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**NEW YORK UNIVERSITY'S MARRON INSTITUTE OF URBAN MANAGEMENT RECIPIENT
OF \$327,670 GRANT FROM THE LAURA AND JOHN ARNOLD FOUNDATION TO
DEVELOP AND TEST A PRISON DISCIPLINE MODEL ALTERNATIVE TO SOLITARY
CONFINEMENT**

Swift-Certain-Fair discipline program and randomized controlled trial will provide an evidence base for prison safety and a blueprint for implementation in other jurisdictions nationwide

NEW YORK, NEW YORK – New York University announced today that the Marron Institute of Urban Management is the recipient of a \$327,670 grant from the Laura and John Arnold Foundation for developing a Swift-Certain-Fair (SCF) prison discipline model that provides alternatives to the restrictive housing of inmates in Pennsylvania state prisons. NYU will use the award to conduct a randomized controlled trial evaluating the model's impact on inmate infractions and safety, with an eye towards informing national prison practice.

The overuse of solitary confinement is a national problem affecting most correctional facilities. As of 2005, there were 81,000 inmates in solitary confinement in the United States. Isolating people for long periods of time can be cruel and psychologically damaging, and is often used to punish inmates for minor rule violations. In Pennsylvania, 85% of inmates are sent to solitary confinement because of "failure to obey an order."

SCF is an approach within corrections that employs close monitoring and swift, certain, and modest sanctions to reduce violations; this approach shapes behavior and fosters a sense of fairness. A growing body of evidence addresses the efficacy of SCF programs. Started in 2004, Hawaii's Opportunity Probation with Enforcement (HOPE), was the first large-scale SCF program to demonstrate success in a randomized controlled trial. HOPE and similar SCF programs are now implemented in twenty-eight states.

After successful integration into probation, parole, and pre-trial decision-making procedures, the SCF model is now being applied in prison custody in Washington and Ohio, with the goal of reducing the number of violations that lead to placements in restrictive housing, reducing the duration of stay in restrictive housing, and offering a pathway to successful reintegration back into general population. Both states have observed improved behavior (reductions in the use of restricted housing and reductions in lost good time) since implementing SCF in custody, but these results have not been formally documented or experimentally evaluated.

Researchers at the Crime and Justice program in NYU's Marron Institute of Urban Management will work with staff and prisoners in the Pennsylvania Department of Corrections to develop and test prison discipline systems incorporating SCF principles. After the initial development and testing phase is complete at Pennsylvania's Somerset State Correctional Institution (SCI), the intervention will be subjected to rigorous experimental testing. The program will be designed based on input from inmates, corrections staff, and administrators to thoroughly understand the nature of the restrictive housing problem at SCI and determine the most potent and fair sanctions and rewards.

Inmate violators will be subjected to a progressive disciplinary process and offered services to help them prepare for successful reentry into the general prison population. The graduated sanctions may include loss of personal property, loss of phone privileges, controlled movement, and behavioral reinforcers such as removing personal tennis shoe privileges for a week.

Violating inmates can participate in voluntary substance abuse and other cognitive programming to reduce the sanctions imposed. For inmates who are eventually moved into restrictive housing, a Privilege Behavior Management System for incentives (access to more social activities, including congregate meals, and playing cards and board games) will be used to shape behavior in preparation for transitioning back into the general prison population.

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Once the sanctions and rewards matrix is created, documented, and communicated to all parties, investigators will pilot test the SCF model in one living unit within SCI. The SCF model will be studied using a randomized controlled trial by selecting individuals into the SCF living unit or into an alternative living unit. If the implementation proves successful, the Marron Institute will scale the SCF model within SCI and statewide. If not, the Marron Institute will redesign the experiment and retest it in SCI or a comparable facility.

The project will be co-directed by Dr. Mark A. R. Kleiman, Professor of Public Policy and Director of the Crime & Justice Program at NYU's Marron Institute of Urban Management, a member of the Committee on Law and Justice of the United States National Research Council, and co-editor of the *Journal of Drug Policy Analysis*. He is an author of the books *When Brute Force Fails: How to Have Less Crime and Less Punishment* and *Against Excess: Drug Policy for Results*; co-author of *Drugs and Drug Policy: What Everyone Needs to Know* and *Marijuana Legalization: What Everyone Needs to Know*; and editor of the *Encyclopedia of Drug Policy*.

"Pennsylvania has among the most innovative and forward-thinking corrections departments in the country, and we are excited to be working with the Department of Corrections to learn about how to apply the swift-certain-fair approach in custody and about how it works," said Kleiman. "Instead of starting with a fixed program embodied in a manual, we are starting with a set of principles and helping the agency adapt those principles to conditions on the ground and then test the resulting program or programs in randomized controlled trials. If this approach works in SCI Somerset, we'll try to expand it statewide. If that works, Pennsylvania can show the way nationwide."

Dr. Angela Hawken, Associate Professor of Public Policy at Pepperdine University, will co-direct all aspects of the project including leading initial site visits, approving program design, and overseeing implementation and evaluation. She directs the Swift, Certain, and Fair Resource Center for the U.S. Department of Justice's (DOJ) Bureau of Justice Assistance and is the founder and director of BetaGov, a center for practitioner-led trials that provides tools to conduct experimental tests of operations and policies.

About Laura and John Arnold Foundation

LJAF is a private foundation that is working to address our nation's most pressing and persistent challenges using evidence-based, multi-disciplinary approaches. Its investments are currently focused on criminal justice, education, evidence-based policy and innovation, research integrity, and science and technology. LJAF has offices in Houston, New York City, and Washington, D.C. For more information, please visit arnoldfoundation.org.

About NYU Marron Institute of Urban Management

The Marron Institute of Urban Management works to make cities safe, healthy, mobile, and inclusive. Marron is dedicated to working with policy makers, officials, and residents to address pressing challenges in urban planning, criminal justice, and environmental health.

By 2100, nearly 80% of the world's population will live in cities. The key to unlocking the collaborative potential of cities is continual improvements in urban management. In a world with ever more urban residents, better management will empower billions of people to better their lives. Good urban management is the efficient provision of public safety, public health, and public space. Though all cities aspire to good urban management, a world of continuous change means that every city is a work in progress.

Started with a gift from Donald B. Marron, the Marron Institute partners with intergovernmental agencies, NGOs, government agencies, think tanks, philanthropic foundations, and other academic institutions to work on pressing urban challenges around the world. For more information, please visit marroninstitute.nyu.edu.