Degree
Citation
Offense Code
Offense Description
Disposition Number
Sentence Date
Arrest Disposition Code
Arrest Disposition Description
Arrest Disposition Date
Disposition Date
TRN Number
Cause Number

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Agency Receiving Custody
Final Court Decision
Confinement
Status Change
Status Change Date
Status Supervision Number

**IV.
Statement of Data Security**

The Researcher shall provide the Department a separate executed written statement (Statement of Data Security) of the administrative and physical precautions that will be taken to securely protect any data deemed confidential pursuant to this Agreement and/or statutory law. The Statement of Data Security is attached hereto and incorporated by reference as **Attachment A**.

**V.
Obligations and General Responsibilities of the Researcher**

5.1 The Researcher shall:

- 5.1.1 Use the information and/or data provided only for the research, evaluative, and/or statistical purpose described in the written request and research proposal (Attachment 1);**
- 5.1.2 Limit access to the information and/or data to those employees or associates of the Researcher whose responsibilities cannot be accomplished without such access;**
- 5.1.3 Replace any and all identifying information of any record subject with an alphanumeric or other appropriate code, if applicable;**
- 5.1.4 Immediately notify the Department of any material changes in the purposes or objectives of his/her/its proposed research or in the manner in which the information and/or data will be used;**
- 5.1.5 Prohibit the disclosure of data in any form which identifies an individual, if applicable;**
- 5.1.6 Prohibit the disclosure, access, distribution, review, copying, or duplication of information and/or data provided other than for the stated research, evaluative, and/or statistical purpose;**
- 5.1.7 Secure a written agreement that contains a provision that restricts removal and portability of information and/or data by a student, faculty member, employee, or associate after his or her affiliation, association, or employment with an authorized entity, college, or university has ended;**
- 5.1.8 Provide a draft copy of the research report, article, or publication prior to dissemination; and**
- 5.1.9 Destroy any and all data files when the stated research, evaluative, and/or statistical purpose has been completed.**

5.2 The Researcher shall not:

- 5.2.1 Disclose any of the information and/or data in a form which is identifiable to an individual in any project report or in any other manner whatsoever; or**

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- 5.2.2 Make copies of any of the information and/or data provided other than what is absolutely necessary for research, evaluative, and/or statistical purposes or directly or indirectly transfer, disseminate, or disclose data files, electronic data, physical records, or copies of any information to any person, firm, other business, or governmental entity for any purpose without the Department's prior written consent.
- 5.3 In the event that the Researcher deems it necessary, for purposes consistent with this Agreement, to disclose the information and/or data to any other person or entity, including, but not limited to, student researchers, associates, collaborators, and/or subcontractors, the Researcher shall:
- 5.3.1 Secure the written agreement of any such person or entity to comply with all terms of this Agreement as if they were named herein;
- 5.3.2 Submit such written agreement to the Department with a request for its written consent;
- 5.3.3 Prohibit disclosure of any of the information and/or data until the Department has provided such written consent;
- 5.3.4 Notify the Department immediately upon discovery of any unauthorized use or disclosure or of any other breach of this Agreement by the Researcher's associates, collaborators, subcontractors, or other persons, and will cooperate with the Department to regain possession and/or prevent its further unauthorized use or disclosure; and
- 5.3.5 Notify the Department immediately of any modification to the parties, providers, or subcontractors using the data for the stated research project.

VI.

Department's Right to Monitor Research Activities

The Researcher further agrees that the Department shall have the right, at any time, to monitor, audit, and/or review the activities and policies of the Researcher (or any person or entity granted access to information and/or data under Section 5.3, above) in order to assure compliance with this Agreement. The Department shall reserve the right to review the Researcher's work, including, but not limited to, project findings and reports, prior to dissemination or publication.

VII.

Department's Right to Terminate

In the event that the Researcher fails to comply with any term of this Agreement, the Department shall have the right to take such actions as it deems appropriate, including termination of this Agreement. If the Department terminates this Agreement, the Researcher (or any person or entity granted access to the information and/or data) shall return all information and/or data to the Department, including all originals, copies, extracts, or other forms and/or formats. The confidentiality provisions contained herein shall survive upon termination of the Agreement.

VIII.

Department's Property Rights

Any patentable product, process, or idea that results from the performance of this Agreement AND for which the Department has expended appropriated funds becomes the property of the Department.

**IX.
Hold Harmless**

To the extent permitted by the Constitution and the laws of the state of Texas, the Researcher shall indemnify, defend, protect, and hold harmless the Department or any of its employees from any claims damages, or other liability arising as a result of disclosure by the Researcher of any information received pursuant to this Agreement or for any acts by the Researcher which are libelous or slanderous or violates a right of confidentiality.

The Department makes no representations or warranties, express or implied, as to the accuracy and completeness of the information disclosed. The Researcher acknowledges and agrees that the Department shall not be responsible for the Researcher's reliance on the information and/or data provided.

**X.
Governing Law, Venue, and Sanctions**

This Agreement is being executed, delivered, and performed in the state of Texas. The laws of the state of Texas shall govern the validity, construction, enforcement and interpretation of this Agreement. In any legal action arising from this Agreement, the laws of the state of Texas shall apply and venue shall be in Travis County, Texas.

The Researcher further acknowledges and agrees that failure to comply with the terms of this Agreement, including any misuse or wrongful disclosure, may result in administrative or legal action and may subject the Researcher to civil or criminal penalties imposed by state or federal law.

**XI.
General**

This document constitutes the complete and final agreement between the Department and the Researcher. Any other oral or written agreements between the parties concerning the subject matter of this Agreement are of no force or effect after the effective date of this Agreement. The Researcher and the Department agree that any modifications or amendments to this Agreement must be in writing and signed by all parties. Neither this Agreement nor any duties or obligations herein shall be assignable by the Researcher without express, prior written approval from the Department.

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The parties hereto in their capacities as stated affix their signatures and bind themselves to the terms of this Agreement.

THE STATE OF TEXAS, acting by and through the Texas Juvenile Justice Department:

By: 
David Reilly
Executive Director

Date: 11/28/17

The Researcher:

By: 
Sung Joon Jang
Research Professor of Criminology

Date: 10/15/2017

By: 
Michael K. McLendon
Interim Executive Vice President and Provost

Date: 2/13/2018

(MK)

ATTEST 
Marsha J. Duckworth,
Assistant Secretary



RESEARCH PROPOSAL

Project Title: Baylor Study of One Heart – Texas Mentoring Initiative

Project Researchers: Sung Joon Jang, Ph.D., and Byron R. Johnson, Ph.D.

Executive Summary

We propose to study a three-year mentoring program for youthful offenders placed in the facilities of the Texas Juvenile Justice Department as a part of the Baylor Study of One Heart – Texas Mentoring Initiative (TMI) because:

- prior research on the impact of mentoring on youthful offenders is limited in number, quality, and the length of mentoring period studied;
- prior research is mixed about the prosocial outcomes of mentoring for youth; and
- identifying effective mentoring practices for youthful offenders will reduce recidivism and save tax dollars, as well as help youth become productive, law-abiding citizens.

The proposed research intends to:

- examine the effect of the One Heart – TMI on beliefs, attitudes, and behaviors of youthful offenders, testing whether participation in the program increases positive outcomes and decreases negative ones over time;
- identify contributing factors of the anticipated changes by testing whether the changes are attributable to prosocial outcomes of mentoring (e.g., identity transformation); and
- conduct a randomized controlled trial by assigning youthful offenders randomly to treatment and control groups, administering surveys to them up to five times, and obtaining data on their backgrounds and offending from the Texas Juvenile Justice Department

In executing this project, we will conduct our study in a fully ethical manner by:

- obtaining informed consent from youth and permission from their parent/guardian; and
- ensuring the confidentiality of data via the use of a secure drive with encryption and a locked filing cabinet to store electronic data and signed forms and completed surveys.

The following will be key products stemming from the research:

- publishing research articles in top peer-reviewed journals;¹
- publishing lay-friendly and highly accessible reports without complicated statistics;²
- writing essays and opinion editorials in high-circulation newspapers and magazines.³

¹ For example, we have published in top criminology and criminal justice journals including *Criminology*, *Justice Quarterly*, *Journal of Research in Crime and Delinquency*, and *Journal of Quantitative Criminology*.

² Here's a link to research reports we have published: <http://www.baylorisr.org/publications/isr-reports/>

³ We have published opinion editorials in various newspapers including *The Wall Street Journal*, *Dallas Morning News*, *Baltimore Sun*, and *Houston Chronicle*.



We propose to study a three-year mentoring program for youthful offenders in the facilities of Texas Juvenile Justice Department as a part of the Baylor Study of One Heart – Texas Mentoring Initiative (which is funded by private donors in the amount of \$150,000) to examine prosocial outcomes of mentoring. The One Heart – Texas Mentoring Initiative (TMI) is a program that consists of two specific initiatives, redirection (pre-release mentoring and curricular training) and reentry initiative (post-release mentoring and aftercare services), for youthful offenders in state and county facilities.

For the redirection initiative, youth assigned randomly to treatment group are matched to a mentor based on their completed online profile for weekly one-on-one mentoring, whereas those in control group are not. The youth in treatment group also attend weekly, small-group sessions of curricular training in nine “core values” (commitment, leadership, perseverance, teamwork, respect, integrity, responsibility, self-control, and compassion) for nine months.

The reentry initiative consists of the same pre-release mentor providing continued mentoring and a continuum of support to help youth with post-release adjustment in vital areas, such as healthcare, housing, food, education, and job.

Research Objectives

A first objective of this study is to examine the effect of the One Heart – TMI on beliefs, attitudes, and behaviors of youthful offenders, testing whether participation in the program increases positive outcomes (e.g., prosocial behaviors, education, employment, mental health) and decreases negative ones (e.g., institutional violation, drug use, and recidivism) over time.

A second objective is to identify factors that contribute to the anticipated changes by examining whether the changes are attributable not only to the nine core values of curricular training and other prosocial characteristics (e.g., forgiveness, humility, and gratitude) but also transformation in the youth’s self-identity of existential (i.e., meaning and purpose in life), cognitive, and emotional dimensions.

Significance

Prior Research

While mentoring programs are generally evaluated favorably when applied to at-risk youth not involved in the juvenile justice system (DuBois, Portillo, Rhodes, Silverthorn, & Valentine, 2011), mentoring for youthful offenders tends to receive mixed results for effectiveness. For example, in a meta-analysis of 46 studies, Tolan et al. (2013) found mentoring for high-risk youth to have a modest positive effect for delinquency, but some studies reviewed showed no effect with a few even reporting negative effects. Similarly, Abrams et al. (2014) conducted a systematic review of three relatively well designed studies on mentoring as reentry and aftercare intervention, and found one of them reported no significant difference between treatment and control group with the other two finding some recidivism reductions among youth who received mentoring (see also Drake & Barnoski, 2006). Jolliffe and Farrington (2007) also found seven of 18 studies assessed to show significant reduction in re-offending, but other studies of higher methodological quality showed no such effect.

Contributions

Therefore, our proposed study of randomized controlled trial has the potential contribution to not only to the academic/scientific literature on mentoring but also the improvement of mentoring programs for

youthful offenders given the objective of identifying factors that explain how mentoring helps youthful offenders change their behavior and lifestyle.

Social Benefits

In addition, a mentoring program's potential benefits to society are important to the extent that the program can help transform youth into contributing members of society when they return to the community. For example, a survey of 46 states showed that the average costs of confinement for a youth was \$407.58 per day or \$148,767 per year in 2014 (Justice Policy Institute, 2014). The annual cost for confinement was about three to eight times as much as the average costs for college education (including room and board as well as tuition and fees) in 2014-15: \$19,120 for public four-year college and \$42,870 for its private counterpart (College Board, 2017).

Thus, when youth re-enter society as law-abiding citizens via mentoring programs, the reduction in recidivism results in less of a burden on taxpayers. Potential social benefits of mentoring further increase as they begin to contribute to their community by paying taxes from working and strengthening families as they rebuild relationships with family members and later become responsible parents to their own children, breaking the cycle of inter-generational transmission of criminality.

Informed Consent

Baylor IRB-approved Forms

Since we propose to study human subjects that are not only minors but also the vulnerable population of youthful offenders, we intend to conduct our study in a fully ethical manner. Specifically, to obtain informed consent from youth we will use Baylor IRB-approved assent form for those under the age of 18 (see Appendices A and B) and consent form for those who are 18 or older (see Appendices C and D). For the minors (i.e., youth under the age of 18), parental permission will be also obtained from their parent/guardian so their child may participate in the proposed study (see Appendices E and F).

Voluntary Participation and Confidentiality

Our assent, consent, and parental permission form will ensure that, when youth are asked to enroll in our study, potential subjects fully understand their participation is voluntary; and, even if they agree to participate, they may withdraw from the study at any time without providing any reason for withdrawal. We will make it clear that their withdrawal will not affect him/her negatively in any way. The form also explains that we will ask them to participate in five surveys to complete over a three-year period, during which we will collect data from juvenile justice agencies as well, and all data will be confidential to protect their privacy.

Minimal Risk

In addition, the form states that participants are unlikely to experience any physical risk or discomfort, while psychological discomfort might occur to some participants, as we will ask them about not only what they think and how they feel about themselves but also negative experiences in the past. Such impact, however, is likely to be momentary and short-lived, but if participants indicate feeling distressed because of answering questions, we will attempt to address the issue by identifying the source of distress and helping them handle the distress properly. If it is not successful or seems insufficient, we will refer them to the facility chaplain or psychologist for further counseling.

Data Collection and Management

Survey Data

We will collect data by conducting survey with 170 youthful offenders (60 in Gainesville, 50 in Giddings, 40 in Roanoke, and 20 in Brownwood), randomly assigned to treatment and control groups (i.e., 85 in each group) over a three-year period, from 2017 to 2020, according to a proposed timeline below. For youth in treatment group, survey is proposed to be conducted five times: pre-test before being enrolled in the mentoring program, post-test at the completion of the program's curricular training, and three follow-ups with the first being six months after the post-test and the second and third being one and two years after the first follow-up. On the other hand, we propose that youth in control group participate in the first two surveys only. Each survey consists of structured, closed-ended questions (i.e., multiple-choice questions) and is likely to take 25-30 minutes to complete (see Appendices G and H).

Data Collection	2017	2018	2019	2020	Proposed Time
Pre-test	X				September
Post-test		X			March
First follow-up*		X			September
Second follow-up*			X		September
Third follow-up*				X	September
Official data	X	X	X	X	November

* Youth in treatment group only

Official Data

We will also collect data by requesting the Texas Juvenile Justice Department annually to provide us with official data on the variables and data fields specified in the Research Agreement (see III. Scope of Department's Release). We suspect that it will take several hours of TJJD staff time to prepare our requested data each year, and are willing to pay for the staff time, if necessary.

Data Security

Since we will collect data for the same individual youth more than once, the data cannot be anonymous but will be confidential. Specifically, only the Principal Researcher will be able to link each youth to his/her answers in survey and official data. To ensure confidentiality, once we enter survey data in a computer file, signed assent/consent and parental permission forms and completed surveys will be stored in a locked filing cabinet until we destroy them at the end of project. On the other hand, all electronic data will be stored on a separate secure hard drive connected to the Principal Researcher's office computer located on the Baylor campus (see the Statement of Data Security attached to the Research Agreement).

Data will remain on the secure drive until the proposed research is completed, when the Principal Researcher will destroy them by permanently erasing them all. Until then, the Researcher will be responsible for monitoring the protection and safety of data. In case there is any deviation from the approved study plan or any unanticipated, adverse events occur, the Principal Researcher will immediately report such incidence to the Baylor IRB and the Texas Juvenile Justice Department for approval and/or instructions.

Research Methodology and Data Analysis

Research Design

The proposed research is a randomized controlled trial (RCT) with a single treatment group of youth who are randomly assigned to participate in the One Heart – TMI and a control group of their peers who are not. We designed our proposed research to be a longitudinal study so we can examine potential changes in key constructs, such as self-identity and positive development, over time. This is important for testing our causal hypotheses stated in terms of research questions. We will combine self-reported data on beliefs, attitudes, and/or behaviors from the survey with the Texas Juvenile Justice Department data on personal (e.g., sociodemographic) and justice system-related background variables (e.g., prior arrests, institutional violation, and recidivism).

Key Variables

We propose to measure various outcomes of mentoring using survey and official data: an increase in emotional well-being and a decrease in intended aggression, institutional violation, and recidivism (i.e., re-arrest, re-referral to court, re-conviction or re-adjudication, and re-confinement). Besides these ultimate outcomes, we will measure more immediate outcomes of mentoring. They include changes in legal cynicism (Sampson & Bartusch, 1998), search and presence of meaning (Steger, Frazier, Oishi, & Kaler, 2006), cognitive and emotional self-identity (Giordano, Cernkovich, & Rudolph, 2002; Giordano, Schroeder, & Cernkovich, 2007), crystallization of discontent and feared self (Paternoster & Bushway, 2009), existential identity (Jang, 2016; Jang & Johnson, 2017) and virtues, such as gratitude and forgiveness (Emmons, 1999; Pargament, Feuille, & Burdzy, 2011). Also included in the immediate outcomes are measures of nine “core values” of the program’s curricular training: commitment, leadership, perseverance, teamwork, respect, integrity, responsibility, self-control, and compassion.

Causal Explanations

We will first examine whether the youth’s participation in the One Heart – TMI tends to increase their emotional well-being and decrease antisocial behaviors (i.e., intended aggression, institutional violation, and offending after release) over time. If so, we will test whether the immediate outcomes of mentoring explain the prosocial effects of mentoring on the ultimate outcomes. For example, we will test whether youth’s participation in the mentoring program tends to decrease the probability of institutional violation due in part to transformation in the youth’s self-identity.

Statistical Analysis

Besides basic analysis (e.g., correlations, factor analysis, and reliability analysis), our major statistical analysis consists of two parts. First, we will estimate structural equation models, using a statistical program called “Mplus,” to examine whether participation in One Heart-TMI increases positive youth development including prosocial self-identity and decreases antisocial behaviors of institutional violation and recidivism after release due in part to the positive outcomes.

Second, using official data on recidivism, we will estimate long-term trajectories of offending over a 10-year period, 2013 to 2022, to examine whether the trajectories are associated with the participation in the mentoring program and its positive outcomes in the expected direction. For this analysis, we will use the *traj* procedure of statistical program, called “Stata.”

References

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Appendix A: Assent Form for Treatment Group

Baylor Study of One Heart – Texas Mentoring Initiative
Program on Prosocial Behavior, Baylor University, Waco, TX

Assent Form for Research

The Baylor Study of One Heart – Texas Mentoring Initiative is a research project run by Baylor University. This project will study how helpful the mentoring program is. We plan to study 500 juveniles. We ask you to join this study. If you join, you will answer questions in a survey five times in the next three years. You will do the first three surveys in the first year and half. After that, you will do two more in the next two years. It will take about 25-30 minutes to do each survey. We will also get your information from juvenile justice agencies. If you agree to join, we ask you to sign this form. We will send a scanned copy of your signed form to someone in charge of you so you may see it later.

Your answers in the survey and information from the agencies will be private. That is, we will not show them to other people. There may be times when federal or state law asks us to show your answers in the survey. But they are highly unlikely to get you in trouble.

There are no direct benefits to you by taking part in this study. But you may benefit in some ways. By taking the surveys you are helping us improve the mentoring program. This may help you and others in the future.

Being part of this study is your choice. You do not have to do the survey if you don't want to. You can leave this study at any time for any reason. Whether you join this study or not will not change or hurt your current or future relationships with the Texas Juvenile Justice Department or Baylor University. If you quit this study, we will keep your information private.

As far as we know, taking part in this study will not hurt you in any way. If you get tired, you can rest at any time. Some of the questions may be personal. If they make you sad or upset, you do not have to answer them.

We will put your answers in a computer file. We will keep your completed survey in a locked cabinet. All survey results will be kept on a secure computer that is kept safe. The Academic and Research Computing Services of Baylor University will update the computer by special technology and maintain it until we finish in May 2022. At the end of this study, we will destroy all of your information on the computer and in surveys.

Do you have any questions about this study? If you do, please ask the person talking to you about this form. If you want to ask questions later, you can call us at 254-710-7555.

Statement of Assent

I have read the information in this form including risks and possible benefits. I have been given the chance to ask questions. My questions were answered fully, and I agree to join this study and to let the researcher contact me in the future to follow up this study.

Your Signature

Date

I have explained the research to the youth and answered all his or her questions. The youth will be able to see a copy of his or her signed form later.

Signature of Person Obtaining Assent

Date

Version date: 06/20/2017



Appendix B: Assent Form for Control Group

Baylor Study of One Heart
Program on Prosocial Behavior, Baylor University, Waco, TX

Assent Form for Research

The Baylor Study of One Heart is a research project run by Baylor University. This project will study beliefs, attitudes, and behaviors of 500 juveniles. We ask you to join this study. If you join, you will answer questions in a survey twice in the next 6 to 9 months. You will do the first three surveys in the first year and half. After that, you will do two more in the next two years. It will take about 25-30 minutes to do each survey. We will also get your information from juvenile justice agencies. If you agree to join, we ask you to sign this form. We will send a scanned copy of your signed form to someone in charge of you so you may see it later.

Your answers in the survey and information from the agencies will be private. That is, we will not show them to other people. There may be times when federal or state law asks us to show your answers in the survey. But they are highly unlikely to get you in trouble.

There are no direct benefits to you by taking part in this study. But you may benefit in some ways. By taking the surveys you are helping us improve the mentoring program. This may help you and others in the future.

Being part of this study is your choice. You do not have to do the survey if you don't want to. You can leave this study at any time for any reason. Whether you join this study or not will not change or hurt your current or future relationships with the Texas Juvenile Justice Department or Baylor University. If you quit this study, we will keep your information private.

As far as we know, taking part in this study will not hurt you in any way. If you get tired, you can rest at any time. Some of the questions may be personal. If they make you sad or upset, you do not have to answer them.

We will put your answers in a computer file. We will keep your completed survey in a locked cabinet. All survey results will be kept on a secure computer that is kept safe. The Academic and Research Computing Services of Baylor University will update the computer by special technology and maintain it until we finish in May 2022. At the end of this study, we will destroy all of your information on the computer and in surveys.

Do you have any questions about this study? If you do, please ask the person talking to you about this form. If you want to ask questions later, you can call us at 254-710-7555.

Statement of Assent

I have read the information in this form including risks and possible benefits. I have been given the chance to ask questions. My questions were answered fully, and I agree to join this study and to let the researcher contact me in the future to follow up this study.

Your Signature

Date

I have explained the research to the youth and answered all his or her questions. The youth will be able to see a copy of his or her signed form later.

Signature of Person Obtaining Assent

Date

Version date: 06/20/2017



Appendix C: Consent Form for Treatment Group

Baylor Study of One Heart – Texas Mentoring Initiative
Program on Prosocial Behavior, Baylor University, Waco, TX

Consent Form for Research

The Baylor Study of One Heart – Texas Mentoring Initiative is a research project run by Baylor University. This project will study how helpful the mentoring program is. We plan to study 500 juveniles. We ask you to join this study. If you join, you will answer questions in a survey five times in the next three years. You will do the first three surveys in the first year and half. After that, you will do two more in the next two years. It will take about 25-30 minutes to do each survey. We will also get your information from juvenile justice agencies. If you agree to join, we ask you to sign this form. We will send a scanned copy of your signed form to someone in charge of you so you may see it later.

Your answers in the survey and information from the agencies will be private. That is, we will not show them to other people. There may be times when federal or state law asks us to show your answers in the survey. But they are highly unlikely to get you in trouble.

There are no direct benefits to you by taking part in this study. But you may benefit in some ways. By taking the surveys you are helping us improve the mentoring program. This may help you and others in the future.

Being part of this study is your choice. You do not have to do the survey if you don't want to. You can leave this study at any time for any reason. Whether you join this study or not will not change or hurt your current or future relationships with the Texas Juvenile Justice Department or Baylor University. If you quit this study, we will keep your information private.

As far as we know, taking part in this study will not hurt you in any way. If you get tired, you can rest at any time. Some of the questions may be personal. If they make you sad or upset, you do not have to answer them.

We will put your answers in a computer file. We will keep your completed survey in a locked cabinet. All survey results will be kept on a secure computer that is kept safe. The Academic and Research Computing Services of Baylor University will update the computer by special technology and maintain it until we finish in May 2022. At the end of this study, we will destroy all of your information on the computer and in surveys.

Do you have any questions about this study? If you do, please ask the person talking to you about this form. If you want to ask questions later, you can call us at 254-710-7555.

Statement of Consent

I have read the information in this form including risks and possible benefits. I have been given the chance to ask questions. My questions were answered fully, and I agree to join this study and to let the researcher contact me in the future to follow up this study.

Your Signature

Date

I have explained the research to the youth and answered all his or her questions. The youth will be able to see a copy of his or her signed form later.

Signature of Person Obtaining Consent

Date

Version date: 06/20/2017



Appendix D: Consent Form for Control Group
Baylor Study of One Heart
Program on Prosocial Behavior, Baylor University, Waco, TX

Consent Form for Research

The Baylor Study of One Heart is a research project run by Baylor University. This project will study beliefs, attitudes, and behaviors of 500 juveniles. We ask you to join this study. If you join, you will answer questions in a survey twice in the next 6 to 9 months. You will do the first three surveys in the first year and half. After that, you will do two more in the next two years. It will take about 25-30 minutes to do each survey. We will also get your information from juvenile justice agencies. If you agree to join, we ask you to sign this form. We will send a scanned copy of your signed form to someone in charge of you so you may see it later.

Your answers in the survey and information from the agencies will be private. That is, we will not show them to other people. There may be times when federal or state law asks us to show your answers in the survey. But they are highly unlikely to get you in trouble.

There are no direct benefits to you by taking part in this study. But you may benefit in some ways. By taking the surveys you are helping us improve the mentoring program. This may help you and others in the future.

Being part of this study is your choice. You do not have to do the survey if you don't want to. You can leave this study at any time for any reason. Whether you join this study or not will not change or hurt your current or future relationships with the Texas Juvenile Justice Department or Baylor University. If you quit this study, we will keep your information private.

As far as we know, taking part in this study will not hurt you in any way. If you get tired, you can rest at any time. Some of the questions may be personal. If they make you sad or upset, you do not have to answer them.

We will put your answers in a computer file. We will keep your completed survey in a locked cabinet. All survey results will be kept on a secure computer that is kept safe. The Academic and Research Computing Services of Baylor University will update the computer by special technology and maintain it until we finish in May 2022. At the end of this study, we will destroy all of your information on the computer and in surveys.

Do you have any questions about this study? If you do, please ask the person talking to you about this form. If you want to ask questions later, you can call us at 254-710-7555.

Statement of Consent

I have read the information in this form including risks and possible benefits. I have been given the chance to ask questions. My questions were answered fully, and I agree to join this study and to let the researcher contact me in the future to follow up this study.

Your Signature

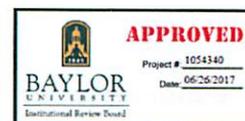
Date

I have explained the research to the youth and answered all his or her questions. The youth will be able to see a copy of his or her signed form later.

Signature of Person Obtaining Consent

Date

Version date: 06/20/2017



Appendix E: Parental Permission Form for Treatment Group

Baylor Study of One Heart – Texas Mentoring Initiative
Program on Prosocial Behavior, Baylor University, Waco, TX

Parental Permission Form for Research

The purpose of this form is to provide you with information about a research project, called “Baylor Study of One Heart – Texas Mentoring Initiative,” and what to expect if you as parent/guardian permit your child to participate in this study. We are asking for your permission since your child cannot give consent because s/he is a minor (younger than 18), while we will ask your child to give his/her assent to participate in this study in a separate form.

Baylor University conducts this research to study a mentoring program, One Heart – Texas Mentoring Initiative, for which your child was recommended and applied. We intend to study 500 juveniles including your child by asking them to complete a survey five times over a 3-year period, the first three in a year and half and the last two a year apart afterwards. It will take about 25-30 minutes to complete each survey. We will also obtain data from juvenile justice agencies.

We will keep the records of this study confidential by allowing only the researcher to access the ID that would link your child’s name to his/her input. Although there are times when federal or state law may require the disclosure of his/her records, his/her input is highly unlikely to incriminate your child given the nature of questions.

There are no benefits directly to you from allowing your child to participate in this study. However, your child may benefit indirectly as his/her participation with your permission may help improve the mentoring program. For this reason, other juveniles may benefit in the future as well from the results of this study.

Your child’s participation is voluntary, so s/he is free not to participate or to withdraw from this study at any time for any reason. No matter what your child decides, the decision on whether to participate will not affect his/her current or future relations with the Texas Juvenile Justice Department or Baylor University. If your child decides to withdraw from this study, the information that s/he has already provided will be kept confidential, while s/he cannot withdraw information collected prior to his/her withdrawal.

Participating in this study will not hurt your child in any way. S/He may get tired during the task, but can rest at any time. Your child may get emotional when answering some questions because they may be sensitive and personal in nature, but does not have to answer any questions that make him/her feel uncomfortable.

Once your child’s responses are entered in a computer file, his/her completed survey will be kept in a locked filing cabinet. All survey results will be stored on a secure server, protected by encryption technology and regular updates as well as maintenance by the Academic and Research Computing Services of Baylor University, through May 2022, when our study is scheduled to be completed. At the completion of this study, all data files will be deleted and surveys will be destroyed by shredding.

Finally, if you have any questions or concerns about this study, you can contact Dr. Sung Joon Jang, Principal Investigator, or Dr. Byron R. Johnson, Co-Investigator, at 254-710-7555, Monday through Friday, 9 am – 5 pm (Central Time). If you want to speak with someone not directly involved in this study, you may contact the Baylor University IRB through the Office of the Vice President for Research at 254-710-1438.

Statement of Consent

I give my consent for my child to participate in this study and agree to allow his/her information to be used as described above.

Signature of Parent/Guardian

Date

I have explained the research to the parent/guardian and answered all his/her questions. I will give a copy of the signed permission form to the parent/guardian.

Signature of Person Obtaining Consent

Date

Version date: 04/24/2017



Appendix F: Parental Permission for Control Group

Baylor Study of One Heart
Program on Prosocial Behavior, Baylor University, Waco, TX

Parental Permission Form for Research

The purpose of this form is to provide you with information about a research project, called "Baylor Study of One Heart," and what to expect if you as parent/guardian permit your child to participate in this study. We are asking for your permission since your child cannot give consent because s/he is a minor (younger than 18), while we will ask your child to give his/her assent to participate in this study in a separate form.

Baylor University conducts this research to study beliefs, attitudes, and behaviors of 500 juveniles including your child by asking them to complete a survey twice over a 6-to-9-month period. It will take about 25-30 minutes to complete each survey. We will also obtain data from juvenile justice agencies.

We will keep the records of this study confidential by allowing only the researcher to access the ID that would link your child's name to his/her input. Although there are times when federal or state law may require the disclosure of his/her records, his/her input is highly unlikely to incriminate your child given the nature of questions.

There are no benefits directly to you from allowing your child to participate in this study. However, your child may benefit indirectly as his/her participation with your permission may help improve the juvenile justice system in Texas. For this reason, other juveniles may benefit in the future as well from the results of this study.

Your child's participation is voluntary, so s/he is free not to participate or to withdraw from this study at any time for any reason. No matter what your child decides, the decision on whether to participate will not affect his/her current or future relations with the Texas Juvenile Justice Department or Baylor University. If your child decides to withdraw from this study, the information that s/he has already provided will be kept confidential, while s/he cannot withdraw information collected prior to his/her withdrawal.

Participating in this study will not hurt your child in any way. S/He may get tired during the task, but can rest at any time. Your child may get emotional when answering some questions because they may be sensitive and personal in nature, but does not have to answer any questions that make him/her feel uncomfortable.

Once your child's responses are entered in a computer file, his/her completed survey will be kept in a locked filing cabinet. All survey results will be stored on a secure server, protected by encryption technology and regular updates as well as maintenance by the Academic and Research Computing Services of Baylor University, through May 2022, when our study is scheduled to be completed. At the completion of this study, all data files will be deleted and surveys will be destroyed by shredding.

Finally, if you have any questions or concerns about this study, you can contact Dr. Sung Joon Jang, Principal Investigator, or Dr. Byron R. Johnson, Co-Investigator, at 254-710-7555, Monday through Friday, 9 am – 5 pm (Central Time). If you want to speak with someone not directly involved in this study, you may contact the Baylor University IRB through the Office of the Vice President for Research at 254-710-1438.

Statement of Consent

I give my consent for my child to participate in this study and agree to allow his/her information to be used as described above.

Signature of Parent/Guardian

Date

I have explained the research to the parent/guardian and answered all his/her questions. I will give a copy of the signed permission form to the parent/guardian.

Signature of Person Obtaining Consent

Date

Version date: 05/05/2017



Appendix G: Youth Survey for Pre-Test

TJJD# _____

Name _____

Please answer the following questions by putting "X" on the response that is closest to your thoughts and feelings as honestly as you can since there is no right or wrong answer. Thank you.

1. How strongly do you agree or disagree with the following statements?

	Strongly Disagree	Disagree	Agree	Strongly Agree
a. It's okay to do anything you want as long as you don't hurt anyone.				
b. To make money, there are no right and wrong ways anymore, only easy ways and hard ways.				
c. Laws are made to be broken.				

2. How true or untrue is each of the following statements?

	Absolutely Untrue	Mostly Untrue	Somewhat Untrue	Can't Say True or False	Somewhat True	Mostly True	Absolutely True
a. I am seeking a purpose or mission for my life.							
b. I have a good sense of what makes my life meaningful.							
c. I have found a satisfying reason why I was born.							
d. I am always looking for something that makes my life feel important.							

3. How strongly do you agree or disagree with the following statements?

	Strongly Disagree	Disagree	Agree	Strongly Agree
a. I am open for change.				
b. I have a good new self that replaced my old bad self.				
c. I am willing to have myself changed completely.				

4. How likely is it you would use each word below to describe yourself (e.g., "Angry Jose," "Nervous Bob")?

	Very unlikely	Unlikely	Likely	Very Likely
a. Depressed				
b. Angry				
c. Nervous				

5. How strongly do you agree or disagree with the following statements?

	Strongly Disagree	Disagree	Agree	Strongly Agree
a. I would face a miserable future unless I change.				
b. A life of offending will do more harm than good to me.				
c. I have made a conscious decision to improve myself.				

6. Please indicate how often you have done each of the following.

	Never	Seldom	Sometimes	Often
a. To forgive myself for things I have done wrong				
b. To ask for forgiveness from those whom I have hurt				
c. To forgive those who hurt me				

7. How strongly do you agree or disagree with the following statements?

	Strongly Disagree	Disagree	Agree	Strongly Agree
a. I care about doing what is right even if nobody watches me.				
b. I am responsible for something I did to other people but only if I get caught.				
c. I am willing to accept my responsibility even if it costs me.				

8. Please indicate how much you agree with each of the statements, using the scale below.

	Strongly disagree	Disagree	Slightly disagree	Neutral	Slightly agree	Agree	Strongly agree
a. If I had to list everything that I felt thankful for, it would be a very short list.							
b. I am grateful to a wide variety of people.							

9. How strongly do you agree or disagree with the following statements?

	Strongly Disagree	Disagree	Agree	Strongly Agree
a. I feel compelled to help someone even when doing so requires me to go out of my way.				
b. When I see someone in a difficult situation I try to imagine how they feel.				
c. It's not enough to feel sorry for someone who is in trouble. Whenever it is possible, I must also do something to help them.				

10. The following scenario describes in detail a situation. After reading it, please indicate how likely it is that you would do the same as Michael.

It's Sunday afternoon. Michael is watching a football game with other youth. During a halftime break, Michael goes to the restroom. To reserve his seat, he asks a friend to "hold it down" for him. When Michael comes back, David is in his seat. Michael asks David to leave because it is his seat. David says he can sit anywhere he wants. Michael asks David to leave one more time. This time David ignores Michael. Feeling not only dissed but also that he is right, Michael gets into an argument with David, yelling and screaming.

- Not likely at all (0%)
- Very unlikely
- Unlikely
- Likely
- Very likely
- Certainly (100%)

11. How strongly do you agree or disagree with the following statements?

	Strongly Disagree	Disagree	Agree	Strongly Agree
a. I know that I can learn from other people.				
b. I am keenly aware of how little I know about the world.				
c. I can honestly tell what I am good at and what I am not.				
d. I see myself as a small part of how the world works.				

12. During the past week, how often have you experienced each of the following?

	Never	Rarely	Sometimes	Often	Very often
a. Felt angry					
b. Felt depressed or sad					
c. Felt frustrated					
d. Felt nervous, anxious, and on edge					

13. How often would you say you do each of the following?

	Never	Rarely	Sometimes	Often	Always
a. Act on the spur of the moment without stopping to think					
b. Try to avoid tasks that will be complicated					
c. Test myself by doing something a little risky					
d. Try to get what I want even if it causes problems for others.					
e. Lose my temper					

14. How often true is each of the following statement?

	Never true	Rarely true	Sometimes true	Often true	Always true
a. I follow through on something I say or begin.					
b. I can be counted on to carry out tasks without reminders.					
c. I try not to speak words that embarrass or hurt someone.					
d. I place the needs of others above my own.					
e. I do not rub it in when I win in a competition of any kind.					
f. I begin a task or project with the end in mind.					
g. I look for the role I can best fill within a team setting.					
h. I do not bad-mouth other people whom I disagree with.					
i. I take a stance for what is right and do not waver.					
j. I look for ways to cheer up and help those on my team.					
k. I lead others by example.					
l. I will not allow roadblocks to make me quit.					
m. I will keep my personal moral standards no matter what happens to me.					
n. No matter what happens, I do not quit.					
o. I am willing to accept the consequences of my actions.					
p. I reach out to people who are lonely and unaccepted.					

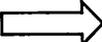
15. Please tell me whether you have been or currently participate in each of the following programs in the juvenile facility.

	Never participated	Participated before	Currently participating
a. Educational program			
b. Job skill or trade training program			
c. Mentoring program			
d. Life skill program			

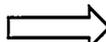
Please continue.

16. Which statement comes closest to your personal beliefs about God or a higher power?

- I have no doubt that God exists.
- I believe in God, but with some doubts.
- I sometimes believe in God.
- I believe in a higher power or cosmic force.
- I don't know and there is no way to find out.
- I do not believe in God.
- I have no opinion.
- None of these

If your answer is one of the first four, continue to answer questions below. 

If your answer is one of the last four, stop here. ☺ Thank you very much for your participation.

 17. How close do you feel to God most of time?

Not close at all	Not very close	Somewhat close	Pretty close	Extremely close

18. How often do you currently attend religious services at a place of worship?

Never	Less than once a year	Once or twice a year	Several times a year	Once a month	2-3 times a month	About weekly	Several times a week

19. About how often do you currently pray outside of religious services?

Never	Only on certain occasions	Once a week or less	A few times a week	Once a day	Several times a day

20. In general, how important is religion to you?

Not at all	Somewhat	Fairly	Very	Extremely

21. Outside of attending religious services, about how often do you currently spend private time reading the Bible, Koran, Torah, or other sacred book?

Never	Less than once a year	One to several times a year	Once a month	2-3 times a month	About weekly	Several times a week	Everyday

This is the end of survey. Thank you very much for your participation.

Appendix H: Youth Survey for Post-Test and Follow-ups

The following questions about mentoring will be added to the pre-test survey (i.e., Appendix G).

22. How often true is each of the following statements?

	Never true	Rarely true	Sometimes true	Often true	Always true
e. My mentor and I have a lot in common.					
f. I wish my mentor asked me more about what I think.					
g. My mentor and I talk about things I really want to.					
h. When my mentor gives me advice, it makes me feel stupid.					
i. I feel like my mentor is my role model.					
j. I wish my mentor knew me better.					
k. My mentor is interested in what I want to do.					
l. My mentor promises something we do not do.					
m. I wish I could spend more time with the mentor.					
n. I cannot trust my mentor with secrets.					

23. How often true is each of the following when you are with your mentor?

	Never true	Rarely true	Sometimes true	Often true	Always true
a. I feel excited.					
b. I feel special.					
c. I feel nervous.					
d. I feel important.					
e. I feel respected.					
f. I feel bored.					
g. I feel happy.					
h. I feel cared for.					

Attachment A: Statement of Data Security

The Researcher and University shall take the following administrative and physical precautions to securely protect any information or data collected under this Agreement or otherwise deemed confidential pursuant to this Agreement, federal law, or the laws of the State of Texas:

The Principal Researcher (PR) will be responsible for the security of data collected from surveys and Texas Juvenile Justice Department.

Respondent Confidentiality

Data collected for the proposed research are subject to a plan for confidentiality reviewed and approved by the Baylor University Institutional Review Board (IRB), a body at the University that protects the rights of persons who participate in research. To ensure confidentiality, the PR will maintain all identifying and contact information required for data collection separately from the data themselves, and will destroy the information at the end of data collection period.

Training and Oversight

The PR, Co-PR, and research staff (e.g., postdoctoral fellow and graduate research assistant) are trained in the protection of human subjects in research and the importance of preserving the confidentiality of all respondents in all data collection, and maintain IRB training certification through the online Collaborative Institutional Training Initiative (CITI) program. The PR will supervise closely and remind regularly research staff of confidentiality precautions.

Data on Paper

Once survey data are entered in an electronic file, signed assent/consent and parental permission forms and completed surveys will be stored in a locked filing cabinet in the PR's office (Pat Neff 404.08) and, if necessary, in other secure location near the office until they are destroyed when the project is completed. Hard copies of data analysis results will be printed only to the printer (located in Pat Neff 499.03) that the PR has direct access to, and will be retrieved immediately. When not in use, printed hard copies will be stored in the locked filing cabinets. All hard copies will be shredded when they are discarded.

Electronic Data

All electronic data will be stored on an encrypted drive connected to the PR's desktop computer in his office, using bitlocker for encryption. The encryption keys are managed by AirWatch to ensure compliance with information security standards. The Information Security Services of Baylor University will set up encryption, and enable a password protected screen saver. For backup, the data will be copied regularly to a USB flash drive encrypted with Veracrypt. This USB backup will be kept in a locked filing cabinet in the PR's office. The PR will be the only person who will access the data for analysis besides computing staff who will have access for the purpose of disk management and software update.

This Statement of Data Security is a binding part of the Research Agreement. The Researcher's or University's failure to comply with the precautions described herein may constitute a breach or default under the Research Agreement and entitle TJJD to seek any remedies for breach or default available under the Research Agreement or other law.


Researcher

Sung Joon Jang, Research Professor of Criminology
Printed Name and Title

5/24/2017
Date