TURNING ON THE TAP
HOW RETURNING ACCESS TO TUITION ASSISTANCE FOR INCARCERATED PEOPLE IMPROVES THE HEALTH OF NEW YORKERS

APPENDICES

HUMAN IMPACT PARTNERS

Human Impact Partners
May 2015

Human Impact Partners works to transform the policies and places people need to live healthy lives by increasing the consideration of health and equity in decision-making. For more about Human Impact Partners, visit www.humanimpact.org.

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Appendix A. HIA Process and Methodology

HIA Process

HIA is a flexible process that typically involves six steps:

1. Screening involves determining whether or not an HIA is warranted and would be useful in the decision-making process.
2. Scoping collaboratively determines which health impacts to evaluate, the methods for analysis, and the workplan for completing the assessment.
3. Assessment includes gathering existing conditions data and predicting future health impacts using qualitative and quantitative methods.
4. Developing recommendations engages partners by prioritizing evidence-based proposals to mitigate negative and elevate positive health outcomes of the proposal.
5. Reporting communicates findings.
6. Monitoring evaluates the effects of an HIA on the decision and its implementation as well as on health determinants and health status.

Stakeholder engagement

Stakeholder engagement, including participation of community members who are directly impacted by the policy, is a vital part of HIA. We engaged stakeholders in the following ways:

Advisory Committee

For the purposes of the TAP HIA, we consulted with our partners from the Education from the Inside Out Coalition to identify people who could serve on the Advisory Committee to offer critical insights to guide the project. We specifically looked for experts who could represent: other organizations focused on criminal justice issues, academic partners who engage in research on this topic, agencies that deliver college education programs in the prison system, and health departments and policymakers that serve the area. We reached out to people in each of these categories, but were unable to secure members from administrators of college education programs and policymakers. Multiple members of the Advisory Committee who represented these groups also represented the community members directly impacted by the policy, which in this case was the people who participated in college education while in prison. A complete list of the Advisory Committee members is featured on the acknowledgements page of this report.

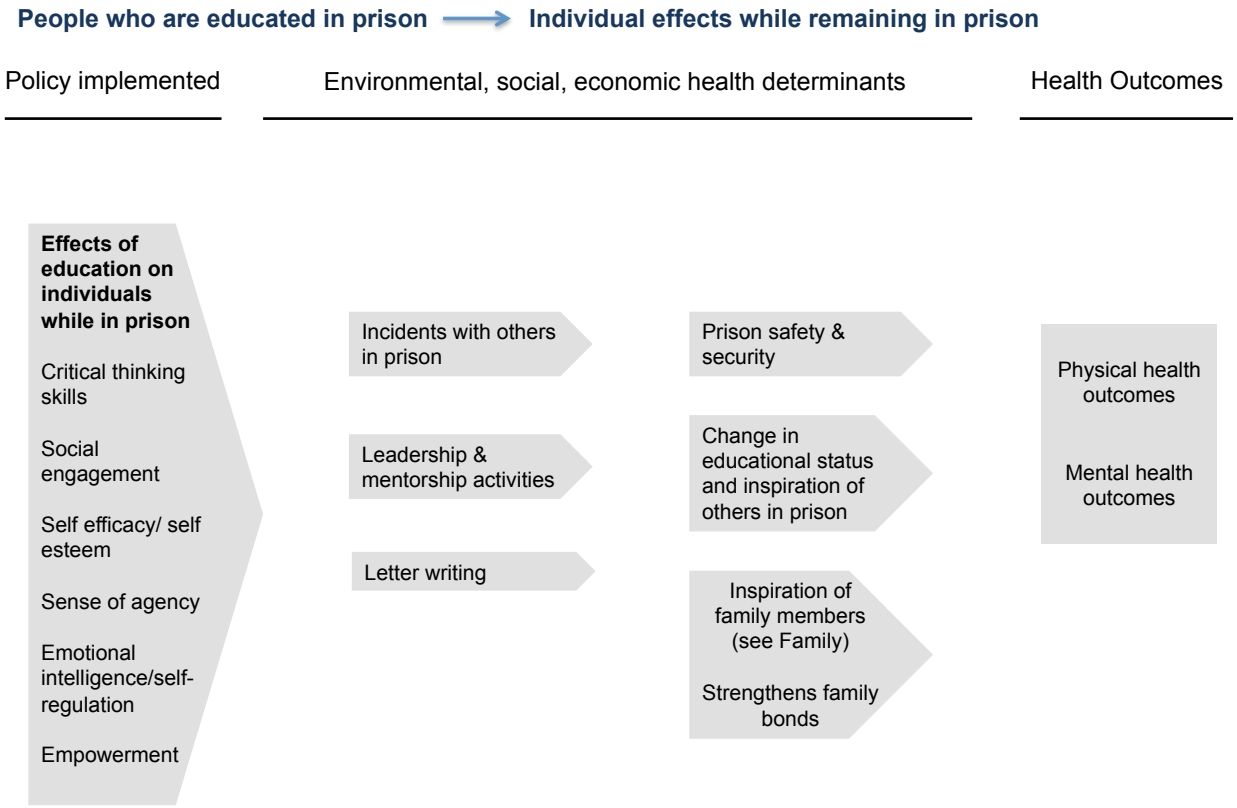
The advisory committee met monthly between October 2014 and May 2015 and two of the meetings were in-person in New York City. The Advisory Committee advised HIA researchers on the scope of the research, where to find specific data and research, organizing focus groups, how to communicate findings, the political context of the proposed policy, review of the draft findings and the draft report, and regarding recommendations. The Advisory Committee represented the primary channel through which affected community members were engaged. The Advisory Committee also played a key role in disseminating the HIA findings and recommendations.

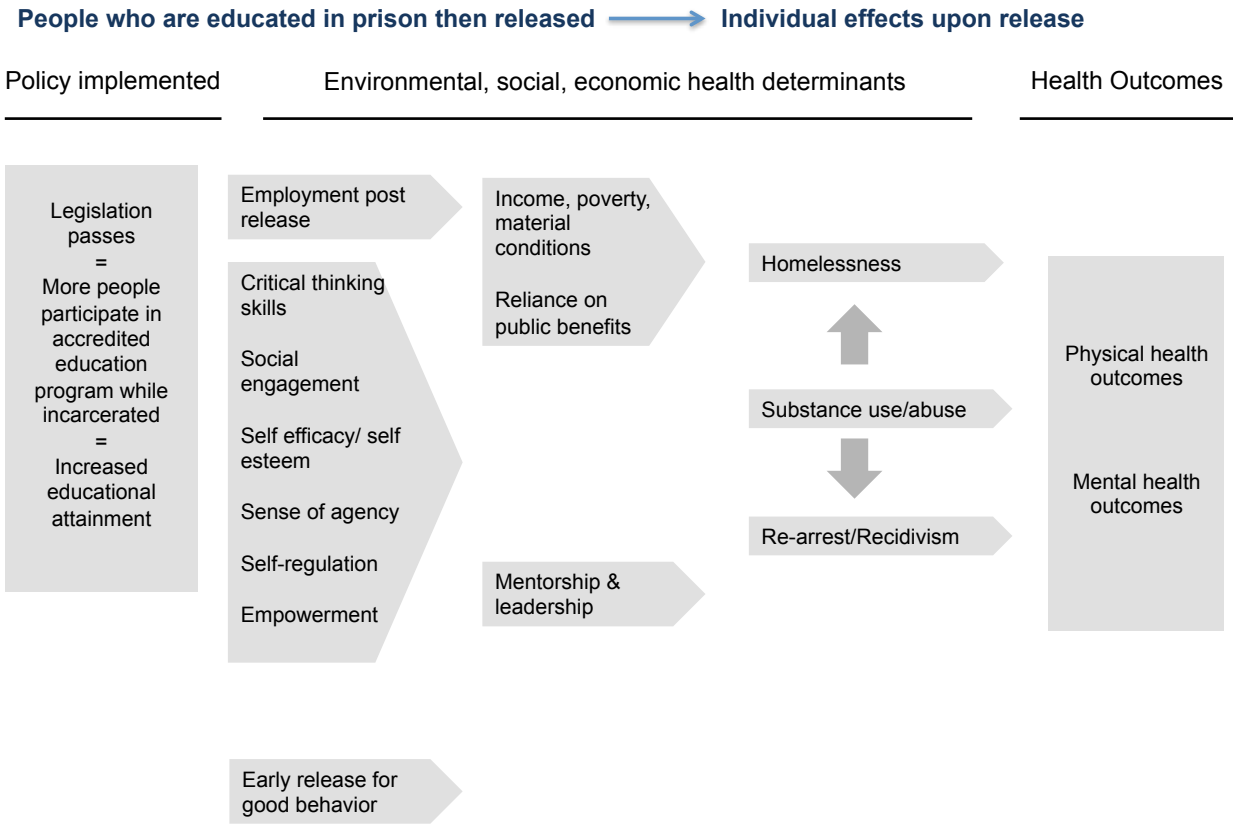
Scoping

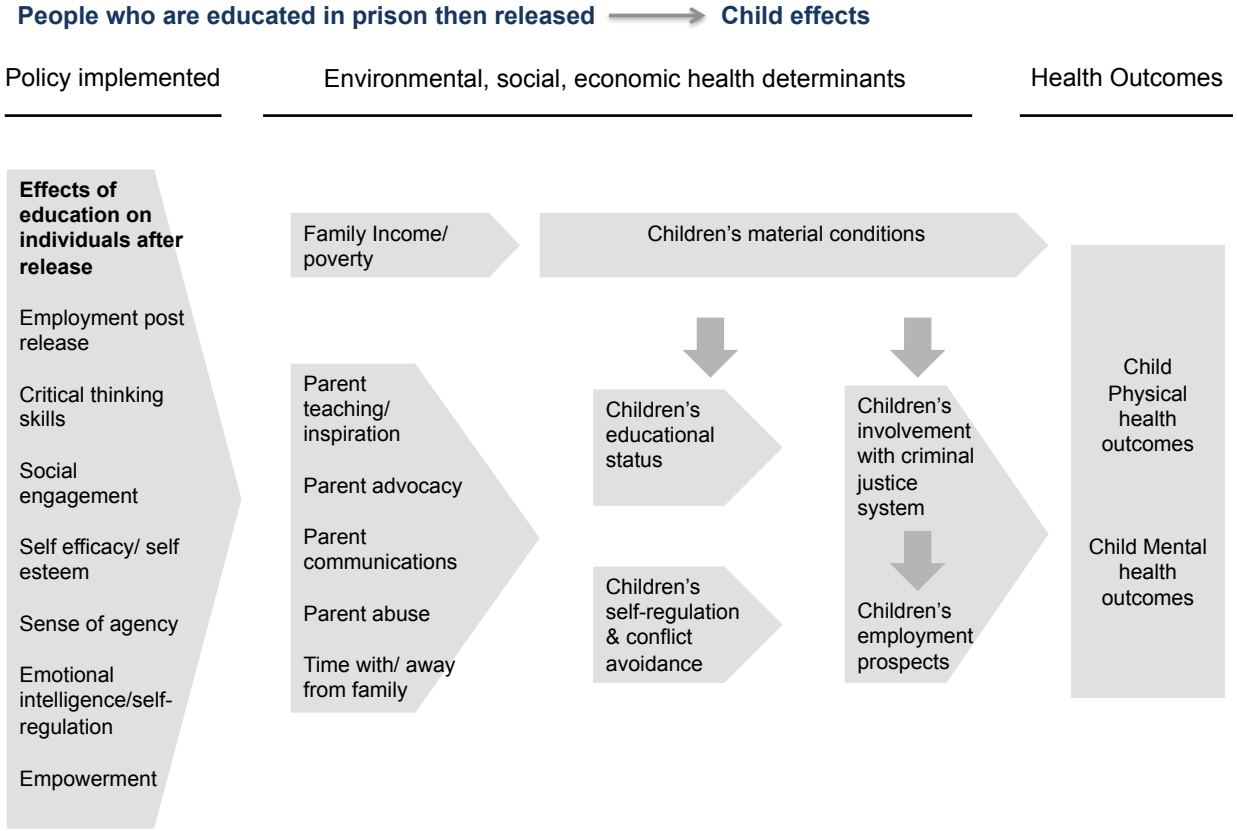
Scoping for the HIA involved a preliminary review of the literature, assessment of related HIAs, and team discussion to develop a theoretical framework for how the decision in question – reinstating tuition assistance for people who are incarcerated – might influence health outcomes. Pathway diagrams were constructed to represent the connections between the decision point, the social, economic, and environmental determinants that could be impacted by that decision, and the health outcomes that could result from those determinants. Separate pathways were constructed for four different population groups – those who receive college education while in prison but remain in prison, those who participate in college education while in prison and are then released, the children of those groups, and the communities they would return to. A final fifth pathway diagram was constructed to combine and synthesize these relationships into one diagram.

The pathway diagrams were then shared with the advisory committee during an in-depth in-person discussion, with guided discussion questions to reflect on the content, challenge assumptions, and modify, add, or delete elements as needed. The pathways were then revised in the following ways: more social and psychological impacts were added, and these were grouped together; more impacts for others in prison, family, and community were added; more impacts on parenting behaviors were added; more impacts on children related to emotional regulation, criminal involvement, and employment prospects were added; civic engagement for community, as well as economic impacts such as entrepreneurism, economic vitality, and investment in jobs and community were added. These revised pathways (see all pathway diagrams on the following pages) were used as theoretical guides to structure the data collection and inquiry for the remainder of the project.

Some topics that were in the revised pathway diagrams were not explored in this final report. For example, we did not find any data to assess whether people who receive college education in prison are more or less likely to be released early from prison, nor did we find any data on changes in use of public benefits upon release. While general information on influence of college education on homelessness and substance abuse was originally included in this report, because the data was not specific to people who receive college education while in prison, it was decided to eliminate these sections for the benefit of the overall flow of the report. Similarly, while advisory committee members suggested we explore the influence of college education in prison on specific parenting behaviors, such as increased advocacy for their children, reduced abuse, and the influence on children's self-regulation and conflict avoidance, we were unable to locate any data exploring these topics. In the pathway diagram for communities, topics related to entrepreneurship, economic vitality, money spent on public services, and money invested in community programs and crime investment proved to be equally lacking in available data.

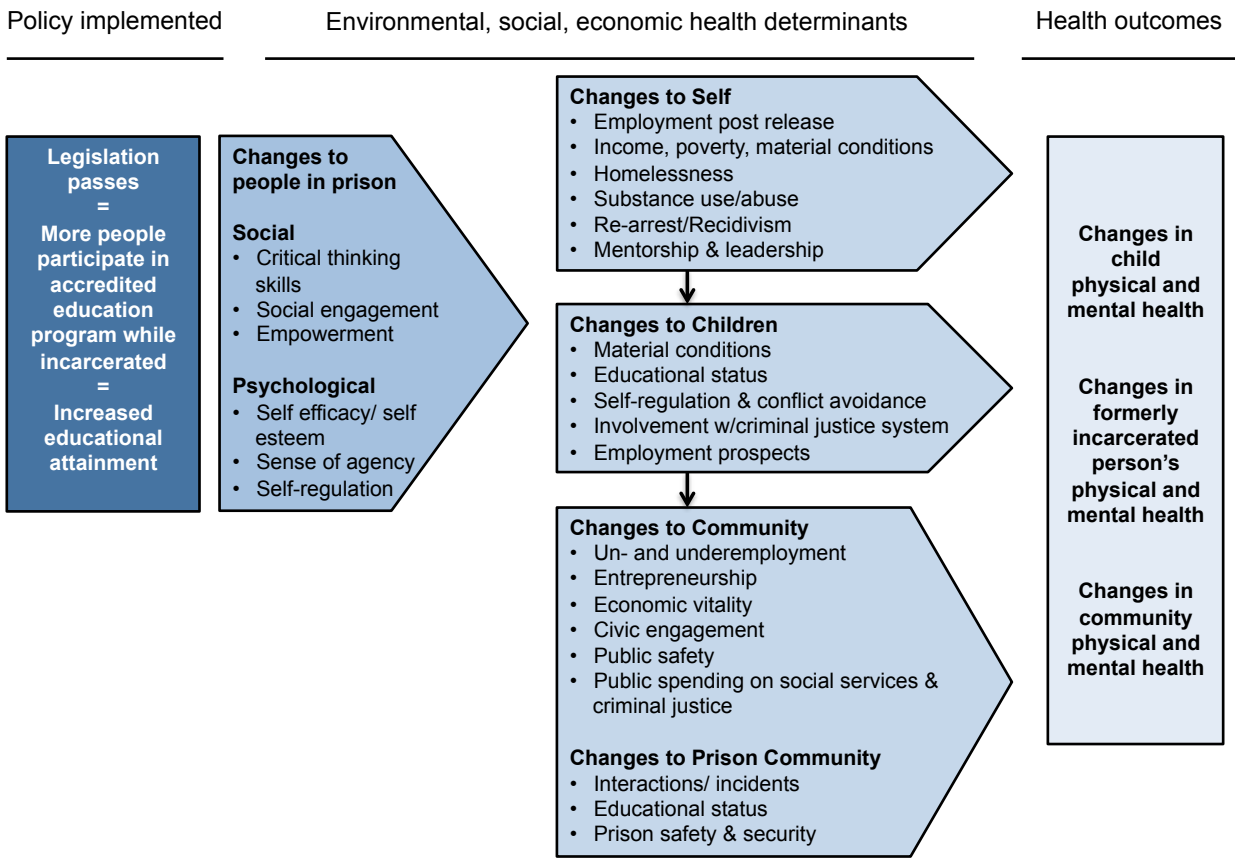

People who are educated in prison
Individual effects while remaining in prison
Policy implemented
Environmental, social, economic health determinants
Health Outcomes
Effects of education on individuals while in prison
Critical thinking skills
Social engagement
Self efficacy/ self esteem
Sense of agency
Emotional intelligence/self-regulation
Empowerment
Incidents with others in prison
Leadership & mentorship activities
Letter writing
Prison safety & security
Change in educational status and inspiration of others in prison
Inspiration of family members (see Family)
Strengthens family bonds
Physical health outcomes
Mental health outcomes


People who are educated in prison then released
Individual effects upon release
Policy implemented
Environmental, social, economic health determinants
Health Outcomes
Legislation passes = More people participate in accredited education program while incarcerated = Increased educational attainment
Employment post release
Critical thinking skills
Social engagement
Self efficacy/ self esteem
Sense of agency
Self-regulation
Empowerment
Early release for good behavior
Income, poverty, material conditions
Reliance on public benefits
Mentorship & leadership
Homelessness
Substance use/abuse
Re-arrest/Recidivism
Physical health outcomes
Mental health outcomes


People who are educated in prison then released
Child effects
Policy implemented
Environmental, social, economic health determinants
Health Outcomes
Effects of education on individuals after release
Employment post release
Critical thinking skills
Social engagement
Self efficacy/ self esteem
Sense of agency
Emotional intelligence/self-regulation
Empowerment
Family Income/ poverty
Children's material conditions
Parent teaching/ inspiration
Parent advocacy
Parent communications
Parent abuse
Time with/ away from family
Children's educational status
Children's self-regulation & conflict avoidance
Children's involvement with criminal justice system
Children's employment prospects
Child Physical health outcomes
Child Mental health outcomes


People who are educated in prison then released
Community effects
Policy implemented
Environmental, social, economic health determinants
Health Outcomes
Effects of education on individuals after release
Effects of education on the children of formerly incarcerated individuals
Reduced recidivism and crime among individuals and family members
Un- and under-employment
Entrepreneur-ship
Civic engagement
Public safety
Public spending on on criminal justice system
Economic vitality
Public spending on social services
Investment in community programs and crime prevention
More investment and jobs
Community physical health outcomes
Community mental health outcomes

Summary of TAP Effects on People who are Incarcerated, their Children & their Communities



Data Collection

The need to gather data and research for HIA is one way to begin or start a discussion about the impacts a policy has on health. We engaged stakeholders for the following data collection tasks:

- *Focus Groups*. College and Community Fellowship helped to organize the focus groups with formerly incarcerated people and the children of incarcerated people who participated in college courses while in prison.
- *Subject Matter Expert Interviews*. Interviewees provided valuable content expertise, research advice, information about the administrative and political context of the proposed policy, and other advice that was useful for the HIA findings and recommendations.

Methods

The following methods were employed to describe existing conditions and make impact predictions related to current and formerly incarcerated populations in New York, their children, and their communities. Human Impact Partners:

- Performed an extensive review of the scientific (peer-reviewed) and grey (non peer-reviewed) literature;
- Collected secondary data from existing sources, such as the Department of Corrections web site;
- Conducted focus groups with adults who had completed college education programs in prison and were then released and with children whose parents had participated in college education while imprisoned;
- Conducted subject matter expert interviews with researchers, former college program participants, college counselors, college program faculty and administrators, a social worker who works with the children of incarcerated parents, and policy makers; and
- Requested information directly from college programs.

Literature Review

For the literature review we gathered empirical evidence using databases such as JSTOR, PubMed, Google Scholar, general Internet searches and other public health and sociological databases. Grey literature included reports from reputable organizations such as RAND Corporation, Vera Institute, The Pew Charitable Trusts, and the Urban Institute.

Focus groups

Three separate New York focus groups consisted of a total of seven adult participants and two children. Please see Appendix B for more information on the focus group methodology, including recruitment methods and discussion guides. Typed and recorded notes were taken during the focus groups and all participants (or the parents of the two children) granted permission to use quotes gathered for this report. Quotes from adult focus group participants are referred to in this report as “former college student in prison” along with their first name and quotes from the children of incarcerated parents who had participated in college while incarcerated are referred to as “Children’s focus group participant.”

Subject Matter Expert Interviews

Thirteen subject matter expert interviews were conducted (see acknowledgements page of the report for listing) with researchers; people who participated in programs before '95 when funding was cut; a college counselor who enrolled people in programs before '95 when funding was cut; college education program faculty; college education program administrators; a social worker and academic who works with children of parents who are incarcerated, who also participated in a college education program while in prison; those who completed college education programs in prison more recently; and staff of policymakers.

Advisory committee members, the literature search, and other interviewees identified subject matter experts to interview. Human Impact Partners staff sent an email explaining the project and requesting an interview. All interviews were conducted over the phone. Please see Appendix C for an example interview guide. Typed notes were taken during the interviews and all interviewees granted permission to use quotes gathered for this report.

One Department of Corrections official provided background to obtain a better understanding of how the college education programs work in the New York state correctional system.

Finally, questions were sent to the colleges that offer programs in prisons to ask about enrollment and expected outcomes of reinstated TAP funding. See Appendix E for the questions asked.

Strengths and Limitations of this Methodology

We faced several limitations in conducting this assessment. For example, outcome data about students participating in New York State prisons specifically was lacking. In this context, we relied on the findings of other researchers to generalize about impacts we might anticipate. At times, particularly in relation to impacts for children, we relied on proxy data about college educational attainment more generally than prison-specific college education data. And while we collected qualitative data to describe the experience of participating in programs in the voice of those most directly impacted, these findings are not meant to compare participants of education programs with non-participants to make claims about statistically significant differences. Finally, with any study of how an intervention affects outcomes, there are myriad social changes in the lives of formerly incarcerated people that also impact the outcomes of interest studied in this report.

Numerous strengths are evident as well. The participation of Advisory Committee members ensured that we considered a wide range of potential impacts that could result from program participation, and they also connected us with the rich literature and community of researchers examining these issues. As a result, the scope of the assessment and evidence examined is thorough. Furthermore, their connections to formerly incarcerated people and their families provided us with access to meaningful and credible stories that both illuminate and support our findings.

Appendix B. Focus Group Methodology

Three focus groups were conducted on February 2 and 3, 2015. Focus groups were conducted to answer questions where there were gaps in the literature and existing conditions data, to confirm findings from those sources, and to provide additional localized context and understanding to these topics. Partner organization EIO was compensated for their services in recruitment and facilitation. They were also provided additional funds to give stipends to each focus group participant, to supply food during the meetings, and to address any other barriers to participation through the provision of transportation or parking reimbursement, childcare services, and so on, as needed.

A critical case sampling selection strategy[131] was used to recruit participants from two critical populations where data was currently lacking: people who had received college education while in prison, and the children of people who had received college education while in prison.

Our partner organization – the Education from the Inside Out Coalition – recruited focus group participants for the three groups – people who received college education while in prison (7 participants in two different groups), and children (at least 14 years of age or older) of people who received college education while in prison (2 participants), through existing connections with their client base, as well as other organizations serving the populations of interest in the area. Recruitment flyers were also distributed to the HIA Advisory Committee members to distribute widely, with an EIO staff member listed as the contact. EIO was provided with semi-structured interview guides specific to each population group they recruited, as well as recruitment flyers, and sheets for participants to sign up to receive the executive summary of the report.

All three focus groups had at least one facilitator and one note-taker. Two of the focus groups had two co-facilitators. All focus groups had one staff member or consultant from EIO and one or two staff members from Human Impact Partners. All three focus groups were held in New York City. The focus group with the two children was held simultaneously as one of the focus groups with adults who received college education while in prison, in rooms adjacent to each other in the same building, and their parent participated in the adult group. The parent signed a consent form to give permission for the children to participate. Participants in the two adult groups all provided verbal assent to participate after receiving a detailed description of what would occur, how it would be recorded, and how the data would be used. All adult participants were sent the final quotes that were used in the report in advance, with an opportunity to have them deleted or modified if they felt it did not accurately reflect what they said, and the parent was provided the additional quotes from the children. No focus group participants selected to have their quotes modified or deleted.

Detailed notes were collected at each focus group, in addition to audio recordings, which were used just to clarify specific quotes as needed. Following the guidelines of qualitative researchers Miles and Huberman[132], a codebook was created prior to reading the data that was informed by theoretical constructs, literature review, and preliminary research gathered from stakeholder feedback during the early phases of the HIA process. The data

from the focus group notes were then reviewed line by line by Human Impact Partners staff to identify segments of the text that could be coded according to these previously selected themes and categories. In addition, data that did not fit into these themes and categories were categorized into their own "in vivo" codes, according to Strauss's guidelines on codes that derive from the data itself.[133] (Codebook is provided after interview guides.) Finally, the data were analyzed by reviewing all codes in the same category to derive and further summarize the codes that most clearly represented those overall concepts. Selected examples of these codes were incorporated into the final HIA report where they offered additional context, depth, validity, or original concepts to the critical concepts in the report.

Focus Group Questions and Probes

For each focus group, we prepared a set of questions to guide the conversation. We also included probes for some questions in case the focus group discussions needed extra direction. See below for a list of the questions.

Questions for Adults who Received College Education while in Prison:

1. Tell us about your experience getting a college education while you were in prison. What were the classes like? What do you remember most about that experience?
2. Did receiving a college education while you were in prison change how you interacted with others *while you were still in prison*? Probes:
    - Interactions with others in prison (incidents/altercations)
    - Mentoring/assisting others
    - Positive influence on others (getting education, etc.)
    - Leadership roles
    - Parole board review/early release/negative target of guards or prison administrators?

In addition to hearing about changes you experienced while you were in prison, we're also interested in hearing how receiving a college education while you were in prison has impacted your life *since you were released.* So please answer the following questions for changes you experienced at any time after you completed your college education in prison:

3. Did receiving a college education while you were in prison change the way you think about yourself and how you approach problems? Probes:
    - Social or political engagement,
    - Feelings of being more or less empowered and in control,
    - Ability to think more critically
    - Change in self-esteem
    - Reactions to problems – how you think about them, how upset you get by them, what you do about them
4. Did receiving a college education while you were in prison impact your children? Probes:
    - Parenting behaviors, (e.g., communication, teaching/mentoring, advocating for your children)
    - Children's educational goals or achievements
    - Children's emotions / behaviors or how they react to problems
    - Children's involvement in the criminal justice system

5. Did receiving a college education while you were in prison impact your employment opportunities? Probes: Ability to find a job; Type of job found
6. Did receiving a college education while you were in prison impact your housing opportunities? Could you say more about this?
7. Did receiving a college education while you were in prison impact your involvement in the criminal justice system after you were released (in other words - future criminal activity)? Could you say more about this?
8. If you were using drugs or alcohol before you entered prison, did receiving a college education while you were in prison change these behaviors? If so, how?
9. Did receiving a college education while you were in prison impact your need for any type of public assistance after you were released? Could you say more about this?
10. Did receiving a college education while you were in prison impact your involvement in the community after you were released? If so, how? Probes:
    - Civic engagement
    - Assisting others

Questions for Children who had a Parent who Received College Education while in Prison

1. Tell us about your parent getting a college education while they were in prison. What did they tell you about that experience?
2. Did having a parent who got a college education while they were in prison change your life and the life of your family?
   Probes:
    - Changed the way your parent treated you or interacted with you while they were still in prison
    - Changed the way your parent treated you or interacted with you after they were released from prison
    - Changed your relationship with your parent
    - Changed your educational goals or achievements
    - Changed your emotions / behaviors
        - The way you think about things, see the world, or the way you feel about yourself, etc.
        - The way you interact with other kids or teachers (school discipline problems)
    - Changed your involvement with law enforcement or the criminal justice system
    - Changed the way you are treated by others (teachers, etc.)
3. Did having a parent who got a college education while they were in prison change the resources or opportunities in your community that your family had access to?
    - Your parent's ability to get a job / income
    - Your housing situation, need for or receipt of public services, access to other resources like food or medical care
4. How would any of those experiences you have talked about so far have been different if your parent had not gotten an education while they were in prison?

Appendix C. Subject Matter Expert Interview Methodology

In addition to focus groups, subject matter expert interviews were also conducted to answer questions where there were gaps in the literature and existing conditions data, to confirm findings from those sources, and to provide additional localized context and understanding to these topics. Categories were created to identify the different sorts of data gaps. Subject matter experts were identified through a variety of means, including: through the literature (researchers who had published critical pieces on this topic); through consultation and recruitment from EIO and Advisory Committee partners (former college program participants, current faculty, and program providers who work with children of former students); through online data sources (policymakers and program administrators); and through snowball sampling by referral from a prior interviewee (additional former college program participants). Some subject matter experts were able to speak from more than one area of expertise given their extensive involvement with the issues.

A total of twelve interviews were conducted; each interview was conducted over the phone and lasted between 30-45 minutes. Different interview guides were developed for interviewees depending on their areas of expertise. Interview data with subject matter experts generated a wealth of information on what college education in prison looked like before TAP funding was repealed, after the 1995 repeal, how it impacted the lives of incarcerated people on an individual level and as they left prison, the impacts to their families and communities, its impacts on the prison environment and educators, and other relevant information. Interviewees granted permission to use interview data as a source for this HIA.

Following are main themes that were explored, and specific sample questions administered to interviewees:

When TAP funding was available to students in prison

- Explain your role in the college education program in prions.
- What was it like to deliver college education in prison back when TAP funding was available?
- When did your program start? How does it function? Who participates? What are courses like? Are degrees offered? Were there any formal eligibility requirements? Any restrictions based on time to release, offense history, or approval of corrections officer?
- How did facility staff (corrections officers, administrators etc.) crate barriers or support these programs?

After TAP was removed

- What changes or transformations did you witness? Did your program change after the repeal? Have programs changed over time?
- What were some of the administrative and institutional challenges?
- What do you think would happen to other programs if TAP became available again? If TAP were reinstated, how would it change other programs? Would other colleges want to offer courses in prison?

- If TAP were reinstated, do you think people would participate?

Impacts of college education in prison for students

- How does education in prison impact employment opportunities?
- How does education impact recidivism? Reentry? Employment?
- Can you describe some outcomes you've seen for individuals participating in these programs during your tenure?
  - Did it change the way students handled conflicts? The choices they made?
  - Did it change how they viewed themselves? (Self-esteem, self-efficacy, resilience)
  - Did it impact they interacted with children or family? (Parenting skills/behaviors)
- What are the downsides to participating?

Impacts of college education in prison on prison environment

- What are some immediate outcomes in the prison environment? How they interacted with other people in prison, professors, and corrections officers?
- Did it influence others in prison?
- How has this experience benefitted your experiences as an instructor and others in your position?

Impacts of college education in prison for families and communities

- Can you describe if children whose parents participated in a college program while in prison changed in their overall social and psychological perspectives?
- Did it impact their coping mechanisms due to changes in their parents' behaviors?
- Did having their parents participate in a college program while in prison change their parents' ability to provide housing and material resources for their children?
- Did children whose parents participated in a college program while in prison influence their children's education aspirations, employment prospects, ability to advocate for their children's education, or other parenting behaviors?
- Did college education in prison change the way individuals they saw themselves in the larger society or system? (Social responsibility, social identity, civic engagement etc.)

Recommendations or other thoughts

- Do you have any suggestions for policymakers if law changes to reinstate TAP or if it goes into effect?
- Do you have any prediction of what might happen if TAP was made available again? Would there be an uptake in programs?
- Suggestions, recommendations, and other thoughts around reinstating TAP?
- Do you have experience with, or knowledge of policymaker conversations when the bill was proposed in the past?
- Anything else we should be considering?

Appendix D. Codebook for Analyzing Qualitative Data

Theme	Category	Source/Type*
WHAT WOULD HAPPEN IF TAP WERE OFFERED AGAIN		
Enrollment / # of participants	Community/4-year/private colleges	In vivo
	Quality of programming	In vivo
Logistics	Specific to facility	In vivo
	Specific to DOCCS	In vivo
IMPACTS ON THOSE WHO REMAIN IN PRISON		
Social	Critical thinking skills	Lit, prelim rsrch
	Social engagement	Lit, prelim rsrch
	Empowerment	Lit, prelim rsrch
Psychological	Self-efficacy / self-esteem	Lit, prelim rsrch
	Sense of agency	Lit, prelim rsrch
	Self-regulation	Lit, prelim rsrch
Interactions with other people in prison	Incidents/ how people handle conflicts	Lit, prelim rsrch, in vivo
	Leadership/mentorship/tutoring	Prelim rsrch, in vivo
	Peer cohort/social network	In vivo
Interactions with family	Engagement/ strengthens family bonds	Prelim rsrch, in vivo
	Emphasis on education	Prelim rsrch, in vivo
Interactions with prison staff and administration	Prison safety and security	Lit, prelim rsrch
Existing conditions		
Barriers to education in prison	Negative impacts	In vivo
IMPACTS ON THOSE WHO ARE RELEASED FROM PRISON		
General		Lit
Employment	Confidence/ability to navigate social situations	In vivo
	Income/poverty/material resources/reliance on public benefits	Prelim rsrch
Education	Continued education	In vivo
Barriers	Homelessness/ Substance use/abuse other	Prelim rsrch
Recidivism		Lit

Theme	Category	Source/Type*
IMPACTS ON CHILDREN & THE FAMILY		
Income	Material resources for children & family	Lit
Parenting behaviors	Teaching/inspiration	Prelim rsrch
	Advocacy	Prelim rsrch
	Communications	Prelim rsrch
	Abuse	Prelim rsrch
	Time with/away from family	Lit
Children's impacts	Educational status	Lit
	Self-regulation & conflict avoidance	Prelim rsrch
	Involvement with criminal justice system	Lit
	Employment	Lit
Social relationships	Accountability	Prelim rsrch
Existing conditions	Negative impacts	Lit
IMPACTS ON THE COMMUNITY		
Recidivism & crime	Public safety	Lit
	Reinvestment in community programs	Prelim rsrch
Un- or under-employment	Economic vitality	Prelim rsrch
Entrepreneurship		Lit
Culture of education		Prelim rsrch
Civic engagement		Prelim rsrch
IMPACTS ON THE COMMUNITY OF EDUCATORS		
Classroom environment		In vivo
Career fulfillment		In vivo
Increased awareness		In vivo
How schools might respond to TAP dollars available		In vivo
RECOMMENDATIONS		
THEORY OF SYSTEMIC OPPRESSION/RACISM		
Personal		Theory
Cultural		Theory
Structural		Theory
	Unfair sentencing	In vivo
	Reentry	In vivo
	Other	
	Collateral costs	In vivo
	Negative impacts	

* Sources/types of codes can be codes that were informed through theory, through the literature review, through preliminary data collection (such as a scoping meeting discussing pathway diagrams), and through in vivo coding – codes that were not anticipated but were revealed through a review of the data.

Appendix E. Data Request Sheet

A. What NYS prisons do you currently provide postsecondary programs in?

_____

_____

_____

B. For each year between 2010-2014 (or the most recent 5-year timespan – feel free to adjust timeframes as needed in the table below):

	2010	2011	2012	2013	2014
# of total DOCCS students enrolled and receiving course credit in your program					
# of Associate's degrees conferred					
# of Bachelor's degrees conferred					

C. For 2014 (or most recent year available):

1. # of DOCCS individuals who applied to your program _____
2. # of DOCCS individuals who were accepted to your program _____
3. How many more individuals could your program serve per year if tuition assistance was available? _____
4. Apart from funding, what are the limitations in expanding your program?

   _____

   _____
5. Please describe any eligibility, application and/or approval requirements for enrollment in your college program, if applicable (e.g., any restrictions based on time to release, offense history, or needing approval of corrections officer)

   _____

   _____
6. What is the total cost per year of providing your program? $ _____
7. We realize this is a particularly sensitive question, but we are asking this to judge long-term questions regarding the benefit of education for employment opportunities:

   Are more than a quarter of students enrolled in your programs serving life sentences without the possibility of parole?

   □ Yes, more than a quarter of our students <u>are</u> serving life sentences without the possibility of parole

   □ No, more than a quarter of our students <u>are not</u> serving life sentences without the possibility of parole

   □ We do not track the sentences of our students
8. Do you collect information on graduates of your program after they are released from prison (for example, employment or recidivism data)? □ Yes □ No

Appendix F. TAP HIA Evaluation Plan

Process Evaluation

Human Impact Partners will develop and implement an internal evaluation to assess the process of conducting the HIA. The evaluation will focus on understanding whether the HIA met its intended goals, whether it adhered to the HIA workplan, ways in which stakeholders were engaged, challenges and opportunities for improvement, and lessons learned.

HIA goals that will be evaluated include:

1) Provide empirical data on the effects of the policy and propose recommendations to decision-makers about providing tuition assistance to those in prison.
2) Engage and empower community members, including the formerly incarcerated, and stakeholders to participate in the legislative decision-making process.

The evaluation will be conducted with the input of HIA partners and stakeholders to assess their experience of participating in the HIA. Participants will include: Human Impact Partners, JustLeadershipUSA, College and Community Fellowship, Center for Community Alternatives, Vera Institute of Justice, NYC Department of Health and Mental Hygiene, Fortune Society, Syracuse University, and Correctional Association of New York.

Process evaluation questions may include:

Questions for HIA Team

- What were the reasons for conducting the HIA?
- Who was involved in screening the HIA and why? Were there others who should have been involved and why?
- Were there arguments against conducting the HIA? What were some of the reasons why it may not have been beneficial to conduct a HIA?
- How were health issues identified and prioritized?
- Were the relevant stakeholders involved in the scoping process?
- Which health issues did the HIA address, which were left out, and how were those decisions made?
- What were the goals of this project? Were they achieved?
- What kinds of evidence were mobilized for use in the project? What challenges existed in mobilizing evidence?
- How were impacts to vulnerable populations / equity implications assessed?
- Did the HIA document methodology and data sources as well as assumptions and limitations of the assessment?
- How were recommendations prioritized?

Questions for Partners and Stakeholders:

- Describe your initial perceptions and understanding of HIAs in general.
- Did these perceptions change in any way as a result of having taken part in this HIA? If so, how?

- Do you have a better understanding of the potential health impacts that could be related to college education in prison as a result of taking part in the HIA?
- Did the HIA meet its goals?
- Was the HIA responsive to your input?
- Did the HIA utilize community knowledge and experience as evidence? In what ways?
- Were there any other groups that should have been involved in the HIA process?
- Successes of the HIA?
- Challenges of the HIA?
- In what ways was the HIA used?
    - Unique views of website
    - Tweets
    - FB shares
    - Attendees at press conference
    - Op-Eds
    - Letters to the editor
    - Media stories
- Was there anything we could have done differently with the HIA process or release to increase the impact it had?
- How much time and resources did you expend to conduct the HIA?

Impact Evaluation

Human Impact Partners will develop and implement an evaluation plan to assess the impacts of the HIA on the decision and the decision-making process. The impact evaluation will focus on understanding whether the HIA influenced the primary decision point - S975/A2870 (2015) - as well as other administrative decisions related to the implementation of college education programs in NYS prisons through the implementation of the HIA recommendations.

HIA recommendations relevant to this impact evaluation include:

- To increase the availability of college programs in New York State prisons, eligibility for Tuition Assistance Program funding for qualified incarcerated people should be restored. Both public and private institutions of higher education should be eligible to receive TAP funds, and all students should be required to be earning course credit that can be applied towards an AA, BA, or MA degree.
- To demonstrate their systematic support for college programs, the Department of Corrections should provide appropriate space, security, technology, and other reasonable resources necessary for the creation, operation, and maintenance of successful college education programs within the system.
- To provide stability for students and maintain their ability to participate in college programs, the Department of Corrections should allow and honor educational holds to limit student transfers.
- To ensure the academic quality of college programs in prison, all college education providers and courses should meet rigorous academic standards.

The evaluation will be conducted with the input of HIA partners and stakeholders to assess their experience of participating in the HIA. Participants will include: Human Impact Partners, JustLeadershipUSA, College and Community Fellowship, Center for Community Alternatives, Vera Institute of Justice, NYC Department of Health and Mental Hygiene, Fortune Society, Syracuse University, and Correctional Association of New York.

Impact evaluation questions may include:

NYS Legislators

- Were NYS legislators aware of the HIA?
- Were HIA recommendations considered by the NYS legislature?
- Did NYS legislators find the HIA findings and recommendations useful or influential?
- Were HIA recommendations integrated into final version of the state bill?
- If the bill is passed, were HIA recommendations integrated into law?

Department of Corrections and Community Supervision (DOCCS)

- Were DOCCS staff aware of the HIA?
- Were HIA recommendations considered by DOCCS?
- Did DOCCS staff find the HIA findings and recommendations useful or influential?
- Were HIA recommendations implemented by DOCCS?

Other Decision-Makers, Media, General Public

- Were HIA recommendations considered by other decision-makers?
- Were there any discussions of connections between the S975/A2870 (2015) and health in the media, statements by public officials or stakeholders, public testimony, public documents, or in policy statements? If yes, list which.

Stakeholders

- What value did the HIA bring to the discussion?
- Has the HIA led to the development of new partnerships and coalitions focused on ensuring that health is considered in policy or decision-making processes?
- Can the findings from this HIA be used in any other related policy reform work?

Outcome Evaluation

HIA outcome evaluations focus on answering questions related to how the decision may have impacted health determinants and health outcomes. Because of the timeframe and cost associated with conducting these types of evaluations, they are still relatively rare in the field of HIA work. Although Human Impact Partners would like to assess these additional impacts, much of the potential to collect this data may actually lie with those who have more direct contact with people who are currently in prison, to track and compare any differences in physical and mental health outcomes for those who do or do not participate in college education programs while in prison.

For example, DOCCS and/or the city and state health departments who monitor the health of people in prisons could assess the physical and mental health of those currently in

prison and compare those who participate in college education programs with those who do not to assess any impacts of participation on health outcomes. Colleges offering courses in NY prisons could also assess physical and mental health status before and after participating in courses to further monitor the impact of participation in their program on students. Programs that serve the children of parents who are incarcerated could also assess any differences in physical and mental health outcomes, including intermediate behavioral health and educational attainment, for those children whose parents participate in college education courses while in prison compared to those who do not.