



DISTRICT OF COLUMBIA
COURT SERVICES AND OFFENDER SUPERVISION AGENCY &
PRETRIAL SERVICES AGENCY
RESEARCH REVIEW COMMITTEE

REVIEW RECOMMENDATION STATEMENT

DATE: September 11, 2008

I. RESEARCH PROPOSAL SUMMARY

Principal Researcher: Warren Leggett, Jr., doctoral candidate, Capella University, Minneapolis, MN.

Title: The Impact of the Re-Entry & Sanction Center on Recidivism

Institution: Capella University, Minneapolis, MN

Description:

The purpose of the study is to investigate the relationship between substance abuse treatment and recidivism.

This study applies only to CSOSA.

Type of Data and Analysis:

The causal-comparative design will be used in this research to investigate the extent to which an independent variable may affect a dependent variable. Data will be obtained by CSOSA for offenders who are in a BOP release cohort that will include parolees and supervised releasees.

Subjects:

Subjects include offenders who will be referred directly from BOP to the RSC, after which they will go through a treatment continuum as determined by the IDT. A subset of these offenders will be released directly from BOP to the community and will have identified substance abuse treatment needs. However, they will not transition through the RSC before having post-release treatment engagement. These offenders will be referred by the CSOs to CIT where an assessment will be completed and treatment determination will be made. Offenders deemed in need of and placed in treatment by CIT will represent the comparison group.

For his comparison group, the researcher intends to use the estimated 20 offenders per month that will be placed in contract treatment funded by CSOSA.

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The time frame for sample collection will consist of the past 12 months. The total number of offenders admitted to the RSC for this period is projected to be 300. For the comparison group, 240 offenders are projected to have been released during the past 12 months and placed in contract treatment following release without an RSC placement.

II. RECOMMENDATION

The RRC recommendation for this study:

Support **Support with Conditions** Do Not Support

The RRC finds that the proposed project is considered non-agency research as defined in Research and Evaluation Policy Statement 1201. Mr. Leggett is a CSOSA employee in Community Supervision Services; however, he submits this proposal as an independent doctoral student at Capella University. This proposal was reviewed without any regard for Mr. Leggett's Agency affiliation.

The RRC recommends support of this request with the following conditions.

For non-agency research, CSOSA's Office of Research and Evaluation (ORE) could provide data only for a specific set of variables, which must be submitted in writing to ORE. These could include the following:

- Age (categories)
- Gender
- Ethnicity
- Educational Achievement (categories)
- Homelessness (at intake)
- Supervision type
- Supervision level (at intake)
- Neighborhood identifier
- Census block group
- RSC Participation (Yes/No)
- Successful Treatment Completion (Yes/No)

ORE is prohibited legally from providing data for the variables listed below:

- Mental health stability
- Substance abuse issues
- HIV/AIDS/Cancer and other medical data

Once the request for variables has been finalized and approved, the researcher will provide ORE with the offender data file to which ORE staff will relate its offender data related to the specified variables. ORE will recode the data file with random identifiers and provide the new data file to the researcher.

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Once the merged data file has been provided to the researcher, ORE will not provide any modifications or additions to the data file. Also, ORE will provide limited consultation regarding specific data coding questions, but will not be available to consult with the researcher on data analysis-related matters.

Finally, the researcher is required to execute the Human Subjects Protection Form, the Confidentiality Assurance Form, the Privacy and Data Security Certification Requirements Form, the Intellectual Property Provision Form, and the Reporting Progress and Publishing Findings Form.

III. SUPPORTING INFORMATION

Regulatory:

The proposed research shows no evidence of non-compliance with the Agency's Research and Evaluation Policy Statement 1201.

This request is for data that does not contain any personal identifiers and, therefore, presents no potential human subject concerns.

Benefit to the Agency:

The nature of this study directly supports CSOSA's mission. By providing an empirically-based analysis of the treatment completion, supervision compliance, and recidivism rates for RSC and non-RSC participants. The study potentially could be used by the Agency to inform the modification of current programs and the development and implementation of new programs available to offenders who are currently under supervision.

Other Considerations:

Providing the researcher with this data would require approximately 8 hours of ORE staff time to compile the needed data files. The RRC considers this a reasonable allocation of resources given the potential benefit to the Agency.

I ACCEPT the RRC recommendation	I DO NOT ACCEPT the RRC recommendation
Adrienne Poteat, Acting Director, Court Services And Offender Supervision Agency	
Comments:	

(1) Summary Statement

(a) Name(s) and current affiliation(s) of the researcher(s);

Warren E. Leggett, Jr., SCSO

The researcher is a doctoral candidate at Capella University, 225 South 6th Street, 9th Floor, Minneapolis, Minnesota 55402. This is a requirement for completion of the doctoral program.

(b) Title of the study;

“The Impact of the Re-Entry & Sanction Center on Recidivism”

(c) Purpose of the project;

The purpose of the study is to investigate the relationship between substance abuse treatment and recidivism. The literature is replete with findings regarding the nexus among substance abuse, re-offending, and recidivism.

(d) Location of the project;

Waldorf, Maryland

(e) Duration of the study;

The study will begin in the Spring of 2008 and will be completed during the Fall of 2008.

(f) Research methods to be employed;

The Ex-Post Facto Design (Causal-Comparative) will be used in this research. This design was chosen because it allows the researcher to investigate the extent to which an independent variable may affect a dependent variable. DATA will be collected from the Court Services and Offender Supervision Agency (CSOSA). The data collected for this study will use CSOSA numbers as the only identifier. All Agency documents made privy to this study will be handled with the utmost confidentiality, IAW Agency guidelines and policy, and not individuals' names or other personal identifiers will be required.

I will draw on a Bureau of Prison (BOP) release cohort which will include parolees and supervised releasees. Some will be referred directly from the institutions to the Re-Entry & Sanction Center (RSC), following the RSC

they will go through a treatment continuum as determined by the Inter-disciplinary Team (IDT). A subset of these offenders will be released directly from the institutions to the community and will have unidentified substance abuse treatment needs. However, they will not transition through the RSC before having post-release treatment engagement. These offenders will be referred by the Community Supervision Officers (CSO) to Central Intake Treatment (CIT) where an assessment will be completed and treatment determination will be made. Offenders deemed in need of and placed in treatment by CIT will represent the comparison group.

(g) Sample type and size required and time frame for sample collection;

Each month, BOP releases roughly 200 Washington, DC inmates. It is estimated that 60 percent of them will require substance abused treatment. Because the RSC's reentry floors (7 and 8) can only accept 36 reentrants per month, it is estimated that roughly 80 inmates will discharge from the BOP and require treatment but will not be able to experience the RSC's orientation and pre-treatment planning process. Of these 80 inmates, a portion (upon release) will be placed in contract treatment funded by CSOSA - estimated to be 25 percent based on CSOSA's Performance Budget Submission to OMB and Congress. This portion (20 offenders) will represent the comparison group.

The time frame for sample collection will consist of the past 12 months. The total number of offenders admitted to the RSC for this period is projected to be 300 (36 offenders x 70 percent occupancy x 12 months). For the comparison group, 240 offenders are projected to have been released during the past 12 months and having been placed in contract treatment following release without an RSC placement.

(h) Agency staff and/or resources needed to support the study and description of the support needs;

This researcher will need to data from the Court Services and Offender Supervision Agency (CSOSA)/ Pre-Trial Services Agency (PSA) for referrals, running records, violations, re-arrest, drug tests, supervision compliance, and so forth. The researcher is requesting that CSOSA's Office of Research & Evaluation (ORE) compiles the required data. Much of this data is already being compiled and analyzed. Further, ORE has presented preliminary findings of this sort at professional conferences.

(i) Indication of risk or discomfort to subjects as a result of participation;

None

(j) Anticipated results; and

The expected findings are that, as opposed to offenders released directly into the community, offenders who participate in the Reentry and Sanction Center upon release from incarceration will have greater treatment completion rates than non- Reentry and Sanction Center participants. They will also have higher drug and supervision compliance following substance abuse treatment, as well as lower recidivism rates than non-Reentry and Sanction Center participants.

(k) List of deliverables.

The final paper will be provided to the Court Services and Offender Supervision Agency (CSOSA) and Pre-trial Services Agency (PSA). Additionally, all data sets and program codes will be delivered to CSOSA at the end of the project.

(2) Detailed Statement:

(a) Review of the related literature;

The Impact of the Re-entry & Sanctions Center on Recidivism

Re-entry and sanctions programs are designed to reduce recidivism and improve public safety in the community using judicial oversight of returning offenders (Brunson and & Knighten, 2004). During the re-entry period, drug treatment plays an important

role in breaking the vicious cycle of drug abuse and criminal behavior. Reducing drug use can help decrease crime and improve the health, safety, and well being of the individual, as well as the communities and society as a whole (Volkow, 2006).

Taxman, (2004), reports that there are approximately 600,000 individuals released from state and federal prisons each year. Between 50 and 70 percent, report a history of substance abuse, however, only 10 to 11 percent of state and federal prisoners report receiving treatment while incarcerated.

There is a positive connection between substance abuse and crime. There are two key factors in establishing long-term success in reducing recidivism among drug abusing offenders. The first one is identifying and treating drug use and other social problems among the offender population, and the other is implementing swift and certain consequences for violations of release conditions.

The ultimate goal of substance abuse treatment is to aid the individual in becoming productively functional in the family, workplace, and community. Treatment not only reduces drug use and criminal behavior, it can also improve the chances for employment and successful reentry in all areas of his or her life (Taxman, 1999).

Function and Structure of the Re-entry and Sanctions Center (RSC)

The RSC based its foundation upon the Court Services and Offender Supervision Agency's (CSOSA) success with the Assessment and Orientation Center (AOC). As part of the Washington/Baltimore High Intensity Drug Trafficking Area (HIDTA) initiative, the AOC has been operational since 1996. The establishment of the AOC is to meet the

needs of a high-risk group of offenders and defendants with long histories of substance abuse. These individuals are especially susceptible to criminal and drug use immediately after release. What makes reentry difficult for these particular individuals is that they have encountered long periods of incarceration and have little or no outside support (Reentry Policy Council, 2005).

The Urban Institute Justice Policy Center (2001) noted that when inmates coming from an extremely controlled environment such as a prison, come back into the community with little or no supervision, they are placed in a high-risk situation. Few have acquired the skills during incarceration to handle high-risk people places and things. When exposed to these risks they tend to cope with daily problems ineffectively and sometimes destructively. Studies have shown that some offenders are not capable of recognizing and handling problematic situations, increasing their stress level and impulsivity, leading to criminal outcomes.

The AOC program is a 30 day-transition program between prison and release. It is a voluntary program and offenders cannot leave the facility or have visitors. Offenders receive intensive services to prepare them for the next phase of reentry. This is either inpatient or intensive outpatient substance abuse treatment. They attend programs such as psychotherapy, goal setting, criminal cognitive restructuring, spiritual growth counseling, relapse prevention, stress management, HIV education, anger management, substance abuse education, and nutrition education (Reentry Policy Council, 2005).

References:

- Brunson, W & Knighten, P. (2004). Strategies for addressing the DWI offender: 10 promising sentencing strategies. *National Highway Traffic Safety Administration*.
- French, M. T., Sacks, S., De Leon, G., Staines, G., & McKendrick, K. (1999). Modified Therapeutic community for mentally ill chemical abusers: outcomes and costs. *Evaluation & The Health Professions*, 22, (1), 60-85.
- Hartwell, S. (2004). Triple stigma: Persons with mental illness and substance abuse problems in the criminal justice system. *Criminal Justice Policy Review*, 15, (1), 84-99.
- Lanier, J. & Wells, P. (n.d.). *CSOSA's reentry and sanctions center*. Retrieved on April 13, 2007 from, http://www.csosa.gov/reentry/rsc_crimecontrol.pdf
- Mayes, J., & Handley, S. (2005). Evolving a model for integrated treatment in a residential Setting for people with psychiatric and substance use disorders. *Psychiatric Rehabilitation Journal*, 29, (1), 59-62.
- Reentry Policy Council (2005). Report on the reentry policy council: Charting the safe and successful return of prisoners to the community. Retrieved April 13, 2007 from <http://www.reentrypolicy.org>
- Taxman, F. (2004). "Effective practices for protecting public safety through substance abuse treatment". Washington, DC: National Institute on Drug Abuse.
- Taxman, F. (1999). "Unraveling 'what works' for offenders in substance abuse treatment". *National Drug Court Review*, Vol. II, No.2, 1999.
- Urban Institute Justice Policy Center (2001). *From prison to home: The dimensions and consequences of prison reentry*. Retrieved on April 13, 2007 from

<http://www.urban.org/center/jpc/index.cfm>.

Volkow, N. D. (2006). An examination of drug treatment programs needed to ensure successful re-entry. Testimony before the subcommittee on crime, terrorism, and Homeland Security, committee on the judiciary, United States House of Representatives. *National Institute on Drug Abuse, & National Institutes of Health*.

Wilkinson, R., Stickrath, T., & Rhine, E. (2002). The Ohio plan for productive offender reentry and recidivism reduction. *Ohio Department of Rehabilitation and Correction*. Retrieved on April 13, 2007 from <http://www.drc.state.oh.us/>.

(b) Detailed description of the research method;

This researcher will analyze data for participants enrolled in the Reentry and Sanction Center (RSC) in the past 16 months, on floors 7, Transitional Intervention for Parole Supervision (TIPS) and 8, High Intensity Drug Trafficking Area (HIDTA). There will be two comparison groups. Comparison group 1 will include non-Reentry and Sanction Center participants who began supervision between April 2006 and September 2006 who have a comparable substance abuse history, and supervision failure history. Comparison group 2 will consist of pre-Reentry Sanction Center participants who began supervision between September 2005 and March 2006 that have comparable substance abuse history, and prior supervision failure history.

For each of the identified elements the following will be computed: completion rates by treatment modality, rate of continued drug use, 30, 60, and 90 days post-residential treatment discharge, and the rate of non-drug technical violations 30, 60, and 90 days following residential treatment discharge. Also, to be computed is the rate of supervision revocations that result in incarceration within 12 months following discharge from residential treatment; computations will be made for each of the three groups.

This researcher will use 30, 60, and 90 days for urine test, supervision compliance, and treatment completion because these variables tend to change rapidly as oppose to revocations, which do not occur as often.

The researcher will use Multiple Regression Analysis and Logistic Regression Analysis. Multiple Regression Analysis can predict the single dependent variable by a set of independent variables. Logistic Regression Analysis calculates the probability of success over the probability of failure.

(c) Significance of anticipated results and their contribution to the advancement of knowledge;

This research is important because it examines the life patterns of offenders whose main form of self-sustenance is usually criminal activity, which often affects the lives and safety of the community as a whole. It is assumed that inculcation of certain social skills may transform these individuals into productive citizens.

More importantly, this study would contribute to the field of psychology, by proposing creative ways to treat offenders returning to the community. It would also present a general approach to change the overall cognition and behavior of offenders. In addition, this will allow future clinical interventions to correct those shortcomings based on themes or patterns during research. This study will also add to previous studies in the area of reentry, recidivism, and offender behavior.

(d) Benefits of research and/or participation to CSOSA/PSA;

If this researcher is granted approval to conduct this study, the expected findings are that offenders who participate in the Reentry and Sanction Center upon release from incarceration will have greater treatment completion rates than non- Reentry and Sanction Center participants. They will also have lower drug and greater supervision compliance following substance abuse treatment, and will have lower recidivism rates than non-Reentry and Sanction Center participants.

The primary benefit of the study would be to fill a research and knowledge gap in the area of strategies for effective offender

rehabilitation, reintegration, and readjustment to the community following release from incarceration, as well as approaches to the minimization of recidivism. Specifically, I will attempt to identify the profile of offenders who have a greater probability of successful Reentry & Sanctions Center (RSC) completion, followed by unsuccessful post RSC contract treatment placements and greater supervision compliance.

(e) Specific resources required from the Agency;

This researcher will need Court Services and Offender Supervision Agency's (CSOSA) ORE to access data from their Tracking System and compile the analyzed dataset. DATA such as referrals, running records, violations, re-arrest, drug tests, supervision compliance, and so forth will be used.

(f) Description of all possible risks, discomforts, and benefits to individual subjects or a class of subjects, and a discussion of the likelihood that the risks and discomforts will actually occur;

There are no anticipated risks or discomforts to the individual subjects. This study will investigate the correlates of criminal behavior leading to recidivism. It involves some demographic studies of rates of incarceration as well as record-based studies of recidivism.

This will help create ways to treat offenders returning to the community. It would also present an approach to change the overall cognition and behavior of offenders. In addition, this will allow future clinical interventions to correct those shortcomings based on patterns.

(g) Description of steps taken to minimize any potential risks or discomforts;

There are no risks or discomforts.

(h) Description of physical and/or administrative procedures to be followed to: 1) ensure the security of any individually identifiable data that are being collected for the project; and 2) destroy research records or remove individual identifiers from those records when the research has been completed;

All Agency datasets will be stored on a password protected encrypted laptop IAW agency guidelines and policies. Only the CSOSA number and not individuals' names or other personal identifiers would be required.

In addition to the security system used by Court Services and Offender Supervision Agency (CSOSA) and Pre-Trial Services Agency (PSA) which includes multiple passwords, RSA secure ID numbers and firewalls, this researcher will also be using McAfee privacy service, personal firewall, and virus scan.

(i) Description of any anticipated effects of the research project on Agency programs and operations;

With referrals coming from TIPS and General Supervision via some form of assessment criteria, I believe this project will help by identifying potential enhancements to the RSC referral protocol. These enhancements will target the identification of offenders with the greatest probability of RSC and post-intervention completion and compliance.

(j) Relevant research materials such as vitae, endorsements, descriptions of similar work undertaken, sample informed consent statements, questionnaires, and interview schedules;

N/A

Warren E. Leggett, Jr. (Resume)

Objective: To use my counseling, research, and supervisory skills in an administrative capacity.

Experience: **Supervisory Probation/Parole Officer**, Court Services & Offender Supervision Agency
Washington, D.C., 3/99 to Present
* Supervise a team of eight (8) probation/parole officers, plan and conduct training program for new probation officers, clerical staff, interns and volunteers.
* Keep employees Informed of policies, procedures, and goals of management as they relate to the work of the agency.

- * Responsible for reading and reviewing reports sent out by Probation Officers for grammar and content.
- * Supervises a Probation Assistant, reviews time and attendance records and assures that needed supplies are obtained for the Unit.
- * Conduct staff meetings and individuals staff conferences.
- * Recommends promotions, observes job performance, & complete annual evaluations.
- * Receives complaints and grievances and attempts to informally resolve them.
- * Prepares regular periodic reports for appropriate agency authority, which reflects the evaluation?
- * Monitor caseload activities of Unit to ensure compliance with agency objections.

Supervisory Probation Officer/Certified Clinical Supervision,
 Court Services and Offender Supervision Agency
 Washington, D.C., 11/98 to 3/99

- * Responsible for the overall operation of the Probation & Parole Resource Center
- * Helped re-establish the Probation & Parole Resource Center as an intensive out patient treatment program.
- * Assisted new staff members in job training as a case manager.
- * Helped to establish the necessary groups to be implemented and was the liaison for outside contractors who also helped to facilitate some of the groups.
- * Conducted staffing of staff and client to assure quality performance in addition, services.
- * Supervised a probation assistance and Educational Lab Specialist.
- * Reviewed case manager reports for compliance with PPRC rules and regulations.
- Responsible for monthly statistics and monthly reports.

• **Supervisory Probation Officer/Program Coordinator**

Court Services and Offender Supervision Agency/D.C. Superior Court
 Washington, D.C., 9/96 to 11/98

- * Scheduling and supervising of seven (7) full-time and nine (9) part-time staff.
- * Collected data for monthly progress reports and quarterly reports.
- * Evaluated services provided to clients and other programs, other duties other duties included interagency networking as well as program networking.
- * Responsible for being knowledgeable of the computer system using DTMS (Drug Testing Management System), WordPerfect, Windows, and E-mail System.
- * Responsible for being knowledgeable of the Quality Control such as

Chain of Custody and Confidentiality.

- * Duties also included the monitoring of the Drug Testing Satellite Units set up at the Boot Camp, PPRC, and Urban Services.
- * Responsible for memorandum, requisitions, reports and scheduling of staff meetings as well as staff evaluations and consolidation.
- * I stayed aware of the PDTU budget in reference to HIDTA (High Intensity Drug Trafficking Area).
- * Responsible for interviewing and hiring staff for PDTU and continuously evaluating the PDTU needs for maximum performance.

Probation Officer/Case Manager (CAC II), D.C. Superior Court
Washington, D.C., 3/91 to 9/96

- * Probation Officer provides professional treatment and diagnostic services for alcohol and drug addicted adult and juvenile criminal offenders as a Certified Addiction Counselor.
- * Make complex and intricate decisions and judgments regarding diagnosis and supervision cases received in the PPRC Program.
- * Responsible for the accurate oral and written presentations of facts which have serious Parole Board impact on judicial rulings.
- * As assigned, represents the PPRC Program upon requests of groups.
- * As assigned, evaluates and identifies resources and disseminates information to staff.
- * As required, acts as official liaison in the development of smooth working relationships with cooperating agencies.
- * As required, conducts staff orientation and in-service training.
- * Also performs in a supervisory capacity in the unit.
- * Independently supervises the clients placed on probation or parole in accordance with established procedures and specific orders pertaining to the PPRC Program.
- * Supervises specialized caseloads and prepare diagnostic Probation/Parole reports in special cases as assigned.
- * Perform duties in compliance with established PPRC performance objectives.
- * In addition, assisted in initiating the proposed plan of the PPRC Program, working on a majority of the committees as well as implementing all phases of the PPRC Program.
- * I perform both clinical as well as administrative duties.

Probation Officer. D.C. Superior Court
Washington, D.C., 5/87 to 3/91

- * Probation Officer makes complex and intricate decisions and judgments regarding diagnostic and supervision cases received Social Services Division.
- * Responsible for the accurate oral and written presentations of facts which have serious impact on judicial rulings.
- * As assigned, evaluates and identifies resources and disseminate

information to staff.

- * Conducts staff orientation and in-service training.
- * Responsible for making field visits in all cases consistent with classification level or case type.
- * Performs duties in compliance with established Division and Branch performance objectives.
- * I was instrumental in implementing several juvenile rehabilitation programs.
- * I acted as the supervisory probation officer in the absence of the supervisor.

Education: **MS in Counseling**, University of the District of Columbia, Washington, DC. 2003.

BA in Political Science, North Carolina A&T State University Greensboro, N.C., 1980.

PhD in Psychology, Capella University, Minneapolis, Minn. (Pending completion of dissertation in December 2008).

Activities/ Interests:

Adjunct Professor (University of the District of Columbia)
Executive Board Member (DCCB/PADC Certification board), 1998 to Present.
Masters Addiction Counselor (MAC) 1991 to Present.
Certified Clinical Supervisor (CCS), 1992 to Present,
Acupuncture Detoxification Specialist (ADS), 1997 to Present
Member National Acupuncture Detoxification Association (NADA), 1997 to Present.
Member Chi Sigma Iota (Counseling Academic and Professional Honor Society)

- (k) **Statement indicating that copies of all deliverables will be provided to CSOSA/PSA; and**

This researcher will provide CSOSA/PSA with a copies of all deliverables associated with this study.

- (l) **Statement that copies of any datasets will be provided to CSOSA/PSA at the conclusion of the project.**

This researcher will provide CSOSA/PSA with copies of any datasets at the conclusion of this project.

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