

State of New York
Department of Correctional Services

Building Number 2
Harriman Office Campus
Albany, New York 12226

**The Comprehensive Alcohol and
Substance Abuse Treatment Program**

2008



**David A. Paterson
Governor**



**Brian Fischer
Commissioner**

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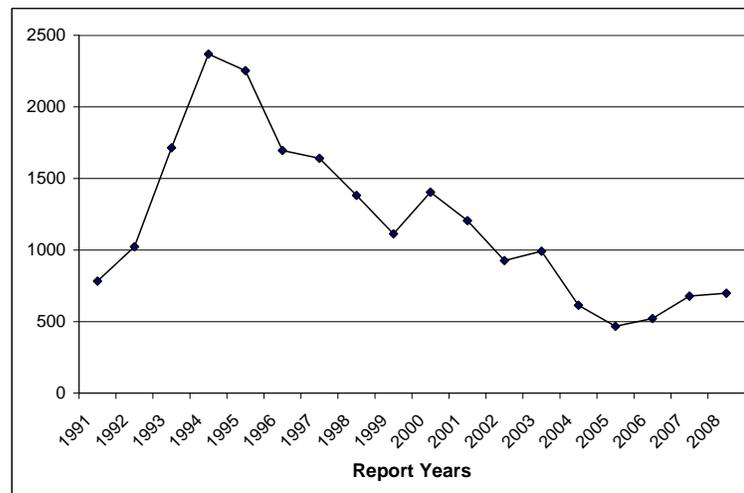
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Summary

Program Overview and Trends

- The 1989 Prison Omnibus Legislation provided for expansion of existing alcohol and substance abuse treatment programs administered by the Department of Correctional Services. This legislation resulted in the creation of the “Comprehensive Alcohol and Substance Abuse Treatment” Program (CASAT) administered by the Department of Correctional Services.
- The Phase I CASAT population was at a high of 2,369 on June 30, 1994 but two actions in 1995 significantly impacted the program. First, Executive Order #5 precluded the participation of violent offenders in the Department’s temporary release program. Second, the Sentencing Reform Act of 1995 established the Willard Drug Treatment Campus, as a successful diversion program for select second felony offenders. Together, these two events reduced the eligible pool of potential CASAT participants to the point that over the next ten years, CASAT programs were either closed or available program beds reduced (see Figure below). As of June 30, 2008, four CASAT programs were in operation compared to eight in 1994.

CASAT Participant Snapshot



- More recently, another law, the Drug Law Reform Act of 2004, again impacted the CASAT program in a number of ways. Most significantly, it permitted judges to sentence drug offenders to CASAT treatment (court-mandated CASAT) and the entrance of court-mandated, work release ineligible participants accounts for the increase in Phase I participants during the past two years. On June 30, 2008, there were 698 CASAT Phase I participants, 176 more participants than on June 30, 2006. Most, if not all of this increase, is driven by work release ineligible participants (representing 42% or 698 Phase I participants) (see Table below).

CAPACITY AND INMATE POPULATION CASAT PROGRAMS - AS OF 6/30/08

ANNEX	Program Start Date	CAPACITY	ASAT PARTICIPANTS	TRADITIONAL CASAT PARTICIPANTS	WORK RELEASE INELIGIBLES	OTHER CASAT*
Arthur Kill	April 1992	60	0	14	27	19
Hale Creek	November 1990	480	0	302	149	9
Taconic	April 1992	170	24	44	38	16
Wyoming	September 1998	140	0	43	81	0
TOTAL		850	24	403	295	44

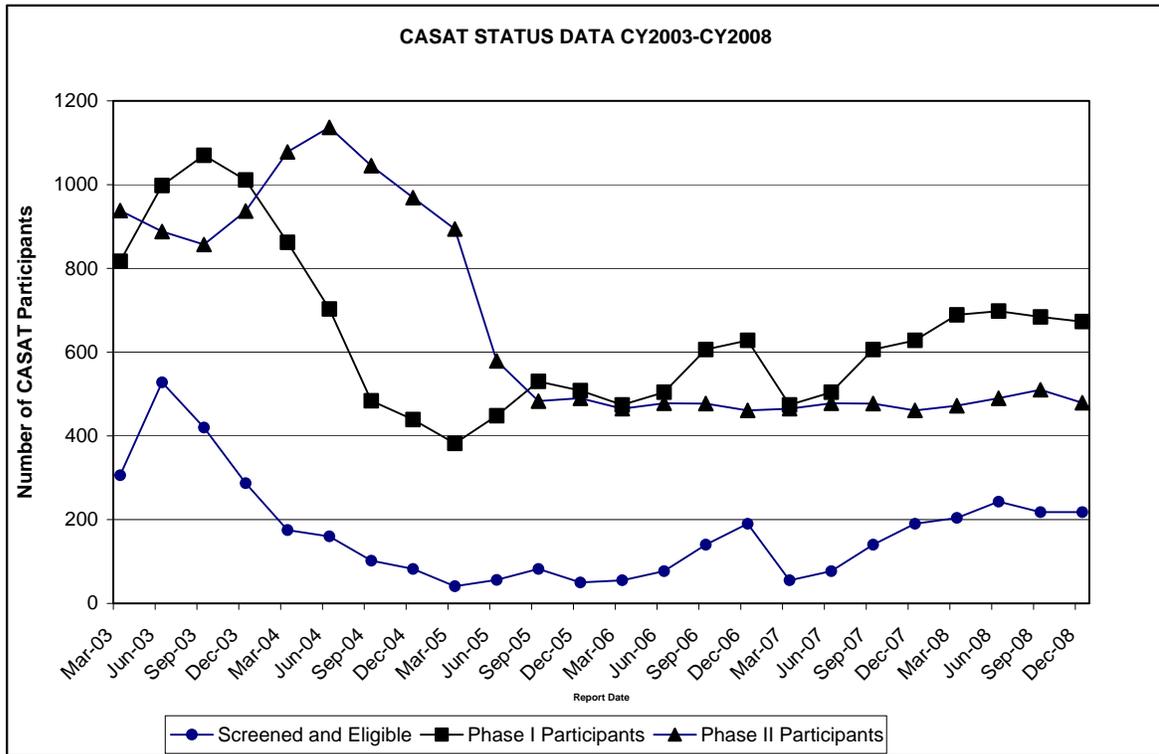
*Other includes inmates either waiting to begin Phase I or Phase I completers awaiting transfer to work release facilities.

- Between January 2005 and September 30, 2008, 3,595 individuals were received with the court-mandated CASAT notation on their commitment papers. Most, but not all of these individuals are work release ineligible, meaning they can not transfer to Phase II. As of September 30, 2008, 54% of these offenders (1,957) were admitted to a CASAT program to participate in Phase I while 46% (1,638) had not entered CASAT Phase I.

CASAT Monthly Population Trend 2003 – 2008

- A temporary upswing in the CASAT population occurred in 2003 when CASAT program eligibility was modified to use merit eligibility date rather than parole eligibility date. In 2005, a much smaller increase in CASAT participation appeared due to the Drug Law Reform Act of 2004 which permitted certain drug offenders to enter Phase I 30 months prior to their merit eligibility date (if merit eligible). The latest upswing in CASAT Phase I reflects a program modification permitting work release ineligible, court-mandated offenders to enter Phase I.
- Phase I participation on March 7, 2003 was 817. As the result of the merit eligibility criteria change, Phase I numbers rose to 998 on June 6, 2003 and peaked at 1,070 on September 5, 2003. By December 29, 2008, 673 inmates were participating in a Phase I program.
- Phase II participants numbered 938 on March 7, 2003 and reached a high of 1,137 on June 7, 2004. By December 29, 2008, there were 479 Phase II participants. The steep decline in Phase II participation is in part due to another provision of the Drug Law Reform Act of 2004, which established supplemental merit time. Inmates earning supplemental merit time qualify for early release to parole supervision. The upsurge in Phase I participants since late 2006 has had little, if any, impact on Phase II participation

levels as the court-mandated CASAT inmates driving this growth are generally not eligible to enter CASAT Phase II (see Figure below).



CASAT Program Movement

- A cohort of 2,154 CASAT participants who spent time in Phase I during the current program year (June 30, 2007 through June 30, 2008) was followed through the program until September 2008. Work release ineligible participants accounted for 41% (875) of this pool.
- As of September 30, 2008, 350 (16%) of the cohort (2,154) were still in Phase I, 347 (16%) had been removed from Phase I and 1,457 (68%) had graduated Phase I.
- The 347 removals consisted of 118 failures, 216 participants paroled prior to program completion and 13 administrative removals. Of the 118 Phase I failures, 64% (76) were work release ineligible participants while 36% (42) were traditional CASAT participants.
- There were 1,457 Phase I Graduates as of September 30, 2008. Of this number, 987 were traditional CASAT participants eligible to transfer to work release and transition to CASAT Phase II. Forty-nine percent of this group (485) were still in Phase II on September 30th, 21% (208) had failed Phase II and were removed from the program while 30% (294) successfully completed Phase II and were paroled to Phase III Aftercare.
- Females completed Phase II a higher rate (38%) than males (29%).

CASAT Phase III Aftercare – 2003-2004 Cohort

- Using survival analysis, 22% of successful CASAT male participants were returned to DOCS during a period of 36 months at risk. This compares with 41% for all 2004 DOCS male releases, 41% for Phase II Failures and 52% for Phase I Failures. Men administratively removed from Phase I had the lowest rate of return at 18%.
- Using survival analysis, 21% of the women who began Phase III were returned to the Department during a period of 36 months at risk. This compares with 31% for all 2004 female Departmental releases, 43% for Phase II Failures and 0% for Phase I Failures.
- Within these categories - Phase I Removals, Phase I Failures, and Phase II Graduates – women return at lower rates than do men. After 36 months of exposure the return rate for women Phase II Graduates was 21% versus 22% for men, for Phase I Removals it was 8% versus 18% and for Phase I Failures it was 0% versus 52%. However, women failing Phase II returned at a higher rate than men failing Phase II (43% versus 41%). This finding is generally consistent with other Department research showing that women have lower return rates than men.

Program Costs for FY 2007-08

- Total cost of treatment services for CASAT Phase I in FY 2007-08 was \$3,028,079.

Introduction

The 2008 *The Comprehensive Alcohol and Substance Abuse Treatment Program* report, presents the reader with a current picture of the CASAT program. Those wishing a more detailed overview of the program are referred to the 2003 report that may be obtained from the Department upon request.¹

Sections in this report include: program overview, CASAT Phase III-Aftercare, fiscal program costs Phase I and Phase II participant movement as illustrated through the use of flow charts and monthly trends in the CASAT population for calendar years 2003 to 2008. This latter section reflects the effects of operational changes in admission criteria for the program in 2003, the Drug Law Reform Act of 2004 and admission of temporary release ineligible participants to CASAT Phase I beginning in 2006.

¹ “The Comprehensive Alcohol and Substance Abuse Treatment Program as of June 30, 2003,” New York State Department of Correctional Services, Albany, New York 12226 (2004).

Section 1

CASAT OVERVIEW

During much of the course of the past three decades, the number of drug offenders committed to state prison in New York grew dramatically. In 1970, 470 individuals were committed to state prison for a drug offense and by the mid-eighties (1985) drug commitments numbered 2,218. By the early nineties, over 11,000 individuals were committed each year to state prison for drug offenses. The number of drug commitments began to decline in 1993 and dipped to 5,191 in 2008 (see Appendix A). Of all offenders under custody in NYS DOCS, 86% were recently classified as substance abusers.² Nationwide, 56% of state prison inmates reported using drugs regularly in the months prior to their current offense.³

The 1989 Prison Omnibus Legislation provided for the expansion of the Department's existing alcohol and substance abuse treatment programs. The legislation called for the establishment of six 200-bed alcohol and substance abuse treatment annexes at specified locations. Persons successfully completing the six-month long 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 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).

² "Identified Substance Abusers: December 2007," New York State Department of Correctional Services, Albany, New York 12226 (2008).

³ "Substance Abuse and Treatment – State and Federal Prisoners – 2004," Washington, DC: Bureau of Justice Statistics Special Report, U.S. Department of Justice, NCJ 213530 (2006).

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 ELIGIBILITY

Through 2005, to be eligible for the CASAT program, inmates must have met the following criteria:

- Documented history of alcohol and/or drug abuse.
- Minimum of 9 months to earliest release at the time of review to allow for sufficient program time, but no more than 24 months to merit eligibility (if, merit eligible) or earliest release date. One exception to this is that drug offenders may enter Phase I at 30 months to earliest release. Class B, second felony drug offenders, must serve at least 18 months of their sentence before being eligible to enter Phase II.
- Medium or minimum security eligible.
- Temporary release approvable.

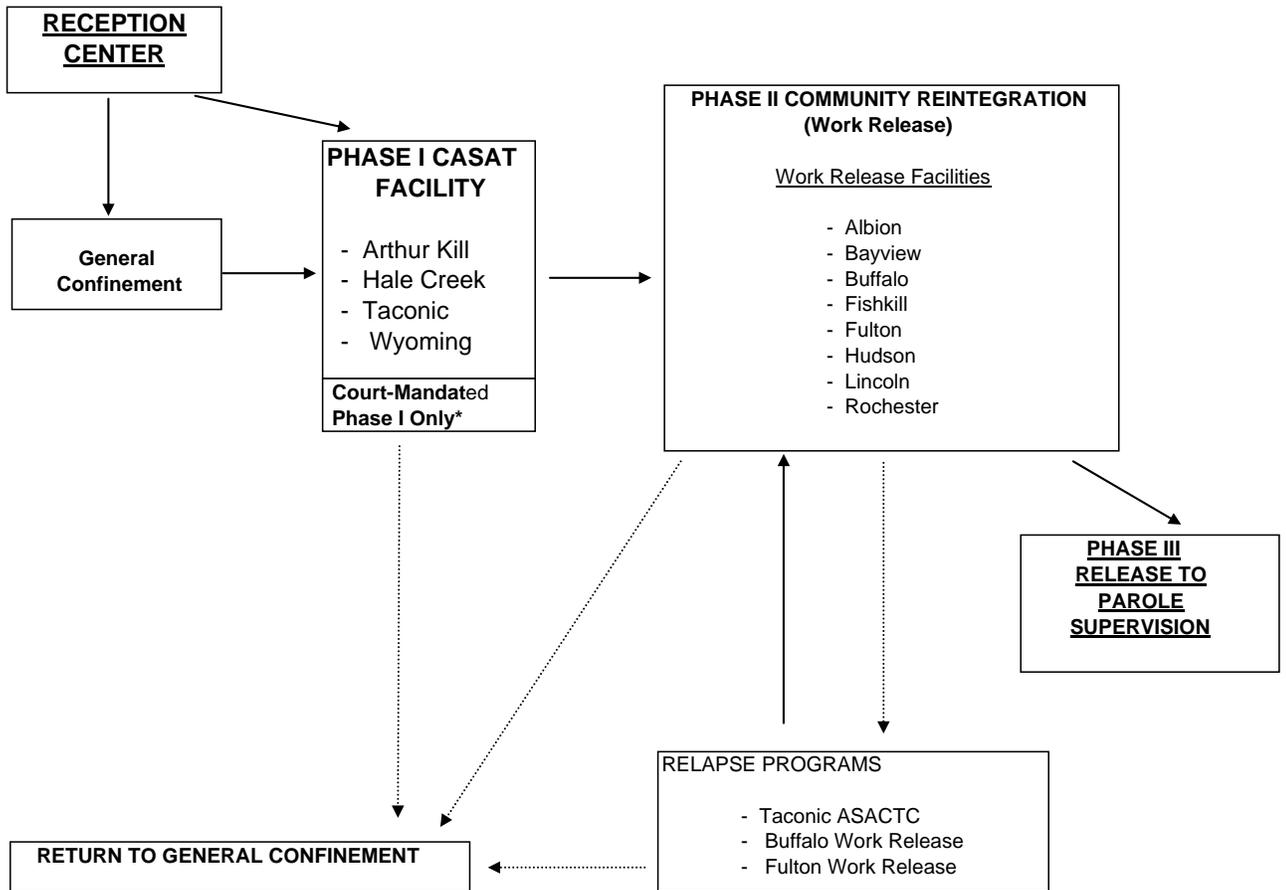
These established requirements remain, however, beginning in May 2006 those offenders sentenced by judges to CASAT treatment (court-mandated CASAT, see p. 12) not meeting all CASAT program requirements, (particularly temporary release eligibility), were permitted to enter Phase I but were not allowed to transition to Phase II (Phase I-only participants). This program modification permits a larger pool of inmates to receive intensive, residential drug treatment. Those court-mandated offenders who meet established CASAT requirements are eligible to enter Phase II upon completion of Phase I.

The review for CASAT eligibility and the inmate's interest in participating in a treatment program is conducted at reception or later at a general confinement facility between the inmate and the inmate's correctional counselor.

Following this facility level review, information is forwarded to Temporary Release in Central Office for a final review of appropriateness for work release upon completion of CASAT Phase I. Those inmates found to be acceptable for temporary release represent the pool of potential participants for traditional CASAT Phase I and II programs.

Figure 1.1

**NEW YORK STATE DEPARTMENT OF CORRECTIONAL SERVICES
THE COMPREHENSIVE ALCOHOL AND SUBSTANCE ABUSE TREATMENT
PROGRAM
DIAGRAM OF INMATE MOVEMENT AS OF JUNE 30, 2008**



*Successful court-mandated Phase I-only participants are either paroled from the CASAT facility or are returned to general confinement.

Dotted Lines (----) Indicate failure to complete program.

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 facilities is classified as medium security. The ASACTC facilities operate as therapeutic communities. The six-month Phase I treatment component focuses on chemical dependency and includes drug education, counseling programs, and the development of skills and coping mechanisms to facilitate recovery.⁴ The constituent elements include individual and group counseling; value clarification and educational drug seminars; community meetings; and the presentation of healthy living and coping skills. The activities in the treatment programs are designed to prepare residents to participate in Phase II (the Community Reintegration Phase).

The second phase of the Comprehensive Alcohol and Substance Abuse Treatment Program is Community Reintegration. This transfer is designed to occur four to eighteen months before the inmates' earliest release dates. 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 eligible participants an opportunity to use recovery principles and coping skills learned during Phase I.

Currently, there are two program components available to Phase II CASAT participants. In the first, inmates without community residences are assigned to work release facilities while working in the community. Men assigned to New York City work release facilities receive treatment services at their facility while women assigned to Bayview (NYC) receive outpatient treatment services from the Center for Community Alternatives.

Starting in March 2007, men and women graduating from Phase I and subsequently entering CASAT Phase II at upstate work release facilities, began receiving treatment services from community outpatient treatment providers. This program is federally funded under a collaborative project with the New York State Office of Alcoholism and Substance Abuse Services. As of December 31, 2008, 53 Phase II participants were attending weekly individual and/or group counseling sessions at five outpatient treatment providers (see Table 1.1).

In the second component, after a short period in work release, participants may live in an approved residence in the community while working and receiving substance abuse treatment either in the community or at their assigned work release facility.

The third and final phase of the CASAT program is aftercare. 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 this final program phase is on relapse prevention. Figure 1.1 on the preceding page presents a flow chart which shows the movement of inmates from one phase of CASAT to the next.

⁴ See "Program Manual: The Comprehensive Alcohol and Substance Abuse Treatment Program", New York State Department of Correctional Services, Albany, New York 12226, (August 1990, Revised October 2002). This document provides a detailed description of the program model and operational requirements of the CASAT Program.

Table 1.1

Outpatient Substance Abuse Service Providers*
Upstate CASAT Phase II Participants
December 31, 2008

Service Providers	Client	Capacity	Caseload
Buffalo Area Alcohol Drug Dependency Services	Men	40	21
Albany Area Twin County Recovery Services	Men	20	8
820 River Street Inc. Albany	Men & Women	30	9
Baywood	Men & Women	10	0
Rochester Area Genesee Council on Alcoholism and Substance Abuse (GCASA) Albion Holley Medina	Men & Women	30	3
Rochester Area Strong Recovery	Men & Women	25	12
Downstate Area Lexington Center for Recovery, Inc.	Men	10	0
Total		165	53

*OASAS/DOCS collaborative Demonstration for Community Based Outpatient Chemical Dependence Treatment Services.

CASAT FACILITIES

Table 1.2 provides a brief overview of the development of the CASAT program including program cycle start and end dates for each facility, facility location, population served and facility populations on June 30, 2008.

Table 1.2

CASAT	Facility	Location (County)*	Catchment Area Served	Program Cycle Start Date	Program Cycle End Date	CASAT Population** 6/30/2008
Chateaugay		Franklin	New York City Suburban New York	October 1990	December 2002	--
Butler		Wayne	New York City Western New York	November 1990	December 2002	--
Hale Creek		Fulton	New York City Suburban New York Eastern New York	November 1990	---	451
Marcy		Oneida	New York City	December 1990	October 2005	--
Arthur Kill		Richmond	New York City Suburban New York	April 1992	---	41
Taconic (Female)		Westchester	Entire State	April 1992	---	82
Cape Vincent		Jefferson	New York City Eastern New York	April 1993	December 1998	---
Livingston		Livingston	Entire State	July 1994	August 1995	---
Wyoming		Wyoming	Western New York	September 1998	---	124
TOTAL						698

* See the map in Appendix B for the location of each facility in the State.

** Includes CASAT participants only.

TRENDS IN CASAT CAPACITY

Prior to 1995, the CASAT program's expansion (and operation at capacity levels) was reflected in the significant increase in the populations of the annexes from 1990 through 1994. Since 1995, the number of CASAT programs and beds has been reduced due to the decreased number of CASAT eligible inmates (see Table 1.3 and Figure 1.2.) In that year, eligibility for CASAT programming was significantly impacted by Executive Order #5, which precluded the participation of violent offenders in the Department's temporary release program.

Also in 1995, the State's Sentencing Reform Act created a major new diversion program, the Willard Drug Treatment Campus, which opened in September of that year. It was designed to divert selected second felony offenders with substance abuse problems from commitment to the Department. Willard's success at diverting potential CASAT program participants from the Department's custody resulted in an additional shrinkage of the CASAT eligible pool.

A temporary upswing in CASAT Phase I participants in 2003 (992 on June 30, 2003) occurred due to a change in CASAT eligibility in May 2003, which redefined "earliest release date" from parole eligibility date to merit eligibility date. Since an inmate's merit eligibility date occurs before the traditional parole eligibility date, inmates may begin entering CASAT earlier than before (see CASAT eligibility criteria on p. 3). The Drug Law Reform Act of 2004 resulted in further revisions in CASAT eligibility criteria for inmates convicted of drug offenses. Drug offenders are now eligible to enter CASAT Phase I within 30 months of merit eligibility date (if, merit eligible). This law also specified that determinately sentenced class B, second felony drug offenders are required to serve at least 18 months before moving on to Phase II CASAT.

By June 30, 2008, participants in CASAT Phase I numbered 698. This increase from June 30, 2006 (an additional 176 participants), reflects the impact of permitting temporary release ineligible, court-mandated offenders (Phase I-only participants), to participate in CASAT Phase I. To handle this growth, capacity at Wyoming was increased to 140 beds. Ninety percent of CASAT program beds were utilized for treatment purposes on June 30, 2008 (see Table 1.4), with 42% of CASAT participants, work release ineligible (295).

Table 1.3

**CASAT Participants Snapshots
In Annual CASAT Legislative Reports
By Report Year**

	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008
Arthurkill	0	216	212	215	216	200	154	145	124	216	153	117	127	35	17	31	39	41
Butler	193	211	199	199	224	163	177	129	112	183	176	60	0	0	0	0	0	0
Cape Vincent	0	0	431	420	452	264	257	155	0	0	0	0	0	0	0	0	0	0
Chateauguay	195	200	197	200	215	192	177	144	99	101	99	45	0	0	0	0	0	0
Hale Creek	199	196	199	198	451	362	375	292	219	325	259	264	416	266	156	362	424	451
Livingston	0	0	0	704	223	0	0	0	0	0	0	0	0	0	0	0	0	0
Marcy	196	200	189	199	198	187	193	198	193	200	192	197	192	143	178	0	0	0
Wyoming	0	0	0	0	0	0	0	0	100	101	99	82	90	95	58	60	125	124
Taconic	0	0	287	234	275	328	308	319	266	278	228	161	167	75	58	69	90	82
Total	783	1,023	1,714	2,369	2,254	1,696	1,641	1,382	1,113	1,404	1,206	926	992	614	467	522	678	698

**Figure 1.2
CASAT Participant Snapshot**

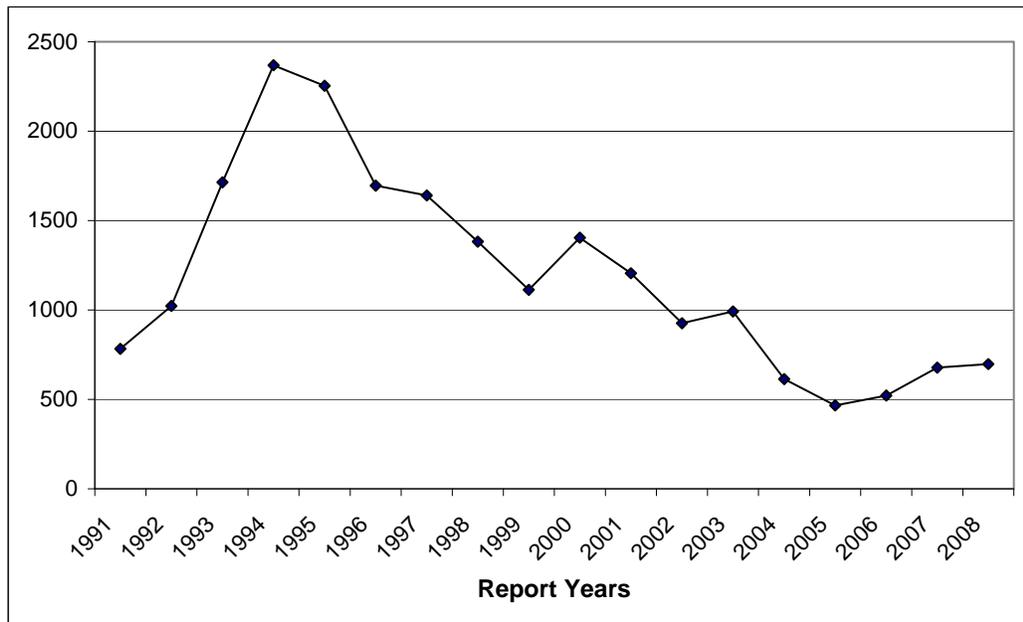


Table 1.4**CAPACITY AND INMATE POPULATION CASAT PROGRAMS – AS OF 6/30/08**

ANNEX	Program Start Date	CAPACITY	ASAT PARTICIPANTS	TRADITIONAL CASAT PARTICIPANTS	WORK RELEASE INELIGIBLES	OTHER CASAT*
Arthur Kill	April 1992	60	0	14	27	19
Hale Creek	November 1990	480	0	302	149	9
Taconic	April 1992	170	24	44	38	16
Wyoming	September 1998	140	0	43	81	0
TOTAL		850	24	403	295	44

Sources: Locator.

*Other includes inmates either waiting to begin Phase I or Phase I completers awaiting transfer to work release facilities.

COURT-MANDATED CASAT OVERVIEW

A provision of the Drug Law Reform Act of 2004 allowed judges to sentence drug offenders to CASAT treatment (court-mandated CASAT) at some point during the offender's DOCS incarceration. Court-ordered CASAT inmates do not have to meet work release eligibility requirements in order to participate in CASAT Phase I.

From January 2005 through September 30, 2008, 3,595 drug felons were received at DOCS with the court-mandated CASAT notation on their commitment papers (see Figure 1.3). As of September 30, 2008, 54% of these inmates (1,957) had been admitted to a CASAT program to participate in Phase I while the remaining 46% (1,638) had not entered CASAT Phase I.

Admitted to CASAT

- Of the 1,957 inmates sent to CASAT, 27% (520) met the DOCS eligibility criteria for traditional CASAT Phase I participation. Upon successful completion, they transition to CASAT Phase II.
- The remaining 73% (1,437) of inmates admitted to CASAT Phase I were not eligible to participate in CASAT Phase II.

Court-Mandated CASAT Meeting CASAT Eligibility Requirements

- Of the 520 inmates who met the full CASAT eligibility criteria 64% (334) were still in DOCS custody while 36% (186) participated in CASAT and were released from DOCS custody.
- Of the 334 offenders still in DOCS custody, 30% (99) were active in CASAT Phase I while 66% (219) were in Phase II. The remaining 5% (15) were removed from CASAT Phase II after completing CASAT Phase I.
- Of the 186 offenders who were released from DOCS custody after participation, 95% (177) moved to Phase II while the remaining 5% (9) were removed from CASAT Phase I.

Court-Mandated Temporary Release Ineligibles

- Of the 1,437 inmates who did not meet the full CASAT eligibility criteria and were not allowed to participate in CASAT Phase II, 40% (570) were still in DOCS custody while 60% (867) were released from DOCS custody.
- Of the 570 offenders still in DOCS custody, 58% (330) were active in CASAT Phase I while 28% (162) were transferred to a general confinement facility after participating in Phase I. The remaining 14% (78) were removed from CASAT Phase I.

- Of the 867 offenders who participated in CASAT Phase I and were released from DOCS custody, 79% (684) successfully completed Phase I. The remaining 21% (183) were removed from CASAT Phase I.

Not Admitted to CASAT

- Among the 1,638 inmates who had not entered CASAT, a third (548) had been released from DOCS while two-thirds (1,090) were still in DOCS custody as of September 30, 2008.

Not Admitted to CASAT and Released

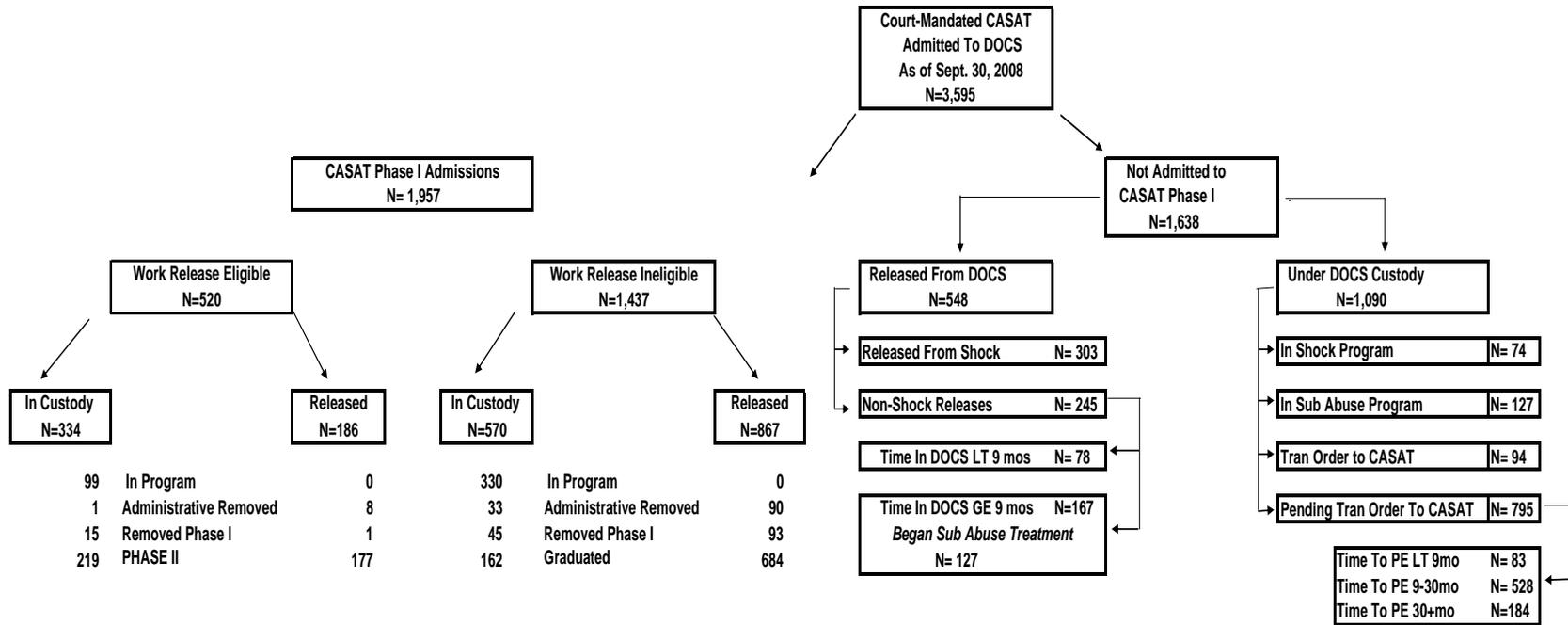
- Among the 548 released inmates, most were successful completers of the intensive, treatment-focused Shock Incarceration program (55% or 303).
- Of the 245 non-Shock releases, a third (78) spent less than nine months under DOCS custody before they were released. Among the 167 inmates who spent more than nine months, most were determined to be ineligible for work release and were denied participation in Phase I. It should be noted, 76% (127) of these 167 inmates participated in a substance abuse treatment program prior to their release from DOCS.

Not Admitted to CASAT and Still Under Custody

- Among the 1,090 inmates still in DOCS custody, 7% (74) were participating in the Shock program, 12% (127) were in substance abuse treatment programs while 9% (94) were already processed for direct entry to the CASAT program. The remaining 73% (795) were still awaiting transfer to CASAT.

Figure 1.3

Status of Court-Mandated CASAT as of September 30, 2008



Section 2

Overall CASAT Population Calendar Years 2003-2008

CASAT PHASE I

- The increase in the CASAT Phase I participation figures in the latter half of 2003 (see Table 2.1 and Figure 2.1) was a direct result of the change in the program's eligibility criteria that allowed the Department to use an inmate's merit eligibility date rather than parole eligibility date in the CASAT screening process. (One criteria for program admission is being within 24 months of earliest release which is also the rule for work release eligibility.)
- Phase I participation peaked in September 2003 at 1,070, but by March 2005 there were just 382 Phase I participants.
- During the latter half of 2005, Phase I participation increased slightly due to a modification of the Drug Law Reform Act of 2004 that permitted merit eligible drug offenders to start 30 months prior to their merit eligibility date.
- The latest upsurge in Phase I participation was driven by the entrance of court-mandated, work release ineligible Phase I participants in May 2006. By December 2008, there were 673 Phase I participants. Approximately 42% or 295 of these Phase I participants were offenders ineligible for work release and thus ineligible for transition to CASAT Phase II.

CASAT PHASE II

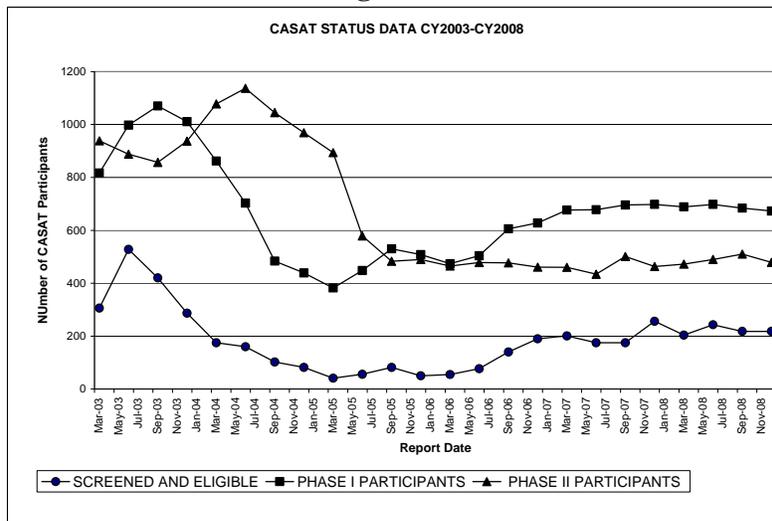
- The increase in Phase I participation in the second half of 2003 resulted in the growth of Phase II participation figures during 2004.
- The steep decline in Phase II participants during 2005 was the result of two factors. First, declining numbers of offenders entering Phase I and second, another provision of the Drug Law Reform Act of 2004, supplemental merit. Supplemental merit permits certain drug offenders successfully completing substance abuse treatment and six months of work release, the opportunity to earn additional time off their original sentence.
- The decrease in the number of Phase II participants leveled off after June 2005. The upsurge in Phase I participants since the last half of 2006 has had a negligible impact on Phase II participation levels as most of the growth has been due to court-mandated, work release ineligible CASAT participants.

Table 2.1

Overall CASAT Population Calendar Years 2003-2008

REPORT DATE	CASAT SCREENED AND ELIGIBLE	TOTAL PHASE I PARTICIPANTS	TOTAL PHASE II PARTICIPANTS	TOTAL CASAT POPULATION PHASE I & PHASE II
2003				
3/7/2003	306	817	938	1,755
6/6/2003	528	998	888	1,886
9/5/2003	420	1,070	857	1,927
12/5/2003	287	1,011	937	1,948
2004				
3/8/2004	175	862	1,078	1,940
6/7/2004	160	703	1,137	1,840
9/6/2004	102	484	1,045	1,529
12/3/2004	82	439	969	1,408
2005				
3/4/2005	41	382	894	1,276
6/3/2005	56	448	579	1,027
9/2/2005	82	530	483	1,013
12/2/2005	50	508	490	998
2006				
3/3/2006	55	474	465	939
6/2/2006	77	504	478	982
9/1/2006	140	606	477	1,083
12/1/2006	190	628	461	1,089
2007				
3/26/2007	55	474	465	1,137
6/25/2007	77	504	478	1,112
9/24/2007	140	606	477	1,197
12/24/2007	190	628	461	1,161
2008				
3/28/2008	204	689	472	1,161
6/30/2008	243	698	490	1,188
9/26/2008	218	684	510	1,194
12/29/2008	218	673	479	1,152

Figure 2.1



**Male and Female CASAT Population
Calendar Years 2003-2008**

- The breakdown of male and female CASAT population trend data for calendar years 2003 through 2008 is presented in Tables 2.2 and 2.3.
- Population trend patterns for women are almost identical to that of their male CASAT counterparts and indicates, as would be expected, that changes in CASAT eligibility during the past five years (the switch to merit eligibility date in 2003, the Drug Law Reform Act of 2004 and the admission of work release ineligible participants beginning in 2006) apply to both groups. Had the Department not broadened the pool of potentially eligible Phase I participants in May 2006, Phase I participant numbers likely would have remained stagnant or declined.

Table 2.2
CASAT Population Data CY 2003 – CY 2008 for Men

REPORT DATE	CASAT SCREENED AND ELIGIBLE	TOTAL PHASE I PARTICIPANTS	PHASE II PARTICIPANTS	PHASE I & PHASE II TOTAL MALE CASAT
2003				
3/7/2003	301	703	782	1,485
6/6/2003	508	835	737	1,572
9/5/2003	412	905	716	1,621
12/5/2003	282	904	768	1,672
2004				
3/8/2004	172	778	894	1,672
6/7/2004	156	622	953	1,575
9/6/2004	100	414	890	1,304
12/3/2004	81	369	827	1,196
2005				
3/4/2005	41	317	769	1,086
6/3/2005	52	392	483	875
9/2/2005	75	465	392	857
12/2/2005	47	438	419	857
2006				
3/3/2006	52	401	398	799
6/2/2006	71	431	423	854
9/1/2006	136	524	402	926
12/1/2006	184	544	396	940
2007				
3/26/2007	196	577	403	980
6/30/2007	170	588	380	968
9/24/2007	172	615	438	1,053
12/24/2007	253	622	406	1,028
2008				
3/28/2008	204	611	418	1,029
6/30/2008	240	616	441	1,057
9/26/2008	212	613	454	1,067
12/29/2008	213	613	420	1,033

Table 2.3
CASAT Population Data CY 2003-CY 2008 for Women

REPORT DATE	CASAT SCREENED AND ELIGIBLE	PHASE I PARTICIPANTS	PHASE II PARTICIPANTS	PHASE I & PHASE II TOTAL FEMALE CASAT
2003				
3/7/2003	5	114	156	270
6/6/2003	20	163	151	314
9/5/2003	8	165	141	306
12/5/2003	5	107	169	276
2004				
3/8/2004	3	84	184	268
6/7/2004	4	81	184	265
9/6/2004	2	70	155	225
12/3/2004	1	70	142	212
2005				
3/4/2005	0	65	125	190
6/3/2005	4	56	96	152
9/2/2005	7	65	91	156
12/2/2005	3	70	71	141
2006				
3/3/2006	3	73	67	140
6/2/2006	6	73	55	128
9/1/2006	4	82	75	157
12/1/2006	6	84	65	149
2007				
3/26/2007	5	100	57	157
6/30/2007	5	90	54	144
9/24/2007	3	81	63	144
12/24/2007	3	76	57	133
2008				
3/28/2008	0	78	54	132
6/30/2008	3	82	49	131
9/26/2008	6	71	56	127
12/29/2008	5	60	59	119

Section 3 Movement of Participants in CASAT

Section Three presents the movement of a cohort of participants through the CASAT program. By focusing on the cohort described below, the most current picture of CASAT is presented to the reader.

The cohort examined here consists of all participants in a Phase I program on June 30, 2007, plus those who subsequently entered Phase I until June 30, 2008. Movement of these participants through CASAT Phase I and II is followed to September 30, 2008. Selection of September 30th as the follow-up cut-off date, affords the opportunity to display some program movement for participants entering Phase I or II close to the June 30, 2008 program year end date.

Overall Program Movement

Figure 3.1 displays the participant pool (2,154) representing those in Phase I on June 30, 2007, plus all those entering Phase I by June 30, 2008. Work release ineligible inmates accounted for 41% (875) of these participants. By September 30, 2008, 350 (16%) of the total pool was still in Phase I, including 155 work release ineligible participants. A total of 347 (16%) participants were removed from Phase I and 1,457 (68%) completed the Phase I program.

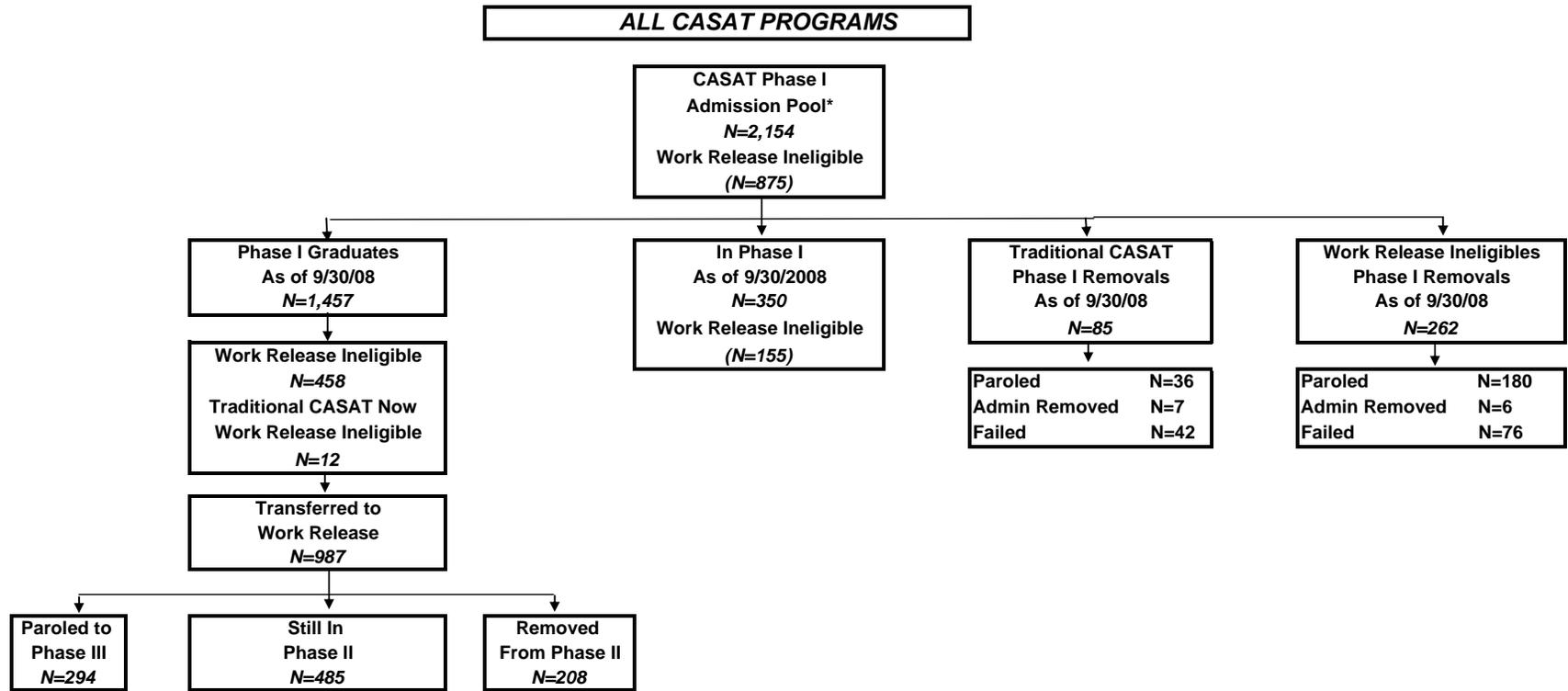
Of the 347 removals from the program, 262 (76%) were work release ineligible. Approximately 29% (76) of this group failed Phase I while 69% (180) were paroled from the program prior to completion and 2% (6) were administratively removed. In the traditional CASAT pool (those eligible for transfer to Phase II), 49% (42) failed the program, 42% (36) were paroled from the program and 8% (7) were administratively removed.⁵

Prior to the admission of work release ineligible participants to the CASAT program, Phase I graduates were transferred to work release facilities for the second component of the CASAT program, Phase II. There were 987 Phase I graduates from this admission pool who were eligible to enter Phase II. Four hundred fifty-eight (458) work release ineligibles completed Phase I and subsequently were paroled or returned to general population. Twelve (12) traditional CASAT Phase I participants were found to be work release ineligible while participating in Phase I. In the past, these participants would have been administratively removed from Phase I, however, in 2007, the Office of Substance Abuse Treatment Services decided to permit these individuals to complete Phase I. Most of this group was found to be work release ineligible due to medical or psychological reasons or discovered to have an outstanding immigration detainer or warrant.

Of the 987 CASAT participants transferred to work release, 49% (485) were still in Phase II on September 30th, 21% (208) had failed Phase II and were removed from the program while 30% (294) successfully completed Phase II and were paroled to Phase III aftercare.

⁵ Administrative Removals include change in temporary release eligibility status, psychological, medical, death or other miscellaneous reasons.

**Figure 3.1
CASAT Program Status as of 9/30/08**



*Includes CASAT Phase I Participants on 6/30/07 (N=721) plus CASAT Phase I Admissions between 7/1/07 and 6/30/08 (N=1,433).

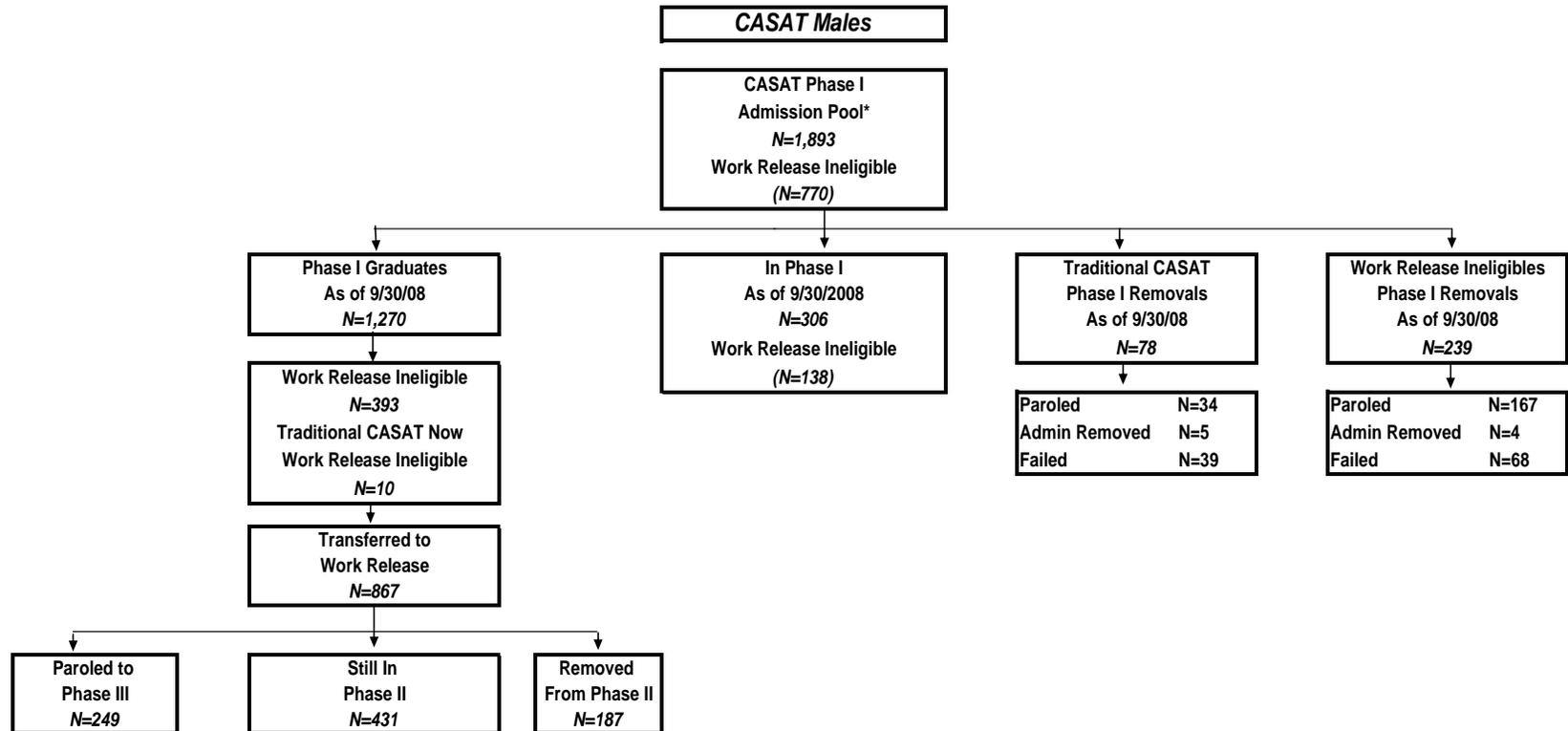
CASAT Male Movement

Approximately 88% (1,893) of the overall admission pool is comprised of men (see Figure 3.2) with 41% (770) of the men, work release ineligible participants. A total of 306 participants (or 16% of the entire male pool) were in Phase I on September 30th, 2008, including 138 work release ineligibles. Seventeen percent of the admission pool was removed from Phase I (78 traditional CASAT participants and 239 work release ineligible participants) and 67% had completed Phase I (867 traditional CASAT transferred to Phase II, 393 work release ineligibles and ten traditional CASAT participants unable to enter Phase II).

Half (39) of the traditional CASAT removals failed Phase I compared to 28% (68) of the work release ineligibles. Seventy percent (167) of work release ineligible removals were paroled prior to completing the program as were 44% (34) of the traditional CASAT removals. Administrative removals accounted for 6% (5) of traditional CASAT removals and 2% (4) of work release ineligible removals.

Remembering that not all Phase I graduates transition to Phase II, 867 of the traditional CASAT participants had entered Phase II by September 30, 2008. Fifty percent (431) were still participating in Phase II on this date while 21% (187) were removed from Phase II and 29% (249) were paroled. Work release ineligibles (393) and traditional CASAT participants now deemed work release ineligible (10) were either paroled from the annex after completing Phase I or were transferred to general population.

Figure 3.2
CASAT Program Status as of 9/30/08



*Includes CASAT Phase I Participants on 6/30/07 (N=622) plus CASAT Phase I Admissions between 7/1/07 and 6/30/08 (N = 1,271).

Female CASAT Movement

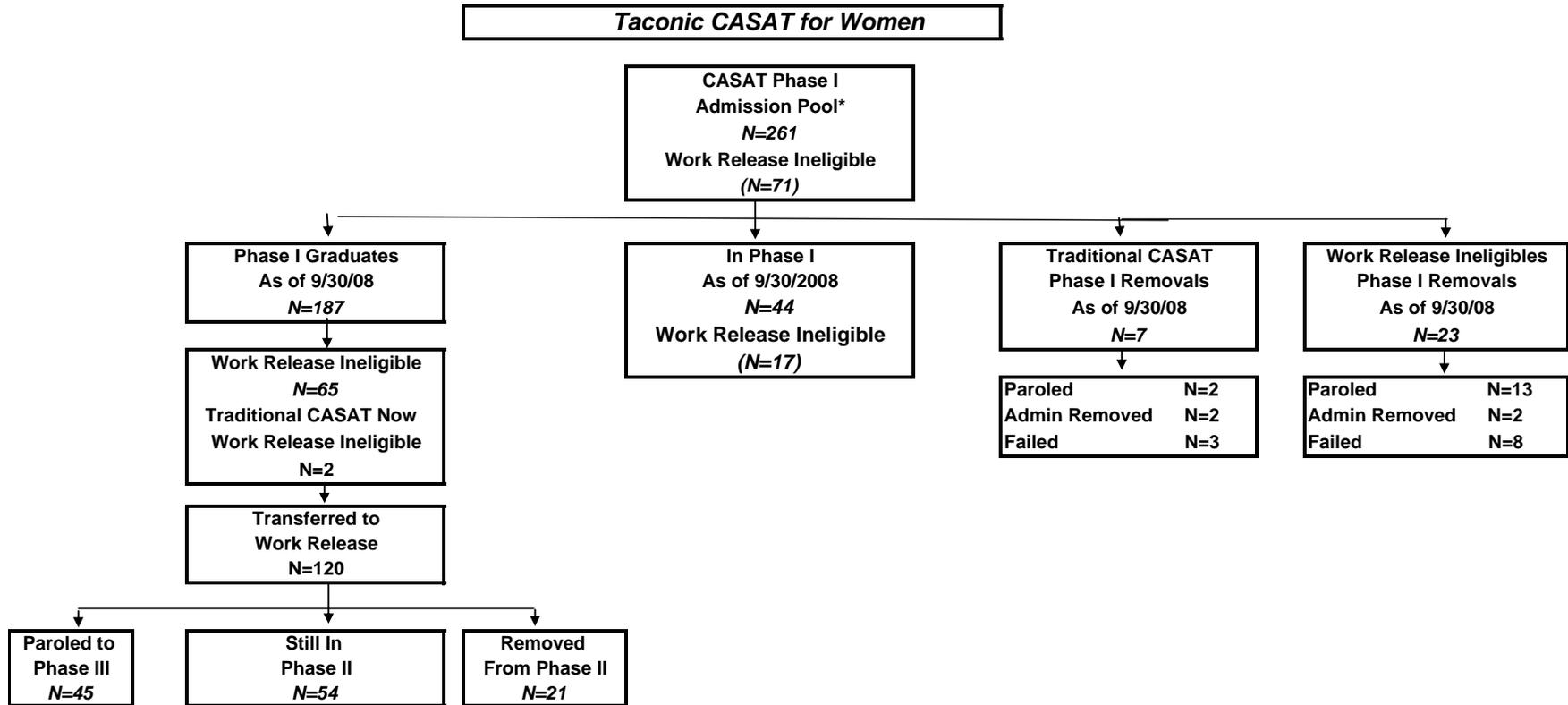
The CASAT program for women at Taconic, had a total participant pool of 261, including 71 (27%) work release ineligibles. Seventeen percent (44 total, with 17 work release ineligibles) remained in Phase I on September 30, 2008, 11% (7 traditional CASAT and 23 work release ineligibles) were removed from Phase I and 72% had completed Phase I (120 traditional CASAT, 65 work release ineligibles and two traditional CASAT now ineligible for work release).

Examining Phase I removals, 43% (3) of traditional CASAT women failed the program as did 35% (8) of work release ineligibles. The failure rate for both groups of women was lower than traditional CASAT men (failure rate, 50%) but higher than that for work release ineligible males (28%). Twenty-nine percent of traditional CASAT women (2) and 57% of work release ineligible women (13) were paroled prior to program completion. In comparison, 44% of traditional CASAT men fell in this category as did 70% of work release ineligible men.

Twenty-nine percent (2) of traditional CASAT women received administrative removal from Phase I while 1% (2) of the work release ineligible women were administratively removed. The percentage of administrative removals is higher for both men and women traditional CASAT participants than it is for work release ineligible participants since prior to mid-2007, traditional CASAT participants received administrative removal if found to be ineligible for transfer to Phase II. A change to this policy in that year now permits traditional CASAT participants, currently ineligible for work release, and thus Phase II, to complete Phase I.

Of the 120 CASAT Phase I women able to move to Phase II, 54 (45%) were still in Phase II on September 30, 2008, 21 (17%) were removed from Phase II and 45 (38%) were paroled to Phase III.

Figure 3.3
CASAT Program Status as of 9/30/08



*Includes CASAT Phase I Participants on 6/30/07 (N=99) plus CASAT Phase I Admissions between 7/1/07 and 6/30/08 (N= 162).

Section 4

CASAT PHASE III – AFTERCARE

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

In previous CASAT reports, return to DOCS custody rates were cumulative, based on all releases since 1991. Although informative, the decision was made last year to focus on a more recent cohort of CASAT participants. In this report, the cohort chosen was all CASAT Phase I and Phase II participants who left the program during 2003 and 2004 and who were subsequently paroled during that time period (2003 and 2004). This new method of return to DOCS custody rates will be more reflective of changes in the CASAT program over time.

Follow-Up Procedure

As with previous Department research, recidivism is defined as a return to the Department's custody. For this follow-up, one study and four comparison populations were tracked for both men and women. The study group consisted of all participants who entered Phase III during 2003 and 2004. The study group had 1,702 valid cases. These 1,702 successful participants were comprised of 314 women and 1,388 men.

The study group is broken down by gender due to the differences in rate of return to state prison for women and men.⁶

COMPARISON POPULATIONS

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 for similar time periods as the study group. For CASAT men and women in this study, three comparison groups composed of non-completers were developed. The first group referred to as "Phase II Failures," consists of 496 men and 70 women who (1) successfully completed Phase I in one of the CASAT programs in the study; (2) failed to complete Phase II in 2003 or 2004; and (3) were released to parole supervision during 2003 or 2004.

⁶ See "2004 Releases: Three Year Post Release Follow-Up," New York State Department of Correctional Services, Albany, New York 12226 (2009), p. 7.

The second group, referred to as "Phase I Failures," consists of 59 men and 3 women who (1) began the CASAT program but did not successfully complete Phase I in 2003 or 2004 and (2) were released to parole supervision during 2003 or 2004.

The third comparison group "Phase I Removals," consists of 45 men and 12 women who (1) began CASAT but did not complete Phase I in 2003 and 2004 for administrative reasons and (2) were released to parole supervision during 2003 or 2004. This comparison group was selected as a natural comparison cohort, since at least initially; they screened as suitable for CASAT and volunteered to enter the program.

Administrative removals include medical or psychological preclusions to entering Phase II upon completion of Phase I, those paroled from DOCS prior to completing Phase I or those who were removed after new information surfaced regarding outstanding immigration or criminal warrants, again precluding transition to Phase II. Unlike Phase I Failures, Phase I Removals were successfully participating in the program until their removal. On average, this group spent 4.6 months in the 6-month Phase I component. Some participants removed from Phase I might have re-entered CASAT at a later date or completed another substance abuse treatment program before release to parole supervision.

The fourth comparison group is referred to as "All 2004 Releases." Traditionally, Departmental follow-up studies compare the successful and unsuccessful program completers' rate of recidivism with the rate of recidivism of all other releases to parole supervision. For this report we have defined "All 2004 Releases" as men and women released to parole supervision during 2001. This comparison group consisted of 23,215 men and 1,706 women. This group includes all successful CASAT participants and the other three comparison groups: Phase II Failures, Phase I Failures and Phase I Removals. In the past, the DOCS releases category excluded these offenders, however, the decision to use already published return to DOCS custody data, meant that CASAT participants released during 2004 were a part of the 2004 DOCS release cohort.⁷

Table 4.1 indicates the cumulative rate of return by exposure for various CASAT and comparison groups.

⁷See "2004 Releases: Three Year Post Release Follow-Up," New York Department of Correctional Services, Albany, New York 12226 (2009).

Table 4.1

**Cumulative Rate of Return by Exposure Period
CASAT and All 2004 DOCS Releases**

Program and months since release	Phase II Graduates	Phase II Failures	Phase I Failures	Phase I Removals
2003-2004 CASAT Males	(N = 1,388)	(N = 496)	(N =59)	(N = 45)
36 months	22%	41%	52%	18%
All 2004 DOCS Males	(N = 23,215)			
36 months	41%			
2003-2004 CASAT Females	(N = 314)	(N = 70)	(N =3)	(N=12)
36 months	21%	43%	0%	8%
All 2004 DOCS Women	(N = 1,706)			
36 months	31%			

CASAT Male and All 2004 DOCS Male Releases⁸

- Male Phase I Removals had lower rates of return than did male Phase II Graduates at 36 months of exposure (18% return rate versus 22% for Phase II Graduates). It was anticipated that this comparison group would return at a lower rate than Phase I or Phase II Failures. As noted above, Phase I Removals were successfully participating in the program for approximately five months, on average, before their removal from the program. The finding that the Phase I Removal rate of return is as good, if not slightly better than that for Phase II Graduates, will be carefully monitored in future reports.
- Phase II Failures returned at a lower rate than Phase I Failures. At 36 months, the Phase II Failure return rate was 41% versus 52% for Phase I Failures. This finding is similar to the 2007 CASAT report but differs from earlier reports where typically Phase I Failures returned at lower rates than did Phase II Failures and most likely resulted because Phase I Removals were taken out of the Phase I Failure group.
- For all 2004 Male DOCS Releases, the return rate (41%) was higher than that for Phase I Removals (18%), and Phase II Graduates (22%) the same as Phase II Failures (41%) but lower than Phase I Failures (52%).
- In conclusion, CASAT Phase I Removals had the lowest rate of return, followed by Phase II Graduates, then Phase II Failures and Phase I Failures.

CASAT Female and 2004 DOCS Female Releases

- Although not as pronounced for women as it is for men, the return rate profile for women is similar in one aspect to that for men, Phase I Removals return at lower rates than do Phase II Graduates. The return rate for Phase I Removals is 8% versus 21% for Phase II Graduates.
- Unlike CASAT men, the return rate for women who failed Phase II (43%) is higher than that for Phase I Failures (0%). It must be noted that there were only three (3) women who failed to complete Phase I.
- The return rate for All 2004 DOCS Female Releases to parole supervision was higher than that for women either removed from Phase I, failing Phase I or successfully completing Phase II. The 2004 Female Release return rate was 31% versus 21% for Phase II Graduates. However, women failing Phase II (43%) returned at a higher rate than the overall comparison group (31%).

⁸Information on the rate of return for the Phoenix-operated Marcy CASAT program is available in the 2003 Comprehensive Alcohol and Substance Abuse Treatment report.

- Examining the categories – Phase I Removals, Phase I Failures, and Phase II Graduates – women return at lower rates than do men. The return rate for women Phase II Graduates was 21% versus 22% for men, for Phase I Removals it was 8% versus 18% and for Phase I Failures it was 0% versus 52%. However, women failing Phase II returned at a higher rate than men failing Phase II (43% versus 41%). These findings are generally consistent with other Department research showing that women have lower return rates than men.

Section 5

PROGRAM COSTS FOR FISCAL YEAR 2007-08 PHASE I

This section of the report analyzes the program costs for FY 2007-08 and focuses on Phase I CASAT-related substance abuse treatment costs. This fiscal analysis does not examine general facility operation costs (such as security and food) which are not attributable to the CASAT program.

The expenditure data presented in this section were provided by the Department's Division of Budget and Finance.

For FY 2007-08, actual expenditure data were used for the salaries of ASAT staff assigned to the CASAT programs. The availability of CASAT salary data permits the application of the standard State fringe benefit and indirect cost rate to the ASAT staff costs. The Department CASAT cost encompasses salary, fringe benefit and indirect cost components.

As illustrated by the following table, the total cost of treatment services for CASAT Phase I in FY 2007-08 was \$3,028,079.

Table 5.1
CASAT FACILITY TREATMENT SERVICE EXPENDITURES*
FY 2007-08

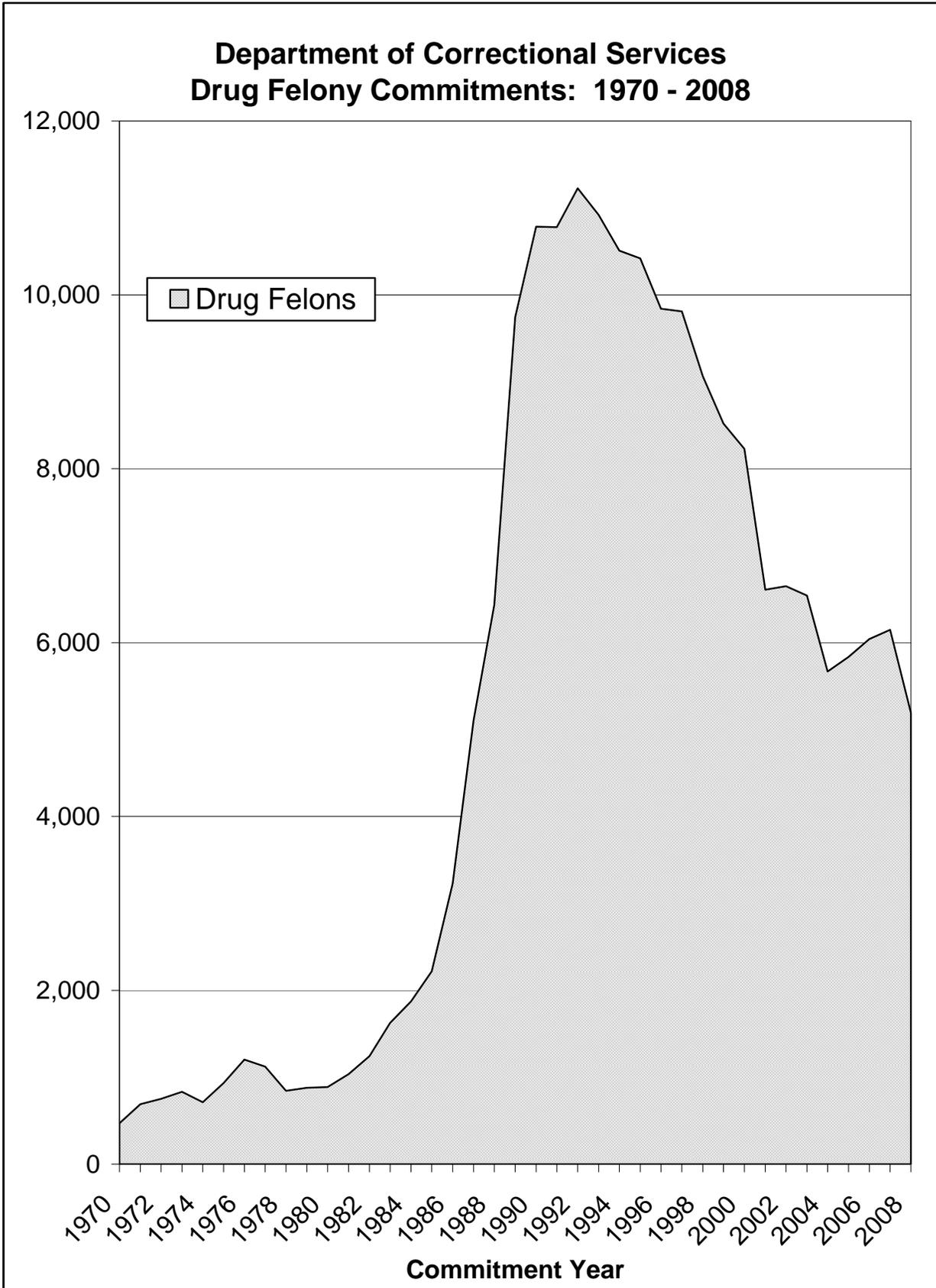
ANNEX	PERSONAL SERVICE	FRINGE BENEFITS	INDIRECT COSTS	OTHER OTPS	TOTAL COSTS
Arthur Kill	\$97,960	\$46,002	\$3,331	\$0	\$147,293
Hale Creek	\$1,436,644	\$674,648	\$48,846	\$27,986	\$2,188,124
Taconic	\$177,239	\$83,231	\$6,026	\$10,988	\$277,484
Wyoming	\$273,065	\$128,231	\$9,284	\$4,597	\$415,178
TOTAL	\$1,984,908	\$932,112	\$67,487	\$43,571	\$3,028,079

*Totals do not add due to rounding.

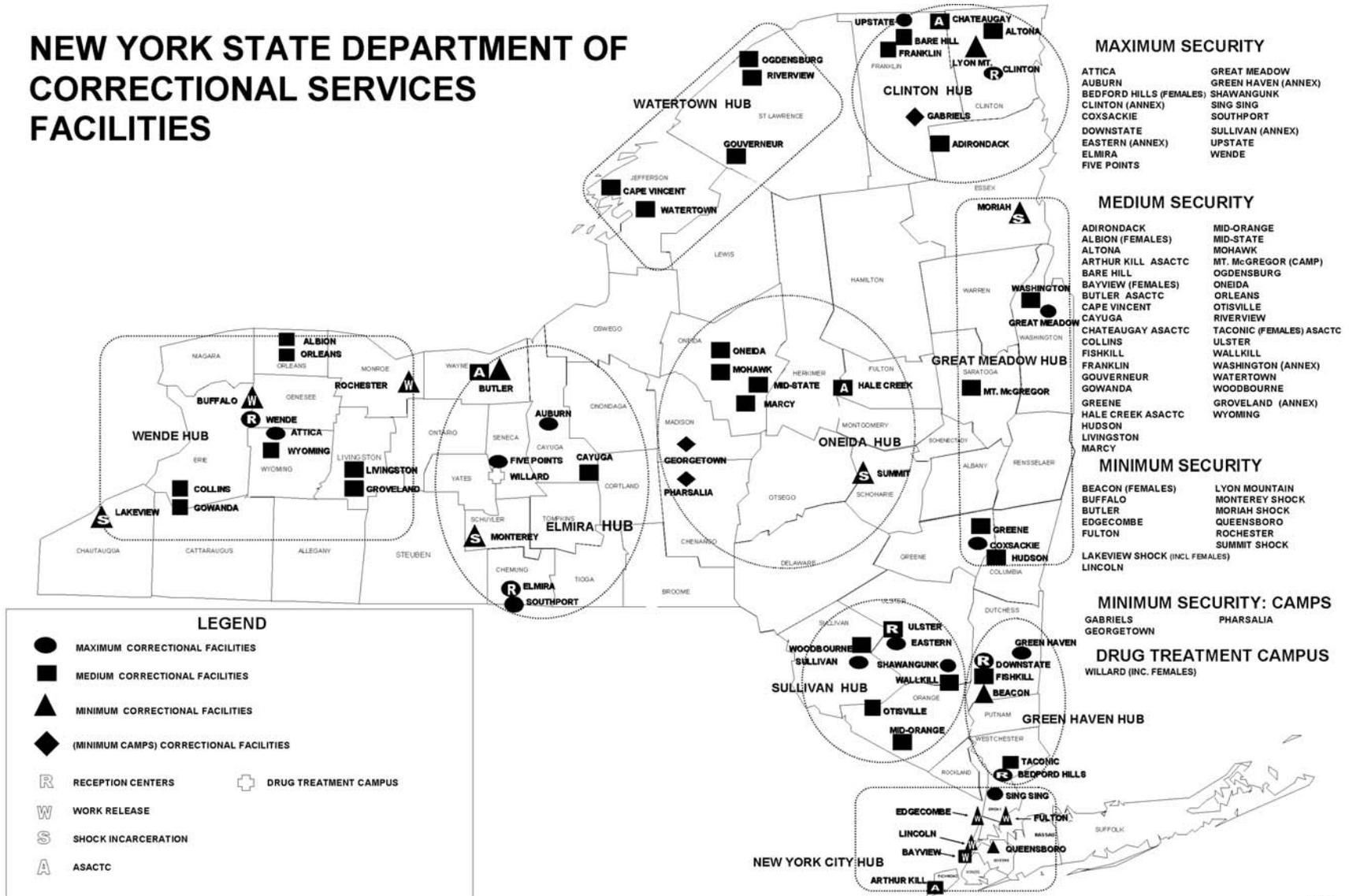
Source: NYS DOCS Division of Budget and Finance

APPENDICES

New York State Department of Correctional Services Annual Felony Drug Commitments and Total Commitments Calendar Years: 1970 - 2008			
<u>Year of Commitment</u>	Drug Commitments		Total New Court Commitments
	<u>Number</u>	<u>Percent</u>	<u>Number</u>
1970	470	11.1%	4,250
1971	690	13.5%	5,130
1972	751	13.2%	5,709
1973	834	12.9%	6,477
1974	713	10.7%	6,691
1975	933	12.6%	7,424
1976	1,203	14.9%	8,063
1977	1,122	13.3%	8,436
1978	844	11.7%	7,232
1979	880	11.6%	7,559
1980	886	11.1%	7,960
1981	1,036	10.1%	10,303
1982	1,243	11.9%	10,406
1983	1,625	13.0%	12,537
1984	1,874	15.3%	12,248
1985	2,218	17.9%	12,420
1986	3,228	21.7%	14,901
1987	5,106	32.6%	15,654
1988	6,432	37.2%	17,308
1989	9,742	45.3%	21,518
1990	10,784	46.7%	23,115
1991	10,778	44.7%	24,116
1992	11,225	44.6%	25,155
1993	10,920	43.9%	24,897
1994	10,508	45.4%	23,153
1995	10,418	45.3%	22,981
1996	9,841	46.4%	21,192
1997	9,810	47.2%	20,804
1998	9,063	46.6%	19,453
1999	8,520	44.5%	19,157
2000	8,225	44.3%	18,561
2001	6,606	40.0%	16,497
2002	6,647	39.1%	16,999
2003	6,540	37.7%	17,336
2004	5,667	34.6%	16,388
2005	5,835	35.7%	16,334
2006	6,039	36.0%	16,779
2007	6,148	35.7%	17,231
2008	5,191	32.9%	15,798
TOTAL	200,595	34.7%	578,172



NEW YORK STATE DEPARTMENT OF CORRECTIONAL SERVICES FACILITIES



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