



Corrections and Community Supervision

The Comprehensive Alcohol and Substance Abuse Treatment Program 2016

CASAT PROGRAM

The New York State Department of Corrections and Community Supervision (DOCCS) Comprehensive Alcohol and Substance Abuse Treatment (CASAT) program was created by the 1989 Prison Omnibus Legislation.¹ This 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 (Phase I) would be transferred to a work release facility or an appropriate community based program (Phase II). The law also provided for an aftercare component upon release from the Department while under the supervision of the Division of Parole (Phase III). Appendix A diagrams the movement of the inmate through the CASAT program phases.

After briefly summarizing the CASAT program's history since 1990, this report focuses on recent program trends from 2006-2016. For a detailed description of the CASAT program, please see "*The Comprehensive Alcohol and Substance Abuse Treatment Program: 2008*".²

PROGRAM GOALS

The CASAT program, with its mandate to provide a continuum of treatment services, is designed to achieve the following goals:

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

¹ The New York State Department of Correctional Services and the New York State Division of Parole were merged through Legislative action on April 1, 2011. The resulting agency is the New York State Department of Corrections and Community Supervision.

² "The Comprehensive Alcohol and Substance Abuse Treatment Program: 2008," New York State Department of Correctional Services, Albany, New York 12226 (2009).

CURRENT PROGRAM ELIGIBILITY

All of the following circumstances must be present in order for an individual to be eligible for the CASAT program:

- 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.
- An individual security classification level that allows assignment to a medium or minimum security correctional facility.
- Eligible for temporary release, except for some drug offenders sentenced by judges to CASAT treatment (court-mandated CASAT). Court-mandated CASAT offenders not meeting all CASAT program requirements, particularly temporary release eligibility, are permitted to enter Phase I but are not allowed to transition to Phase II. This group is referred to as Phase I-only participants. This program modification, implemented in May 2006, permits a larger pool of offenders to receive intensive, residential drug treatment. Court-mandated offenders who meet all established CASAT requirements are eligible to enter Phase II upon completion of Phase I.

The review for CASAT eligibility and the offender's interest in participating in a treatment program is conducted at reception or later at a general confinement facility between the inmate and their Offender Rehabilitation Coordinator. Following this facility level review, information is forwarded to Temporary Release in Central Office for a final review of eligibility for work release upon completion of CASAT Phase I. Those offenders found to be acceptable for temporary release represent the pool of potential participants for traditional CASAT Phase I and II programs.

PHASE I PARTICIPANT POPULATION: 1990-2005

- New commitments to DOCCS jumped from 4,250 (including 470 offenders committed for drug offenses) in 1970 to a high of 25,155 in 1992 (including 11,225 drug commitments) (see Appendix B). The CASAT program expanded in the early 1990s to meet the substance abuse treatment needs of these offenders (from 783 Phase I participants on June 30, 1991 to 2,369 Phase I participants on June 30, 1994, see Table 1.1 and Figure 1.1).
- Executive Order #5, issued in 1995, significantly impacted the CASAT program by precluding the participation of violent felony offenders in the Department's Temporary Release program. Further diminishing the pool of eligible offenders was the Sentencing Reform Act (SRA) of 1995, which created the Willard Drug Treatment Campus, designed to divert second felony offenders with substance abuse problems from DOCCS incarceration. As a result of these two legal mandates, the CASAT Phase I program experienced an overall decline in participation from 2,369 on June 30, 1994 to 1,696 participants on June 30, 1996 (see Table 1.1).

- The CASAT Phase I population continued to decrease most years (with the exception of 2000 when the population rose to 1,404) until 2003 when CASAT eligibility redefined “earliest release date” from parole eligibility date to merit eligibility date (an inmate’s merit eligibility date occurs before their parole eligibility date). This policy change produced a brief upswing in CASAT Phase I participation from 926 in 2002 to 992 in 2003 (see Table 1.1).

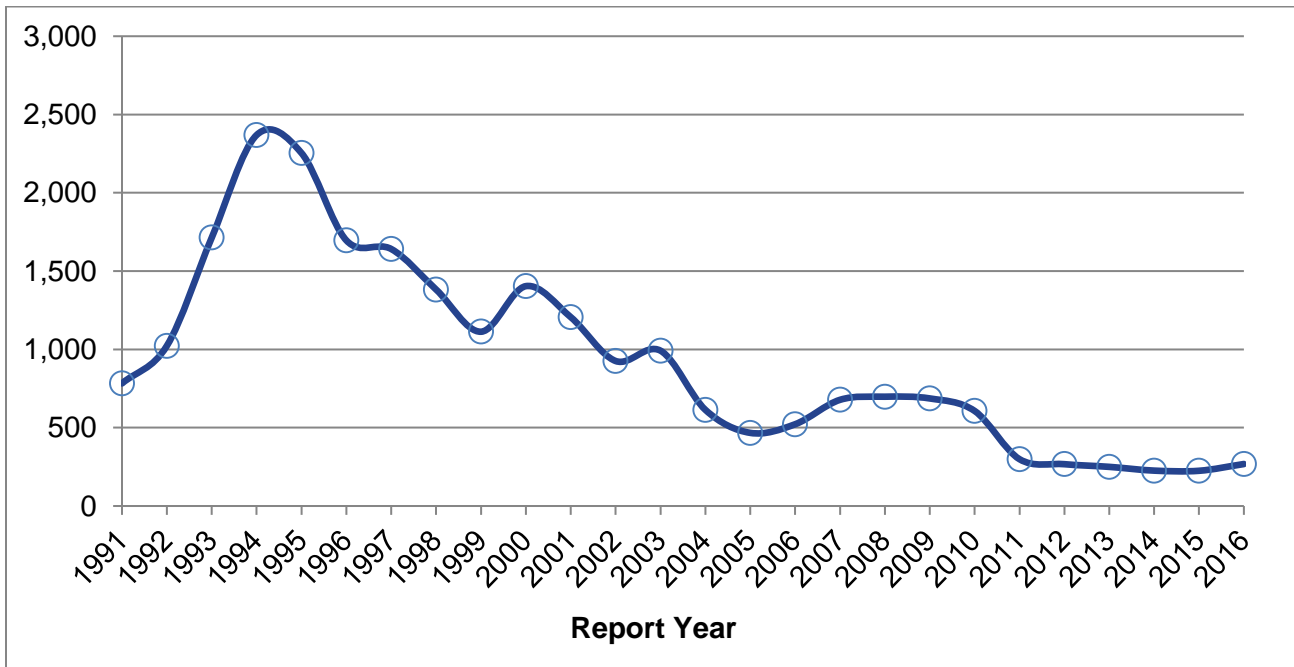
PHASE I PARTICIPANT POPULATION: 2006-2016

- Further declines in CASAT Phase I participation continued until 2006 when the first impact of permitting temporary release ineligible, court-mandated offenders in the CASAT program was observed. Program participation increased from 467 on June 30, 2005 to 522 participants on June 30, 2006 (see Table 1.1).
- After the introduction of the court-mandated, temporary release ineligible offenders in 2006, Phase I participation rose to over 600 participants in 2007. Phase I participation remained over 600 from 2007 to the first half of 2010 before declining. As a response to the steep decline in Phase I participation during the second half of 2010 and 2011, DOCCS closed Wyoming Alcohol and Substance Abuse Correctional Treatment Center (ASACTC) (120 beds) in March 2011 and reduced the program capacity of Taconic ASACTC to 44 treatment beds (from 136 beds) in May 2011 (see Table 1.1). Remaining Wyoming CASAT participants were transferred to Arthur Kill and Hale Creek to complete Phase I.
- Over a ten-year period from 2002 to 2011, DOCCS experienced a significant reduction in its under custody population (from 66,691 on December 31, 2002 to 55,065 on December 31, 2011). The resulting, smaller prison population led to excess housing space in minimum and medium security facilities. During 2011 and 2012, consolidation or “right-sizing” of DOCCS correctional facilities occurred. Seven medium and minimum security facilities were closed, including Arthur Kill. CASAT participants not nearing program completion were transferred to a new 60-bed program at Marcy Correctional Facility that opened in October 2011 (see Table 1.2).
- In December 2012, the program for female CASAT participants was moved from Taconic ASACTC to Albion Correctional Facility. The program capacity at Albion ASACTC is 40 beds.
- On July 2, 2016, there were 268 Phase I participants. This was an increase of 19% (+43) compared to the previous year, due in part to an increase in staffing at CASAT Phase I programs during this time period. Meanwhile, the number of court-mandated, temporary release ineligible participants has decreased. On June 25, 2010, 317 (or 52%) of total Phase I participants (607) were temporary release ineligibles compared with 70 (or 26%) of the total Phase I population (268) on July 2, 2016 (see Table 1.2).
- As of July 2, 2016, 79% of all CASAT program beds were filled with participants. Albion was operating at 93% capacity, Marcy was at 68% capacity, while Hale Creek was at 79% capacity (see Table 1.2).

**Table 1.1
CASAT Phase I Participant Snapshot
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	2009	2010	2011	2012	2013	2014	2015	2016	
Albion	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	28	30	28	37
Arthurskill	0	216	212	215	216	200	154	145	124	216	153	117	127	35	17	31	39	41	49	43	49	0	0	0	0	0	0
Butler	193	211	199	199	224	163	177	129	112	183	176	60	0	0	0	0	0	0	0	0	0	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	0	0	0	0	0	0	0	0	
Chateaugay	195	200	197	200	215	192	177	144	99	101	99	45	0	0	0	0	0	0	0	0	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	448	388	222	195	185	153	168	190	
Livingston	0	0	0	704	223	0	0	0	0	0	0	0	0	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	0	0	0	0	49	37	43	29	41
Wyoming	0	0	0	0	0	0	0	0	100	101	99	82	90	95	58	60	125	124	126	127	0	0	0	0	0	0	
Taconic	0	0	287	234	275	328	308	319	266	278	228	161	167	75	58	69	90	82	64	49	28	23	0	0	0	0	
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	687	607	299	267	250	226	225	268	

**Figure 1.1
CASAT Phase I Participant Snapshot**



**Table 1.2
Capacity and Offender Population of CASAT Programs – As of 7/2/2016***

Annex	Program Start Date	Capacity	CASAT Participants		Traditional CASAT Participants	Work Release Ineligibles
			Total	% of Program Capacity		
Hale Creek	November 1990	240	190	79%	152	38
Marcy	October 2011	60	41	68%	16	25
Albion	December 2012	40	37	93%	30	7
Total		340	268	79%	198	70

Source: DOCCS UC File

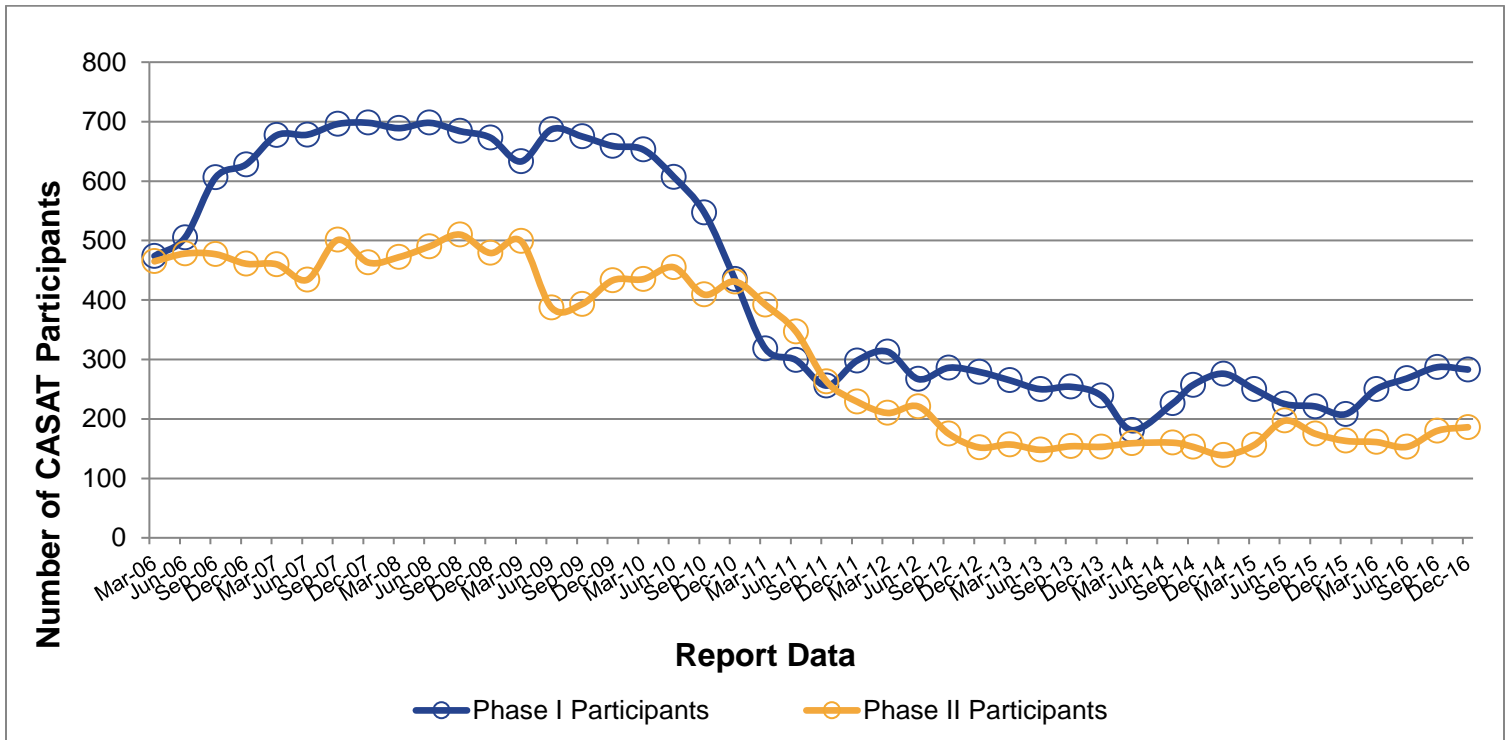
*Some program beds at CASAT facilities are occupied by offenders either waiting to begin Phase I or Phase I completers awaiting transfer to work release or general confinement facilities. These offenders are not included in these figures.

Recent declines in the number of offenders eligible for the CASAT program were a consequence of the sweeping Drug Law Reform Act of 2009. Elements of this law encouraged the expansion of Drug Courts and community-based substance abuse treatment in order to divert drug offenders from DOCCS incarceration. Since the Sentencing Reform Act (SRA) of 1995, approximately **70% to 80%** of CASAT participants have been drug offenders; therefore, any decrease in drug offender commitments to DOCCS would reasonably be expected to impact the availability of offenders for the program. The number of drug offenders admitted in 2013 (3,097) was the lowest recorded since the CASAT program started. These numbers have remained relatively constant, increasing slightly to 3,115 in 2016 (see Appendix B).

CASAT PHASE I and PHASE II QUARTERLY TRENDS: 2006-2016

- Focusing on the most recent years of the CASAT program (March 2006 – December 2016), Table 1.3 and Figure 1.2 present quarterly Phase I and Phase II trends.
- The decline in Phase I participation was halted and partially reversed after mid-2006 until mid-2010 when the introduction of court-mandated, temporary release ineligible into the program increased Phase I participation numbers. By mid-2010, Phase I participation once again began to decrease.
- The proportion of women in Phase I decreased during this time period from 14% in June 2006 to 9% in June 2009. The percentage of women remained in single digit percentages until increasing to 10% in December 2012, and most recently increased to 14% in January 2017.
- By the end of 2014, Phase II participation numbers fell to 139 participants, the program's lowest level since the early 1990s. Since then, Phase II participation has increased, with 186 participants at the end of 2016 (Table 1.3).

Figure 1.2
CASAT Status Data 2006-2016



**Table 1.3
CASAT Phase I and Phase II Population: Calendar Years 2006-2016**

REPORT DATE	TOTAL PHASE I PARTICIPANTS					PHASE II PARTICIPANTS
	Male	%	Female	%	Total	Total
3/3/2006	401	84.6%	73	15.4%	474	465
6/2/2006	431	85.5%	73	14.5%	504	478
9/1/2006	524	86.5%	82	13.5%	606	477
12/1/2006	544	86.6%	84	13.4%	628	461
3/26/2007	577	85.2%	100	14.8%	677	460
6/25/2007	588	86.7%	90	13.3%	678	434
9/24/2007	615	88.4%	81	11.6%	696	501
12/24/2007	622	89.1%	76	10.9%	698	463
3/28/2008	611	88.7%	78	11.3%	689	472
6/30/2008	616	88.3%	82	11.7%	698	490
9/26/2008	613	89.6%	71	10.4%	684	510
12/29/2008	613	91.1%	60	8.9%	673	479
3/27/2009	573	90.5%	60	9.5%	633	499
6/26/2009	623	90.7%	64	9.3%	687	387
9/25/2009	615	91.1%	60	8.9%	675	393
12/23/2009	602	91.4%	57	8.6%	659	433
3/26/2010	593	90.8%	60	9.2%	653	435
6/25/2010	558	91.9%	49	8.1%	607	455
9/24/2010	506	92.5%	41	7.5%	547	409
12/31/2010	396	91.0%	39	9.0%	435	431
3/25/2011	289	90.9%	29	9.1%	318	392
6/24/2011	271	90.6%	28	9.4%	299	347
9/26/2011	228	89.1%	28	10.9%	256	263
12/26/2011	269	90.3%	29	9.7%	298	229
3/26/2012	286	91.4%	27	8.6%	313	210
6/29/2012	244	91.4%	23	8.6%	267	221
9/28/2012	261	91.3%	25	8.7%	286	175
12/28/2012	251	90.0%	28	10.0%	279	152
3/29/2013	235	88.7%	30	11.3%	265	157
6/28/2013	222	88.8%	28	11.2%	250	148
9/27/2013	228	89.8%	26	10.2%	254	154
12/27/2013	209	87.4%	30	12.6%	239	153
3/28/2014	152	84.0%	29	16.0%	181	159
6/27/2014	184	86.0%	30	14.0%	214	174
9/26/2014	227	88.3%	30	11.7%	257	153
12/26/2014	249	90.2%	27	9.8%	276	139
4/3/2015	220	88.0%	30	12.0%	250	156
7/6/2015	196	87.1%	29	12.9%	225	197
10/7/2015	176	79.6%	45	20.4%	221	175
1/1/2016	178	85.6%	30	14.4%	208	163
4/2/2016	213	85.2%	37	14.8%	250	161
7/2/2016	231	86.2%	37	13.8%	268	153
10/1/2016	250	87.1%	37	12.9%	287	180
1/1/2017	244	86.2%	39	13.8%	283	186

CASAT PHASE II - CONTINUING SUBSTANCE ABUSE TREATMENT

- After participating in an intensive, residential, therapeutic community-based substance abuse treatment component in Phase I, CASAT participants eligible to enter Phase II (work release) continue in substance abuse treatment. Men assigned to New York City work release facilities receive treatment services at their facility. In October 2012, Bayview Correctional Facility (female) was evacuated prior to Superstorm Sandy and was subsequently flooded. Women work release participants from the downstate area are now assigned to Edgecombe Correctional Facility (female) with outpatient treatment services provided by the Center for Community Alternatives.
- Starting in March 2007, inmates entering CASAT Phase II in 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. The number of participants attending weekly individual and/or group counseling sessions increased to 55 in June 2016 from 44 in June 2015. This was a 62% increase from June 2013 when there were only 34 participants (see Table 1.4).

Table 1.4
Contracted Outpatient Substance Abuse Service Providers
CASAT Phase II Participants
June 2016

Service Providers	Assigned Facility	Caseload
Albany Area		
Conifer Park	Hudson	4
Twin County Recovery Services	Hudson	13
Buffalo/Rochester Area		
Genesee Council on Alcoholism and Substance Abuse (GCASA)	Rochester & Albion	0
Spectrum	Rochester & Albion	0
Strong Recovery	Rochester & Albion	15
Utica/Syracuse Area		
Insight House	Albion, Hudson & Rochester	0
Syracuse Behavioral	Albion, Hudson & Rochester	0
Hudson Valley Area		
Bridge Back	Fishkill	0
Catholic Charities	Fishkill	7
St. Johns Riverside	Fishkill	0
St. Francis	Fishkill	0
New York City		
Center for Community Alternatives	Edgecombe Female	16
Total		55

CONCLUSION

In view of the fact that approximately **70% to 80%** of the CASAT participants have been drug offenders since the Sentencing Reform Act (SRA) of 1995, the decline in the number of such offenders committed annually to DOCCS in recent years has reduced the pool of inmates eligible for the CASAT program. In 2006, 36% of all new court commitments were admitted for drug offenses, but by 2016 that proportion had fallen to 24%. Among women drug offenders, the decline was comparable as 43% of all female new court commitments in 2006 were admitted for drug offenses versus 27% in 2016. (see Table 1.5)

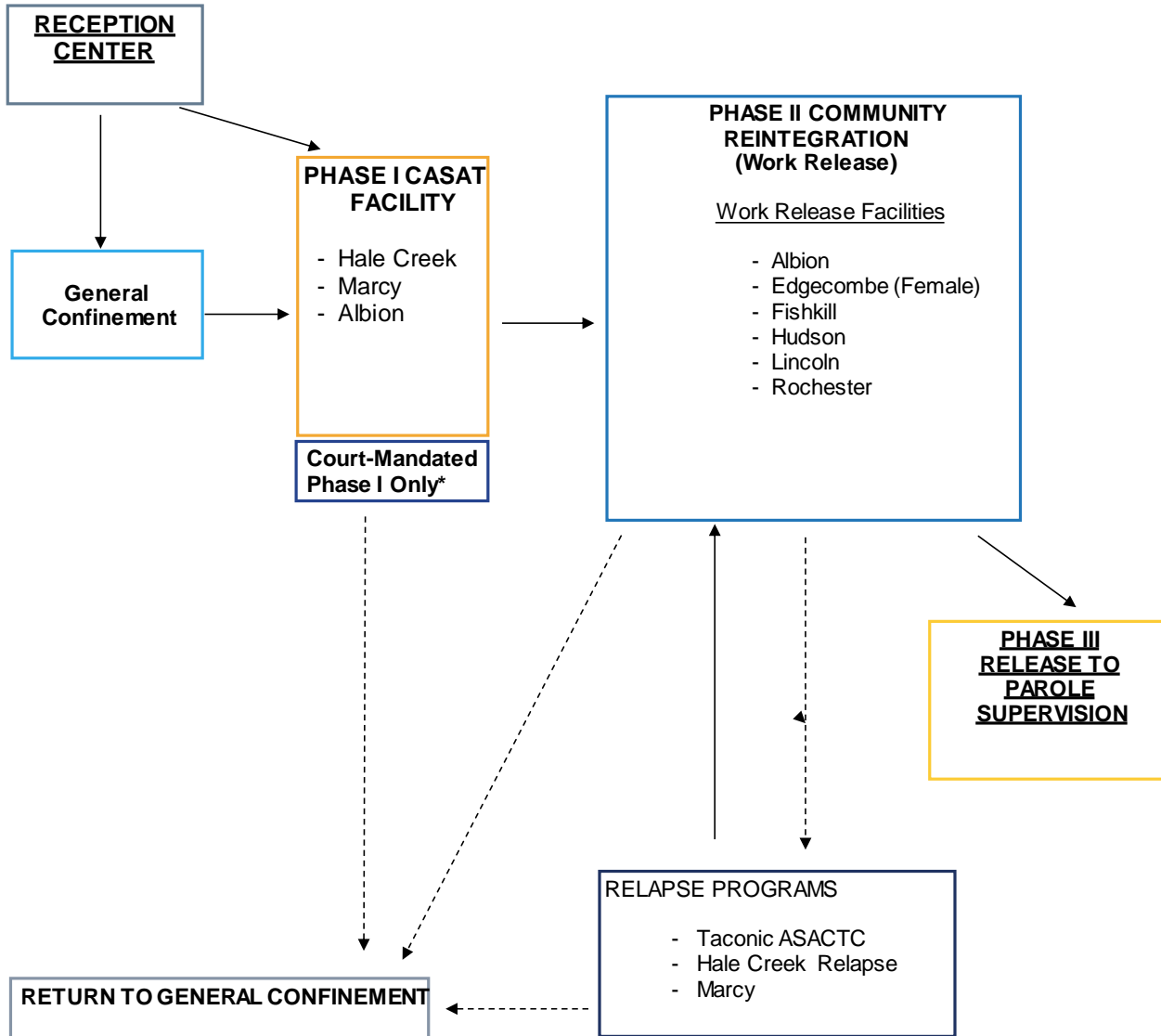
As a result, the decline in drug commitments to DOCCS can reasonably be expected to have an impact on the availability of inmates eligible for this program.

Table 1.5
DOCCS Annual Drug and Female Drug Commitments
Calendar Years: 2006 -2016

Year of Commitment	All New Commitments	Female New Commitments	All Drug New Commitments	Female Drug New Commitments	Percent Drug New Commits of All New Commits	Percent Female Drug New Commits of All Female New Commits
2006	16,867	1,259	6,060	544	35.9%	43.2%
2007	17,248	1,274	6,147	565	35.6%	44.3%
2008	15,812	1,148	5,190	475	32.8%	41.4%
2009	15,322	1,037	4,324	341	28.2%	32.9%
2010	14,754	919	3,756	268	25.5%	29.2%
2011	14,496	1,052	3,510	283	24.2%	26.9%
2012	14,089	1,020	3,189	269	22.6%	26.4%
2013	13,694	988	3,096	243	22.6%	24.6%
2014	13,271	1,051	3,225	313	24.3%	29.8%
2015	12,663	1,007	3,165	268	25.0%	26.6%
2016	12,872	981	3,117	269	24.2%	27.4%

Appendix A

DOCCS Comprehensive Alcohol and Substance Abuse Treatment Program Diagram of Inmate Movement as of June 30, 2016



*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.

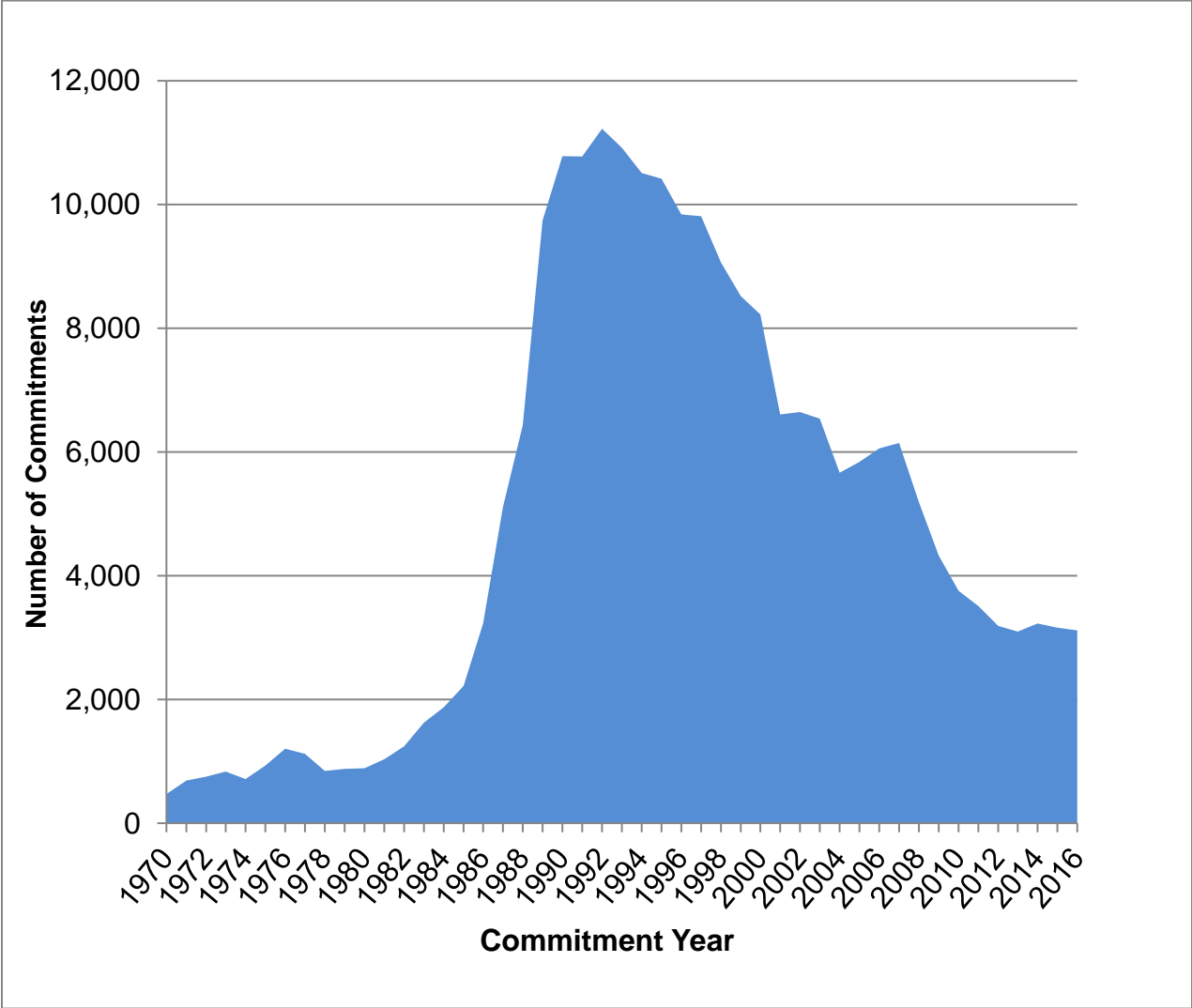
Appendix B

DOCCS Annual Felony Drug Commitments and Total Commitments Calendar Years: 1970-2016

<u>Year of Commitment</u>	<u>Drug Commitments</u>		<u>Total New Court Commitments</u>
	<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	5,839	35.7%	16,363
2006	6,060	35.9%	16,867
2007	6,147	35.6%	17,248
2008	5,190	32.8%	15,812
2009	4,324	28.2%	15,322
2010	3,756	25.5%	14,754
2011	3,510	24.2%	14,496
2012	3,189	22.7%	14,089
2013	3,096	22.6%	13,694
2014	3,225	24.3%	13,271
2015	3,165	25.0%	12,663
2016	3,117	24.2%	12,872
TOTAL	228,000	33.1%	689,481

Appendix C

Figure 2
DOCCS Felony Drug Commitments
Calendar Years: 1970-2016



Prepared by:

Sarah K. Peterson
Program Research Specialist III
Program Planning, Research & Evaluation