

State of New York
Department of Correctional Services

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Albany, New York 12226

**THE COMPREHENSIVE ALCOHOL AND
SUBSTANCE ABUSE TREATMENT
PROGRAM**

As of October 1993

149197



Mario M. Cuomo
Governor



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Commissioner

149197

**U.S. Department of Justice
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SUMMARY

Participant Progress

- Movement of CASAT participants to the initial four CASAT Annexes began in August 1990. The initial four annexes were located at Butler, Chateaugay, Hale Creek and Marcy. Legislation in 1992 provided for two additional CASAT programs to be started at Arthur Kill and Taconic. Taconic provides the CASAT program to female participants. In April 1993 a seventh CASAT program began at Cape Vincent Correctional Facility (p. 4-5).
- There were 3,738 participants who successfully completed Phase I and moved to Community Reintegration between March 1991 and September 1993 (p. 31).
- As of September 30, 1993, 940 successful completers of Community Reintegration were released to parole supervision (p. 32-33).
- Since May 1992 all inmates entering Phase I are required to be screened through one of three feeder facilities. In the first nine months of 1993, 2,192 inmates have entered Phase I from a feeder (p. 14-15).
- On September 30, 1993, there were 908 inmates approved for CASAT waiting for an available slot (p. 14).

Phase I Participants

- There were 1,715 inmates participating in Phase I on October 2, 1993 (p. 17).
- The average age of CASAT participants was 32.1 years (p. 22).
- Forty-eight percent of the participants were Black, 39% Hispanic and 13% White (p. 23).
- Seventy-six percent of the participants were from the New York City area, 12% from Suburban New York, 6% from Western New York and 6% from Eastern New York (p. 20-21).
- Sixty-six percent of the CASAT participants were convicted of a drug crime (p. 27).
- Eighty-one percent of the participants were sentenced as a second or persistent felony offender (p. 28).

Phase II Participants - Community Reintegration

- Of the 3,738 CASAT participants who had moved to CASAT Phase II Community Reintegration by September 30, 1993, 1,035 (28%) were still in Phase II, 1,763 (47%) had been removed from Phase II, and 940 (25%) had been paroled (p. 32-33).
- For the 1,035 inmates in community reintegration, alcohol use preceded drug use for 33% percent of cases; 26% began alcohol and drug use at the same age, and 41% percent of the cases reported using drugs prior to alcohol (p. 37-38).
- For community reintegration participants average age of first alcohol use was 15.0 years. Average age of first drug use was 15.6 years (p. 40).
- Eighty-five percent of the cases had a history of alcohol use, 77% of the cases had used cocaine, 82% had used marijuana/hashish, 36% had used crack cocaine and 33% had used heroin (p. 43).
- On average participants had been using substances for 11.7 years (p. 44).
- Sixty-one percent of the participants reported no treatment prior to incarceration including AA (Alcoholics Anonymous) or NA (Narcotics Anonymous) participation (p. 44).
- Sixty-four percent of the participants reported that a family member (wife, parent, or sibling) abused drugs or alcohol (p. 45).
- Within the six months prior to incarceration, 63% of the cases were using alcohol, 50% were using cocaine, 44% were using marijuana/hashish, 32% were using heroin, and 34% were using crack (p. 47-48).
- The most frequently reported substance of choice was heroin (27%) followed by cocaine (20%). Fourteen percent reported crack as their substance of choice, and alcohol was reported for 18% of the population (p. 49).
- White participants were most likely to report alcohol as their substance of choice followed by cocaine. Black participants preferred cocaine followed by alcohol, and Hispanic participants reported heroin as the predominant substance of choice (p. 54).

Phase III - Release to Parole Supervision

- Of the 940 cases in Aftercare 47% (N=438) had been released to parole supervision for a period of 12 months or longer as of September 30, 1993 (p. 58).
- Using survival analysis, 9% of the program participants had been returned to the Department after a period of 12 months at risk. This compares with 15% for other male Departmental releases and 19% for men who failed to complete Community Reintegration successfully, but had been under Parole Supervision for 12 months (p. 59-60).
- Using survival analysis, 18% of the program participants had been returned to the Department after a period of 18 months at risk. This compares with 27% for other male Departmental releases and 34% for men who failed to complete Community Reintegration successfully, but had been under Parole Supervision for 12 months (p. 59-60).
- The recidivism data for the four initial annexes were very comparable for both the 12 month and 18 month follow-up period (p. 60).

CASAT Relapse Program

- In February 1993 the Department instituted a relapse program for CASAT participants who failed in community reintegration due to substance abuse. Of the 262 participants who began the relapse program, 18% are still active, 8% were paroled, 68% were returned to work release, and 5% were removed from the program (p. 64-65).
- The individuals paroled following participation in the Relapse Program (N=79) have not been exposed to supervision long enough to develop any recidivism statistics (p. 67).

Section 1

CASAT OVERVIEW

The 1989 Prison Omnibus Legislation provided for the expansion of existing alcohol and substance abuse treatment programs administered by the Department. The legislation called for the establishment of six 200-bed alcohol and substance abuse treatment annexes at specific locations. Persons successfully completing the annex phase of treatment would be transferred to a work release facility or an appropriate community based program. The law also provided for an aftercare component to be provided upon release from the Department while under the supervision of the Division of Parole. The intent of this legislation was to provide a continuum of substance abuse treatment.

These legislative requirements resulted in the creation of the Comprehensive Alcohol and Substance Abuse Treatment Program (CASAT). Three distinct phases were established: Annex, Phase I; Community Reintegration, Phase II; and Aftercare, Phase III.

In 1992, the legislation was amended to expand the program to two additional annexes, Arthur Kill and Taconic. Taconic provides CASAT services to women inmates. In 1993 the Department began operation of a seventh CASAT Annex at Cape Vincent Correctional Facility.

PROGRAM GOALS

The CASAT program is intended to provide a continuum of treatment services designed to achieve the following goals:

- To better prepare participants for return to their families and communities upon release.
- To focus facility resources on the needs of inmates with a history of alcohol and substance abuse.
- To ensure appropriate aftercare services in the community.
- To increase coordination among the pertinent State and local agencies, service providers, and community organizations.
- To reduce drug and alcohol relapse rates and recidivism rates for program participants.

PROGRAM COMPONENTS

The CASAT Program consists of three phases designed to provide a continuum of treatment services. The first phase involves participation in an Alcohol and Substance Abuse Correctional Treatment Center (ASACTC). Each of the ASACTC annexes is a medium security facility. The ASACTC facilities operate as therapeutic communities. Treatment focuses on chemical dependency and includes drug education, counseling programs, and the development of skills and coping mechanisms to facilitate recovery.¹ The activities in the annex are designed to prepare residents to participate in Phase II; the Community Reintegration Phase.

Community Reintegration (Phase II) involves the participant moving to a work release facility or to an appropriate placement in the community. This phase is a transitional phase, prior to release from the Department, which allows participants to continue in a structured treatment program while becoming reintegrated to the responsibilities of employment and community living.

The third and final portion of the program is an Aftercare Phase. The Aftercare Phase is based on participants' needs and previously developed treatment plans. The Aftercare Phase is the first year of release to parole supervision. The focus of the final program phase is on relapse prevention.

IMPLEMENTATION OF CASAT

In response to the 1989 Prison Omnibus Legislation, the Department of Correctional Services and the Division of Parole issued a Request for Proposals (RFP) for the CASAT Program on January 10, 1990. The intent of this RFP process was to have one contract for each of the six ASACTC facilities, where each contractor would provide the continuum of treatment services for all three program phases for individuals at a single ASACTC facility. A mandatory pre-bid conference for all interested vendors was held on February 6, 1990 to provide prospective bidders with the opportunity to ask questions and to receive clarification about the program and contractual requirements. Based on the questions asked at this pre-bid conference, a supplemental set of information was sent to all vendors who attended the meeting.

¹See "Program Manual: Model Alcohol and Substance Abuse Correctional Treatment Center," N.Y.S. Department of Correctional Services, August 1990.

The RFP specified the following six facilities that were stipulated in the governing legislation:

<u>FACILITY</u>	<u>LOCATION</u>
Brasher Falls	St. Lawrence County
Butler	Wayne County
Chateaugay	Franklin County
Hale Creek*	Fulton County
Lakeview	Chautauqua County
Marcy	Oneida County

- * The original legislation specified a CASAT facility located in Johnstown. In response to a request from the community, the name of the Johnstown facility was officially changed to Hale Creek in October 1992.

A total of 13 proposals were submitted from eight bidders in response to the Request for Proposal. All proposals were reviewed by a Bid Review Committee comprised of representatives of the Department of Correctional Services, the Division of Parole, the Division of Substance Abuse Services and the Division of Alcoholism and Alcohol Abuse.

In March 1990, this inter-agency committee announced its recommendations. All committee decisions were unanimous. The Bid Review Committee recommended that two bids were to be awarded: the Phoenix House, Inc. bid for Marcy and the Salamanca Hospital District Authority Bid for Lakeview.

Subsequently, the contract negotiation process was successfully completed with Phoenix House, Inc. for Marcy. Contract negotiation difficulties and the State's fiscal situation in 1990 precluded the award of the contract to Salamanca Hospital District Authority for Lakeview. As such, the Department assumed program responsibilities for Hale Creek, Butler and Chateaugay. The construction of the proposed Brasher Falls facility was deferred due to State fiscal constraints.

Approved program participants began to be transferred into Chateaugay in August 1990, Butler in September 1990 and into Marcy and Hale Creek ASACTC in October 1990. All four facilities were near capacity level by November 1990.

CASAT FACILITIES

A. Start Date of First Four CASAT Facilities

In the fall of 1990, inmates approved for participation in the CASAT program were transferred to one of the following "Alcohol and Substance Abuse Correctional Treatment Centers" (ASACTC).

<u>CASAT Facility</u>	<u>Start Date</u>
Chateaugay ASACTC	August 1990
Butler ASACTC	September 1990
Marcy ASACTC	October 1990
Hale Creek ASACTC	October 1990

All four were near capacity level by November 1990, a brief description of each facility follows:

Chateaugay ASACTC is located in Upstate New York in Franklin County. Chateaugay was the first of the annexes to receive CASAT inmates and to implement the program. The staff training at Chateaugay was completed in October 1990 and the program became operational at the completion of the training. Chateaugay was targeted to receive participants from two geographic catchment areas of the State: the New York City catchment and the Suburban New York City catchment. As of October 2, 1993, the facility had 215 participants, including inmates in the CASAT Relapse Program (see Section 5 below).

Butler ASACTC is located in Western New York in Wayne County. Facility staff were trained at the beginning of November 1990 and the program was started at the completion of training. Butler ASACTC was designated to receive participants from the New York City catchment area and from the Western New York catchment. As of October 2, 1993, the facility had 211 CASAT participants (including Relapse cases).

Hale Creek ASACTC is located in Central New York in Fulton County. The facility began receiving inmates in October 1990, staff training was completed in November, and the program became operational in November 1990. Hale Creek ASACTC was targeted to receive participants from the New York City catchment, the Suburban New York catchment and from the Eastern New York catchment. As of October 2, 1993, Hale Creek ASACTC had 215 participants in Phase I (including relapse participants).

Marcy ASACTC is located in Central New York in Oneida County. It was the first ASACTC facility where the services and programs in the comprehensive treatment program were provided by an organization other than the Department of Correctional Services. The treatment services at Marcy Annex are provided by Phoenix House, Inc., a multi-service drug abuse agency founded in 1967. Phoenix House also provides the treatment services associated with community reintegration for CASAT participants who complete Phase I at Marcy Annex.

Marcy Annex began receiving participants in October 1990. Staff training was completed in December 1990. The Marcy ASACTC was targeted to receive cases from the New York City catchment. As of October 2, 1993, 188 participants were housed in the Annex. There are no relapse program beds at Marcy Annex.

B. Arthur Kill ASACTC

In 1992, the Department transferred the CASAT program, which was originally proposed for the Lakeview complex, to Arthur Kill Correctional Facility in New York City. The program services at this site are provided under contract with Therapeutic Communities, Inc. Unlike the Upstate CASAT programs that operate 200 bed facilities, the Arthur Kill program is a 216 bed living unit within this facility. The Arthur Kill CASAT program began its initial cycle in April 1992. Staff at Arthur Kill were trained by Therapeutic Communities, Incorporated. Arthur Kill receives inmates whose county of residence is one of the counties of New York City or suburban New York City. On October 2, 1993, Arthur Kill ASACTC had 213 participants.

C. CASAT Program for Women Inmates at Taconic Correctional Facility

The original CASAT legislation did not specify the establishment of a program for women inmates with substance abuse problems. In 1992, the Department addressed this program need with the incorporation of an existing therapeutic community program for women at Taconic Correctional Facility into the overall CASAT program. This residential substance abuse program for women began with federal funds through a grant from the U.S. Department of Health and Human Services. This program was designated a CASAT Annex in April 1992 and had 287 participants on October 2, 1993.

D. Cape Vincent Correctional Facility

In April 1993 the Cape Vincent Correctional Facility (Jefferson County) was converted from an institution housing men in the custody of the New York City Department of Correction to a facility that would house inmates in state custody. It has a 432 bed CASAT component, more than twice the size of the original 200 bed annexes. The Cape Vincent CASAT program began in April 1993 after staff were trained. There were 431 participants at Cape Vincent on October 2, 1993.

AVERAGE NUMBER OF CASAT PROGRAM PARTICIPANTS

Table 1.1 presents the average population for fiscal year 1990-91 (after the initial fill), FY1991-92; FY1992-93; and FY1993-94 (April-September 1993) at each CASAT facility. Each of the original four CASAT facilities has remained near its respective capacity. The slight decrease in the average total number of program participants in these four facilities in FY 1991-92 (747) as compared to FY 1990-91 (786) was due to a dip in the first quarter of 1992 when the program was adjusting its admission procedure.

The expansion of existing capacity at three of these four original facilities plus the addition of three more facilities has increased the average total number of program participants to 1,761 for the first half of FY1993-94. In 1993 Butler, Chateaugay, and Hale Creek began accepting inmates who completed Phase II community reintegration, relapsed to drug use, and were returned to Department custody. Each facility could accept up to 25 relapse program inmates (see Section 5 below for additional information on participants in the relapse portion of the CASAT Program).

Table 1.1

CASAT ANNEXES AVERAGE NUMBER OF PROGRAM PARTICIPANTS

FY 1990-91, 1991-92, 1992-93 and 1993-94 (April-September 1993)

CASAT ANNEXES	FY1990-91 NOV 90-MAR 91	FY1991-92	FY1992-93	FY1993-94 APR 93-SEP 93
Arthur Kill	-	-	-	222
Butler	197	185	202	214
Cape Vincent	-	-	-	425
Chateaugay	198	184	199	214
Hale Creek	197	190	197	218
Marcy	194	188	195	197
Taconic	-	-	183*	271
TOTAL	786	747	1,199	1,761

*The FY1992-93 Arthur Kill average is computed for the period after the initial filling of the program (July 92 - March 1993). The Taconic average in FY1992-93 was computed using the weekly participant count submitted by the facility.

RATIO OF TREATMENT STAFF TO INMATES

As previously described, the Marcy and Arthur Kill programs are distinct from the other CASAT facilities because the treatment services are provided by contract with Phoenix House, Inc. and Therapeutic Communities, Inc., respectively. At the other CASAT facilities, treatment services are provided by Department of Correctional Services staff. At Arthur Kill, Therapeutic Communities, Inc. oversees Department program staff.

As illustrated by Table 1.2, all but two of the allocated staff positions were filled at Department operated programs as of September 30, 1993.

A basic issue in the review of treatment programs is the ratio of program staff to participants. This issue is examined by comparing: (a) the number of allocated treatment positions at each program site to the program's treatment capacity and; (b) the number of filled items as of September 30, 1993 to the average number of participants in FY 92-93 (see Table 1.2). At the Department operated programs at male facilities, the current staff to inmate ratio is 15 male participants to each staff member. At Marcy Annex, there was one staff member to every 9 participants while there was one staff member to every 20 participants at Arthur Kill. If all allocated treatment items were filled, the staff to inmate ratio at Department operated programs would remain unchanged. Marcy would have one staff member for every 8 participants while Arthur Kill would have one staff member for every 11 participants.

As noted, the Federally funded therapeutic community program for women at Taconic has been incorporated into the overall CASAT program. This site's program capacity (270) varies from the Department's program for male offenders. Operating at total capacity, the staff to inmate ratio at Taconic would be higher (1:21) than the 1:15 ratio at the male program sites. The staffing ratio at Taconic is based upon the original federal grant that established the substance abuse program at this facility.

Table 1.2
CASAT PROGRAMS
SUBSTANCE ABUSE COUNSELING STAFF
September 30, 1993

DEPARTMENT OPERATED PROGRAMS						
ANNEX	CAPACITY	NUMBER OF ALLOCATED STAFF POSITIONS	RATIO OF ALLOCATED POSITIONS TO INMATES	AVERAGE FY1992-93 POPULATION	NUMBER OF FILLED STAFF POSITIONS	RATIO OF FILLED STAFF POSITIONS TO INMATES
Butler	225	16	1:14	222	16	1:14
Cape Vincent	432	25	1:17	425	24	1:18
Chateaugay	225	16	1:14	214	16	1:13
Hale Creek	225	16	1:14	218	15	1:15
Taconic	270	13	1:21	183	13	1:14
CONTRACTUAL PROGRAMS						
Arthur Kill	216	19	1:11	222	11	1:20
Marcy	200	24	1:8	197	21	1:9

PROGRAM COSTS: FISCAL YEAR 1992-93

This report analyzes the program costs in the second full year of program operation: FY 1992-1993 (April 1992-March 1993).

The four initial CASAT annexes (Butler, Chateaugay, Hale Creek and Marcy) were in operation during the entire fiscal year. Arthur Kill and Taconic began CASAT operations early in FY1992-93. These six CASAT programs are the subject of this analysis. The Cape Vincent CASAT program did not begin its first program cycle until after the close of FY1992-93.

DATA SOURCE AND DEFINITIONS

The expenditure data presented in this section was provided by the Department's Division of Budget and Finance. In reviewing this expenditure data, the distinction between the two main categories in the State's fiscal accounting system should be noted. "Personal Service" expenditures are only the salary costs of State employees (excluding fringe benefits). "Other-than-Personal Service" (OTPS) incorporates all other costs including contractual services, such as the contract with Phoenix House, Inc.

FACTORS LIMITING THE COMPARABILITY OF THE AVAILABLE DATA

In reviewing the cost data presented in the following Table 1.3, the reader may note significant differences in the program costs at the Department operated programs. Specifically, the program cost at Butler is lower than the costs at Chateaugay and Hale Creek. The difference results primarily from the substantial differences in the personal service cost data: \$604,114 at Butler as compared to \$819,598 at Chateaugay and \$885,507 at Hale Creek.

The difference in personal service expenditure can be largely attributed to an aspect of the Department's financial accounting system. Chateaugay and Hale Creek are separate facilities, while Butler, Marcy, Arthurkill and Taconic ASACTC are components of larger facilities. The Department's available fiscal records cannot distinguish between the CASAT and other facility components. For this reason, the Department's fiscal office estimated the Personal Service Expenditures for the Arthur Kill, Butler, Marcy and Taconic CASAT Annexes based on the percentage of CASAT inmates to the total population of facility. Total Personal Service expenditures for the facility were multiplied by this percentage to estimate CASAT expenditures. This estimation methodology necessarily presumes that these involved facility components have equivalent program components and program staffing levels. If this assumption does not reflect the actual staffing levels of these facility components, the estimated personal service expenditures may over - or underestimate the actual program costs. (It should be noted that this issue also applies to the estimated personal service expenditures of \$343,169 reported for the Marcy program in addition to the Phoenix House costs.)

This methodology also influences the underlying difference in the positions classified as CASAT program staff at these facilities. The Department fiscal accounting system classifies all non-security positions at the two "free-standing" CASAT facilities (Chateaugay and Hale Creek ASACTC) that are not adjacent to other Department facilities as CASAT program service staff. For example, the health services and support staff at Chateaugay and Hale Creek ASACTC are classified as CASAT program staff. However, the other CASAT facilities (Arthur Kill, Butler, Marcy and Taconic) share health services and other staff with their adjacent Department facilities. For this reason, shared positions are not classified as CASAT program staff where the CASAT Annex adjoins another correctional facility. This difference in the number of positions classified as CASAT program staff results in a higher program cost at Hale Creek and Chateaugay as compared to Arthur Kill, Butler, Marcy and Taconic.

In view of these issues regarding the calculated personal service costs for these CASAT programs, it must be emphasized that the resulting program costs should be considered as preliminary estimates.

Table 1.3

**CASAT ANNEX EXPENDITURES (IN DOLLARS)
APRIL 1992 - MARCH 1993**

ANNEX	PERSONAL SERVICE*	TREATMENT CONTRACT	OTHER OTPS**	TOTAL COSTS
Arthur Kill	\$419,161	\$287,257	\$1,082,355	\$1,788,773
Butler	604,114		631,711	1,235,825
Chateaugay	819,598		718,048	1,537,646
Hale Creek	885,507		693,528	1,579,035
Marcy	343,169	1,236,356	390,842	1,970,367
Taconic	635,274		1,133,755	1,769,029

* Department staff salaries excluding fringe benefits.

** Includes supplies and equipment.

Notes:

- (1) The program services salary expenditures reflected in Table 1.3 include all program services staff at the CASAT annex. This total includes substance abuse treatment personnel as well as teachers, administrative and clerical support staff.
- (2) The Department's fiscal office estimated the Personal Service Expenditures for Arthur Kill, Butler, Marcy and Taconic Casat Annexes based on the percentage of CASAT inmates to the total population of facility. Total personal service expenditures for the facility were multiplied by this percentage to estimate CASAT expenditures.
- (3) Costs for the Phoenix House, Inc. treatment contract at Marcy are based on monthly vouchers submitted to the Department from Phoenix House, Inc.
- (4) The Phoenix House vouchers include fringe benefits for this period. The Department's expenditures do not include fringe benefits. Fringe benefits are not charged to the agency's annual operating budget, but are taken from the State's general fund.

PHOENIX HOUSE, INC. PHASE I CONTRACT COSTS

In the past there was a particular interest in the contracted program at the Marcy Annex since it was originally the only contracted services in the CASAT program. The sum of the program expenditures as reported on the monthly vouchers of Phoenix House, Inc. for Phase I services are presented in Table 1.4 for FY 1992-93 and for previous years. From the program start-up in October 1990 through March 1991, the monthly Phoenix House voucher for Annex services averaged \$66,385. The average monthly cost of the fully operational program rose to \$96,294 in FY 1991-92 and to \$103,030 in FY 1992-93. Phoenix House voucher costs for Phase II are presented in Table 1.5.

Table 1.4

PHOENIX HOUSE VOUCHERS PHASE I: MARCY ANNEX PROGRAM FISCAL YEAR 1990-91 THROUGH FY 1992-93

FISCAL YEAR	AMOUNT*	MONTHLY AVERAGE COST*	MONTHLY AVERAGE POPULATION
FY 1990-91	\$398,310	\$66,385	194
FY 1991-92	\$1,155,532	\$96,294	188
FY 1992-93	\$1,236,356	\$103,030	195

*Includes additional charges to cover underbillings in insurance costs, fringe benefits, and other categories that were identified by internal Phoenix House, Inc. audits and are included in figures for subsequent years. This contributes to the growth in costs for FY1991-92 and FY1992-93.

PHASE II COMMUNITY REINTEGRATION COSTS

The Department provides community reintegration services to Phase II participants by contracting with organizations that provide residential and treatment services for male and female inmates in New York City and in Upstate areas. A total of 480 slots are available for male inmates including 365 residential beds and services for 115 inmates in day-treatment (see Appendix B). In Fiscal Year 1992-93, these services were provided by the Altamont Program; Esmor; and Phoenix house, Inc. There are 125 placement slots for female participants including 85 residential beds and services for 40 day-treatment inmates.

Table 1.5

**PHASE II COMMUNITY REINTEGRATION COSTS BY PROVIDER
FISCAL YEAR 1991-92 AND FISCAL YEAR 1992-93**

FISCAL YEAR	PHOENIX HOUSE MALE PROGRAM	ESMOR	ALTAMONT	PHOENIX HOUSE FEMALE PROGRAM
FY 1991-92	\$939,768	0	0	0
FY 1992-93	\$1,970,172	\$1,856,87	\$402,783	\$358,277
Apr. 1992	\$132,822	0	0	0
May 1992	\$172,774	0	0	0
Jun. 1992	\$174,813	0	0	0
Jul. 1992	\$173,093	0	0	0
Aug. 1992	\$166,066	\$1,740	\$3,528	0
Sept. 1992	\$174,635	\$135,430	\$28,030	\$4,485
Oct. 1992	\$168,179	\$251,358	\$46,987	\$34,983
Nov. 1992	\$157,091	\$257,882	\$45,899	\$31,863
Dec. 1992	\$157,592	\$265,712	\$47,948	\$73,155
Jan. 1993	\$156,457	\$281,880	\$68,401	\$75,050
Feb. 1993	\$149,710	\$308,995	\$76,678	\$65,959
Mar. 1993	\$176,940	\$353,873	\$85,312	\$72,782

Table 1.5 presents data on costs of Phase II, Community Reintegration operations. These data are compiled from monthly vouchers for each provider. The Phoenix House male program has been in operation throughout FY 1991-92 and FY 1992-93. The Esmor and Altamont costs are for the August 1992 through March 1993 period while the Phoenix House female program covers only the September 1992 to March 1993 period. Figures for Esmor include services for both women and men.

CASAT Feeder Facilities

In May 1992 the Department finalized the transition of Mt. McGregor and Livingston as CASAT feeder facilities. In April 1993 Cape Vincent became a feeder. All male inmates who begin the CASAT program are transferred to a Phase I annex from one of these feeder facilities. Female inmates are screened at their current facility and transferred to Taconic ASACTC if they are approved for CASAT and program slots are available.

Some inmates are identified at reception/classification as CASAT eligible and may be transferred to a feeder facility directly from a reception center. Other inmates are screened and approved for CASAT while housed in general confinement facilities. These inmates must be transferred to one of the feeder facilities prior to entering an annex.

To maximize participants' chances for success in the community it is essential that they begin Phase I when they are 12 to 24 months from earliest parole date. The feeder facilities help manage the flow of cases into the CASAT program to maximize the probability of getting inmates into the CASAT program during this period. Staff at these facilities also review inmates with respect to recently received arrest warrants, changes in medical status, immigration status, etc. and other criteria that affect eligibility for CASAT. This final review helps ensure that inmates transferred to a Phase I annex are eligible for the program and have sufficient time prior to parole eligibility to complete each stage of the program.

Staff at the feeder facilities also start the treatment process by placing inmates in the Department's regular Alcohol and Substance Abuse Treatment Program (ASAT). Inmates begin substance abuse treatment while at the feeder. Inmates who reject the drug treatment process that is initiated at the feeder facility will lose their eligibility to move forward into the CASAT program.

Table 1.7 shows the flow of cases from the CASAT feeders to each CASAT Annex for the period January through September 1993. Over this period 2,192 inmates were sent from a feeder facility to a CASAT Annex to begin the Phase I program. Of these, 210 were from Cape Vincent, 1,085 from Livingston, 620 from Mt. McGregor General, and 277 from Mt. McGregor Camp. Each Annex has received cases from each of the feeders.

On September 30, 1993 there were 823 inmates in the CASAT feeders approved for participation in CASAT Phase I. The two components at Mt. McGregor housed 289 approvals, while Livingston had 349 and Cape Vincent had 185. There were 85 CASAT approved inmates in general confinement facilities awaiting transfer to a feeder facility or Taconic ASACTC.

TABLE 1.7
NYS DEPARTMENT OF CORRECTIONAL SERVICES
TRANSFERS FROM CASAT FEEDER FACILITIES
INTO CASAT PHASE I FACILITIES
JANUARY - SEPTEMBER 1993

CASAT FEEDER FACILITIES	TRANSFERS TO PHASE I CASAT FACILITIES						
	ALL P H A S E I	A R T H U R K I L L	B U T L E R	C P V I N C E N T	C H A T E A U G A Y	H A L E C R E E K	M A R C Y
TOTAL	2,192	335	352	465	323	331	386
CAPE VINCENT	210	20	13	97	52	4	24
LIVINGSTON	1,085	83	334	221	28	163	256
MT. MCGREGOR-GENERAL	620	132	3	115	152	122	96
MT. MCGREGOR-CAMP	277	100	2	32	91	42	10

Section 2

CASAT PHASE I - THE ANNEXES

INTRODUCTION

The first segment of the CASAT process requires participation in a therapeutic community at one of the Alcohol and Substance Abuse Correctional Treatment Centers (ASACTC). Treatment addresses chemical dependency and includes: drug education; counseling programs; and activities which develop skills and coping mechanisms designed to facilitate recovery. Program participants are expected to spend approximately six months in the annex prior to moving to community reintegration (Phase II).

To be eligible for the CASAT Program, inmates must meet the following criteria:

- Documented history of alcohol and/or drug abuse.
- Minimum of 12 months to earliest release at the time of review to allow for sufficient program time.
- Medium or minimum security eligible.
- Temporary release approvable.

The review for CASAT eligibility and the inmate's interest in participating in a treatment program is conducted at the facility between the inmate and the inmate's correction counselor. That all criteria are met is documented on a CASAT K-17 form.

Following this facility level review, the K-17 form is forwarded to Temporary Release in Central Office for a final review of appropriateness for work release upon the completion of CASAT. Those inmates found to be acceptable for presumptive work release represent the pool of potential CASAT participants.

Since the beginning of the CASAT program through September 30, 1993, a total of 7,013 inmates have been transferred into one of the seven ASACTC facilities for CASAT participants. Of the 7,013 cases transferred into a CASAT facility, 3,738 cases had progressed to Phase II, 1,560 of the cases were transferred out of the program prior to completion, and 1,715 inmates remained active in Phase I of the program (see Table 3.1 below).

The following section provides descriptive information on the 1,715 cases participating in the CASAT Program as of October 2, 1993. Following a brief overview of the characteristics of the 1,715 Phase I participants, information is presented on the population at each of the annexes so as to permit comparison of the Phase I CASAT participants at each ASACTC facility.

It should be noted that some characteristic distributions will be influenced by the geographic catchment area representations within each annex. Consequently, differences on variables such as ethnic status between ASACTC facilities may reflect differences in the ethnic representation in different geographic areas of the State. A comparison population of non-CASAT inmates grouped according to geographic catchment area has been constructed to allow for a source of review on particular variables which may reflect geographic differences. This comparison population also facilitates a review of the representativeness of the CASAT participants in relation to all other inmates held under custody. Appendix A provides a complete set of information on the comparison population.

CASAT PHASE I - SUMMARY OF PARTICIPANTS

A. POPULATION OVERVIEW

Demographics

For the total 1,715² inmates participating in Phase I of the CASAT program as of October 2, 1993, the current average age of the program participants is 32.1 years. The ethnic distribution is 48% Black, 39% Hispanic, 13% White, and 1% all other groups. Most of the participants are from the New York City Region (76%), followed by Suburban New York (12%), Western New York (6%), and Eastern New York (6%).

²As of October 2, 1993, there were 57 inmates housed in a Phase I Annex who were part of the CASAT Relapse Program. These inmates had gone through Phase I previously, graduated to Phase II and were subsequently returned to a CASAT Annex due to relapse into drug use. These 57 cases are excluded from the profile of Phase I participants.

CASAT participants are the same age (32.1 years) as the overall comparison population (32 years). The ethnic distribution is somewhat different than the comparison population with an over-representation of Hispanic participants (39% to 32%) and an under-representation of White inmates in the CASAT facilities (13% to 16%).

At the time of reception to the Department, 19% of the current Phase I participants had reading scores at the 12th grade level, based on standardized tests administered at reception. On average CASAT participants were reading just below the 8th grade level. The reading score distribution for CASAT inmates is similar to that for the comparison population not currently participating in CASAT Phase I (see Appendix B).

Crime of Conviction

The major differences between the CASAT population and other inmates are in type of current offense and prior criminal convictions. As might be expected, the CASAT population was more likely to be convicted of a drug offense (66%) than was the comparison population (33%). Twenty-three percent of the CASAT population were committed for a violent felony offense, while the comparison population was comprised of 53% violent felony offenders.

Predicate Felon Status

One of the most striking differences in the two populations is predicate felony offender status. New York State law requires that people who are convicted of a felony offense and who have previously been convicted of a felony (within 10 years prior) must serve a mandatory period of incarceration. The participants in the CASAT Annexes were substantially more likely to be sentenced as a predicate felony offender. Eighty-one percent of the CASAT population had been sentenced as a second or persistent felony offender compared to 57% of the comparison undercustody population.

Substance Use Identified At Reception

At the time of reception to Department custody, information is collected on self-reported drug use and a Michigan Alcohol Screening Test (MAST) is administered. A score of nine or above on the MAST test classifies the person as an alcoholic.

As would be anticipated, a greater proportion (83%) of the CASAT Phase I participants were identified at reception as a self-reported drug user, an alcoholic, or both. Sixty-six percent of the comparison population were identified as substance abusers at the time of reception. It is important to note those cases not identified at reception include both missing cases and cases where no substance abuse was declared by the inmate at reception but later determination by Department staff indicated a substance abuse history. The figures presented here reflect those cases who reported that they had used illegal drugs or had excessive alcohol consumption at the time of reception. Of the 1,715 cases currently in Phase I, 63% reported using drugs, 17% were identified as alcohol abusers and reported using drugs, and 4% were identified as alcohol abusers with no reported drug use. Substance abuse was not identified at reception for 17% of the cases, however, these cases were subsequently identified as having a history of substance abuse when the review for CASAT eligibility was conducted.

The information on specific drug use as reported at reception is based on the first drug reported, with the exception of marijuana use. If marijuana is the first drug reported and another drug, such as cocaine is reported as the second or third drug, the more serious drug overrides marijuana as the substance reported. For the CASAT population, cocaine and heroin were the most frequently used. For those cases reporting drug use, 38% reported using cocaine, 24% heroin, and 22% crack (a cocaine derivative).

The CASAT population had larger proportion of cases reporting crack use (22% to 14%) or heroin use (24% to 17%) than the comparison population.

A more detailed review of substance use is presented in Section 3 for cases who completed Phase I and moved to Community Reintegration (Phase II).

B. CASAT PHASE 1 - SUMMARY OF PARTICIPANTS BY CASAT FACILITY

The ASACTC facilities were targeted to receive participants from specified geographic catchment areas of the State whenever possible. Table 2.1 presents the population (as of October 2, 1993, excluding CASAT drug relapse cases) at each ASACTC facility according to catchment area. Catchment area is based on county of residence. If county of residence is unavailable, catchment area is based on county of commitment.

In general, CASAT participants are drawn primarily from New York City counties (76%) and from suburban New York City counties (12%, see Table 2.1). Annexes with a high concentration of participants from New York City include Arthur Kill (85%), Marcy (96%) and Taconic (82%). Cape Vincent and Chateaugay have somewhat higher concentrations of participants from suburban New York City (17% and 22%, respectively) when compared with other Annexes. Hale Creek ASACTC has the highest concentration of cases from Eastern New York (24%) and Butler ASACTC the highest concentration of participants from Western New York (38%). Table 2.2 presents the specific county of residence for participants at each annex.

TABLE 2.1 CATCHMENT AREA BY CASAT FACILITY

CATCHMENT AREA	ARTHURKILL	BUTLER	CAPE VINCENT	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
NEW YORK CITY	180 84.9%	123 61.8%	306 71.8%	141 71.6%	132 66.3%	181 95.8%	236 82.2%	1299 75.8%
SUBURBAN NEW YORK	28 13.2%	1 .5%	75 17.4%	43 21.8%	19 9.5%	7 3.7%	29 10.1%	202 11.8%
EASTERN NY	4 1.9%	8 .8%	28 6.5%	13 6.6%	47 23.6%	1 .5%	14 4.9%	107 6.2%
WESTERN NY	0 .0%	75 37.7%	22 5.1%	8 .8%	1 .5%	8 .8%	8 2.8%	106 6.2%
TOTAL	212 100.0%	199 100.0%	431 100.0%	197 100.0%	199 100.0%	189 100.0%	287 100.0%	1714 100.0%

INFORMATION BASED ON CASES IN CASAT ANNEXES AS OF 10/02/93

TABLE 2.2 CATCHMENT AREA AND COUNTY OF RESIDENCE BY CASAT FACILITY

CATCHMENT AND RESIDENCE CTY	ARTHURKILL		BUTLER		CAPE VINCENT		CHATEAUGAY		HALE CREEK		MARCY		TACONIC		TOTAL	
	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT
NEW YORK CITY																
KINGS	42	20%	34	17%	65	15%	35	18%	35	18%	59	31%	45	16%	315	18%
NEW YORK	71	33%	39	20%	106	25%	44	22%	42	21%	49	26%	82	29%	433	25%
QUEENS	28	13%	21	11%	50	12%	24	12%	23	12%	39	21%	46	16%	231	13%
RICHMOND	4	2%	3	2%	6	1%	3	2%	2	1%	1	1%	2	1%	21	1%
BROOKLYN	35	17%	26	13%	79	18%	35	18%	30	15%	33	17%	61	21%	299	17%
SUBTOTAL	180	85%	123	62%	306	71%	141	72%	132	66%	181	96%	236	82%	1299	76%
SUBURBAN NEW YORK																
WASSAU	5	2%	1	1%	21	5%	14	7%	8	4%	2	1%	6	2%	57	3%
ROCKLAND	2	1%	0	0%	2	0%	1	1%	0	0%	0	0%	3	1%	8	0%
SUFFOLK	13	6%	0	0%	34	8%	13	7%	8	4%	2	1%	13	5%	83	5%
WESTCHESTER	8	4%	0	0%	18	4%	15	8%	3	2%	3	2%	7	2%	54	3%
SUBTOTAL	28	13%	1	1%	75	17%	43	22%	19	10%	7	4%	29	10%	202	12%
EASTERN NY																
ALBANY	0	0%	0	0%	4	1%	4	2%	8	4%	1	1%	4	1%	21	1%
CHENANGO	0	0%	0	0%	0	0%	0	0%	1	1%	0	0%	1	0%	2	0%
CLINTON	0	0%	0	0%	1	0%	0	0%	0	0%	0	0%	1	0%	2	0%
COLUMBIA	0	0%	0	0%	1	0%	0	0%	2	1%	0	0%	0	0%	3	0%
DUTCHESS	1	0%	0	0%	2	0%	2	1%	2	1%	0	0%	2	1%	9	1%
ESSEX	0	0%	0	0%	0	0%	1	1%	0	0%	0	0%	0	0%	1	0%
FRANKLIN	0	0%	0	0%	1	0%	0	0%	0	0%	0	0%	0	0%	1	0%
GREENE	0	0%	0	0%	2	0%	0	0%	0	0%	0	0%	0	0%	2	0%
HERKIMER	0	0%	0	0%	1	0%	0	0%	1	1%	0	0%	0	0%	2	0%
JEFFERSON	0	0%	0	0%	1	0%	0	0%	1	1%	0	0%	0	0%	2	0%
MONTGOMERY	1	0%	0	0%	2	0%	0	0%	0	0%	0	0%	0	0%	3	0%
ONEIDA	0	0%	0	0%	2	0%	1	1%	12	6%	0	0%	2	1%	17	1%
ORANGE	1	0%	0	0%	6	1%	0	0%	2	1%	0	0%	1	0%	10	1%
OSWEGO	1	0%	0	0%	0	0%	0	0%	3	2%	0	0%	0	0%	4	0%
OTSEGO	0	0%	0	0%	1	0%	0	0%	0	0%	0	0%	0	0%	1	0%
PUTNAM	0	0%	0	0%	0	0%	0	0%	1	1%	0	0%	0	0%	1	0%
RENSSELAER	0	0%	0	0%	1	0%	1	1%	4	2%	0	0%	0	0%	6	0%
SARATOGA	0	0%	0	0%	2	0%	0	0%	1	1%	0	0%	0	0%	3	0%
SCHENECTADY	0	0%	0	0%	1	0%	0	0%	7	4%	0	0%	2	1%	10	1%
SCHOHARIE	0	0%	0	0%	0	0%	1	1%	0	0%	0	0%	0	0%	1	0%
SULLIVAN	0	0%	0	0%	0	0%	1	1%	0	0%	0	0%	1	0%	2	0%
ULSTER	0	0%	0	0%	0	0%	1	1%	2	1%	0	0%	0	0%	3	0%
WARREN	0	0%	0	0%	0	0%	1	1%	0	0%	0	0%	0	0%	1	0%
SUBTOTAL	4	2%	0	0%	28	6%	13	7%	47	24%	1	1%	14	5%	107	6%
WESTERN NY																
BROOME	0	0%	3	2%	1	0%	0	0%	0	0%	0	0%	1	0%	5	0%
CATTARAUGUS	0	0%	1	1%	0	0%	0	0%	0	0%	0	0%	0	0%	1	0%
CAYUGA	0	0%	1	1%	1	0%	0	0%	0	0%	0	0%	0	0%	2	0%
CHAUTAUQUA	0	0%	2	1%	0	0%	0	0%	1	1%	0	0%	0	0%	3	0%
CHEMUNG	0	0%	3	2%	1	0%	0	0%	0	0%	0	0%	0	0%	4	0%
CORTLAND	0	0%	0	0%	1	0%	0	0%	0	0%	0	0%	0	0%	1	0%
ERIE	0	0%	14	7%	5	1%	0	0%	0	0%	0	0%	0	0%	19	1%
GENESEE	0	0%	1	1%	0	0%	0	0%	0	0%	0	0%	0	0%	1	0%
LIVINGSTON	0	0%	4	2%	0	0%	0	0%	0	0%	0	0%	0	0%	4	0%
MONROE	0	0%	21	11%	7	2%	0	0%	0	0%	0	0%	2	1%	30	2%
NIAGARA	0	0%	8	4%	1	0%	0	0%	0	0%	0	0%	0	0%	9	1%
ONONDAGA	0	0%	11	6%	3	1%	0	0%	0	0%	0	0%	5	2%	19	1%
ONTARIO	0	0%	2	1%	0	0%	0	0%	0	0%	0	0%	0	0%	2	0%
SENECA	0	0%	1	1%	0	0%	0	0%	0	0%	0	0%	0	0%	1	0%
STEBEN	0	0%	1	1%	1	0%	0	0%	0	0%	0	0%	0	0%	2	0%
TIOGA	0	0%	1	1%	0	0%	0	0%	0	0%	0	0%	0	0%	1	0%
TOMPKINS	0	0%	1	1%	0	0%	0	0%	0	0%	0	0%	0	0%	1	0%
YATES	0	0%	0	0%	1	0%	0	0%	0	0%	0	0%	0	0%	1	0%
SUBTOTAL	0	0%	75	38%	22	5%	0	0%	1	1%	0	0%	8	3%	106	6%
TOTAL	212	100%	199	100%	431	100%	197	100%	199	100%	189	100%	287	100%	1714	100%

C. Age

Average of CASAT participants ranges from 30.0 years at Hale Creek ASACTC to 34.0 years at Arthurkill ASACTC (see Table 2.3).

TABLE 2.3 CURRENT AGE BY CASAT FACILITY

CURRENT AGE	ARTHURKILL	BUTLER	CAPE VINCENT	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
16-18 YR	2 .9%	0 .0%	1 .2%	1 .5%	1 .5%	0 .0%	1 .3%	4 .3%
19-20 YR	1 .5%	1 .5%	2 .5%	4 2.0%	4 2.0%	0 .0%	1 .3%	13 .8%
21-24 YR	19 8.9%	34 17.1%	62 14.4%	40 20.3%	41 20.6%	43 22.8%	19 6.6%	258 15.0%
25-29 YR	52 24.4%	56 28.1%	111 25.8%	48 24.4%	68 34.2%	50 26.5%	79 27.5%	464 27.1%
30-34 YR	52 24.4%	53 26.6%	109 25.3%	49 24.9%	42 21.1%	51 27.0%	77 26.8%	433 25.2%
35-39 YR	41 19.2%	28 14.1%	81 18.8%	32 16.2%	28 14.1%	31 16.4%	66 23.0%	307 17.9%
40-44 YR	30 14.1%	14 7.0%	33 7.7%	13 6.6%	12 6.0%	11 5.8%	33 11.5%	146 8.5%
45-49 YR	7 3.3%	12 6.0%	23 5.3%	8 4.1%	2 1.0%	2 1.1%	10 3.5%	64 3.7%
50-54 YR	7 3.3%	0 .0%	7 1.6%	1 .5%	1 .5%	1 .5%	1 .3%	18 1.0%
55-59 YR	2 .9%	0 .0%	1 .2%	1 .5%	0 .0%	0 .0%	0 .0%	4 .2%
60-64 YR	0 .0%	1 .5%	1 .2%	0 .0%	0 .0%	0 .0%	0 .0%	2 .1%
TOTAL	213 100.0%	199 100.0%	431 100.0%	197 100.0%	199 100.0%	189 100.0%	287 100.0%	1715 100.0%
AVERAGE	34.0	32.0	32.7	31.0	30.0	30.7	33.2	32.1

INFORMATION BASED ON CASES IN CASAT ANNEXES AS OF 10/02/93

D. Ethnic Status

The ethnic distribution across the CASAT facilities is reflected in Table 2.4. The proportion of inmates who are Hispanic ranges from 36% at Hale Creek to 45% at Taconic. When compared to the total CASAT population there is a higher concentration of white participants at Butler (17%), Chateaugay (17%) and Hale Creek (20%). Differences in ethnic status by CASAT facility reflect differences in the ethnic composition of each catchment area (see also appendix A, Table 2 for non-CASAT inmates).

TABLE 2.4 ETHNIC DISTRIBUTION BY CASAT FACILITY

ETHNIC STATUS	ARTHURKILL	BUTLER	CAPE VINCENT	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
WHITE	28 13.1%	33 16.6%	51 11.8%	33 16.8%	40 20.1%	13 6.9%	17 5.9%	215 12.5%
BLACK	96 45.1%	92 46.2%	216 50.1%	90 45.7%	86 43.2%	102 54.3%	138 48.1%	820 47.8%
HISPANIC	87 40.8%	73 36.7%	163 37.8%	73 37.1%	71 35.7%	73 38.8%	130 45.3%	670 39.1%
OTHER	2 .9%	1 .5%	1 .2%	1 .5%	2 1.0%	0 .0%	2 .7%	9 .5%
TOTAL	213 100.0%	199 100.0%	431 100.0%	197 100.0%	199 100.0%	188 100.0%	287 100.0%	1714 100.0%

E. Education

Reading scores based on standardized tests administered during reception/classification are shown in Table 2.5. The average CASAT participant read just below the 8th grade level. Approximately 19% of CASAT participants read at the 12th grade level. Average reading level ranged from 6.8 at Taconic to 8.6 at Chateaugay. CASAT participants are similar to non-casat inmates in average reading level (see Appendix A Table 3).

TABLE 2.5
COMBINED READING SCORE (IN GRADE LEVEL EQUIVALENT, RECEPTION CENTER TESTS) BY CASAT FACILITY

READING SCORE (IN GRADE LEVEL)	ARTHURKILL	BUTLER	CAPE VINCENT	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
0.0-3.9	41 21.0%	24 14.3%	84 21.5%	24 13.1%	29 15.7%	34 19.5%	57 20.3%	293 18.6%
4.0-4.9	9 4.6%	11 6.5%	26 6.6%	9 4.9%	16 8.6%	9 5.2%	29 10.3%	109 6.9%
5.0-5.9	19 9.7%	10 6.0%	25 6.4%	7 3.8%	12 6.5%	14 8.0%	39 13.9%	126 8.0%
6.0-6.9	15 7.7%	11 6.5%	40 10.2%	13 7.1%	19 10.3%	17 9.8%	33 11.7%	148 9.4%
7.0-7.9	15 7.7%	10 6.0%	38 9.7%	13 7.1%	17 9.2%	12 6.9%	26 9.3%	131 8.3%
8.0-8.9	23 11.8%	20 11.9%	38 9.7%	30 16.4%	10 5.4%	14 8.0%	30 10.7%	165 10.5%
9.0-9.9	16 8.2%	20 11.9%	33 8.4%	18 9.8%	16 8.6%	12 6.9%	15 5.3%	130 8.2%
10.0-10.9	15 7.7%	9 5.4%	31 7.9%	14 7.7%	8 4.3%	15 8.6%	24 8.5%	116 7.4%
11.0-11.9	5 2.6%	4 2.4%	7 1.8%	16 8.7%	7 3.8%	6 3.4%	8 2.8%	53 3.4%
12.0-12.9	37 19.0%	49 29.2%	69 17.6%	39 21.3%	51 27.6%	41 23.6%	20 7.1%	306 19.4%
TOTAL	195 100.0%	168 100.0%	391 100.0%	183 100.0%	185 100.0%	174 100.0%	281 100.0%	1577 100.0%
AVERAGE	7.6	8.4	7.4	8.6	8.1	8.0	6.8	7.7
MEDIAN	7.9	8.8	7.6	8.9	7.9	8.0	6.5	7.8

F. Substance Abuse as Identified at Reception

The data on substance use presented below reflects the information that was collected at the time of reception to the Department. The category "No Specified Substance" includes missing data as well as cases where no substance use was declared by the inmate at reception but later review by Department staff identified a substance use history. The category of "Drug Use" is based on self-reported drug use. The classification "Alcoholic" is based on Michigan Alcohol Screening Test (MAST) score of nine or above. The "Drug and Alcohol" category includes both self-reported drug use and a score of nine or above on the MAST.

Overall, 83% of CASAT participants report use of illegal drugs or excessive use of alcohol. The 17% of cases in the "no specified substance" category reflects misrepresentations by inmates at time of reception, missing data, and clerical input errors. All participants in the CASAT program were documented drug users, alcohol abusers or both, prior to entering the Annex phase. The proportion of CASAT participants who report substance abuse ranges from 89% at Arthur Kill to 73% at Taconic. Approximately 66% of non-casat inmates report drug or alcohol use (see Appendix A, Table 4).

TABLE 2.6 SELF-REPORTED SUBSTANCE USE BY CASAT FACILITY

SUBSTANCE USE	ARTHURKILL	BUTLER	CAPE VINCENT	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
No Specified Substance	24 11.3%	34 17.1%	66 15.3%	27 13.7%	27 13.6%	28 14.8%	78 27.2%	284 16.6%
DRUG USE	153 71.8%	116 58.3%	275 63.8%	138 70.1%	120 60.3%	136 72.0%	135 47.0%	1073 62.6%
DRUG AND ALCOHOL	34 16.0%	33 16.6%	74 17.2%	24 12.2%	49 24.6%	23 12.2%	59 20.6%	296 17.3%
ALCOHOLIC	2 .9%	16 8.8%	16 3.7%	8 4.1%	3 1.5%	2 1.1%	15 5.2%	62 3.6%
TOTAL	213 100.0%	199 100.0%	431 100.0%	197 100.0%	199 100.0%	189 100.0%	287 100.0%	1715 100.0%

INFORMATION BASED ON CASES IN CASAT ANNEXES AS OF 10/02/93
SUBSTANCE ABUSE AS REPORTED BY INMATE AT RECEPTION TO NYS DEPARTMENT OF CORRECTIONAL SERVICES

G. Specific Drugs Used

For inmates identified as a drug user at the time of reception, Table 2.7 presents data on the type of drug use. This data on drug use is based on the first drug stated at reception unless the first drug was marijuana and another drug was listed as the second or third drug. In such cases, the first drug marijuana is overridden by a more serious drug such as cocaine.

Cocaine is the largest category, reported by 38% of CASAT Phase 1 participants. Reported use of cocaine is lower among participants at Taconic (24%) when compared with other facilities; but use of the cocaine derivative "crack" is higher among participants at Taconic (45%) than is the case at other Annexes. Use of marijuana varies from 1% at Taconic to 21% at Hale Creek. The proportion of CASAT Phase I participants reporting heroin varies from 19% at Butler to 27% at Taconic, with an average of 24% across the 7 facilities.

Drug use patterns for the non-CASAT inmates are presented in Appendix A, Table 5. Those inmates in the non-CASAT group who reported drug use were less likely to have used "crack" cocaine or heroin when compared with CASAT inmates. Drug users in the non-CASAT group were about as likely to report cocaine use (35%) as were CASAT inmates (38%).

TABLE 2.7 SPECIFIC TYPE OF DRUG USED BY CASAT FACILITY

DRUG USED	ARTHURKILL	BUTLER	CAPE VINCENT	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
COCAINE	75 40.1%	67 45.0%	155 44.4%	64 39.5%	59 34.9%	51 32.1%	47 24.2%	518 37.8%
MARIJUANA, HASH	20 10.7%	26 17.4%	53 15.2%	25 15.4%	36 21.3%	29 18.2%	1 .5%	190 13.9%
CRACK	40 21.4%	25 16.8%	50 14.3%	29 17.9%	28 16.6%	40 25.2%	87 44.8%	299 21.8%
HEROIN	47 25.1%	29 19.5%	86 24.6%	39 24.1%	42 24.9%	37 23.3%	53 27.5%	333 24.3%
OTHER NARCOTICS	1 .5%	1 .7%	3 .9%	1 .6%	0 .0%	0 .0%	5 2.6%	11 .8%
HALLUGINOGENS	3 1.6%	1 .7%	1 .3%	3 1.9%	2 1.2%	2 1.3%	1 .5%	13 .9%
OTHER	1 .5%	0 .0%	1 .3%	1 .6%	2 1.2%	0 .0%	0 .0%	5 .4%
TOTAL	187 100.0%	149 100.0%	349 100.0%	162 100.0%	169 100.0%	159 100.0%	194 100.0%	1369 100.0%

NOTE: EXCLUDES ALCOHOLIC CASES WITH NO DRUG USE AND DRUG USERS NOT IDENTIFIED AT RECEPTION;
DRUG TYPE AS REPORTED BY INMATE DURING RECEPTION-CLASSIFICATION
INFORMATION BASED ON CASES IN CASAT ANNEXES AS OF 10/02/93

H. Crime of Conviction

Information on crime of conviction is presented in four crime categories. The proportion of CASAT Phase I cases convicted of a violent crime ranged from a low of 6% at Taconic to a high of 35% for the population at Hale Creek ASACTC (see Table 2.8). At each of the CASAT facilities, at least one-half of the population had been convicted of sale or possession of drugs. At Hale Creek 54% had been convicted of sale or possession of drugs, while 90% of Phase I participants at Taconic Correctional Facility had been convicted of a drug offense. Among non-casat participants the proportion of persons committed to state prison for a drug offense is much lower (34%) and the proportion convicted of a violent felony much higher (53%; see Appendix A, Table 6).

TABLE 2.8 CRIME CATEGORY BY CASAT FACILITY

CRIME TYPE	ARTHURKILL	BUTLER	CAPE VINCENT	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
VIOLENT FELONY	46 21.6%	50 25.1%	106 24.6%	49 24.9%	69 34.7%	60 31.7%	18 6.3%	398 23.2%
OTHER COERCIVE	2 .9%	8 4.0%	12 2.8%	4 2.0%	6 3.0%	3 1.6%	1 .3%	36 2.1%
DRUG OFFENSES	146 68.5%	112 56.3%	288 66.8%	118 59.9%	108 54.3%	103 54.5%	257 89.5%	1132 66.0%
PROPERTY AND OTHER OFFENSES	19 8.9%	29 14.6%	25 5.8%	26 13.2%	16 8.0%	23 12.2%	11 3.8%	149 8.7%
TOTAL	213 100.0%	199 100.0%	431 100.0%	197 100.0%	199 100.0%	189 100.0%	287 100.0%	1715 100.0%

INFORMATION BASED ON CASES IN CASAT ANNEXES AS OF 10/02/93

I. Predicate Felony Offender Status

New York State law requires that persons convicted of a felony offense who have a prior felony conviction within 10 years prior to the current offense must serve a mandatory term of incarceration. The associated minimum sentence length is also increased for predicate felony offenders. People sentenced as persistent felony offenders must have at least two prior felony convictions.

CASAT facilities have a substantially greater proportion of predicate felony offenders than is evident in the general comparison population. As shown in Table 2.9, between 75% (Butler) to 87% (Arthur Kill, Marcy) of the participants in CASAT Phase I were sentenced as a second felony offender. Among non-casat inmates approximately 58% are second or persistent felony offenders (see Appendix A, Table 7).

TABLE 2.9 SENTENCING AS PREDICATE FELON BY CASAT FACILITY

SECOND FELONY STATUS	ARTHURKILL	BUTLER	CAPE VINCENT	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
FIRST FELONY OFFENDER	28 13.1%	50 25.1%	78 18.1%	46 23.4%	49 24.6%	25 13.2%	50 17.4%	326 19.0%
SECOND FELONY OFFENDER	185 86.9%	149 74.9%	352 81.7%	149 75.6%	150 75.4%	164 86.8%	236 82.2%	1385 80.8%
PERSIST FELONY OFFENDER	0 .0%	0 .0%	1 .2%	2 1.0%	0 .0%	0 .0%	1 .3%	4 .2%
TOTAL	213 100.0%	199 100.0%	431 100.0%	197 100.0%	199 100.0%	189 100.0%	287 100.0%	1715 100.0%

INFORMATION BASED ON CASES IN CASAT ANNEXES AS OF 10/02/93

J. Minimum Sentence

The average minimum sentence length of current CASAT participants ranges from a low of 28.5 months at Taconic ASACTC to a high of 35.1 months for Cape Vincent ASACTC participants (see Table 2.10).

The average minimum sentence for non-CASAT inmates is considerably longer (73.0 months; see Appendix A Table 8).

TABLE 2.10 MINIMUM SENTENCE LENGTH BY CASAT FACILITY

MINIMUM SENTENCE IN MONTHS	ARTHURKILL	BUTLER	CAPE VINCENT	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
12-17 MONTHS	1 .5%	2 1.0%	3 .7%	1 .5%	0 .0%	0 .0%	5 1.7%	12 .7%
18-23 MONTHS	31 14.6%	24 12.1%	24 5.6%	30 15.2%	26 13.1%	40 21.2%	59 20.6%	234 13.6%
24-35 MONTHS	102 47.9%	102 51.3%	204 47.3%	102 51.8%	95 47.7%	95 50.3%	152 53.0%	852 49.7%
36-47 MONTHS	38 17.8%	36 18.1%	127 29.5%	42 21.3%	48 24.1%	25 13.2%	52 18.1%	368 21.5%
48-71 MONTHS	31 14.6%	28 14.1%	54 12.5%	17 8.6%	21 10.6%	16 9.5%	16 5.6%	185 10.8%
72-119 MONTHS	10 4.7%	7 3.5%	19 4.4%	5 2.5%	8 4.0%	11 5.8%	2 .7%	62 3.6%
120-179 MONTHS	0 .0%	0 .0%	0 .0%	0 .0%	1 .5%	0 .0%	0 .0%	1 .1%
240 + MONTHS	0 .0%	0 .0%	0 .0%	0 .0%	0 .0%	0 .0%	1 .3%	1 .1%
TOTAL	213 100.0%	199 100.0%	431 100.0%	197 100.0%	199 100.0%	189 100.0%	287 100.0%	1715 100.0%
AVERAGE	32.9	33.0	35.1	31.0	32.8	32.3	28.5	32.3
MEDIAN	30.0	30.0	30.0	24.0	30.0	24.0	24.0	30.0

INFORMATION BASED ON CASES IN CASAT ANNEXES AS OF 10/02/93

Section 3

CASAT PHASE II - COMMUNITY REINTEGRATION

INTRODUCTION

The second phase of the Comprehensive Alcohol and Substance Abuse Treatment Program is Community Reintegration. Participants who successfully complete at least six months in the first phase of CASAT are transferred to a Phase II work release facility or community contract placement. The goal of Community Reintegration is to involve participants in work and treatment programs prior to release to parole supervision. This component is intended to allow participants an opportunity to utilize recovery principles and coping skills learned during Phase I.

At the inception of the CASAT program, the Division of Parole was to be responsible for the provision of services for the cases in Community Reintegration. However, due to State fiscal constraints, these services were never fully implemented by the Division of Parole. The responsibility for these services was subsequently given to the Department. The Department acquired the services of several community service providers through the State's standard contract process. As of September 1993, services were being provided by the following contractors. Esmor, Phoenix House, and Altamont Program.

MOVEMENT TO COMMUNITY REINTEGRATION

Table 3.1 summarizes the cases transferred into a Phase I facility and the status of the cases as of September 30, 1993.

Chateaugay was the first program to begin operation and was consequently the first ASACTC to begin moving cases into Phase II. Chateaugay began to move participants into work release facilities in March 1991. Butler ASACTC began to move cases to Phase II in April 1991, followed by Hale Creek ASACTC in May. Marcy Annex began movement into Phase II in July 1991, Arthur Kill ASACTC in October 1992, and Taconic in November 1992. Participants at Cape Vincent Correctional Facility began to move to Phase 2 in October 1993.

As of September 30, 1993, a total of 3,738 cases had completed Phase I at an Alcohol and Substance Abuse Treatment Center and had moved into the Community Reintegration Phase of the program.

Table 3.1

Transfers Into a Phase 1 Facility

According to Status on September 30, 1993*

	Active In Phase 1	Transferred Out of Phase 1	Phase 1 Completed; moved to Phase II	Total Started Phase 1
Arthurkill	213 33%	64 10%	374 57%	651 100%
Butler	199 15%	308 23%	833 62%	1,340 100%
Cape Vincent	431 95%	22 5%	0 0%	453 100%
Chateaugay	197 14%	318 23%	852 62%	1,367 100%
Hale Creek	199 16%	238 19%	827 65%	1,264 100%
Marcy	189 14%	553 42%	564 43%	1,306 100%
Taconic	287 45%	57 9%	288 46%	632 100%
TOTAL	1,715 24%	1,560 22%	3,738 53%	7,013 100%

*Percents may not sum to 100 due to rounding.

The information in Table 3.1 shows that while Butler, Chateaugay, Hale Creek, and Marcy became operational at about the same time, substantially fewer cases from Marcy Correctional Facility have moved to CASAT Phase II (N=564) when compared to Butler (N=833), Chateaugay (N=852), or Hale Creek (N=827). Table 3.1 shows that each of these four annexes has had approximately 1,300 participants begin CASAT Phase I. The number of Phase I graduates from Marcy is lower than the other three original annexes due to the higher rate of removals from Phase I at Marcy. The removal rate from Marcy during Phase I is 42% compared with 23% at Butler, 23% at Chateaugay and 19% at Hale Creek.

Staff at Marcy are also more likely than the other annexes to retain participants in Phase I for a longer period. Inmates who are marginal performers may be extended in the program for an additional 30 or 60 days to continue the treatment program. All annexes may retain inmates beyond the 6 month period based on the findings of the facility retention review committee. In general, inmates that are retained are those whose performance is not adequate to warrant graduation from the annex phase.

CURRENT STATUS OF PHASE II CASES

From program inception through September 30, 1993, 3,738 cases completed Phase I and moved into Phase II (Community Reintegration). Of those 3,738 cases, 1,035 cases remained in Community Reintegration as of October 2, 1993. For the 2,703 cases no longer in Community Reintegration, 1,763 cases had been removed from Phase II as unsatisfactory participants (i.e., absconders, drug violations, AWOL, and other temporary release violations). The remaining cases (940) had been paroled to CASAT Phase III (Aftercare).

Table 3.2 shows the number of program removals and the number of cases which went to Phase III (Parole Supervision) according to original Phase I facility. A graphic presentation of the flow of cases through the program based on original Phase I annex is presented on page 34.

The data in Table 3.2 shows substantial differences in the number of cases moved to CASAT Phase II by facility. The original four CASAT Annexes began operation in the fall of 1990 and were near capacity level by November 1990. Since they have been in operation longer the number of participants who have moved to Phase II of the CASAT sequence is much higher at the four original CASAT programs (e.g. 833 inmates at Butler, 852 inmates at Chateaugay) when compared with Arthur Kill (374 transferred to Phase II) or Taconic (288 transferred to Phase II) which began operating in April 1992. Since they are comparatively newer programs, the proportion of Phase II cases that are still in active in Phase II at Arthur Kill (54%) and at Taconic (39%) is higher than that of other CASAT facilities.

Table 3.2

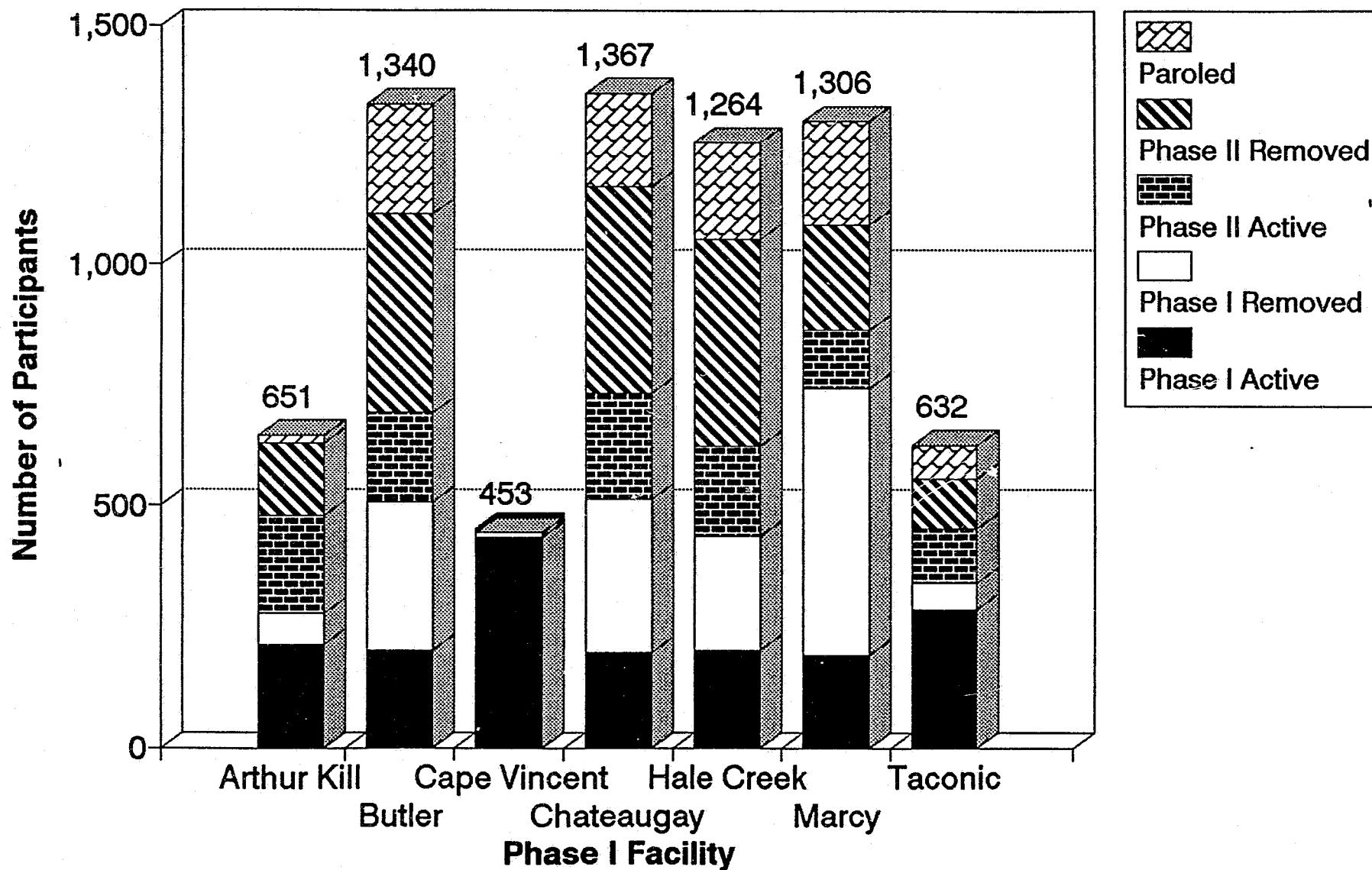
STATUS OF CASES MOVED TO PHASE II
As of September 30, 1993*

	Active In Phase II	Removed From Phase II	Phase II Completed; Released To Parole	Total Transferred Into Phase II
Arthurkill	203 54%	152 41%	19 5%	374 100%
Butler	186 22%	415 50%	232 28%	833 100%
Chateaugay	223 26%	434 51%	195 23%	852 100%
Hale Creek	187 23%	437 53%	203 25%	827 100%
Marcy	123 22%	222 39%	219 39%	564 100%
Taconic	113 39%	103 36%	72 25%	288 100%
TOTAL	1,035 28%	1,763 47%	940 25%	3,738 100%

*Percents may not sum to 100 due to rounding.

CASAT Status

by Phase I Facility



The information in Table 3.2 shows the proportion of cases that successfully complete Phase II and are released to parole supervision is higher for participants at Marcy (39%) when compared with participants at the other three original annexes (i.e. Butler 28%, Chateaugay 23%, and Hale Creek 25%). For participants at Marcy both the Phase I treatment program and the Phase II residential treatment and other services are provided by Phoenix House Incorporated.

There are several factors that may contribute to the difference between the Phase II completion rate for Marcy participants and that of the other three original CASAT programs. At the inception of the CASAT program, the Division of Parole was to be responsible for the provision of services for cases in Community Reintegration. However, due to State fiscal constraints, these services were never fully implemented by the Division of Parole. The responsibility for these services was subsequently given to the Department. The Department acquired the services of several community service providers through the State's standard contract process. In contrast, Phoenix House, Inc. has been a community service provider for several years and had staff and physical facilities in place from the very beginning of the Community Reintegration Phase. Particularly in the beginning stages of the CASAT program, participants who went through Phase I programs operated by the Department may not have had a comparable level of residential treatment or out-patient services available to them.

Second, the proportion of cases removed from the CASAT program during Phase I is substantially higher at Marcy (42%) than at the other three original annexes operated by the Department (22%, see Table 3.1). In short, Marcy sends a more rigorously screened pool of participants to the Phase II program which contributes to a higher rate of success for their Phase II participants.

Third, the program at Marcy is more likely to extend inmates by an additional 30 or 60 days over the original 6 month treatment program. A longer period in Phase I reduces the period of time in Phase II before the inmate reaches his or her parole eligibility date. Shorter Phase II exposure period reduces the possibility of failure in Phase II.

Overall, it should be noted that the number of participants successfully completing Phase I and Phase II, then paroled was 219 at Marcy and averaged 210 at the other three original Annexes. Thus, the two programs seem to have roughly the same "washout" rate, but Phoenix House seems to remove non-motivated inmates a bit quicker.

REMOVALS FROM PHASE II

As seen in Table 3.2, 47% (N=1,763) of the 3,738 inmates transferred to CASAT Phase II Community Reintegration were removed from the program. Inmates who abscond from work release, who relapse into drug use, or who commit other violations of the temporary release program (e.g. failing to return on time, cashing a check, sustained unemployment) are removed from CASAT Phase II.

Table 3.3 provides information on reason for removal from Phase II according to Phase I annex.

One-half, (49%) of Phase II removals were inmates who absconded from a work release assignment or a weekend furlough. Arthur Kill was somewhat higher than other annexes in removals due to abscond/awol (57%) and Butler had the lowest percent (48%) among annexes housing men.

Table 3.3
Reason for Removal From Phase II

	ABSCOND/ AWOL	SUBSTANCE USE	TEMPORARY RELEASE VIOLATION/ OTHER**	TOTAL
Arthur Kill	87 57%	30 20%	35 23%	152 100%
Butler	198 48%	119 29%	98 24%	415 100%
Chateaugay	222 51%	133 31%	79 18%	434 100%
Hale Creek	222 51%	100 23%	115 26%	437 100%
Marcy	118 53%	35 16%	69 31%	222 100%
Taconic	18 17%	15 15%	70 68%	103 100%
TOTAL	865 49%	432 25%	466 26%	1,763 100%

* Percents may not sum due to rounding.

**Other removals include cases removed for reasons such as medical condition, receipt of a warrant, death, program performance.

Overall, 25% of removals were due to relapse into substance abuse. Inmates in work release can be asked to provide a sample for urinalysis testing to detect use of controlled substances. Across Phase I facilities treating male CASAT participants the proportion of removals due to drug use was lowest among cases from Arthur Kill (20%) and Marcy (16%) and highest for cases from Butler (29%) and Chateaugay (31%). From Taconic ASACTC, 15% of removals were due to substance use.

The remaining quarter (25%) of Phase II removals were due to temporary release violations.

Table 3.3 shows rates of removal (in percent) from Phase II according to Phase I Annex. It should be clear, however, that relapse to drug use or absconding from work release are due to many different factors including the level of services available during Community Reintegration as well as the extent to which the participant engages those services available.

DRUG USE HISTORY OF PHASE I COMPLETERS

For cases who moved to Community Reintegration, a more detailed set of data was collected on information relating to their history of substance abuse. The information in the remainder of this section is based on intake forms completed at the Phase I facility and on referral forms completed just prior to movement to Phase II. Due to reporting problems, information is missing on certain variables and from some of the facilities. The following information is based on all available data as of September 30, 1993.

A. FIRST DRUG USED

Information was collected on a history of all reported substances used including: specific substances used, age at first use of particular substances, and number of months of use. If more than four substances were reported, the top four substances were recorded based on longest duration of use.

One-third of the population (33%) reported that alcohol was their first substance used (see Table 3.4). One quarter (26%) began using alcohol and drugs at approximately the same age. The remaining 41% reported using drugs prior to alcohol (see also Figure A, p. 39).

Table 3.4 presents data on first substance use according to the Phase I facility. CASAT participants at Marcy and Taconic were more likely to report use of drugs prior to use of alcohol (49% and 63%, respectively).

Also shown in Table 3.4 is the proportion of cases where drug history was not available. In general, problems associated with missing data correspond with the start up period at each facility. At the four original CASAT annexes Butler, Chateaugay, Hale Creek, and Marcy there is relatively little missing information.

TABLE 3.4 CASAT PHASE 1 FACILITY BY FIRST SUBSTANCE USED

FIRST SUBSTANCE USED	CASAT PHASE 1 FACILITY						TOTAL
	ARTHURKILL	BUTLER	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	
USED ALCOHOL FIRST	75 34.4%	262 34.7%	264 32.8%	276 35.8%	143 29.1%	20 16.8%	1040 32.9%
FIRST USED DRUGS AND ALCOHOL SAME AGE	53 24.3%	232 30.8%	202 25.1%	200 26.0%	107 21.7%	24 20.2%	818 25.9%
USED DRUGS PRIOR TO ALCOHOL	90 41.3%	260 34.5%	338 42.0%	294 38.2%	242 49.2%	75 63.0%	1299 41.1%
TOTAL	218 100.0%	754 100.0%	804 100.0%	770 100.0%	492 100.0%	119 100.0%	3157 100.0%
VALID CASES	218 58.3%	754 90.5%	804 94.4%	770 93.1%	492 87.2%	119 41.3%	3157 84.5%
MISSING DATA	156 41.7%	79 9.5%	48 5.6%	57 6.9%	72 12.8%	169 58.7%	581 15.5%
TOTAL CASES	374 100.0%	833 100.0%	852 100.0%	827 100.0%	564 100.0%	288 100.0%	3738 100.0%

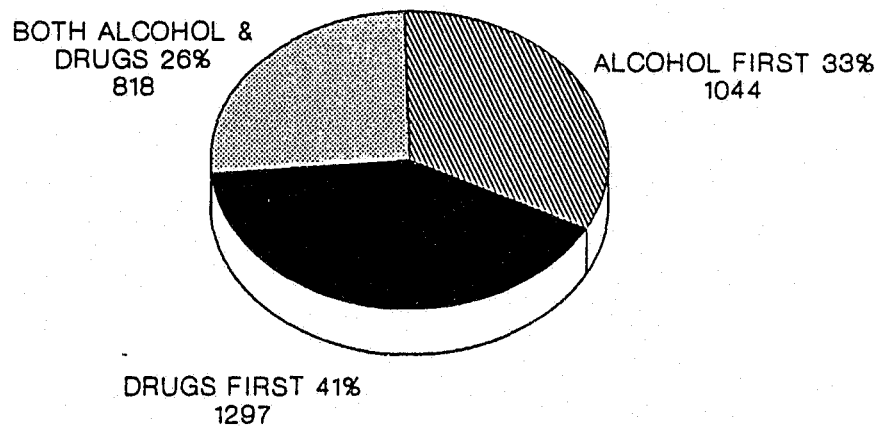
PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING

At Taconic, an existing federally funded drug treatment program was transitioned to a CASAT program for women inmates. As a consequence much of the information on drug use history that is collected when starting CASAT was not available for these participants. Similarly, Arthur Kill had an existing drug treatment program operated by Therapeutic Communities Incorporated and many of these inmates were transitioned to the CASAT program. The treatment program at Arthur Kill is provided by a contract with Therapeutic Communities Incorporated.

Drug history information for women inmates at Taconic is presented in Table 3.4 and subsequent tables. However, given the substantial proportion of cases where information is missing (59%), we regard the data for women inmates as preliminary.

Several other tables in this section show the proportion of cases where information is missing.

Figure A
FIRST SUBSTANCE USED



Data not available for 581 cases.

B. AGE OF FIRST USE

Age at first use of alcohol or first use of drugs is presented in Table 3.5. The average age at first use of alcohol is 15.1. There is very little variation around this 15.1 figure for male casat participants, however, women participants tend to be somewhat older (average age 18.0 years) at first drug use (see Figure B). Some participants claim to have begun alcohol use as early as 4 to 5 years old (see Table 3.5). At the other extreme, some inmates claim not to have used alcohol until age 30 or above. Average age at first use of drugs is slightly higher at 15.7 years than was average age a first use of alcohol (15.1 years). Women are also somewhat older (average age 18.9 years, Taconic Annex) at first drug use than is true of men (average age at first use 15 to 16). Again, some inmates claim to have begun drug use at 7 to 8 years old. The high end for beginning drug use is in the 40's for some participants (see Table 3.5).

Table 3.6 presents specific type of first substance used according to a grouped distribution of age at first use. When first alcohol and drug use were reported at the same age, the data in Table 3.6 reflects alcohol as the first substance used. In general, alcohol was typically the first substance used (or was used at the same time as first drug use) followed by marijuana use if drug use preceded alcohol use. For example, among participants at Marcy Annex fully 45% began use of alcohol by age 16 (e.g. 3% at ages 5-8, 11% at ages 9-12, and 31% at ages 13-16). Among Marcy Annex participants 29% had begun use of marijuana/hash by age 16. At Butler ASACTC, 56% had started alcohol use by age 16. By age 16, 23% had begun use of marijuana/hash.

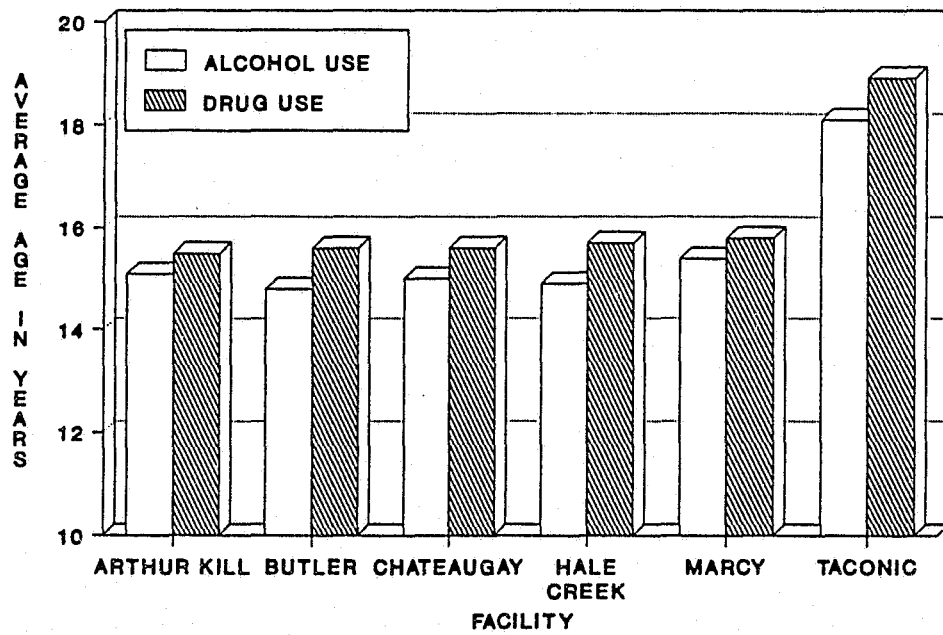
Marijuana was by far the most frequently reported first drug used. Twenty-nine percent of the Marcy population reported first using marijuana when they were 16 years of age or less. Similarly, Hale Creek had 26% in the marijuana 16 years or less grouping, Chateaugay had 30%, and Butler had 23%. Sixteen percent of Taconic participants began marijuana/hash use by age 16.

TABLE 3.5 AGE OF FIRST ALCOHOL AND DRUG USE

CASAT FACILITY	AGE 1ST USE OF ALCOHOL					AGE 1ST USE OF DRUGS				
	Valid N	Minimum	Maximum	Median	AVERAGE	Valid N	Minimum	Maximum	Median	AVERAGE
ARTHURKILL	193	5	30	15	15.2	210	7	46	15	15.5
BUTLER	667	5	40	15	14.8	726	8	50	15	15.6
CHATEAUGAY	696	5	30	15	15.1	782	7	40	15	15.6
HALE CREEK	683	5	32	15	14.9	745	6	52	15	15.7
MARCY	372	5	33	15	15.5	431	7	51	15	15.8
TACONIC	41	9	32	17	18.0	81	7	49	18	18.9
TOTAL	2652	5	40	15	15.1	2975	6	52	15	15.7

MISSING VALUES= 581 ; PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING

Figure B
AVERAGE AGE OF 1ST ALCOHOL AND DRUG USE



Data not available for 581 cases.

TABLE 3.6 TYPE OF FIRST SUBSTANCE BY AGE OF FIRST USE BY PHASE I FACILITY

CASAT FACILITY AND SUBSTANCE USED	5 TO 8 YRS		9 TO 12 YRS		13 TO 16 YRS		17 TO 20 YRS		21 TO 25 YRS		26 TO 30 YRS		31+		TOTAL	
	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT
ARTHURKILL																
ALCOHOL	10	67%	33	60%	52	55%	24	63%	5	83%	4	100%	0	0%	128	60%
COCAINE OR CRACK	0	0%	1	2%	1	1%	2	5%	0	0%	0	0%	0	0%	4	2%
HEROIN	0	0%	1	2%	4	4%	1	3%	0	0%	0	0%	0	0%	6	3%
MARIJUANA OR HASH	5	33%	20	36%	36	38%	11	29%	1	17%	0	0%	0	0%	73	34%
OTHER DRUGS	0	0%	0	0%	1	1%	0	0%	0	0%	0	0%	0	0%	1	0%
SUBTOTAL	15	100%	55	100%	94	100%	38	100%	6	100%	4	100%	0	0%	212	100%
BUTLER																
ALCOHOL	29	85%	108	64%	264	68%	67	62%	9	60%	3	50%	14	88%	494	67%
COCAINE OR CRACK	0	0%	0	0%	6	2%	6	6%	1	7%	0	0%	2	13%	15	2%
HEROIN	1	3%	6	4%	6	2%	4	4%	1	7%	2	33%	0	0%	20	3%
MARIJUANA OR HASH	4	12%	49	29%	109	28%	28	26%	3	20%	1	17%	0	0%	194	26%
OTHER DRUGS	0	0%	6	4%	2	1%	3	3%	1	7%	0	0%	0	0%	12	2%
SUBTOTAL	34	100%	169	100%	387	100%	108	100%	15	100%	6	100%	16	100%	735	100%
CHATEAUGAY																
ALCOHOL	28	80%	96	52%	245	60%	79	58%	11	61%	4	100%	4	80%	467	59%
COCAINE OR CRACK	0	0%	0	0%	2	0%	7	5%	0	0%	2	29%	0	0%	11	1%
HEROIN	0	0%	2	1%	5	1%	6	4%	2	11%	1	14%	1	20%	17	2%
MARIJUANA OR HASH	5	14%	78	43%	149	36%	42	31%	4	22%	0	0%	0	0%	278	35%
OTHER DRUGS	2	6%	7	4%	10	2%	2	1%	1	6%	0	0%	0	0%	22	3%
SUBTOTAL	35	100%	183	100%	411	100%	136	100%	18	100%	7	100%	5	100%	795	100%
HALE CREEK																
ALCOHOL	41	84%	102	61%	235	62%	83	64%	12	57%	2	22%	2	67%	477	63%
COCAINE OR CRACK	0	0%	0	0%	6	2%	11	8%	1	5%	3	33%	0	0%	21	3%
HEROIN	0	0%	4	2%	3	1%	7	5%	2	10%	3	33%	1	33%	20	3%
MARIJUANA OR HASH	8	16%	60	36%	130	34%	28	22%	5	24%	1	11%	0	0%	232	31%
OTHER DRUGS	0	0%	1	1%	4	1%	1	1%	1	5%	0	0%	0	0%	7	1%
SUBTOTAL	49	100%	167	100%	378	100%	130	100%	21	100%	9	100%	3	100%	757	100%
MARCY																
ALCOHOL	11	85%	46	56%	137	56%	47	58%	5	56%	4	57%	0	0%	250	57%
COCAINE OR CRACK	0	0%	0	0%	3	1%	5	6%	1	11%	1	14%	0	0%	10	2%
HEROIN	0	0%	1	1%	11	4%	5	6%	1	11%	1	14%	0	0%	19	4%
MARIJUANA OR HASH	2	15%	35	43%	90	37%	23	28%	2	22%	1	14%	0	0%	153	35%
OTHER DRUGS	0	0%	0	0%	5	2%	1	1%	0	0%	0	0%	0	0%	6	1%
SUBTOTAL	13	100%	82	100%	246	100%	81	100%	9	100%	7	100%	0	0%	438	100%
TACONIC																
ALCOHOL	0	0%	7	58%	12	50%	7	30%	3	19%	1	25%	14	88%	44	46%
COCAINE OR CRACK	0	0%	0	0%	2	8%	5	22%	8	50%	2	50%	1	6%	18	19%
HEROIN	1	100%	2	17%	0	0%	3	13%	2	13%	0	0%	1	6%	9	9%
MARIJUANA OR HASH	0	0%	3	25%	10	42%	8	35%	2	13%	0	0%	0	0%	23	24%
OTHER DRUGS	0	0%	0	0%	0	0%	0	0%	1	6%	1	25%	0	0%	2	2%
SUBTOTAL	1	100%	12	100%	24	100%	23	100%	16	100%	4	100%	16	100%	96	100%
TOTAL	147	100%	668	100%	1540	100%	516	100%	85	100%	37	100%	40	100%	3033	100%

MISSING VALUES= 736 ; PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING

C. MULTIPLE DRUG USE

Table 3.7 provides a summary of all reported drug use. This synopsis of drug use history was based on up to four different substances per respondent. If more than four substances were reported, the four substances with the longest duration of use were recorded. Table 3.7 is intended to provide an overview of the extent of substance use of the CASAT population and does not necessarily reflect recent use, that information is presented in a later section.

A history of multiple drug use was evident for the majority of the population. Eighty-five percent of the population reported a history of using at least three substances, and 64% of the population had a history of using four or more substances.

Eighty-five percent of the total population had a history of alcohol use. The second most prevalent substance use reported was marijuana/hash use. Eighty-two percent of the total population reported using marijuana. The third substance most frequently reported by the participants was cocaine (76%). Thirty-five percent of the population had used crack. Approximately 33% of CASAT participants reported use of heroin. Inmates at Marcy and Taconic were somewhat more likely to report use of heroin (43% and 44% respectively) than were participants at other facilities.

It is clear that alcohol and substance use by CASAT participants has been extensive.

TABLE 3.7 HISTORY OF ALL REPORTED SUBSTANCE USE

SUBSTANCE USE HISTORY	CASAT PHASE 1 FACILITY						TOTAL
	ARTHURKILL	BUTLER	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	
ALCOHOL	196 90.3%	673 89.4%	699 86.9%	690 89.6%	375 76.2%	55 46.2%	2688 85.2%
COCAINE	168 77.4%	611 81.1%	606 75.4%	578 75.1%	385 78.3%	64 53.8%	2412 76.5%
CRACK	69 31.8%	227 30.1%	315 39.2%	261 33.9%	169 34.3%	79 66.4%	1120 35.5%
HEROIN	55 25.3%	240 31.9%	251 31.2%	237 30.8%	210 42.7%	53 44.5%	1046 33.2%
PCP	10 4.6%	60 8.0%	61 7.6%	51 6.6%	40 8.1%	6 5.0%	228 7.2%
AMPHETAMINE	7 3.2%	32 4.2%	22 2.7%	21 2.7%	4 .8%	8 .0%	86 2.7%
BARBITURATE	10 4.6%	32 4.2%	28 3.5%	33 4.3%	14 2.8%	5 4.2%	122 3.9%
MARIJ/HASH	171 78.8%	633 84.1%	674 83.8%	642 83.4%	400 81.3%	58 48.7%	2578 81.7%
OTHER	28 12.9%	126 16.7%	134 16.7%	96 12.5%	53 10.8%	21 17.6%	458 14.5%
TOTAL	217 100.0%	753 100.0%	804 100.0%	770 100.0%	492 100.0%	119 100.0%	3155 100.0%
VALID CASES	217 58.0%	753 90.4%	804 94.4%	770 93.1%	492 87.2%	119 41.3%	3155 84.4%
MISSING DATA	157 42.0%	80 9.6%	48 5.6%	57 6.9%	72 12.8%	169 58.7%	583 15.6%
TOTAL CASES	374 100.0%	833 100.0%	852 100.0%	827 100.0%	564 100.0%	288 100.0%	3738 100.0%

SUBSTANCE USE HISTORY INCLUDES MULTIPLE RESPONSES FOR FOR CASES WHERE SUBSTANCE USE HISTORY IS AVAILABLE
PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING

D. DURATION OF USE

The duration of substance use ranged from a low of approximately one month to a high of approximately 40 years (see Table 3.8). The average duration of substance use ranged between 7.9 years to 12.4 years according to the Phase I facilities. The average duration of use for cases which came from Marcy was 7.9 years. It should be noted that these figures may underestimate duration of use for Marcy cases, since several cases from Marcy had to be excluded from the analysis when duration of use was reported as "to present", and the first age of use was not reported. Cases from Butler had an average duration of use of 11.9 years, Hale Creek 12.4 years and Chateaugay 11.8 years, etc. as shown in Table 3.8.

TABLE 3.8 DURATION OF SUBSTANCE USE IN YEARS

CASAT FACILITY	TIME IN YEARS				
	Valid N	Minimum	Maximum	Median	AVERAGE
ARTHURKILL	95	.50	82.50	9.00	11.6
BUTLER	575	.08	40.00	11.00	11.9
CHATEAUGAY	650	.17	40.33	11.00	11.8
HALE CREEK	550	.08	82.50	12.00	12.4
MARCY	164	.17	39.00	5.50	7.9
TACONIC	67	.08	27.00	10.00	10.7
TOTAL	2101	.08	82.50	11.00	11.7

MISSING VALUES= 1637

E. PRIOR TREATMENT

Participants were asked about substance abuse treatment prior to incarceration including any outpatient treatment, residential treatment, participation in Alcoholics Anonymous or Narcotics Anonymous, or any other substance abuse treatment program. Sixty-one percent reported no treatment prior to incarceration (see Table 3.9). Taconic Annex cases had the highest proportion of cases with no prior treatment (78%) and Butler ASACTC participants had the lowest proportion of cases (56%) with no treatment prior to incarceration. A substantial proportion, then, of CASAT participants report no involvement in treatment programs such as AA, outpatient counseling or other treatment programs.

TABLE 3.9 TREATMENT PRIOR TO INCARCERATION

PRIOR TREATMENT	ARTHURKILL	BUTLER	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
NO PRIOR TREATMENT	125 57.1%	417 56.2%	485 60.5%	445 58.9%	307 49.3%	108 78.3%	1887 60.9%
SOME PRIOR TREATMENT	94 42.9%	325 43.8%	316 39.5%	310 41.1%	136 30.7%	30 21.7%	1211 39.1%
TOTAL	219 100.0%	742 100.0%	801 100.0%	755 100.0%	443 100.0%	138 100.0%	3098 100.0%
VALID CASES	219 58.6%	742 89.1%	801 94.0%	755 91.3%	443 78.5%	138 47.9%	3098 82.9%
MISSING DATA	155 41.4%	91 10.9%	51 6.0%	77 8.7%	121 21.5%	150 52.1%	640 17.1%
TOTAL CASES	374 100.0%	833 100.0%	852 100.0%	827 100.0%	564 100.0%	288 100.0%	3738 100.0%

PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING

F. FAMILY SUBSTANCE USE

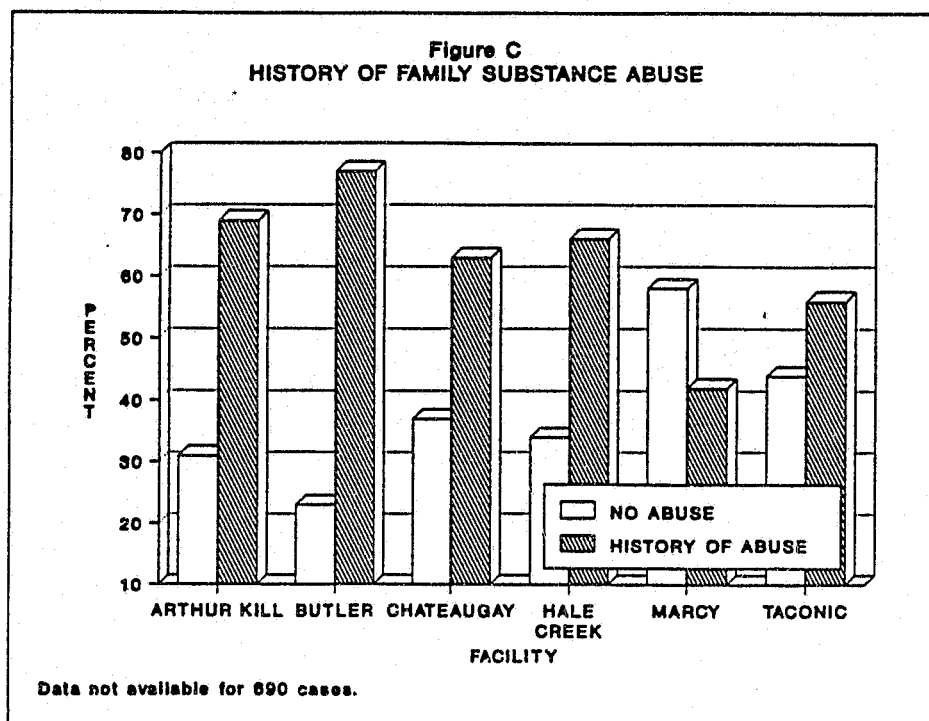
In addition to the information on the participant's substance abuse history, inmates were asked to provide information on drug use by family members (see Table 3.10). Sixty-four percent of the participants reported that some family member abused alcohol or drugs. Family members included: wives, parents and siblings. This information is based on the participant's perception of abuse and does not necessarily reflect any current pattern of actual use.

Seventy-seven percent of the participants at Butler ASACTC indicated that one or more of their family members abused a substance. The lowest percentage of reported abuse by family members was that for participants at Marcy Annex (42% see also Figure C).

TABLE 3.10 HISTORY OF SUBSTANCE ABUSE BY FAMILY MEMBERS

USE BY FAMILY	ARTHURKILL	BUTLER	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	TOTAL
NO ABUSE	65 30.7%	172 23.3%	296 37.2%	250 33.7%	251 58.0%	55 43.7%	1089 35.7%
HISTORY OF ABUSE	147 69.3%	567 76.7%	500 62.8%	492 66.3%	182 42.0%	71 56.3%	1959 64.3%
TOTAL	212 100.0%	739 100.0%	796 100.0%	742 100.0%	433 100.0%	126 100.0%	3048 100.0%
VALID CASES	212 56.7%	739 88.7%	796 93.4%	742 89.7%	433 76.8%	126 43.8%	3048 81.5%
MISSING DATA	162 43.3%	94 11.3%	56 6.6%	85 10.3%	131 23.2%	162 56.3%	690 18.5%
TOTAL CASES	374 100.0%	833 100.0%	852 100.0%	827 100.0%	564 100.0%	288 100.0%	3738 100.0%

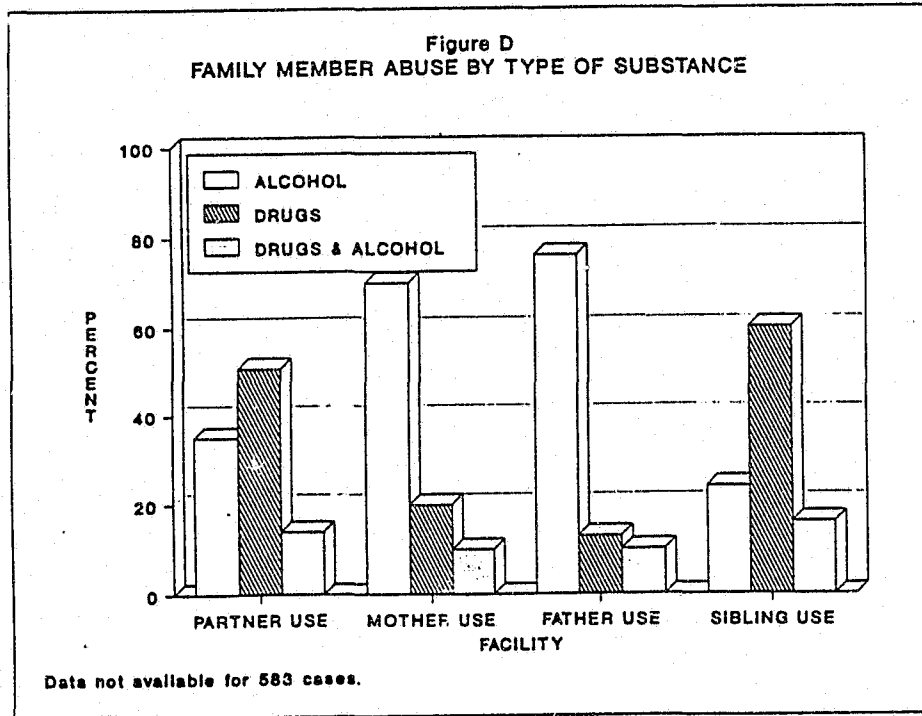
PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING



For those CASAT participants who reported a family member abusing a substance, Table 3.11 presents the type of substance abuse history according to family relation for each of the Phase I facilities (see also Figure D). Respondents were asked if "any immediate family member abused drugs/alcohol?" and if so to specify the person and whether the substance was drugs or alcohol. For the cases in which a parent was reported as having a substance abuse history, the abused substance was most likely to be alcohol (70% for mother, 76% for father). Siblings and partners (i.e., wives, including reported common law) were more likely to have a history of drug abuse. Where a partner is indicated, drugs (51%) or drugs and alcohol (14%) are the substances used. Among siblings drug use was cited by 60% of the cases and drugs or alcohol by (16%).

TABLE 3.11 TYPE OF SUBSTANCE USE HISTORY BY FAMILY MEMBER

DRUGS USED BY FAMILY MEMBERS	CASAT PHASE 1 FACILITY						TOTAL
	ARTHURKILL	BUTLER	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	
PARTNER USE							
ALCOHOL	6 37.5%	22 44.0%	6 15.4%	11 47.8%	1 20.0%	1 50.0%	47 34.8%
DRUGS	7 43.8%	21 42.0%	25 64.1%	11 47.8%	4 80.0%	1 50.0%	69 51.1%
DRUGS AND ALCOHOL	3 18.8%	7 14.0%	8 20.5%	1 4.3%	0 .0%	0 .0%	19 14.1%
TOTAL	16 100.0%	50 100.0%	39 100.0%	23 100.0%	5 100.0%	2 100.0%	135 100.0%
MOTHER USE							
ALCOHOL	26 78.8%	92 74.2%	65 62.5%	68 67.3%	27 73.0%	8 66.7%	286 69.6%
DRUGS	6 18.2%	16 12.9%	27 26.0%	24 23.8%	8 21.6%	2 16.7%	83 20.2%
DRUGS AND ALCOHOL	1 3.0%	16 12.9%	12 11.5%	9 8.9%	2 5.4%	2 16.7%	42 10.2%
TOTAL	33 100.0%	124 100.0%	104 100.0%	101 100.0%	37 100.0%	12 100.0%	411 100.0%
FATHER USE							
ALCOHOL	59 81.9%	265 82.0%	158 75.2%	143 69.4%	36 75.0%	15 51.7%	676 76.4%
DRUGS	7 9.7%	30 9.4%	35 16.7%	31 15.0%	9 18.8%	7 24.1%	119 13.4%
DRUGS AND ALCOHOL	6 8.3%	25 7.8%	17 8.1%	32 15.5%	3 6.3%	7 24.1%	90 10.2%
TOTAL	72 100.0%	320 100.0%	210 100.0%	206 100.0%	48 100.0%	29 100.0%	885 100.0%
SIBLING USE							
ALCOHOL	38 46.9%	81 25.7%	61 22.8%	59 22.9%	13 12.0%	2 4.8%	254 23.7%
DRUGS	37 45.7%	160 50.8%	172 64.2%	154 59.7%	84 77.8%	34 81.0%	641 59.8%
DRUGS AND ALCOHOL	6 7.4%	74 23.5%	35 13.1%	45 17.4%	11 10.2%	6 14.3%	177 16.5%
TOTAL	81 100.0%	315 100.0%	268 100.0%	258 100.0%	108 100.0%	42 100.0%	1072 100.0%



G. RECENT SUBSTANCE USE

Participants were asked about substance use within the six months prior to incarceration. The following information on recent substance use is based on up to four responses per participant. If more than four drugs were used in the relevant time frame, the substance most frequently used was recorded. Table 3.12 shows an overview of the substances used according to the facility at which they completed Phase I (see also Figure E). Sixty-three percent of the cases which moved to Community Reintegration had used alcohol within the six months prior to incarceration. One-half of the participants (50%) had used cocaine, 44% had used marijuana or hashish, 34% crack, and 32% heroin. In general, the patterns of substance use in the six months prior to incarceration are similar to those found for the history of all substances used as seen in Table 3.7.

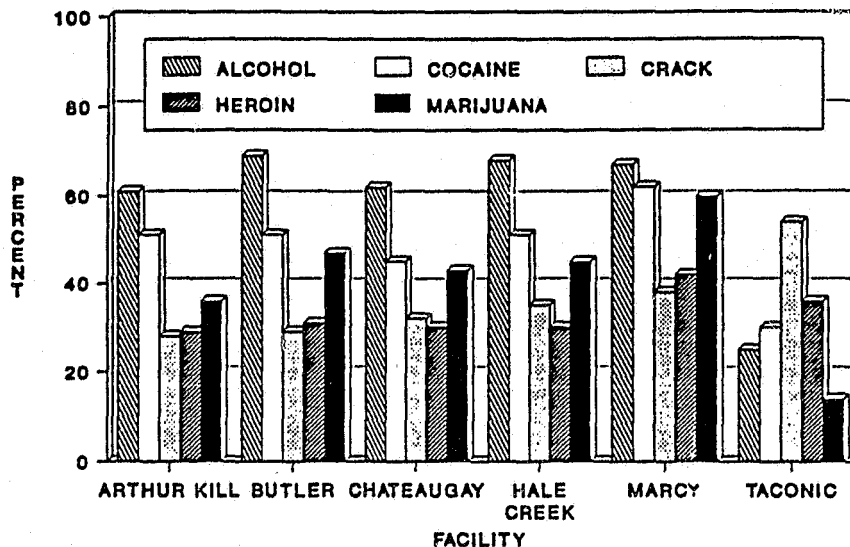
Among male CASAT participants, those at Marcy Annex were somewhat more likely to report using heroin (42%) and somewhat less likely to report alcohol use (67%) when compared with participants at other annexes housing male inmates. Women participants at Taconic, when compared with male participants at other annexes, were more likely to report use of crack cocaine (54%) and heroin (36%) and were less likely to report use of alcohol (25%) or marijuana (14%).

TABLE 3.12 SUBSTANCE USE REPORTED WITHIN 6 MONTHS PRIOR TO INCARCERATION BY CASAT FACILITY

SUBSTANCE USE PRIOR TO INCARCERATION	CASAT PHASE 1 FACILITY						TOTAL
	ARTHURKILL	BUTLER	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	
ALCOHOL	127 61.4%	546 69.0%	481 62.1%	510 67.9%	336 66.8%	68 25.1%	2068 62.7%
COCAINE	105 50.7%	401 50.7%	352 45.5%	385 51.3%	313 62.2%	80 29.5%	1636 49.6%
CRACK	58 28.0%	228 28.8%	251 32.4%	263 35.0%	189 37.6%	146 53.9%	1135 34.4%
HEROIN	61 29.5%	246 31.1%	230 29.7%	223 29.7%	209 41.6%	97 35.8%	1066 32.3%
PCP	4 1.9%	14 1.8%	15 1.9%	10 1.3%	8 1.6%	4 1.5%	55 1.7%
MARIJ/HASH	75 36.2%	368 46.5%	332 42.9%	339 45.1%	303 60.2%	39 14.4%	1456 44.2%
OTHER	53 25.6%	91 11.5%	80 10.3%	116 15.4%	71 14.1%	78 28.8%	489 14.8%
TOTAL	207 100.0%	791 100.0%	774 100.0%	751 100.0%	503 100.0%	271 100.0%	3297 100.0%
VALID CASES	207 55.3%	791 95.0%	774 90.8%	751 90.8%	503 89.2%	271 94.1%	3297 88.2%
MISSING DATA	167 44.7%	42 5.0%	78 9.2%	76 9.2%	61 10.8%	17 5.9%	441 11.8%
TOTAL CASES	374 100.0%	833 100.0%	852 100.0%	827 100.0%	564 100.0%	288 100.0%	3738 100.0%

SUBSTANCE USE HISTORY INCLUDES MULTIPLE RESPONSES FOR FOR CASES WHERE RECENT SUBSTANCE USE HISTORY IS AVAILABLE
PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING

Figure E
DRUGS USED WITHIN SIX MONTHS
PRIOR TO INCARCERATION



Data not available for 441 cases.

H. FREQUENCY OF SUBSTANCE USE

Information on the frequency of use for the substances used within six months of incarceration is presented in Table 3.13. Seventy-three percent of the cases using crack were using the drug daily. Fifty-six percent of cocaine users were using cocaine daily, and another 32% were using the drug weekly. For cases using heroin, 83% of the users were using the drug daily and 12% were using the drug weekly. Forty-one percent of the alcohol users were using the substance daily and 41% were using weekly. For the population using marijuana, 57% used the drug daily and 29% weekly.

Patterns on frequency of use were generally similar across the CASAT facilities. Women participants at Taconic who reported using alcohol were more likely to report daily use (66%) than were males. Participants at Arthurkill who used alcohol were somewhat less likely to report daily use (29%) than were participants at other annexes who reported alcohol use (see Table 3.13).

TABLE 3.13 FREQUENCY OF SUBSTANCE USE

SUBSTANCE BY FREQUENCY OF USE	CASAT PHASE 1 FACILITY						TOTAL
	ARTHURKILL	BUTLER	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	
ALCOHOL							
DAILY	37 29.1%	246 45.4%	182 38.8%	195 38.4%	135 40.2%	45 66.2%	840 49.8%
WEEKLY	45 35.4%	215 39.7%	195 48.7%	222 43.7%	143 42.6%	16 23.5%	836 48.6%
MONTHLY	22 17.3%	44 8.1%	59 12.3%	44 8.7%	41 12.2%	3 4.4%	213 16.3%
LESS THAN MONTHLY	23 18.1%	37 6.8%	43 9.8%	47 9.3%	17 5.1%	4 5.9%	171 8.3%
TOTAL	127 100.0%	542 100.0%	479 100.0%	588 100.0%	336 100.0%	68 100.0%	2868 100.0%
COCAINE							
DAILY	52 50.5%	255 64.1%	169 48.1%	195 50.8%	198 61.1%	46 57.5%	907 55.7%
WEEKLY	37 35.9%	98 24.6%	142 48.5%	126 32.8%	91 29.3%	38 37.5%	524 32.2%
MONTHLY	9 8.7%	22 5.5%	19 5.4%	37 9.6%	22 7.1%	2 2.5%	111 6.8%
LESS THAN MONTHLY	5 4.9%	23 5.8%	21 6.8%	26 6.8%	8 2.6%	2 2.5%	85 5.2%
TOTAL	103 100.0%	398 100.0%	351 100.0%	384 100.0%	311 100.0%	88 100.0%	1627 100.0%
CRACK							
DAILY	45 77.6%	168 73.7%	176 70.1%	166 63.4%	146 77.2%	126 86.3%	827 72.9%
WEEKLY	12 20.7%	38 16.7%	58 23.1%	73 27.9%	34 18.0%	15 18.3%	230 20.3%
MONTHLY	1 1.7%	8 3.5%	10 4.0%	13 5.8%	7 3.7%	3 2.1%	42 3.7%
LESS THAN MONTHLY	0 .0%	14 6.1%	7 2.8%	10 3.8%	2 1.1%	2 1.4%	35 3.1%
TOTAL	58 100.0%	228 100.0%	251 100.0%	262 100.0%	189 100.0%	146 100.0%	1134 100.0%
HEROIN							
DAILY	53 84.9%	282 83.1%	188 81.7%	181 81.5%	178 85.2%	84 86.6%	886 83.4%
WEEKLY	6 9.8%	22 9.1%	35 15.2%	31 14.0%	27 12.9%	9 9.3%	130 12.2%
MONTHLY	0 .0%	9 3.7%	1 .4%	4 2.7%	2 1.0%	3 3.1%	21 2.0%
LESS THAN MONTHLY	2 3.3%	18 4.1%	6 2.6%	4 1.8%	2 1.0%	1 1.0%	25 2.4%
TOTAL	61 100.0%	243 100.0%	230 100.0%	222 100.0%	209 100.0%	97 100.0%	1062 100.0%
MARIJUANA							
DAILY	44 58.7%	210 59.8%	171 51.7%	190 56.0%	180 60.2%	22 57.9%	817 56.8%
WEEKLY	19 25.3%	96 27.0%	111 33.5%	103 30.4%	84 28.1%	11 28.9%	424 29.5%
MONTHLY	9 12.0%	25 7.0%	29 8.8%	29 8.6%	21 7.0%	1 2.6%	114 7.9%
LESS THAN MONTHLY	3 4.0%	25 7.0%	20 6.0%	17 5.0%	14 4.7%	4 10.5%	83 5.8%
TOTAL	75 100.0%	356 100.0%	331 100.0%	339 100.0%	299 100.0%	38 100.0%	1438 100.0%

TABLE INCLUDES MULTIPLE RESPONSES FOR INDIVIDUALS

I. SUBSTANCE OF CHOICE

Many of the CASAT participants were using multiple substances prior to incarceration. When asked about substance of choice, the largest percentage of cases (27%) reported heroin as their drug of choice (see Table 3.14). Twenty percent of the cases reported cocaine to be their drug of choice, 17% reported crack, 18% reported alcohol, and 15% reported marijuana (see also Figure F).

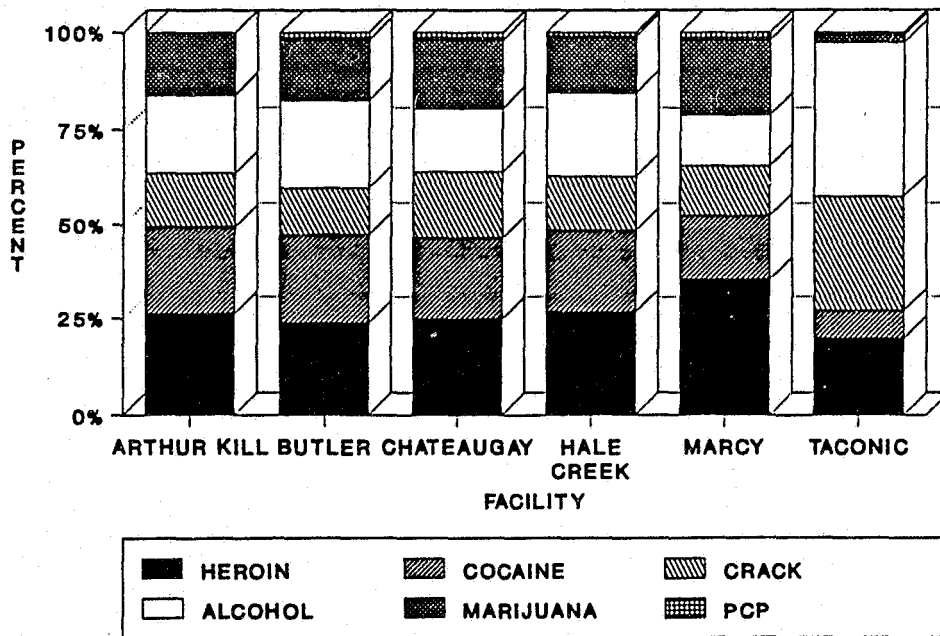
In general, male participants were most likely to select Heroin as a substance of choice (approximately 26%) followed by either cocaine or alcohol (approximately 20% for each). Women CASAT participants were more likely to select crack cocaine as a substance of choice (46%) followed by heroin (29%). Women were less likely to select alcohol as a substance of choice (6%).

TABLE 3.14 REPORTED SUBSTANCE OF CHOICE

REPORTED SUBSTANCE OF CHOICE	CASAT PHASE 1 FACILITY						TOTAL
	ARTHURKILL	BUTLER	CHATEAUGAY	HALE CREEK	MARCY	TACONIC	
ALCOHOL	43 20.2%	179 22.1%	132 16.3%	164 21.4%	68 13.3%	17 6.3%	603 17.8%
COCAINE	48 22.5%	190 23.5%	174 21.4%	161 21.0%	86 16.9%	29 10.7%	688 20.3%
CRACK	29 13.6%	97 12.0%	142 17.5%	107 13.9%	67 13.1%	124 45.8%	566 16.7%
HEROIN	56 26.3%	189 23.3%	195 24.0%	199 25.9%	179 35.1%	81 29.9%	899 26.6%
PCP	1 .5%	16 2.0%	16 2.0%	11 1.4%	9 1.8%	3 1.1%	56 1.7%
MARIJ/HASH	35 16.4%	119 14.7%	140 17.2%	109 14.2%	98 19.2%	8 3.0%	509 15.0%
OTHER	1 .5%	20 2.5%	13 1.6%	17 2.2%	3 .6%	9 3.3%	63 1.9%
TOTAL	213 100.0%	810 100.0%	812 100.0%	768 100.0%	510 100.0%	271 100.0%	3384 100.0%
VALID CASES	213 57.0%	810 97.2%	812 95.3%	768 92.9%	510 90.4%	271 94.1%	3384 90.5%
MISSING DATA	161 43.0%	23 2.8%	40 4.7%	59 7.1%	54 9.6%	17 5.9%	354 9.5%
TOTAL CASES	374 100.0%	833 100.0%	852 100.0%	827 100.0%	564 100.0%	288 100.0%	3738 100.0%

PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING

Figure F
SUBSTANCE OF CHOICE BY FACILITY



Data not available for 354 cases.

J. SUBSTANCE OF CHOICE BY AGE

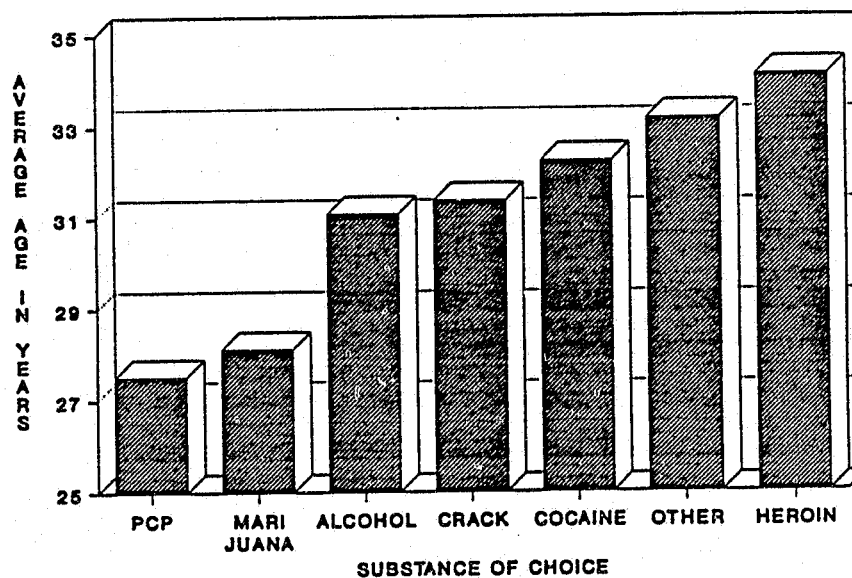
Some differences in substance use of choice are apparent based on the age and the ethnic status of CASAT participants. Table 3.15 shows a summary of the average age of the total population according to reported substance of choice. Participants who reported marijuana or PCP as their substance of choice tended to be younger (average age 28.1 and 27.5 respectively). Those who would choose alcohol or crack cocaine tend to be somewhat older (average age 31.0 and 31.3 respectively). Inmates reporting they would select heroin, cocaine or other drugs are older yet (average age 34.1, 32.2, and 33.1, respectively). These patterns tend to hold up across the CASAT facilities (see Table 3.16).

TABLE 3.15 SUBSTANCE OF CHOICE BY AVERAGE AGE

REPORTED SUBSTANCE OF CHOICE	AGE		
	NUMBER	Median	AVERAGE
ALCOHOL	603	30.00	31.07
COCAINE	688	31.00	32.23
CRACK	566	30.00	31.36
HEROIN	899	34.00	34.10
PCP	56	27.00	27.51
MARIJ/HASH	509	27.00	28.11
OTHER	63	33.00	33.16
TOTAL	3384	31.00	31.68

MISSING VALUES= 354

Figure G
SUBSTANCE OF CHOICE BY AVERAGE AGE



Data not available for 354 cases.

TABLE 3.16 SUBSTANCE OF CHOICE BY AVERAGE AGE AND CASAT FACILITY

REPORTED SUBSTANCE OF CHOICE	AGE		
	NUMBER	Median	AVERAGE
ARTHURKILL			
ALCOHOL	43	26.00	29.77
COCAINE	48	30.00	31.70
CRACK	29	28.00	30.65
HEROIN	56	35.00	34.78
PCP	1	20.00	20.00
MARIJ/HASH	35	25.00	26.58
OTHER	1	21.00	21.00
SUBTOTAL	213	29.00	31.06
BUTLER			
ALCOHOL	179	31.00	31.55
COCAINE	190	32.00	33.10
CRACK	97	30.00	30.43
HEROIN	189	34.00	34.25
PCP	16	27.50	29.00
MARIJ/HASH	119	27.00	27.79
OTHER	20	34.50	36.15
SUBTOTAL	810	31.00	31.93
CHATEAUGAY			
ALCOHOL	132	30.00	30.73
COCAINE	174	31.00	31.85
CRACK	142	30.00	31.28
HEROIN	195	34.00	34.29
PCP	16	26.50	26.69
MARIJ/HASH	140	27.00	28.56
OTHER	13	35.00	33.69
SUBTOTAL	812	30.00	31.51
HALE CREEK			
ALCOHOL	164	29.00	30.80
COCAINE	161	31.00	31.47
CRACK	107	30.00	31.36
HEROIN	199	33.00	33.44
PCP	11	27.00	26.73
MARIJ/HASH	109	27.00	28.11
OTHER	17	30.00	29.88
SUBTOTAL	768	30.00	31.25
MARCY			
ALCOHOL	68	30.00	31.47
COCAINE	86	32.00	32.31
CRACK	67	31.50	31.81
HEROIN	179	34.00	34.13
PCP	9	28.00	28.63
MARIJ/HASH	98	27.00	28.14
OTHER	3	37.00	31.67
SUBTOTAL	510	31.00	31.89
TACONIC			
ALCOHOL	17	33.00	33.31
COCAINE	29	34.50	34.78
CRACK	124	32.00	32.18
HEROIN	81	34.00	34.58
PCP	3	26.00	26.33
MARIJ/HASH	8	31.50	31.50
OTHER	9	33.00	33.78
SUBTOTAL	271	33.00	33.09
TOTAL			
ALCOHOL	603	30.00	31.07
COCAINE	688	31.00	32.23
CRACK	566	30.00	31.36
HEROIN	899	34.00	34.10
PCP	56	27.00	27.51
MARIJ/HASH	509	27.00	28.11
OTHER	63	33.00	33.16
GRAND TOTAL	3384	31.00	31.68

K. SUBSTANCE OF CHOICE BY ETHNIC STATUS

Variation in the reported substance of choice is most apparent for different ethnic groups (see Table 3.17). White inmates were most likely to report alcohol as their substance of choice (30%) followed by cocaine (25% see also Figure H). Black participants most frequently reported cocaine (23%) as their substance of choice, followed by crack (22%), marijuana/hash (19%), and alcohol (19%). Hispanic participants were most likely to report heroin as their drug of choice (48%) followed by cocaine (15%).

TABLE 3.17 ETHNIC STATUS AND REPORTED SUBSTANCE OF CHOICE

REPORTED SUBSTANCE OF CHOICE	ETHNIC STATUS ADJUSTED BY BIRTHPLACE				TOTAL
	WHITE	BLACK	HISPANIC	OTHER	
ALCOHOL	121 30.2%	309 19.2%	140 11.6%	3 27.3%	573 17.7%
COCAINE	101 25.2%	375 23.3%	182 15.0%	2 18.2%	660 20.4%
CRACK	47 11.7%	349 21.7%	140 11.6%	2 18.2%	538 16.6%
HEROIN	63 15.7%	211 13.1%	579 47.9%	0 .0%	853 26.4%
PCP	11 2.7%	28 1.7%	16 1.3%	0 .0%	55 1.7%
MARIJ/HASH	47 11.7%	314 19.5%	126 10.4%	4 36.4%	491 15.2%
OTHER	10 2.5%	26 1.6%	27 2.2%	0 .0%	63 1.9%
TOTAL	400 100.0%	1612 100.0%	1210 100.0%	11 100.0%	3233 100.0%

MISSING VALUES= 505 ; PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING

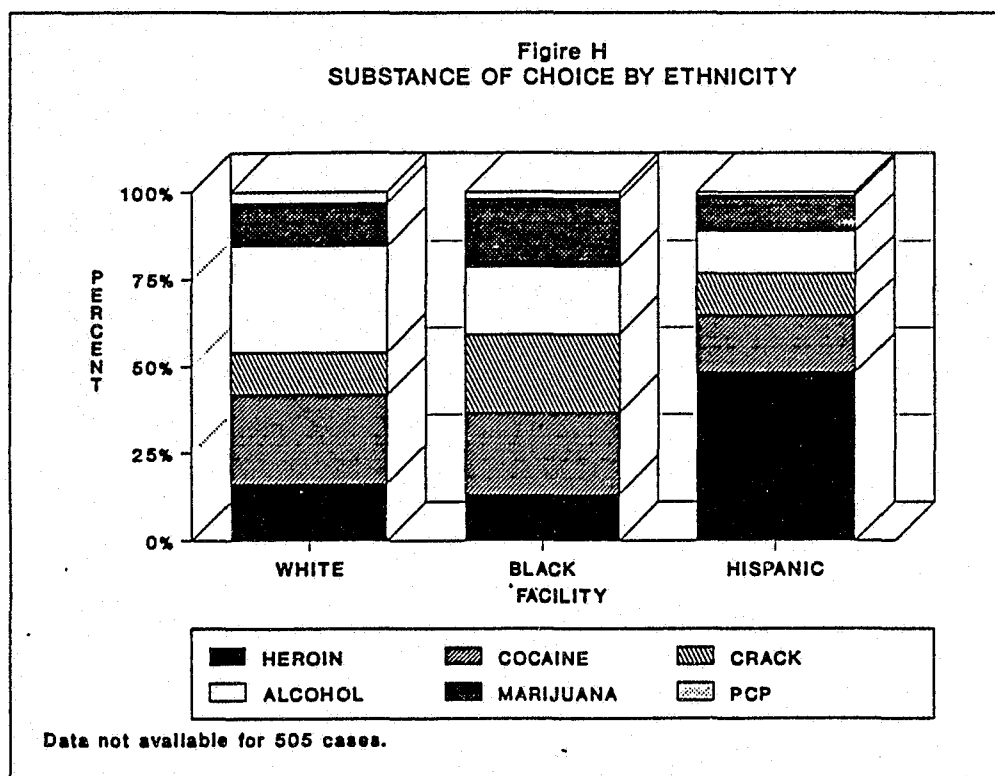


Table 3.18 presents information on substance of choice by ethnic status for each of the Phase 1 facilities. With the exception of Taconic participants, the patterns for the total population are replicated at each annex. Black inmates at Taconic are most likely to select crack cocaine as a substance of choice (64%) followed by heroin (12%). In contrast to white male participants, white women participants indicate crack and heroin as substance of choice, and none indicated alcohol. Hispanic inmates at Taconic report heroin as substance of choice (45%) followed by crack (35%) (see Table 3.18).

TABLE 3.18 ETHNIC STATUS AND REPORTED SUBSTANCE OF CHOICE BY CASAT PHASE 1 FACILITY

REPORTED SUBSTANCE OF CHOICE	WHITE		BLACK		HISPANIC		OTHER		TOTAL	
	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT	NUM	PCT
ARTHURKILL										
ALCOHOL	5	28%	25	23%	9	12%	1	100%	40	20%
COCAINE	4	22%	23	21%	20	27%	0	0%	47	23%
CRACK	2	11%	20	19%	4	5%	0	0%	26	13%
HEROIN	7	39%	14	13%	33	44%	0	0%	54	27%
PCP	0	0%	1	1%	0	0%	0	0%	1	0%
MARIJ/HASH	0	0%	24	22%	9	12%	0	0%	33	16%
OTHER	0	0%	1	1%	0	0%	0	0%	1	0%
SUBTOTAL	18	100%	108	100%	75	100%	1	100%	202	100%
BUTLER										
ALCOHOL	50	43%	86	22%	34	13%	1	33%	171	22%
COCAINE	34	30%	109	28%	39	15%	0	0%	182	24%
CRACK	7	6%	64	16%	22	8%	1	33%	94	12%
HEROIN	8	7%	45	12%	127	48%	0	0%	180	23%
PCP	2	2%	8	2%	6	2%	0	0%	16	2%
MARIJ/HASH	12	10%	72	18%	26	10%	1	33%	111	14%
OTHER	2	2%	7	2%	11	4%	0	0%	20	3%
SUBTOTAL	115	100%	391	100%	265	100%	3	100%	774	100%
CHATEAUGAY										
ALCOHOL	23	22%	74	18%	30	11%	0	0%	127	16%
COCAINE	22	21%	103	25%	46	16%	0	0%	171	21%
CRACK	16	16%	90	22%	34	12%	1	33%	141	18%
HEROIN	21	20%	40	10%	131	47%	0	0%	192	24%
PCP	3	3%	8	2%	5	2%	0	0%	16	2%
MARIJ/HASH	16	16%	91	22%	30	11%	2	67%	139	17%
OTHER	2	2%	6	1%	5	2%	0	0%	13	2%
SUBTOTAL	103	100%	412	100%	261	100%	3	100%	799	100%
HALE CREEK										
ALCOHOL	39	33%	79	21%	37	14%	1	25%	156	21%
COCAINE	33	28%	85	23%	37	14%	2	50%	157	21%
CRACK	8	7%	66	18%	32	12%	0	0%	106	14%
HEROIN	14	12%	60	16%	123	47%	0	0%	197	26%
PCP	5	4%	4	1%	2	1%	0	0%	11	1%
MARIJ/HASH	15	13%	68	18%	23	9%	1	25%	107	14%
OTHER	3	3%	7	2%	7	3%	0	0%	17	2%
SUBTOTAL	117	100%	369	100%	261	100%	4	100%	751	100%
MARCY										
ALCOHOL	4	13%	38	17%	24	10%	0	0%	66	13%
COCAINE	7	22%	44	20%	34	14%	0	0%	85	17%
CRACK	8	25%	40	18%	16	7%	0	0%	64	13%
HEROIN	8	25%	39	17%	124	53%	0	0%	171	35%
PCP	1	3%	4	2%	3	1%	0	0%	8	2%
MARIJ/HASH	3	9%	57	25%	35	15%	0	0%	95	19%
OTHER	1	3%	2	1%	0	0%	0	0%	3	1%
SUBTOTAL	32	100%	224	100%	236	100%	0	0%	492	100%
TACONIC										
ALCOHOL	0	0%	7	6%	6	7%	0	0%	13	6%
COCAINE	1	7%	11	10%	6	7%	0	0%	18	8%
CRACK	6	40%	69	64%	32	35%	0	0%	107	50%
HEROIN	5	33%	13	12%	41	45%	0	0%	59	27%
PCP	0	0%	3	3%	0	0%	0	0%	3	1%
MARIJ/HASH	1	7%	2	2%	3	3%	0	0%	6	3%
OTHER	2	13%	3	3%	4	4%	0	0%	9	4%
SUBTOTAL	15	100%	108	100%	92	100%	0	0%	215	100%
TOTAL										
ALCOHOL	121	30%	309	19%	140	12%	3	27%	573	18%
COCAINE	101	25%	375	23%	182	15%	2	18%	660	20%
CRACK	47	12%	349	22%	140	12%	2	18%	538	17%
HEROIN	63	16%	211	13%	579	48%	0	0%	853	26%
PCP	11	3%	28	2%	16	1%	0	0%	55	2%
MARIJ/HASH	47	12%	314	19%	126	10%	4	36%	491	15%
OTHER	10	2%	26	2%	27	2%	0	0%	63	2%
TOTAL	400	100%	1612	100%	1210	100%	11	100%	3233	100%

MISSING VALUES= 505 ; PERCENTS MAY NOT SUM TO 100 DUE TO ROUNDING

Section 4

CASAT PHASE III - AFTERCARE

The final component of the CASAT program is Aftercare or Phase III. Aftercare commences upon release from a Department facility to supervision of the Division of Parole. Participation in the Aftercare Component of the CASAT program is intended to extend over the first year of parole supervision.

As of September 30, 1993, 940 CASAT participants had successfully completed both the Phase I and the Phase II components of the CASAT program and had begun participating in Phase III. This portion of the report presents findings on these Phase III cases including their subsequent rate of return to Department custody and how this rate compares to the rate of return for other persons released from Department custody.

FOLLOW-UP PROCEDURE

Consistent with previous Department recidivism research, cases with a minimum period of 12 months exposure in the community are tracked to determine the proportion of cases returned to the Department. The 12 month minimum follow-up period is used to avoid fluctuations in the return rates due to extraneous factors such as changes in criminal justice processing time. The release cohort information is compared with subsequent admission data maintained on the Department's LOCATOR computer file to determine which cases returned to Department custody according to periods of time at risk.

As with previous Department research, recidivism is defined as a return to the Department's custody. Time to return and likelihood of recidivism was evaluated using the analytic technique of Survival Analysis. This method was used to determine the cumulative rate of return, based on the number of cases remaining at risk, according to the number of months since release. This method controls for different exposure periods and allows for a comparison of the cumulative rate of return across the different groups.

Table 4.1
CASES RELEASED TO PHASE III AFTERCARE
BY TIME SINCE RELEASE

PHASE I FACILITY*	LESS THAN 12 MONTHS	12 TO 29 MONTHS	TOTAL
Arthur Kill	19	0	19
	100%	0%	100%
Butler	123	109	232
	53%	47%	100%
Chateaugay	84	111	195
	43%	57%	100%
Hale Creek	92	111	203
	45%	55%	100%
Marcy	112	107	219
	51%	49%	100%
Taconic	72	0	72
	100%	0%	100%
Total	502	438	940
	53%	47%	100%

*No Cape Vincent cases had entered Phase III as of September 30, 1993.

Table 4.1 shows the number of cases from each Phase I facility which had been released to Phase III Aftercare after successful completion of Phase II according to time since release as of September 30, 1993. A total of 940 inmates were paroled to the Aftercare Component of CASAT. Of these, 438 (47%) had been released for a minimum of 12 months with the remaining 502 for less than one year.

COMPARISON POPULATIONS

The Department's program follow-up research series has utilized the overall return rate of total releases to parole supervision for baseline comparison purposes in past studies. This established protocol is incorporated in this review. As a comparison group for this review, all releases to parole supervision for July 1991 through September 1992 (N=27,002) have been selected. These cases have been matched against the computer file of subsequent admissions to Department custody to determine the number and rate of return for the comparison group.

Whenever possible Department recidivism studies compare successful program completers with individuals who have failed to complete the program and who have been released to Parole supervision. A second comparison group has been developed for this report. For the CASAT program, DOCS has identified 289 men who: (1) successfully completed Phase I; (2) failed to complete Phase II; and (3) were released to Parole Supervision between July 1991 and September 1992.

PROBABILITY OF RETURN

Table 4.2 provides a summary distribution of the cumulative return rates at 12, 18 and 24 months. These rates are calculated utilizing the technique of Survival Analysis and represent the probability of a case being returned to custody. These data indicate a lower probability of return for the CASAT Phase III release group than for the parole comparison cohort with the highest probability of return occurring in the group who failed to complete CASAT Phase II.

Table 4.2
PHASE III CASES AT RISK 12 OR MORE MONTHS
CUMULATIVE RATE OF RETURN

MONTHS SINCE RELEASE	CASAT <u>PHASE III</u> PROBABILITY OF RETURN	TOTAL <u>PAROLED</u> PROBABILITY OF RETURN	PHASE II <u>FAILURES</u> PROBABILITY OF RETURN
12 Months	9%	15%	19%
18 Months	18%	27%	34%
24 Months	24%	37%	48%

Figure J. illustrates the cumulative rate of return for CASAT Phase III releases and for the two comparison groups on a month by month basis. The graph shows that the CASAT successes have a lower probability of return than the "All Releases" group. Additionally, the graph shows that CASAT Phase II failures have a higher probability of return than the "All Releases" group. The combination of these two points is important. CASAT participants are individuals who are otherwise ineligible for the Work Release Program. They would best be characterized as individuals who are not predestined to be successful at maintaining a structured, law abiding life upon return to society. Using very preliminary statistics, individuals who are released from prison after failing to complete the first two phases of the CASAT program, in fact, do return to DOCS custody at a higher rate than the average releasee from prison. Successful completers seem to have at least acquired some recovery skills for successful transition into the community, which is reflected by the lower recidivism rate.

Table 4.3 and Figure K. illustrate the return rates by Phase I CASAT facility for individuals who have successfully completed the program and have been under parole supervision for at least 12 months. The reader should note that the early experiences of each of the four annexes have reflected a lower return rate than the two comparison groups experienced. Figure L. provides the reader a direct comparison between the success rate of each annex with the Phase II failures and all DOCS releases to Parole supervision between July 1991 and September 1992.

Table 4.3
PHASE III CASES BY CASAT ANNEX
CUMULATIVE RATE OF RETURN

MONTHS SINCE RELEASE	BUTLER	CHATEAUGAY	HALE CREEK	MARCY
12 Months	8%	7%	12%	8%
18 Months	18%	13%	21%	21%
24 Months	24%	19%	23%	29%

These numbers are exhibited for comparison purposes only. There was a total of only 38 individuals who had successfully been tracked for two years. Therefore, no inferences can or should be drawn from these very preliminary figures. The Department's Research Division anticipates preparing more in-depth follow-up studies during calendar year 1994. Appendix C provides the detailed information summarized in this section of the report.

CASAT Phase III Return Rates and Comparison Population Returns

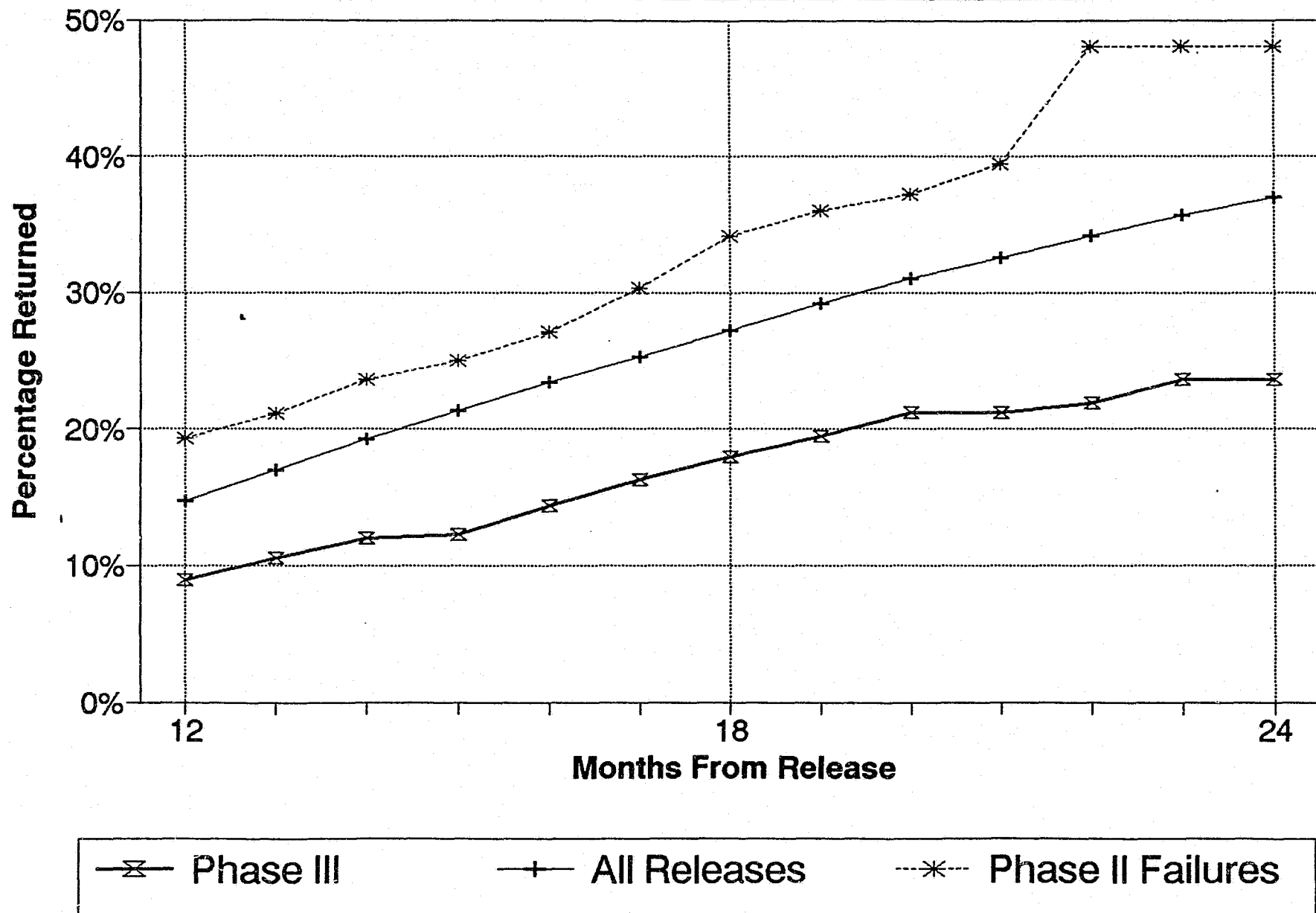
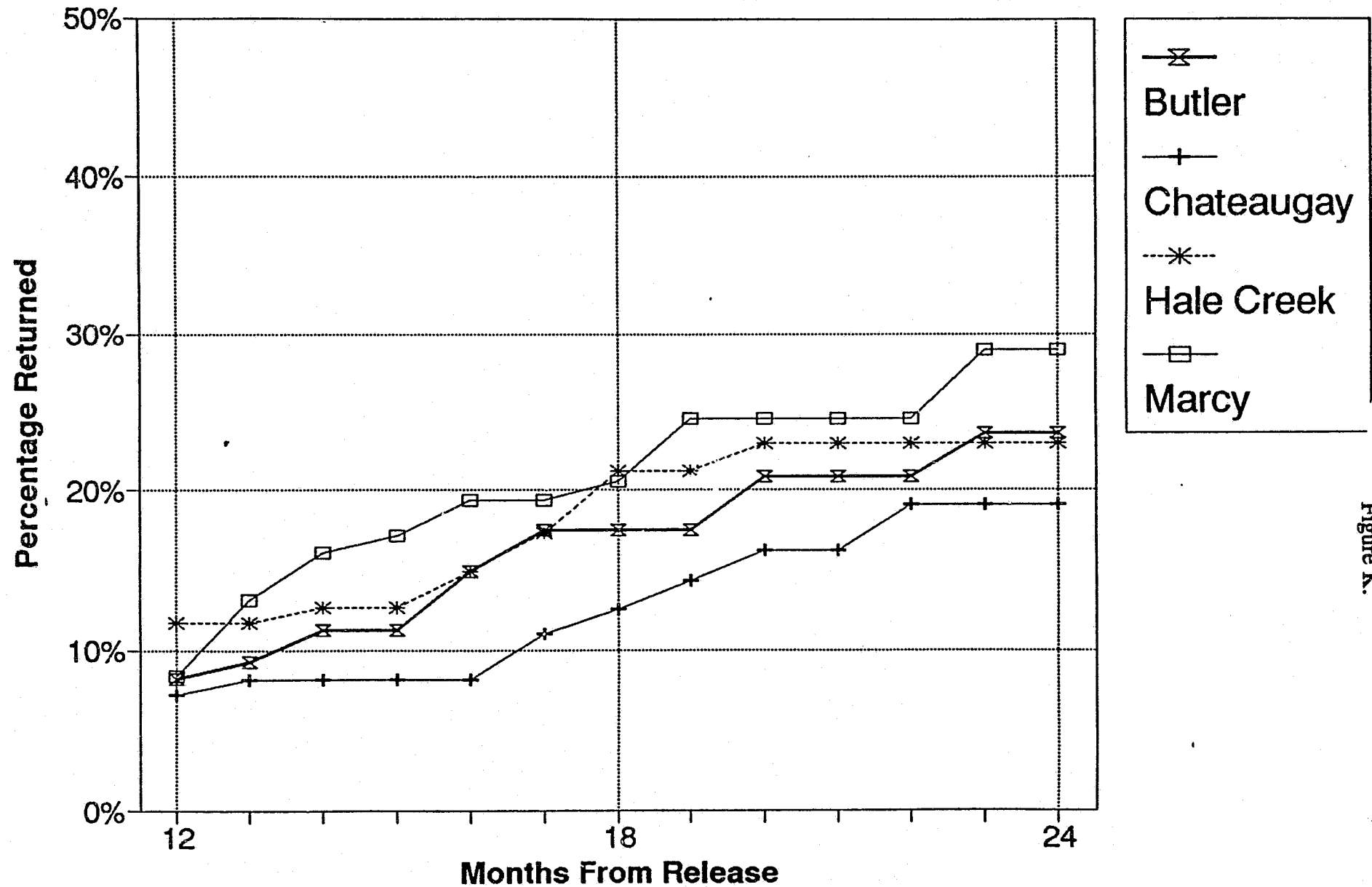


Figure J.

CASAT Phase III Return Rates by Phase I Facility



CASAT Return Rates by Annex

With Comparison Groups

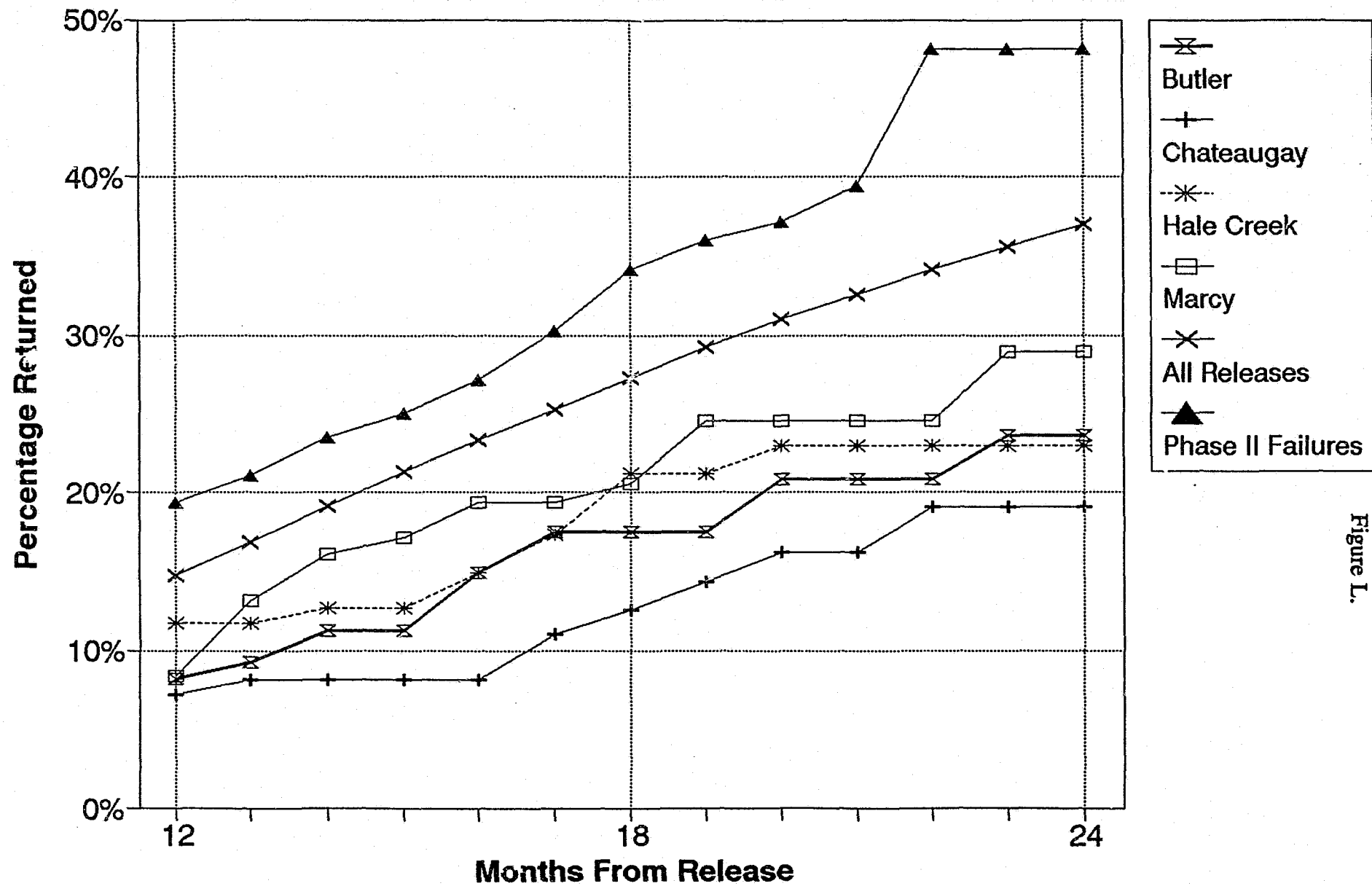


Figure L.

Section 5

CASAT Relapse Program

Establishing CASAT Relapse Program

In February 1993 the Department instituted a relapse program for CASAT participants who had failed in Phase II community reintegration due to use of alcohol or drugs (see Table 3.3, page 35). Twenty-five relapse treatment slots were established at each of three CASAT facilities: Butler, Hale Creek and Chateaugay. The treatment design for relapse participants is based on a 60 day intensive treatment protocol which emphasizes personal evaluation of relapse triggers through participation in intense group therapy sessions. Participants are required to develop a Continuity of Care Plan which supports recovery through participation in the Twelve Step Program, use of community treatment programs, and development of a supportive living arrangement and employment prior to return to the community.

In April 1993, the Department instituted a substance abuse rehabilitation program for other inmates who had failed in work release due to use of drugs or alcohol. One hundred eighty (180) beds were set aside at the Cape Vincent Correctional Facility for this purpose. A few inmates who participated in CASAT and who for medical or other reasons could not return to a CASAT annex for relapse treatment were able to go through the program at the Cape Vincent Rehabilitation Program.

Number of Relapse Participants

By September 30, 1993, 262 of the 432 inmates removed from Phase II for substance abuse violations had entered the CASAT relapse program (see Table 5.1). As of this date, 18% (N=47) of relapse participants were active in the 60 day relapse program; 5% (N=14) had been removed from an annex prior to completion of the program; 8% (N=22) were paroled from the CASAT annex where they were involved in the relapse program and 68% (N=179) had completed the program and had returned to work release.

CASAT relapse program participants had a lower rate of removal (5%, Table 5.1) than that seen for CASAT Phase I participants (22%, see Table 3.1). The relapse phase is, however, only 60 days compared with 180 days for CASAT Phase I.

The proportion of relapse cases that were paroled from the CASAT facility or completed the program and returned to work release was similar for Butler, Hale Creek, and Chateaugay inmates.

Table 5.1

CASAT Relapse Participants

According to Status on September 30, 1993*

Relapse Facility	Active In Relapse Program	Transferred Out of Relapse	Paroled From Relapse Annex	Completed Relapse; Returned to Work Release	TOTAL Participants in Relapse
Butler	12 15%	4 5%	9 11%	56 69%	81 100%
Cape Vincent Rehabilitation	3 16%	0 0%	0 0%	16 84%	19 100%
Hale Creek	17 20%	6 7%	7 8%	56 65%	86 100%
Chateaugay	15 19%	4 5%	6 8%	51 68%	76 100%
TOTAL	47 18%	14 5%	22 8%	179 68%	262 100%

*Percents may not sum to 100 due to rounding.

Reason for Removal from Relapse

Table 5.2 presents the reason for removal for those cases who were terminated from the relapse program. Six (6) cases were removed for poor behavior, 2 cases transferred for program purposes, 1 inmate absconded from a CASAT facility and 5 cases were removed for other reasons.

Table 5.2

Reason for Discharge From Relapse Program

Discharges Through September 30, 1993*

Relapse Facility	Discipline	Program Purposes	Absconded From Annex	Other	TOTAL
Butler	2	1	0	1	4
Cape Vincent Rehabilitation	0	0	0	0	0
Hale Creek	2	1	1	2	6
Chateaugay	2	0	0	2	4
TOTAL	6	2	1	5	14

Relapse Program Completers

By September 30, 1993, 179 inmates had completed the CASAT relapse program and had returned to work release. The status of these relapse program completers as of September 1993 is shown in Table 5.3.

Approximately one quarter of relapse program completers (24%, N=43) were still active in work release. Approximately one quarter (23%, N=42) had again been removed from work release due to reversion to use of alcohol or drugs. Thirteen percent (13%, N=23) of relapse completers absconded or were AWOL from work release. Five percent (5%, N=9) were removed due to violation of temporary release rules and 3% (N=5) were removed for other reasons. One third (32%, N=57) of relapse completers who went on to work release were subsequently released to parole supervision (see Table 5.3).

None of the individuals who successfully completed the Relapse Program were released to Parole supervision prior to September 30, 1992. Therefore, none of these individuals were included in the follow-up done in Section 4 of this report. In next year's report to the Legislature we will document the relative success of the Relapse Program on recidivism.

The relapse program does appear to be successful in reclaiming part of the treatment investment that has been made in CASAT program inmates. Moreover, the additional treatment for relapse inmates has been accomplished with existing staff and resources.

Table 5.3

**Participants Who Completed Relapse Program
And Returned to Work Release;
Status As of September 30, 1993***

Status After Return To Work Release

Relapse Facility	Still Active in Work Release	Removed For Substance Use	Absconded Or AWOL	Removed For Temporary Release Violation	Removed Other Reasons	Paroled	TOTAL
Butler	11 20%	11 20%	5 9%	4 7%	2 4%	23 41%	56 100%
Cape Vincent Rehabilitation	6 38%	2 12%	2 12%	1 6%	2 12%	3 19%	16 100%
Hale Creek	15 27%	16 29%	7 12%	2 4%	1 2%	15 27%	56 100%
Chateaugay	11 22%	13 25%	9 18%	2 4%	0 0%	16 31%	51 100%
TOTAL	43 24%	42 23%	23 13%	9 5%	5 3%	57 32%	179 100%

*Percents may not sum to 100 due to rounding.

CONCLUSION

The 1989 Prison Omnibus Legislation provided for the expansion of existing substance abuse treatment programs within the Department of Correctional Services to create a concentrated continuum of substance abuse treatment services. In response to this legislation, the Department instituted the Comprehensive Alcohol and Substance Abuse Treatment Program (CASAT). After approximately three years of operation, participants are involved in each of the several program phases: Feeder facilities (males only), the Annex Phase, Community Reintegration, Aftercare, and the Relapse program.

New Facilities

During 1992, the CASAT program was expanded to two additional Phase I facilities. A treatment program at Arthur Kill, operated by Therapeutic Communities, Inc. was designated to be part of the CASAT program. The Taconic facility for women converted an existing federally funded substance abuse program to the model used in the CASAT program. In April 1993 the Department added a seventh annex at Cape Vincent Correctional Facility.

In May 1992 the Department finalized the transition of Mt. McGregor and Livingston as CASAT feeder facilities. In April 1993 the Department added Cape Vincent as a third feeder facility. As of September 1993, 823 inmates were housed at these facilities who were approved for CASAT. Mt. McGregor housed 289 approvals, Livingston 349, and Cape Vincent 185. In addition, 85 inmates approved for the CASAT program were awaiting transfer to a feeder or to Taconic.

Extent of Substance Abuse

While it is well documented that the majority of the inmate population can be identified as substance abusers, less is known about the extent of involvement. For the cases which have progressed through the initial phase of the CASAT program, the extent of involvement in substance abuse is striking. These cases typically began using alcohol in their teens and often began using drugs shortly after. The majority (64%) of cases have family members who have also abused drugs or alcohol. Sixty-one percent had never participated in a substance abuse treatment program prior to incarceration.

Eighty-five percent of Phase I completers report a history of using at least three substances and 64% had a history of using four or more. For these inmates the average duration of illegal substance use is 11 years. A large majority of heroin users and crack users reported daily use of these substances.

CASAT Phase I

There were 7,013 inmates who began the CASAT program between March 1991 and September 1993. As of September 30, 1993, 24% of these 7,013 were still active in Phase I, 22% had been removed from Phase I, and 53% had completed Phase I and moved to CASAT Phase II community reintegration.

Marcy Annex, whose treatment services are provided by Phoenix House, Inc., had a higher rate of removal from Phase I (42%) when compared with Department run annexes that had been in operation for a similar period of time: Butler (23%), Chateaugay (23%) and Hale Creek (19%) (see Table 3.1). Due to a higher removal rate, Marcy had a lower percent of cases who successfully completed Phase I and were transferred to Phase II (43%) when compared with Butler (62%), Chateaugay (62%), and Hale Creek (65%).

There are differences in the characteristics of inmates who participated at Marcy compared with participants at Butler, Chateaugay, or Hale Creek. Some of these differences result from assigning inmates to particular annexes based on county of residence. Marcy inmates are somewhat more likely to be residents of New York City (96% compared with 66%), more likely to be black or Hispanic (93% compared to 81%), more likely to be sentenced as second felony offenders (87% to 75%). Participants at these four annexes were generally similar on age, education, length of minimum sentence and conviction crime.

CASAT Phase II Community Reintegration

From program inception to September 30, 1993, 3,738 cases completed Phase I and moved into Phase II. Of these, 28% were still active in Phase II, 47% were removed for unsatisfactory participation, and 25% had been paroled to Phase III Aftercare.

Of those removed from Phase II (N=1,763), 49% were absconders, 25% relapsed to substance abuse, and 26% violated rules for temporary release.

Inmates who participated in the Annex Phase at Marcy were more likely to complete Phase II and move on to Parole Supervision (39%) than were inmates at Butler (28%), Chateaugay (23%), or Hale Creek (25%), annexes operated by the Department. For participants at Marcy both the treatment services at the facility and the treatment program in the community are provided by Phoenix House Incorporated.

The Department provides community reintegration services to Phase II participants by contracting with organizations that provide residential and treatment services for male and female inmates in New York City and in Upstate areas. A total of 480 slots are available for male inmates including 365 residential beds and services for 115 inmates in day-treatment (see Appendix B). There are 125 placement slots for female participants including 85 residential beds and services for 40 day-treatment inmates.

CASAT Phase III AFTERCARE

The third phase of the CASAT program is Aftercare which commences upon release from Department custody to the supervision of the Division of Parole. As of September 30, 1993, 940 CASAT inmates had completed Phase II and had been released to parole supervision.

Phase III inmates are tracked to determine the proportion of cases returned to the Department after a minimum 12-month exposure period in the community. Of the 940 inmates paroled to Aftercare, 438 had been released for a minimum of 12 months. After 12 months the survival analysis cumulative rate of return for CASAT inmates was 9% compared to 15% for a comparison cohort of 27,002 inmates released to parole over the same time period. After 18 months, the CASAT participants had an 18% probability of return to the Department compared to 27% for the comparison population.

Additionally, inmates who failed to complete Phase II due to relapse into drug use, abscondence, etc. were tracked following release to parole supervision. The return rate for this group was compared to Phase II completers (i.e. inmates who went on to Phase III). After 12 months of exposure the Phase II failure group had a 19% probability of return compared with 9% for Phase II completers. After 18 months, the probability of return was 34% for Phase II failures compared to 18% for Phase II completers.

The return rate of CASAT Phase III participants according to Phase I Annex was also considered. However, the number of cases from each annex who had been released for a minimum of 12 months was small (approximately 110 cases from each facility) which does not allow for reliable inferences about the comparative rate of return from each facility. These very preliminary figures show that after a minimum of 18 months since release the cumulative rate of return at each annex is: Butler 18%, Chateaugay 13%, Hale Creek 21% and Marcy 21%.

Relapse Program

In February 1993 the Department instituted a relapse program for CASAT inmates who failed in community reintegration due to relapse into substance abuse. Twenty-five relapse treatment slots were established at each of three annexes (Butler, Hale Creek, Chateaugay). In addition, the Department opened a 180 bed relapse unit at Cape Vincent Correctional Facility for inmates who were removed from work release due to substance abuse. CASAT inmates eligible for relapse who for medical or other reasons could not return to an Annex for relapse treatment were able to participate in the rehabilitation program at Cape Vincent.

Of the 262 inmates who had begun the 60 day intensive relapse treatment program prior to September 30, 1993, 18% are still active, 5% were removed, 8% were paroled and 68% were successfully returned to work release. Of the 179 relapse program completers who returned to work release, 24% are still active, 44% were removed, and 32% were released to parole supervision.

The relapse program was established and operates with existing staff and resources. It has served to reclaim a portion of the treatment investment in CASAT inmates.

APPENDIX A : TABLE 1. AGE AS OF 10/02/93; COMPARISON NON-CASAT POPULATION;

CURRENT AGE	CATCHMENT AREA				TOTAL
	NEW YORK CITY	SUBURBAN NEW YORK	EASTERN NY	WESTERN NY	
16-18 YR	972 2.2%	72 1.1%	72 1.5%	159 2.3%	1275 2.0%
19-20 YR	2187 5.0%	246 3.7%	224 4.7%	375 5.4%	3032 4.9%
21-24 YR	6474 14.7%	994 15.1%	747 15.7%	1000 14.5%	9215 14.8%
25-29 YR	10712 24.3%	1721 26.1%	987 20.7%	1395 20.2%	14815 23.8%
30-34 YR	10123 23.0%	1507 22.9%	942 19.8%	1473 21.3%	14045 22.5%
35-39 YR	6589 14.9%	955 14.5%	752 15.8%	1108 16.0%	9404 15.1%
40-44 YR	3621 8.2%	514 7.8%	445 9.3%	639 9.2%	5219 8.4%
45-49 YR	1759 4.0%	287 4.4%	306 6.4%	355 5.1%	2707 4.3%
50-54 YR	907 2.1%	153 2.3%	147 3.1%	213 3.1%	1420 2.3%
55-59 YR	413 .9%	76 1.2%	69 1.4%	98 1.4%	656 1.1%
60-64 YR	204 .5%	42 .6%	37 .8%	51 .7%	334 .5%
65 AND OVER	113 .3%	27 .4%	37 .8%	44 .6%	221 .4%
TOTAL	44074 100.0%	6594 100.0%	4765 100.0%	6910 100.0%	62343 100.0%
AVERAGE	31.9	32.3	33.3	33.0	32.2

APPENDIX A TABLE 2. ETHNIC DISTRIBUTION; COMPARISON NON-CASAT POPULATION

ETHNIC STATUS	CATCHMENT AREA				TOTAL
	NEW YORK CITY	SUBURBAN NEW YORK	EASTERN NY	WESTERN NY	
WHITE	2863 6.5%	1730 26.2%	2537 53.2%	2701 39.1%	9831 15.8%
BLACK	22562 51.2%	3837 58.2%	1708 35.8%	3361 48.6%	31468 50.5%
HISPANIC	18113 41.1%	958 14.5%	454 9.5%	694 10.0%	20219 32.4%
OTHER	389 .9%	50 .8%	51 1.1%	102 1.5%	592 .9%
UNKNOWN	147 .3%	19 .3%	15 .3%	52 .8%	233 .4%
TOTAL	44074 100.0%	6594 100.0%	4765 100.0%	6910 100.0%	62343 100.0%

APPENDIX A TABLE 3.
COMBINED READING SCORE (IN GRADE LEVEL EQUIVALENT, RECEPTION CENTER TESTS) BY CATCHMENT AREA
COMPARISON NON-CASAT POPULATION

READING SCORE (IN GRADE LEVEL EQUIVALENT)	CATCHMENT AREA				TOTAL
	NEW YORK CITY	SUBURBAN NEW YORK	EASTERN NY	WESTERN NY	
0.0-3.9	7416 19.5%	736 12.9%	408 10.1%	544 10.1%	9104 17.1%
4.0-4.9	2772 7.3%	346 6.1%	184 4.5%	208 3.9%	3510 6.6%
5.0-5.9	3568 9.4%	404 7.1%	257 6.4%	332 6.1%	4561 8.6%
6.0-6.9	3410 9.0%	438 7.7%	263 6.5%	367 6.8%	4478 8.4%
7.0-7.9	3391 8.9%	488 8.6%	278 6.9%	410 7.6%	4567 8.6%
8.0-8.9	4149 10.9%	652 11.5%	418 10.3%	561 10.4%	5780 10.9%
9.0-9.9	3022 7.9%	480 8.4%	357 8.8%	429 7.9%	4288 8.1%
10.0-10.9	2770 7.3%	459 8.1%	368 9.1%	495 9.2%	4092 7.7%
11.0-11.9	1212 3.2%	227 4.0%	165 4.1%	249 4.6%	1853 3.5%
12.0-12.9	6333 16.6%	1455 25.6%	1346 33.3%	1805 33.4%	10939 20.6%
TOTAL	38043 100.0%	5685 100.0%	4044 100.0%	5400 100.0%	53172 100.0%
AVERAGE	7.5	8.5	9.1	9.1	7.9
MEDIAN	7.6	8.6	9.3	9.4	8.0

APPENDIX A TABLE 4.
SUBSTANCE ABUSE AS REPORTED BY INMATE AT RECEPTION TO NYS DEPARTMENT OF CORRECTIONAL SERVICES
COMPARISON NON-CASAT POPULATION UNDERCUSTODY 10/02/93

SUBSTANCE USE	CATCHMENT AREA				TOTAL
	NEW YORK CITY	SUBURBAN NEW YORK	EASTERN NY	WESTERN NY	
NO IDENTIFIED SUBSTANCE	15112 34.3%	1843 27.9%	1518 31.9%	2964 42.9%	21437 34.4%
DRUG ABUSER	22602 51.3%	3221 48.8%	1588 33.3%	1542 22.3%	28953 46.4%
DRUG AND ALCOHOL	4797 10.9%	1275 19.3%	1080 22.7%	1169 16.9%	8321 13.3%
ALCOHOLIC	1563 3.5%	255 3.9%	579 12.2%	1235 17.9%	3632 5.8%
TOTAL	44074 100.0%	6594 100.0%	4765 100.0%	6910 100.0%	62343 100.0%

APPENDIX A TABLE 5. CATCHMENT AREA BY SPECIFIC DRUGS USED
COMPARISON NON-CASAT POPULATION; UNDERCUSTODY 10/02/93

DRUG USED	CATCHMENT AREA				TOTAL
	NEW YORK CITY	SUBURBAN NEW YORK	EASTERN NY	WESTERN NY	
COCAINE	8581 31.3%	2139 47.6%	1181 44.3%	1327 48.9%	13228 35.5%
MARIJUANA, HASH	6503 23.7%	932 20.7%	797 29.9%	828 30.5%	9060 24.3%
CRACK	4169 15.2%	688 15.3%	225 8.4%	69 2.5%	5151 13.8%
HEROIN	5748 21.0%	297 6.6%	115 4.3%	113 4.2%	6273 16.8%
OTHER NARCOTICS	1244 4.5%	178 4.0%	138 5.2%	259 9.6%	1819 4.9%
HALLUGINOGENS	399 1.5%	110 2.4%	105 3.9%	60 2.2%	674 1.8%
OTHER	755 2.8%	152 3.4%	107 4.0%	55 2.0%	1069 2.9%
TOTAL	27399 100.0%	4496 100.0%	2668 100.0%	2711 100.0%	37274 100.0%

NOTE: EXCLUDES ALCOHOLIC CASES WITH NO DRUG USE AND DRUG USERS NOT IDENTIFIED AT RECEPTION;
DRUG TYPE AS REPORTED BY INMATE DURING RECEPTION-CLASSIFICATION

APPENDIX A TABLE 6. OFFENSE TYPE BY CATCHMENT AREA
COMPARISON NON-CASAT POPULATION
GROUPED BY OFFENSE TYPE

	CATCHMENT AREA				TOTAL
	NEW YORK CITY	SUBURBAN NEW YORK	EASTERN NY	WESTERN NY	
VIOLENT FELONY	23472 53.3%	3207 48.6%	2345 49.2%	3719 53.9%	32743 52.5%
OTHER COERCIVE	1685 3.8%	246 3.7%	400 8.4%	602 8.7%	2933 4.7%
DRUG OFFENSES	15807 35.9%	2537 38.5%	1169 24.5%	1363 19.7%	20876 33.5%
PROPERTY AND OTHER OFFENSES	2887 6.6%	581 8.8%	781 16.4%	1119 16.2%	5368 8.6%
YOUTHFUL OFFENDR	219 .5%	23 .3%	70 1.5%	103 1.5%	415 .7%
TOTAL	44070 100.0%	6594 100.0%	4765 100.0%	6906 100.0%	62335 100.0%

APPENDIX A TABLE 7.
SENTENCING AS SECOND FELONY OFFENDER BY CATCHMENT AREA
COMPARISON NON-CASAT POPULATION

SENTENCING STATUS	CATCHMENT AREA				TOTAL
	NEW YORK CITY	SUBURBAN NEW YORK	EASTERN NY	WESTERN NY	
FIRST FELONY OFFENDER	17110 38.8%	2744 41.6%	2749 57.7%	3887 56.3%	26490 42.5%
SECOND FELONY OFFENDER	25692 58.3%	3743 56.8%	1932 40.5%	2931 42.4%	34298 55.0%
PERSIST FELONY OFFENDER	1272 2.9%	107 1.6%	84 1.8%	92 1.3%	1555 2.5%
TOTAL	44074 100.0%	6594 100.0%	4765 100.0%	6910 100.0%	62343 100.0%

INFORMATION BASED ON CASES IN CASAT ANNEXES AS OF 10/02/93

APPENDIX A TABLE 8.
MINIMUM SENTENCE LENGTH BY CATCHMENT AREA
COMPARISON NON-CASAT POPULATION UNDERCUSTODY 10/02/93

MINIMUM SENTENCE IN MONTHS	CATCHMENT AREA				TOTAL
	NEW YORK CITY	SUBURBAN NEW YORK	EASTERN NY	WESTERN NY	
12-17 MONTHS	2463 5.6%	437 6.6%	713 15.0%	819 11.9%	4432 7.1%
18-23 MONTHS	4798 10.9%	547 8.3%	410 8.6%	537 7.8%	6292 10.1%
24-35 MONTHS	10638 24.1%	1284 19.5%	959 20.1%	1407 20.4%	14288 22.9%
36-47 MONTHS	6395 14.5%	1232 18.7%	613 12.9%	930 13.5%	9170 14.7%
48-71 MONTHS	6374 14.5%	1288 19.5%	694 14.6%	1099 15.9%	9455 15.2%
72-119 MONTHS	6349 14.4%	783 11.9%	595 12.5%	857 12.4%	8584 13.8%
120-179 MONTHS	2157 4.9%	281 4.3%	233 4.9%	333 4.8%	3004 4.8%
180-239 MONTHS	1882 4.3%	233 3.5%	179 3.8%	287 4.2%	2581 4.1%
240 + MONTHS	3010 6.8%	507 7.7%	367 7.7%	631 9.1%	4515 7.2%
TOTAL	44066 100.0%	6592 100.0%	4763 100.0%	6900 100.0%	62321 100.0%
AVERAGE	72.4	72.7	71.8	78.0	73.0
MEDIAN	36.0	42.0	36.0	40.0	36.0

APPENDIX B

**Contractual Services for
Community Reintegration**

MALE

	RESIDENTIAL	DAY TREATMENT
Altamont Program	110 (NYC) 20 (Albany)	0
ESMOR	125	0
Phoenix House, Inc.	100	100
Therapeutic Communities, Inc.	10	15
TOTAL	365	115

FEMALE

ESMOR	25	0
Phoenix House, Inc.	30 (NYC) 30 (Taconic)	40
TOTAL	85	40

APPENDIX TABLE C - 1

CASAT PHASE III RELEASES

MONTHS	CASES AT START OF MONTH	CASES WITHDRAWN DURING MONTH	CASES RETURNED TO DOCS	CASES EXPOSED FOR FULL INTERVAL	PERCENT TERMINATED	PERCENT SURVIVAL	CUMULATIVE SURVIVAL	CUMULATIVE RETURNS
0	438	0	0	438	0.00%	100.00%	100.00%	0.00%
1	438	0	0	438	0.00%	100.00%	100.00%	0.00%
2	438	0	1	438	0.23%	99.77%	99.77%	0.23%
3	437	0	0	437	0.00%	100.00%	99.77%	0.23%
4	437	0	3	437	0.69%	99.31%	99.09%	0.91%
5	434	0	3	434	0.69%	99.31%	98.40%	1.60%
6	431	0	3	431	0.70%	99.30%	97.72%	2.28%
7	428	0	0	428	0.00%	100.00%	97.72%	2.28%
8	428	0	6	428	1.40%	98.60%	96.35%	3.65%
9	422	0	4	422	0.95%	99.05%	95.43%	4.57%
10	418	0	7	418	1.67%	98.33%	93.84%	6.16%
11	411	0	12	411	2.92%	97.08%	91.10%	8.90%
12	399	20	7	389	1.80%	98.20%	89.46%	10.54%
13	372	26	6	359	1.67%	98.33%	87.96%	12.04%
14	340	31	1	324.5	0.31%	99.69%	87.69%	12.31%
15	308	20	7	298	2.35%	97.65%	85.63%	14.37%
16	281	22	6	270	2.22%	97.78%	83.73%	16.27%
17	253	15	5	245.5	2.04%	97.96%	82.02%	17.98%
18	233	27	4	219.5	1.82%	98.18%	80.53%	19.47%
19	202	32	4	186	2.15%	97.85%	78.80%	21.20%
20	166	27	0	152.5	0.00%	100.00%	78.80%	21.20%
21	139	35	1	121.5	0.82%	99.18%	78.15%	21.85%
22	103	26	2	90	2.22%	97.78%	76.41%	23.59%
23	75	37	0	56.5	0.00%	100.00%	76.41%	23.59%
24	38	30	0	23	0.00%	100.00%	76.41%	23.59%
25	8	7	0	4.5	0.00%	100.00%	76.41%	23.59%
26	1	0	0	1	0.00%	100.00%	76.41%	23.59%
27	1	1	0	0.5	0.00%	100.00%	76.41%	23.59%

APPENDIX TABLE C - 2

COMPARISON GROUP OF RELEASES TO PAROLE SUPERVISION

MONTHS	CASES AT START OF MONTH	CASES WITHDRAWN DURING MONTH	CASES RETURNED TO DOCS	CASES EXPOSED FOR FULL INTERVAL	PERCENT TERMINATED	PERCENT SURVIVAL	CUMULATIVE SURVIVAL	CUMULATIVE RETURNS
0	27002	0	9	27002	0.03%	99.97%	99.97%	0.03%
1	26993	0	13	26993	0.05%	99.95%	99.92%	0.08%
2	26980	0	40	26980	0.15%	99.85%	99.77%	0.23%
3	26940	0	120	26940	0.45%	99.55%	99.33%	0.67%
4	26820	0	234	26820	0.87%	99.13%	98.46%	1.54%
5	26586	0	340	26586	1.28%	98.72%	97.20%	2.80%
6	26246	0	432	26246	1.65%	98.35%	95.60%	4.40%
7	25814	0	477	25814	1.85%	98.15%	93.83%	6.17%
8	25337	0	566	25337	2.23%	97.77%	91.74%	8.26%
9	24771	0	560	24771	2.26%	97.74%	89.66%	10.34%
10	24211	0	599	24211	2.47%	97.53%	87.45%	12.55%
11	23612	0	585	23612	2.48%	97.52%	85.28%	14.72%
12	23027	1081	578	22486.5	2.57%	97.43%	83.09%	16.91%
13	21368	1253	573	20741.5	2.76%	97.24%	80.79%	19.21%
14	19542	1269	507	18907.5	2.68%	97.32%	78.63%	21.37%
15	17766	1204	441	17164	2.57%	97.43%	76.60%	23.40%
16	16121	1125	383	15558.5	2.46%	97.54%	74.72%	25.28%
17	14613	1288	369	13969	2.64%	97.36%	72.75%	27.25%
18	12956	1277	333	12317.5	2.70%	97.30%	70.78%	29.22%
19	11346	1191	274	10750.5	2.55%	97.45%	68.97%	31.03%
20	9881	1136	206	9313	2.21%	97.79%	67.45%	32.55%
21	8539	1096	186	7991	2.33%	97.67%	65.88%	34.12%
22	7257	1128	154	6693	2.30%	97.70%	64.36%	35.64%
23	5975	1050	120	5450	2.20%	97.80%	62.95%	37.05%
24	4805	1139	96	4235.5	2.27%	97.73%	61.52%	38.48%
25	3570	1007	54	3066.5	1.76%	98.24%	60.44%	39.56%
26	2509	1048	49	1985	2.47%	97.53%	58.94%	41.06%
27	1412	949	26	937.5	2.77%	97.23%	57.31%	42.69%
28	437	427	8	223.5	3.58%	96.42%	55.26%	44.74%

APPENDIX TABLE C - 3

CASAT PHASE II FAILURES: SUBSEQUENT RELEASES

MONTHS	CASES AT START OF MONTH	CASES WITHDRAWN DURING MONTH	CASES RETURNED TO DOCS	CASES EXPOSED FOR FULL INTERVAL	PERCENT TERMINATED	PERCENT SURVIVAL	CUMULATIVE SURVIVAL	CUMULATIVE RETURNS
0	289	0	0	289	0.00%	100.00%	100.00%	0.00%
1	289	0	0	289	0.00%	100.00%	100.00%	0.00%
2	289	0	2	289	0.69%	99.31%	99.31%	0.69%
3	287	0	0	287	0.00%	100.00%	99.31%	0.69%
4	287	0	7	287	2.44%	97.56%	96.89%	3.11%
5	280	0	3	280	1.07%	98.93%	95.85%	4.15%
6	277	0	8	277	2.89%	97.11%	93.08%	6.92%
7	269	0	6	269	2.23%	97.77%	91.00%	9.00%
8	263	0	13	263	4.94%	95.06%	86.51%	13.49%
9	250	0	4	250	1.60%	98.40%	85.12%	14.88%
10	246	0	8	246	3.25%	96.75%	82.35%	17.65%
11	238	0	5	238	2.10%	97.90%	80.62%	19.38%
12	233	14	5	226	2.21%	97.79%	78.84%	21.16%
13	214	37	6	195.5	3.07%	96.93%	76.42%	23.58%
14	171	20	3	161	1.86%	98.14%	75.00%	25.00%
15	148	15	4	140.5	2.85%	97.15%	72.86%	27.14%
16	129	26	5	116	4.31%	95.69%	69.72%	30.28%
17	98	15	5	90.5	5.52%	94.48%	65.87%	34.13%
18	78	13	2	71.5	2.80%	97.20%	64.03%	35.97%
19	63	24	1	51	1.96%	98.04%	62.77%	37.23%
20	38	20	1	28	3.57%	96.43%	60.53%	39.47%
21	17	6	2	14	14.29%	85.71%	51.88%	48.12%
22	9	4	0	7	0.00%	100.00%	51.88%	48.12%
23	5	4	0	3	0.00%	100.00%	51.88%	48.12%
24	1	1	0	0.5	0.00%	100.00%	51.88%	48.12%

APPENDIX TABLE C - 4

BUTLER CASAT PHASE III RELEASES

MONTHS	CASES AT START OF MONTH	CASES WITHDRAWN DURING MONTH	CASES RETURNED TO DOCS	CASES EXPOSED FOR FULL INTERVAL	PERCENT TERMINATED	PERCENT SURVIVAL	CUMULATIVE SURVIVAL	CUMULATIVE RETURNS
0	109	0	0	109	0.00%	100.00%	100.00%	0.00%
1	109	0	0	109	0.00%	100.00%	100.00%	0.00%
2	109	0	1	109	0.92%	99.08%	99.08%	0.92%
3	108	0	0	108	0.00%	100.00%	99.08%	0.92%
4	108	0	1	108	0.93%	99.07%	98.17%	1.83%
5	107	0	0	107	0.00%	100.00%	98.17%	1.83%
6	107	0	0	107	0.00%	100.00%	98.17%	1.83%
7	107	0	0	107	0.00%	100.00%	98.17%	1.83%
8	107	0	1	107	0.93%	99.07%	97.25%	2.75%
9	106	0	0	106	0.00%	100.00%	97.25%	2.75%
10	106	0	4	106	3.77%	96.23%	93.58%	6.42%
11	102	0	2	102	1.96%	98.04%	91.74%	8.26%
12	100	9	1	95.5	1.05%	98.95%	90.78%	9.22%
13	90	3	2	88.5	2.26%	97.74%	88.73%	11.27%
14	85	9	0	80.5	0.00%	100.00%	88.73%	11.27%
15	76	6	3	73	4.11%	95.89%	85.08%	14.92%
16	67	4	2	65	3.08%	96.92%	82.47%	17.53%
17	61	3	0	59.5	0.00%	100.00%	82.47%	17.53%
18	58	3	0	56.5	0.00%	100.00%	82.47%	17.53%
19	55	11	2	49.5	4.04%	95.96%	79.13%	20.87%
20	42	8	0	38	0.00%	100.00%	79.13%	20.87%
21	34	5	0	31.5	0.00%	100.00%	79.13%	20.87%
22	29	2	1	28	3.57%	96.43%	76.31%	23.69%
23	26	12	0	20	0.00%	100.00%	76.31%	23.69%
24	14	13	0	7.5	0.00%	100.00%	76.31%	23.69%
25	1	1	0	0.5	0.00%	100.00%	76.31%	23.69%

APPENDIX TABLE C - 5

CHATEAUGAY CASAT PHASE III RELEASES

MONTHS	CASES AT START OF MONTH	CASES WITHDRAWN DURING MONTH	CASES RETURNED TO DOCS	CASES EXPOSED FOR FULL INTERVAL	PERCENT TERMINATED	PERCENT SURVIVAL	CUMULATIVE SURVIVAL	CUMULATIVE RETURNS
0	111	0	0	111	0.00%	100.00%	100.00%	0.00%
1	111	0	0	111	0.00%	100.00%	100.00%	0.00%
2	111	0	0	111	0.00%	100.00%	100.00%	0.00%
3	111	0	0	111	0.00%	100.00%	100.00%	0.00%
4	111	0	1	111	0.90%	99.10%	99.10%	0.90%
5	110	0	1	110	0.91%	99.09%	98.20%	1.80%
6	109	0	2	109	1.83%	98.17%	96.40%	3.60%
7	107	0	0	107	0.00%	100.00%	96.40%	3.60%
8	107	0	0	107	0.00%	100.00%	96.40%	3.60%
9	107	0	1	107	0.93%	99.07%	95.50%	4.50%
10	106	0	0	106	0.00%	100.00%	95.50%	4.50%
11	106	0	3	106	2.83%	97.17%	92.79%	7.21%
12	103	6	1	100	1.00%	99.00%	91.86%	8.14%
13	96	12	0	90	0.00%	100.00%	91.86%	8.14%
14	84	8	0	80	0.00%	100.00%	91.86%	8.14%
15	76	8	0	72	0.00%	100.00%	91.86%	8.14%
16	68	9	2	63.5	3.15%	96.85%	88.97%	11.03%
17	57	3	1	55.5	1.80%	98.20%	87.37%	12.63%
18	53	3	1	51.5	1.94%	98.06%	85.67%	14.33%
19	49	9	1	44.5	2.25%	97.75%	83.75%	16.25%
20	39	7	0	35.5	0.00%	100.00%	83.75%	16.25%
21	32	5	1	29.5	3.39%	96.61%	80.91%	19.09%
22	26	8	0	22	0.00%	100.00%	80.91%	19.09%
23	18	6	0	15	0.00%	100.00%	80.91%	19.09%
24	12	11	0	6.5	0.00%	100.00%	80.91%	19.09%
25	1	0	0	1	0.00%	100.00%	80.91%	19.09%
26	1	0	0	1	0.00%	100.00%	80.91%	19.09%
27	1	1	0	0.5	0.00%	100.00%	80.91%	19.09%

APPENDIX TABLE C - 6

HALE CREEK CASAT PHASE III RELEASES

MONTHS	CASES AT START OF MONTH	CASES WITHDRAWN DURING MONTH	CASES RETURNED TO DOCS	CASES EXPOSED FOR FULL INTERVAL	PERCENT TERMINATED	PERCENT SURVIVAL	CUMULATIVE SURVIVAL	CUMULATIVE RETURNS
0	111	0	0	111	0.00%	100.00%	100.00%	0.00%
1	111	0	0	111	0.00%	100.00%	100.00%	0.00%
2	111	0	0	111	0.00%	100.00%	100.00%	0.00%
3	111	0	0	111	0.00%	100.00%	100.00%	0.00%
4	111	0	1	111	0.90%	99.10%	99.10%	0.90%
5	110	0	1	110	0.91%	99.09%	98.20%	1.80%
6	109	0	0	109	0.00%	100.00%	98.20%	1.80%
7	109	0	0	109	0.00%	100.00%	98.20%	1.80%
8	109	0	3	109	2.75%	97.25%	95.50%	4.50%
9	106	0	2	106	1.89%	98.11%	93.69%	6.31%
10	104	0	3	104	2.88%	97.12%	90.99%	9.01%
11	101	0	3	101	2.97%	97.03%	88.29%	11.71%
12	98	2	0	97	0.00%	100.00%	88.29%	11.71%
13	96	7	1	92.5	1.08%	98.92%	87.33%	12.67%
14	88	9	0	83.5	0.00%	100.00%	87.33%	12.67%
15	79	3	2	77.5	2.58%	97.42%	85.08%	14.92%
16	74	6	2	71	2.82%	97.18%	82.68%	17.32%
17	66	6	3	63	4.76%	95.24%	78.75%	21.25%
18	57	10	0	52	0.00%	100.00%	78.75%	21.25%
19	47	5	1	44.5	2.25%	97.75%	76.98%	23.02%
20	41	2	0	40	0.00%	100.00%	76.98%	23.02%
21	39	11	0	33.5	0.00%	100.00%	76.98%	23.02%
22	28	10	0	23	0.00%	100.00%	76.98%	23.02%
23	18	13	0	11.5	0.00%	100.00%	76.98%	23.02%
24	5	3	0	3.5	0.00%	100.00%	76.98%	23.02%
25	2	2	0	1	0.00%	100.00%	76.98%	23.02%

APPENDIX TABLE C - 7

MARCY CASAT PHASE III RELEASES

MONTHS	CASES AT START OF MONTH	CASES WITHDRAWN DURING MONTH	CASES RETURNED TO DOCS	CASES EXPOSED FOR FULL INTERVAL	PERCENT TERMINATED	PERCENT SURVIVAL	CUMULATIVE SURVIVAL	CUMULATIVE RETURNS
0	107	0	0	107	0.00%	100.00%	100.00%	0.00%
1	107	0	0	107	0.00%	100.00%	100.00%	0.00%
2	107	0	0	107	0.00%	100.00%	100.00%	0.00%
3	107	0	0	107	0.00%	100.00%	100.00%	0.00%
4	107	0	0	107	0.00%	100.00%	100.00%	0.00%
5	107	0	1	107	0.93%	99.07%	99.07%	0.93%
6	106	0	1	106	0.94%	99.06%	98.13%	1.87%
7	105	0	0	105	0.00%	100.00%	98.13%	1.87%
8	105	0	2	105	1.90%	98.10%	96.26%	3.74%
9	103	0	1	103	0.97%	99.03%	95.33%	4.67%
10	102	0	0	102	0.00%	100.00%	95.33%	4.67%
11	102	0	4	102	3.92%	96.08%	91.59%	8.41%
12	98	3	5	96.5	5.18%	94.82%	86.84%	13.16%
13	90	4	3	88	3.41%	96.59%	83.88%	16.12%
14	83	5	1	80.5	1.24%	98.76%	82.84%	17.16%
15	77	3	2	75.5	2.65%	97.35%	80.65%	19.35%
16	72	3	0	70.5	0.00%	100.00%	80.65%	19.35%
17	69	3	1	67.5	1.48%	98.52%	79.45%	20.55%
18	65	11	3	59.5	5.04%	94.96%	75.45%	24.55%
19	51	7	0	47.5	0.00%	100.00%	75.45%	24.55%
20	44	10	0	39	0.00%	100.00%	75.45%	24.55%
21	34	14	0	27	0.00%	100.00%	75.45%	24.55%
22	20	6	1	17	5.88%	94.12%	71.01%	28.99%
23	13	6	0	10	0.00%	100.00%	71.01%	28.99%
24	7	3	0	5.5	0.00%	100.00%	71.01%	28.99%
25	4	4	0	2	0.00%	100.00%	71.01%	28.99%

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