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The Multi-Site Adult Drug Court Evaluation: Study Overview and Design

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Florida
Osceola County Drug Court—Kissimmee, FL
Volusia County Adult Drug Court Program—Deland, FL

Georgia
Fulton County Drug Court—Atlanta, Georgia
Hall County Drug Court—Gainesville, GA

Illinois
Cook County Drug Court Rehabilitation Alternative Program (R.A.P.)—Chicago, IL
Kane County Rehabilitation Court—St. Charles, IL

New York
Auburn Drug and Alcohol Treatment Court—Auburn, NY
Batavia City Drug Treatment Court—Batavia, NY
City of Niagara Falls Drug Treatment Court—Niagara Falls, NY
Finger Lakes Drug Court (Canandaigua City)—Canandaigua, NY
Finger Lakes Drug Court, Felony Division (Ontario County)—Canandaigua, NY
Lackawanna City Drug Court—Lackawanna, NY
Syracuse Community Treatment Court—Syracuse, NY
Wayne County Drug Treatment Court—Lyons, NY

Pennsylvania
Chester County Drug Court—West Chester, PA
Philadelphia Treatment Court—Philadelphia, PA

South Carolina
York County Drug Treatment Court—York, SC

Washington
CHART Court (Snohomish County)—Everett, WA
King County Drug Diversion Court—Seattle, WA
Kitsap County Adult Drug Court—Port Orchard, WA
Pierce County Felony Drug Court—Tacoma, WA
Thurston County Drug Court Program—Olympia, WA

Comparison Sites
Human Services Associates, Inc.—Orlando, FL
Stewart-Marchman Center for Chemical Independence—Daytona Beach, FL
Illinois TASC—Chicago, IL
Judicial Division 3, North Carolina Probation—NC
Judicial Division 4, North Carolina Probation—NC
Pierce County Drug Offender Sentencing Alternative and Breaking the Cycle—Tacoma, WA

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Contents

Acknowledgments i
Highlights 1
Key Features of the Multi-Site Adult Drug Court Evaluation 1
Volume 1. The Multi-Site Adult Drug Court Evaluation: Study Overview and Design 3
Chapter 1. Introduction: Study Context and Objectives 5
Overview of the Multi-Site Adult Drug Court Evaluation Final Report 5
The Emergence of Adult Drug Courts 6
Adult Drug Courts as Justice-Treatment Partnerships 7
The Federal Role 10
The Multi-Site Adult Drug Court Evaluation 11
The Research Objectives 13
The MADCE Conceptual Framework 13
Modifications to MADCE as Proposed 19
References 20
Chapter 2. Review of the Literature 23
The Drug-Crime Nexus 23
The Theory of Drug Courts 24
Procedural Justice 25
Deterrence Theory 27
Effectiveness of Drug Courts 30
Impact on Retention in Treatment 31
Impact on Criminal Involvement 31
Impact on Drug Use 33
Impact on Psychosocial Outcomes 34
For Whom Drug Courts Work 35
Isolating the Impact of Specific Drug Court Components 35
Appearances before Drug Court Judge 35
Treatment 36
Sanctions 38
Other Judicial Characteristics 38
Economic Studies 39
Conclusions 40
References 41
Chapter 3. Research Design and Data Collection and Analysis Strategy 53
MADCE Adult Drug Court Survey 53
Site Selection 54
Key Drug Court Components for Site Selection 55
Identifying and Recruiting the Drug Court and Comparison Sites 57
Description of Final Drug Court Sites and Variability along Key Drug Court Components 62
Description of Final Comparison Sites and Variability along Key Components 66
Offender Interviews 68
Instrument Design 68
Administration of Offender Interviews 74
Recruitment and Retention of Respondents 76

Oral Fluid Tests ... 78
Site Visits ... 78
Administrative Data ... 82
Administrative Data Negotiations ... 83
Acquisition and Processing of State Criminal Justice Agency Data ... 85
NCIC Criminal History Records ... 86
Cost-Benefit Data ... 88
Analytic Strategy ... 89
Process Study: Examining the Drug Court Experience ... 89
Impact Study: Testing the Outcomes and Impact of Drug Courts ... 90
Cost-Benefit Analysis ... 94
References ... 98
Chapter 4. Lessons Learned in Recruiting and Retaining Drug-Involved Offenders in Longitudinal Criminal Justice Survey Research ... 100
Study Overview ... 100
Methodological Approach ... 101
Study Enrollment and Retention ... 104
Gaining Cooperation: Strategies Contributing to Successful Recruitment in the Study ... 106
Retaining Study Participants: Strategies Contributing to High Response Rates ... 107
Implications ... 109
References ... 109
Chapter 5. Lessons Learned in Maximizing Human Subjects Protection in Data Collection for Criminal Justice Populations ... 110
Human Subjects Protection Issues for Criminal Justice Populations ... 110
Summary of the MADCE Longitudinal Interview Component ... 110
Lessons Learned in Human Subjects Protection ... 112
Lesson 1: Thorough and Periodic Interviewer Training on Real World Scenarios Is Critical ... 112
Lesson 2: Avoid Association with the Criminal Justice System as Much as Possible ... 113
Lesson 3: Study Materials Must Not Reveal the Purpose of the Study or the Respondent's Status as Criminally- or Drug-Involved ... 115
Lesson 4: Be Prepared for Common Issues that Arise when Interviewing in Correctional Institutions ... 116
Implications ... 118
Chapter 6. The Multi-Site Adult Drug Court Evaluation—Baseline Characteristics of Study Participants ... 119
Introduction ... 119
Background Characteristics of Study Participants ... 121
Family Characteristics of the People in the Study ... 123
Drug Use Patterns at Baseline ... 124
Alcohol and Drug Treatment before Program Entry ... 129
Criminal History and Patterns of Criminal Activities ... 132
Mental and Physical Health ... 134
Conclusions ... 134
Appendix A. Survey Item Catalog ... 136
Appendix B. Core Administrative Data Elements ... 259

Multi-Site Adult Drug Court Evaluation 260
Criminal History Information Request Details 260
OVERVIEW 260
DATA LIST 260
Appendix C. NIBRS Offense Structure 262
NIBRS Crime Classifications (plus Traffic Violations) 263
Appendix D. Constructing the Net Benefits Variable 264
Constructing the Net Benefits Variable 265
Social Productivity 265
Criminal Justice 271
Crime and Victimization 277
Service Use 279
Financial Support Use 283
References 285
About the Authors 287
Editors 287
Authors 288

Figures

Figure 1-1.1. Elements of the Temple University Conceptual Framework 14
Figure 1-1.2. Elements of the RAND Conceptual Framework 15
Figure 1-1.3. NIJ's Multi-Site Adult Drug Court Evaluation Conceptual Framework 16
Figure 1-1.4. Final Drug Court Clusters and Comparison Sites Included 20
Figure 1-4.1. MADCE Interview Schedule 101
Figure 1-4.2. MADCE Methodological Features 103
Figure 1-4.3. Response Rates and Cases Interviewed at Each Interview Wave 105
Figure 1-4.4. Disposition of Cases by Interview Wave 105
Figure 1-6.1 Drug Use History 126
Figure 1-6.2 Primary Drug of Choice Before Program Entry 130

Tables

Table 1-3.1. Drug Court Site Configurations 56
Table 1-3.2. Total Number of Drug Courts by Leverage and Sanction Scores 56
Table 1-3.3. Comparison Site Configurations 57
Table 1-3.4. List of MADCE Drug Court and Comparison Sites when Data Collection Began in March 2005 60
Table 1-3.5. Final List of MADCE Drug Court and Comparison Sites Included in Study 61
Table 1-3.6. Final Drug Court Sites by Leverage and Predictability of Sanction Scores 63
Table 1-3.7. Brief Description of Drug Court Sites 64
Table 1-3.8. Comparison Group Configurations 68
Table 1-3.9. Domains and Constructs Covered in Interview 70
Table 1-3.10. Study Enrollment and Response Rates, by Site: Baseline Interviews 79
Table 1-3.11. Study Enrollment and Response Rates, by Site: Six-Month Follow-up Interviews80
Table 1-3.12. Study Enrollment and Response Rates, by Site: Eighteen-Month Follow-up Interviews 81
Table 1-3.13. Components of Net Benefits 97

Table 1-5.1. Number and Proportion of the MADCE Sample Who Were Incarcerated or Under Community Supervision, by Interview Wave..... 112
Table 1-6.1. Baseline Background Characteristics of Sample Members by Research Group.... 122
Table 1-6.2. Baseline Family Characteristics of Sample Members by Research Group..... 124
Table 1-6.3. Drug Use Six Months before Program Entry by Research Group 128
Table 1-6.4. Baseline Drug or Alcohol Treatment before Program Entry for Sample Members by Research Group..... 131
Table 1-6.5. Baseline Criminal History and Activities of Sample Members by Research Group 133
Table 1-6.6. Baseline Mental and Physical Health of Sample Members by Research Group.... 134

Highlights

Key Features of the Multi-Site Adult Drug Court Evaluation

The Justice Policy Center at the Urban Institute, RTI International, and the Center for Court Innovation conducted a multi-year, process, impact, and cost-benefit evaluation of drug court impact funded by the National Institute of Justice (NIJ). The objectives of NIJ's *Multi-Site Adult Drug Court Evaluation* (*MADCE*) were to evaluate the effects of drug courts on substance use, crime, and other outcomes, and to illuminate which policies and practices, and which offender attitudes, are responsible for any positive effects that were detected.

Portrait of Adult Drug Courts. A web-based survey of drug courts that primarily served adult clients and had been operational at least one year was conducted between February and June 2004 to develop a portrait of drug courts, and to identify variation across key participant and program domains. Of 593 drug courts that met those criteria, 380 (64 percent) completed the Adult Drug Court Survey.

Process, Impact, and Cost-Benefit Components. The MADCE study tests a series of theoretically-grounded hypotheses on drug court participants and comparison group subjects across 23 drug courts, and 6 comparison sites. NIJ's evaluation: (1) tests the hypothesis that drug court participants have lower rates of drug use and criminal activity and show improved functioning compared to similar offenders not offered drug court; (2) tests the effects of variation in drug courts on the outcomes of participants; and (3) assesses drug court costs and benefits. Impact analyses incorporate a multi-level framework. Specifically, individual-level outcomes are modeled as a function of drug court status (drug court or comparison site); exposure to various court policies (e.g., treatment, judicial status hearings, drug testing, and case management), and offender attitudes (e.g., perceptions of the judge, perceived consequences of noncompliance, and motivation to change), while controlling for personal and community characteristics on which the 1,781 offenders and 29 sites may differ.

Findings from the Adult Drug Court Survey guided the selection of adult drug courts, and comparison sites, which were chosen to ensure variation in eligibility criteria, program requirements, community settings, and treatment and testing practices. *MADCE drug courts* included two courts in Florida, two courts in Illinois, two courts in Georgia, eight courts in New York, two courts in Pennsylvania, one court in South Carolina, and six courts in Washington. *Comparison sites* included two sites in Florida, one site in Illinois, two sites in North Carolina, and one site in Washington. Site visits were conducted to each location from mid-year 2004 through early 2005, and again in the spring of 2006, to review program operations, hold semi-structured interviews with key stakeholders, and perform structured court observations.

Study participants were recruited using a rolling enrollment from March 2005 through June 2006. Three waves of participant surveys were administered using Computer Assisted Personal Interview (CAPI) technology, and Buccal Swab Oral Fluids drug tests were collected at the third survey wave from consenting non-incarcerated participants, as shown below:

Survey and Oral Sample Data Collection and Response Rates

	Dates of Survey Administration	Drug Court Group	Comparison Group	Total Number
Baseline Interviews	March 2005 – June 2006	1,157	627	1,784
6-Month Interviews	August 2005 – December 2006	1,012	528	1,540 (86% of baseline sample)
18-Month Interview	September 2006 – January 2008	952	525	1477 (83% of baseline sample)
18-Month Oral fluids Samples	September 2006 – January 2008	764	383	1147 (95% of non-incarcerated, 18- month sample)

Additional data were obtained from administrative records from the National Crime Information Center at the Federal Bureau of Investigation and state-level databases to capture recidivism at 24 months following baseline.

Design Strengths. Overall, the MADCE research approach has a number of strengths. First, the study was theory-driven based on a conceptual framework spelling out the linkages between drug courts strategies and individual behavior change. Second, the size of the pooled sample and the collection of both offender data and process evaluation data from courts allowed us to open the "black box" of effective drug court practices far beyond past studies of individual drug courts. Third, although quasi-experimental, the MADCE design affords many benefits that a traditional experimental study could not provide. Since we did not require courts to be large enough to generate potentially eligible drug court participants to populate both treatment and control samples, we were able to include small- to medium-sized courts, as well as large courts, the latter of which had already been the subject of a sizable number of drug court studies. The results of this diverse range of community contexts are likely to yield more generalizable results than those from courts in only the largest urban centers. Fourth, by including courts that vary in size, we likely increased the breadth of variation in drug court practices that we were able to study, beyond what would have been possible in the limited number of sites that might have supported a randomized experiment. Lastly, we ultimately were able to include many more drug courts—23 in total—than was originally planned given our ability to geographically cluster sites and pool data across sites.

Given the MADCE quasi-experimental design, however, we had to address three important threats to validity when implementing the impact study: (1) selection bias, (2) attrition bias, and (3) clustering of outcomes within sites. The first two problems—selection and attrition—were handled simultaneously with *propensity score modeling* and a strategy that we refer to as *super weighting*. The third problem—site-level clustering—was handled with *hierarchical modeling*.

Volume 1. The Multi-Site Adult Drug Court Evaluation: Study Overview and Design

This volume identifies the context and goals of NIJ's evaluation. In addition to discussing the key components of drug courts, we present a brief history of their evolution and the federal initiative that not only spurred the growth of the movement, but also gave rise to the MADCE. Also, we identify the conceptual framework developed to guide the MADCE research.

In the second chapter, we provide a comprehensive review of the literature that covers drug court theory, including the relevance of both procedural justice and deterrence theory. We also address the literature on effectiveness of drug courts with respect to retention in treatment, reduction in drug use and criminal activities, and other psychosocial benefits, as well as what is known about for whom drug courts work and the impact of specific drug court elements (such as judicial characteristics, treatment, sanctions) on outcomes. Lastly, we summarize economic studies as a background for the MADCE cost-benefit analyses.

Chapter 3 presents a detailed discussion of the design, data sources, and analytic strategy employed for this study. We cover the web-based Phase 1 Adult Drug Court Survey that was conducted during the planning period and detailed in Volume 2 of this report. We provide an explanation of: how treatment and comparison sites were selected, the design of the individual survey for drug court participants and comparison group members, the collection of oral specimens to validate self-reported sobriety/drug use, and the administrative records used to augment the criminal histories reported during individual interviews. Additionally, we delineate the MADCE analytic strategy in broad terms, with the intent to provide additional details in other volumes, where relevant to particular findings. The exception is our cost-benefit approach for which a detailed technical appendix is provided in this volume.

Lastly, we have included three chapters that together describe the baseline characteristics of the offender sample, as well as lessons learned in ensuring high response rates and human subjects' protections for such populations:

- **Lessons Learned in Recruiting and Retaining Drug- and Criminal Justice System-Involved Offenders in Longitudinal Survey Research** describes the methodology used in the MADCE longitudinal offender interview component, highlighting the strategies found to be particularly effective in recruiting participants into the study and retaining them throughout the 18-month follow-up period. In the MADCE, 85 percent of the baseline sample was successfully interviewed at the 6-month follow-up period, and 83 percent was successfully interviewed at the 18-month follow-up. These high rates were achieved by employing professional field interviewers who were well-trained and closely supervised, and by sharing their successful techniques among the field team. Key techniques included planning ahead for future locating by strategic questioning of respondents, engaging in mid-wave contact, offering "call-in" bonuses, utilizing helpful public records, and maintaining continuity of interview assignments.

- **Lessons Learned from the Multi-Site Adult Drug Court Evaluation in Maximizing Human Subjects Protection in Data Collection Among Criminal Justice-Involved Populations** discusses challenges to maintaining human subjects' protection when interviewing prisoners and other individuals under criminal justice supervision. Among the key lessons learned are the need to thoroughly train interviewers (and hold periodic refresher trainings) on real-world circumstances, conduct the research as independently as feasible from the criminal justice system, and be proactive in preparing for common issues that occur when interviewing individuals in institutional facilities.

- **The Multi-Site Adult Drug Court Evaluation—Baseline Characteristics of Study Participants** provides information about the characteristics of the sample when they enrolled in the study. The chapter explores the comparability of characteristics between the drug court and comparison group members, illustrating that the sample members have extensive criminal histories, substance abuse histories, histories of mental health problems, and relationships with both family and friends who also have used drugs and been involved in the criminal justice system. Lastly, the discussion identifies a number of statistically significant differences between drug court participants and the comparison group found across several important dimensions.

Chapter 1. Introduction: Study Context and Objectives

Shelli B. Rossman

Overview of the Multi-Site Adult Drug Court Evaluation Final Report

Beginning in 2003, the Justice Policy Center at the Urban Institute (UI-JPC) partnered with RTI International (RTI) and the Center for Court Innovation (CCI) to conduct the *Multi-Site Adult Drug Court Evaluation (MADCE)* funded by the National Institute of Justice (NIJ). The main objectives of this project were to evaluate the effect of drug courts compared to other criminal justice responses for individuals with substance use issues, and to examine the effect of different drug court practices and key components on participant outcomes. The project was structured in two phases. During the first phase, the research team undertook a one-year planning process in which we developed instruments and data collection protocols, as well as conducted a national web-based survey both to develop a countrywide picture of adult drug courts, and to complete site selection. The second phase entailed three major components focused on performing process, impact, and cost-benefit evaluations.

Findings from the MADCE study are presented in the Executive Summary and four volumes detailing the research activities and findings. This Volume (Volume 1) begins by identifying the context, goals, and conceptual framework for the MADCE. Other topics covered in this Volume are a review of the literature, discussion of the research design and data collection strategy, and three chapters that describe lessons learned about retaining and protecting research subjects and the characteristics of the study participants at baseline.

Volume 2 presents a portrait of adult drug courts that had been in operation for at least one year[1] as of February 2004, when we undertook the MADCE Adult Drug Court Survey. The Volume provides descriptive information about adult drug court program characteristics and operations, and how these characteristics and operations relate to one another. Volume 2 also details how characteristics and operations can be combined to classify courts across several dimensions at one time to identify various profiles of courts around the country. In addition, it includes an analysis of the extent to which drug courts implement best practice recommendations from a decade ago.

Volume 3 contains a compilation of five chapters that describe various aspects of the drug courts, including descriptions of (1) the programs that participated in the MADCE, (2) drug court supervision, (3) treatment in adult drug courts, (4) participant attitudes about their experiences, and (5) program retention rates.

Results from the impact and cost benefit analyses are described in Volume 4. The Volume presents findings on drug use, criminal involvement, and psychosocial impacts. It also describes

[1] The one-year timeframe was selected to ensure that the subsequent impact evaluation would include court programs that had been in operation for a minimum of two years, as required by NIJ.

how drug courts work to generate such results, the relationship between service dosage and outcomes, and economic analyses of drug court effectiveness.

The Emergence of Adult Drug Courts

In the 1980s, crime and violence associated with illegal drug use, particularly the epidemic of crack cocaine, had an enormous effect on the criminal justice system: penalties for drug possession and sales were toughened, and drug offenders were arrested and prosecuted in unprecedented numbers. The enormity of the problem encouraged a variety of innovative responses within the justice system. Some courts, for example, tried responding to rapidly growing caseloads by implementing specialized court dockets—"rocket dockets"—to expedite case processing. However, such responses did little to address underlying substance use issues, co-occurring mental health disorders, or the repeated cycling of drug-abusing offenders through the court system.

In keeping with burgeoning evidence of the effectiveness of treatment, other judicial responses emerged to treat drug- and alcohol-abusing offenders in the community with criminal justice system oversight. One of the first widespread interventions—Treatment Accountability for Safer Communities (TASC), originally called Treatment Alternatives to Street Crime—redirected drug offenders from the court system into treatment facilities. TASC linked the judicial system with treatment services, offering participation incentives in the form of case dismissal for successful completion of treatment regimens (Nolan 2001). Similarly, another strategy—Intensive Supervision Probation (ISP)—was developed in the late 1980s to monitor drug offenders in the community, as an alternative to incarceration, with the twin goals of reducing prison crowding and providing more thorough supervision than regular probation (Tonry 1990).

Unlike those interventions, drug treatment courts (or, simply, drug courts) essentially emerged as a grassroots movement from a model implemented in June 1989 as a partnership among the Court, the State Attorney's Office, and the Public Defender's Office in Miami-Dade County, FL, to deal with drug-related crimes and drug-using offenders by offering court-monitored drug treatment to reduce both defendants' drug use and the constant recycling of such offenders through the court system. Subsequently, other jurisdictions began handling their drug-related crimes in a similar fashion.

Adult Drug Courts as Justice-Treatment Partnerships

Virtually, all adult drug courts are community-justice partnerships that include public agencies and community organizations such as drug treatment and social services providers. Generally speaking, drug courts have implemented deferred prosecution or post-adjudication case-processing approaches, or have blended both in their organizational structures.[2] In drug courts using deferred prosecution, defendants waive rights to a speedy trial and enter a treatment program shortly after being charged; those who subsequently fail to complete the treatment program have their charges adjudicated, while those who complete the program are not prosecuted further, or have their charges dismissed. In the post-adjudication model, defendants are tried and convicted, but either have deferred sentences or suspensions of incarceration until they complete or withdraw from the program. The first approach offers individuals the opportunity to obtain treatment and avoid the possibility of a felony conviction, while the second provides a rehabilitation incentive because treatment progress is factored into the sentencing determination (General Accounting Office 1995).

Drug court participants attend regularly held judicial status hearings or court sessions, receive access to comprehensive treatment services (including substance abuse treatment, as well as other services such as employment assistance, physical or mental health care, and family services), participate in frequent drug testing, and receive sanctions for behavioral infractions, or conversely, incentives for achievements. The courtroom experience, including the interaction between the judge and the participant, the public aspect of being sanctioned or incentivized, and the collaborative approach among the "key stakeholders" (including prosecution and defense) are thought to be essential to drug courts.

THE DRUG COURT MODEL

In 1997, the Office of Justice Programs and the National Association of Drug Court Professionals described ten basic elements of drug courts, including:

1. Integration of alcohol and drug treatment with justice system case processing.
2. Use of a non-adversarial approach through which prosecution and defense promote public safety, while protecting defendants' rights to due process.
3. Early identification and prompt placement of eligible participants in the program.
4. Access to a continuum of treatment, rehabilitation, and related services.
5. Frequent alcohol and drug testing.
6. A coordinated strategy among the judge, prosecution, defense, and treatment providers to oversee participants' compliance.
7. Ongoing judicial interaction with each participant.
8. Monitoring and evaluation to measure achievement of program goals and gauge effectiveness.
9. Continuing interdisciplinary education to promote effective planning, implementation, and program operations.
10. Partnerships with public agencies and community-based organizations to support effectiveness.

[2] Also, some drug courts have opened enrollment to probation or parole violators, or have used the court as a reentry program for those returning from jail or prison.

Drug courts differ from conventional court case processing in a number of fundamental ways (Berman and Feinblatt 2005; Casey and Rottman 2003; Farole, Puffett, et al. 2005; Office of Justice Programs and National Association of Drug Court Professionals 1997):

1) Participation is voluntary.

2) A non-adversarial, problem-solving focus.

3) Integration of treatment services that ideally represent a continuum of outpatient and residential treatment, as well as support groups, with treatment assignment and frequency of attendance depending on participants' particular needs.

4) Intensive supervision of the treatment process by judges and case managers.

5) Direct conversational interaction between defendants and the judge during frequent status hearings.

6) Graduated sanctions, such as more frequent court appearances or increased drug testing, are used to monitor compliance and respond to problems.

7) Routine drug testing.

8) A team approach to decision-making.

9) Incentives are used to motivate and acknowledge accomplishments.

Essentially, drug courts incorporate behavior modification principles from psychology—escalating legal sanctions for noncompliance and incentives for compliance—to induce good behavior and positive outcomes from drug-involved offenders (see Marlowe and Kirby 1999).

While drug courts share a general approach, often predicated on key components identified by the Office of Justice Programs and the National Association of Drug Court Professionals (1997), precise policies and practices vary across several interconnected domains, including the community context, characteristics of offenders, and court management and operations. Community characteristics—local crime rates, drug markets, unemployment levels, housing availability, social norms, and access to treatment and supportive social services—affect both the behavior of program participants and court decision making.

Participant characteristics—demographic profile, criminal history, substance abuse severity, and family functioning—create variation in recidivism risk and treatment needs. Drug Courts typically serve targeted populations of non-violent offenders with substance abuse histories. Despite the pervasiveness of the drug treatment court model, drug courts routinely exclude most of the eligible population; many simply do not have the capacity to serve the number of offenders who meet the eligibility criteria to be in the program (see Volume 2 of this report). Few drug courts accept clients with any prior violent convictions. Individuals who are drug dependent, but facing charges of misdemeanor or felony sales are excluded from the majority of

drug courts. Other charges that routinely lead to exclusion include: property crimes commonly associated with drug use (theft, fraud, prostitution), young offenders with marijuana charges, and current domestic violence cases. Many of the adult drug treatment courts also reject offenders with co-occurring disorders or those who present with drug problems deemed too serious for the program to handle, while others reject arrestees whose problems are not sufficiently severe to warrant the use of limited resources. A 2005 Government Accountability Office review found that participants were generally in their early thirties, male, and unemployed upon program entry; however, these characteristics were not uniform across the programs reviewed. For example, the average age at program entry ranged from 24 to 36 years, the percentage of respondents who were male ranged from 46 percent to 88 percent, and the percent of participants who were employed at program entry ranged from 16 percent to 82 percent (GAO 2005).

Drug court characteristics vary across a number of other dimensions, as well, including (but not limited to) such critical factors as: court size; reliance on systematic screening and assessment tools to determine eligibility; clients' entry points into the court program; the nature, duration, and intensity of treatment; monitoring and accountability; the courtroom supervision style of the judge;[3] and the nature and extent of their funding.[4] For example, our 2004 MADCE Adult Drug Court Survey found (see Volume 2 of this report):

- 91 percent of the responding drug courts required participants to sign contracts agreeing to program rules; 57 percent also required participants to agree to compliance with treatment providers' program rules. Nearly two-thirds (63 percent) of these courts required clients to sign contracts waiving their rights in court, and 47 percent had clients sign contracts agreeing to accept alternative sentences if they failed to complete the drug court program (despite the fact that 80 percent of the courts reported no established minimum alternative sentence, and 73 percent reported no established maximum alternative sentence—so ostensibly, participants were agreeing to the alternative in the event of non-compliance, without knowing what that might entail). Twenty-eight percent require clients to sign contracts with all four requirements.

- While 4 percent of responding courts required no minimum time from program entrance to completion, 80 percent required a minimum of at least 12 to 18 months before graduation; 61 percent required a minimum of 12 months of drug court participation, but there was so little variation that the average minimum time required before graduation was 13 months.

Referral to additional services and support (e.g., Alcoholics Anonymous), use of graduated versus case-by-case sanctions, and the nature and frequency of drug testing are not consistent across all programs. Also, graduation requirements vary; some programs require participants to

[3] That is, direct conversation and eye contact between judges and participants are hypothesized both to contribute to the belief that judges care about progress, and to affect treatment participation. In fact, judicial encouragement may be the primary incentive used by drug courts, made tangible in recognition ceremonies and token gifts (see Satel 1998). Nonetheless, because the drug court model also emphasizes the importance of sanctioning non-compliant behavior, different courts and judges strike widely varying balances between positive and negative reinforcement.

[4] Drug courts often merge funding from a variety of sources, including federal grants, local taxes and surcharges, state alcohol and drug agency funds, private foundation monies, and participant fees (GAO 1995).

meet conditions in addition to completing treatment, such as a set period of abstinence from substance use or complete payment of fees or restitution.

The Federal Role

Nearly three dozen drug courts emerged prior to the passage of Title V of the Violent Crime Control and Law Enforcement Act of 1994 (Public Law 103-322)—also known as the 1994 Crime Act—that authorized the Attorney General to award and administer discretionary grants to states, local governments, Indian tribal governments, and state or local courts to plan, implement, or enhance drug courts in which judges continuously supervised the progress of nonviolent offenders with substance abuse problems.[5] The court programs were expected to incorporate both treatment services and judicial sanctions for noncompliance. In addition, the Act specifically required drug courts to include (1) mandatory testing for the use of prohibited substances; (2) diversion, probation, or other supervised releases with the possibility of prosecution, confinement, or incarceration for failure to demonstrate adequate progress or to complete program requirements; and (3) ancillary services, such as relapse prevention, health care, education, vocational training, job placement, housing assistance, and child care assistance (GAO 1995). The grants could not be used by courts solely for the purpose of expediting case processing of drug crimes, nor could they be used for programs that permitted violent offenders[6] to participate (GAO 1995).

The 1994 Crime Act also authorized the Attorney General to provide for a national evaluation of the impact and effectiveness of the federal grants. The National Institute of Justice (NIJ) within the Department of Justice's (DOJ's) Office of Justice Programs (OJP) was charged with administering (1) the national impact evaluation and (2) ensuring that federally-funded drug court programs used part of their grants to conduct process evaluations to determine whether programs achieved stated objectives and how drug courts affected the rest of the court system and other elements of the criminal justice system (GAO 1995). Also, OJP established the Drug Court Program Office (DCPO) to administer the federal implementation grants (National Institute of Justice 1997).

While a number of evaluations of individual drug court programs had been performed, no national impact evaluation had been conducted as of late 1997 when NIJ issued a solicitation for a two-phase project (NIJ 1997). In 1998, RAND was awarded the grant to (1) develop a conceptual framework for evaluating the 14 drug courts[7] that received initial DCPO implementation and enhancement funding, (2) describe the courts' implementation processes, (3)

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[5] Until the 1994 Crime Act, there was no federal grant program specifically designed for drug courts. However, some drug court programs received funding or technical assistance from the Bureau of Justice Assistance (BJA) or Department of Health and Human Services' Center for Substance Abuse Treatment (CSAT).

[6] Violent offenders are defined as persons charged with, or convicted of, offenses involving a firearm, dangerous weapon, death, serious bodily injury, or force; or persons who have one or more prior convictions for a violent felony crime.

[7] The initial 14 grantees included: Tuscaloosa County Commission and University of Alabama-Birmingham, Alabama; Riverside, Sacramento, and Santa Barbara Counties, California; Hillsborough County (Tampa), Florida; Fulton County (Atlanta), Georgia; Kankakee and Cook Counties, Illinois; Douglas County (Omaha), Nebraska; New York State Unified Court System-Brooklyn; Mental Health and Anti-Addiction Services (San Juan), Puerto Rico; Virginia Supreme Court (Roanoke), Virginia; and Spokane County, Washington (GAO, 2002).

determine the feasibility of including these court programs in an impact evaluation, and (4) develop a suitable impact evaluation design that included post-program results. The first phase was completed, but NIJ elected not to proceed with the second phase impact evaluation when the first phase ended without agreement on a viable design strategy (General Accounting Office 2002).

Subsequently, in October 2002, NIJ, in cooperation with the DCPO, requested proposals for the *National Drug Court Evaluation Multi-Site Longitudinal Impact Study* (NIJ 2002). The study—subsequently renamed ***NIJ's Multi-Site Adult Drug Court Evaluation***—was intended to conduct offender-based, longitudinal research to evaluate the impact of drug court participation on post-program outcomes, specifically, recidivism. Researchers were expected to:

- Develop a sample of up to ten adult drug courts, selected from among courts that had received DCPO funding and were operational for at least two years at the time evaluation data collection commenced.

- Select drug court programs that displayed variations in: geographic location; the size of the courts' caseloads; the courts' strategy in implementing a diversion or post-conviction program; and participants' characteristics, particularly those related to substance use and crime.

- Use an experimental or quasi-experimental design with a valid comparison group.

- Follow study participants through their entire drug court experience (i.e., graduation or termination) and for one year thereafter; and track the comparison group for a similar timeframe.

- Perform process, impact, and cost-benefit analyses using qualitative and quantitative primary data (e.g., interviews with offenders and drug court stakeholders) and secondary data (e.g., program records, criminal justice administrative records).

NIJ planned to have the work proceed in two phases. The first phase was conceptualized as an implementation and planning effort, during which sites would be selected. The second phase would entail the conduct of process, impact, and cost-benefit research.

The Multi-Site Adult Drug Court Evaluation

UI-JPC, RTI, and CCI formed a partnership to respond to that solicitation. Our response, submitted February 2003, proposed to study a sample of drug court participants from a diverse set of drug courts, selected purposively to achieve variation in eligibility criteria, substance use patterns, program requirements, community settings, and treatment and testing practices. We anticipated conducting a nationwide survey of adult drug courts during the first year of the project, which constituted the phase 1 planning period, to identify variation in operations and context, and to guide the selection of approximately 14 drug courts. We also planned to select four to six comparison courts based on a number of criteria, including not having a drug court

program, while having the ability to produce a sufficient number of offenders who met the standard drug court eligibility criteria.

Our intent was to sample a total 1400 drug court participants and 600 comparison group subjects similar to the drug court participants across a number of domains (e.g., substance abuse and criminal history, demographics). We expected to conduct multi-level analyses by pooling the samples across courts to examine (1) individual-level outcomes as a function of exposure to treatment, legal leverage, and supervision, controlling for personal and community characteristics, and (2) court-level outcomes as a function of drug court practices and community characteristics, controlling for differences in the offender population.

We viewed this approach as having a number of advantages over the traditional approach. We anticipated being able to (1) include diverse, small- to medium-sized, often understudied drug courts (which would likely yield more generalizable results, since most drug courts are not as large as those typically evaluated up to that point); (2) ultimately evaluate more courts (i.e., 14, rather than the 10 required by the RFP); (3) recruit a sufficient number of treatment subjects via the group design by pooling observations across sites; and (4) isolate an adequate comparison group from comparable jurisdictions without a drug court in place. In our view, the planned approach would provide an overall estimate of the effects of drug court and an understanding of factors that affect various individual- and system-level outcomes.

We selected a quasi-experimental design because we perceived that the number of settings in which random assignment experiments could be implemented would be narrow, unlikely to represent the breadth of variation in drug court practices, and limit the potential for pooling subjects from multiple courts. This approach also expanded the pool of potentially eligible drug courts beyond large urban drug courts, many of which had already been the subject of study, by including drug courts from smaller jurisdictions with smaller annual participant flows and by not requiring that each site have sufficient flow of non-participants for the comparison group. However, we recognized that it would be necessary both to screen comparison subjects carefully to ensure comparability and to use statistical techniques to control for unmeasured differences. We planned to measure outcomes (e.g., reductions in drug use and criminal activity, improvements in health and employment) consistently over standard time periods for all subjects.

The proposed design was theory-driven by a conceptual framework that spelled out the linkages between drug court strategies and individual behavior change by measuring interim outcomes including treatment entry, retention, and changes in motivation. The framework, detailed below, augmented the dimensions suggested by earlier studies (Goldkamp, White, and Robinson 2001; Longshore, Turner, et al. 2001), and greatly expanded the measures of intermediate outcomes to explain how these dimensions affect the behavior and cognitions of participants. Our goal was to develop findings that could guide future drug court implementation.

The Research Objectives

The objectives of the MADCE research are to:

- Test whether drug courts reduce drug use, crime, and multiple other problems associated with drug abuse, in comparison with similar offenders not exposed to drug courts;
- Isolate key individual and program factors that make drug courts more or less effective in achieving their desired outcomes (answering for whom and how drug courts work);
- Explain how offender attitudes and opinions change when they are exposed to drug courts and how these changes help to explain the effectiveness of drug court programs; and
- Examine whether drug courts generate cost savings for the criminal justice system and other public institutions.

The MADCE Conceptual Framework

The conceptual framework designed for the MADCE research allows one to better understand the impact of drug courts by linking drug court practices to outcomes that might produce the desired reduction in drug use and crime. Prior to the MADCE projects, frameworks for evaluating drug courts had been proposed by Temple University (Goldkamp et al. 2001) and RAND (Longshore et al. 2001).

The Temple University framework, shown in Figure 1-1.1, is particularly helpful in identifying contextual and court management practices that need to be considered and areas in which drug courts differ. However, it offers only a very limited theoretical perspective to understand the mechanisms by which drug courts affect behavior change. The RAND framework, shown in Figure 1-1.2, takes an important step towards a theoretically-grounded evaluation framework by grouping drug court practices into categories that, with the development of a more comprehensive list of indicators, can be used to measure court variations expected to affect outcomes. However, the framework includes drug court intervention practices (e.g., use of leverage), with participant characteristics (type and severity of drug use), and interim outcomes (perceptions of predictability). We believed that these concepts needed to be ordered and linked by hypotheses based on theories of behavior change to offender perceptions and behavior during and following drug court.

The MADCE conceptual framework builds on these two models by hypothesizing causal linkages to be tested in NIJ's evaluation (see Figure 1-1.3). While many prior drug court evaluations relied on recidivism as the sole measure of impact, despite the centrality of the goal of reducing drug use, MADCE was planned to measure multiple outcomes following the period of drug court completion as shown in the far right column, based on information self-reported by subjects, and supplemented and validated by criminal records and drug testing.

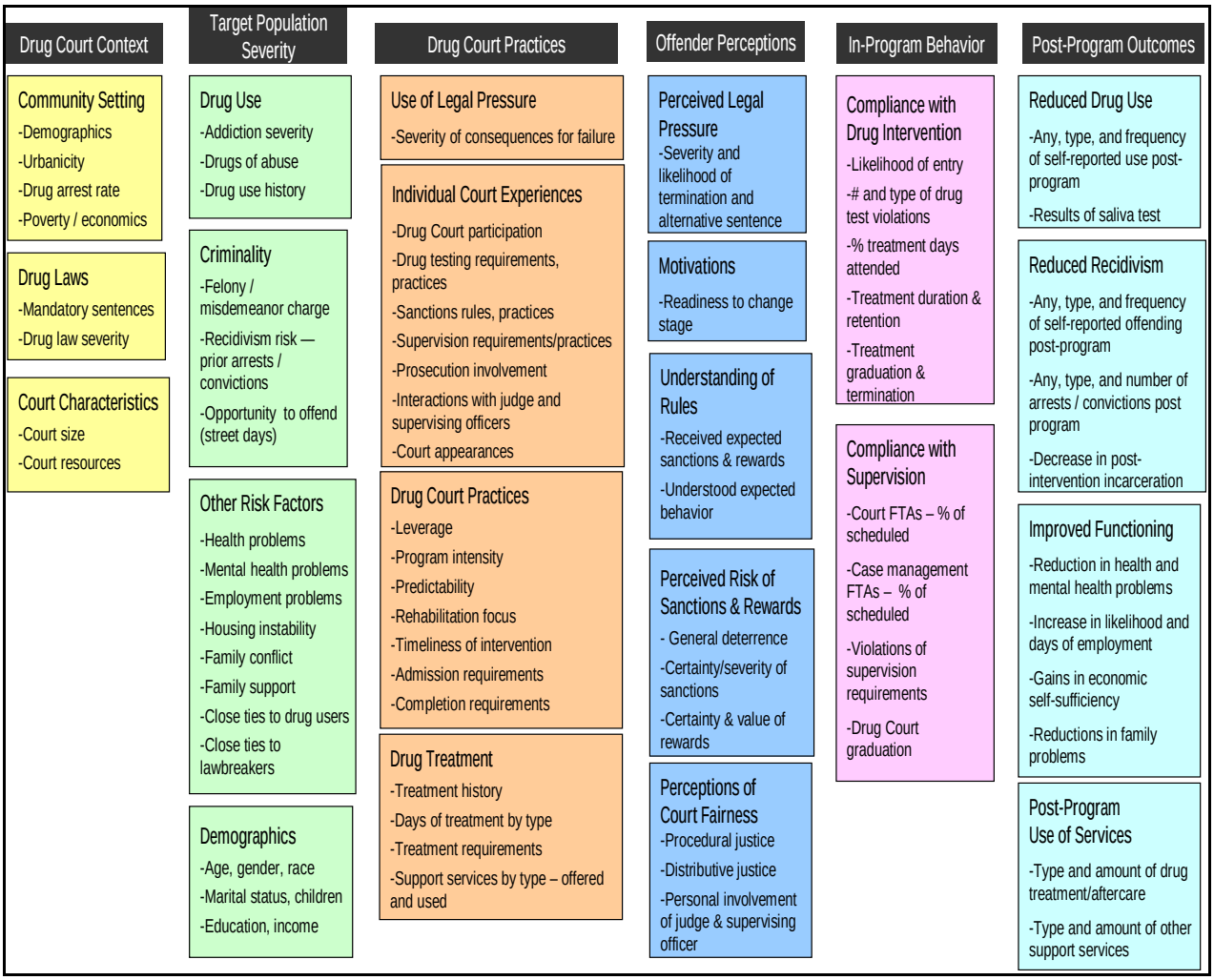
Figure 1-1.1. Elements of the Temple University Conceptual Framework

Dimensions of Program Structure and Process	Indicators (Examples)
1. Target Problem	• Specific drug-crime problem program addresses — e.g., AOD related crime, homelessness and heroin addiction, property crime. • Problem that led to creation of drug court.
2. Target Population	• Type of client focused on by drug court — e.g., felony defendants, probation or parole revokees, etc.
3. Court Processing Focus & Adaptations	• Stage of court processing at which drug court intervention is offered to defendants — diversion, post-conviction, probation/parole and revocation?
4. Identification, Screening, and Evaluation of Candidates – Reaching the Target	• Criteria/procedures used to locate and enroll clients. • Use of clinical assessments to evaluate substance abuse involvement of potential program clients.
5. Structure and Content of Treatment	• Treatment programs associated with drug court. • Range of options for treatment, substantive services provided, as well as types of supporting services. • Program phases, graduation requirements, means of funding treatment services. • Courtroom dynamics, as observed.
6. Responses to Performance — Participant Accountability	• How program rewards positive achievements in treatment versus poor performance or non-compliance.
7. Extent of System-Wide Support for Program	• Political, financial, and bureaucratic support and/or participation by criminal justice actors and non-justice system agencies (health, treatment, social services).

Figure 1-1.2. Elements of the RAND Conceptual Framework

Dimensions of Program Structure and Process	Indicators (Examples)
1. Leverage	• Percent of pre-plea vs. post-plea participants • Perceived aversiveness of discharge
2. Population Severity	• Severity of drug use • Severity of criminal involvement (current charge and prior charges)
3. Program Intensity	• Required frequency of urine testing • Required frequency of court appearances • Required hours of treatment
4. Predictability	• Consistency of rewards and sanctions • Conformance of rewards/sanctions with protocol • Time elapses between noncompliance and response • Perceived predictability
5. Rehabilitation Emphasis	• Collaborative decision-making • Attention to multiple needs • Flexibility in procedure • Re-entry • Drug court dynamics (observed)

Figure 1-1.3. NIJ's Multi-Site Adult Drug Court Evaluation Conceptual Framework



Post-program outcomes are hypothesized to result from the behavior of offenders while under supervision of the court and, in particular, their participation in drug treatment and compliance with drug court supervision (shown in the second column from the right). We planned to differentiate between drug test non-compliance (missed or tampered tests) and tests that were positive, on the grounds that recovery may entail many slips with better outcomes expected for those who comply.

The addition of measurement of offender response is an important clarification to existing frameworks (third column from the right). Participant perceptions and responses to court practices are hypothesized to be the process that leads to behavior change, but have not been directly examined by prior evaluations. Drug court strategies combine coercion and persuasion with the goal of encouraging treatment participation and reduction in substance use; drug treatment is expected to move clients to abstinence by increasing internal motivations to become drug free. We anticipated examining the effects of drug court operations on these perceptions.

To clarify the effects of court coercion and persuasion, we intended to test the hypothesis that offenders who rate the consequences of program termination to be more severe and more likely to occur will be more likely to enter and stay in drug treatment and comply with drug court requirements. Similarly, those with higher ratings of sanction likelihood and severity are more likely to comply with court requirements, as are those with higher ratings of the likelihood and attractiveness of rewards. These hypotheses are supported by deterrence theory (Nagin 1998, Nagin and Pogarsky 2001, Paternoster 1987) and social learning studies that indicate aversion to negative reinforcement and punishment (Marlowe and Kirby 1999). In general, such studies have found that rewards and positive reinforcement are more powerful influences on behavior and that certainty of sanction is often more important than severity, given a minimum severity threshold. We also planned to test the hypothesis that compliance is positively related to perceptions of fairness (Folger 1977, Hirst and Harrell 1999, Thibaut and Walker 1975, Tyler 1994). UI's evaluation of Breaking the Cycle found the perceptions of procedural justice were higher among defendants exposed to court-monitored pretrial drug testing and treatment (Harrell, Mitchell, et al. 2002).

The effects of drug treatment and court monitoring on motivation to change address progress towards recovery, indicated by movements along a continuum of stages of change. Although researchers differ on stage definitions, theoretically all describe the process from initial awareness of the goal to behavior change. Examples include Prochaska's "Transtheoretical Model of Change;" DeLeon's three stages from compliance, conformity to expectations and norms, and commitment to change; and Miller's Stages of Change Readiness and Treatment Eagerness Scale (DeLeon 1989; Miller and Rollnick 1991; Prochaska, DiClemente, and Norcross 1992). Other concepts we planned to measure included perceived need for treatment, behavioral intentions, and reductions in criminal thinking.

Drug court operations are hypothesized to affect offender perceptions, in-program behavior, and post-program outcomes, directly and indirectly. The domains of drug court practices, shown in the center column, include: drug treatment, legal pressure, monitoring/offender accountability procedures, and supervision style. We anticipated selecting the drug courts that represented considerable variation along the following dimensions:

- *Drug Treatment*. One of the most important, and most difficult to measure, variables in drug court is the treatment. Although measurement in these areas is not well developed, the framework recognizes the potential value in measuring not only the amount and modality of treatment delivered to drug court participants, but also its quality, comprehensiveness, and cultural appropriateness (see Johnson, Hubbard, and Latessa, 2000). At minimum, quality treatment uses procedures that are documented ("manualized" for consistent replication), demonstrated to be successful, and meet professional certification standards for staff training and content.

- *Legal Pressure*. Existing research indicates that legal pressure, defined by the severity of the alternative sentence, is positively correlated with treatment retention (Condelli 1989, Rempel and DeStefano 2001). However, findings on legal pressure are mixed and suggest that perceptions of legal pressure mediate the relationship (Young 1997; Young and Belenko 2002). Some studies report that perceived legal pressure is a significant predictor only of early treatment entry and retention (Condelli 1989), while changes in stages of

readiness to change affect later retention (Young 1997). Plea conditions may represent another legal incentive affecting drug court outcomes. Indeed, Sung, Tabachnick, and Feng (1999) found that the retention rate *rose* by ten percentage points after the Brooklyn Drug Treatment Alternatives to Prison (DTAP) program switched from a pre-plea to post-plea model. We proposed to test the effects of the alternative sentence on perceptions of the severity of receiving a jail or prison term for persistent noncompliance and on treatment entry and retention.

- *Monitoring/Accountability*. The day-to-day use of drug tests, judicial review hearings, and case management are hypothesized to be very important determinants of offender perceptions and behavior, based on theory and findings from earlier studies (Harrell and Kleiman 2001). UI's evaluation of the DC Graduated Sanctions Program, which applied sanctions for drug test failures very consistently and swiftly, found participants significantly less likely than the comparison group to be arrested in the year after program completion (Harrell 1998; Harrell, Cavanagh, and Roman 1999). We expected to measure both program requirements and the level of implementation of program strategies (e.g., the number of drug tests specified in rules versus the number administered).

- *Supervision Style*. Many drug court judges, observers, and participants in our focus groups point to the important effects of the judge's courtroom style on offender behavior. Direct conversation and eye contact between judges and participants are hypothesized both to contribute to the belief that judges care about progress, and to affect treatment participation. Indeed, judicial encouragement may be the primary incentive used by drug courts, made tangible in recognition ceremonies and token gifts (Satel 1998). In interviews conducted with participants at two drug courts, positive feedback from the judge was ranked as among the most useful policy components. Yet, because the drug court model simultaneously stresses the importance of sanctions, different courts and judges tend to strike widely varying balances between positive and negative reinforcement, or both. We planned to measure this domain and isolate distinct supervision strategies that are effective or ineffective by using structured courtroom observations and focus groups.[8]

The two columns on the left describe differences in drug courts and drug court participants hypothesized to affect drug court outcomes. Of critical importance is the difference in the problems confronting drug court participants. Differences in eligibility criteria and screening procedures mean that the addiction severity and risk of recidivism are far higher in some courts than in others. In addition, regional variation in drug use patterns may affect outcomes. For example, more than half the participants in the Baltimore drug court enter as daily cocaine or heroin users with significant criminal histories, while other drug courts focus on first-time offenders or operate in areas where the primary drug of abuse is marijuana (e.g., Queens in New York City). Court location also may affect the resources available to support recovery and the legal consequences of drug law violations. Court management arrangements and the existence of data systems to support collaboration are key features of court infrastructure that affect the

[8] While the team did conduct courtroom observations, we ultimately did not facilitate focus groups (re-allocating those resources to support a larger number of sites).

ability of courts to implement the required program elements (see Harrell et al. 2002). We proposed to consider the role of these contextual factors in assessing drug court outcomes and the delivery of drug court services.

Modifications to MADCE as Proposed

A few notable changes were made to the MADCE study subsequent to the submission of our proposal, as identified below.

During the course of this research, we convened three external working groups with technical and substantive experts; these were held in April 2004, February 2006, and May 2009. As noted earlier, we originally proposed to include 14 drug courts and 5 or 6 comparison jurisdictions in the study. However, discussions during the first working group about the analyses we planned to accomplish led the statistical experts in the group to recommend that we consider expanding the number of court and jurisdictional sites from 20 to 30 or more to support Hierarchical Linear Modeling (HLM) analyses.

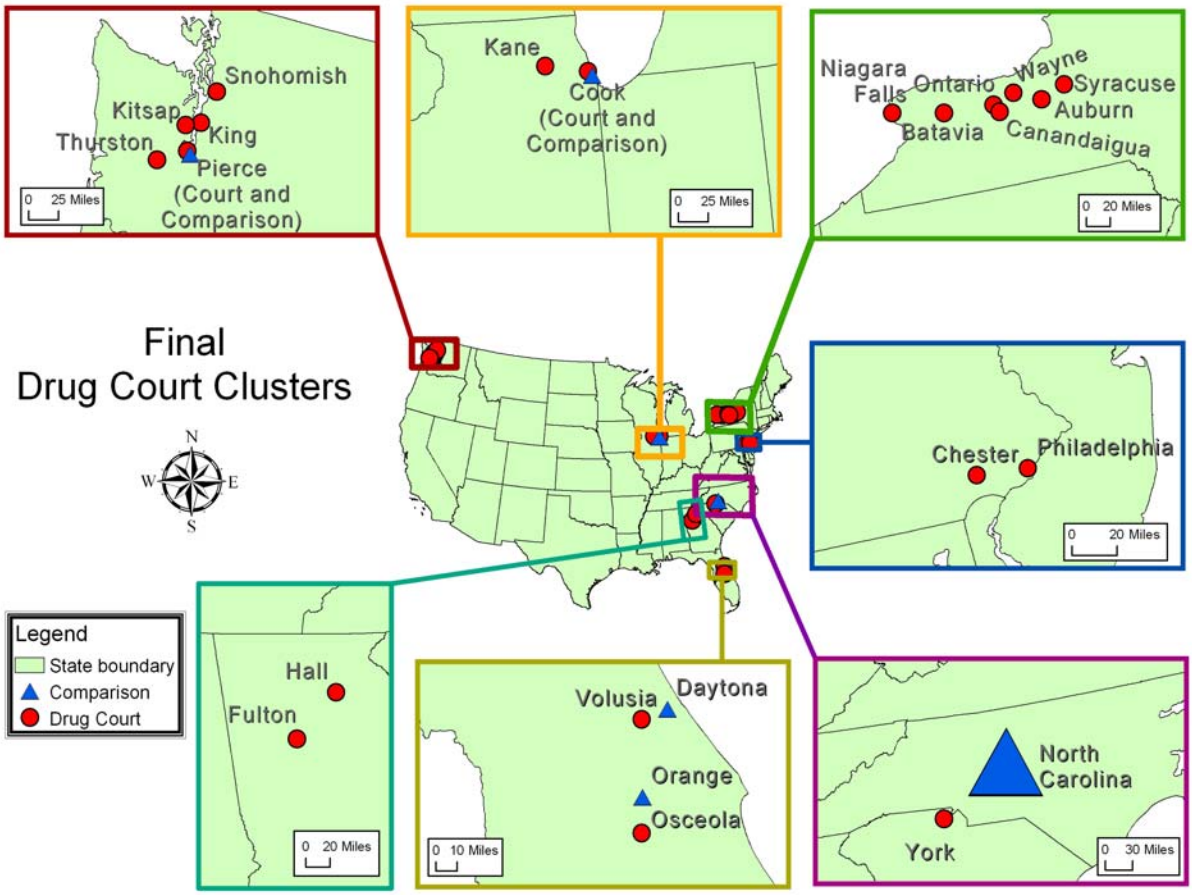
We acted on that suggestion by increasing the number of drug courts in the study. As described in Chapter 3, we used data from our Phase I web-based survey of adult drug courts to select 23 drug courts located in seven geographic "clusters."[9] Additionally, six "comparison" jurisdictions were selected.[10] The comparison sites included several alternative modes for handling drug-involved offenders, representing the diverse set of activities employed in jurisdictions that do not implement drug courts. Notably, some comparison sites mandated offenders to community-based treatment but without other components of the drug court model; other comparison sites involved standard probation only. The comparison sites included several Treatment Alternatives for Safe Communities (TASC) programs, a Breaking the Cycle program, and standard court-referred, probation-monitored treatment. The locations of the drug court and comparison sites are shown in Figure 1-1-4.

Additionally, once in the field, we discovered the flow of cases into participating courts was somewhat lower than our pipeline analyses led us to expect. As a result, in an effort to keep field data collection within time and budget projections, the sample of individual respondents was lowered slightly from 1,400 drug court participants to 1,157, while comparison interviews increased slightly from the 600 projected to 627. Overall, the sample size was projected to be 2,000 and actually became 1,784 (as detailed in Chapter 3).

[9] Altogether, MADCE includes 29 sites in eight states. One southeastern cluster includes two states: North and South Carolina.

[10] North Carolina probation is one source from which we drew comparison participants. The state is divided into two judicial districts and, therefore, we divided the comparison participants similarly, representing two comparison sites.

Figure 1-1.4. Final Drug Court Clusters and Comparison Sites Included



*The comparison court in North Carolina is enlarged because it represents the entire state and not a single jurisdiction.

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Chapter 2. Review of the Literature

John K. Roman, Shelli B. Rossman, and Michael Rempel

The Drug-Crime Nexus

A substantial research literature links substance use and abuse to criminal behavior (Anglin and Perrochet 1998; Ball, Shaffer, and Nurco 1983; Boyum and Kleiman 2002; Brownstein, Shiledar Baxi, et al. 1992; Condon and Smith 2003; Dawkins 1997; DeLeon 1988a; 1988b; Harrison and Gfroerer 1992; Inciardi 1992; Inciardi and Pottieger 1994; Inciardi, Martin, et al. 1996; Johnson, Goldstein, et al. 1985; MacCoun and Reuter 2001; Miller and Gold 1994; Mocan and Tekin 2004). Drug use increases crime in several ways. Psychopharmacologic effects of substance use can lead users to commit crimes while they are intoxicated, and intoxicated people are more likely to become victims (Cottler, Compton, et al. 1992). Economic compulsive effects lead users to commit crimes to gain resources to buy drugs (Goldstein 1985). Drug trafficking is often associated with violence (Boyum and Kleiman 2002; Goldstein 1985; MacCoun, Kilmer, and Reuter 2003).

The cycle of drug use and crime is difficult to break. Drug sellers are often drug users (Reuter, MacCoun, and Murphy 1990), and incarcerating sellers may lead to replacement by new suppliers who then may have an increased risk of becoming users (Freeman 1996, Blumstein 2000). Young drug users and suppliers are most likely to be violent (Blumstein and Cork 1996, MacCoun et al. 2003), and criminal behavior increases as the frequency and intensity of use increases (Anglin, Longshore, and Turner 1999; Anglin and Maugh 1992; Chaiken and Chaiken 1990; Stewart, Gossop, et al. 2000; Vito 1989). Criminal incidence is highest for substance abusers while they are using drugs—four to six times more than when they are not abusing narcotics (Ball, Rosen, et al. 1982; Gropper 1985), a pattern that is even more pronounced among habitual offenders (Vito 1989).

Desistance from drug use, through drug treatment or deterrence, is associated with declines in crime—particularly income-generating crimes (Anglin et al. 1999; Chaiken and Chaiken 1982; Degenhardt, Conroy, et al. 2005; Inciardi 1987; Nurco, Kinlock, and Hanlon 1990; Speckert and Anglin 1986). A growing literature suggests substance abuse treatment can be effective in reducing demand for drugs and reducing rates of offending associated with drug consumption. Economic studies have found that (1) treatment is more cost-effective than incarceration (Caulkins and Reuter 1997; MacKenzie 2006; Lipsey and Cullen 2007), (2) intensive long-term treatment is most effective (National Institute on Drug Abuse 2009), (3) direct interaction with a judge is more effective for serious drug users (Marlowe, Festinger, et al. 2005a), and (4) violent offenses cause the greatest economic damage to communities (Cohen and Miller 2003).

The number of drug users has remained relatively stable over time (Rhodes, Layne, et al. 2000) suggesting a general aging of the cocaine and heroin-using population (Golub and Johnson 1997). Despite this, drug users face a significant risk of arrest and incarceration: a part-time drug seller in Washington, DC, has a 22 percent risk of imprisonment in a given year, and spends

about one-third of his/her criminal career incarcerated (Reuter et al. 1990, MacCoun and Reuter 2001). Kleiman (1992) estimates that heavy users of cocaine who are arrested annually consume 60 percent of the cocaine in the United States. The Bureau of Justice Statistics estimates that about half of both federal prisoners and jail inmates abuse or are dependent on drugs (Mumola and Karberg 2006; Karberg and James 2005). Few, however, received treatment within the criminal justice system (Harrell and Roman 2001; Marlowe, DeMatteo, and Festinger 2003). Among incarcerated populations, only about 15 percent received drug treatment (Karberg and James 2005).

The Theory of Drug Courts

While TASC and ISP (described in Chapter 1) each had linkages to the criminal justice system, they did not fully exploit the coercive powers of courts to motivate compliance with treatment protocols.[11] Under the rubric of therapeutic jurisprudence, a more formal model of intensive court-based supervision, referred to as drug treatment courts, emerged in the 1990s (Hora, Schma, and Rosenthal 1999; Senjo and Leip 2001a; Slobogin 1995; Wexler and Winick 1991). The therapeutic jurisprudence model posits that legal rules and procedures can be used to improve psychosocial outcomes, an idea supported by a growing research consensus that coerced treatment is as effective as voluntary treatment (Anglin, Brecht, and Maddahian 1990; Belenko 1999; Collins and Allison 1983; DeLeon 1988a, 1988b; Hubbard, Marsden, et al. 1989; Lawental, McClellan, et al. 1996; Siddall and Conway 1988; Trone and Young 1996).

Therapeutic jurisprudence is not the only theoretical foundation for drug courts. Deterrence theory posits that receipt or threat of a punishment for an infraction will reduce the likelihood that the infraction will be repeated. General deterrence holds that by increasing the probability that a particular infraction will be punished, infractions will be reduced. Specific deterrence posits that an individual's own experience with punishment will affect his/her future behavior. For all facets of deterrence, the goal is to increase the expectation that an infraction will be punished; those expectations can be changed either by directly punishing an individual, making highly visible punishments of others, or simply by increasing individuals' beliefs that punishment will follow an infraction. Drug courts employ graduated sanctions—incrementally more stringent responses to continuing infractions—as mechanisms to deter future offending. Drug courts often combine deterrence-based approaches with positive rewards for good conduct based on social learning theory, which posits that publicly rewarding pro-social behaviors can reinforce those behaviors in group settings. There have been few direct studies of the effectiveness of deterrence on client outcomes. Marlowe, Festinger, et al. (2005b) found correlational evidence that drug court clients with higher "elevated" perceptions of deterrence had better outcomes than those with lower levels of perceived deterrence. In an analysis of drug

[11] An outcome evaluation of five TASC programs found some evidence of reduced recidivism and drug use, but the results were mixed (Anglin et al. 1999). Conversely, ISP resulted in increased incarceration rates, although the effect may have been confounded by increased oversight of participant behavior (Tonry 1990; Petersilia, Turner, and Deschenes 1992; Turner, Petersilia, and Deschenes 1992). Other justice-treatment partnerships—such as those mandated under Proposition 36 passed in California in 2001 and the Drug Offender Sentencing Alternative (DOSA) program in Washington—serve large numbers of offenders in several states, and generally have been found to yield better treatment and criminal justice outcomes (Aos, Phipps, and Barnoski 2005; Longshore, Urada, et al. 2004).

court mediators, Gottfredson, Kearley, et al. (2007) report that both procedural justice and deterrence contribute to better drug court participant outcomes.

Procedural Justice

Procedural justice theory predicts that in their interactions with the criminal justice system, individuals are as much—if not more—concerned about fair procedures and respectful treatment by legal authorities as they are about the outcomes of those interactions. A substantial research literature suggests that individuals' judgments of procedural fairness shapes their perceptions of the legitimacy of and satisfaction with legal authorities, which in turn influences their compliance with the law and decisions made by those legal authorities. The theory asserts that these procedural effects are independent of outcomes produced. Thus, individuals who perceive that they have been treated fairly by the system can have better procedural outcomes (such as compliance with court mandates), regardless of the outcome of their case (such as the length of the sentence).

This influence of procedural justice was first introduced by Thibaut and Walker (1975) through their studies of simulated criminal trials, in which they found that subjects perceived procedures as being fair if they felt they had process control (i.e., adequate opportunity to present evidence and arguments in support of their case). Folger (1977) refers to this as "fair process effect," and Lind and Tyler (1988) refer to this as "voice" effect in their small group experiments that show enhanced perceptions of procedural fairness. Lind, Kanfer, and Earley (1990) further demonstrated this voice effect, finding that the opportunity for a defendant to speak post-decision was associated with the perception of fair judgments. Tyler's (1990) study of the effects of Chicago residents' recent personal experiences with legal authorities found that respondents' perceptions of procedural fairness were shaped by whether they had the opportunity to share their side of the story, and their perception that they were treated both impartially and with respect. Looking at felony offenders, Casper, Tyler, and Fisher (1988) similarly found that these defendants' perceptions of procedural fairness in interactions with the police and courts were strongly linked to their perceptions of whether their case was handled in a procedurally fair manner.

There is considerable research indicating that people's perceptions of procedural fairness affect their perceptions of the legitimacy of legal authorities, and their satisfaction regarding interactions with those authorities (Tyler 2003). Studies of defendants charged with minor offenses find increased satisfaction with, and perceived legitimacy of, authorities as a result of perceived fairness (e.g., Lind 1982, Tyler 1984). In Casper et al.'s (1988) look at felony offenders, defendants' views of the legitimacy of the criminal justice system were linked to the procedural justice of their case disposition process. Barnes (1999) evaluated the influence of procedural justice through restorative justice conferences on arrested drunk driving offenders in Australia. Participants regarded the conferences as being procedurally fairer than traditional courts, and had more positive views with respect to the legal system's legitimacy.

Studies that examine personal encounters with police consistently demonstrate that perceived legitimacy of police is highly correlated with perceptions of procedural justice (e.g., Tyler 1990, Tyler and Huo 2002). Moreover, Tyler (1990) found that these perceptions of legitimacy were

not significantly related to positive outcomes. Johnson (2004) evaluated the importance of procedural justice during routine traffic stops, as well as citizens' impressions of the interaction between police officers and citizens (often referred to as 'verbal judo') (Bradstreet 1993, Thompson and Jenkins 1993). Respondents reported that the officer's behavior (e.g., listening to their excuse, showing empathy) was more important than the outcome of the stop itself. Tyler (2001) surveyed citizens in Chicago, Oakland, and Los Angeles, and found that general opinions regarding the police—and consequently the entire criminal justice system—were most influenced by perceptions of how the police treated citizens and rarely based upon their crime-solving effectiveness. Similarly, Smith, Tomaskovic-Devey, et al. (2003) found that a negative encounter with an officer (based either on their own or a family member's experience) was the principal basis for distrust of police in both African-Americans and whites; further, for the African-American respondents, disrespectful treatment by the police could undermine trust of all government branches.

There is also a robust literature indicating that perceptions of legitimacy and procedural fairness enhance compliance with the legal rules and authorities. Tyler (1990) found an association between legitimacy and self-reported declines in minor offending (e.g., littering, drunk driving, speeding, petty theft, parking violation, noise violations). Observational studies by Mastrofski, Reisig, and McCluskey (2002) and Mastrofski, Snipes, and Supina (1996) found that citizen compliance to police officer requests is highest when requests were given respectfully and perceived as having legitimacy, while a lack of legitimacy may actually promote crime rate increases (see also La Free 1998). Sunshine and Tyler's (2003) survey of residents evaluating the New York City Police Department suggests that legitimacy shapes compliance, cooperation, and empowerment independent of distributive fairness, police effectiveness, and likelihood of sanction risk.

Perceptions of procedural fairness shape compliance with legal requirements and supervision rules, even when such outcomes conflict with people's self-interests. In their interactions with police, the more people make positive judgments of procedural fairness and perceive they have been treated respectfully by police, the more motivated they are to defer to the law and comply with police requests for self-control (Tyler 2001, 2004; McCluskey 2003). Paternoster, Brame, et al. (1997) found that batterers arrested for domestic violence were less likely to be re-arrested in another domestic abuse incident if those individuals perceived they had been treated respectfully by their arresting officer. In situations of third-party decision-making (e.g., small claims court, arbitration, mediation), numerous studies find that when authorities act in ways that are perceived as being fair, participants are more likely to voluntarily comply with decisions made (Kitzman and Emery 1993; Lind, Kulik, et al. 1993; Lind, Greenberg, et al. 2000; MacCoun, Lind, et al. 1998; Poythress 1994; Wissler 1995), even when those judgments may be unfavorable to themselves (McEwen and Maiman 1984). Moreover, procedural justice appears to influence long-term behavior. Pruitt and colleagues (1993) examined factors that led to adherence to the terms of mediated agreements, finding that the procedural fairness of the initial mediation was a principal factor for adherence at six months. In the case of drug courts, Gottfredson et al.'s (2007) study of the mediating effects of drug courts on outcomes found that participation in drug court increased the number of judicial hearings attended, which reduced the variety of drugs used and the variety of crimes committed by increasing perceptions of procedural justice.

Deterrence Theory

Deterrence theory is based on the simple idea that actual or threatened sanctions should deter crime. Three aspects of punishment—perceived certainty, severity, and celerity of the possible sanctions—are hypothesized to affect a would-be offender's decision-making process and to be correlated with offending (Andenaes 1974; Gibbs 1975). The theory is typically regarded as involving two linkages: (1) a perceptual link, where the potential offender forms perceptions about the risks of committing the crime based on information regarding sanction policy and other experiences, and (2) a behavioral link, where the potential offender's sanction risk perceptions influence his behavior (Paternoster 1987; Scheider 2001).

Most research in deterrence theory has focused on the second link, analyzing the relation between sanction risk perception and behavior. As a review by Nagin (1998) describes, literature through the late nineties using interrupted time-series, ecological, and perceptual studies provides evidence that a deterrent effect does operate on some would-be offenders. Interrupted time-series studies have examined the effect of drunk-driving laws, police crackdowns on drug markets, disorderly behavior, and gun-control laws and ordinances (Kleiman 1986, 1988; Loftin and McDowall 1984; Loftin, McDowall, et al. 1991; McDowall, Loftin, and Weirsema 1992; Reuter, Haaga, et al. 1988; Sherman, Roschelle, et al. 1986). Generally, these interventions are successful in producing an initial deterrent effect. However, that effect decays even while the intervention is still in effect.[12] Ecological studies have found a negative association between crime rates and intensity of sanctions (Kagan 1989; Levitt 1996; Sampson and Cohen 1988), and perceptual studies typically find lower self-reported criminality among those who perceive higher sanction risks (e.g., Bachman, Paternoster, and Ward 1992; Grasmick and Bursick 1990; Paternoster and Simpson 1977).

Scenario-based perceptual studies have explored situational differences, since the perception of sanction threat may be affected by the context within which the potential crime occurs (e.g., witness or police presence). Respondents that perceive sanctions as more certain or severe reported reduced probabilities that they would engage in tax evasion, drunk driving, theft, sexual assault, and corporate crime (Bachman et al. 1992; Klepper and Nagin 1989a, 1989b; Nagin and Paternoster 1993, 1994; Paternoster and Simpson 1997). All told, there appears to be consensus that negative association between sanction perception and behavior is measuring deterrence.

Research on deterrence theory prior to this decade emphasized situational circumstances external to the potential offender (such as expected certainty of sanction), However, there is growing recognition that individual differences (including such factors as prior personal crime offending experience, vicarious offending experience, criminal propensity, stake in conformity, peer associations, etc.) may exert a conditioning effect on perceived sanction threats.

[12] Sherman (1990) provides terminology to describe this phenomenon. "Initial deterrence decay," is the reduction in deterrence as "potential offenders learn through trial and error that they had overestimated the certainty of getting caught at the beginning of the crackdown," and "residual deterrence," which is the continued deterrence that occurs after the intervention has ended.

Personal and Vicarious Experiences Conditioning Sanction Risk Perception and the Effects of Sanction Threats

Recently, researchers have begun to focus on the first link—how and what influences the formation of sanction risk perceptions. Stafford and Warr's (1993) reconceptualization of deterrence provided one of the first models of perceptual formation. They observed that the traditional approach of distinguishing specific deterrence and general deterrence had two shortcomings. First, this line of inquiry assumed that the two kinds of deterrence affected two different sets of potential offenders, active offenders (specific) and non-active offenders (general). Stafford and Warr posit that a single individual may experience both types of deterrence. According to their model, personal and vicarious (i.e., others') punishment experiences can deter offending. Thus, a potential offender may experience an increase in perceived sanction certainty by being arrested and by vicariously experiencing an arrest. Conversely, successful personal and vicarious experiences avoiding punishment may decrease perceived sanction certainty.

Research on the central tenets of deterrence theory is somewhat mixed, but generally supports the notion that sanction risk perceptions evolve and update as a result of ongoing experiences. Paternoster, Saltzman, et al. (1985) found a significant relationship between reductions in perceived certainty and increased involvement in petty theft and bad check writing; being formally sanctioned was related to an increase in perceived certainty. Using data from a sample of 1,000 convicted felons, Horney and Marshall (1992) found subjects with higher arrest ratios (i.e., ratio of arrest to self-reported crime) also reported high risk perceptions. In addition, Lochner (2007) used data from the National Youth Survey and the National Longitudinal Survey of Youth, concluding that individuals engaging in crime who avoided arrest tended to reduce their perceived risk of arrest, while those who were arrested tended to raise their perceived risk of arrest and accordingly reduced their offending.

Pogarsky, Kim, and Paternoster (2005) also used the National Youth Survey to test a framework for forming and updating sanction risk perception. They found mixed results: arrests had no effect on sanction certainty perception for stealing and attacking (i.e., the converse of Stafford and Warr's deterrence theory), while prior offending experience produced decreased certainty perceptions. Peer offending coincided with reduced perceived certainty for stealing, but not for attacking. Prior offending experience appears to have enhanced the effects of offending experiences on perceived risks, and moral inhibition reduced the effects of offending experiences on sanction risk perception.

In contrast to the Stafford and Warr's prediction, Pogarsky and Piquero (2003) found evidence consistent with a "resetting" effect among low-risk subjects: those with prior punishment had a lower perception of the certainty of punishment. They theorized that offenders may reset their estimated certainty of being caught, believing they would have to be exceptionally unlucky to be caught again, thus resulting in the observed positive punishment effect. Further analysis found that the resetting was specific to those who were least experienced in offending, or the most impulsive. Piquero and Paternoster (1998) also tested Stafford and Warr's re-conceptualization in a study involving drunk driving, finding results contrary to the model's prediction. While successfully avoiding punishment encouraged offending as predicted by Stafford and Warr,

experiencing punishment encouraged offending. Additionally, they found that vicarious punishment experiences encouraged projected drunk driving, while vicarious avoidance discouraged it—the opposite of what would be predicted by Stafford and Warr (the authors acknowledge that their inconclusive findings with respect to Stafford and Warr's model may have been a result of their data's inability to reflect the theory's key constructs). Further testing the Stafford and Warr model, Piquero and Pogarsky (2002) corroborated several key predictions. However, they also found further evidence for an "emboldening effect," as punishment experiences appeared to encourage future offending. The authors offered the "resetting effect" and "self-serving bias"—where vicarious punishment experience could be perceived by the potential offender as evidence of his/her own more skillful lawbreaking—as possible explanations for this contrary finding.

Criminal Propensity Conditioning Sanction Risk Perception and the Effects of Sanction Threats

Deterrence research regarding criminal propensity often operationalizes propensity as low self-control, present orientation, or impulsivity. The results from studies of how criminal propensity affects deterrence are mixed as to whether criminal propensity diminishes or enhances risk perception and deterrent effects.

Nagin and Pogarsky's (2003) study of drunk driving among a sample of college students found that the influence of sanction severity diminished with increasing present orientation in an individual. They offer the explanation that criminally prone individuals possess a "here-and-now" orientation, and tend to discount future consequences. A similar study by Pogarsky (2002) found that "incorrigible" offenders—individuals driven by biological and psychological urges with low "executive cognitive function" such that they do not consider the consequences of their conduct—were the most impulsive, and unresponsive to criminal sanctions for drunk driving. Piquero and Tibbetts (1996) examined the relationship between self-control and legal and extra-legal sanction threats, finding that for drunk driving and shoplifting, those with lower levels of self-control exhibited smaller deterrent effects of shame, and greater positive effect of perceived thrills on offending. In one of the few randomized experiments in the deterrence literature, Nagin and Pogarsky (2003) examined cheating and the influence of factors such as self-serving bias and impulsivity, the first study to investigate both situational and individual differences. The prevalence of cheating lowered when the detection was more certain, but not when the punishment was made more severe, consistent with the widely held notion that certainty rather than severity is the more powerful deterrent. Moreover, they found that cheating was more likely in participants with stronger present orientation, or who were prone towards self-serving bias.

While these studies suggest criminal propensity diminished deterrent effects, a number of studies show the opposite relationship. Using data from the Dunedin Study, a longitudinal study of individuals in Dunedin, New Zealand, from birth to age 26, Wright, Caspi, et al. (2004) found that sanction risk perception had a positive interaction with, and greatest impact on, those low in self-control and high in self-perceived criminality. A study by Tittle and Botchkovar (2005) examining criminal motivation, self-control, and deterrence using a sample of adults from Nizhni Novgorod, Russia, reported similar findings. A study by Pogarsky (2006) examined how variation in criminal propensity conditions deterrent effects in a sample of convicted offenders in

New Jersey's Intensive Supervision Program (ISP). These findings showed that offenders' perceived certainty and severity regarding the risks and consequences of violating ISP was negatively associated with violation of ISP, and that if anything, deterrent effects were stronger for those with lower self-control.

Deterrence Literature Regarding Drug-Involved Offenders

Paternoster and Piquero (1995) explored the implications of Stafford and Warr's re-conceptualization using a high school student sample from a large, southeastern U.S. city to evaluate sanction risk perception and substance abuse. They found that self-reported substance abuse was affected by the influence of personal and vicarious experiences on perceived certainty of punishment; punishment and punishment avoidance predicted substance abuse by students; and the perceived certainty of punishment risk was lowest for those with little to no personal and vicarious punishment experience, and highest for those with substantial personal and vicarious punishment experience.

In a study using nationally representative samples of 8th, 10th, and 12th grade students, Terry-McElrath and colleagues (2009) examined possible relationships between local drug policy for first-time offender juvenile marijuana possession offenses (as reported by local prosecutors) and youth self-reported marijuana use, perceived risk, and disapproval. Communities where strong deterrence-oriented policies dominated, such as placement in a juvenile facility or waiver to criminal court, were associated with lower marijuana usage levels, higher perceived use risk, and higher disapproval. In contrast, communities that made frequent use of community service were associated with higher youth marijuana use levels, and lower risk and disapproval. Uses of fines did not result in any meaningful associations. Moreover, diversion to drug treatment programs was related to decreased perceived risk of occasional use, and showed a non-significant relationship with increasing odds of past-30-day marijuana use. Terry-McElrath et al.'s findings suggest a relationship exists between marijuana policy and youth marijuana use, perception of risk and disapproval, however, they note that the relationship may be influenced by community-level factors and may have substance-specific aspects.

Effectiveness of Drug Courts

A number of studies have found that drug court participation reduces recidivism rates (Finigan, 1998; Goldkamp andWeiland 1993; Gottfredson and Exum 2002; Harrell and Roman 2001; Jameson and Peterson 1995; Peters and Murrin 2000; Wilson, Mitchell, and Mackenzie 2006); although programs vary in the degree to which they are successfully implemented. Among the evaluations included in the GAO (2005) review, adult drug court completion rates ranged from 27 to 66 percent. Using focus groups, an examination of three drug court programs in New York found that most participants admitted to initially entering the program to avoid prison, but many eventually, "became more concerned about completing treatment, staying clean, and improving their lives" (Farole and Cissner 2005: 6). Many also entered the program without fully comprehending the program requirements; even so, most felt the rules were fair. Drug testing and the threat of jail were seen as motivating factors in complying with treatment and other program components, whereas positive feedback from the judge and other rewards gave the

participants a sense of achievement. However, there were various complaints about the treatment programs, including the duration, content, schedules, and fees.

Nonetheless, with federal funding and favorable evaluations, the model has proliferated. As of January 2009, there were 2,301 drug courts operating nationally (NADCP 2010), including adult drug courts in most medium and large counties.

Impact on Retention in Treatment

In the broader substance abuse treatment research literature, *retention* is often defined as an important indicator of success. Earlier research finds that actively participating in treatment for a longer period of time, 90 days at the least and preferably up to one year, strongly predicts lower post-treatment drug use and criminal re-offending (e.g., Anglin et al. 1990; DeLeon 1988; Taxman 1998; Taxman, Kubu, and DeStefano 1999). Unfortunately, most substance-using individuals who enter treatment do not succeed. Only an estimated 10 to 30 percent of substance abusers nationwide either graduate or are still active one year after enrolling in treatment (Lewis and Ross 1994). By comparison, adult drug courts have been estimated to produce a substantially higher "one-year retention rate" of about 60 percent nationally (Belenko 1998) and 66 percent in a study of 11 New York State drug courts (Rempel, Fox-Kralstein, et al. 2003). The improved performance of treatment participants who are mandated through drug courts is generally believed to be a result of the legal pressure entailed by a court mandate and specifically by the threat of incarceration that drug court participants face in the event of failing. Indeed, several studies have confirmed that greater legal coercion leads to improved short-term, as well as long-term treatment outcomes (e.g., DeLeon 1988; Hiller, Knight, et al. 1998; Young and Belenko 2002).

Impact on Criminal Involvement

Official Measures of Criminal Involvement

The vast majority of adult drug court evaluations have found that drug courts are associated with reduced recidivism. From the late 1990s through the mid-2000s, a series of narrative literature reviews agreed that most of the more than 50 published studies show reductions in recidivism (e.g., Belenko 1998, 1999, 2001; GAO 2005; Roman and DeStefano 2004).

More recently, two reviews have emerged that employed formal meta-analytic techniques, enabling the production of quantitative generalizations. The first considered evaluations of 55 sites, including 49 adult and 6 juvenile drug courts (Wilson et al. 2006). In 48 of 55 sites, drug court participants had lower re-arrest or re-conviction rates than their comparison groups. The average odds ratio for the entire sample of sites was 1.66 ($p < .05$), and the sites averaged an estimated 13 percentage point reduction in recidivism. Schaffer (2006) employed comparable meta-analytic techniques with an overlapping, but slightly larger group of 61 adult and 21 juvenile drug court evaluations. This analysis reported an average recidivism reduction of 10 percentage points for adult drug courts and five points for juvenile drug courts. This analysis added that drug court programs designed to last from 8 to 16 months were more effective in reducing recidivism than those designed to last for either shorter or longer timeframes. This

finding suggests that short doses of the drug court intervention are insufficient to bring about lasting behavioral changes, whereas on the other end of the spectrum, extremely long programs may reach a point of diminishing returns.

A third review conducted by the GAO (2005) omitted evaluations whose designs were seriously compromised: for example, by comparing only successful participants (graduates) to the comparison group or by making no effort to control for baseline differences between participants and comparison offenders. Previous reviewers had all drawn attention to the low scientific quality of much of the literature, and the Schaffer analysis detected a noticeably smaller effect size for studies implemented with a higher quality methodology. However, the GAO results continued to be positive. Drug courts significantly reduced the re-arrest rate in 10 of 13 sites, and significantly reduced the re-conviction rate in 10 of 12 sites.

Of the individual studies that have been completed, the early 2000s randomized trial of the Baltimore City Drug Treatment Court (BCDTC) has attracted special attention, as the study involved a well-implemented experimental design. The Baltimore program, itself, appeared to exemplify all of the classic features of a drug court, including treatment, coupled with a formal system of monitoring by both probation and a designated judge unlike several earlier randomized trials which suffered implementation problems (e.g., Deschenes, Turner, and Greenwood 1995; Harrell, Cavanagh, and Roman 1999). These factors led the results to have strong internal, as well as external validity. Additionally, the BCDTC trial followed participants for three years. Findings indicated that over one- (Gottfredson and Exum 2002), two- (Gottfredson, Najaka, and Kearley 2003) and three-year (Gottfredson, Najaka, et al. 2006) post-randomization periods, the drug court produced a significant reduction in re-arrests, although the re-arrest rates were remarkably high across both the drug court and comparison samples (78 percent vs. 88 percent at three years). While these studies used an experimental design and consistently found that drug courts reduced recidivism, it is important to keep in mind that the results are all from only one court and may not be generalizable.

However, multi-site studies have yielded similarly positive results. For example, a statewide evaluation of six New York State drug courts reported an average recidivism reduction of 16 percentage points for a three-year tracking period after the initial arrest or a reduction of nine percentage points when isolating a one-year post-program timeframe (Rempel et al. 2003). Other statewide evaluations respectively detected recidivism reductions in eight of nine California sites (Carey, Crumpton, et al. 2005), four of five Indiana sites (Wiest, Carey, et al. 2007), and five of five Washington State sites (Aos, Phipps, et al. 2001).

Since few studies track offenders for more than two or three years, most authors caveat that despite the encouraging results to date, more research on the intervention's long-term effects is needed (e.g., Belenko 2001; GAO 2005; Roman and DeStefano 2004). In this regard, a recent study of the Portland drug court found that it produced a 30 percent reduction in re-arrests over 5 years, and significantly reduced drug-related re-arrests over 14 years (Finigan, Carey, and Cox 2007). Similarly, a recent study examined recidivism over at least ten-year follow-up period in the Baltimore City drug court (Mackin, Lucas, et al. 2009). The authors found that while significantly fewer program participants than the comparison group experienced at least 1 re-arrest, beginning in year 6, the difference in annual recidivism rates was not significant in any of

the 10 years. Additionally, the treatment group had fewer cumulative arrests in years 2 and 3, but the comparison group had significantly fewer cumulative arrests in years 7 to 10. Therefore, while some positive impacts appear to hold over time, the results are mixed and are based on only two evaluations. To date, these are the only evaluations with a measurement period of more than four years.

Self-Reported Re-Offending

Despite the large number of evaluations based on official measures of recidivism, virtually none interview offenders to obtain information on the full extent of their criminal behavior, whether or not it precipitated an arrest. Such data might be illuminating, given that a great many nonviolent drug offenses go undetected as a function of police deployment strategies, offender evasion tactics, or other factors.

In evaluating the Brooklyn Treatment Court, Harrell et al. (2001) found that in the 6 months prior to a 1-year interview, drug court participants reported committing fewer total offenses and were less likely to report committing any offense (13 percent vs. 48 percent) or any drug offense (7 percent vs. 34 percent,). In addition, both the Baltimore experiment (Gottfredson, Kearley, et al. 2005) and an evaluation of a Washington, DC, "sanctions" program that used select aspects of the drug court model (Harrell et al. 1999) found that participants reported fewer total offenses; although in Washington, the impact on drug offenses was not statistically significant.

Impact on Drug Use

Only five evaluations have examined drug use impacts directly, and their results are mixed. The earliest of these evaluations looked at a drug court in Maricopa County, Arizona (Deschenes et al. 1995). At one-year follow-up, the drug court and comparison samples did not differ in their overall rates of positive drug tests. Although drug court participants were significantly less likely than comparison offenders to test positive for heroin or cocaine, participants were significantly more likely to test positive for marijuana.

Four subsequent studies point to more positive impacts. An evaluation of a Washington, DC, program that was not a drug court per se, but had several practices in common, found that those assigned to a system of graduated sanctions for noncompliance were more likely to test drug-free and had a significantly lower percentage of positive drug tests during the program period than those on a "standard" docket. However, there were no significant differences between these groups for self-reported reduction in drug use during the year after sentencing (Harrell et al. 1999). An evaluation of the Chester County (PA) drug court found that participants had significant lower rates of positive drug tests than the comparison group during a period when participants were actively enrolled and when comparison offenders were supervised by probation (Brewster 2001). An evaluation of the Brooklyn drug court found that at one-year follow up, participants reported significantly lower rates of drug use overall, of cocaine or heroin use, and of drinking to intoxication; and also reported a slightly, but not significantly, lower rate of marijuana use (Harrell, Roman, and Sack 2001). Finally, the Baltimore experiment found that after three years, participants scored significantly lower than the comparison group on a measure of alcohol addiction severity. Participants also scored lower on a measure of drug addiction

severity and reported fewer days of alcohol, cocaine, and heroin use within the previous year; but none of these latter differences was significant (Gottfredson et al. 2005).

Limiting their utility, these findings not only come from only a handful of sites, but each study encountered important design flaws, making problematic any attempt at generalization. For instance, the Maricopa program appeared to deviate from several classic drug court practices (see OJP/NADCP 1997), rendering the program somewhat unrepresentative of the field. Maricopa's drug court participants averaged *fewer* face-to-face contacts with probation officers and *less* frequent drug tests than the comparison group, although the drug court model should, if well implemented, entail an *increase* in such supervision. In addition, Maricopa's participants received an unusually weak legal incentive to perform well, with program graduates and failures both sentenced to ongoing probation. Other research suggests that strong legal incentives to succeed (e.g., case dismissal or meaningful sentence reduction for graduates vs. significant threat of incarceration for failures) are important mechanisms for explaining drug court effectiveness (Rempel and DeStefano 2001, Young and Belenko 2002).

The Washington, DC, program used random assignment to a sanctions, treatment, or traditional docket and was not a classic drug court. The Chester, Brooklyn, and Baltimore studies suffered from extremely low sample sizes, with the Brooklyn study also encountering substantial follow-up attrition: only 39 percent of the Brooklyn drug court and 23 percent of comparison samples were retained at follow up. In Baltimore, the follow-up sample included only 93 drug court and 64 comparison cases, meaning that the study had little statistical power to detect significant effects; and indeed, nearly all of the raw data in the Baltimore results suggest less drug use in the drug court sample, but are non-significant.

Impact on Psychosocial Outcomes

Only a few studies have directly examined whether drug courts produce other kinds of psychosocial outcomes. Thus far, the results suggest that drug courts may be more effective at reducing drug use and recidivism than at impacting broader change. The Baltimore experiment found that there were no significant differences in rates of employment, physical and mental health, and positive social relationships among treatment and comparison groups during a three-year tracking period; however, a marginally significant difference ($p=.067$) was found for receipt of public assistance (Gottfredson et al. 2005). Similarly, an evaluation of the Brooklyn Treatment Court found that while treatment court participants appeared to have fewer instances of employment, interpersonal, psychiatric, and medical problems than the comparison group, the findings were statistically non-significant (Harrell et al. 2001).

An evaluation of the Washington, DC, sanctions program (see above) found that treatment program participants were less likely to have a motor vehicle accident or argument while using drugs, but did not experience improvements in employment status, income, or participation in educational/vocational programs than those assigned to the traditional docket (Harrell et al. 1999). Finally, a study of a family drug treatment court found improvements in employment status and life functioning (measured by the Behavior and Symptom Identification Scale) between program entry and six months of treatment (Bryan and Havens 2008). However, this study has numerous methodological limitations: only 33 program participants responded at both

baseline and follow-up interviews, there was substantial attrition, and a comparison group was not used. The available literature is clearly inadequate to yield reliable generalizations, but these results begin to suggest that with respect to these other outcomes, drug courts may not be able to duplicate the same level of effectiveness that they appear to have achieved in reducing recidivism.

For Whom Drug Courts Work

Extremely few studies have assessed whether specific categories of offenders benefit more than others from the drug court intervention—even though many have emphasized the importance of such information for policymaking (e.g., Cissner and Rempel 2005; Marlowe, De Matteo, and Festinger 2003). A study of the Los Angeles drug court found that while it did not lower recidivism among "low risk" defendants, it did significantly reduce the re-arrest rates for "medium" and "high risk" defendants. Risk in this study was defined as a function of prior criminal record and community ties (Fielding, Tye, et al. 2002). A series of randomized trials found that the specific drug court practice of biweekly judicial status hearings led to increased retention rates for high-, but not low- risk defendants. In these studies, risk was defined as previous failed treatment or anti-social personality disorder (Marlowe, Festinger, and Lee 2004).Thus, the field has not arrived at a standard method for measuring "risk," nor has the field replicated any particular finding regarding for whom adult drug courts are more or less effective.

Isolating the Impact of Specific Drug Court Components

The research discussed above has addressed whether drug courts work at reducing recidivism and substance use, while improving other social outcomes. However, very limited information exists regarding how and why drug courts produce their apparently positive results (e.g., see the critique in GAO 2005; Goldkamp, White, and Robinson 2001; Marlowe 2004). Some recent research has explored the "black box" of drug courts, and these contributions are discussed below.

Appearances before Drug Court Judge

In an early attempt to examine how drug courts work, Goldkamp et al. (2001) examined data on court components and re-arrest from drug courts in Las Vegas and Portland. An analysis of data from the Las Vegas program showed that, among drug court participants, the number of drug court appearances was negatively related to any re-arrest and non-drug re-arrest during program participation. However, among drug court participants in Portland, the number of court appearances was not associated with a reduction in the probability of re-arrest. Listwan and colleagues (2003) examined the impact of the number of status hearings on arrest and incarceration of participants of the Hamilton County Drug Court program. They found that status review hearings were associated with a decreased likelihood of arrest for a drug-related offense, but were not associated with arrest or any offense, incarceration, or incarceration for a drug offense.

In a series of studies in Wilmington, DE, misdemeanor drug court defendants were randomly assigned to attend judicial status hearings on a bi-weekly basis or to attend these hearings as

needed (in response to poor performance in treatment). Overall, little support was found for the relationship between judicial status hearings and drug use or recidivism. Marlowe et al. (2003) found that offenders assigned to bi-weekly judicial status hearings did not have more favorable urinalysis (UA) or self-reported substance use and recidivism outcomes during the program than those assigned to attend hearings only as needed.

However, using the same sample, Festinger, Marlowe, et al. (2002) found that individuals with antisocial personality disorder (ASPD) had more weeks of favorable in-program UA results when assigned to the bi-weekly condition than those assigned to the as-needed condition, and the opposite was true for non-ASPD offenders. Similarly, those with a history of prior substance abuse treatment were abstinent from drug use for a greater number of weeks when they were assigned to the bi-weekly condition.

Using the same sample described above, drug use and criminal behavior at 6- and 12-months post-admission were studied (Marlowe et al. 2005b). Similar to the in-program outcomes, no differences in self-reported drug use, criminal behavior, or drug test results were found between the group assigned to bi-weekly judicial status hearings and the group assigned to attend hearings as needed.

In a replication of this research in two additional sites with both misdemeanor and felony drug court defendants, no differences between bi-weekly and as-needed hearings were found for participants' UA results or self-reported substance use and criminal behavior during the first 14 weeks of the program (Marlowe et al. 2004). However, misdemeanor participants assigned to the bi-weekly hearing program who had received drug treatment in the past had more favorable UA results ($p=.055$) than similar individuals participating in hearings as needed. Felony defendants with anti-social personality disorder reported less alcohol intoxication during the first three months of drug court when they were assigned to the bi-weekly hearings as opposed to the as-needed condition, and vice versa. Due to small sample sizes, these findings should be interpreted with caution and considered preliminary (12 misdemeanor defendants, 6 bi-weekly and 6 as-needed; 55 felony defendants, 23 bi-weekly and 33 as-needed).

Treatment

Goldkamp et al. (2001) examined both time in treatment, as well as the number of treatment contacts on any re-arrest, drug re-arrest, and non-drug re-arrest in both Las Vegas and Portland drug courts. In Las Vegas, they found the number of treatment contacts was associated with a lower probability of re-arrest for any offense and a non-drug offense, while the length of time in treatment lowered the probability of a drug re-arrest. However, these findings were not replicated in Portland, where neither measure of treatment was associated with the re-arrest measures. Anspach and Ferguson (2003) also found variation in the impact of treatment by site. They assessed the impact of treatment (percentage of treatment sessions attended) on both in-program and post-program arrest in four jurisdictions (Bakersfield, CA; Creek County, OK; Jackson County, MO; and St. Mary Parish, LA). In Bakersfield, they found that attending a greater proportion of treatment sessions decreased the incidence of arrest during the program. In St. Mary's Parish, treatment was found to have a direct negative impact on arrest within 12 months

of discharge; while in both Bakersfield and Creek County, the impact of treatment was entirely indirect, through its positive impact on program completion.

In a study of the Baltimore City Drug Treatment Court, which serves a high-risk drug-addicted population, offenders were randomly assigned to the drug court or "treatment as usual." Of those assigned to the court, only half received treatment (defined as participation in a certified program for at least 10 days) and others did not. Gottfredson and colleagues (2003) found that drug court participants who were treated were less likely to be re-arrested, had fewer new arrests than both untreated drug court defendants and non-drug court control group defendants, and had fewer new arrests in a two-year follow-up period.

Three years after the random assignment, Gottfredson et al. (2007) interviewed 157 of the 235 defendants about their experiences during this time period. They calculated the number of days the participants had been in drug treatment during the entire three-year follow-up period based on self-reports of the beginning and end dates of each treatment episode. They used structural equation modeling to examine the impact of various court components on crime variety, drug variety, and frequency of multiple-drug use. Although they found that time in treatment was associated with a reduction in the frequency of multiple-drug use, participation in drug court did not mediate this effect. Additionally, they found no association between treatment days and crime variety or drug variety.

In a study of the Multnomah County Drug Court, Finigan et al. (2007) found that the greater number of days in substance abuse treatment is associated with significantly lower recidivism. Senjo and Leip, examining a drug court in Florida, found that the number of treatments is associated with an increase in the percentage of passed drug tests (2001a), but does not improve program completion (2001b). In Delaware, Saum, Scarpitti, and Robbins (2001) similarly found that treatment length was not related to graduation from drug court; however, the type of treatment might impact success. Offenders who were treated in a therapeutic community had marginally significant ($p=.06$) better success in drug court than those attending other types of treatment programs.

In many of the preceding studies that found a positive effect of treatment, it remains unclear whether treatment was truly responsible for the reported positive outcomes or whether treatment dosage stood as a proxy measure for compliance—that is, those who complied longer with the drug court presumably received more treatment and, as a related outcome, had a lower re-arrest rate.

While each study above looked at an individual's treatment receipt, Harrell et al. (2001) compared defendants randomly assigned to one of three court dockets (sanctions, treatment, and standard). Although assignment to docket was random, the defendant had an option to decline the treatment and sanctions programs. This allowed Harrell et al. (1999) to make both experimental "intent-to-treat" comparisons and quasi-experimental comparisons of the actual participants. Defendants who were eligible for the treatment program and those who participated were more likely to have drug-free urinalysis results in the month prior to sentencing than those on the standard docket and also had a lower percentage of positive tests; however, these differences were not found for self-reported use. While the program eligibles and participants did

not differ from those assigned to the standard docket on having any arrests, the number of arrests, or the number of arrests per days on the street, they did have fewer drug arrests in the year after sentencing. Additionally, eligibles and participants reported similar rates of any re-offense as did those on the standard docket, but the participants reported fewer offenses overall and for certain crime types.

Sanctions

In their study of drug courts in Portland and Las Vegas, Goldkamp et al. (2001) found that sanctions, especially jail, may be associated with greater probability of arrest. In Las Vegas, measures of any sanctions and jail sanctions were both associated with increases in the probability of any re-arrest, drug re-arrest, and non-drug re-arrest. The results were similar in Portland, where jail sanctions were associated with an increase in any re-arrest and drug re-arrest. In a study of ten years of Portland's drug court, Finigan et al. (2007) also found that sanctioning drug court participants is associated with higher re-arrest rates. Such findings may not mean, per se, that sanctions were the cause of deleterious outcomes; more likely is that those who were sanctioned represented a noncompliant pool, inherently at higher risk for additional noncompliance in the form of future re-arrest.

In a study of the Hamilton County Drug Court program, sanctions (including fines, drivers' license suspension, and probation) were not actually found to be associated with arrest, drug arrest, incarceration, or a drug incarceration (Listwan et al. 2003). In their randomized trial that compared a graduated sanctions docket to a standard docket, Harrell et al. (1999) found that offenders on the sanctions docket were less likely to test positive for drugs in the month before sentencing and also had a lower percentage of positive drug tests than standard docket offenders. However, they did not find any differences for self-reported drug use during the year after sentencing. Those who were eligible for the sanction program reported fewer offenses, and the actual participants were less likely to be arrested and reported committing fewer offenses in the year after sentencing than those on the standard docket. However, participants were not less likely to report committing any offense that year.

Other Judicial Characteristics

In their examination of a ten-year period of Multnomah County's drug court, Finigan et al. (2007) were able to examine whether judges differ in their success in reducing recidivism and also whether they improve with experience. Indeed, they found that all judges exhibited fewer re-arrests for the drug court participants than comparison cases; however, the reductions range from 4 to 42 percent, and the differences were not always significant. Additionally, they found that judges have better outcomes on their second rotation on the drug court bench compared with their first drug court experience.

In a test of therapeutic jurisprudence theory using Broward County drug court participants, Senjo and Leip (2001a) found that supportive judicial comments were positively associated with passed drug tests, while adversarial comments were positively associated with failed drug tests. A higher proportion of supportive comments were also found to increase the likelihood of completing drug court program (Senjo and Leip, 2001b).

Economic Studies

We identified nine prior cost-benefit analyses of drug courts: four were conducted by NPC Research (Carey and Waller 2008; Finigan 1998; Finigan et al. 2007; Mackin et al. 2009); two were conducted by the Urban Institute (Harrell et al. 1999; Harrell, Mitchell, et al. 2003), and the remaining three were each conducted independently (WSIPP 2003; Loman 2004; Zarkin, Dunlap, Belenko, and Dynia 2005). The nine analyses evidence substantial variation in methods and data employed. The majority have used only administrative data (Washington State Institute for Public Policy 2003; Carey and Waller 2008; Finigan 1998; Finigan et al. 2007; Loman 2004; Mackin et al. 2009; Zarkin et al. 2005). Only Harrell et al. (1999) and Harrell et al. (2003) employed self-reported data. The length of follow-up also varied widely. The shortest study only considered the effects of drug court over the nine months following enrollment (Harrell et al. 2003), while the longest looked at outcomes up to ten years later (Finigan 2007; Mackin et al. 2009).

A number of these only considered crime and continued involvement with the criminal justice system as potential benefits (Aos et al. 2003, Finigan et al. 2007, Harrell et al. 1999, Harrell et al. 2003), while several do not consider reduced crime as a benefit of the program and instead present only costs and benefits accrued to state agencies (Carey and Waller 2008, Mackin et al. 2009, Zarkin et al. 2005)[13]. Only two considered other potential benefits, such as employment and welfare usage (Finigan 1998, Loman, 2004). Overall, the estimates are not directly comparable because of inconsistencies in considered costs and benefits.

Methods employed also vary widely. Only one study used a control group based on random assignment to identify program impacts (Harrell et al. 1999). All four NPC analyses use individuals who did not participate in drug court as the comparison group. The studies vary to the extent they account for observable differences in group attributes, and the papers argue that unobservable differences, such as differences in motivation, do not need to be accounted for. Zarkin et al. (2005) compare drug court participants with drug-involved offenders who were sentenced to prison instead of a diversionary program. Loman (2004) compares drug court graduates to probation completers to restrict the sample to only those motivated to succeed in a criminal justice supervision program. Harrell et al. (1998) analyze two different "types" of drug courts—a treatment intensive court and a sanctions intensive court—and compare these to outcomes among a population treated as usual. WSIPP (2003) employs rigorous quasi-experimental designs by drawing two different comparison groups: drug-involved offenders arrested before the drug court began and drug-involved offenders arrested in neighboring counties, without drug courts. Employing both samples and multiple methodologies to adjust for group differences, WSIPP (2003) conducted six separate analyses and meta-analyzed them to produce a single impact estimate.

Regardless of the comparison group, many of the studies employed matching techniques to balance the treatment and comparison samples. These matches, however, were often based only on age, race, gender, number of prior arrests, and current offense (Carey and Waller 2008,

[13] Mackin et al. (2009) also did not consider drug treatment as a cost. Thus, the cost and benefit of drug court that research suggests are the largest—drug treatment and averted crime, respectively—were both excluded.

Finigan 1998, Mackin et al. 2009). While some others account for juvenile record (WSIPP 2003), only two were able to account for history of drug abuse and motivation to seek treatment (Loman 2004, Zarkin et al. 2005). The other studies did not use matching techniques either because they employed pre-post comparison methods (Harrell et al. 2003), random assignment (Harrell et al. 1999), or simply did not balance the samples (Finigan et al. 2007).

The substantial variation in research design carries through to the findings. Of the nine studies, eight estimate net benefits per participant.[14] For the roughly two years following program enrollment, these estimates range from $2,944 per participant (Mackin et al. 2009) to $88,554 per participant (Zarkin et al. 2005). Most of the variation is explained by methodological considerations. For instance, the high estimates of Zarkin et al. (2005) are largely driven by differences in prison use. Given that the comparison group was drug offenders sentenced to prison, this finding is not surprising.

Other findings, however, seem anomalous and are difficult to explain. For instance, Finigan et al. (2007) found that drug court participants used over $1,000 less in drug treatment than the comparison group. Closer inspection suggests that this result is largely driven by the fact that the treatment group was not given residential treatment, while the comparison group was, and that the hourly price of group therapy for the treatment group was a third of what it was for the comparison group. The suggestion that jurisdictions stand to save money on drug treatment by implementing a drug court seems counterintuitive and inconsistent with the drug court model. Collectively, the analyses do not present a clear picture of the net benefits of drug court. While most studies suggest that putting an individual through drug court is more costly than the status quo, several estimate that it is the less expensive option (Carey and Waller 2008, Finigan et al. 2007).

There are some commonalities among studies, however. All studies that considered it found that the costs of criminal victimization were substantially reduced by drug court participation, and most found this to be one of the largest benefits (Finigan 1997, Harrell et al. 1999, Loman 2004). Similarly, all studies found reductions, albeit sometimes small (Mackin et al. 2009) in incarcerations, and all studies (except Harrell et al. 1999) found reductions in costs of arrests. Court costs were almost universally higher (except in Mackin et al. 2009). Though little is conclusively known about the various costs associated with drug court processing or outcomes, on aggregate, the evidence suggests that the benefits outweigh the costs, and all studies estimate that drug court participation produces positive net benefits to society.

Conclusions

Taken together, the body of literature on the effectiveness of drug courts consistently finds that drug courts are effective at reducing criminal behavior. However, limitations in many of the studies' designs and methods suggest that caution is warranted when interpreting these results. Analytic improvements, such as employing matched comparison groups and following participants throughout extended follow-up periods, have improved the quality of recent studies; nonetheless, the overall quality remains low. In addition, further research on the effectiveness of

[14] Harrell et al. (2003) report only benefit-cost ratios.

drug courts in impacting outcomes other than recidivism, particularly substance abuse and psychosocial outcomes, would advance our understanding of the full impact that drug courts have on the lives of participants. Finally, research in the area of what works for whom, is a major priority, in order to understand the mechanisms through which drug courts appear to facilitate outcomes and to identify specific subgroups that can benefit the most from the key drug court components.

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Chapter 3. Research Design and Data Collection and Analysis Strategy

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NIJ's MADCE study entailed several components, including a survey of Adult Drug Courts, a rigorous site selection process for the evaluation, and the collection of process, outcome, impact, and cost data across the evaluation sites. This chapter describes the methods and analytic approaches employed in conducting the MADCE.

MADCE Adult Drug Court Survey

The first task of NIJ's MADCE was to conduct a nationwide survey of Adult Drug Courts. This task served two purposes. First, analysis of this survey provides the field with information on adult drug court characteristics and operations throughout the United States, and identifies similarities and differences in how the programs work. Second, findings from this survey were used to guide our selection of the 23 drug courts included in the multi-site impact evaluation, where the sample was chosen purposively to achieve variation in programs that reflect the differences existing in drug courts and the populations they serve across the country.

Between February and June 2004, we conducted a web-based survey of drug courts that primarily served adults and were in operation for at least one year at that time. We identified a sample of 593 active adult drug courts across the United States meeting these criteria. A total of 380 drug courts completed our survey, resulting in a 64 percent response rate.[15, 16]

The Urban Institute, with input from CCI and RTI, created a web-based, user-friendly survey for drug court program officials to complete. Using information from previously conducted drug court surveys,[17] as well as the theoretically-grounded conceptual framework developed for this evaluation, a survey instrument was designed to cover a wide variety of program characteristics and operations. To ensure that we incorporated inter-court variation in our sample for the full evaluation, we included information in the web-based survey that would be part of our sampling

[15] Courts were contacted numerous times and through numerous avenues to request participation in the study. Letters, postcard reminders, and e-mails were sent from the National Institute of Justice, the National Association of Drug Court Professionals, and from Urban Institute research staff. Research staff also made additional telephone contact with courts to encourage participation.

[16] A total of 635 drug courts were identified as meeting study criteria at the time of the data collection. From this list, 42 courts were dropped from the sample because we determined that they either had ceased to operate or had not been in operation for at least one year, yielding a final sample of 593 active adult drug courts.

[17] American University/Drug Court Clearinghouse and Technical Assistance Project 1999 Program Update Survey; Cooper 2001; National TASC 1999; New York State Unified Court System Statewide Drug Court Research Project Appendix A: Drug Court Survey and Appendix B: Drug Court Survey Update (July 29, 2002); Teen Court Evaluation Project: Teen Court Questionnaire. The Urban Institute; Appendix 1 of DCPO Drug Court Monitoring, Evaluation, and Management Information Systems report—Drug Court Needs Assessment of Evaluation and Management Information Systems.

criteria for the impact evaluation. Thus, we addressed court-related constructs reflected in the evaluation's conceptual framework in the web-based survey questions. Specifically, we asked courts about the comprehensiveness of the drug treatment being offered to program participants, about day-to-day monitoring and accountability of participants (such as drug tests, judicial review hearings, and case management), and about courtroom procedures, including the extent to which they provide both sanctions and rewards, and how these processes work operationally. These data provided the information we needed to understand court operations when selecting our sample of drug courts to consider for the study.

The resulting survey included five major sections, as well as subsections covering more specific topics within each area. The five sections were (1) General Information (including population served, points of entry into the program, and case flow), (2) Program Structure (including program characteristics, eligibility criteria, and substance abuse assessment), (3) Program Operations (including management information systems, entry into the drug court program, program staffing, case management, and program contacts), (4) Treatment and Drug Testing (including substance abuse treatment services and drug testing), and (5) Courtroom Practices (including courtroom practices, infractions and sanctions, achievements, and graduation). The web-based data entry form was set up so that respondents could complete and save individual sections, and return to the survey at a later date, if necessary, to complete any remaining sections. Full findings from the survey are provided in Volume 2.

Site Selection

The MADCE is designed to compare drug court participants to offenders with similar drug use and criminal history profiles in comparison jurisdictions. As described in further detail in this section, the comparison jurisdictions either do not offer drug courts or have a greater number of drug-involved offenders than can be enrolled in drug court or who do not meet the criteria for the local drug court, but may meet the criteria of drug courts in other areas of the country. NIJ's evaluation framework was designed to maximize the number of court- and individual-level observations, while minimizing the costs associated with survey data collection. To do so, the evaluation team (along with a panel of expert advisors and representatives from the National Institute of Justice) identified key court-level components for which we wanted substantial heterogeneity across courts, while at the same time including geographically-clustered courts. An extensive site selection process was undertaken to identify drug court and comparison sites that met basic evaluability criteria[18] and that collectively reflected substantial variation in court-level characteristics identified as critical to the definition of drug court operations.

[18] Basic evaluability criteria included courts and jurisdictions keeping basic information about clients in management information systems, a regular flow of new clients, and a willingness to participate in the evaluation.

Key Drug Court Components for Site Selection

As noted above, the first step in the process was to conduct the web-based survey of drug courts that primarily served adults and were in operation for at least one year at that time. Simultaneous to that survey, we conducted the second step in the site selection process. In April 2004, the evaluation team convened a working group meeting of substantive and technical experts—including other researchers from UI, CCI, and RTI, academicians, policymakers, and representatives from NIJ—to assist us in developing court selection criteria. The group came to consensus that three drug court components should be the focus of the site selection procedures:

- Provision of *substance abuse treatment.*
- *Leverage* the court has in monitoring clients.
- *Predictability of sanctioning* policies of the courts.

We agreed that the final drug court sample should include sites that vary on two of these three drug court components. However, given that substance abuse treatment is the heart of the drug court model, the group decided that if a program did not provide such treatment to clients, it should be eliminated from consideration as a drug court site. In the web-based survey, we asked courts which types of treatments were available at the time of data collection. Courts had to identify at least one type of treatment to remain in the candidate pool of sites.

For leverage, we wanted to capture the supervision and monitoring for which the drug court was responsible. If drug courts were responsible for monitoring clients, it was assumed clients were more closely supervised than in other scenarios where other entities (e.g., probation or the drug treatment agency) provide that function. In those scenarios, monitoring is essentially outside of the rubric of the drug court program. Thus, we divided the sample of courts into two categories: those where drug court staff specific to the program provided case management to clients and those where primary case management responsibilities were outside the program's personnel.

Another core component of the drug court model is the predictability of sanctions when necessary; key to the influence courts have over clients is their knowledge that a sanction is coming. Consequently, the measure of sanctions we used to examine this aspect of site selection criteria is whether or not the drug court program reported having a written schedule of sanctions defining which sanctions accompany given infractions.

In combination, these three features yield many theoretically possible site configurations. However, for drug court sites, only four possible program configurations existed given the study criterion that providing some substance abuse treatment was necessary for qualification as a drug court (see Table 1-3.1).

The first cell of the table includes courts with primary case management in the court, as well as a written schedule of sanctions, representing a high leverage/high predictability of sanctions court. The second and third cells of the table are courts that are high on one component and low on another in that each includes primary case management in the court or a written schedule of sanctions, but not both. Finally, the fourth cell would be low on both components as these are

courts that have neither case management in the court, nor a written schedule of sanctions. The expert advisors recommended that four to six drug courts should be selected to represent each cell.

Table 1-3.1. Drug Court Site Configurations

Written Schedule of Sanctions?	Case Managed by Court?	
	Yes	No
Yes	High leverage/High predictability of sanctions	Low leverage/High predictability of sanctions
No	High leverage/Low predictability of sanctions	Low leverage/Low predictability of sanctions

Table 1-3.2 shows the total number of drug courts in the drug court web survey sample for each of the four possible program configurations.[19] Table 1-3.2 suggests that drug courts are somewhat evenly distributed across the four configurations. The largest cohort—about one-third of courts—is low on both leverage and predictability, with neither a written schedule of sanctions, nor a drug court-based case manager.

Table 1-3.2. Total Number of Drug Courts by Leverage and Sanction Scores

Written Schedule of Sanctions?	Case Managed by Court?	
	Yes	No
Yes	84 (24.6%)	70 (20.5%)
No	80 (23.4%)	108 (31.6%)

Source: Urban Institute MADCE Adult Drug Court Survey
Note: N=342

For the comparison sites, drug court-administered case management was not applicable. However, these sites could vary on the predictability of sanctioning policies and on the extent to which offenders had access to substance abuse treatment. Therefore, four possible configurations for comparison sites are characterized by high and low levels of predictability of sanctions and treatment (see Table 1-3.3). Expert advisors recommended that one or two sites be selected to represent each cell of the comparison site configurations.

[19] Only 342 were included in this analysis because 9 drug courts failed to answer one or both the leverage and sanctions questions and were excluded, 21 courts were excluded because the served a population primarily composed of marijuana users, and 2 courts were excluded because they primarily served a population returning from jail or prison.

Table 1-3.3. Comparison Site Configurations

Written Schedule of Sanctions?	Incorporates Substance Abuse Treatment?	
	Yes	No
Yes	High predictability of sanctions/ High treatment	High predictability of sanctions/ Low treatment
No	Low predictability of sanctions/ High treatment	Low predictability of sanctions/ Low treatment

The discussion at the external advisors meeting laid the groundwork for the site selection process. However, it was decided that the crude measures of predictability of sanctions and leverage discussed at that time did not fully inform us about a court's operations along these key components. Additionally, we wanted more information from each potential site about treatment practices. Thus, the evaluation team devised expanded definitions of the three key components of interest—treatment, leverage, and predictability of sanctions—to be explored more fully during the site recruitment process (described in detail below).

Identifying and Recruiting the Drug Court and Comparison Sites

Using a combination of HotSpot mapping and subjective criteria about how geographically close courts were, 16 potential geographic clusters of drug courts were identified for consideration.[20] From here, we prioritized which clusters to pursue for inclusion in the study by doing the following: (1) examined each cluster closely for proximity of drug courts, client case flow in drug courts to ensure steady study enrollment, and potential for identifying nearby comparison jurisdictions; (2) identified drug court clusters that reflected geographic diversity across the United States, to the best of our ability; and (3) eliminated drug court clusters in California because of state proposition 36 that required all jurisdictions provide substance abuse treatment to drug-involved offenders as an alternative to incarceration, thus, effectively making these jurisdictions different than any others in the country.

The seven drug court clusters first targeted included a cluster of drug courts in upstate New York, the mid-Atlantic, North Carolina (with one South Carolina drug court), Washington state, Florida, Oklahoma, and the Midwest, primarily Illinois and Indiana. Although the Oklahoma courts were seriously considered in the first round of discussions, this group of courts was eliminated before the next steps in the site selection process due to too few courts and too few clients.

Evaluation team members contacted drug courts within the remaining six clusters to explore drug court practices regarding treatment, sanctioning, and leverage; to begin identifying willingness to participate and possible comparison sites; and to assess evaluability. We asked drug court coordinators a series of questions about their court operations during the calls in order to expand our understanding of their responses to questions in the web-based survey about the key court

[20] The need to identify geographically proximate sites was driven by study resource constraints. We wanted to relatively close sites to limit travel expenses.

components of interest. This process helped us move beyond the crude measures previously identified to represent predictability of sanctions and leverage, as well as more fully understand treatment practices. For each key component, we asked if courts implemented a series of operational strategies. Then, based on the answers to these inquiries, we were able to give each court a score for each key component. The elements of the scoring procedure were as follows:

- Treatment (6 points total)
    - The treatment provided by the drug court is structured—that is, a treatment program manual is followed (2 points).
    - A clinical assessment is conducted for treatment needs (1 point).
    - Individualized treatment plans are developed for each client (1 point).
    - Individualized treatment plans are used to make referrals (1 point).
    - Individualized treatment plans are updated periodically (1 point).
- Leverage (8 points total)
    - Case management is conducted by someone who is an actual employee of the drug court (2 points).
    - Current drug court participants regularly participate in court hearings (2 points).
    - The court has explicit consequences for dropping out or failing out (2 points).
    - The client is told about the explicit consequences (1 point).
    - The explicit consequences are in a contract for the client to sign (1 point).
- Predictability of Sanctions (6 points total)
    - The court maintains an official schedule of sanctions (2 points).
    - Clients are provided with the official schedule of sanctions (2 points).
    - The official schedule of sanction is always or almost always followed (2 points).

In addition to scoring sites on key drug court components of interest, in each cluster, we attempted to identify potential comparison sites, which included jurisdictions that did not have a drug court, and within these jurisdictions, mechanisms for identifying drug-involved offenders. If a jurisdiction did not assess for or record an offender's drug use, we could not be sure that we were indeed including offenders who had substance use issues comparable to those who made it into drug courts. Thus, we investigated whether nearby jurisdictions were able to identify drug-involved offenders in their system. For example, we considered sites with assessment protocols at pretrial that flagged offenders for treatment referral, sending them to either court-based treatment services or community-based treatment programs. We also examined the possibility of identifying similar offenders in probation systems (i.e., individuals who were referred to treatment).

After initial phone conversations and negotiations, the team members visited each potential court and comparison site to finalize the design and logistical considerations related to participation.

These visits included meeting with all relevant site personnel, compiling all written policies and materials used for the drug courts, and reviewing court management information systems.

Like many evaluation studies, we met several stumbling blocks and real-world challenges preventing us from including particular courts and comparison sites, such as:

- In the mid-Atlantic cluster, we faced several challenges to including all courts identified. One simply refused to participate, and one court lost its judge—and therefore its active drug court—because he was called into active duty in the military.
- Two courts in Florida refused to participate. One did so because we offered cash incentives for completing surveys and they had a philosophical disagreement with that. However, for methodological, ethical, and logistical reasons, we needed to offer incentives to all participants in the study regardless of the jurisdiction in which they lived.
- We were unsuccessful in garnering support from the court in Indiana that we contacted, and ended up downsizing the Midwest cluster to just be in Illinois.
- One county in Washington State had agreed to conduct a random assignment sub-study as part of the overall evaluation. However, once the study actually began enrolling participants, the site decided against this and instead enrolled drug court participants based on prosecutor and judge preferences. Fortunately, although no longer willing to conduct random assignment, the site was still willing for us to retain a comparison sample there and to select non-drug court, drug-involved offenders from within the jurisdiction who were similar to study participants in offense history.

Despite complications such as these, when data collection started in March 2005, the design included 28 drug courts and seven comparison sites in six geographic clusters (see Table 1-3.4). We started with three drug courts in Illinois, eight courts in NY, two courts in Pennsylvania, two in Florida, six in Washington, and seven in the Carolinas.

After data collection started, we ran into further complications, which led to some sites dropping out of the sample. Again, this is typical of large-scale evaluations. The specific sites lost were:

- One jurisdiction identified as a comparison site agreed and even participated in a site visit, but then never again answered calls to the site, despite multiple efforts to communicate with them.
- DeKalb County in Illinois dropped out of the study because the drug court lost its judge, and therefore, its court.

Table 1-3.4. List of MADCE Drug Court and Comparison Sites when Data Collection Began in March 2005

MADCE Drug Court Programs
Rehabilitation Alternative Program (R.A.P.) – IL
Kane County Rehabilitation Court – IL
De Kalb County – IL
Auburn Drug and Alcohol Treatment Court – NY
Lackawanna City Drug Court –NY
Batavia City Drug Treatment Court –NY
City of Niagara Falls Drug Treatment Court – NY
Syracuse Community Treatment Court – NY
Finger Lakes Drug Court – NY
Finger Lakes Drug Court, felony division – NY
Wayne County Drug Treatment Court – NY
Chester County Drug Court Program – PA
Philadelphia Treatment Court – PA
Osceola County Drug Court – FL
Volusia County Adult Drug Court Program – FL
Seattle Drug Court – WA
Kitsap County Adult Drug Court – WA
Pierce County Felony Drug Court – WA
CHART Court – WA
Thurston County Drug Court – WA
King County Drug Court – WA
York County Drug Treatment Court – SC
Person/Caswell – NC
Forsyth County Adult Drug Court – NC
E. Raymond Alexander Drug Treatment Court – NC
S.T.E.P. Drug Treatment Court- NC
S.T.E.P. Superior Drug Treatment Court – NC
S.T.E.P. District Drug Treatment Court – NC
MADCE Comparison Sites
Pierce County – Drug Offender Sentencing Alternative and Breaking The Cycle – WA
IL TASC – IL
Probationers court ordered to drug treatment in Judicial Division 3 (10 counties)– NC
Probationers court ordered to drug treatment in Judicial Division 4 (1 counties) – NC
Human Services Associates TASC – FL
Stewart-Marchman-ACT Behavioral Health Care – FL
Montgomery Co TASC – PA

- State funding for the North Carolina drug court programs was in jeopardy of being cut and, as a result, the courts had to scale back in size (some stopped enrolling new clients) and treatment intensity. The North Carolina drug courts withdrew from the study in July 2005. The comparison sites in North Carolina were retained, and the eligible counties were expanded to include the five counties that operated drug courts that were no longer enrolling new clients. In addition, the one drug court in South Carolina that was part of the original cluster was retained.

  Because we lost the North Carolina cluster of courts, we sought to add another cluster of courts located in the south. In July and August 2005, we connected with and garnered agreement from the drug courts located in southeastern Louisiana, primarily in New Orleans. After hurricane Katrina struck in August of 2005, we were unable to go forward with these courts. We then connected with two courts in Georgia and were able to start an entirely new cluster of courts there. Study enrollment started October 2005 in Fulton County, and February 2006 in Hall County.

Thus, the final sample for the impact study includes 23 drug courts and six comparison jurisdictions located in seven geographic "clusters" (see Table 1-3.5). The participating sites included two courts in Illinois, eight courts in NY, two courts in Pennsylvania, two in Florida, six in Washington, one in South Carolina, and two in Georgia. More information about the final drug court and comparison sites is provided below.

Table 1-3.5. Final List of MADCE Drug Court and Comparison Sites Included in Study

MADCE Drug Court Programs
Rehabilitation Alternative Program (R.A.P.) – IL
Kane County Rehabilitation Court – IL
Auburn Drug and Alcohol Treatment Court – NY Lackawanna City Drug Court –NY
Batavia City Drug Treatment Court –NY
City of Niagara Falls Drug Treatment Court – NY
Syracuse Community Treatment Court – NY
Finger Lakes Drug Court – NY
Finger Lakes Drug Court, felony division – NY
Wayne County Drug Treatment Court – NY
Chester County Drug Court Program – PA
Philadelphia Treatment Court – PA
Osceola County Drug Court – FL
Volusia County Adult Drug Court Program – FL

(continued)

Table 1-3-5. Final List of MADCE Drug Court and Comparison Sites Included in Study (Cont'd)

MADCE Drug Court Programs
York County Drug Treatment Court – SC
Seattle Drug Court – WA
Kitsap County Adult Drug Court – WA
Pierce County Felony Drug Court – WA
CHART Court – WA
Thurston County Drug Court – WA
King County Drug Court – WA
Fulton County – GA
Hall County Drug Court – GA
MADCE Comparison Sites
Pierce County – Drug Offender Sentencing Alternative and Breaking The Cycle – WA
IL TASC – IL
Probationers court ordered to drug treatment in Judicial Division 3 (13 counties)– NC
Probationers court ordered to drug treatment in Judicial Division 4 (3 counties) – NC
Human Services Associates TASC – FL
Stewart-Marchman-ACT Behavioral Health Care – FL

Description of Final Drug Court Sites and Variability along Key Drug Court Components

Based on the conversations we had with sites during site recruitment phone calls, we were able to score the sites included in the study along the components of greatest interest—treatment, leverage, and predictability of sanctions, as described above. The 23 drug courts in our final sample all provided substance abuse treatment to clients. Using our expanded definition of treatment—that clinical assessment is used to assess treatment needs, that treatment is structured, and that individual treatment plans are created, used for referral, and updated periodically—15 courts were scored as fully implementing these treatment practices (a score of six points). Six courts scored as either a 4 or 5 (meaning they employed most of the treatment practices, but not all), two courts scored as either a 3 or less, and no courts received a score of zero. Thus, all but two courts implemented practices we believed characterized evidence-based treatment.

Using our expanded definition of leverage—that case management was provided by drug court staff directly, clients participated in regular court hearings, and the court had explicit consequences that were told to clients and were in contracts signed by the clients—11 courts were scored as a 7 or 8, meaning they did all or nearly all these practices. Six courts were scored as a 5 or 6, and six courts scored as a 4 or less. Based on these ratings, all but six of the 23 courts did at least half or more of the practices that we believed characterized leverage. As with the treatment scoring, no courts received a score of zero for leverage.

Finally, using our expanded definition of predictability of sanctions—the court maintains an official schedule of sanctions, clients are provided with the schedule of sanctions, and the schedule is always or almost always followed—nine courts scored as a 6, meaning they implemented all of these practices and their sanctioning practices were highly transparent to clients. Three courts scored as a 4 or 5, and one court scored a 3. Notably, ten courts scored a zero on predictability of sanctioning, meaning the sanctioning policies in these courts were ad hoc and clients could not be certain that particular behaviors would lead to particular sanctions, nor could they be certain that multiple infractions would lead to more or less severe sanctions.

Table 1-3.6 looks across two of the three key components of interest—leverage and predictability of sanctions, given that some level of treatment is a constant in each site—to see how many of the courts in our final sample fall into cells identified in Table 1-3.1. Thus, our sample of drug courts sites includes 11 courts (47.8 percent) classified as high leverage and high predictability of sanctions. Five courts (21.7 percent) were classified as low leverage and low predictability of sanctions. The remaining 7 courts (30.4 percent) were high on one component and low on another.

Table 1-3.6. Final Drug Court Sites by Leverage and Predictability of Sanction Scores

Predictability of Sanctions	**Leverage**	
	High (Scores 5–8)	Low (Scores 1–4)
High (Scores 4–6)	11 (47.8%)	1 (4.3%)
Low (Scores 0–3)	6 (26.1%)	5 (21.7%)

Source: Site recruitment phone calls.
Note: N=23; Georgia site information (N=2) is based on process evaluation data from site visits because they were not part of the initial sample of sites during the site recruitment stage.

To convey additional programming features in each court, Table 1-3.7 includes a brief description of each of the 23 drug courts in the final sample. Notably, all the courts provided treatment and case management services, and all required judicial status hearings and drug testing.

Table 1-3.7. Brief Description of Drug Court Sites

Site	Brief Description
A	• clients entered drug court both pre plea and post plea • case management services provided by drug court staff • used a written schedule of sanctions • number of active cases during site visit was 110
B	• clients entered drug court both pre plea and post plea • case management services provided by drug court staff • no written schedule of sanctions • number of active cases during site visit was 105
C	• clients entered drug court both pre plea and post plea • case management services provided by drug court staff • used a written schedule of sanctions • number of active cases during site visit was 171
D	• clients entered drug court both pre plea • case management services provided by drug court staff • used a written schedule of sanctions • number of active cases during site visit was 99
E	• clients entered drug court post plea • case management services provided by probation • no written schedule of sanctions • number of active cases during site visit was 180
F	• clients entered drug court post plea • case management services provided by drug court staff • no written schedule of sanctions • number of active cases during site visit was 220
G	• clients entered drug court post plea • case management services provided by drug court staff • no written schedule of sanctions • number of active cases during site visit was 57
H	• clients entered drug court both pre plea and post plea • case management services provided by drug court staff • used a written schedule of sanctions • number of active cases during site visit was 150
I	• clients entered drug court post plea • case management services provided by drug court staff • used a written schedule of sanctions • number of active cases during site visit was 61
J	• clients entered drug court both pre plea and post plea • case management services provided by drug court staff • no written schedule of sanctions • number of active cases during site visit was 70
K	• clients entered drug court both pre plea and post plea • case management services provided by drug court staff • no written schedule of sanctions • number of active cases during site visit was 294
L	• clients entered drug court post plea • case management services provided by drug court staff • no written schedule of sanctions • number of active cases during site visit was 29

(continued)

Table 1-3.7. Brief Description of Drug Court Sites (Cont'd)

Site	Brief Description
M	• clients entered drug court post plea • case management services provided by drug court staff • no written schedule of sanctions • number of active cases during site visit was 51
N	• clients entered drug court post plea • case management services provided by drug court staff • no written schedule of sanctions • number of active cases during site visit was unavailable
O	• clients entered drug court post plea • case management services provided by probation • no written schedule of sanctions • number of active cases during site visit was unavailable
P	• clients entered drug court post plea • case management services provided by drug court staff • used a written schedule of sanctions • number of active cases during site visit was unavailable
Q	• clients entered drug court post plea • case management services provided by drug court staff • no written schedule of sanctions • number of active cases during site visit was 36
R	• clients entered drug court pre plea • case management services provided by drug court staff • used a written schedule of sanctions • number of active cases during site visit was 500 (combined with King County caseload number)
S	• clients entered drug court pre plea • case management services provided by probation • used a written schedule of sanctions • number of active cases during site visit was 78
T	• clients entered drug court pre plea • case management services provided by treatment provider • no written schedule of sanctions • number of active cases during site visit was 500
U	• clients entered drug court pre plea • case management services provided by treatment provider • used written schedule of sanctions • number of active cases during site visit was unavailable
V	• clients entered drug court pre plea • case management services provided by treatment provider • no written schedule of sanctions • number of active cases during site visit was 60
W	• clients entered drug court pre plea • case management services provided by drug court staff • used a written schedule of sanctions • number of active cases during site visit was 500 (combined with Seattle caseload number)

Sources: MADCE process evaluation site visit data and Urban Institute MADCE Adult Drug Court Survey.

Description of Final Comparison Sites and Variability along Key Components

The final set of comparison sites represented the diverse set of activities employed in jurisdictions throughout the country that do not implement drug courts, including several modes of alternative treatment for drug-involved offenders. Also, some portion of our comparison sample came from counties that did indeed have drug courts, but either had more drug-involved offenders than could be enrolled in drug court or had drug-involved offenders who did not meet the criteria for the jurisdiction's drug court, but met criteria for drug courts in other areas of the country.[21] Comparison sites included:

- North Carolina Probation in Judicial Divisions 3 and 4: We identified individuals eligible for our comparison sample in North Carolina through the probation information management system. Eligibility criteria included probationers who entered supervision within the previous four weeks and who were (1) under supervision in counties that did not operate a drug court, or in drug courts that stopped enrolling new clients after the funding cuts in July 2005; (2) referred to substance abuse treatment (any type of treatment except DWI treatment only) by the sentencing judge at the time of their initial sentencing; and (3) at least 18 years old. The referring judge was the entity who specified the type of treatment offenders were to attend. Although probation officers obviously sanction their clients when needed, they did not necessarily follow a written schedule and were allowed discretion when making sanctioning decisions.
- The Pierce County comparison group was a pretrial group that came from the same county as the Pierce County drug court participants. We originally planned to do random assignment in this site, but then concerns raised by the drug court team members prevented us from doing so. Thus, we chose the comparison sample from a pool of offenders who did not meet the eligibility criteria for drug court in Pierce County, but who would have been accepted in other drug courts in our sample. We used current charge and criminal history summaries for those arraigned in Pierce County court for drug crimes to create three groups of offenders: (1) those who were eligible for drug court in Pierce county; (2) those who were not eligible for Pierce County drug court, but were eligible for other drug courts across the country and, therefore, eligible for our comparison group; and (3) those who met neither criteria and were eliminated from consideration. Charges that were eligible for our comparison group that were not eligible for Pierce County drug court included past domestic violence charges, current escape charges, and current prostitution charges.
- Most of the comparison sample in Pierce County was part of a special pretrial supervision caseload called Breaking the Cycle (BTC). In general, BTC cases were short because most defendants pled their cases moving them past the pretrial stage. However, while on this supervision caseload, defendants met with case managers, had random drug tests, had access to substance abuse treatment, and were subject to sanctions upon noncompliance.

[21] Selecting comparison group members that did not meet the eligibility criteria for a particular drug court, but who could have met criteria in other drug courts in the country was considered to be acceptable because the MADCE study design entailed pooling the comparison group members across the comparison sites (rather than a one-to-one drug court vs. comparison site design).

Although BTC violation hearings often resulted in a sanction of jail time, staff reported there was no formal sanction policy.

- Human Services Associates (HSA) TASC: Individuals identified for our comparison in this site came from two Florida counties. HSA provided substance abuse assessments to offenders referred by a judge or probation officer in these counties. The cases were already screened by the State's Attorney's Office and deemed unsuitable for a drug court program due to prior offense or the nature of their current offense. (Note that the drug courts in these two counties were not in our sample of drug courts and were quite small operations.) Once assessed, HSA referred clients to appropriate treatment providers. Recruitment eligibility criteria into the comparison sample included clients who (1) did not have a current violent offense, and (2) were declared ineligible for drug court for some other reason than the current offense, such as a mental health issue. Such individuals would have been allowed into drug court programs in other sites in our sample.
- Stewart-Marchman-ACT Behavioral Health Care: Stewart-Marchman serves the criminal justice populations of two Florida counties: Volusia (95 percent of clients) and Putnam (5 percent of clients). Comparison group cases were drawn from the Center's Anti-Drug Initiative (ADI) program. Although the ADI program has four tracks, only offenders referred to ADI Levels I and II were determined to be most comparable to drug court participants[22] (both in Volusia County and in drug courts in other sites around the country) in terms of drug use and criminal justice histories. ADI Level I is a diversion program for individuals with first and second time misdemeanor or felony drug possession offenses, who are referred from the State's Attorney's Office; the intervention spans six weeks and consists of intake, four group outpatient sessions, a discharge session, and random urinalysis. Clients who successfully complete the ADI Level I program have their charges dropped, while those who do not are referred back to the State's Attorney's Office for further disposition. The ADI Level II program is a court-ordered outpatient program for individuals with one or more felony drug possession charges (usually second- and third-time offenders), which lasts about six months; the intervention consists of group and individual sessions and random urinalysis. The State's Attorney's Office determines the eligibility criteria; drug dealers are not eligible. A subset of ADI Level II clients are clients who failed to successfully complete the ADI Level I program.
- Illinois TASC: The comparison sample members from Illinois were clients of IL TASC. Referrals to TASC came from any number of county criminal courts in Cook County when judges believed that a substance abuse problem existed.[23] TASC eligibility included (1) all charge types were eligible except for violent charges; (2) defendants must not have more than one prior violent conviction, although one such conviction is acceptable; and (3) defendants must be probation eligible since most defendants were sentenced to probation. The last criterion made the manufacture and delivery of drugs an ineligible charge for TASC, however, the defendant could still have been eligible if that charge was

[22] The comparison group sample does not include individuals who were offered the drug court and opted out or individuals who failed drug court.
[23] As such, some portion of this comparison group sample may have been offered the Cook County drug court program and declined participation.

reduced. Eligibility for our comparison was any client in the TASC program. TASC referred defendants to several community-based treatment modalities. TASC provided treatment progress updates to probation and the referring judge, but probationers were not subject to a written schedule of sanctions from which they would have been able to anticipate sanctions based on particular infractions.

In sum, all the comparison sites had some referral and access to treatment providers because of identified substance use issues. However, just because offenders were referred to treatment does not mean that such treatment was actually accessed. Also, although three of the sites had sanctioning responsibilities (both NC probation and the clients who came from Breaking the Cycle in Pierce County), none of these had written schedules of sanctions that allowed someone who violated the conditions of their supervision to anticipate the timing and nature of the sanctions. This is also true for the Illinois TASC clients who were also on probation and would be subject to sanctions, although not predictable. Thus, although the project's external advisory team recommended variation across the four cells in Table 1-3.8, the reality of the settings in which substance-using offenders find themselves as alternatives to drug court is such that all provide some referral and access to treatment and none are providing sanctioning in predictable, formal ways as drug court programs typically do.

Table 1-3.8. Comparison Group Configurations

		Incorporates Substance Abuse Treatment?	
		Yes	No
Written Schedule of Sanctions?	Yes	0	0
	No	6 (100%)	O

Offender Interviews

Instrument Design

One of the key data sources for the MADCE was interview data gathered among drug court participants and comparison offenders. The use of self-reported data from the perspective of the individuals who participate in the drug courts (and comparison conditions) enables a wide variety of outcomes other than criminal recidivism to be examined, such as self-reported criminal behavior, substance use, employment, mental health, and family functioning. In addition, by interviewing participants at key time periods in their program participation, detailed and timely information can be obtained on participants' attitudes and perceptions of the program, court and supervision experiences, and treatment received over the entire time period that participants are followed.

The interview time points selected by the evaluation team were baseline, 6 months post-baseline, and 18 months post-baseline. This interview schedule was considered the best use of limited study resources, based on the following rationale:

- Baseline interviews would reflect the respondents' experiences and behaviors as close to the point at which they began their drug court participation/comparison conditions as possible (ideally, before they began treatment or regular status hearings).
- Six-month follow-up interviews would enable respondents to report on their experiences throughout the initial—and most intensive—phase of drug court participation.
- Eighteen-month follow-up interviews would take place at a time when respondents in the majority of the participating drug courts had concluded their drug court program participation.

The content of the instruments, which is summarized in Table 1-3.9, was similar across the three interviews. The instruments were extremely comprehensive, covering a diverse set of outcomes (criminal behavior, compliance with supervision, substance use, mental health, employment, income, and family functioning), background characteristics, "in program" experiences (supervision intensity, court experiences, substance abuse treatment, support services), and attitudes and perceptions. An "item catalog" listing all items asked at each interview wave is included in Appendix A. Regarding the baseline measures, two points are noteworthy. First, the survey was administered within six weeks of the date when individuals entered either the drug court or the comparison condition, and in that sense may not be considered a "true" baseline. Also, for a small number of measures—relating to any abuse and any physical abuse over the past year—the questions were actually administered retrospectively during the six-month survey, but are treated as reporting background (i.e., baseline) characteristics with regard to trauma/abuse history.

The selection of constructs to include in the instrument was informed by consultation with the advisory group members who provided guidance on the evaluation design. Individual items and scales were selected based on a detailed review of existing items and scales successfully used with criminal justice-involved populations. Priority was given to items/scales with strong psychometric qualities. Several standardized scales were adapted for use, including: The Addiction Severity Index (Gavin, Ross, and Skinner 1989); Texas Christian University (TCU) Treatment Motivation Scales (problem recognition, desire for help, treatment readiness, external pressure (Knight, Holcom, and Simpson 1994); The Stages of Change Readiness and Treatment Eagerness Scale (SOCRATES, including problem recognition, ambivalence, and taking steps (Miller and Tonigan 1996); CES-D short form depression scale (Andresen, Malmgren, et al. 1994); and Anti-Social Personality Disorder (ASPD) and Narcissism scales derived from the structured clinical interview for the DSM-IV-TR (with the official diagnostic criteria framed in the format of structured interview questions) (American Psychiatric Association 2000).

Table 1-3.9. Domains and Constructs Covered in Interview

Domains	Associated Constructs
Demographics	• Age • Race/ethnicity • Gender • Educational attainment • Marital/relationship status • Parental status
Incarceration status/street time	• Current incarceration status • Time incarcerated during reference period (number of days each month; incarceration due to new crime or technical violation) • Time in hospital/emergency room during reference period (number of days each month) • Time in residential mental health treatment (number of days each month)
Criminal history, current offense, and drug court program entry	• Lifetime arrests (age of first arrest, number of arrest, convictions for specific crime types) • Incarceration history (juvenile detention, jail/prison) • Date of arrest that led to current criminal justice system involvement, specific charge(s) • Disposition of that arrest (conviction/pending) • Offered drug court • Drug court participation status (ever participated, currently participating, date of entry, referral procedure, perception of alternative sentence) • Reason for dropping out of drug court, sentence received
Substance use history and addiction severity	• Lifetime/reference period • Use of alcohol, prescription drugs, methadone, marijuana, hallucinogens/designer drugs, cocaine, heroin, amphetamines (age at first use, ever used on regular basis, any use during reference period) • Under influence at time of arrest • Needle use • Stage of change • Addiction Severity Index • Primary drug used
Treatment motivation	• Treatment motivation—problem recognition • Treatment motivation—desire for help • Treatment motivation—treatment readiness • Treatment motivation—external pressure • Treatment eagerness—problem recognition • Treatment eagerness—ambivalence • Treatment eagerness—taking steps

(*continued*)

Table 1-3.9. Domains and Constructs Covered in Interview (Cont'd)

Domains	Associated Constructs
Supervision status; supervision intensity; drug tests received	• Under supervision during reference period • Duration of supervision • Type of supervision officer (probation/parole officer, pretrial supervision, drug court case manager) • Frequency of required contact • Contact (phone, face-to-face) • Breathalyzers, drug tests received (# of times each month during reference period, # of positives) • Supervision conditions
Perceptions (perceptions of risk, rewards, and consequences; deterrence, likelihood, and severity of sanctions; perceptions of fairness)	• Perceptions of sentence for failing drug court (immediacy, desirability of this option) • Deterrence, likelihood, and severity of sanctions for rule violations • Perceived fairness of sanctions received • Perceived procedural justice • Perceived distributive justice • Perceived helpfulness of drug court operations (hearing speeches, watching graduations) • Perceived deterrence • Attitudes toward supervision officer • Attitudes toward judge
Violations; sanctions received; rewards received	• Compliance with each reported supervision conditions (for each condition, whether respondent failed to comply, specific months of noncompliance, # of times each month; whether supervision officer detected noncompliance) • Sanctions received (whether each of 13 sanctions was received during reference period; number of times; person who administered sanctions; whether respondent expected the supervision officer to find out about the violations; whether respondent expected a sanction to be administered; respondents' perceptions of the severity of the sanction) • Rewards received (whether each of 10 rewards was received during reference period; number of times; behaviors resulting in the reward; perceptions of how helpful the reward was; whether respondent expected the reward; how pleased the respondent was with the reward
Court hearings and contact	• Court appearances during reference period (any hearings, purpose of hearings) • Contact with judge • Contact with prosecutor • Contact with defense attorney

(*continued*)

Table 1-3.9. Domains and Constructs Covered in Interview (Cont'd)

Domains	Associated Constructs
Criminal behavior and victimization	• Engaging in specific types of crimes (for each crime category, any engagement during reference period, specific months of engagement, number of times, # of arrests): violent crimes, other crimes against people, weapon carrying, drug possession, drug sales, other drug crimes, driven under influence, property crimes, prostitution/public order/vagrancy crimes • Victimization
Substance abuse treatment	• Receipt of several types of substance abuse treatment (any receipt during reference period, specific months received, # of days/sessions per month: emergency room treatment for drug or alcohol treatment, hospital stay for detoxification, residential drug or alcohol treatment program, medicinal interventions (methadone maintenance, Naltrexone, Buprenorphine), outpatient group counseling, outpatient individual counseling, self-help groups, alternative approaches (acupuncture, meditation, biofeedback)
Support services	• Receipt of and perceived need for entitlement service: financial assistance, public financial assistance, public healthcare assistance, legal assistance • Receipt of and perceived need for obligation services: assistance modifying child support debt, assistance getting child support payments, assistance regaining custody of children • Receipt of and perceived need for other services: employment services, obtaining documents for employment, money management, other life skills, anger management, educational services, transportation, housing, batterer intervention program, family involvement in respondents' substance abuse treatment
Family relationships	• Family history of criminal behavior and drug use • Family conflict • Family emotional support • Family instrumental support • Primary care responsibilities for children (primary care responsibilities, contact with children, financial support for children, child support paid/owed)
Physical and mental health	• Presence of chronic medical problems • Perceptions of mental health • Anti-social personality disorder • Narcissism • Depression
Employment, income, and housing	• Employment (current employment status, # of weeks worked, reason for not working, employment type, hours/week worked) • Housing (type of housing) • Income (sources of income, amount from each source) • Health care insurance/coverage

During instrument development, close attention was paid to selecting the most appropriate reference period for each set of items. The reference periods for some items necessarily varied across the three interviews, with the baseline focusing on the past 6 months, and the 6- and 18-

month interviews focusing on the time period since the previous interview. For some questions, such as attitudinal measures or standardized mental health scales, more recent time periods (such as past 7 days, past 30 days, or currently) were used. In addition, questions about lifetime experiences (e.g., criminal history, details about current offense, substance use history) and some constructs that are relatively static (e.g., anti-social personality disorder, narcissism) were only asked at the baseline interview.

For key behaviors of interest, the instrument was designed such that the items would be "calendared," which means that if the respondent reported engaging in the behavior during the reference period (overall), s/he received follow-up questions that asked about the specific months in which the behavior occurred (and other relevant follow-up questions about each month's behavior). The calendaring approach facilitates recall and the identification of monthly trends in key behaviors, and also allows the co-occurrence of two or more behaviors to be examined (to determine whether they occurred during the same months). The behaviors that were calendared in the MADCE offender interview include:

- Use of alcohol and seven types of drugs (months used, frequency of use during those months).
- Needle use (months used).
- Breathalyzers and drug tests received (months in which tests were administered, number of times tests administered during the month, and number of positives during the month).
- Seven types of substance abuse treatment (months in which treatment was received, number of days received each month).
- Nine types of criminal behavior (months committed, times per month, times arrested for that crime per month).
- Violations of each of 13 possible supervision conditions reported by the respondent (months committed, number of times per month, how often supervision officer knew about violations each month).

The draft instrument and accompanying materials, including consent forms and lead letters, were pilot tested in two stages with a total of 11 respondents. Pilot study participants were adults who were participating in a drug court program in two counties in North Carolina (N=7) or on probation in Philadelphia (N=4). The pilot interviews were conducted by survey specialists and observed by a senior team member who was heavily involved in instrument development. The pilot testing process was used to time the duration of the interviews and to identify problematic questions in the instrument (e.g., wording that was confusing, questions that required clarification). At the conclusion of each pilot interview, a debriefing session between the respondent and interviewer was conducted, in which the respondent was asked a series of questions eliciting his/her opinion about the consent forms (including what s/he understood the purpose of the study to be), survey questions (whether there were any that s/he did not understand, whether any were upsetting, whether s/he had any difficulty remembering what happened during the time periods about which s/he was asked and how, specifically, s/he went about answering certain questions, etc.), and proposed incentive structure. Feedback from the pilot study was incorporated, which resulted in the elimination of several questions and the simplification of the wording of several questions and response options.

Computer specifications were then developed for the final instruments, and programmed for computer administration (via in-person interviews conducted with RTI field interviewers) in English.[24] Computer administration allowed for the extensive use of skip patterns, particularly the use of gate questions that determined whether a set of follow-up questions were to be asked for respondents who answered a particular way. This also enabled the use of customized fill language that reflected a respondent's status (e.g., as a drug court participant). Because computer administration was prohibited in some correctional facilities, pencil and paper interview (PAPI) versions of the instruments also were developed.

The final instruments, accompanying materials (consent forms, recruitment letters, brochures, etc.), and protocols for administration were approved by the Institutional Review Boards at UI and RTI.

Administration of Offender Interviews

Enrollment into MADCE (i.e., recruitment for the baseline interviews) took place on a rolling basis during a 16-month time period (March 2005 through June 2006). This duration was required in order to achieve the sample size targets for NIJ's evaluation, given several factors such as (1) the program enrollment experienced by the participating sites at the time of the evaluation (which was lower than anticipated), (2) the "consent for release of information" process required in most sites (which included site staff administering a consent form that granted permission for the court/agency to release contact information to RTI and resulted in some individuals being enrolled in the programs, but not available for the evaluation),[25] and (3) retention rates for the follow-up interviews (which were higher than anticipated and therefore resulted in a smaller number of baseline interviews being necessary to achieve the desired final sample size available for analysis).

During the baseline enrollment period, staff from UI, RTI, and CCI acted as "court liaisons" to facilitate the outcome evaluation in the sites to which they were assigned. These staff members coordinated the process by which contact information for newly-enrolled program participants was transmitted (in a timely and secure manner) to RTI. The specific procedures varied slightly across sites, and were documented in memoranda of understanding (MOUs) developed for each site. All data security procedures were approved by the Institutional Review Boards at UI and RTI.

After the cases were received by RTI, they were assigned to RTI-subcontracted field interviewers who had been extensively trained in human subjects' regulations and administering consents, gaining respondent cooperation, locating difficult-to-find respondents, interviewing in correctional settings, and identifying and responding to distressed respondents. The field

[24] This decision resulted in the exclusion of a small number of non-English speaking individuals who were otherwise eligible for the study.

[25] Despite requests that local site staff document attrition at this stage (by documenting whether each newly enrolled program participant signed or declined the consent for release of information form), documentation was not reliable. Therefore, we cannot determine the actual loss of potential sample (nor any bias that may have resulted from this loss) resulting from the consent for release of information procedures.

interviewers were supervised by two field supervisors, who were responsible for monitoring field interviewer performance and efficiency, in addition to assisting with facility access and locating sample members.

A computerized case management system was used to assign cases to field interviewers and to track the status of fielded cases. With each assigned case, an end date—the date by which the interview must be either completed or coded as ineligible—was listed in the case management system. A six-week cut off was established, in order to ensure that the respondents were interviewed as close to the beginning of their drug court participation (or comparison condition) as possible, while allowing a reasonable amount of time to locate, successfully recruit, and interview the respondents (given that not all cases were not immediately transmitted by the participating sites to the court liaisons).

For the baseline interviews, the majority of respondents were interviewed in the community, although some were incarcerated or in a residential treatment facility at the time of their baseline interview and were, therefore, interviewed in these settings. For interviews conducted in correctional facilities or residential treatment facilities, the court liaisons and field supervisors were responsible for negotiating access (and documenting the agreed-upon interview conditions) for the interviewers. For the 6- and 18-month follow-up interviews, increasing numbers of respondents were interviewed in correctional facilities and residential treatment facilities. All interviews—both community- and facility-based—were conducted in private settings, where no one could overhear the interview. For interviews in correctional facilities, the court liaisons or field supervisors responsible for negotiating access also determined whether a suitable location for the interviews was available. In a small number of facilities, interviews could not be conducted because a private interview space was not available. For community-based interviews, interviews were typically conducted in the respondent's home, although other locations (particularly private rooms in libraries) were used. Due to human subjects' protection concerns, interviewers were prohibited from interviewing non-incarcerated respondents in any criminal justice buildings or settings affiliated with the drug court (including the court house, treatment facility, probation office, or drug court program office).

The majority of interviews were conducted via computer-assisted personal interviewing (CAPI). Pencil and paper interviews were conducted with a small number of respondents who were incarcerated in facilities that prohibited laptop computers (including New York State correctional facilities and a few maximum security facilities in other states). Administration of all interviews entailed the following steps. The interviewer went over a brochure about the study with the respondent and answered any questions that s/he had. Individuals who indicated that they were willing to participate were read (and signed) the consent form. Throughout the interviews, interviewers read the questions and recorded the respondents' answers. In order to orient respondents to the various time periods used in the interviews, the field interviewers used reference calendars, which were filled in (at the beginning of each interview) with important events in the respondents' lives. The interview contained frequent references to consult the reference calendar in answering the questions. Showcards listing response options also were used throughout the interviews. The CAPI interviews lasted approximately 1.5 hours, and the PAPI lasted approximately 2 hours. The final section of the interview focused on obtaining information that would help the interviewer locate the respondent for the next interview. In this section,

respondents were asked to provide information about their future housing plans and contact information for at least three individuals who would know where to find them. After the interview questions were completed, respondents were administered a separate consent form for the release of criminal justice data.

At the conclusion of the interviews, non-incarcerated respondents were provided with cash payments. For incarcerated respondents, money orders were deposited in individuals' accounts if the facility permitted it (this was negotiated in advance by the court liaison or field supervisor responsible for arranging access and conveyed to the respondent in the consent process). The incentive schedule entailed the following: $35 for the baseline interview, $40 for the 6-month follow-up interview, and $50 for the 18-month follow-up interview. In addition, as discussed in more detail below, respondents who called ahead (upon receiving a lead letter) to schedule their interviews received a $5 bonus for that interview, and respondents who provided an oral fluids sample for a drug test at the 18-month interview received an additional $15. Respondents who completed all three interviews received a $25 bonus at their 18-month interview (if they were not incarcerated, or in a correctional facility that permitted payment).

Throughout the data collection period, field interviewer production and data collection costs were closely monitored. The field interviewers met weekly with their field supervisor to discuss progress, share recruitment and locating strategies, and review study procedures for interviewing in difficult situations (including correctional settings). Prior to the 18-month interview, the field interviewers completed additional training on oral fluids sample collection. Also, additional telephone trainings were held on specific topics throughout the study.

Several quality control procedures were implemented to ensure that the administration of the interviews was conducted in accordance with approved study procedures. The paper case materials submitted for cases (e.g., consent forms, reference calendars, locating procedures) were periodically inspected by the field supervisor or a member of RTI's in-house data collection team. In addition, time stamp data available for all CAPI interviews was reviewed to identify any systematic deviations from the normal range of the duration of the interviews across field interviewers. Finally, interview verification was conducted on a random 10 percent of all community-based interviews (at each interview wave). Verification was conducted by the field supervisors via telephone re-contact. The verification protocol was designed to detect interview falsification or deviations from study protocols (e.g., informed consent procedures, payment procedures). Respondents were asked a series of questions about their interview experiences. For facility-based interviews, case-specific verification could not be conducted due to logistical constraints. However, the field supervisors periodically checked in with the facility contacts to make sure that the field interviewers were adhering to study protocols.

Recruitment and Retention of Respondents

Recruitment procedures for all waves of interviews entailed the following steps. First, potential respondents who were not currently incarcerated were mailed a lead letter describing the study and indicating that an interviewer would be contacting them to determine their interest. The letter also included a toll free number that the respondent could call to set up an interview time, and stated that respondents could receive an additional $5 for calling the number. After the lead letters were sent out, non-incarcerated respondents were contacted (either in person or over the

telephone) by the field interviewer assigned to the case, and upon successful contact, the interview was scheduled. For incarcerated respondents, a lead letter was not sent. The interview was scheduled between the field supervisor and facility contact (after access and logistics were successfully negotiated). During the appointment, the field interviewer went over the study with the inmates in person, using a brochure that described the study.

Contact was maintained with respondents between interview waves. This process entailed interviewers attempting phone contact with each respondent approximately three months prior to the 6- and 18-month follow-up interviews in order to determine if the contact information on file would be out of date once it was time to schedule the next interview. If the respondent could not be located for this mid-wave contact, the interviewer began in-depth field tracing.

Field interviewers used a variety of resources to locate the potential respondents. Any existing contact information (which, for the baseline interview, was limited to the contact information provided by the site contact and, for the follow-up interviews, included all of the locator information obtained by the field interviewer in the previous wave) was provided to the field interviewer. Other particularly effective locating mechanisms included publicly available inmate searches (to determine if the respondent was incarcerated) and court records, as well as attending drug court meetings, graduations, or other events.

Study protocols entailed all respondents who completed a baseline interview being recruited for both the 6- and 18-month interviews, with the same interviewer assigned to a respondent, wherever possible. Detailed information on the disposition of all fielded cases at each site for each interview wave is shown in Tables 1-3.10 through 1-3.12. As shown in Table 1-3.10, the overall response rate for the baseline interview was 72.29 percent, with higher response rates for drug court participants (81.70 percent) than comparison group members (64.67 percent) and substantial variability observed across the sites. Most of the non-response was due to difficulty locating respondents, rather than refusals.[26] Only 6 percent of the treatment group and 11 percent of the comparison group cases recruited for participation refused to participate.

The vast majority of the baseline sample was retained in subsequent interviews, with less pronounced differences in attrition rates by group than was observed for baseline. The response rates for the 6-month follow-up were 89.20 percent for the drug court group and 81.55 percent for the comparison group (for an overall retention rate of 85.08 percent). For the 18-month interview, the response rate was 83.34 percent overall, with only slightly higher retention for the drug court group than the comparison group (85.75 percent vs. 83.02 percent). Not surprisingly, the little attrition that was observed at both 6 and 18 months was due to difficulty locating respondents. For example, of the 249 cases that were not successfully interviewed at 6 months (or coded as ineligible), 149 were coded by the field interviewers as not locatable despite repeated attempts.

[26] Of the 684 baseline cases that were not successfully interviewed (or classified as ineligible), 192 were refusals, 440 were classified as "unable to contact" (with two-thirds of these cases due to inability to locate the respondent), and 52 were classified as "other non-interview" (which includes respondents who were institutionalized in facilities that would not permit access, respondents who did not speak English, respondents who were physically incapable of doing the interview, etc.).

Oral Fluid Tests

Oral swab drug tests were conducted in conjunction with the 18-month interviews, for non-incarcerated respondents. As mentioned above, the field interviewers completed separate training for the collection, packaging, and mailing of the oral swabs to a drug testing laboratory.[27] The chosen test was a six-panel oral fluid screen for amphetamines, cannabinoids, cocaine, methamphetamines, opiates, and phencyclidine.

The oral fluid sample was obtained at the conclusion of the interview, after a separate consent form for the provision of the oral fluids sample was administered. Ninety-five percent of eligible (i.e., non-incarcerated) respondents consented to the oral fluids drug test, with minimal differences in consent rates between drug court (94.5 percent) and comparison group members (95.5 percent).

Site Visits

Two rounds of site visits were conducted to the participating sites. Each site visit was conducted by a two-person team containing staff from UI, RTI, and CCI. Interview and observation guides were developed for the site visits. The teams spent approximately two days at each site, with site visits scheduled to coincide with court monitoring hearings (and team staffings). During the site visits, in-person interviews were conducted with as many key stakeholders affiliated with the drug court as possible, including program coordinators, judges, prosecutors, defense attorneys, treatment liaisons, research staff, probation officers, and law enforcement officers. The teams used semi-structured interviews to obtain each stakeholder's perspective on a variety of topics. Based on the information obtained during the site visits, narrative descriptions were developed for each site.

The first round of site visits was conducted at the conclusion of the site selection process and primarily focused on confirming the viability of the site for inclusion in the impact evaluation and negotiating logistical details pertaining to data collection for the offender interviews. During the initial site visits, program organization and operations were documented (via semi-structured interviews and the collection of existing materials), including program structure and key staff; enrollment and case flow; availability of administrative data; the intake process; phases and requirements for court hearings, treatment attendance, case management, drug testing, and supervision; and sanctions and rewards. In addition, details such as local research approvals, the need for interviews in languages other than English, and the transfer of contact information for newly enrolled clients were arranged.

[27] Kroll Laboratory Specialists, Inc. was contracted for the drug testing. Kroll provided intercept collection oral fluid device, biohazard bag, packaging materials for shipping, and chain or custody forms, as well as test and confirmatory test results.

Table 1-3.10. Study Enrollment and Response Rates, by Site: Baseline Interviews

	Response Rate*	Total Number of Cases Fielded	Completed Interviews	Ineligible	Refusals	Other Non-Interviews
Drug Court Sites						
Site 01	82.70%	104	86	0	3	15
Site 02	68.40%	19	13	0	0	6
Site 04	80%	40	32	0	3	5
Site 05	91.30%	23	21	0	0	2
Site 06	91.30%	47	42	1	0	4
Site 07	84.60%	39	33	0	2	4
Site 08	73.41%	175	127	2	9	37
Site 09	100%	24	24	0	0	0
Site 10	97.70%	43	42	0	0	1
Site 11	88.20%	17	15	0	0	2
Site 12	62.50%	96	60	0	17	19
Site 13	84.60%	65	55	0	4	6
Site 16	69.80%	152	104	3	17	28
Site 18	70.40%	72	50	1	1	20
Site 24	95%	21	19	1	0	1
Site 25	71.20%	139	99	0	11	29
Site 26	82.50%	58	47	1	2	8
Site 27	60.12%	168	101	0	11	56
Site 28	79.07%	44	34	1	2	7
Site 29	92.50%	41	37	1	1	2
Site 30	80%	25	20	0	2	3
Site 41	73.80%	107	79	0	3	25
Site 42	100%	17	17	0	0	0
Total for drug court	81.70%	1,536**	1,157	11	88	280
Comparison Sites						
Site 31	81.30%	210	170	1	2	37
Site 32***	70.80%	347	245	1	49	52
Site 34	54.10%	222	119	2	14	87
Site 35	62.50%	16	10	0	2	4
Site 36	54.60%	153	83	1	37	32
Total for comparison	64.67%	948	627	5	104	212
Total across all sites	72.29%	2,484**	1,784±	16	192	492

**Response rates are calculated as the number of completed interviews, divided by the total number of cases fielded, excluding cases coded as "ineligible" (e.g., deceased respondents and respondents under the age of 18).*

***An additional 28 drug court cases were fielded for baseline interviews from North Carolina drug courts prior to the courts' dropping out of the study. These cases are not included in the table.*

****For analysis purposes, site 32 is broken down into two sites (representing two distinct judicial districts); however, the disposition of the cases was not tracked separately.*

± Due to a coding discrepancy, only 1,781 completed baseline interviews were available for analyses.

Table 1-3.11. Study Enrollment and Response Rates, by Site: Six-Month Follow-up Interviews

	Response Rate*	Total Number of Cases Fielded	Completed Interviews	Ineligible	Refusals	Other Non-Interviews±
Drug Court Sites						
Site 01	75.58%	87	65	1	0	21
Site 02	61.54%	13	8	0	0	5
Site 04	96.88%	32	31	0	0	1
Site 05	95.24%	21	20	0	0	1
Site 06	95.24%	42	40	0	0	2
Site 07	93.94%	33	31	0	0	2
Site 08	81.25%	128	104	0	2	21
Site 09	95.83%	24	23	0	0	1
Site 10	100%	42	42	0	0	0
Site 11	100%	15	15	0	0	0
Site 12	73.33%	60	44	0	3	13
Site 13	87.27%	56	48	1	2	5
Site 16	81.73%	104	85	0	4	15
Site 18	86%	50	43	0	1	7
Site 24	100%	19	19	0	0	0
Site 25	90.91%	99	90	0	1	8
Site 26	93.62%	47	44	0	0	3
Site 27	92.08%	102	93	1	0	8
Site 28	89.19%	37	33	0	0	4
Site 29	89.19%	37	33	0	0	4
Site 30	95%	20	19	0	0	1
Site 41	83.54%	79	66	0	0	13
Site 42	94.12%	17	16	0	1	0
Total for drug court	89.19%	1,164**	1,012	3	14	135
Comparison Sites						
Site 31	76.92%	170	130	1	0	39
Site 32***	93.47%	245	229	0	6	10
Site 34	80%	123	96	3	0	24
Site 35	80%	10	8	0	0	2
Site 36	77.38%	84	65	0	12	7
Total for comparison	81.55%	632	528	4	18	82
Total across all sites	86.08%	1,796**	1,540	7	32	217

**Response rates are calculated as the number of completed interviews, divided by the total number of cases fielded (which, for the 6 month follow-up, included all cases for which a baseline interview was completed), excluding cases coded as "ineligible." Ineligible cases include deceased respondents and respondents under the age of 18.*

*****An additional 24 North Carolina drug court cases were fielded (for 6 month follow-up interviews) prior to the courts' dropping out of the study. These cases are not included in the table.*

****For analysis purposes, site 32 is broken down into two sites (representing two distinct judicial districts); however, the disposition of the cases was not tracked separately.*

± Two partial interviews are included in the non-interview classification.

Table 1-3.12. Study Enrollment and Response Rates, by Site: Eighteen-Month Follow-up Interviews

	Response Rate*	Total Number of Cases Fielded	Completed Interviews	Ineligible	Refusals	Other Non-Interviews
Drug Court Sites						
Site 01	80%	86	68	1	0	17
Site 02	76.92%	13	10	0	0	3
Site 04	83.87%	32	26	1	2	3
Site 05	95.24%	21	20	0	0	1
Site 06	95.24%	42	40	0	0	2
Site 07	96.97%	33	32	0	0	1
Site 08	72.22%	128	91	2	5	30
Site 09	95.83%	24	23	0	0	1
Site 10	92.86%	42	39	0	1	2
Site 11	93.33%	15	14	0	0	1
Site 12	66.67%	60	40	0	10	10
Site 13	81.82%	55	45	0	2	8
Site 16	75%	104	78	0	9	17
Site 18	80%	50	40	0	1	9
Site 24	100%	19	19	0	0	0
Site 25	87.76%	99	86	1	0	12
Site 26	91.49%	47	43	0	0	4
Site 27	84.85%	101	84	2	2	13
Site 28	94.59%	37	35	0	0	2
Site 29	78.38%	37	29	0	0	8
Site 30	85%	20	17	0	0	3
Site 41	81.82%	79	63	2	0	14
Site 42	82.35%	17	14	0	3	0
Total for drug court	85.75%	1,161	956	9	35	161
Comparison Sites						
Site 31	85.21%	170	144	1	0	25
Site 32***	90.16%	245	220	1	6	18
Site 34	77.12%	121	91	3	0	27
Site 35	90%	10	9	0	0	1
Site 36	72.62%	84	61	0	5	18
Total for comparison	83.02%	630	525	5	11	89
Total across all sites	83.34%	1,791	1,481	14	46	250

**Response rates are calculated as the number of completed interviews, divided by the total number of cases fielded (which, for the 18-month follow-up, included all cases for which a baseline interview was completed), excluding cases coded as "ineligible." Ineligible cases include deceased respondents and respondents under the age of 18.*

****For analysis purposes, site 32 is broken down into two sites (representing two distinct judicial districts); however, the disposition of the cases was not tracked separately.*

The second round of site visits was conducted for the purpose of obtaining program-level data on program operations that could be used as site-level variables in the impact analyses and assist in the interpretation of evaluation findings. Therefore, the timing of the second round of site visits was selected to reflect program operations during the time point at which baseline enrollment was well under way (spring 2006). During the second round of site visits, both interview guides and structured observation guides (for court monitoring hearings and drug court team staffings) were followed. The interview guides were designed to elicit detailed information regarding case management and supervision (frequency of client contact, referrals provided, decision-making process, court hearings, sanctions and rewards), treatment (treatment resources, types of treatment available, perceptions of treatment quality), program operations (program mission; referral, eligibility, and screening; program structure; graduation criteria; after care; records keeping), decision-making, and collaboration (partners, collaborative procedures, linkages, funding). In addition, information on the training, experience, and level of involvement (i.e., task allocation) of each stakeholder was obtained. Specific topics were customized based on the role of the stakeholder being interviewed, and some topics were not applicable to comparison sites. The structured observation guides were designed to document the proceedings at the team staffings (if applicable) and the actual court monitoring hearings. These observation guides documented overall procedures of the staffings/court hearings (stakeholders in attendance, level of participation, decision-making process, courtroom dynamics, information sharing, demeanor of judge), as well as the disposition of each individual case discussed/heard (type of appearance, compliance status, court response, judicial interaction).

Administrative Data

NIJ's MADCE also collected respondents' official records from the National Crime Information Center (NCIC) at the Federal Bureau of Investigation (FBI) and from germane state-level criminal justice agencies. Collection of administrative data focused on three categories of variables: arrests, convictions, and incarcerations. These data supported both propensity score analysis and measurement of individual-level recidivism outcomes, and informed cost estimates for the cost-benefit analysis. NCIC provided comprehensive arrest data including prior arrests and re-arrests, as well as information about convictions and incarcerations. State-level criminal history records offered detailed information about respondents' involvement within the criminal justice system, including prior and subsequent incarcerations. Measures of prior criminal involvement (i.e., age at first arrest, number of priors, etc.) central to the propensity score analysis and recidivism (any arrest post-entry into the sample) were generated primarily from NCIC data. In contrast, the evaluation relied on state-level criminal justice records for data on subsequent convictions, periods of supervision, and incarcerations; these data supported the impact and cost-benefit analyses. When combined, these two sources of administrative data allowed the evaluation team to construct comprehensive profiles of official criminal justice involvement for respondents in the sample.

Permission to collect official criminal justice records data was obtained as part of the MADCE study's consent-to-contact procedures (described in previous sections of this chapter). Official records data were collected for only those study participants who provided written consent. Of the 1,781 individuals recruited for the sample, approximately 11 percent (N=203) declined to

provide researchers with access to their official criminal justice records.[28] For the 1,578 respondents who consented to this portion of the data collection, criminal history records were requested roughly 30 months after the last case entered the sample to allow for a minimum 24-month follow-up period for all subjects in the sample and to ensure any new criminal justice contacts had been logged into agency databases.

Administrative Data Negotiations

The acquisition of administrative data proved to be a lengthy and resource-intensive process that spanned the last three years of NIJ's MADCE.[29] This process involved:

(1) developing a common list of core data elements to collect from pertinent federal and state-level criminal justice agencies;

(2) identifying those agencies responsible for collecting and reporting criminal history data in each state and establishing a point of contact within each agency;

(3) verifying the content, availability, structure, and format of the criminal justice data collected, including the availability of sealed records, and the capacity of each agency to extract and provide the data in a timely manner, as well as in a format conducive to analysis and consistent with confidentiality protocols;

(4) crafting a list of personal identifiers for data-providing agencies to match study respondents to their criminal justice records and thus, facilitate data extraction;

(5) conducting quality control checks on respondents' personal identifiers to ensure accurate and complete information was provided to data-providing agencies;

(6) developing a range of Institutional Review Board (IRB)-approved secure data transfer procedures to accommodate the varying technologies and policies of multiple data-providing agencies;[30]

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[28] Study participants could grant full or partial access to their administrative records by placing a check mark next to specific data sources listed on the consent protocol – typically, the state department of correction, law enforcement, and NCIC. Exercising the most conservative approach, data were only collected for those study participants who granted FULL access to their criminal history data (in short, partials were treated as declinations).

[29] Initial inquiries about the availability of data and access to these data for research purposes commenced across all eight states in February 2007. Data negotiations proceeded at a different pace in each state. Although data negotiations and the agency review process generally spanned three to six months, in some instances, research requests had to be renewed or re-approved due to staff turnover within the agency. As a result, the process in some states took more than 18 months.

[30] The study's data transfer protocols contained provisions for the secure transfer of data files between the research team and data-providing agency. Specifically, the study' IRB required that respondents' Social Security Numbers (SSN) be sent separately from other personal identifiers; in compliance, the study sent data-providing agencies two data files on which to match and extract records: one contained the respondents' SSN and an anonymous research ID; the other contained the anonymous research ID and all other respondent personal identifiers (name, date of birth, sex, race, state identification number or department of corrections ID) *except* SSN. Both data files were PGP-encrypted, saved to separate compact discs (CDs) and sent to data-providing agencies via secure courier. Data-providing agencies followed similar procedures to prepare and transfer data files to the study. Personal identifiers (except SSN) could be retained in data files if the data-providing agency had encryption capabilities, or was

(7) navigating agency-specific data request review processes to obtain approval to access data;

(8) negotiating and executing data-sharing agreements, sometimes more than once; and

(9) executing the data request.

Procedures for processing these data were equally complex, as we later discuss.

Data negotiations began in February 2007. The MADCE research team developed three protocols to guide initial data-related inquiries and assist in subsequent negotiations:

1. *A list of core administrative data elements*[31] *needed to support both the impact and cost-benefit analyses.* (See Appendix B for the list of core data elements.). The evaluation team provided this list to staff in data-providing agencies to review against their data systems to quickly identify which data their systems could supply (and, more importantly, those data that were not routinely collected, if at all).

2. *A basic set of key questions about the content, structure, and availability of criminal history records data, including the availability of sealed data and the logistics of data acquisition.* This protocol guided initial discussions with agency staff and helped to ensure that individual research staff collected comparable information across differing data-providing agencies. Information gathered from these calls helped highlight potentially meaningful gaps and variation across agencies regarding the types of data available (i.e., details relevant to planning and crafting the impact analysis).

3. *A standard packet of supporting materials about the evaluation.* Designed to inform data-agency contacts about the study and its protocols, the packet included a brief overview of the study design and its objectives; an abbreviated, but detailed narrative of the human subjects protections and data security plan; a copy of the study's current IRB-approval notice; the list of core data elements; and a copy of the study's IRB –approved data transfer procedures. UI also submitted this packet to several state agency review boards as part of the data request approval process.

Once these protocols were finalized, the evaluation team worked to identify the relevant data-providing criminal justice agencies (i.e., departments of correction, state law enforcement agencies, and administrative office of the courts) in each of the eight states and to establish key points of contact. This list also included those agencies that serve as the Statistical Analysis Centers (SACs) for the states in the sample; SACs frequently function as the central repository for criminal justice data and analysis for their respective states (as such, working with the SACs

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amenable to using PGP encryption software provided by the study. If agency-policy prohibited the use of encryption technology, then data-providing agencies were instructed to redact the data files, retain only the anonymous research ID and password-protect the data files prior to transfer. The study both supplied data-providing agencies with materials to ship the data files via secure courier and absorbed all shipping costs.

[31] This list of core data elements included arrest, disposition, supervision and custody data. It was reviewed and vetted by the evaluation's external advisors before proceeding with any formal data requests.

to acquire records data can streamline the data acquisition process and improve the chances of obtaining complete and comprehensive records data on all stages of processing).

An initial round of telephone calls to key state-level criminal justice agencies to discuss available data and request documentation (codebooks), and to learn more about each agency's respective data acquisition process, commenced in February 2007 and concluded in August 2007. During this period, the evaluation team also reached out to staff in the Criminal Justice Information Service Division of NCIC to learn more about the content, format, and availability of data routinely submitted by state law enforcement agencies to the Interstate Identification Index database (i.e., Triple I database) maintained by the Center and from which criminal history records data would be extracted for respondents in the MADCE sample.

These initial inquiries informed two critical decisions about how data acquisition would proceed: (1) as feasible, the evaluation team would first explore the viability of obtaining individual-level records data through the states' central repositories for criminal justice data (i.e., state SACs), and only proceed with multiple state-level data requests, as needed; (2) the evaluation would collect criminal history records (i.e., arrests, disposition, supervision, and prison stays) from both NCIC and state agencies to ensure the study could build a comprehensive profile of formal criminal justice involvement for each respondent in the sample.[32] Whether NCIC data, alone, could support the study's impact analysis had been an early consideration.

Acquisition and Processing of State Criminal Justice Agency Data

The tactic of accessing state-level criminal history records through a central data repository proved to be both a feasible and fruitful approach that streamlined the data acquisition process in five (i.e., FL, IL, NY, PA, SC) of the study's eight states. Agencies serving as the SACs[33] in these states accessed, compiled, and supplied the study with arrest, sentencing, disposition, and custody records; further, these agencies typically had the programming capacity to accurately match sample respondents from thousands of system records, verify those matches, and generate a comprehensive flat file ready for analysis, thus freeing the evaluation team from those tasks. As might be anticipated, data negotiations, including the research review and approval process, typically proceeded more quickly and efficiently in these five states than in those where researchers could not work through the SACs and had to negotiate agreements with multiple state-level criminal justice agencies. In the remaining three states, for example, the evaluation team negotiated data-sharing agreements with more than five state-agencies to collect the desired arrest, disposition, and incarceration data. In one state, despite having successfully negotiated data-sharing agreements, criminal history data and incarceration records had to be collected

[32]Initial discussions with NCIC and state-agency analysts made it clear the study's analytic strategy would require both sources of data. NCIC data would capture arrests and possibly dispositions occurring outside the study's eight states, while state criminal justice records would provide details about disposition, sentencing, and incarcerations not routinely logged in NCIC's Triple I database.

[33] These agencies included the Florida Department of Law Enforcement (FDLE), Illinois Criminal Justice Information Authority (ILCJIA), New York State Division of Criminal Justice Services (DCJS), Pennsylvania Commission on Crime and Delinquency (PCCD), and South Carolina Office of Research and Statistics (SCORS).

manually from agency websites (i.e., the state's department of corrections and bureau of investigation).[34]

Evaluation staff reviewed state data files shortly after receipt to determine the number of matches (i.e., cases in the sample for which records were received), the accuracy of those matches, and the content of the records. For each submission, the variables provided and the percent of data missing for each variable were catalogued in a single matrix spreadsheet to facilitate comparison across data sources. This allowed researchers to identify key variables and determine the extent to which data on those variables were provided and to verify our interpretation of the data with agency contacts; in some instances, additional data requests were made to obtain items inadvertently omitted in the original data extract. Incarceration "in and out" dates were of primary interest to the evaluation, and sentencing information that would complete or correct respondents' self-reported survey data about subsequent custody periods. Identifying the admission and release dates of the "instant" incarceration (i.e., the incarceration event that led to participation in drug court, and for comparisons, the event that led to inclusion in the study) to calculate prison length of stay; identifying the most serious offense associated with the instant incarceration; identifying prison admissions subsequent to the instant incarceration release date; and identifying the most serious offense associated with or reason (e.g., technical violation, new offense) for re-incarceration were also of interest. Some states only provided in-dates, but not "out dates" for periods of incarceration. Others collected and reported sentence dates and sentence length; these elements, of course, are imprecise and introduce some level of error in calculation of "street time" and increase the risk of under-estimating recidivism rates.

State criminal history records varied in content and availability (amount missing), and quality. Policy constraints and technology limitations typically accounted for this variation. With respect to the former, some states in the sample (e.g., PA) only released arrest records ending in conviction; only one state allowed researchers access to sealed records,[35] while others provided a count of the number of respondents in the sample with sealed records (as juveniles and as adults) so the evaluation team could estimate the potential for under-estimates of official criminal justice involvement pre- and post-drug court involvement. In the one state for which the evaluation team had to manually extract data from state agency websites, arrest and offense data were limited to convicted felons and offense result in incarceration.

NCIC Criminal History Records

Two waves of NCIC criminal history records were requested from the FBI. The team submitted its first request for data in March 2008, roughly 22 months after the last case entered the sample, and used these data files to: inventory the data, familiarize analysts with the file structure and content, prepare and test protocols (programs) to convert the data into an analyzable format, and determine the match rate for the sample (i.e., the percentage of individuals located by the FBI and for whom records were provided). The FBI prepared the second and final wave of NCIC

[34] Data available through the state's bureau of investigation website was limited to convicted felons and did not provide any record of felony arrests that did not result in conviction or misdemeanor arrests and convictions. In turn, the search function for the state's department of correction's website produced inconsistent results.

[35] The study obtained sealed records for respondents in selected drug courts through a specific, secure protocol available through the Division of Criminal Justice Services; this protocol returns only de-identified data and involves significant file preparation on the requestor's end prior to submission.

data in October 2008, roughly 30 months after sample recruitment ended; this allowed for a standard minimum 24-month follow-up period for all subjects in the sample and ample time for any new criminal justice contacts during that timeframe to have been logged in NCIC's Triple I database. Rap sheet data, including arrest, conviction, and, in some instances, custody stays were returned in two formats depending on the state that was reporting: electronic files in PDF format and paper rap sheets. The project received NCIC records in both formats. Extensive preparation was required to extract and convert the data into a format that would support analysis, as discussed below.

UI researchers provided NCIC with a fairly extensive set of personal identifiers (first and last name, middle initial, Social Security Number, date of birth, gender, race, and, when feasible, the state identification number) to use to extract criminal histories (rap sheets). NCIC provide rap sheets for any match generated using these identifiers. This process generated literally thousands of "hits" for each submission and resulted in PDF files with more than 8,000 pages of rap sheets and multiple boxes of paper records. Given the volume of records provided by NCIC, a first step was to sort through the data, identify, and verify which records belonged to individuals in the MADCE sample, and remove all superfluous individuals and their records. Analysts first developed match criteria and a protocol for sorting the data; this protocol calculated a match statistic indicating the level of certainty of the match.

Before any sorting and matching could be performed, the PDF and paper files had to be scanned and read into a parser in order to convert these files into an electronic format that could be manipulated for analysis. Using an Optical Character Recognition (OCR) software package (Readiris 11) selected by the MADCE research team in consultation with Urban Institute Information Technology staff, all hard copy NCIC records were electronically scanned rendering image .tif files. The OCR software was then run on the image .tif files to produce readable text .pdf files. Readable text files were then run through the data parser, a program which read and extracted data from these records and converted the extracted data sets into SPSS files. Parsing was an iterative process that required extensive monitoring to ensure all data were properly converted and all records captured.

In the first wave of NCIC data, records were matched to roughly 78 percent of the sample (N=1,237). Although the match rate improved with the second NCIC data submission, the evaluation team requested the FBI conduct one additional search in May 2009 to find records for 116 missing cases. Ultimately, NCIC criminal history records were matched to roughly 89 percent (N=1,401) of the MADCE sample for whom data were requested.[36]

Data cleaning and offense coding were performed once all "true" matches were detected. The parsing process extracted data into four different file structures:

- Person.csv: contains data about official name and key identifying information.

[36] Note: only 1,578 of the 1,781 cases in the sample consented to have their records data collected, so technically the 89 percent match rate is calculated on the denominator of 1,578. Also, any additional records received as a result of the third request were subject to the 24-month cut off for analysis.

- Altid.csv: contains data about alternative names, dates of birth, and Social Security Numbers; data in this file were used to match the FBI data with the study's master-list of drug-court participants for those individuals not matched initially.

- Arrest.csv: contains data about indices of arrest including offense type and arrest date.

- Courtrec.csv: contains data about the prosecution of the arrest, where applicable.

NCIC offense data were coded and collapsed into person, property, society, and drug crimes following the National Incident-Based Reporting System (NIBRS). Coding deviates slightly from the NIBRS standard in that we identified Traffic Violations and Non-Offenses, while the standard folds Traffic into "Other" and does not report the latter. The study also departed from the NIBRS scheme in creating a separate category for drug offenses; NIBRS generally lists drug offenses under "Society Offenses." After creating code for the main categories (Person, Society, Property, Drug, Traffic, Other, and Non-Offenses), sub-categories were created also following the NIBRS scheme (with the exceptions noted above). To support the cost-benefit analysis, the sub-categories were further coded into more precise offense type categories (which NIBRS also addresses). A copy of the NIBRS offense structure is provided in Appendix C.

Cost-Benefit Data

Costs of program participation can be conceptualized as the product of two different components: the quantity of resources used and the price of those resources. Similarly, the benefits can be considered as the product of the quantity of a particular behavior (such as crime) and the price of that behavior (e.g., the costs of victimization). This approach is helpful when discussing data used in the analysis. This section provides a brief overview of how data were used in the MADCE cost-benefit analyses. For more details, see Appendix D to this Volume.

The quantity of resources used was almost exclusively drawn from the latter two waves of the offender interviews (i.e., 6- and 18-month follow ups). These included a wide range of resources used, ranging from program inputs (such as hearings and meetings with case managers) to program outcomes (such as use of government support and public services). Occasionally, the baseline interview was used to guide assumptions (such as assumptions about when employment was obtained). Other assumptions were guided by responses to the nationwide MADCE Adult Drug Court Survey (e.g., the types of drug tests used by each court). Some information from site visits to the courts also was used, primarily to inform estimates of administrative costs of program participation (such as the frequency and length of regularly scheduled staff meetings and which staff members were in attendance). Finally, some information about court personnel who attended hearings was supplied by a telephone interview of participating sites conducted for another study (Bhati, Roman, and Chalfin 2008).

The only other source from which quantities were estimated was administrative records, which were used to estimate (1) the number of arrests, (2) the number of crimes committed (from the number of arrests), and (3) the length and frequency of incarcerations. Appendix D details how these data sources were used to estimate the quantities of resources used and behaviors. Self-report data was used for most quantities for a number of reasons. First, given the number of sites

in participation, hailing from 19 jurisdictions in seven states, it would have been cost prohibitive to collect administrative records on court hearings; public assistance; drug, medical, and mental health treatment; housing program use; and official employment information, in addition to incarcerations and arrests. Second, given the wide range of questions asked during individual interviews, it is unlikely that administrative data would have enabled consideration of such a diverse range of impacts.

Prices were gathered from a number of sources. Where available, information on salaries, treatment costs, and drug testing costs were gathered directly from the sites through the aforementioned telephone interview (Bhati et al. 2008). Often, however, the sites were unable to estimate some or all of this information. The remaining prices were collected from a wide range of extant research and official reports. For instance, many salaries were collected from the Occupational Employment Statistics database maintained by the Bureau of Labor Statistics, incarceration costs were collected from financial reports from the sites' Departments of Corrections, and many drug treatment costs were collected from other studies of drug treatment. In general, almost all prices were obtained from published research papers and reports. All price sources are publicly available. Appendix D identifies these data sources and how they were used in much greater detail.

Analytic Strategy

NIJ's MADCE describes the participant population; the program experience; resulting impacts on drug use, criminal behavior, and other associated problems; and related economic analyses. This section provides an overview of the analytic plan, which divides into a process study of how the 23 drug court sites operated, an impact study of the effects of the drug court on important outcomes of interest, and cost-benefit analyses.

Process Study: Examining the Drug Court Experience

For the process study, we limited the sample to the 23 drug court sites and the 1,156 drug court offenders. Analyses were primarily descriptive, reporting the average distribution of policies, participant characteristics, program experiences, and offender attitudes in our sample. We also conducted select multivariate analyses, typically when seeking to understand which categories of offenders were especially likely to receive a particular drug court service (e.g., residential treatment) or to develop particular perceptions about their experience (e.g., high ratings of procedural fairness). Our substantive focal areas were as follows:

- *Drug Court Population*: reporting the average nature, severity, and duration of participant problems at baseline, including drug use, criminality, socioeconomic dislocations, co-occurring mental illness, and ties to peers or family members with drug or crime involvement.
- *Community-Based Treatment*: reporting the average treatment dosage by modality (residential, outpatient, self-help groups, etc.); and using standard logistic regression methods, modeling which baseline characteristics predict assignment to more intensive modalities (i.e., how drug courts go about matching participant needs to services).

- *Judicial Oversight*: reporting the average frequency of judicial status hearings, case manager contacts, and drug tests, and documenting the use of interim sanctions and incentives, utilizing a combination of offender survey data and structured site visit results, which led each site to be coded across a series of policy domains.
- *Offender Perceptions*: analyzing changes in key perceptions across survey waves, including *procedural justice* (fairness of the judge, case manager, and court) and *deterrence* (detection of noncompliance, certainty of sanctions, and severity of penalties for program failure); and using standard regression methods, modeling which offender baseline characteristics create predispositions to have some and not other perceptions.

Impact Study: Testing the Outcomes and Impact of Drug Courts

NIJ's evaluation was well positioned to yield unbiased estimates regarding the impact of adult drug courts on drug use, crime, and other outcomes. We did not employ a systematic random sample of drug courts and comparison sites, and some regions of the country were under-represented. Nonetheless, the study remains the broadest multi-site effort to date, uniquely enhanced by the availability of three separate waves of offender survey data.

Threats to Study Validity

We still encountered three major threats to validity: selection bias, attrition bias, and site-level clustering. In short, selection bias would arise if the drug court and comparison samples are not comparable in their baseline characteristics. Attrition bias would arise if a significant percentage of offenders are not interviewed at follow-up, and if retained and attrited offenders have different characteristics. Site-level clustering would arise if offender outcomes from the same sites tend to cluster together, which would violate the assumptions of standard statistical methods that each observation (i.e., offender) produces outcomes that are equally independent of all others. As thoroughly detailed in Volume 4, Chapter 2 (on impact methodology), we addressed selection and attrition with *super weighting*, and addressed site-level clustering with *hierarchical modeling*.

Super Weighting

We proceeded as follows. First, we compared the characteristics of drug court and comparison offenders and found significant differences at baseline on many more characteristics than not—posing a real threat of selection bias. We were less concerned about attrition, since survey retention rates at both follow-up periods were high (see above). Nonetheless, we then compared the characteristics of retained and attrited offenders at each follow-up period and found several significant differences. We also found that offenders from some state clusters were systematically more likely to be retained than were offenders from other clusters (whether due to differential community characteristics or differential effectiveness of the interviewing teams).

To address these differences, we implemented standard propensity score modeling procedures (see Volume 4 of this report; Luellen, Shadish, and Clark 2005; Rosenbaum and Rubin 1983, 1984; Rubin 1973). We first developed a propensity model, using an array of baseline characteristics to predict each offender's statistical probability of falling into the drug court as

opposed to the comparison sample. We then developed an analogous retention model, using baseline characteristics and state cluster variables to predict each offender's probability of retention at follow up. We separately implemented these models for each follow-up period: e.g., retained at 6 months, retained at 18 months, retained at both periods, and retained for the oral fluids test. We then differentially weighted cases based on the product of their propensity and retention scores at each period (see formulas in Volume 4). As an intuitive principle, underrepresented categories of offenders received higher weights and overrepresented categories received lower weights. The effect was to *balance the samples*, correcting simultaneously for any selection and attrition bias. We tested the performance of our super weights and determined that they were indeed successful in virtually eliminating baseline differences between drug court and comparison offenders; and between retained and attrited offenders at each period.

Hierarchical Modeling

As in all multi-site evaluations, each observation (i.e., offender) was nested within a particular site. After examining our data, we confirmed that offenders from different sites systematically varied on key drug use, criminal behavior, and other psychosocial outcomes. In other words, the nesting effect had real consequences for the distribution of our outcomes of interest. We thus employed hierarchical modeling techniques for all impact analyses and select process analyses (as clarified within specific process chapters). For this purpose, we used HLM 6.04 software (see Raudenbush and Bryk 2002). Hierarchical modeling techniques adjusted for the site-specific variances in outcomes and corrected the assumed degrees of freedom based on the much smaller number of sites (29) than of offenders (1,781). That is, our statistical power would not be based strictly on the 1,781 individual offenders, but also on our considerably fewer sites. For analytic purposes, we further defined drug court status as fundamentally a characteristic of sites (at "Level 2"), rather than of individuals (at "Level 1"). Such a decision reduced our statistical power to detect an effect of drug court participation on our outcomes of interest; but it provided a more conservative and defensible strategy, improving the reliability of our findings.

Analytic Plan

We briefly restate the core research questions for NIJ's impact evaluation and summarize the plan for addressing each one (see Volume 4, Chapter 2 for an expanded discussion).

Do Drug Courts Reduce Drug Use, Crime, and Multiple Other Problems Associated With Drug Abuse, In Comparison With Similar Offenders Not Exposed To Drug Courts?

When comparing outcomes between drug court and comparison offenders, we ran all final models in HLM using weighted data. Since our weighting strategy successfully addressed all apparent selection bias, we considered it unnecessary to add any additional control variables. Accordingly, our models simply included drug court status as a single Level 2 predictor variable—without any other predictors. For each outcome measure, we selected the most appropriate regression specification, of those that are available in HLM: ordinary least squares for normally distributed outcomes, logistic regression for dichotomous measures, and Poisson regression for count distributions that are right-skewed. To provide easily interpretable "bottom-

line" results, we transformed our regression coefficients for the intercept and for drug court status to produce simple mean outcomes for drug court and comparison offenders, respectively. In other words, in lieu of presenting regression coefficients, we produced readily interpretable percentages or averages—percent using drugs, percent engaged in criminal activity, average days incarcerated, etc. It is, however, important to keep in mind that all such seemingly simple outcomes are never based on the raw data, but are adjusted, as previously described. While we analyzed a large number of individual measures at both the 6- and 18-month follow-up points, and up to 24 months for official recidivism, outcomes were organized into the following key domains:

- *Drug Use*: for example, whether the offender used drugs, days of drug use per month, and results of the oral fluids drug test.
- *Criminal Activity*: for example, incidence and prevalence of official re-arrest and of self-reported criminal behavior (up to 18 months for self-report and 24 months for official recidivism).
- *Incarceration*: for example, number of days incarcerated (up to 18 months post-baseline).
- *Socioeconomic Status*: for example, employment status, school status, and annual income.
- *Mental Health*: for example, classified as "depressed" (based on multi-item instrument) and self-reported assessment of mental health (excellent, very good, good, fair, or poor).
- *Family Support and Conflict*: for example, drawing on multi-item indices, the extent of family conflict, family emotional support, and family instrumental support.
- *Homelessness*: for example, whether the offender was homeless since the previous survey point.

Our final plan for computing impacts was not the only one that might have been attempted. Accordingly, using an array of alternative models, we conducted a series of *sensitivity analyses* on select outcome measures from each domain. These were raw/unadjusted outcomes; weighted, but without hierarchical modeling; same as our primary approach, but with select individual-level covariates added as control variables; and same as our primary approach, but with select community-level covariates added as control variables (e.g., census demographics, jurisdiction-wide arrest rates, etc.). These analyses generally confirmed a need for weighting and hierarchical modeling, but indicated that additional refinements—that is, adding further control variables even after weighting the data—rarely affected the substantive findings or significance levels (and did not in a single instance lead a finding to shift from significant to non-significant, or vice versa).

What Are the Individual and Program Factors That Make Drug Courts More or Less Effective in Achieving Their Desired Outcomes?

We limited such analyses to those outcomes where our simple impact analysis (above) detected a demonstrable and consistently positive effect size. In practice, both because these areas yielded the clearest positive results and were of the greatest analytic interest in the first place, we focused on drug use and criminal behavior outcomes.

In modeling the effects of individual-level factors (answering: *for whom do drug courts work*), we identified key offender characteristics in five critical domains:

- *Drug Use History*: average days of drug use per month at baseline, primary drug of marijuana, primary drug of alcohol, and primary drug of cocaine (hypothesizing that drug courts work better with offenders whose substance abuse history was more serious—more days of use and primary drug other than marijuana).
- *Prior Criminality*: any prior conviction, any prior violent conviction, and number of self-reported criminal acts in the six months pre-baseline (hypothesizing that drug courts work better with "higher risk" offenders, defined by greater criminality).
- *Mental Health*: depressed at baseline, anti-social personality disorder, and narcissistic personality disorder (hypothesizing that drug courts work better with offenders who did not suffer from a co-occurring depression, but who did have either of the personality disorders, which might create receptivity to the drug court's strong deterrence strategies).
- *Social Ties*: married, employed or in school, and involvement of blood relatives with drugs or crime (hypothesizing that drug courts work better with offenders who had a greater "stake in conformity"—that is, more mainstream social ties).
- *Demographics*: race/ethnicity, sex, and age (no particular hypothesis).

For each of the above characteristics, we ran three-predictor regression models, including drug court status, the given characteristic, and an interaction term. Significant interaction terms meant that the drug court produced *especially* better or worse outcomes than the comparison group for offenders with the given characteristic. If our results had produced many significant interactions, we planned to combine multiple baseline measures into theoretically-based scores (e.g., "high" or "low" risk classifications) and to add more control variables to our initially parsimonious models. This step became superfluous, as remarkably few significant interactions were detected.

In modeling the effects of program-level factors that influence drug court effectiveness (answering: *how do drug courts work*), we included variables from the following major domains.

- *Treatment*: for example, number of days of any treatment, residential, outpatient, or self-help groups; whether or not the offender completed more than 90 days of treatment; and any treatment within the first 30 days after program entry (testing treatment immediacy).
- *Court Supervision*: for example, frequency of judicial status hearings, case management or other supervision officer contacts, and drug tests.
- *Legal Leverage*: for example, severity of sentence if failing drug court.
- *Sanctions and Incentives*: for example, anticipated sentence if failing drug court (i.e., legal leverage), number of sanctions during participation, number of rewards, percent of sanctions that involve jail stays, and ratio of sanctions to infractions.
- *Supplemental Services*: for example, employment and educational assistance; family support; child services; and administrative, logistical, or legal services.

We adopted two distinct approaches in the analysis. In the first, we included all 29 sites, enabling us to test which program-level factors moderate the impact of the drug court, *relative to the comparison group*. In the second approach, we focused on the 23 drug court sites only, enabling us to test which program-level factors led some drug courts to have better outcomes than other drug courts. Throughout these approaches, we used a combination of regression modeling in HLM and structural equation modeling (SEM) in LISREL. The regression strategy gained the advantages of the hierarchical modeling adjustments discussed above, and produced results that could disentangle the relative effects of each factor on outcomes. The SEM strategy gained the advantage of more fully modeling the direct and indirect pathways in which each variable has its effects—for example, essentially ordering variables in a left-to-right path model from baseline characteristics to program-level factors to offender attitudes (see below) to outcomes. A final consideration is that only in a regression framework could we enter a combination of individual- and court-level policy predictors. That is, apart from our collection of survey data on reported offender experiences, we coded each site's policies at the court level; accordingly, within an HLM framework, variation in those policies could be modeled as Level 2 predictors.

How Do Offender Attitudes and Opinions Change When They Are Exposed To Drug Courts and How These Changes Help To Explain The Effectiveness Of Drug Court Programs?

Key offender attitudes included perceived *procedural fairness* (of the judge, supervision officer, and court), perceived *deterrence* (perceptions of noncompliance detection, sanction certainty, and the deleteriousness of consequences of program failure), and *motivation to change* (based on a "readiness to change" instrument). The analyses followed a parallel set of approaches as in the analyses of program-level factors. For drug court sites only, we analyzed whether offender perceptions changed over time and whether they predicted our core drug use and criminal behavior outcomes. For all 29 sites, we analyzed whether the same perceptions *mediate* the impact of the drug court relative to the comparison group. As above, we employed a combination of regression methods in HLM and SEM methods—including a combination of individual-level predictors, policy-level moderators, and attitudinal mediators in our final SEM models.

Cost-Benefit Analysis

Our cost-benefit analytic approach differs from most prior drug court research. Typically, cost-benefit studies have estimated a total cost among a treatment group and a total cost among a comparison group. Costs of the comparison group are then subtracted from those of the treatment group to determine the marginal costs of the program. Next, crime, re-arrest, re-incarceration, and any other impacts are measured for both groups. Outcomes for the treatment group are subtracted from the comparison group to estimate the impact of the program, which is then monetized to estimate the marginal benefits of the program. Costs are subtracted from benefits to determine the net benefits of program participation, which is divided by the sample size to estimate net benefits per drug court participant. The estimates are rarely developed from a multivariate analysis of the effect of drug court on costs or benefits, and thus do not control for competing explanations of costs and benefits.

For the MADCE study, we developed an estimate of each individual's net benefit to society that we then used as the dependent variable in the cost-benefit analysis. The net benefit variable (which includes all measured contributions and costs to society) is regressed on group assignment and other predictors of net benefits (adjusted for selection using propensity weights) and the group membership parameter is interpreted as the net benefit from drug court. The coefficient on drug court participation can be positive if drug court is cost-effective (net benefits are higher), or negative if the net benefits are less than the comparison group; thus, plausible values range from positive to negative infinity. This approach allows us to test the costs and benefits of drug court in a situation where identification is complex and requires multiple controls (propensity scores, multi-level modeling). Finally, the use of multivariate models allows us to construct a confidence interval around the estimates, rather than, as is traditionally the case, simply reporting a point estimate or a confidence interval around each particular impact, but not the final estimate.

In addition to the statistical advantages of this approach, it also has three important practical advantages. Two are advantages compared to studies that report cost-benefit ratios instead of net benefits. First, it avoids having to make subjective determinations about what is a cost versus what is a benefit. In traditional studies, events that require new spending are labeled as costs, and activities that reduce spending are benefits. Such assignment is arbitrary, and leads to controversy.[37] In this study, we avoid this problem by simply adding together all contributions to society (such as employment or community service) and all uses of social resources (including program spending and costs to victims) to create a single metric for each observation. Second, it does not allow for the creation of cost-benefit ratios, which can be very misleading as we demonstrate later.[38] The other advantage arises from the use of individual, rather than aggregated data. Aggregated data (e.g., dividing costs by number of participants) yields only a point estimate. Using individual data allows for an estimate of the confidence interval to describe heterogeneity in net benefits.

Importantly, this study also measures a far wider range of program impacts than typically considered in past drug court cost-benefit analyses. Prior research has noted that important drug court benefits likely include positive impacts on employment, medical service use, and a variety of other sectors; however, these studies lacked the data to measure or value these impacts (Aos and Barnoski 2003; Finigan, Carey, and Cox 2007). In this study, we extend prior research by estimating net benefits from a wider range of drug court effects.

[37] The two most controversial issues in drug court cost-benefit analyses (other than the composition of the comparison group) are how post-program treatment and post-adjudication incarceration are counted. Many practitioners believe that if a client continues in treatment after completing drug court that is a benefit, while economists would view that strictly as a cost. In addition, counting prison is a particular dilemma. Some count prison resulting from drug court failure as a cost associated with drug court, and some count prison (and, in particular, prison avoidance) as a benefit. The decision is arbitrary, but can dramatically change benefit-cost ratios.

[38] For example, suppose a program saves $100 per participant in costs, but with the unintended consequence that benefits are reduced $500 per person. The benefit cost ratio would be -$500/-$100, or 5:1, and thus would show that a terrible program was very effective. Alternatively, if the program saved $100 in costs, but yielded $500 in benefits that ratio would be $500/-$100 or -5:1, and thus show that a very effective program was terrible.

Here, we provide a cursory overview of the construction of the net benefits variable, which is detailed more thoroughly in Appendix D of this Volume.[39] The final analysis uses multilevel techniques that mirror the other multivariate analyses discussed earlier in this chapter to model the individual-level net benefits. This analysis provides an estimate of the overall net benefits of drug courts. We also replicate the findings of past cost-benefit analyses, as closely as possible, to benchmark the findings presented here.

Definitions

Before describing the construction of the net benefits variable, we define key terms and assumptions in this analysis. First, we define social benefits. The goal of the net benefits variable is to measure social benefits. Some of those social benefits are positive (such as new earnings), and some are negative (as is the case of harms from new crimes). In order for an activity to be counted as a social benefit, it must be the case that the activity caused a new benefit. For example, if a drug court client is employed, the social benefit is equal to the amount of the individual's earnings.

Second, cost-benefit analyses should be explicit about who has *standing*. Standing (often referred to as the unit of analysis, or 'perspective' in cost-benefit analysis) simply refers to who is and is not included in the analysis. In this analysis, we have taken a social benefits approach, and thus count costs and benefits to everyone. We strongly believe this approach is preferred to analyses that count only public costs—the government is not a corporation, and it exists to serve the people, not to maximize return on investments. Thus, excluding outcomes to private citizens ignores the purpose of government.

The decision about whether to include the offenders' costs and benefits in the analysis is often a source of controversy. A strong argument can be made to include their benefits, since it is their behavior that is being monetized. The counter argument is that individuals who commit crime and enter into custody legally forego their rights, and thus explicitly lose standing as a member of society. This latter argument is the generally-accepted approach, and we generally follow it here.

Constructing the Net Benefits Variable

The net benefits variable is an individual-level measure of net benefits. To allow variation across observations, individual costs and benefits are preferred to average measures. For example, when valuing the effect of drug court on medical expenses, instead of obtaining average days spent in the hospital for both groups, individual-level reported length of stays are multiplied by average daily costs to create an individualized estimate.[40] The individual net benefit variable has two

[39] It should be noted that we use the terminology "net benefit" in order to avoid implying subjective assumptions about the effectiveness of drug courts. Net benefits can be either positive or negative, and this technique makes no assumptions as to which is the case.

[40] One important caveat is by constructing the net benefits variable before measuring program impacts, the researcher loses the ability to choose the most conservative monetization assumptions, as is common practice within cost-benefit analysis. This limitation does not outweigh the advantages, and we use the most plausible, evidence-based assumptions possible.

components—the price of a resource or activity and the amount of that resource or activity that was consumed.

To conceptualize individual-level net benefits that could be obtained from the data, the starting point is to consider all the ways that an individual may interact with society at large, yielding benefits or costs to society. While the MADCE offender survey elicits a detailed portrait on the quantity of each individual's activity, prices were often derived from other sources. Pricing, or monetizing, these activities was done using individual survey responses when possible, using MADCE site-specific data as a secondary alternative, and national-level evidence when necessary.

To structure the analysis, individuals' impacts on society were divided into the following categories and sub-categories. This stratification is only a conceptual tool—since prices and quantities will be aggregated across all categories to determine each individual's total impacts on society, it is unimportant whether a particular item is improperly categorized. Table 1-3.13 displays all categories and sub-categories, with examples of each. Appendix D thoroughly details how estimates of each category and sub-category were calculated. Unless otherwise stated, all dollar values used in the final analysis, from the survey or extant literature, are adjusted to 2008 dollars.

Finally, for clarity, we note again that all of the calculations were performed for all observations in our sample; thus, the net benefits for the drug court group and the comparison group were calculated in an identical manner.

Table 1-3.13. Components of Net Benefits

Category	Sub-Category	Impacts
1. Social productivity	A. Employment B. Education C. Services and Support Provided	Earnings Schooling Child support payments, community service
2. Criminal justice system	A. Monitoring B. Police C. Courts D. Corrections E. Drug court	Probation officer meetings, drug tests, electronic monitoring Arrests Hearings Jail and prison (sanctions or otherwise) Case management, administrative costs
3. Crime and victimization		Crimes committed
4. Service use	A. Drug treatment B. Medical treatment C. Mental health treatment D. Other	ER, detoxification, residential care, outpatient, methadone Non-drug related hospital stays Non-drug related stays in mental health facilities Halfway houses, public housing, homeless shelters
5. Financial support use	A. Government B. Other	Welfare, disability, and other entitlements Money from family and friends

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Chapter 4. Lessons Learned in Recruiting and Retaining Drug-Involved Offenders in Longitudinal Criminal Justice Survey Research

Christine H. Lindquist and Kristine Fahrney

Study Overview

The Multi-Site Adult Drug Court Evaluation (MADCE) was funded in 2003 by the National Institute of Justice (NIJ) and conducted by the Urban Institute (UI), RTI International (RTI), and the Center for Court Innovation (CCI). The purpose of the study was to determine the effectiveness of drug courts—specialized courts for drug-involved offenders, in which participants receive intensive court monitoring and substance abuse treatment through a non-adversarial approach involving a key role played by the judge—compared to other approaches for supervising and treating drug-involved offenders. In addition to determining whether drug courts work, the study also sought to identify *how* drug courts work, *for whom* drug courts are effective, and *specific features* of drug courts that are most effective.

Answering these questions required a multi-site design, in which a diverse set of drug courts and non-drug court conditions were included in the study. Through a systematic site selection process, 23 drug courts and 6 comparison sites (representing a variety of criminal justice approaches to treatment for drug-involved offenders) located throughout 8 states were selected.

Several sources of data were used in the MADCE, including:

- Longitudinal interviews conducted with drug court participants and comparison group members in the selected sites. Drug court participants were individuals newly enrolled in drug court during the baseline enrollment period of the study. Comparison group members were individuals newly entering several types of alternative conditions, including court-referred treatment with regular probation supervision, Treatment Alternatives for Safer Communities (TASC), or other court-based substance abuse referral mechanisms.

- Oral fluid drug test data gathered from the participants in the longitudinal offender interviews.

- Official arrest data from state and federal law enforcement authorities obtained for the participants in the longitudinal offender interviews.

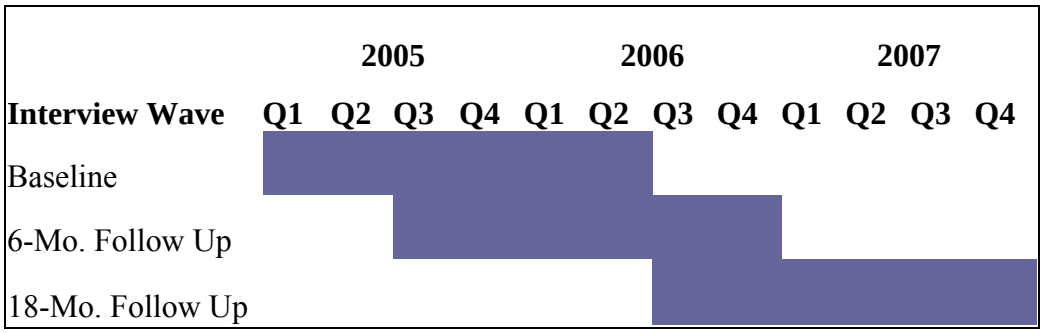
- Court observation data and semi-structured key stakeholder interview data obtained during site visits to the selected sites.

Substantial resources were invested in the longitudinal offender interviews, and this study component proved to be particularly successful, with unusually high retention rates achieved during the 18-month follow-up period. Therefore, the purpose of this chapter is to document the methodological features of the study and lessons learned in recruiting and retaining criminal justice-involved populations in longitudinal research studies, in order to assist future research efforts similar in scope.

Methodological Approach

The longitudinal offender interview component entailed both drug court and non-drug court offenders recruited for baseline interviews, which took place within six weeks of entering the drug court or comparison condition. Contact information for potential baseline respondents (i.e., newly entering individuals who consented to have their contact information released for the evaluation study) was submitted by the participating sites in accordance with approved data security protocols. Cases were assigned to RTI-subcontracted field interviewers and recruited for the baseline interviews. All respondents who completed baseline interviews were recruited for follow-up interviews conducted at 6- and 18-months post-baseline. Baseline enrollment took place on a rolling basis over 16 months, and the total data collection period spanned 36 months, as shown in Figure 1-4.1.

Figure 1-4.1. MADCE Interview Schedule



The interviews were administered in-person by trained, professional field interviewers who were supervised by field supervisors. The interviewers conducted the interviews using computer assisted personal interviewing (CAPI) technology. The interviews took place in private settings in both facilities (i.e., jails, prisons, and residential treatment facilities) and community locations (i.e., primarily respondents' homes or libraries). Permission to conduct interviews in correctional or treatment facilities was obtained by field supervisors or evaluation staff from UI, RTI, and CCI, with all negotiations conducted in advance of scheduling an interview at a particular facility.

The interviews lasted approximately 1.5 to 2 hours and covered a variety of topics including: substance abuse treatment, supervision intensity, court experiences, support services received, substance use, criminal history and criminal behavior, and attitudes and perceptions. Informed consent was obtained from all study participants prior to each interview wave. Separate informed consent forms were administered for both the provision of the oral fluids sample (that was obtained for all non-incarcerated respondents at the 18-month interview) and release of criminal justice administrative data.

At the conclusion of the interviews, non-incarcerated respondents were provided with cash payments. For incarcerated respondents, money orders were deposited in the individuals' accounts if the facility permitted it. Respondents were paid $35 for the baseline interviews, $40 for the 6-month follow-up interviews, and $50 for the 18-month follow-up interviews (with an additional $15 for providing oral fluids samples). Respondents could also receive $5 bonuses for calling to schedule their interviews upon receiving a lead letter, and $25 bonuses for completing all three interviews.

Hiring and Training Professional Interviewers

Because working as a field interviewer is a very demanding job, recruiting qualified candidates poses a significant challenge. Interviewers must be willing to work in intimidating environments including jails, prisons, and low-income neighborhoods. They must have the creativity and persistence to locate respondents, and the self-confidence to gain cooperation. In addition, they must be willing to strictly comply with project protocols, document their work in meticulous detail, and be open to receiving regular corrective feedback regarding their efficiency, data quality, and response rates. For this reason, hiring experienced interviewers with a proven track record is the most effective approach.

All interviewers hired to work on the MADCE attended a four-day training session. Interviewers learned about the study background, research ethics and respecting respondent rights, using their laptop, standardized interviewing techniques, procedures for receiving assignments and documenting progress, locating respondents, gaining cooperation, avoiding refusals, handling critical incidents, interviewing in prisons and jails, and protecting the security of the data. Interviewers worked in pairs to role play gaining cooperation, converting refusals, and interviewing a variety of different types of respondents. At the end of training, all interviewers were certified on gaining cooperation, administering the informed consent, and conducting the interview. Following training, interviewers reported directly to one of two field supervisors. Field supervisors conducted weekly conference calls with each interviewer to review progress on each case and discuss strategies for overcoming obstacles.

The key methodological features employed in the MADCE and associated benefits are outlined in Figure 1-4.2.

Figure 1-4.2. MADCE Methodological Features

Key Methodological Features	Benefits
Systematic Approach to Facility Access	Standardized materials and a systematic approach to gaining access to jails, prisons, and substance abuse treatment facilities ensured that our recruiting staff provided sufficient information about the study to allow facility leadership to make informed decisions about whether or not to allow the research. The approach also ensured facilities were prepared for the logistical requirements of the survey (i.e., length of the interview, materials and equipment that interviewers would be bringing in, need for private space, etc.)
Professional Interviewers	• Use of professional interviewers provides a number of advantages over utilizing drug-court or other program staff to administer the surveys. • Using neutral third parties protects participants' rights. Many of the questions involved topics that could potentially result in additional sanctions for research participants if they provided truthful survey responses to the program staff. • Research participants are more likely to provide honest answers when the interviewers are neutral third parties. • Professional interviewers have the requisite experience and training in procedures for tracing research participants, gaining cooperation, and conducting unbiased interviews—three very specialized skills. • Contacting and locating respondents are labor intensive activities that would be too demanding of program staffs' time. More than 8 hours per completed interview were required for this work, even though interviews were only 1.5 to 2 hours in duration. • Using professional interviewers, who were hired and paid by RTI, allowed RTI to address issues of poor performance and terminate unsalvageable interviewers. • Using professional interviewers, who had no personal stake in the study results, helped facilitate neutral, unbiased interviews with a representative sample of the study population.
In-Person Interviews	In-person contacts facilitated rapport building between interviewers and respondents, leading to higher cooperation rates than would have been possible with phone or mail surveys. We found that it was particularly difficult to reach this population by phone even to arrange interview appointments, not only because they were transitioning in and out of facilities, but also because in times of financial strain, disconnecting telephone or cell phone service is often one of the first economies individuals make.

(continued)

Figure 1-4.2. MADCE Methodological Features (Cont'd)

Key Methodological Features	Benefits
Computerized Interviews	This use of a computerized interviewer-administered survey allowed us to utilize a lengthy instrument with complicated logic. This enabled us to collect responses to detailed follow-up questions based on the respondent's answers to a shorter list of behavioral questions. The computerized interview also had built in checks for consistency between responses, ensuring high-quality data.
Quality Control	The use of administrative reports detailing each interviewer's response rates, cost efficiency, and interview-timing data, coupled with follow-up verification calls from supervisors to study participants to enquire about the interviewers' behavior ensured that interviewers were provided with timely corrective feedback about their performance.
Biospecimen Collection	The use of simple oral specimen collection at the end of the 18-month interview allowed us to validate respondents' self-reported drug use.
Linking Survey Data to Research participants' Criminal Justice Records	By gaining the respondents' consent to allow us to link their survey data to their criminal justice records, we were able to examine official measures of recidivism and to track their involvement with the criminal justice system for 6 months beyond the survey period, allowing us to evaluate the long-term effects of the programs.

Study Enrollment and Retention

A total of 1,784 individuals completed baseline interviews for the MADCE, with a baseline response rate of 72 percent. The baseline sample size varied substantially by site (with the drug court sites intentionally contributing more cases to the overall sample than comparison sites). Baseline response rates were substantially higher for the drug court sites than the comparison sites.

As shown in Figure 1-4.3, the vast majority of baseline respondents were successfully interviewed at both follow-up periods. Eighty-five percent of the baseline sample completed 6-month follow-up interviews, and 83 percent completed 18-month follow-up interviews. Less pronounced differences in response rates between the drug court and non-drug court sites were evident at the follow-up interviews.

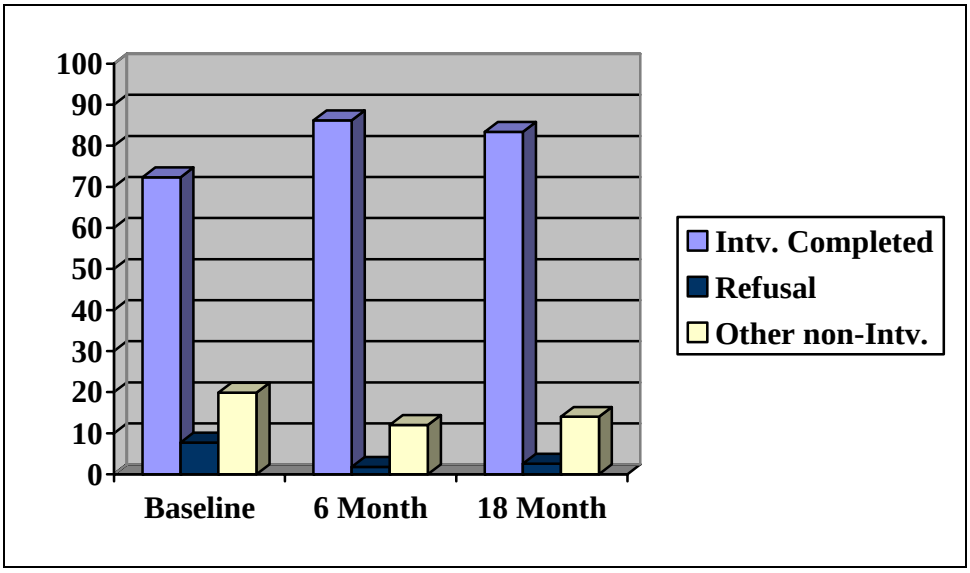
For all three interview waves, the majority of non-respondents were not interviewed due to difficulty locating the respondent, rather than refusals. For example, the total refusal rate was only 8 percent at baseline, 2 percent at the 6-month follow up, and 3 percent at the 18-month follow up. A breakdown of the disposition of cases at each interview wave is shown in Figure 1-4.4. Cases coded as "other non-interview" were primarily cases that the interviewer could not locate or could not access (such as individuals incarcerated in facilities that would not grant access for interviews).

Figure 1-4.3. Response Rates and Cases Interviewed at Each Interview Wave

	Baseline	6-Month Follow Up	18-Month Follow Up
Drug Court Sites			
Response rate	81.7%	89.2%	85.7%
Total # interviewed	1157	1012	956
Comparison Sites			
Response rate	64.7%	81.5%	83.0%
Total # interviewed	627	528	525
Overall Response Rate	72.3%	86.1%	83.3%
Total # Interviewed	1784*	1540	1481

* The baseline analytic sample was 1,781 due to 3 incomplete interviews that were coded as complete.

Figure 1-4.4. Disposition of Cases by Interview Wave



When comparing the retention rates achieved in NIJ's MADCE to those reported by other efforts with similar populations, it is evident that the MADCE was substantially more successful in retaining study participants throughout the follow-up period. For example, a study of approximately 700 drug court participants and comparison offenders in Broward and Hillsborough counties retained only 70 percent of baseline interview respondents at a follow-up interview conducted 9 months later (Lindquist, Krebs, et al. 2009). Other drug court evaluations with offender interview components have reported similarly low response rates, such as the 60 percent retained over one year in the Harrell, Cavanagh, and Roman (1999) study and the 67 percent retained over three years in the Gottfredson, Kearley, et al. (2005) study.

The remainder of this chapter shares strategies found to be particularly effective in successfully recruiting and retaining interview participants in the MADCE.

Gaining Cooperation: Strategies Contributing to Successful Recruitment in the Study

In order to successfully enroll individuals into a research study, it is critical to understand potential respondents' barriers to participation. Our interviewers were extensively trained on a variety of recruitment strategies, and developed firsthand knowledge about most effectively tailoring their requests for participation to address each respondent's particular concerns. Based on our experience enrolling participants into the MADCE, three common barriers to gaining cooperation were encountered. The top three recruitment barriers encountered and our strategies to overcome them are discussed below.

Barrier #1: Mistrust of anything or anyone related to the criminal justice system.
Our interviewers preemptively clarified that they had no affiliation with the drug court program or the criminal justice system. In addition, in order to avoid sending mixed signals about their affiliation, interviewers did not conduct interviews at court houses or in spare offices at the probation or parole departments, even though doing so could have created efficiencies for both respondents and interviewers.

Barrier #2: Competing demands for the respondent's time.
As with any population under criminal justice supervision, prospective respondents had many requirements associated with their supervision status, which placed severe time constraints on them. To address time concerns, our interviewers emphasized flexibility, including availability to work at odd hours at the participant's request and willingness to make themselves available to participants who called the toll-free number requesting an immediate appointment. Indeed, some respondents only "surfaced" for very short windows of time. It was evident that someone who was motivated one day might not be motivated the next day, so it was extremely important for the interviewers to be able to take advantage of spur-of-the-moment opportunities.

Barrier #3: General apathy or lack of interest in research.
For research participants who expressed apathy about the study or who expressed hostility toward the drug court program or the criminal justice system, interviewers discussed how participation in the survey was an empowering opportunity to "have a voice" and share their opinions about how well the program/system was or was not meeting their needs.

In addition to customizing the recruitment approach based on the concerns expressed by the potential respondents, the interviewers learned that persistence (e.g., following up repeatedly with participants who expressed willingness to participate, but reluctance to commit to a particular appointment time) and follow-through (e.g., calling back at the times the participant had indicated were better times to make contact) were critical to their success in gaining participant cooperation.

Retaining Study Participants: Strategies Contributing to High Response Rates

Just as important as successfully enrolling participants into the study is retaining them throughout the follow-up period, in order to obtain all three completed interview waves for as many respondents as possible. One of the most significant challenges to retaining study participants in the 6- and 18-month follow-up interviews for the MADCE study was locating them again.

Several factors made locating a particular challenge with this population of drug- and criminal justice system-involved offenders:

- Drug-involved offenders are frequently in and out of jail. Family members—who are typically the best sources of information about the respondents' whereabouts—are often reluctant to admit to researchers that the participant is incarcerated.

- More problematic is that this population is in and out of residential treatment programs, which are required to keep their patient lists confidential.

- Even when they are out in the community, we found that many participants relocated between interviews without leaving a forwarding address.

- If they are still using drugs, participants' personal relationships may have broken down, such that neighbors, friends, and family members may no longer be in touch with them or be aware of where they are living.

- Finally, the need to ensure that participation in our research study did not bring participants under closer scrutiny of the criminal justice system precluded the use of some typically useful sources of locating information. For example, probation/parole officers or drug court case managers would likely have been good sources of information about the respondents, but the decision was made to not consult these sources due to concerns about our inquiry causing increased attention (and potentially alerting the officer that the respondent was not where s/he was supposed to be).

Despite these challenges, the MADCE field interviewers were extremely successful in locating respondents for follow-up interviews. Particularly effective locating strategies for this population included:

- Asking respondents for other names or aliases that they use.

- Planning ahead for the next interview by asking the research participants for contact information on several people who will know where they are. With a drug-involved population, it can be helpful to ask the participants for contacts who will know where they are when they are using drugs, as well as other contacts who will know where they

are when they are trying to stay clean. In addition, a respondent's mother is typically a good contact, because we have found that mothers often stay in touch with offenders (research participants) after other family members have broken ties. Finally, for participants who are fathers, the mother(s) of their children are also frequently knowledgeable regarding their whereabouts. Regardless of who the contact people are, it is critical that interviewers ask research participants to tell these individuals that it is okay for them to disclose their addresses if they are contacted by an interviewer with the study.

- Asking the participants where they spend their time when they are using drugs and when they are clean. This strategy can provide more complete information that can be used to locate respondents who may not stay clean.

- Checking in with respondents several months before the next interview to see if they are planning a move and if they have any additional contact information, such as a new cell phone or a new place of work. As discussed above, the MADCE data collection protocol entailed a mid-wave contact with all respondents between the baseline and 6-month interviews and the 6- and 18-month interviews.

- Offering a "call-in" bonus to participants who contact the project's toll-free number in response to receiving a letter inviting them to schedule their next interview.

- Maintaining continuity of interviewer assignments so that interviewers are working with the same participants throughout the life of the study.

- Investing time in developing rapport with participants' family and friends. This involves demonstrating persistence and concern for the participants, conveying the study's independence from the criminal justice system, and emphasizing the monetary incentive.

- Utilizing public records. Online court dockets reveal a likely time and place to find the participant. Most prisons or jails either have online or telephone-accessible lists of current inmates. Arrest records reveal the address at which the respondent was arrested, which may be a place where they still hang out. The county clerk can provide information on who bailed the participant out of jail, and can also provide addresses for people who are under supervision of the criminal justice system. Birth certificates sometimes contain address information for new parents.

- Attending regularly scheduled drug court meetings, graduations, and other events to locate drug-court participants.

- Using "hypotheticals" to speak to drug treatment facilities that have confidential patient lists. For example, without asking a treatment facility to reveal whether or not a particular person is there, it is possible to ask the facility if their patients can receive letters or receive phone messages. In such circumstances, correspondence can be send to respondents who can then, in turn, put the interviewer on their guest list so that the interviewer can schedule an interview.

Implications

The lessons learned on effective recruitment and retention in the MADCE can be used to assist future studies that include in-person interviews with drug- or criminal justice system-involved populations. These strategies, when accompanied by well-designed data collection protocols, can maximize the investment in costly in-person data collection through increased recruitment and retention rates. In sum, much of the success of primary data collection efforts rests on the quality of the field interviewers employed, and ensuring they have the necessary tools to succeed. On the MADCE, the interviewers' skills were developed through formal trainings, as well as frequent interaction among interviewers. Our supervision structure enabled interviewers to share effective strategies with one another during both weekly teleconferences held with field supervisors, and "all hands" teleconferences held among the entire field team. We also attempted to preserve the knowledge developed by the interviewers by investing resources in retaining interviews for the entire duration of the study. Such efforts are critical to enhancing the institutional knowledge among a field team.

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Chapter 5. Lessons Learned in Maximizing Human Subjects Protection in Data Collection for Criminal Justice Populations

Christine H. Lindquist and Kristine Fahrney

Human Subjects Protection Issues for Criminal Justice Populations

Many criminal justice research studies entail the use of primary data collection from individuals under criminal justice supervision, including prisoners and jail inmates, returning prisoners under post-release supervision, probationers, and individuals under pre-trial or court supervision. Yet researchers are not always aware of the human subjects' protection concerns relevant to this population, particularly for individuals who are not formally classified as prisoners.

The Department of Health and Human Services (HHS) regulations at 45 CFR part 46, subpart C provide additional protections pertaining to research involving prisoners as subjects, with "prisoner" defined as "any individual involuntarily confined or detained in a penal institution." The HHS regulations are primarily based on the fact that prisoners may face constraints that could affect their ability to make voluntary and un-coerced decisions to participate in research. It is important to acknowledge, however, that both prisoners and other individuals under criminal justice supervision face additional constraints that could put them at risk for harm. Both of these populations do not always receive the same due process rights as the rest of society, and may be subjected to sanctions for their actions. The simple act of participating in an interview (or deciding not to participate) increases their risk of adverse consequences—however unintended by the researchers.

It is important for researchers to better understand these risks, and strategies that can be implemented to mitigate them. Primary data collection from criminal justice populations is critical to much research on crime and justice, with self-reported data often the only available source of information for many domains. In order for such studies to be ethically conducted, they must be designed to protect all individuals under criminal justice supervision to the greatest extent possible.

This chapter describes lessons learned in maintaining human subjects' protection in the longitudinal offender interview component of the Multi-Site Adult Drug Court Evaluation (MADCE). The MADCE research entailed 4,805 interviews conducted at three points in time for individuals participating in drug courts or under some other type of criminal justice supervision. The majority of respondents were under criminal justice supervision for all three interviews, with some respondents incarcerated and others under community supervision.

Summary of the MADCE Longitudinal Interview Component

The MADCE was funded in 2003 by the National Institute of Justice (NIJ) and conducted by the Urban Institute (UI), RTI International (RTI), and the Center for Court Innovation (CCI). The

primary purpose of the study was to determine the effectiveness of drug courts—specialized courts for drug-involved offenders, in which participants receive intensive court monitoring and substance abuse treatment through a non-adversarial approach involving a key role played by the judge—compared to other approaches for supervising and treating drug-involved offenders. Twenty-three drug courts and six comparison sites (representing a variety of criminal justice approaches to treatment for drug-involved offenders) located throughout eight states were selected.

During an 18-month baseline enrollment period, contact information for potential baseline respondents (i.e., newly entering individuals who consented to have their contact information released for the evaluation study) was submitted by the participating sites in accordance with approved data security protocols. Cases were assigned to RTI-subcontracted field interviewers and recruited for the baseline interviews. All respondents who completed baseline interviews were recruited for follow-up interviews conducted at 6- and 18- months post-baseline.

The interviews were conducted in-person by trained, professional field interviewers using computer assisted personal interviewing (CAPI) technology. The interviews were conducted in private settings in both facilities (i.e., jails, prisons, and residential treatment facilities) and community locations (i.e., primarily respondents' homes or libraries). Permission to conduct interviews in correctional or treatment facilities was obtained by field supervisors or evaluation staff from UI, RTI, and CCI, with all negotiations conducted in advance of scheduling an interview at a particular facility.

The interviews lasted approximately 1.5 to 2 hours and covered a variety of topics including: substance abuse treatment, supervision intensity, court experiences, support services received, substance use, criminal history and criminal behavior, and attitudes and perceptions. Informed consent was obtained from all study participants prior to each interview wave. Separate informed consent forms were administered for the provision of the oral fluids sample (which was obtained for all non-incarcerated respondents at the 18-month interview) and release of criminal justice administrative data.

At the conclusion of the interviews, non-incarcerated respondents were provided with cash payments. For incarcerated respondents, money orders were deposited in the individuals' accounts if the facility permitted it. Respondents were paid $35 for the baseline interviews, $40 for the 6-month follow-up interviews, and $50 for the 18-month follow-up interviews (with an additional $15 for providing an oral fluids sample). Respondents could also receive $5 bonuses for calling to schedule their interviews upon receiving a lead letter, and $25 bonuses for completing all three interviews.
The survey instrument and study protocols were approved by the Institutional Review Boards at UI and RTI. In addition, research approval was obtained from the state department of corrections for all states in which any respondents were incarcerated in state prisons, from the Federal Bureau of Prisons, and from individual jails (when required).

A total of 1,784 individuals completed baseline interviews for the MADCE, with 1,540 of these individuals completing a 6-month follow-up interview and 1,481 completing an 18-month follow-up interview. The number of study participants who were incarcerated and under

community supervision, which included supervision by the courts (including drug court or other court), pretrial release, probation, or parole, at each interview is shown in Table 1-5.1.

Table 1-5.1. Number and Proportion of the MADCE Sample Who Were Incarcerated or Under Community Supervision, by Interview Wave

	Baseline Interview	6-Month Follow Up Interview	18-Month Follow Up Interview
Incarcerated at time of interview	328 (18%)	259 (17%)	257 (17%)
Reported being under community supervision during past 6 months	1,657 (93%)	1,412 (92%)	1,316 (89%)

Lessons Learned in Human Subjects Protection

Like many studies, the MADCE protocols were designed with known risks to criminal justice populations in mind. Such risks primarily pertain to *breach of confidentiality*, or situations in which the respondents' status as a study participant (or decision not to participate) and/or his or her actual interview responses become known (either by the interview itself being overheard or the interview data obtained). Therefore, to minimize the risks of a breach of confidentiality, for example, study protocols specified data security procedures and, among other things, required that the privacy of the interview setting be documented by the interviewers (via a series of prompts in the computerized interview) prior to the interview questions being read.

Despite attempts to anticipate potential risks to respondent rights and build protections into study protocols, the reality of field data collection is that unexpected situations or events can pose a major threat to human subjects' protection. The remainder of this discussion describes lessons learned "on the ground" in mitigating threats to protection of criminal justice populations as research participants.

Lesson 1: Thorough and Periodic Interviewer Training on Real World Scenarios Is Critical

With research studies that entail personal interviews, it is critical to understand that human subjects' protection lies almost exclusively with the interviewing team. Indeed, field interviewers are likely to be the only members of the study team who directly interact with study participants and actually carry out study protocols in real world circumstances. Therefore, the interviewers' grasp of human subjects' protections is of primary importance.

As a standard practice, interviewers commonly receive a fairly standardized training on the importance of protecting human subjects and the meaning of respondents' rights. On a typical research study of the general population, protecting these rights is a reasonably straightforward proposition for interviewers. Interviewers demonstrate a quick understanding that they must

follow the project informed consent procedures; conduct the interview in a private space and not reveal the respondent's answers or information about the nature of the study and why the respondent was selected to friends and family; and allow the respondent to refuse to participate, skip individual questions, or terminate the interview at any time. Confusion regarding these protocols and protocol violations are rare.

However, the threats to the human subjects' rights of individuals under criminal justice supervision may not be as immediately obvious to interviewers. An interviewer who is highly proficient in protecting a respondent's confidentiality on a typical household survey may not appropriately recognize situations that threaten the privacy of a prisoner or probationer. Furthermore, even if the interviewer recognizes a situation as being potentially threatening to a respondent's rights, s/he may feel unsure about how to proceed when caught between a responsibility to protect respondent's right and a sense of obligation to comply with requests from authority figures within the criminal justice system.

Therefore, it is incumbent upon researchers to anticipate and train interviewers on the variety of unique situations they may encounter when conducting interviews with this population (such as the examples provided in lessons 2 and 4, below). During a lengthy study, periodic refresher trainings on human subjects' protection are essential. Not only do refresher trainings keep such issues a top priority for interviewers, but they also offer the advantage of allowing interviewers to learn from real situations occurring throughout the course of the study.

In both trainings and interactions with supervisors, interviewers must receive the unequivocal message that research ethics takes priority over other completing objectives such as completing a particular interview in a timely manner or maintaining a good relationship with criminal justice contacts. In addition, staff who interviewers report to and interact with must promote a culture of "when in doubt, ask," rather than stifling questions about grey areas out of fear of revealing ignorance or being reprimanded. The culture among the field team should convey that human subjects' protection is not always clear, and decisions often require deliberation among several team members.

Lesson 2: Avoid Association with the Criminal Justice System as Much as Possible

Typically, criminal justice research is carried out with the full cooperation—or even sponsorship—of the criminal justice agency (or facility) affected by the research. As a result, researchers often have the opportunity to work closely with and receive tangible support from such agencies in carrying out the research. For example, researchers may be offered interviewing space, access to private proceedings (or information), or even the assistance of criminal justice staff in locating respondents or facilitating the interview in other ways.

It is critical that researchers fully consider the potential harm that could come to study participants as a result of involvement of the criminal justice agencies with authority over them. Although it may seem counterintuitive, the more interaction that takes place between the study team (including interviewers, as well as study leadership) and the criminal justice agency

(including "line staff," as well as administrators), the greater the risks to study participants. The following scenarios illustrate this point:

- An interviewer has decided to schedule an interview with a drug court participant to take place in a private location in the courthouse. While she is waiting for the respondent to arrive at the meeting place, a drug court case manager sees her and stops to talk, casually asking her who she is waiting for. She discloses the name of the respondent and the interview time (which was 10 minutes earlier). In an attempt to be helpful and support the research study, the next time he interacts with the drug court participant, the case manager imposes a sanction on the participant for being late to the interview.

- A field supervisor who is trying to assist an interviewer locate a study participant for his follow-up interview decides to contact the probation officer assigned to all drug court clients, since the officer and her supervisor were fully supportive of the study and had offered to help in any way. She gives the name of the respondent to the officer, and says that the study team has had difficulty locating him. The probation officer then looks up the participant in her files, notes the address, and then decides to double-check whether the participant is living at the address listed in the chart. After investigating, she realizes that the participant is no longer living at the address and violates him for failing to inform her of the change in residence.

- A field interviewer takes advantage of a treatment facility's offer to let her use an empty room for interviewing, since it would be more convenient for her and the clients. Assuming the room is private, she conducts the interview. During the interview, when she is asking about the participant's satisfaction with the treatment she is receiving, a clinician enters the room to retrieve an object. The clinician later reprimands the client for saying negative things about the center.

Clearly, the most harmful consequence of a breach of confidentiality for research participants under criminal justice supervision is additional punishment imposed by authority figures within correctional institutions, community supervision agencies, courts, and even treatment centers. Researchers need to be fully aware of this potential when designing study protocols that pertain to working with criminal justice agencies/facilities.

In the MADCE, we had to prohibit interviewers from conducting interviews in any courts, drug court program offices, probation/parole offices, or treatment centers, due to concerns for respondents if criminal justice staff were paying attention to who was or was not participating in the interviews, or who was or not showing up for scheduled interview appointments on time. We did allow interviewers to attend court hearings and drug court functions; however, interviewers were required to discretely approach respondents outside of the room and were only allowed to use this opportunity to set up an appointment for interviewing in another location at a later date. The field supervisors also looked out for signs of any interviewers' becoming overly familiar with criminal justice staff.

MADCE study protocols also prohibited using parole or probation offices to obtain contact information for study participants. However, in counties in which address information for

individuals under court supervision is a matter of public record and accessible without speaking directly to a probation or parole office or revealing why the information is needed, we did allow interviewers to use these sources along with other publicly available information. Although not implemented on the MADCE, another alternative to obtaining contact information from criminal justice agencies is to set up an agreement for the systematic sharing of contact information for all eligible respondents (and to collect it from an administrative data run, rather than the review of individual case files), so that individuals' decisions to participate in the study are not revealed and undue attention is not placed on any individual. However, this approach is not always feasible due to the burden it may place on research staff.

Finally, prior to hiring any field interviewers, we made sure that they did not have any affiliation (either currently or in the past) with the criminal justice system. Not only does this practice minimize the likelihood for overfamiliarity with criminal justice staff (and associated breaches of confidentiality), but it also helps with subject recruitment. Often, initially hesitant respondents were willing to participate once they were confident that the study was truly independent from the criminal justice system. The researchers' lack of affiliation with the criminal justice system also increases the willingness of respondents' families and friends to provide locating information for future interviews. Not only did this practice contribute to more successful recruitment and retention, but it also had a likely impact on data quality, with respondents feeling more comfortable giving honest answers to sensitive interview questions.

Lesson 3: Study Materials Must Not Reveal the Purpose of the Study or the Respondent's Status as Criminally- or Drug-Involved

In attempting to locate a research participant, an interviewer may come into contact with a variety of people in a respondent's life, including family members, friends, neighbors, and employers. In addition to talking with these contacts, an interviewer may also have to speak to correctional facility staff (for incarcerated respondents), treatment facility personnel (for respondents in residential treatment), or halfway house staff, to locate a respondent.

When working with a criminally- or drug-involved population, it is critical to keep in mind that, with the exception of correctional facility staff, these contacts may or may not be aware of the respondent's drug or criminal involvement. If they become aware of it as a result of actions on the part of the research team, the respondent could experience adverse consequences that s/he otherwise would not have faced. Therefore, in order to protect the respondents as much as possible, it is necessary to craft a non-descriptive "field name" for the research, and to use this innocuous name on all study materials (including interviewer badges, incentive receipts, etc.).

It is also important to be aware that even materials that are directed only to the respondent—such as lead letters or brochures—could get misdirected and be viewed by someone else. Neither the name, nor the content of the materials should suggest anything about the purpose of the study, in order to keep confidential the individual's status. Informed consent forms, which are required to contain detail sufficient for the respondent to make an informed decision, should be handed directly to the respondent. Because signed informed consent forms carry the added risk of revealing the person's decision to participate in the study, the respondent should be given only an

unsigned copy so that it does not necessarily implicate the respondent as a research participant if someone else later finds it.

Lesson 4: Be Prepared for Common Issues that Arise when Interviewing in Correctional Institutions

Interviewing offenders in correctional facilities can present data collection challenges and potential threats to human subjects' protections. It is important to develop research protocols that consider real world circumstances under which interviewers operate. As researchers who work in correctional facilities are aware, interviewer access and logistical arrangements must first be worked out through often extensive negotiations, even when research approval has already been granted. These negotiations are typically intended to ensure that the interview can be conducted in a particular facility in compliance with study protocols. On the MADCE, such preparatory arrangements were negotiated between field supervisors or evaluation staff from UI, RTI, or CCI and a high-level administrator at the facility, and focused on whether the requirement that the interviews be done in a private (yet secure) setting could be fulfilled. Other key negotiations entailed permission for the interviewers to conduct interviews using their laptops,[41] and whether an incentive could be provided to the respondent.

However, our experience on MADCE taught us that even when the preparatory arrangements have been worked out to the satisfaction of the study team, the real world conditions that interviewers face when they arrive to conduct interviews are often far removed from the arrangements that had been negotiated. In addition, many conditions or arrangements are not addressed by study protocols at all, requiring interviewers to make determinations about their acceptability. The manner in which field interviewers react to "on the ground" circumstances is critical to human subjects' protection, given that seemingly harmless arrangements can have severe consequences for respondents.

Based on our experiences, several circumstances occur with sufficient frequency that we developed protocols to accommodate them. Most frequently, the circumstances pertain to threats to respondents' right to informed consent and their rights to have their decision to participate in the research study kept confidential:

- To save time, correctional officers charged with escorting a potential respondent into the interview room frequently try to "pre-consent" individuals by asking them directly whether they want to do the interview (so that individuals who decline do not have to be escorted to the interview room).

- Correctional staff sometimes associate the term "interview" with media interviews. Because facilities often have release forms specifically for this purpose, they may require the respondent to sign a standard release form, which typically states that the respondent

[41] On the MADCE, we did have a pencil-and-paper interview (PAPI) version of the instrument and separate, IRB-approved protocols for the conduct and disposition of the PAPI interview. We followed PAPI procedures in facilities that prohibited laptops.

agrees to be interviewed by an outside agency (and sometimes even includes a statement that the information disclosed in the interview will not be kept confidential).

- At some facilities, administrators state that they are required to keep a copy of the signed consent forms, so that they have documentation that the respondent agreed to be interviewed for the study.

- At facilities in which a large number of respondents are interviewed, correctional officers may begin to deduce which respondents have agreed to participate, and which have declined, from the length of time they spend in the interview room.

All of the circumstances above are problematic from a human subjects' protection perspective because the respondents' decision to participate or decline participation in the interview is known by correctional staff. This knowledge could have adverse consequences for the respondent—no matter which decision s/he makes. Some facilities may see it as a prisoner's responsibility to do whatever is asked of her/him, and may treat the respondent poorly if s/he does not comply with a request for interview. Other facilities may be fearful of the respondent talking honestly with an interviewer about his or her experiences in the facility, and may mistreat prisoners who do participate. In addition to failing to protect the respondents' decision to participate in the interview, some of the circumstances above could coerce respondents into making a particular decision, particularly in circumstances where a correctional officer directly asks an inmate if s/he would like to participate in the interview.

As a result of these circumstances, we expanded our MADCE protocols to directly address such encounters. In negotiating access and logistics with correctional facilities, the field supervisor or evaluation staff member asked the facility contact to agree that the study would be introduced to the respondent only by the field interviewer, and that the correctional officers could not ask the respondents whether they wanted to participate. During the preparatory negotiations, the study team also asked about any consent forms required by the facility (so that the forms could be reviewed and a determination could be made about their acceptability), and conveyed that our signed consent forms could not be shared with the facility. Finally, the study information given to the facility contact specifically stated that interview times varied widely, from 10 minutes to 2 hours; this was intended to undermine facility staff's inclination to draw conclusions about individuals' agreement to participate in the research based on the amount of time they spent with the interviewers. Although we had no control over the extent to which this information was shared with correctional officers, we made every attempt to document such details with our primary facility contact.

In addition to circumstances that threaten the confidentiality of incarcerated respondents' decision to participate, additional circumstances encountered in the MADCE study posed other threats, such as breaches of confidentiality. These circumstances were usually related to logistical issues regarding interviewing conditions:

- In some facilities, even though pre-arrangements had been worked out successfully, when interviewers arrived to conduct the interview, they were told that a correctional officer had to be in the room during the interview.

- In some facilities, interviewers were told that the only room available was a large area that would simultaneously be used by other staff and inmates for screenings or evaluations.

- A few facilities did not have any private rooms available for interviewing, but offered to allow the (private) use of the visitation area. Such circumstances would require the inmate and the interviewer to be separated by a glass barrier unless a guard could be present in the room.

While interviewers could easily identify the first scenario as being unacceptable, the second was more ambiguous because under certain circumstances, privacy can be reasonably ensured in a "public" location. The interviewers were taught to consult with their field supervisors in such circumstances; if both parties felt comfortable that no one could overhear the interview (and that the interviewer and respondent could position their bodies such that no one would ascertain what was being said by reading lips), they were allowed to proceed. The frequency with which the "visitation room" scenario arose led us to develop a separate (IRB-approved) protocol to present to facility staff for consideration. Although we could not allow interviews to be conducted with a correctional officer present in either room, as long as consent forms could be passed back and forth (either through the window or in a sealed envelope transferred by the correctional officer) and show cards could be held up to the glass, the interview was allowed to proceed. Obviously, this procedure was far from ideal, and only used if no other alternatives were possible.

Implications

Based on our experience conducting thousands of interviews with incarcerated individuals and those under community supervision, this chapter has identified common situations that threaten the rights of research participants who are under criminal justice supervision. The key lessons learned focus on the importance of thoroughly training interviewers on real-world circumstances, given that they are the ones charged with following study protocols under challenging circumstances. Frequent refresher trainings on the importance of human subjects protection are critical, in order to maintain a high level of attention on this issue. Throughout the course of a field study, an atmosphere of open dialogue about grey areas should be encouraged by the study team, in order to enhance interviewers' understanding about human subjects' protection and to prevent adverse events. Maintaining human subjects' protection is more important than completing a given interview, and this attitude must be cultivated among the field team.

It is also critical to continuously update study protocols to reflect frequent circumstances that arise during the course of the study, so that ambiguity surrounding the appropriate course of action can be minimized. This chapter has documented several "real world" threats to human subjects' protection—many of which were not addressed in our original protocols. It is our hope that future studies can incorporate the lessons learned through the MADCE longitudinal offender interview component, so that these circumstances can be better anticipated in the future, in order to maximize the protection offered to criminal justice populations who participate in research endeavors.

Chapter 6. The Multi-Site Adult Drug Court Evaluation—Baseline Characteristics of Study Participants

Janine M. Zweig

Introduction

The Justice Policy Center at the Urban Institute (UI), along with RTI International (RTI) and the Center for Court Innovation (CCI), conducted the Multi-Site Adult Drug Court Evaluation (MADCE)—a seven-year evaluation of adult drug courts funded by the National Institute of Justice (NIJ). The goals of the MADCE are to:

- *Test whether drug courts work* for participants by reducing drug use, crime, and multiple other problems associated with drug abuse, in comparison with similar offenders not exposed to drug courts.
- *Examine for whom drug courts work best* by isolating key individual factors such as levels of risk of re-offending and severity of drug addictions that make drug courts more or less effective in achieving their desired outcomes.
- *Explain how drug courts work* by studying key program policies and practices that lead to more successful outcomes and studying offenders' changes in attitudes and opinions when they are exposed to drug courts that influence the effectiveness of drug court programs.
- *Examine whether drug courts generate cost savings* for the criminal justice system and other public institutions.

The impact study design includes 23 drug courts located in seven geographic "clusters" across the United States. The participating drug courts collectively reflect substantial variation in substance abuse treatment intensity, the leverage the court has in monitoring clients, and court sanctioning and supervision policies.

Additionally, six "comparison" jurisdictions are included,[42] which represent several alternative ways the criminal justice system works with drug-involved offenders in jurisdictions that do not currently implement drug courts or are unable to serve all drug-involved offenders within the drug court. Notably, some comparison sites mandated offenders to community-based treatment (but without other components of the drug court model), while other comparison sites involved standard probation only.

The study includes a longitudinal offender interview component, including 1,781 offenders across the 23 drug court and six comparison sites. In-person, computer assisted personal

[42] North Carolina probation is one source from which we drew comparison group members. The state is divided into two judicial districts and, therefore, we divided the comparison group similarly, representing two comparison sites.

interviews were conducted at three different intervals: (1) baseline, which reflects the time when individuals enroll in drug courts or are sent to the treatment alternatives in comparison sites, (2) six months after the baseline interview, and (3) 18 months after baseline. People were enrolled into the study within a 16-month period from March 2005 through June 2006. During this time frame, individuals newly entering drug court were identified and approached for participation (or, for the comparison group, newly entering TASC, Breaking the Cycle, or probation); baseline interviews were conducted within six weeks of program enrollment. Seventy-two percent of eligible participants were enrolled at baseline. All baseline respondents were approached again at 6 months and 18 months to be re-interviewed, with 86 percent completing 6-month interviews and 83 percent completing 18-month interviews.

The interviews lasted between 1.5 and 2 hours and covered a variety of topics including:

- *Background Characteristics* such as demographics, drug use and treatment history, criminal history, physical health, mental health, employment, housing, family conflict and support, and close ties to drug users and those involved in the criminal justice system.

- *Perceptions* such as perceived legal pressure, motivations, understanding of rules, perceived risk of sanctions and rewards, perceptions of court and judicial fairness.

- *In-Program Behavior* such as treatment receipt, receipt of other services, supervision intensity, case management, drug testing, noncompliance with regulations, sanctions and rewards received, terminations, graduations.

- *Outcomes* such as self-reported criminal behavior, drug use, and other personal functioning.

The purpose of this chapter is three-fold. First, it provides information about the characteristics of the people in the study when it began. Second, it explores the comparability of characteristics between the drug court and comparison group members at the start of the study. Third, it conveys this descriptive information as an important backdrop for interpreting results presented in other project products describing the impact drug courts have on individuals' lives. The remainder of this chapter describes the sample members when they completed the baseline interview upon entry into the study.[43] It describes background characteristics, family characteristics, drug use patterns, drug treatment history, criminal history, and mental and physical health, and identifies where the drug court and comparison groups significantly differ using simple bivariate statistical tests.[44]

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[43] The average days between enrollment in the program and timing of baseline interviews were 30.6 days (significantly longer for the comparison group—31.1 days—than for the participant group—29.7 days). Eighteen percent of the baseline respondents were incarcerated during the baseline interview, with significantly more of the comparison group incarcerated (22 percent) than the drug court group (16 percent).

[44] Although outcome analyses in other MADCE reports are weighted with propensity scores to correct for differences between participant and comparison groups and for attrition bias, the information provided in this chapter is based on unweighted responses from individuals in the study.

Background Characteristics of Study Participants

Table 1-6.1 documents background characteristics reported by sample members during the baseline interview. Information is presented for both the drug court and comparison groups separately, as well as for the combined sample. The majority of the sample is male (70 percent) as is typical in many studies of criminal justice programs. The average age of study participants is 33.7 years with the drug court group significantly younger than the comparison group. Twenty-seven percent of the sample is 18 to 25 years in age and another 22 percent are 26 to 33. More than half of the sample is White (55 percent), one-third is Black/African American (33 percent), six percent is Hispanic/Latino, and six percent fall into other categories, including those identifying as multiracial.

Just over one-third (35 percent) of the sample reported having a high school diploma or GED, and one-quarter (25 percent) reported having some college level education (see Table 1-6.1). Forty-one percent of the sample had less than a high school education level. Nine percent reported being in school at the time of the baseline: 10 percent were in high school courses, 29 percent were in GED courses, 44 percent were in some type of college coursework, and 17 percent were in other types of educational programs.

Just over one-third of sample members (36 percent) were working at the time of the baseline (see Table 1-6.1), with significantly more of the drug court group (39 percent) working than the comparison group (32 percent). Of those who were working, 69 percent had jobs with formal pay, 14 percent were self-employed, and 17 percent were receiving casual pay for the work they did. The drug court group worked significantly more weeks during the six months before baseline (9.1 weeks) than the comparison group (7.8 weeks). Both groups worked about 37 hours per week when they were working.

Those who were not working at baseline cited several reasons for this. The most commonly reported reasons for not working were being in drug treatment (29 percent) or incarcerated (24 percent). Another 13 percent were sick or disabled, 11 percent could not find work, 4 percent did not want to work, 3 percent were taking care of their homes or families, and 3 percent were going to school. Another 13 percent cited a variety of other reasons for not working (e.g., retired, lack of transportation).

The drug court group reported a significantly higher annual income—at $11,659 on average—than the comparison group—at $8,944 (see Table 1-6.1). More drug court group members reported jobs and government programs as sources of financial support, while comparison group members were more likely to report family members. Similar numbers of people from each group reported receiving income from friends and other sources.

Table 1-6.1. Baseline Background Characteristics of Sample Members by Research Group

	Drug Court Group N=1,156	Comparison Group N=625	Total N=1,781
Male	68%+	72%	70%
Age			
18 to 25 years	30%**	23%	27%
26 to 33 years	23%	21%	22%
34 to 41 years	20%	26%	22%
42 to 49 years	20%	22%	21%
50 to 57 years	6%	7%	6%
58 to 65 years	1%	2%	1%
Average age (in years)	32.97***	35.06	33.71
Race/Ethnicity			
White	57%	50%	55%
Black/African American	29%	41%	33%
Hispanic / Latino	7%	5%	6%
Other (including multiracial)	7%	5%	6%
Highest Education Level			
Less than High school degree / GED	39%	45%	41%
High school degree/GED	35%	34%	35%
Some college or higher	26%	22%	25%
Currently in School or Working	43%+	38%	41%
Currently in School	8%	9%	9%
Currently Employed	39%**	32%	36%
Type of Job *(If employed)*			
Formal Pay	73%	58%	69%
Self-employment	11%	20%	14%
Casual Pay (pay under the table or off the books)	15%	22%	17%
Sources of Financial Support			
Job	35%*	30%	33%
Family	37%*	43%	39%
Friends	11%	13%	12%
Government programs	23%***	13%	20%
Other	13%	14%	14%

(continued)

Table 1-6.1. Baseline Background Characteristics of Sample Members by Research Group (Cont'd)

	Drug Court Group N=1,156	Comparison Group N=625	Total N=1,781
Average annual Income (based on a monthly estimate)	$11,659***	$8,944	$10,706
Homeless-Prior 6 Months	11%	13%	12%
Ever Been Homeless	47%	50%	48%

*Note: + p < .10 * p < .05 ** p < .01 *** p < .001*

Family Characteristics of the People in the Study

We asked sample members about their family members and relatives. Table 1-6.2 shows this information. Sixty-two percent of the sample had never been married; 11 percent were married; and 27 percent were married at some point, but were divorced, separated, or widowed at the time of the baseline interview. About half (51 percent) of the sample were either married or involved in intimate relationships at that time. Half reported having children younger than 18 years of age; when older children are included, 61 percent reported being parents. Eighteen percent of people reported having primary care responsibilities for children younger than 18 years old. Significantly more drug court group members (37 percent) than comparison group members (32 percent) had either primary care responsibilities or financial support responsibilities for children under 18.

Many respondents have family members—blood relatives, as well as other relatives—and friends who have been involved in the criminal justice system. Significantly more comparison group members reported having blood relatives (59 percent) or other relatives or friends (63 percent) who have been convicted of crimes as compared to the drug court group (53 percent reported convictions of blood relatives, and 58 percent reported convictions of other relatives or friends). Similar proportions of both groups reported having blood relatives (56 percent) or other relatives or friends (56 percent) who had been incarcerated.

Similar to involvement with the criminal justice system, many sample members reported having relatives or friends that faced substance use issues. Sixty-five percent reported having blood relatives who had problems with drugs or alcohol, and 62 percent reported the same for other relatives or friends. Thirty-two percent reported having blood relatives who had ever been in drug or alcohol treatment, and 44 percent reported the same for other relatives or friends.

This information indicates study members' exposure to family and friends with criminal or substance abuse histories is extensive. Many were exposed to multiple people in their lives dealing with these problems. When considering drug and alcohol issues, study participants reported having an average of 1.7 relatives or friends with such issues. When considering both

drug and alcohol issues along with involvement in the criminal justice system, sample members reported having an average of 6.3 relatives or friends with such issues.

Table 1-6.2. Baseline Family Characteristics of Sample Members by Research Group

	Drug Court Group N=1156	Comparison Group N=625	Total N=1781
Marital Status			
Never married	65%	58%	62%
Currently married	11%	11%	11%
Previously married (divorced, separated, widowed)	25%	31%	27%
Children			
Any Living Children (any age)	60%	62%	61%
Any children younger than 18	50%	50%	50%
Primary care responsibility for children younger than 18[1]	20%+	16%	18%
Relatives			
Any blood relatives ever convicted of crime	53%**	59%	55%
Any other relatives or friends ever convicted of crime	58%*	63%	60%
Any blood relatives ever incarcerated	55%	58%	56%
Any other relatives or friends ever incarcerated	56%	56%	56%
Any blood relatives ever had problems with drugs or alcohol	65%	64%	65%
Any other relatives or friends ever had problems with drugs or alcohol	64%*	59%	62%
Any blood relatives ever in drug or alcohol treatment	31%+	35%	32%
Any other relatives or friends ever in drug or alcohol treatment	45%	41%	44%

*Note: + p < .10 * p < .05 ** p < .01 *** p < .001*
[1]*Primary care responsibilities are only asked of those that were not incarcerated at the baseline interview*

Drug Use Patterns at Baseline

Offenders get into drug courts because they either are arrested on drug-related charges or exhibit substance abuse issues with criminal charges that are eligible for the program. The comparison sites included in the MADCE had similar eligibility requirements. Thus, it is not surprising that both the drug court and comparison groups reported extensive drug use histories.

Drug Use History

Everyone in the study reported having used drugs of some sort in their lifetimes, and 93 percent reported using drugs on a regular basis at some point in their lives.[45] The drugs that most participants used include alcohol, marijuana, cocaine, and hallucinogens or designer drugs (see Figure 1-6.1). Nearly the entire sample had used alcohol and marijuana, with more than half using alcohol regularly at some point in their lives, and nearly two-thirds using marijuana regularly.

The vast majority of the study sample—84 percent—also reported having used cocaine at some point. Among this group, 37 percent reported using mostly crack cocaine, 39 percent reported mostly powder cocaine use, and 25 percent reported using both. More than half of the sample—55 percent—reported using hallucinogens or designer drugs, with significantly more drug court participants (57 percent) reporting such use than comparison group members (51 percent).

Fewer study members—about one-third—reported using heroin, amphetamines, or illegally using prescription drugs. Significantly more of the comparison group reported using heroin (36 percent) than did the drug court group (30 percent), while significantly more of the drug court group (36 percent) reported using amphetamines as compared to the comparison group (30 percent). Similar proportions of the drug court and comparison groups used prescription drugs illegally.

Far fewer study members—14 percent—reported using methadone illegally. Despite fewer using this way, significantly more of the comparison group (17 percent) reported this type of use than the drug court group (12 percent).

Study members reported having used drugs for many years. On average, they began using any of the drugs asked about at the age of 13.6 years, and had been using for an average of 20 years. When alcohol and marijuana are eliminated from the analysis, the average age of using other types of drugs increases to 18.8 years of age and the average length of time using decreases to 13.7 years.

[45] Significantly more of the drug court group (95 percent) than the comparison group (90 percent) reported using drugs regularly.

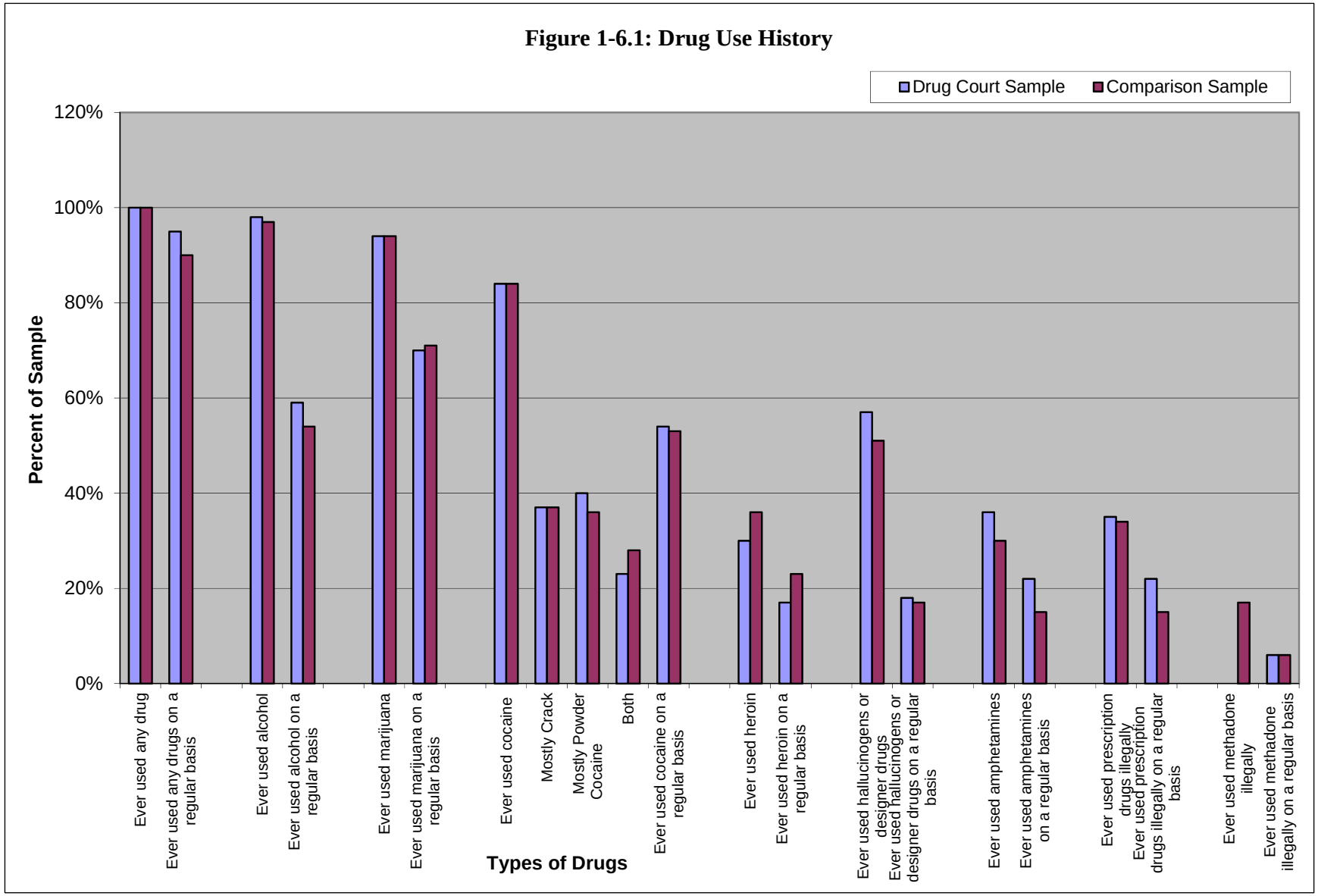


Figure 1-6.1: Drug Use History
Drug Court Sample
Comparison Sample
120%
100%
80%
60%
40%
20%
0%
Percent of Sample
Ever used any drug
Ever used any drugs on a regular basis
Ever used alcohol
Ever used alcohol on a regular basis
Ever used marijuana
Ever used marijuana on a regular basis
Ever used cocaine
Mostly Crack
Mostly Powder Cocaine
Both
Ever used cocaine on a regular basis
Ever used heroin
Ever used heroin on a regular basis
Ever used hallucinogens or designer drugs
Ever used hallucinogens or designer drugs on a regular basis
Ever used amphetamines
Ever used amphetamines on a regular basis
Ever used prescription drugs illegally
Ever used prescription drugs illegally on a regular basis
Ever used methadone illegally
Ever used methadone illegally on a regular basis
Types of Drugs

Drug Use Six Months before Program Entry

In addition to documenting respondents' lifetime substance use, a critical objective of the MADCE was to document substance use during the time period immediately preceding program entry, in order to appropriately examine any change in use patterns during the 18-month observation period. As one would expect, the majority of study participants reported using drugs six months before program entry (see Table 1-6.3). Eighty-one percent of the sample used any drugs in the six months before enrolling in the study, and 57 percent reported using drugs other than alcohol or marijuana. In both cases, more of the drug court group reported using drugs than the comparison group.

Substance Use at the Time of Arrest

Despite some minor variation between drug court and comparison groups in the extent of their use in the six months before program entry, when considering drug use at the *time of arrest*, the proportion of each sample that were using alcohol or drugs was the same. Two-thirds of study members were under the influence of drugs or alcohol at the time of the arrest that initiated their program enrollment.

On average, study participants used drugs 12.9 days per month when accounting for all types of drugs, and 7.4 days per month for drugs other than alcohol or marijuana. The drug court group reported significantly more days of use than the comparison group. When classifying study members based on days of use, 19 percent of the sample was classified as non-users, 37 percent were classified as occasional users (1 to 8 days of use per month), 11 percent were classified as moderate users (9 to 19 days of use per month), and 34 percent were classified as regular users (20 to 30 days of use per month). With alcohol and marijuana eliminated from the analysis, 44 percent were non-users, 33 percent were occasional users, 8 percent were moderate users, and 15 percent were regular users. Based on either categorization, drug court participants were significantly less likely to be non-users than comparison group members.

Alcohol is the only drug type that more than half of the sample—60 percent—reported using the six months before program entry at the rate of about five days per month. Additionally, 40 percent of the sample reported heavy drinking an average of three days per month. Excluding alcohol, marijuana use (43 percent of participants) and cocaine use (41 percent of participants) were the next most frequently reported drugs in the six months before program entry. In both cases, significantly more of the drug court group reported using these drugs than did the comparison group. Sample members reported using marijuana on average 5.5 days per month, and using cocaine 3.9 days per month.

Far fewer study members reported using other kinds of drugs during the six months before program entry. Fifteen percent of the sample reported using prescription drugs illegally, with an average use of one day per month. Twelve percent reported using heroin, with an average use of 1.9 days per month. Fourteen percent of study members reported using amphetamines, with an average use of 1.6 days per week. Significantly more of the drug court group—15 percent—reported amphetamine use than the comparison group (11 percent), and the drug court group also reported significantly more frequent use (1.9 days versus 1.1. days per month). Even fewer study

members reported using hallucinogens or designer drugs (8 percent) or illegally using methadone (4 percent) in the months preceding baseline interviews.

Table 1-6.3. Drug Use Six Months before Program Entry by Research Group

	Drug Court Group N=1,156	Comparison Group N=625	Total N=1,781
Any use of drugs	84%***	76%	81%
Any use of drugs other than marijuana or alcohol	61%***	51%	57%
Average days of use per month before program entry (on all drugs)	13.64***	11.79	12.90
Non-user (0 days)	16%***	24%	19%
Occasional user (1 to 8 days)	38%	35%	37%
Moderate user (9 to 19 days)	11%	12%	11%
Regular user (20 to 30 days)	36%	29%	34%
Average days of use per month before program entry (other than alcohol and marijuana)	7.92**	6.58	7.44
Non-user (0 days)	40%*	49%	44%
Occasional User (1 to 8 days)	36%	28%	33%
Moderate User (9 to 19 days)	8%	8%	8%
Regular User (20 to 30 days)	17%	15%	16%
Alcohol	61%	58%	60%
Average days of use per month	5.02	5.24	5.10
Heavy alcohol (defined as 4 or more drinks per day for women, 5 or more drinks per day for men)	41%	38%	40%
Average days of use per month	3.32	3.18	3.28
Marijuana	46%**	38%	43%
Average days of use per month	6.18***	4.21	5.50
Cocaine	44%***	34%	41%
Average days of use per month	4.17+	3.48	3.93
Heroin	11%	13%	12%
Average days of use per month	1.72	2.10	1.86
Hallucinogens or designer drugs	9%**	5%	8%
Average days of use per month	0.22*	0.08	0.17

(continued)

Table 1-6.3. Drug Use Six Months before Program Entry by Research Group (Cont'd)

	Drug Court Group N=1,156	Comparison Group N=625	Total N=1,781
Amphetamines	15%*	11%	14%
Average days of use per month	1.89**	1.18	1.64
Illegal prescription drugs use	16%	13%	15%
Average days of use per month	1.27*	0.84	1.12
Illegal methadone use	4%	5%	4%
Average days of use per month	0.10	0.19	0.07
Use of drugs and alcohol at time of arrest	67%	64%	66%

*Note: + p < .10 * p < .05 ** p < .01 *** p < .001*

Primary Drug of Choice before Program Entry

Finally, based on information about frequency of alcohol and drug use six months before program entry, we categorized responses into a primary drug of choice for study members reporting any use during that time (see Figure 1-6.2). Crack cocaine was the most frequent primary drug of choice with 26 percent of the study sample in this category. The next most frequent primary drug of choice was marijuana with 22 percent of the sample in this category. Other primary drugs of choice included: alcohol (for 13 percent of the study sample), powder cocaine (for 10 percent), amphetamines (including methamphetamine; for 9 percent), and heroin (for 5 percent).

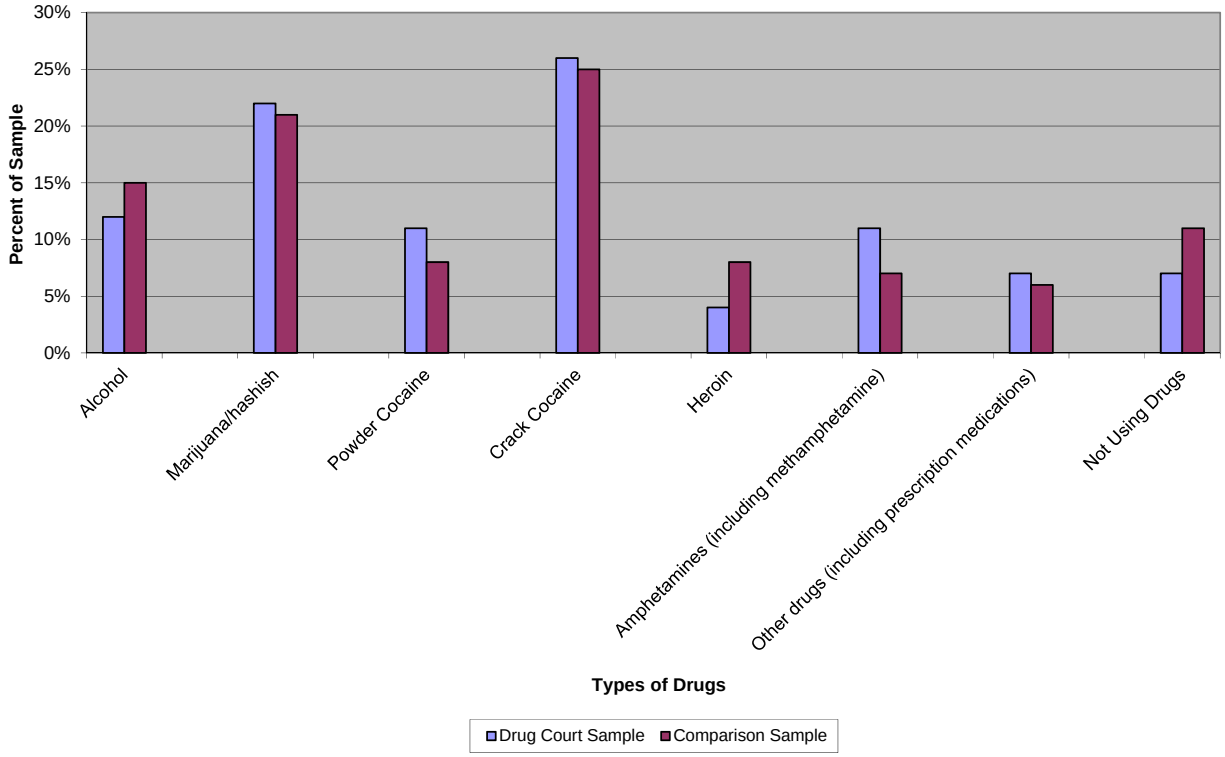
Primary Drug of Choice

We defined primary drug of choice in the following way. The primary drug was the one used during the most months of the six months before the baseline interview. If participants reported using alcohol, marijuana, and another drug, then the primary drug was defined as the other drug. If participants reported using only alcohol and marijuana, then the primary drug was defined as marijuana.

Alcohol and Drug Treatment before Program Entry

Because many of the study members had preexisting alcohol or drug problems, it is expected that some may have sought assistance in the past to deal with these problems. Thus, Table 1-6.4 documents the proportion of sample members who reported receiving treatment in the months

Figure 1-6.2: Primary Drug of Choice before Program Entry



leading up to program enrollment. In the baseline interview, participants were asked to report their treatment experiences for the preceding six months (with experiences reported separately for each of the six months). In order to isolate treatment received before program entry, we excluded the most recent month (i.e., the month immediately prior to the baseline interview) because any treatment received during that timeframe was likely received through the respondent's participation in drug court, given the lag between enrollment in the program and completion of the baseline interview. Focusing only on this timeframe is our best attempt to isolate treatment that occurred before study members were enrolled in either drug court or the comparison group alternative.

Significantly more of the drug court group (42 percent) than the comparison group (23 percent) reported receiving some type of alcohol or drug treatment—excluding alternative approaches—and for a longer time (6.3 days versus 3.0 days) in the time period prior to program enrollment. When considering just clinical treatment (defined as detoxification, residential, medicinal intervention, outpatient group counseling, and outpatient individual counseling), 35 percent of

Table 1-6.4. Baseline Drug or Alcohol Treatment before Program Entry for Sample Members by Research Group

	Drug Court Group N=1,156	Comparison Group N=625	Total N=1,781
Any drug or alcohol treatment (excluding alternative approaches)	42%***	23%	35%
Total days per month of treatment (excluding alternative approaches)	6.29***	3.02	5.14
Clinical Treatment			
Any clinical drug or alcohol treatment	35%***	18%	29%
Total days per month of clinical treatment	4.15***	1.74	3.31
If any drug or alcohol treatment:			
Any detoxification program	10%	11%	10%
Average days per month of detoxification	0.36	0.46	0.38
Any residential treatment	24%	25%	24%
Average days per month of residential treatment	3.07	2.77	3.00
Any medicinal intervention (e.g. methadone maintenance, Naltrexone, etc.)	10%	8%	9%
Average days per month of medicinal intervention	2.02	1.39	1.87
Any outpatient group counseling	56%***	40%	52%
Average days per month of outpatient group counseling	3.81***	2.27	3.45
Any outpatient individual counseling	43%***	26%	39%
Average days per month of outpatient individual counseling	1.46*	0.66	1.28
Non-Clinical Treatment			
Any drug or alcohol self-help treatment	65%	71%	66%
Average days per month of self-help treatment	6.36	6.09	6.30
Any emergency room trips for drug or alcohol use	2%	2%	2%
Average emergency room trips per month for drug or alcohol use	0.02	0.03	0.03
Any alternative approaches to treatment (e.g. acupuncture, meditation, biofeedback)	12%**	7%	11%
Average days per month of alternative approaches to treatment	1.65*	0.78	1.45

*+ p < .10 * p < .05 ** p < .01 *** p < .001*

Note: In the baseline interview, participants were asked to report their treatment experiences for the preceding six months (with experiences reported separately for each of the six months). In order to isolate treatment received before program entry, we excluded the most recent month (i.e., the month immediately prior to the baseline interview) because any treatment received during that timeframe was likely received through the respondent's participation in drug court, given the lag between enrollment in the program and completion of the baseline interview.

the drug court group and 18 percent of the comparison group reported receiving such services. Differences between the groups are due to receipt of outpatient individual counseling and outpatient group counseling. Forty-three percent of the drug court group received outpatient individual counseling and 56 percent received outpatient group counseling versus 26 percent and 40 percent respectively for the comparison group. Similar rates of the two groups received residential treatment (24 percent), detoxification (10 percent), and medicinal interventions (9 percent).

Two-thirds of both samples obtained assistance from self-help groups such as Alcoholics Anonymous and Narcotics Anonymous. Only 11 percent of the study sample sought help through alternative approaches—such as acupuncture—although significantly more of the drug court group did so (12 percent) than the comparison group (7 percent).

Criminal History and Patterns of Criminal Activities

Based on respondents' self-report of their criminal history, significantly more of the comparison group had prior arrests before the one that brought them into the study (92 percent of the comparison versus 86 percent of the drug court group) and, of these, they reported more prior arrests (about 11 prior arrests for the comparison group versus 8 for the drug court group—see Table 1-6.5). Both groups experienced their first arrest at approximately the same age of 20.5 years. Prior arrests led to significantly more convictions and incarcerations for the comparison group. More than three-quarters of the comparison group had been convicted and incarcerated in jail or prison before the arrest that brought them into the study, compared to the drug court group, of whom 68 percent had been previously convicted, and 64 percent had been previously incarcerated. Significantly more of the comparison group reported having been convicted of violent crimes, weapons charges, drug crimes, and property crimes.

The significant differences between groups on criminal history patterns, however, are not evident when examining criminal involvement in the six months before study enrollment. Forty-six percent of the total sample was arrested during the six months before enrollment. The vast majority of the arrests were for drug crimes—including possession, sales, and other drug crimes—with 38 percent of the sample reporting such arrests.

Although the comparison group reported significantly more extensive criminal histories in terms of arrest, conviction, and incarceration, when considering self-reported criminal activities (i.e., engaging in various types of crimes—regardless of whether they were caught), they reported significantly *fewer* criminal activities during the six months before study enrollment than drug court group members. More drug court group members (75 percent) reported engaging in criminal activities than comparison group members (71 percent), and at significantly higher rates (an average of 23 activities for the drug court group versus 19 for the comparison). A similar pattern exists when looking only at drug activities. More drug court group members (70 percent) reported drug activities—including possession, sales, and other drug activity—than comparison group members (65 percent), and at significantly higher rates (an average of 14 activities for the drug court group versus 12 for the comparison).

Table 1-6.5. Baseline Criminal History and Activities of Sample Members by Research Group

	Drug Court Group N=1,156	Comparison Group N=625	Total N=1,781
Criminal History			
Arrests			
Any prior arrests	86%***	92%	89%
Age of first arrest (in years)	20.48	20.43	20.46
Number of prior arrests	8.45***	11.36	9.46
Convictions			
Any prior convictions - select categories	68%***	77%	71%
Any prior violent convictions (including harassment)	13%***	20%	15%
Any prior weapon convictions	6%***	11%	8%
Any drug crimes (includes possession, sales, and other drug crimes)	46%***	58%	50%
Any prior DUI/DWI conviction	23%	26%	24%
Any prior property conviction	24%*	29%	26%
Any prior prostitution, public order, vagrancy convictions	6%	7%	6%
Incarceration			
Prior incarceration in juvenile detention	18%**	23%	20%
Prior incarceration in jail or prison (more than 24 hours)	64%***	75%	67%
Arrests six months before program entry			
Any arrests	45%	48%	46%
Average number of arrests	0.72	0.90	0.79
Drug crimes (includes possession, sales, and other drug crimes)	37%	38%	38%
Average number of drug crimes	0.29	0.41	0.33
Drove while intoxicated *(if not incarcerated during past six months)*	6%	6%	6%
Average number of driving while intoxicated arrests	0.34	0.31	0.33
Violent crime (includes harassment)	3%	3%	3%
Carried weapon	1%	1%	1%
Property crimes	5%	7%	6%
Prostitution, public order, vagrancy arrests	1%	2%	1%
Criminal activity six months before program entry			
Any criminal activity	75%*	71%	74%
Average number of criminal activities	22.73**	19.34	21.54
Drug activity (includes possession, sales, and other drug activity)	70%*	65%	68%
Average number of drug activities	13.85**	12.00	13.20
Drove while intoxicated *(if not incarcerated during past six months)*	35%	31%	34%
Average number of driving while intoxicated arrests	3.04	2.82	2.96
Committed violent crimes (includes harassment)	8%+	5%	7%
Carried weapon	13%	14%	13%
Property crimes	12%	10%	11%
Prostitution, public order, vagrancy	3%	2%	3%

*Note: + p < .10 * p < .05 ** p < .01 *** p < .001*

Mental and Physical Health

The drug court and comparison groups were similar with respect to self-reported mental and physical health status at the time of study enrollment (see Table 1-6.6). Three-quarters reported their overall mental health as good, very good, or excellent. However, based on scores on specific mental health conditions calculated from respondents' reporting of specific symptoms, 38 percent were classified as meeting criteria for depression, 43 percent were classified as having anti-social personality disorder, and 49 percent were classified as having narcissism. Just over one-quarter of the sample reported any chronic health problems.

Table 1-6.6. Baseline Mental and Physical Health of Sample Members by Research Group

	Drug Court Group N=1,156	Comparison Group N=625	Total N=1,781
Mental Health			
Overall mental health			
Poor	4%	6%	4%
Fair	20%	19%	20%
Good	28%	28%	28%
Very good	26%	24%	26%
Excellent	22%	24%	23%
Depression (average score; ranges from 0 to 30)	8.60	8.19	8.45
Percent depressed (score equal or greater than 10)	39%	37%	38%
Anti-social personality disorder (both conduct disorder and pervasive pattern)	43%	42%	43%
Conduct disorder	45%	43%	44%
Pervasive pattern of disregard for, violation of, the rights of others	91%	90%	91%
Narcissism (average score; ranges from 0 to 9)	4.46	4.51	4.48
Percent narcissist (score equal to or greater than 5)	49%	50%	49%
Anti-social personality disorder PLUS narcissism	28%	26%	27%
Physical Health			
Any chronic medical problems	26%	28%	27%

*Note: + p < .10 * p < .05 ** p < .01 *** p < .001*

Conclusions

This chapter summarized the characteristics of the participants at the time they enrolled in the study. The description provided here shows that the sample members have extensive criminal histories, substance abuse histories, and histories of mental health problems, as well as relationships with both family and friends who also have used drugs and been involved in the criminal justice system. A number of statistically significant differences between the drug court group and the comparison group were found across the dimensions of characteristics presented

here. The MADCE adjusted for these group differences in analyses assessing the impact of drug court participation on outcomes related to these baseline characteristics (e.g., recidivism, relapse), and when identifying for whom drug courts work best.

Appendix A. Survey Item Catalog

Demographics	
Interview location	
_DEM0[#]	Baseline/6 month/18 month • *IS THIS INTERVIEW BEING CONDUCTED IN A CORRECTIONAL FACILITY?*[†] *(YES, NO)**
Age	
_DEM1 _DEM2	Baseline/6 month/18 month • In what month, day, and year were you born? • So that makes you {calculated age} years old. Is this correct? (Yes, No)*
Race/ethnicity	
_DEM3	Baseline /6 month/18 month • Which of the following best describes you? Please choose all that apply. (White; Black or African American; American Indian or Alaska Native; Asian or East Indian; Hispanic, Latino or Spanish; Native Hawaiian or other Pacific Islander)
Gender	
_DEM4	Baseline/6 month/18 month • *RECORD THE RESPONDENT'S GENDER. (MALE, FEMALE)**
Education	
BDEM5

_DEM5a	• Have you attended school or training since the last time we interviewed you? (Yes, No)*
_DEM6	• *(If yes)* Are you currently in school? (Yes, No)*
_DEM7	o (*If yes*) What type of school are you currently attending? Are you taking…? (High school courses, A GED course, Vocational training, College courses, Some other type of schooling)
_DEM5	• *(If attended school or training since last interview}* What is the highest grade or level of school you have **completed**? Would you say… (No school completed; 1st grade; 2nd grade; 3rd grade; 4th grade; 5th grade; 6th grade; 7th grade; 8th grade; 9th grade; 10th grade; 11th grade; 12th grade; GED or other high school equivalent; Vocational or trade school graduate/certificate program; Some college but no degree; Associate degree including 2 year occupational, technical, or academic program; 4 year college graduate; Advanced degree including master's, professional, or doctoral degrees)
Employment	
	Baseline
BDEM8	• Do you currently work a job for pay? By 'job' we mean a formal job that has a pay stub, self-employment, or a casual pay job that is paid 'under the table' or 'off the books'? (*If R is currently incarcerated:* Do not include employment in prison industries, but do include work release employment.) (Yes, No)
BDEM8c	• During the past six months, how many weeks did you work for pay? (*If R is currently incarcerated:* Do not include work in prison industries but do include work release employment.)
BDEM8b	o (*If R does not currently have a job OR R was not working for any part of the past 6 months*) What is the main reason you are not currently working (*if not working for part of past 6 months:* were not working for part of the past six months)? Is it because you are (*if not working for part of past 6 months:* were) … (Retired, Taking care of home or family, Going to school, Could not find work, Could not get transportation, Did not want to work, Were in drug treatment, Sick or disabled, Incarcerated, Some other reason)
BDEM8d	o (*If R currently has a job OR R worked for pay during any of the past 6 months*) Is (*if not currently working:* was) your current or most recent job…? (Formal pay--a job that has a pay stub, Self-employment, Casual pay--a job that is 'under the table' or 'off the books')
BDEM8e	o (*If R currently has a job OR R worked for pay during any of the past 6 months*) How many hours a week do (*if not currently working:* did) you usually work for your current or most recent job?
	6 month/18 month
_DEM8	• Do you currently work a job for pay? By 'job' we mean a formal job that has a pay stub, self-employment, or a casual pay job that is paid 'under the table' or 'off the

	books'? (*If R is currently incarcerated:* Do not include employment in prison industries, but do include work release employment.) (Yes, No)
_DEM8a _DEM8c _DEM8b _DEM8d _DEM8e	• *(If yes)* Have you been employed the whole time since your last interview on {last interview date} o *(If R does not currently have a job OR was not working for any part of the time since last interview)* Since we last interviewed you on {last interview date}, how many weeks did you work for pay? (*If R is currently incarcerated:* Do not include work in prison industries but do include work release employment.) o (*If R does not currently have a job OR was not working for any part of the time since the last interview*) What is the main reason you are not currently working (*if number of weeks worked for pay is less than number of weeks since last interview:* were not working for part of the time since your last interview)? Is it because you are (*if number of weeks worked for pay is less than number of weeks since last interview:* were) … (Retired, Taking care of home or family, Going to school, Could not find work, Could not get transportation, Did not want to work, Were in drug treatment, Sick or disabled, Incarcerated, Some other reason) o (*If R currently has a job OR R worked for pay during any part of the time since last interview*) Is (*if not currently working:* was) your current or most recent job…? (Formal pay--a job that has a pay stub, Self-employment, Casual pay--a job that is 'under the table' or 'off the books') o (*If R currently has a job OR R worked for pay during any part of the time since last interview*) How many hours a week do (*if not currently working:* did) you usually work for your current or most recent job?
Marital/partner status	
	Baseline/6 month/18 month
_DEM9 _DEM9a _DEM9b	• Are you currently…(Married, Separated, Divorced, Widowed, Never married)? o (*If R is not married*) Are you currently involved in a steady intimate relationship? (Yes, No) o (*If R is married OR is involved in steady relationship AND R is not incarcerated*) Do you currently live with that person? (Yes, No)
Parental status/primary care responsibilities	
	Baseline/6 month/18 month
_DEM10	• Do you have any **living** children, regardless of age? By children we mean any biological children or any other children for whom you currently have custody or had custody of in the past. (Yes, No)

_DEM10a	o (*If yes*) How many living children do you have?
_DEM10b	o (*If yes*) How old is your child? (*If R has more than one child:* How old are each of your children? *Age of additional children specified in _DEM10c*)
_DEM11	▪ (*If R has any children under 18 and R is not currently incarcerated*) Do you have primary care responsibilities for any of your own children under the age of 18? By primary care responsibilities, we mean that the children live with you most of the time, you feed and clothe them, and that you are not paid for this? (Yes, No)
_DEM11a	• (*If yes*) For how many of your own children under the age of 18 do you have primary care responsibilities?
_DEM11b	• (*If no or R is incarcerated*) During the past 30 days have you had in-person visits with your children under the age of 18…(Daily, A couple of times a week, Weekly, Two or three times during the past 30 days, Once during the past 30 days, Or was your last in-person visit more than 30 days ago)?
_DEM12	▪ (*If R has any children under 18*) Of your own children under the age of 18, how many do you currently financially support in any way?
_DEM12a	▪ (*If R has any children under 18*) Are you currently required by a court to pay child support for any of your children under the age of 18? (Yes, No)
_DEM12b	▪ (*If R has any children under 18*) Do you owe back child support? (Yes, No)
_DEM12c	• (*If yes*) How much back child support do you owe? (Less than $1,000; $1,000 to $1,999; $2,000 to $2,999; $3,000 to $3,999; $4,000 to $4,999; More than $5,000 [if more than $5,000, exact amount specified in _DEM12d])
_DEM12e	• (*If yes*) Has the state forgiven or decreased any of the back child support debt that you owe? (Yes, No)

Supervision Status

Supervision status	
	Baseline
BSUP1	• Were you under any supervision by the courts, including drug court or any other court, pretrial release, probation or parole at any point during the past six months? (Yes, No)
BSUP2	o (*If yes*) Which type of supervision? Pick all that apply. (Pretrial release, Probation, Parole, Drug Court)
BSUP3	o (*If yes*) In which of the past 6 months were you on supervision?
BSUP4a	o (*If R was on probation or parole*) How long have you been on probation or parole?
BSUP4b	o (*If R was on probation or parole*) How much probation or parole time do you have left?
	6 month/18 month
_SUP1	• Were you under any supervision by the courts, including drug court or any other court, pretrial release, probation or parole at any point since your last interview? (Yes, No)
_SUP2	o (*If yes*) Which type of supervision? Pick all that apply. (Pretrial release, Probation, Parole, Drug Court)
_SUP3	o (*If yes*) In which of the months since your last interview were you on supervision?
_SUP4a	▪ (*If R was on probation or parole*) How long have you been on probation or parole?
_SUP4b	▪ (*If R was on probation or parole*) How much probation or parole time do you have left?
Supervision officer/case manager contacts	
	The questions in this section are only asked if R was under supervision at any point during the past 6 months (for baseline) or since the last interview (for 6/18 month)
	Baseline
	Which of the following staff members are you supposed to talk to?
BSUP5a	• A probation or parole officer? (Yes, No)

BSUP5b	• A pretrial supervision officer? (Yes, No)
BSUP5c	• Are you supposed to talk to a drug court case manager? A case manager is someone who talks with you about issues or needs you have, tries to get you into services or programs, helps you get benefits or assistance, and monitors your progress. These services are called case management and the person who provides them could be called a social worker, a case manager or case worker, or it could be your probation or parole officer. (Yes, No)
BSUP5d	o (*If R is supposed to talk to a probation or parole officer*) Are you supposed to talk to a probation or parole officer at least once a month? (Yes, No)
BSUP5e	o (*If R is supposed to talk to a pretrial supervision officer*) Are you supposed to talk to a pretrial supervision officer at least once a month? (Yes, No)
BSUP5f	o (*If R is supposed to talk to a drug court case manager*) Are you supposed to talk to a drug court case manager at least once a month? (Yes, No)
BSUP6	o (*If R is supposed to talk to more than one type of staff member*) You have indicated that you report to the following people: {BSUP5a-BSUP5c}. Which one is the main one you have to report to? (Probation or parole officer, Pretrial supervision officer, Drug court case manager)
	On subsequent questions that refer to "{supervision officer}," the fill is determined by the BSUP5 series and BSUP6.
BSUP6a	o (*If R is supposed to talk to more than one type of staff member*) Which one is the main one who reports to the court? (Probation or parole officer, Pretrial supervision officer, Drug court case manager)
BSUP6b	o (*If R is supposed to talk to a drug court case manager*) Which of the following best describes the role of the drug court case manager? (The drug court case manager works for the drug court, The drug court case manager works for TASC, The drug court case manager works for the treatment provider, The drug court case manager is a probation or parole officer, The drug court case manager is a pretrial supervision officer)
	Regardless of how often you are supposed to talk to your {supervision officer}, we would like to know how often you have actually had contact with your {supervision officer}.
BSUP8	• During the past 30 days, how many times have you had phone contact with your {supervision officer}?
BSUP9	• During the past 30 days, how many times have you spoken face to face with your {supervision officer}?
BSUP10	o (*If a drug court case manager is NOT the main person OR the only person R is supposed to talk to*) During the past 30 days, have you met with a case manager? A case manager is… (Yes, No)

BSUP10a	▪ (*If yes*) During the past 30 days, how often, on average, have you met with someone to get case management services? Would you say…(Less than once a week, About once a week, More often than once a week)?
	<u>6 month/18 month</u>
	Which of the following staff members are you supposed to talk to? If you are no longer on supervision, please indicate which of the following staff members you were supposed to talk to at any point since your last interview.
_SUP5a	• A probation or parole officer? (Yes, No)
_SUP5b	• A pretrial supervision officer? (Yes, No)
_SUP5c	• Are/Were you supposed to talk to a drug court case manager? A case manager is someone who talks with you about issues or needs you have, tries to get you into services or programs, helps you get benefits or assistance, and monitors your progress. These services are called case management and the person who provides them could be called a social worker, a case manager or case worker, or it could be your probation or parole officer. (Yes, No)
_SUP5d	o (*If R is supposed to talk to a probation or parole officer*) At any point since your last interview, have you been required to talk to a probation or parole officer at least once a month? (Yes, No)
_SUP5e	o (*If R is supposed to talk to a pretrial supervision officer*) At any point since your last interview, have you been required to talk to a pretrial supervision officer at least once a month? (Yes, No)
_SUP5f	o (*If R is supposed to talk to a drug court case manager*) At any point since your last interview, have you been required to talk to a drug court case manager at least once a month? (Yes, No)
_SUP6	o (*If R is supposed to talk to more than one type of staff member*) You have indicated that you have reported to the following people since your last interview: {SSUP5a-SSUP5c}. Which one is the main one you have been reporting to? (Probation or parole officer, Pretrial supervision officer, Drug court case manager)
	On subsequent questions that refer to "{supervision officer}," the fill is determined by the _SUP5 series and _SUP6.
_SUP6a	o (*If R is supposed to talk to more than one type of staff member*) Which one is the main one who has been reporting to the court? (Probation or parole officer, Pretrial supervision officer, Drug court case manager)
_SUP6b	o (*If R is supposed to talk to a drug court case manager*) Which of the following best describes the role of the drug court case manager? (The drug

	court case manager works for the drug court, The drug court case manager works for TASC, The drug court case manager works for the treatment provider, The drug court case manager is a probation or parole officer, The drug court case manager is a pretrial supervision officer) Regardless of how often you are supposed to talk to your {supervision officer}, we would like to know how often you have actually had contact with your {supervision officer} since your last interview.
_SUP8	• Since your last interview, how many times have you had phone contact with your {supervision officer}?
_SUP9	• Since your last interview, how many times have you spoken face to face with your {supervision officer}?
_SUP10	o (*If a drug court case manager is NOT the main person OR the only person R is supposed to talk to*) Since your last interview, have you met with a case manager? A case manager is… (Yes, No)
_SUP10a	▪ (*If yes*) Since your last interview, how often, on average, have you met with someone to get case management services? Would you say…(Less than once a week, About once a week, More often than once a week)?

Street Time

Street time calculation	
	Note: Before the questions below, the FI and the R fill out an event history calendar <u>Baseline</u>
BSTC1	• At any point during the past six months, were you held in a jail or prison? (Yes, No)
BSTC1a	o (*If yes*) In which of the past six months did you spend any time in jail or prison?
BSTC1a1	▪ For how many days of {1st month} were you in jail or prison?
BSTC1b1	• (*If in for more than one day during {month}*) Were you put in jail or prison… (Once that month, More than once that month, or Were you still in jail or prison after being put there in a previous month)?
BSTC1c1	• Were you in jail for… (A new crime, A technical violation or sanction, Both a new crime and a technical violation or sanction, Or the same thing as previous month)?
	BSTC1A1 through BSTC1C1 repeated in BSTC1a2–BSTC1a12 for each month R was in

	jail or prison during previous 6 months. If answer to BSTC1a indicates the R was in jail/prison the entire six months before baseline, the rest of the street time module is skipped.
BSTC2	• At any point during past six months, were you in a hospital or emergency room for at least a 24-hour period? Do not include emergency room or hospital visits that were related to alcohol or drug abuse or visits that were seeking treatment for substance abuse? (Yes, No)
BSTC2a	o (*If yes*) In which of the past six months were you in a hospital or emergency room for at least a 24-hour period?
BSTC2a1	▪ For how many days of {1st month} were you in a hospital or emergency room?
	BSTC2A1 repeated in BSTC2a2–BSTC2a12 for each month R was in hospital or emergency room during previous 6 months.
BSTC3	• At any point during past six months, did you spend time in residential mental health treatment? Residential treatment is a place where a person lives away from home to receive services and care for their mental health, emotions, or nerves. Do not count hospital stays for mental health care and do not count residential care for substance abuse treatment only. (Yes, No)
BSTC3a	o (*If yes*) In which of the past six months did you spend time in residential mental health treatment?
BSTC3a1	▪ For how many days of {1st month} were you in residential mental health treatment?
	BSTC3A1 repeated in BSTC3a2–BSTC3a12 for each month R was in residential mental health treatment during previous 6 months.
	<u>6 month/18 month</u>
_STC1	• At any point since your last interview, were you held in a jail or prison? (Yes, No)
_STC1a	o (*If yes*) In which of the months since your last interview did you spend any time in jail or prison?
_STC1a1	▪ For how many days of {1st month} were you in jail or prison?
_STC1b1	• (*If in for more than one day during {month}*) Were you put in jail or prison… (Once that month, More than once that month, or Were you still in jail or prison after being put there in a previous month)?
_STC1c1	• Were you in jail for… (A new crime, A technical violation or sanction, Both a new crime and a technical violation or sanction, Or the same thing as previous month)?

	_STC1A1 through _STC1C1 repeated in _STC1a2–_STC1a12 for each month R was in jail or prison since last interview. If answer to _STC1a indicates that R was in jail/prison the entire time since the last interview, the rest of the street time module is dropped.
_STC2	• At any point since your last interview, were you in a hospital or emergency room for at least a 24-hour period? Do not include emergency room or hospital visits that were related to alcohol or drug abuse or visits that were seeking treatment for substance abuse? (Yes, No)
_STC2a	o (*If yes*) In which of the months since your last interview were you in a hospital or emergency room for at least a 24-hour period?
_STC2a1	▪ For how many days of {1st month} were you in a hospital or emergency room?
	_STC2A1 repeated in _STC2a2–_STC2a12 for each month R was in hospital or emergency room since last interview.
_STC3	• At any point since your last interview, did you spend time in residential mental health treatment? Residential treatment is a place where a person lives away from home to receive services and care for their mental health, emotions, or nerves. Do not count hospital stays for mental health care and do not count residential care for substance abuse treatment only. (Yes, No)
_STC3a	o (*If yes*) In which of the months since your last interview did you spend time in residential mental health treatment?
_STC3a1	▪ For how many days of {1st month} were you in residential mental health treatment?
	_STC3A1 repeated in _STC3a2–STC3a12 for each month R was in residential mental health treatment since last interview.
Housing	
	Baseline
BSTC4	• At any point during past six months, did you ever live in these places? (SELECT ALL THAT APPLY: On the street; In your own house or apartment, meaning your name is on the title, mortgage, or lease; In someone else's house or apartment; In a transitional housing building or halfway house; In a motel/hotel or rooming house; In a shelter; In an abandoned building or vacant unit; In some other place)
BSTC5	o (*If R lived in more than one place*) During the past six months, where did you mostly live? (On the street; In your own house or apartment, meaning your name is on the title, mortgage, or lease; In someone else's house or apartment; In a transitional housing building or halfway house; In a motel/hotel or rooming house; In a shelter; In an abandoned building or vacant unit; In some other place)

BSTC5a	▪ (*If R only lived OR mostly lived in own home or someone else's home*) Was the (house/apartment) public housing? Public housing is defined as a unit in a building owned by a public housing authority. (Yes, No)
BSTC5b	• (*If no*) Was the (house/apartment) Section 8? Section 8 housing is where a section 8 voucher is being used to pay for part or all of your rent for a privately owned unit. (Yes, No)
	<u>6 month/18 month</u>
_STC4	• Since your last interview, did you ever live in these places? (SELECT ALL THAT APPLY: On the street; In your own house or apartment, meaning your name is on the title, mortgage, or lease; In someone else's house or apartment; In a transitional housing building or halfway house; In a motel/hotel or rooming house; In a shelter; In an abandoned building or vacant unit; In some other place)
_STC5	o (*If R lived in more than one place*) Since your last interview, where did you mostly live? (On the street; In your own house or apartment, meaning your name is on the title, mortgage, or lease; In someone else's house or apartment; In a transitional housing building or halfway house; In a motel/hotel or rooming house; In a shelter; In an abandoned building or vacant unit; In some other place)
_STC5a	▪ (*If R only lived OR mostly lived in own home or someone else's home*) Was the (house/apartment) public housing? Public housing is defined as a unit in a building owned by a public housing authority. (Yes, No)
_STC5b	• (*If no*) Was the (house/apartment) Section 8? Section 8 housing is where a section 8 voucher is being used to pay for part or all of your rent for a privately owned unit. (Yes, No)

Current Offense and Program Entry

Current offense information	
	<u>Baseline</u>
BPEC1	• (*If preload arrest data are available*) Our records show that the arrest that led to your current involvement in the criminal justice system took place on {arrest date}. Is this correct? (Yes, No)
BPEC1a	• (*If preload arrest data are available*) Was that arrest for {charge}? (Yes, No)
BPEC2	• (*If arrest date from preload is incorrect or not available*) What was the date of the

	arrest that led to your current involvement in the criminal justice system?
BPEC2a	• (*If charge from preload is incorrect or not available*) Was that arrest for…(SELECT ALL THAT APPLY: A violent crime such as physical or sexual assault, rape, robbery, manslaughter, attempted murder, murder, vehicular manslaughter, or vehicular homicide; Some other crime against people, including hit and run or harassment; Carrying a gun, knife, or other weapon; A drug possession crime, including possession of either drugs or drug paraphernalia; A drug sales crime; Some other drug crime, such as manufacturing, trafficking, or prescription fraud; A DWI or DUI crime; A property crime, including burglary, larceny, auto theft, bad checks, fraud, forgery, or grand theft; Prostitution, public order, or vagrancy; A technical violation of supervision conditions; Or something else [other specified in BPEC2a_sp])?
	I am now going to ask you about your experiences with the criminal justice system related to this arrest that occurred on {arrest date}.
BPEC3	• Were you convicted on this charge, did you pled guilty, or did neither of these happen? (Convicted of this or a lesser charge, Pled guilty of this or a lesser charge, Neither)
BPEC3a	o (*If R was convicted OR R pled guilty*) In what month and year were you convicted (*if pled guilty:* did you plead guilty) on this charge?
BPEC3b	o (*If neither happened*) Is the case still pending? (Yes, No)
BPEC4	o (*If R was convicted OR pled guilty*) Were you sentenced based on this charge? (Yes, No)
BPEC4a	▪ (*If yes*) In what month and year were you sentenced on this charge?
BPEC4b	• (*If R is currently incarcerated*) Is this arrest on {arrest date} the reason you are in (jail/prison) right now? (Yes, No)
BPEC5	• (*If R is not currently incarcerated OR if above arrest is not the reason R is currently in jail*) Did you spend at least 24 hours in jail for the arrest on {arrest date}? (Yes, No)
BPEC5aa	o (*If yes AND R was convicted or pled guilty*) Did you spend time in jail waiting for the case to be decided, after the case was decided or both? (Waiting for the case to be decided, After the case was decided, Both)
BPEC5a	o (*If R spent time in jail waiting for the case to be decided OR [R spent at least 24 hours in jail for above arrest AND case is still pending*]) How long did you spend time in jail before the case was decided?
BPEC5b	o (*If R spent time in jail after the case was decided*) How long did you spend time in jail after the case was decided?
BPEC5c	• (*If above arrest is the reason R is currently in jail*) On what day did you start doing

	(jail/prison) time for this arrest?
BPEC5d	• (*If above arrest is the reason R is currently in jail*) When is your expected release date?
Drug Court Participation	
	Baseline
BPEC6	• (*If R not preloaded as a drug court participant*) Were you offered the option to be in a drug court program for your current charge? A drug court is a special court program that refers offenders to drug treatment and involves close monitoring, appearing before the judge regularly to review your progress, and being supervised by a probation or other type of officer. (Yes, No)
BPEC7	• Are you currently participating in drug court? A drug court is a special court program that refers offenders to drug treatment and involves close monitoring, appearing before the judge regularly to review your progress, and being supervised by a probation or other type of officer? (Yes, No)*
BPEC7a	• (*If R was offered drug court OR R is currently in drug court OR R was preloaded as a drug court participant*) (*If R was preloaded as a drug court participant but is not currently in drug court:* Although you are not currently participating in drug court, our records indicate that you were enrolled at one point in time so throughout this interview we will be asking you several questions about the drug court program.) In what month and year were you offered this program?
BPEC7b	• (*If R self-reports drug court in BPEC7*) In what month and year did you agree to be a part of the program? Agreeing to be a part of the program means you formally told the judge you agreed to be in it or you signed a document agreeing to being in the program.
BPEC8	• (*If R was offered drug court OR R was preloaded as a drug court participant*) Who referred you to the drug court program? (The police officer that arrested you, A prosecutor, A public defender or attorney that you hired, A probation officer, A judge, A person who did a drug screening or assessment on you, Or did you ask for it yourself)
BPEC9	• (*If R was offered drug court OR R was preloaded as a drug court participant*) What did you think the most likely sentence would be for you if you did not participate in the drug court program? (Nothing, I would get off; Probation only; Less than 6 months in jail or prison; Six months to one year in jail or prison; More than one and up to five years in jail or prison; More than five years in prison)
BPEC9a	o (*If R responded jail or prison*) Did you think you would be jailed or imprisoned immediately? (Yes, No)
BPEC9b	o (*If R responded probation, jail, or prison*) How bad did you think it would be if you had received this sentence? (Extremely bad, Somewhat bad, Not bad at all)

BPEC10	• (*If R was preloaded as a drug court participant but did not self-report current drug court participation in BPEC7*) Are you no longer in drug court because…(You graduated, You dropped out of it yourself, You were kicked out of it, You were put in jail)?
BPEC10a	• (*If R was preloaded as a drug court participant but did not self-report current drug court participation*) In what month and year did you {graduate/drop out/get kicked out/get put in jail}?
BPEC10b	o (*If R dropped out*) Please tell me the reason you dropped out of drug court. (The drug court program involved too much work, The drug court program costs too much, The drug court program conflicted with your work or child care responsibilities, The drug court program was too hard or expensive to get to, You were not satisfied with the services you were receiving, There were too many restrictions on your lifestyle, You did not think you needed the services being offered through the drug court program, You did not get along with the people running the drug court, You did not think the drug court program was fair, You dropped out for some other reason)
BPEC10c	o (*If R dropped out or was kicked out*) What **sentence** did you receive after you dropped out of (if R was kicked out: got kicked out of) the drug court program? (Nothing yet, Probation, Jail or prison time, Or something else [something else specified in BPEC10c_sp])
BPEC10d	▪ (*If R received probation, jail/prison, or something else*) How **quickly** was this sentence given? (At the time you dropped out or were kicked out, Up to a week after you dropped out or were kicked out, Between a week and a month after you dropped out or were kicked out, Longer than a month after you dropped out or were kicked out)
BPEC10e	▪ (*If R received probation, jail/prison, or something else*) How **bad** was it to receive this sentence? Would you say… (Extremely bad, Somewhat bad, Not bad at all)?
BPEC11	• Have you ever been in a drug court before? (*If R was preloaded as a drug court participant*: I mean drug court experiences before this current time.) (Yes, No)
BPEC11a	o (*If yes*) How many separate times have you participated in a drug court program? By separate times we do not mean every time you appeared in court or saw a case manager, but we mean individual times you enrolled in a program no matter how many times you went to court or to case managers.
BPEC11b	o (*If yes*) Did your previous drug court experiences end up with you…(SELECT ALL THAT APPLY: Graduating, Dropping out, Being kicked out, Being put in jail)?
	<u>6 month/18 month</u>

_PEC7	• Are you currently participating in drug court? A drug court is a special court program that refers offenders to drug treatment and involves close monitoring, appearing before the judge regularly to review your progress, and being supervised by a probation or other type of officer? (Yes, No)*
_PEC7b	o (*If no*) At any point since your last interview, did you participate in drug court? (Yes, No)
_PEC7c	o *(If R reported current participation or participation in drug court at any point since last interview)* In which of the months since your last interview did you participate in drug court?
_PEC10	o (*If R self-reported drug court participation in the baseline interview but is not currently in drug court*) Are you no longer in drug court because…(You graduated, You dropped out of it yourself, You were kicked out of it, You were put in jail)?
_PEC10a	o (*If R self-reported drug court participation in the baseline interview but is not currently in drug court*) In what month and year did you {graduate/drop out/get kicked out/get put in jail}?
_PEC10b	▪ (*If R dropped out*) Please tell me the reason you dropped out of drug court. (The drug court program involved too much work, The drug court program costs too much, The drug court program conflicted with your work or child care responsibilities, The drug court program was too hard or expensive to get to, You were not satisfied with the services you were receiving, There were too many restrictions on your lifestyle, You did not think you needed the services being offered through the drug court program, You did not get along with the people running the drug court, You did not think the drug court program was fair, You dropped out for some other reason)
_PEC10c	▪ (*If R dropped out or was kicked out*) What **sentence** did you receive after you dropped out of (if R was kicked out: got kicked out of) the drug court program? (Nothing yet, Probation, Jail or prison time, Or something else [something else specified in _PEC10c_sp])
_PEC10d	• (*If R received probation, jail/prison, or something else*) How **quickly** was this sentence given? (At the time you dropped out or were kicked out, Up to a week after you dropped out or were kicked out, Between a week and a month after you dropped out or were kicked out, Longer than a month after you dropped out or were kicked out)
_PEC10e	• (*If R received probation, jail/prison, or something else*) How **bad** was it to receive this sentence? Would you say… (Extremely bad, Somewhat bad, Not bad at all)?

Perceptions of Risk, Rewards, and Consequences

Perceptions of what will happen if fail program	
	Baseline *These questions only asked if R self-reported current participation in drug court in BPEC7.*
BRISK1	• What do you think the most likely **sentence** would be for you if you fail the drug court program? (Nothing will happen, You will be put on probation, You will be sent to jail or prison, Or something else [other specified in BRISK1a])
BRISK2	o (*If R responds other than nothing*) How **quickly** do you think this sentence would be given? Do you think it would be given…(At the time you are kicked out, Up to a week after you are kicked out, Between a week and a month after you are kicked out, Longer than a month after you are kicked out)?
BRISK3	o (*If R responds other than nothing*) How **bad** do you think it would be if you were to receive this sentence? Would you say…(Extremely bad, Somewhat bad, Not bad at all)?
	6 month/18 month *These questions only asked if R ever self-reported participation in drug court (including the baseline interview).*
_RISK1	• *(If R self-reported current drug court participation)* What do you think the most likely **sentence** would be for you if you fail the drug court program? (Nothing will happen, You will be put on probation, You will be sent to jail or prison, Or something else [other specified in _RISK1a]) • *(If R did not self-report current drug court participation)* When you were still in the drug court program, what did you think the most likely **sentence** would be for you if you fail the drug court program? ? (Nothing will happen, You will be put on probation, You will be sent to jail or prison, Or something else [other specified in _RISK1a])
_RISK2	o (*If R responds other than nothing*) How **quickly** {do/did} you think this sentence would be given? Do you think it would be given…(At the time you are kicked out, Up to a week after you are kicked out, Between a week and a month after you are kicked out, Longer than a month after you are kicked out)?
_RISK3	o (*If R responds other than nothing)* How **bad** {do/did} you think it would be if you were to receive this sentence? Would you say…(Extremely bad, Somewhat bad, Not bad at all)?

Arrest and Incarceration History

Arrest history	
	Baseline
BARR1	• Before your arrest on {arrest date}, how many times, if any, were you arrested or notified of charges before you turned 18?
BARR2	• Before your arrest on {arrest date}, how many times, if any, were you arrested or notified of charges after you turned 18?
BARR3	o (*If R was ever arrested or notified of charges*) How old were you the first time you were arrested or charged with a crime?
BARR4	o (*If R was ever arrested or notified of charges*) What were you arrested for at that time?
BARR5	o (*If R was ever arrested or notified of charges*) Before your arrest on {arrest date}, were you ever convicted of a violent crime, such as physical or sexual assault, rape, robbery, manslaughter, attempted murder, murder, vehicular manslaughter, or vehicular homicide? (Yes, No)
BARR6	o (*If R was ever arrested or notified of charges*) Before your arrest on {arrest date}, were you ever convicted of any other crimes against people, including hit and run or harassment? (Yes, No)
BARR7	o (*If R was ever arrested or notified of charges*) Before your arrest on {arrest date}, were you ever convicted of a weapon possession crime for carrying a gun, knife, or other weapon? (Yes, No)
BARR8	o (*If R was ever arrested or notified of charges*) Before your arrest on {arrest date}, were you ever convicted of a drug possession crime, including possession of either drugs or drug paraphernalia? (Yes, No)
BARR9	o (*If R was ever arrested or notified of charges*) Before your arrest on {arrest date}, were you ever convicted of a drug sales crime? (Yes, No)
BARR10	o (*If R was ever arrested or notified of charges*) Before your arrest on {arrest date}, were you ever convicted of any other drug crimes, such as manufacturing, trafficking, or prescription fraud? (Yes, No)
BARR11	o (*If R was ever arrested or notified of charges*) Before your arrest on {arrest date}, were you ever convicted of a DWI or DUI crime? (Yes, No)
BARR12	o (*If R was ever arrested or notified of charges*) Before your arrest on {arrest date}, were you ever convicted of a property crime, including burglary, larceny, auto theft, bad checks, fraud, forgery, or grand theft? (Yes, No)

BARR13	o (*If R was ever arrested or notified of charges*) Before your arrest on {arrest date}, were you ever convicted of prostitution, public order crimes, or vagrancy? (Yes, No)
Incarceration history	
	Baseline
BARR14	o (*If R was ever arrested or notified of charges*) In your life, have you ever been locked up in a juvenile detention facility, a juvenile training school, or in any other kind of juvenile facility because of committing a crime? (Yes, No)
BARR15	o (*If R was ever arrested or notified of charges AND R is NOT currently incarcerated*) Not counting your current arrest offense, and not including any time you may have spent in a juvenile facility, have you ever been in jail or prison for more than 24 hours at one time? (Yes, No)
BARR15a	o (*If R was ever arrested or notified of charges AND R is either currently incarcerated or has been in jail or prison for more than 24 hours)* Not counting your current arrest offense, how many times in your life have you been sent to prison?

Addiction Severity

Addiction Severity Index	
	Baseline
BADDSV1	• In the past six months, have you used drugs other than those required for medical reasons? (Yes, No)
BADDSV2	• In the past six months have you abused prescription drugs? (Yes, No)
BADDSV3	• In the past six months did you abuse more than one drug at a time? (Yes, No)
BADDSV4	• In the past six months did you get through the week without using drugs or alcohol? (Yes, No)
BADDSV5	• In the past six months, were you always able to stop using drugs or alcohol when you wanted to? (Yes, No)
BADDSV6	• In the past six months, have you had 'blackouts' or 'flashbacks' as a result of drug or alcohol use? (Yes, No)
BADDSV7	• In the past six months, did you ever feel bad or guilty about drug or alcohol use? (Yes, No)
BADDSV8	• In the past six months, did your partner or other family members ever complain

	about your involvement with drugs or alcohol? (Yes, No)
BADDSV9	• In the past six months, has drug or alcohol abuse created problems between you and your partner or your other family members? (Yes, No)
BADDSV10	• In the past six months, have you lost friends because of use of drugs or alcohol? (Yes, No)
BADDSV11	• In the past six months, have you neglected your family because of use of drugs or alcohol? (Yes, No)
BADDSV12	• In the past six months, have you been in trouble at work because of use of drugs or alcohol?[46] (Yes, No)
BADDSV13	• In the past six months, have you lost a job because of drug or alcohol abuse? (Yes, No)
BADDSV14	• In the past six months, have you gotten into fights when under the influence of drugs or alcohol? (Yes, No)
BADDSV15	• In the past six months, have you engaged in illegal activities in order to obtain drugs or alcohol? (Yes, No)
BADDSV16	• In the past six months, have you been arrested for possession of illegal drugs? (Yes, No)
BADDSV17	• In the past six months, have you experienced withdrawal symptoms, such as feeling sick, when you stopped taking drugs or drinking alcohol. Would you say…(Yes; No, I haven't experienced withdrawal in the past 6 months because I have continued to use; No, I haven't experienced withdrawal in the past 6 months because I hadn't used drugs or alcohol during that time; No, I haven't experienced withdrawal when I stopped using in the past 6 months; No, I haven't experienced withdrawal in the past 6 months because it is medically managed)
BADDSV18	• In the past six months, have you had medical problems, such as memory loss, convulsions, bleeding, hepatitis, or any other medical problems, as a result of drug or alcohol use? (Yes, No)
BADDSV19	• In the past six months, have you gone to anyone for help for a drug or alcohol problem (Yes, No)
BADDSV20	• In the past six months, have you been involved in a treatment program especially related to drug or alcohol use? (Yes, No)
	<u>6 month/18 month</u>
_ADDSV1	• Since your last interview, have you used drugs other than those required for medical reasons? (Yes, No)

[46] Until 11/30/05,BADDSV12-13 were only asked of respondents who had worked a job during the past 6 months.

_ADDSV2	• Since your last interview have you abused prescription drugs? (Yes, No)
_ADDSV3	• Since your last interview did you abuse more than one drug at a time? (Yes, No)
_ADDSV4	• Since your last interview did you get through the week without using drugs or alcohol? (Yes, No)
_ADDSV5	• Since your last interview, were you always able to stop using drugs or alcohol when you wanted to? (Yes, No)
_ADDSV6	• Since your last interview, have you had 'blackouts' or 'flashbacks' as a result of drug or alcohol use? (Yes, No)
_ADDSV7	• Since your last interview, did you ever feel bad or guilty about drug or alcohol use? (Yes, No)
_ADDSV8	• Since your last interview, did your partner or other family members ever complain about your involvement with drugs or alcohol? (Yes, No)
_ADDSV9	• Since your last interview, has drug or alcohol abuse created problems between you and your partner or your other family members? (Yes, No)
_ADDSV10	• Since your last interview, have you lost friends because of use of drugs or alcohol? (Yes, No)
_ADDSV11	• Since your last interview, have you neglected your family because of use of drugs or alcohol? (Yes, No)
_ADDSV12	• Since your last interview, have you been in trouble at work because of use of drugs or alcohol? (Yes, No)
_ADDSV13	• Since your last interview, have you lost a job because of drug or alcohol abuse? (Yes, No)
_ADDSV14	• Since your last interview, have you gotten into fights when under the influence of drugs or alcohol? (Yes, No)
_ADDSV15	• Since your last interview, have you engaged in illegal activities in order to obtain drugs or alcohol? (Yes, No)
_ADDSV16	• Since your last interview, have you been arrested for possession of illegal drugs? (Yes, No)
_ADDSV17	• Since your last interview, have you experienced withdrawal symptoms, such as feeling sick, when you stopped taking drugs or drinking alcohol. Would you say…(Yes; No, I haven't experienced withdrawal because I have continued to use; No, I haven't experienced withdrawal because I hadn't used drugs or alcohol during that time; No, I haven't experienced withdrawal when I stopped using; No, I haven't experienced withdrawal because it is medically managed)

_ADDSV18	• Since your last interview, have you had medical problems, such as memory loss, convulsions, bleeding, hepatitis, or any other medical problems, as a result of drug or alcohol use? (Yes, No)
_ADDSV19	• Since your last interview, have you gone to anyone for help for a drug or alcohol problem (Yes, No)
_ADDSV20	• Since your last interview, have you been involved in a treatment program especially related to drug or alcohol use? (Yes, No)
Primary Drug	
_ADDSV21	6 month[47]/18 month • Thinking back to the **year before your arrest** on {fill}, which of the following was your **primary** drug? (Alcohol of Hashish, Marijuana, Powder cocaine, Crack cocaine, Heroin, Methamphetamine, Other amphetamines, Hallucinogens, Prescription medication, Methadone, UNABLE TO CHOOSE BETWEEN 2 OR MORE DRUGS, R INSISTS THAT HE/SHE WAS NOT USING DURING YEAR BEFORE ARREST, If R is unable to choose between 2 or more drugs, other is specified in _ADDSV21a)
_ADDSV22	• Thinking about the drugs that you have used, which of the following is **currently** your **primary** drug? (Alcohol of Hashish, Marijuana, Powder cocaine, Crack cocaine, Heroin, Methamphetamine, Other amphetamines, Hallucinogens, Prescription medication, Methadone, UNABLE TO CHOOSE BETWEEN 2 OR MORE DRUGS, R INSISTS THAT HE/SHE IS NOT USING, If R is unable to choose between 2 or more drugs, other is specified in _ADDSV22a)
_ADDSV23	• Have you ever used cocaine at least once in your life? (Yes, No)
_ADDSV24	• *(If yes)* Did you usually use crack, powder, or did you use them both equally? (Crack, Powder, Both)

Treatment Motivation

Treatment motivation—problem recognition	
	Baseline/6 month/18 month Please listen to the following statements and indicate the answer that best describes you or the way you have been feeling **in the past 30 days.** Please tell me if these statements never, rarely, sometimes, often, or always apply:
_TREMO1	• Your drug or alcohol use has been a problem for you. (Never, Rarely, Sometimes, Often, Always)

[47] In the 6 month interview, these items were not added until February 2006 (1/3 of the way through the 6 month period).

_TREMO1A	• Your drug or alcohol use has been more trouble than it is worth. (Never, Rarely, Sometimes, Often, Always)
_TREMO1B	• Your drug or alcohol use has been causing problems with the law. (Never, Rarely, Sometimes, Often, Always)
_TREMO1C	• Your drug or alcohol use has been causing problems in thinking or doing your work. (Never, Rarely, Sometimes, Often, Always)
_TREMO1D	• Your drug or alcohol use has been causing problems with family or friends. (Never, Rarely, Sometimes, Often, Always)
_TREMO1E	• *(If person NOT incarcerated for the whole six months before baseline or time since last interview*) Your drug or alcohol use has been causing problems finding or keeping a job. (Never, Rarely, Sometimes, Often, Always)
_TREMO1F	• Your drug or alcohol use has been causing problems with your health. (Never, Rarely, Sometimes, Often, Always)
_TREMO1G	• Your drug or alcohol use has been making your life worse and worse. (Never, Rarely, Sometimes, Often, Always)
_TREMO1H	• Your drug or alcohol use is going to cause your death if you do not quit soon. (Never, Rarely, Sometimes, Often, Always)
Treatment motivation—desire for help	
	Baseline/6 month/18 month
_TREMO1I	• You need help in dealing with your drug or alcohol use. (Never, Rarely, Sometimes, Often, Always)
_TREMO1L	• It is urgent that you find help immediately for your drug or alcohol use. (Never, Rarely, Sometimes, Often, Always)
_TREMO1N	• You are tired of the problems caused by drugs or alcohol. (Never, Rarely, Sometimes, Often, Always)
_TREMO1O	• You will give up your friends and hangouts to solve your drug or alcohol problems. (Never, Rarely, Sometimes, Often, Always)
_TREMO1Q	• You can quit using drugs or alcohol without any help. (Never, Rarely, Sometimes, Often, Always)
_TREMO1R	• Your life has gone out of control. (Never, Rarely, Sometimes, Often, Always)
_TREMO1T	• You want to get your life straightened out. (Never, Rarely, Sometimes, Often, Always)

Treatment motivation—treatment readiness	
	Baseline/6 month/18 month
_TREMO1J	• You have too many outside responsibilities now to be in a treatment program. (Never, Rarely, Sometimes, Often, Always)
_TREMO1K	• Treatment programs seem too demanding for you. (Never, Rarely, Sometimes, Often, Always)
_TREMO1M	• Treatment may be your last chance to solve your drug or alcohol problems. (Never, Rarely, Sometimes, Often, Always)
_TREMO1P	• Treatment programs will not be very helpful to you. (Never, Rarely, Sometimes, Often, Always)
_TREMO1S	• Treatment programs can really help you. (Never, Rarely, Sometimes, Often, Always)
_TREMO1U	• You want to be in a drug or alcohol treatment program. (Never, Rarely, Sometimes, Often, Always)
Treatment motivation—external pressure	
	Baseline/6 month/18 month
_TREMO1V	• *(If person NOT incarcerated for the whole six months before baseline or time since last interview)* You could be sent to jail or prison if you are not in treatment. (Never, Rarely, Sometimes, Often, Always)
_TREMO1W	• You feel a lot of pressure to be in treatment. (Never, Rarely, Sometimes, Often, Always)
_TREMO1X	• You have legal problems that require you to be in treatment. (Never, Rarely, Sometimes, Often, Always)
_TREMO1Y	• You are concerned about legal problems. (Never, Rarely, Sometimes, Often, Always)
_TREMO1Z	• You have family members who want you to be in treatment. (Never, Rarely, Sometimes, Often, Always)
Treatment eagerness—problem recognition	
_TREMO4	• You really want to make changes in your drinking or drug use. (Never, Rarely, Sometimes, Often, Always)
_TREMO4B	• If you don't change your drinking or drug use soon, your problems are going to get worse. (Never, Rarely, Sometimes, Often, Always)
_TREMO4F	• You are a problem drinker(Never, Rarely, Sometimes, Often, Always)
_TREMO4I	• You have serious problems with drinking or drug use(Never, Rarely, Sometimes,

	Often, Always)
_TREMO4K	• Your drinking or drug use is causing a lot of harm. (Never, Rarely, Sometimes, Often, Always)
_TREMO4N	• You know that you have a drinking or drug problem (Never, Rarely, Sometimes, Often, Always)
_TREMO4P	• You are an alcoholic or addict (Never, Rarely, Sometimes, Often, Always)
Treatment eagerness—ambivalence	
_TREMO4A	• Sometimes you wonder if you are an alcoholic or drug addict. (Never, Rarely, Sometimes, Often, Always)
_TREMO4E	• Sometimes you wonder if your drinking or drug use is hurting other people. (Never, Rarely, Sometimes, Often, Always)
_TREMO4J	• Sometimes you wonder if you are in control of your drinking or drug use. (Never, Rarely, Sometimes, Often, Always)
_TREMO4O	• There are times when you wonder if you drink or use too much. (Never, Rarely, Sometimes, Often, Always)
Treatment eagerness—taking steps	
_TREMO4C	• You have already started making some changes in your drinking or drug use. (Never, Rarely, Sometimes, Often, Always)
_TREMO4D	• You were drinking or using too much at one time, but you've managed to change your drinking or drug habits.: (Never, Rarely, Sometimes, Often, Always)
_TREMO4G	• You're not just thinking about changing your drinking or drug habit, you're already doing something about it. (Never, Rarely, Sometimes, Often, Always)
_TREMO4H	• You have already changed your drinking or drug use, and you are looking for ways to keep from slipping back into your old pattern. (Never, Rarely, Sometimes, Often, Always)
_TREMO4L	• You are actively doing things now to cut down or stop drinking or using drugs. (Never, Rarely, Sometimes, Often, Always)
_TREMO4M	• You want help to keep from going back to the drinking or drug problems that you had before. (Never, Rarely, Sometimes, Often, Always)
_TREMO4Q	• You are working hard to change your drinking or drug use. (Never, Rarely, Sometimes, Often, Always)
_TREMO4R	• You have made some changes to your drinking or drug habits, and you want some help to keep from going back to the way you used to drink or use drugs (Never, Rarely, Sometimes, Often, Always)

Deterrence, Likelihood, Severity of Sanctions

Deterrence, likelihood, and severity of sanctions for rule violations	
	Baseline/6 month/18 month *This domain only asked of baseline R's who have been under supervision at some point during the past six months or who were preloaded as drug court participants and follow up R's who have been under supervision at some point since the last interview OR who self-reported current drug court participation during their baseline interview.*
_RULES4	• Now I'd like to talk about what you think would happen to you if you **used drugs** while under supervision. If **you** were to use drugs while under supervision of the court, how likely do you think it is that the judge or your {supervision officer} would find out? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5	• If the judge or your {supervision officer} thought you were using drugs, how likely do you think it is that one of them would: o Increase drug testing or treatment requirements for you? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5A	o Increase the number of times you have to meet with them or add other supervision requirements? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5B	o Give you community service, a writing assignment, or make you sit in the jury box to observe court proceedings? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5C	o Give you a formal warning in writing? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5D	o Give you an informal verbal warning? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5E	o Give you electronic monitoring? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5F	o Require you to attend day reporting? Day reporting is when someone has to report to a supervision officer or facility on a daily basis. (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5G	o Put you on house arrest or community control? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5H	o Give you a few days in jail? (Very likely, Somewhat likely, Somewhat

	unlikely, Very unlikely)
_RULES5I	o Give you a long time in jail or send you to prison? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES5J	o *(For baseline R's preloaded as drug court participant and follow-up R's who self-reported drug court participation at the baseline or current interview)* Demote you to a previous phase of drug court or return you to the beginning of a phase in drug court? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES7	• Now I'd like to ask what you think would happen to you if you failed to keep appointments, skips drug tests, or failed to attend drug treatment as required while on supervision. If **you** failed to keep appointments, skipped drug tests, or failed to attend drug treatment as required, how likely do you think it is that the judge or your {supervision officer} would find out? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11	• If the judge or your {supervision officer} thought you had failed to keep appointments, skipped drug tests, or failed to attend drug treatment as required, how likely do you think it is that one of them would: o Increase drug testing or treatment requirements for you? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11A	o Increase the number of times you have to meet with them or add other supervision requirements? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11B	o Give you community service, a writing assignment, or make you sit in the jury box to observe court proceedings? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11C	o Give you a formal warning in writing? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11D	o Give you an informal verbal warning? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11E	o Give you electronic monitoring? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11F	o Require you to attend day reporting? Day reporting is when someone has to report to a supervision officer or facility on a daily basis. (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11G	o Put you on house arrest or community control? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11H	o Give you a few days in jail? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)

_RULES11I	o Give you a long time in jail or send you to prison? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)
_RULES11J	o *(For baseline R's preloaded as drug court participant and follow up R's who self-reported drug court participation at the baseline or current interview)* Demote you to a previous phase of drug court or return you to the beginning of a phase in drug court? (Very likely, Somewhat likely, Somewhat unlikely, Very unlikely)

Substance Use History

Substance use history and current use	
	Baseline
BSUC1	• Have you ever had a drink of any type of **alcoholic beverage**? (Yes, No)
BSUC1A	o *(If yes)* How old were you the first time you drank alcohol?
BSUC1B	o *(If yes)* Have you ever drunk alcohol on a regular basis? (Yes, No)
BSUC1C	• *(If yes)* How old were you when you began to drink alcohol on a regular basis?
BSUC1D	o *(If yes)* Did you drink alcohol at any point during the past six months, that is, since {fill date}? (Yes, No)
BSUC1E	• *(If yes)* Did you have five (if male)/four (if female) or more drinks of alcoholic beverages in a single day at any point during the past six months? (Yes, No)
BSUC2	• I'm going to ask you about your use of prescription drugs. Have you ever used the following medicines **without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered**: sedatives, tranquilizers, stimulants, pain relievers opiates, or anabolic steroids? (Yes, No)
BSUC2A	o *(If yes)* How old were you the first time you used one of these medicines without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered?
BSUC2B	o *(If yes)* Have you ever used one of these medicines without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered **on a regular basis**? (Yes, No)
BSUC2C	• *(If yes)* How old were you when you began to use one of these medicines without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered on a regular basis?

BSUC2D	o *(If yes)* Did you use one of these medicines without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered during the past six months? (Yes, No)
BSUC7	• Have you ever used **Methadone** without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered? (Yes, No)
BSUC7A	o *(If yes*) How old were you the first time you used methadone without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered?
BSUC7B	o *(If yes*) Have you ever used methadone without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered on a regular basis? (Yes, No)
BSUC7C	• *(If yes*) How old were you when you began to use methadone without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered on a regular basis?
BSUC7D	o *(If yes*) Did you use methadone without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered at any point during the past six months? (Yes, No)
BSUC9	• Have you ever used **marijuana or hashish** at least once in your life? (Yes, No)
BSUC9A	o *(If yes*) How old were you the first time you used marijuana?
BSUC9B	o *(If yes*) Have you ever used marijuana on a regular basis? (Yes, No)
BSUC9C	• *(If yes*) How old were you when you began to use marijuana on a regular basis?
BSUC9D	o *(If yes*) Did you use marijuana at any point during the past six months? (Yes, No)
BSUC10	• Have you ever used **hallucinogens or designer drugs**, such as ecstasy, LSD or acid, mushrooms, Mescaline, Peyote, Green, PCP, or Angel Dust at least once in your life?" (Yes, No)
BSUC10A	o *(If yes*) How old were you the first time you used hallucinogens or designer drugs?
BSUC10B	o *(If yes*) Have you ever used hallucinogens or designer drugs on a regular basis? (Yes, No)
BSUC10C	• *(If yes*) How old were you when you began to use hallucinogens or designer drugs on a regular basis?

BSUC10D	o *(If yes)* Did you use hallucinogens or designer drugs at any point during the past six months? (Yes, No)
BSUC11	• Have you ever used **cocaine** at least once in your life? This includes all forms of cocaine such as powder cocaine, crack cocaine, free base, or coca paste.
BSUC11A	o *(If yes)* How old were you the first time you used cocaine?
BSUC11B	o *(If yes)* Have you ever used cocaine on a regular basis? (Yes, No)
BSUC11C	• *(If yes)* How old were you when you began to use cocaine on a regular basis?
BSUC11D	o *(If yes)* Did you use cocaine at any point during the past six months? (Yes, No)
BUSC11E	• *(If yes)* Do you usually use…? (Crack, Powder, Or do you use them both equally)
BSUC12	• Have you ever used **heroin** at least once in your life? This includes smoking, sniffing, snorting, and injecting heroin. (Yes, No)
BSUC12A	o *(If yes)* How old were you the first time you used heroin?
BSUC12B	o *(If yes)* Have you ever used heroin on a regular basis? (Yes, No)
BSUC12C	• *(If yes)* How old were you when you began to use heroin on a regular basis?
BSUC12D	o *(If yes)* Did you use heroin at any point during the past six months? (Yes, No)
BSUC13	• Have you ever used **amphetamines,** such as monster, crank, Methamphetamine, or Ice, at least once in your life? (Yes, No)
BSUC13A	o *(If yes)* How old were you the first time you used amphetamines?
BSUC13B	o *(If yes)* Have you ever used amphetamines on a regular basis? (Yes, No)
BSUC13C	• *(If yes)* How old were you when you began to use amphetamines on a regular basis?
BSUC13D	o *(If yes)* Did you use amphetamines at any point during the past six months? (Yes, No)
	<u>6 month/18 month</u>

_SUC1D	• Did you drink alcohol at any point since your last interview? (Yes, No)
_SUC1E	o *(If yes)* Did you have five (if male)/four (if female) or more drinks of alcoholic beverages in a single day at any point since your last interview? (Yes, No)
	Now I'm going to ask about your use of prescription drugs including sedatives, tranquilizers, stimulants, pain relievers, opiates, or anabolic steroids.
_SUC2D	• Did you use one of these medicines without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered since your last interview? (Yes, No)
_SUC7D	• Did you use methadone without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered at any since your last interview? (Yes, No)
_SUC9D	• Did you use marijuana or hashish at any point since your last interview? (Yes, No)
_SUC10D	• Did you use hallucinogens or designer drugs such as ecstasy, LSD or acid, mushrooms, Mescaline, Peyote, Green, PCP, or Angel Dust at any point since your last interview? (Yes, No)
_SUC11D	• Did you use cocaine at any point since your last interview? This includes all forms of cocaine such as powder cocaine, crack cocaine, free base, or coca paste? (Yes, No)
_SUC11E	o *(If yes)* Do you usually use…? (Crack, Powder, Or do you use them both equally)
_SUC12D	• Did you use heroin at any point since your last interview? This includes smoking, sniffing, snorting, and injecting. (Yes, No)
_SUC13D	• Did you use amphetamines such as monster, crank, Methamphetamine, or Ice at any point since your last interview? (Yes, No)
Calendering of substance use	
	Baseline
BSUC15	• *(If R drank alcohol at any point during the past 6 months)* In which of the past six months did you **drink alcohol**?
BSUC15A1	o About how often, on average, did you drink alcohol in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
BSUC15A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSUC15A1 through BSUC15A1A repeated in BSUC15a2–BSUC15a12a for each month R drank alcohol during previous 6 months.

BSUC16	• *(If R had five (if male)/four (if female) or more drinks of alcoholic beverages in a single day at any point during the past six months)* In which of the past six months did you have five (if male)/four (if female) or more drinks in a single day?
BSUC16A1	o About how often, on average, did you have five (if male)/four (if female) or more drinks in a single day in {1st month}? }? (Every day, A few days per week but not daily, A few days per month, Once)
BSUC16A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSUC16A1 through BSUC16A1A repeated in BSUC16a2–BSUC16a12a for each month R drank 5 or more (if male) or 4 or more (if female) alcoholic beverages during previous 6 months.
BSUC17	• *(If R used prescription drugs in the past 6 months)* In which of the past six months did you use **prescription drugs** such as those listed on this card without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than our doctor ordered?
BSUC17A1	o About how often, on average, did you use prescription drugs such as those listed on this card without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than our doctor ordered in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
BSUC17A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSUC17A1 through BSUC17A1A repeated in BSUC17a2–BSUC17a12a for each month R used prescription drugs during previous 6 months.
BSUC22	• *(If R used methadone in past 6 months)* In which of the past six months did you use **methadone** without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered?
BSUC22A1	o About how often, on average, did you use **Methadone** without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
BSUC22A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSUC22A1 through BSUC22A1A repeated in BSUC22a2–BSUC22a12a for each month R used methadone during previous 6 months.
BSUC24	• *(If R used marijuana at any point during the past 6 months)* In which of the past six months did you use **marijuana or hashish**?

BSUC24A1	o About how often, on average, did you use **marijuana, or hashish** in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
BSUC24A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSUC24A1 through BSUC24A1A repeated in BSUC24a2–BSUC24a12a for each month R used marijuana or hashish during previous 6 months.
BSUC25	• *(If R used hallucinogens or designer drugs at any point during the past 6 months)* In which of the past six months did you use **hallucinogens or designer drugs,** such as LSD, or acid, mushrooms, Mescaline, peyote, green PCP, or Angel Dust?
BSUC25A1	o About how often, on average, did you use **hallucinogens or designer drugs** in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
BSUC25A1A	o "Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSUC25A1 through BSUC25A1A repeated in BSUC25a2–BSUC25a12a for each month R used hallucinogens or designer drugs during previous 6 months.
BSUC26	• *(If R used cocaine at any point during the past 6 months)* In which of the past six months did you use **cocaine**?
BSUC26A1	o About how often, on average, did you use **cocaine** in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
BSUC26A1A	o Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSUC26A1 through BSUC26A1A repeated in BSUC26a2–BSUC26a12a for each month R used cocaine during previous 6 months.
BSUC27	• *(If R used heroin at any point during the past 6 months)* In which of the past six months did you use **heroin**?
BSUC27A1	o About how often, on average, did you use **heroin** in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
BSUC27A1A	o Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSUC27A1 through BSUC27A1A repeated in BSUC27a2–BSUC27a12a for each month R used heroin during previous 6 months.
BSUC28	• *(If R used amphetamines at any point during the past 6 months)* In which of the past six months did you use **amphetamines**?

BSUC28A1	o About how often, on average, did you use **amphetamines** in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
BSUC28A1A	o Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSUC28A1 through BSUC28A1A repeated in BSUC28a2–BSUC28a12a for each month R used amphetamines during previous 6 months.
	<u>6 month/18 month</u>
_SUC15	• *(If R drank alcohol at any point since last interview)* In which of the months since your last interview did you **drink alcohol**?
_SUC15A1	o About how often, on average, did you drink alcohol in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
_SUC15A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SUC15A1 through _SUC15A1A repeated in _SUC15a2–SUC15a12a for each month R drank alcohol since last interview.
_SUC16	• *(If R had five (if male)/four (if female) or more drinks of alcoholic beverages in a single day at any point since last interview)* In which of the months since your last interview did you have five (if male)/four (if female) or more drinks in a single day?
_SUC16A1	o About how often, on average, did you have five (if male)/four (if female) or more drinks in a single day in {1st month}? }? (Every day, A few days per week but not daily, A few days per month, Once)
_SUC16A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SUC16A1 through _SUC16A1A repeated in SUC16a2–SUC16a12a for each month R drank 5 or more (if male) or 4 or more (if female) alcoholic beverages since last interview.
_SUC17	• *(If R used prescription drugs at any point since last interview)* In which of the months since your last interview did you use **prescription drugs** such as those listed on this card without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than our doctor ordered?
_SUC17A1	o About how often, on average, did you use prescription drugs such as those listed on this card without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than our doctor ordered in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
_SUC17A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did

	this happen while you were …? (Incarcerated, On the street, Or both)
	_SUC17A1 through _SUC17A1A repeated in _SUC17a2–SUC17a12a for each month R used prescription drugs since last interview.
_SUC22	• *(If R used methadone at any point since last interview)* In which of the months since your last interview did you use **methadone** without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered?
_SUC22A1	o About how often, on average, did you use **Methadone** without a prescription or for other reasons than were prescribed, or in larger amounts, or more often than your doctor ordered in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
_SUC22A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SUC22A1 through _SUC22A1A repeated in _SUC22a2–_SUC22a12a for each month R used methadone.
_SUC24	• *(If R used marijuana at any point since last interview)* In which of the months since your last interview did you use **marijuana or hashish**?
_SUC24A1	o About how often, on average, did you use **marijuana, or hashish** in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
_SUC24A1A	o *(If R was in jail more than one but less than 28 days during 1st month)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SUC24A1 through _SUC24A1A repeated in _SUC24a2–_SUC24a12a for each month R used marijuana or hashish since last interview.
_SUC25	• *(If R used hallucinogens or designer drugs at any point since last interview)* In which of the months since your last interview did you use **hallucinogens or designer drugs,** such as LSD, or acid, mushrooms, Mescaline, peyote, green PCP, or Angel Dust?
_SUC25A1	o About how often, on average, did you use **hallucinogens or designer drugs** in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
_SUC25A1A	o "Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SUC25A1 through _SUC25A1A repeated in _SUC25a2–_SUC25a12a for each month R used hallucinogens or designer drugs since last interview.
_SUC26	• *(If R used cocaine at any point since last interview)* In which of the months since your last interview did you use **cocaine**?
_SUC26A1	o About how often, on average, did you use **cocaine** in {1st month}? (Every

	day, A few days per week but not daily, A few days per month, Once)
_SUC26A1A	o Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SUC26A1 through _SUC26A1A repeated in _SUC26a2–_SUC26a12a for each month R used cocaine since last interview.
_SUC27	• *(If R used heroin at any point since last interview)* In which of the months since your last interview did you use **heroin**?
_SUC27A1	o About how often, on average, did you use **heroin** in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
_SUC27A1A	o Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SUC27A1 through _SUC27A1A repeated in _SUC27a2–_SUC27a12a for each month R used heroin since last interview.
_SUC28	• *(If R used amphetamines at any point since last interview)* In which of the months since your last interview did you use **amphetamines**?
_SUC28A1	o About how often, on average, did you use **amphetamines** in {1st month}? (Every day, A few days per week but not daily, A few days per month, Once)
_SUC28A1A	o Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SUC28A1 through _SUC28A1A repeated in _SUC28a2–_SUC28a12a for each month R used amphetamines since last interview.
Drug use during current offense	
	Baseline
BSUC30	• Were you under the influence of drugs and/or alcohol at the time of your arrest? We are referring to the arrest on {arrest date} (Yes, No)
Needle use	
	Baseline
BSUC31	• At any point during the past six months have you used a needle to get any drug injected under your skin, into a muscle, or into a vein for non-medical reasons? (Yes, No)
BSUC31A	o *(If yes)* In which of the past six months did you use a needle to get any drug injected under your skin, into a muscle, or into a vein for non-medical reasons?
BSUC31A1	• During {1st month}, did you use a needle or works that had been used by someone else for injecting drugs? (Yes, No)

BSUC31A1A	• *(If yes*) When you used a needle or works that someone else had used first, what did you do most of the time before using the needles or works to shoot up? Did you…(Use them without cleaning them with anything, Clean them only with tap water, Clean them with bleach and tap water, Clean only with alcohol and water, Clean only with peroxide and water, Clean only in boiling water, Clean some other way)
BSUC31A1B	• *(If yes AND number of days in jail or prison during month was less than 28 and greater than 0)* Did this happen while you were incarcerated, while you were on the street, or both? (Incarcerated, On the street, Or both)
	BSUC31A1 through BSUC31A1B repeated in BSUC31a2–BSUC31a12b for each month R used needles during previous 6 months.
	<u>6 month/18 month</u>
_SUC31	• At any point since your last interview have you used a needle to get any drug injected under your skin, into a muscle, or into a vein for non-medical reasons? (Yes, No)
_SUC31A	o *(If yes)* In which of the months since your last interview did you use a needle to get any drug injected under your skin, into a muscle, or into a vein for non-medical reasons?
_SUC31A1	• During {1st month}, did you use a needle or works that had been used by someone else for injecting drugs? (Yes, No)
_SUC31A1A	• *(If yes)* When you used a needle or works that someone else had used first, what did you do most of the time before using the needles or works to shoot up? Did you…(Use them without cleaning them with anything, Clean them only with tap water, Clean them with bleach and tap water, Clean only with alcohol and water, Clean only with peroxide and water, Clean only in boiling water, Clean some other way)
_SUC31A1B	• *(If yes AND number of days in jail or prison during month was less than 28 and greater than 0)* Did this happen while you were incarcerated, while you were on the street, or both? (Incarcerated, On the street, Or both)
	_SUC31A1 through _SUC31A1B repeated in _SUC31a2–_SUC31a12b for each month R used a needle to get any drug injected under skin, into a muscle, or into a vein for non-medical reasons since last interview.
Drug tests/breathalyzers	
	<u>Baseline</u>

BSUC32	• At any point during the past six months, have you breathed into a breathalyzer to test for alcohol? (Yes, No)
BSUC32A	o *(If Yes)* In which of the past six months did you breathe into a breathalyzer to test for alcohol?
BSUC32A1	• How many times did you breathe into a breathalyzer during {1st month}?
BSUC32A1A	• *(If >0)* How many breathalyzer tests were positive during {1st month}?
BSUC32A1B	• *(If number of days in jail or prison during month was less than 28 and greater than 0)* Were you breathalyzed while you were incarcerated, while you were on the street, or both? (Incarcerated, On the street, Or both)
	BSUC32A1 through BSUC32A1B repeated in BSUC32a2–BSUC32A12b for each month R breathed into a breathalyzer to test for alcohol during previous 6 months.
BSUC33	• At any point during the past six months, were you tested for drugs other than alcohol? (Yes, No)
BSUC33A	o *(If yes*) In which of the past six months were you tested for drugs other than alcohol?
BSUC33A1	• How many times were you tested for drugs other than alcohol during {1st month}?
BSUC33A1A	• *(If >0)* How many drug tests were positive during {1st month}?
BSUC33A1B	• *(If number of days in jail or prison during month was less than 28 and greater than 0)* Were you given these drug tests while you were incarcerated, while you were on the street, or both? (Incarcerated, On the street, Or both)
	BSUC33A1 through BSUC33A1B repeated in BSUC33a2–BSUC33a12a for each month R tested for drugs other than alcohol during previous 6 months.
	<u>6 month/18 month</u>
_SUC32	• At any point since your last interview, have you breathed into a breathalyzer to test for alcohol? (Yes, No)
_SUC32A	o *(If yes)* In which of the months since your last interview did you breathe into a breathalyzer to test for alcohol?

_SUC32A1	• How many times did you breathe into a breathalyzer during {1st month}?
_SUC32A1A	• *(If >0)* How many breathalyzer tests were positive during {1st month}?
_SUC32A1B	• *(If number of days in jail or prison during month was less than 28 and greater than 0)* Were you breathalyzed while you were incarcerated, while you were on the street, or both? (Incarcerated, On the street, Or both)
	_SUC32A1 through _SUC32A1B repeated in _SUC32a2–_SUC32a12b for each month R breathed into a breathalyzer to test for alcohol since last interview.
_SUC33	• At any point since your last interview, were you tested for drugs other than alcohol? (Yes, No)
_SUC33A	o *(If yes)* In which of the months since your last interview were you tested for drugs other than alcohol?
_SUC33A1	• How many times were you tested for drugs other than alcohol during {1st month}?
_SUC33A1A	• *(If >0)* How many drug tests were positive during {1st month}?
_SUC33A1B	• *(If number of days in jail or prison during month was less than 28 and greater than 0)* Were you given these drug tests while you were incarcerated, while you were on the street, or both? (Incarcerated, On the street, Or both)
	_SUC33A1 through _SUC33A1B repeated in _SUC33a2–_SUC33a12b for each month R tested for drugs other than alcohol since last interview.
Stage of change	
	Baseline/6 month/18 month
_SUC34A	• *(If R reported using any drugs in the current or previous month)* Do you plan to quit using all drugs that have not been specifically prescribed by your doctor in the next 6 months? (Yes, No)
_SUC34	• *(If R reported using any drugs in the current or previous month)* Do you plan to quit using all drugs that have not been specifically prescribed by your doctor in the next 30 days? (Yes, No)

Substance Abuse Treatment

Substance abuse treatment	
	Baseline
BSAT1	• At any point during the past six months have you received any drug or alcohol treatment such as residential treatment, individual counseling, group counseling or other types of activities, or participated in self-help groups to help you stop using drugs or alcohol? (Yes, No)
BSAT2	o (*If R received any drug or alcohol treatment during the past six months*) At any point during the past six months, did you go to the emergency room for drug or alcohol treatment By this we mean times you went to the emergency room or ER for emergency services, not times you may have gone into a hospital for detoxification, outpatient treatment, or self-help groups. (Yes, No)
BSAT2A	• (*If yes*) In which of the past six months did you go to the emergency room for drug or alcohol treatment?
BSAT2A1	• How many days did you go to the emergency room for drug or alcohol treatment during {1st month}?
BSAT2B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSAT2A1 and BSAT2B1 repeated in BSAT2a2–BSAT2b12 for each month R went to the emergency room for drug or alcohol treatment during the past six months.
BSAT3	o (*If R received any drug or alcohol treatment during the past six months*) At any point during the past six months, did you have a hospital stay for detoxification—or detox—to stabilize your mood and behavior? Detox may be a program lasting between 2 and 14 days. (Yes, No)
BSAT3A	• (*If yes*) In which of the past six months did you have a hospital stay for detox—to stabilize your mood and behavior?
BSAT3A1	• How many days did you have a hospital stay for detox –to stabilize your mood and behavior during {1st month}?
BSAT3B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSAT3A1 and BSAT3B1 repeated in BSAT3a2–BSAT3b12 for each month R had a hospital stay for detox during the past six months.
BSAT4	o *(If R received any drug or alcohol treatment during the past six months)* At any point during the past six months, were you in a residential drug or alcohol treatment program? A residential drug or alcohol treatment program

	is a place where a person lives away from home and services are intended to last at least a couple weeks but may last for several weeks or months. (Yes, No)
BSAT4A	• (*If yes*) In which of the past six months were you in residential drug or alcohol treatment?
BSAT4A1	• How many days were you in residential drug or alcohol treatment during {1st month}?
BSAT4B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSAT4A1 and BSAT4B1 repeated in BSAT4a2–BSAT4b12 for each month R had residential drug or alcohol treatment during the past six months.
BSAT5	o *(If R received any drug or alcohol treatment during the past six months)* At any point during the past six months, did you have medicinal interventions to treat alcohol or drug abuse such as methadone maintenance, Naltrexone, or Buprenorphine? (Yes, No)
BSAT5A	• *(If yes)* In which of the past six months did you have a medicinal intervention?
BSAT5A1	• How many days did you have a medicinal intervention during {1st month}?
BSAT5B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSAT5A1 and BSAT5B1 repeated in BSAT5a2–BSAT5b12 for each month R had a medical intervention during the past six months.
BSAT6	o *(If R received any drug or alcohol treatment during the past six months)* At any point during the past six months, did you have outpatient group counseling for substance abuse treatment? This does not include self-help groups such as AA or NA. (Yes, No)
BSAT6A	• *(If yes)* In which of the past six months did you have outpatient group counseling?
BSAT6A1	• How many days did you have outpatient group counseling during {1st month}?
BSAT6B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)

	BSAT6A1 and BSAT6B1 repeated in BSAT6a2–BSAT6b12 for each month R had any outpatient group counseling during the past six months.
BSAT7	o *(If R received any drug or alcohol treatment during the past six months)* At any point during the past six months, did you have outpatient individual counseling for substance abuse treatment? This does not include advice from peer sponsors. (Yes, No)
BSAT7A	• *(If yes)* In which of the past six months did you have outpatient group counseling?
BSAT7A1	• How many days did you have outpatient individual counseling during {1st month}?
BSAT7B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSAT7A1 and BSAT7B1 repeated in BSAT7a2–BSAT7b12 for each month R had any outpatient individual counseling during the past six months.
BSAT8	o *(If R received any drug or alcohol treatment during the past six months)* At any point during the past six months, did you participate in any self help groups such as alcoholics anonymous or narcotics anonymous, often known as AA or NA? (Yes, No)
BSAT8A	• *(If yes)* In which of the past six months did you participate in AA or NA?
BSAT8A1	• How many days did you participate in AA or NA during {1st month}?
BSAT8A1A	• How often did you have contact with your peer SPONSOR? (Every day, A few days per week but not every day, Once a week, A few days per month, One time per month, Never, Not applicable- does not have a peer sponsor)
BSAT8B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did you participate in AA or NA while you were …? (Incarcerated, On the street, Or both)
	BSAT8A1 through BSAT8B1 repeated in BSAT8a2–BSAT8b12 for each month R participated in AA or NA during the past six months.
BSAT9	o *(If R received any drug or alcohol treatment during the past six months)* At any point during the past six months, did you participate in any alternative approaches to alcohol and drug treatment, such as acupuncture, meditation, or biofeedback? (Yes, No)
BSAT9A	• *(If yes)* In which of the past six months did you participate in

	alternative approaches to alcohol and drug treatment?
BSAT9A1	• How many days did you participate in alternative approaches to alcohol and drug treatment during {1st month}?
BSAT9B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	BSAT9A1 and BSAT9B1 repeated in BSAT9a2–BSAT9b12 for each month R participated in any alternative approaches to alcohol and drug treatment during the past six months.
BSAT10	• Not counting the past six months, at any point in your life, were you ever enrolled in substance abuse treatment for alcohol or drug abuse? For this question we do not mean self-help groups such as AA or NA. (Yes, No)
BSAT10A	o *(If yes)* How many times did you previously enroll in substance abuse treatment programs?
BSAT11	• Not counting the past six months, at any point in your life, did you participate in self-help groups such as AA or NA for help with alcohol or drug abuse problems? (Yes, No)
BSAT11A	o *(If yes)* Not counting the past six months, how many times in your life did you start attending self-help groups? By this we do not mean the actual number of meetings you attended during that period in your life, but the number of times you felt the need to start attending meetings and began to do so?
	<u>6 month/18 month</u>
_SAT1	• At any point since your last interview have you received any drug or alcohol treatment such as residential treatment, individual counseling, group counseling or other types of activities, or participated in self-help groups to help you stop using drugs or alcohol? (Yes, No)
_SAT2	o *(If R received any drug or alcohol treatment since last interview)* Since your last interview did you go to the emergency room for drug or alcohol treatment? By this we mean times you went to the emergency room or ER for emergency services, not times you may have gone into a hospital for detoxification, outpatient treatment, or self-help groups. (Yes, No)
_SAT2A	• *(If yes)* In which of the months since your last interview did you go to the emergency room for drug or alcohol treatment?
_SAT2A1	• How many days did you go to the emergency room for drug or alcohol treatment during {1st month}?

_SAT2B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SAT2A1 and _SAT2B1 repeated in _SAT2a2–_SAT2b12 for each month R went to the emergency room for drug or alcohol treatment since last interview.
_SAT3	o *(If R received any drug or alcohol treatment since last interview)* At any point since your last interview, did you have a hospital stay for detoxification—or detox—to stabilize your mood and behavior? Detox may be a program lasting between 2 and 14 days. (Yes, No)
_SAT3A	• *(If yes)* In which of the months since your last interview did you have a hospital stay for detox –to stabilize your mood and behavior?
_SAT3A1	• How many days did you have a hospital stay for detox –to stabilize your mood and behavior during {1st month}?
_SAT3B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SAT3A1 and _SAT3B1 repeated in _SAT3a2–_SAT3b12 for each month R had a hospital stay for detox since last interview.
_SAT4	o *(If R received any drug or alcohol treatment since last interview)* At any point since your last interview, were you in a residential drug or alcohol treatment program? A residential drug or alcohol treatment program is a place where a person lives away from home and services are intended to last at least a couple weeks but may last for several weeks or months. (Yes, No)
_SAT4A	• *(If yes)* In which of the months since your last interview were you in residential drug or alcohol treatment?
_SAT4A1	• How many days were you in residential drug or alcohol treatment during {1st month}?
_SAT4B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SAT4A1 and _SAT4B1 repeated in _SAT4a2–_SAT4b12 for each month R had residential drug or alcohol treatment since last interview.
_SAT5	o *(If R received any drug or alcohol treatment since last interview)* At any point since your last interview, did you have medicinal interventions to treat alcohol or drug abuse such as methadone maintenance, Naltrexone, or Buprenorphine? (Yes, No)
_SAT5A	• *(If yes)* In which of the months since your last interview did you

	have a medicinal intervention?
_SAT5A1	• How many days did you have a medicinal intervention during {1st month}?
_SAT5B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SAT5A1 and _SAT5B1 repeated in _SAT5a2–_SAT5b12 for each month R had a medical intervention since last interview.
_SAT6	o *(If R received any drug or alcohol treatment since last interview)* At any point since your last interview, did you have outpatient group counseling for substance abuse treatment? This does not include self-help groups such as AA or NA. (Yes, No)
_SAT6A	• *(If yes)* In which of the months since your last interview did you have outpatient group counseling?
_SAT6A1	• How many days did you have outpatient group counseling during {1st month}?
_SAT6B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SAT6A1 and_SSAT6B1 repeated in _SAT6a2–_SAT6b12 for each month R had any outpatient group counseling since last interview.
_SAT7	o *(If R received any drug or alcohol treatment since last interview)* At any point since your last interview, did you have outpatient individual counseling for substance abuse treatment? This does not include advice from peer sponsors. (Yes, No)
_SAT7A	• *(If yes)* In which of the months since your last interview did you have outpatient group counseling?
_SAT7A1	• How many days did you have outpatient individual counseling during {1st month}?
_SAT7B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SAT7A1 and _SAT7B1 repeated in _SAT7a2–SAT7b12 for each month R had any outpatient individual counseling since last interview.
_SAT8	o *(If R received any drug or alcohol treatment since last interview)* At any point since your last interview, did you participate in any self-help groups

	such as alcoholics anonymous or narcotics anonymous, often known as AA or NA? (Yes, No)
_SAT8A	• *(If yes)* In which of the months since your last interview did you participate in AA or NA?
_SAT8A1	• How many days did you participate in AA or NA during {1st month}?
_SAT8A1A	• How often did you have contact with your peer SPONSOR? (Every day, A few days per week but not every day, Once a week, A few days per month, One time per month, Never, Not applicable- does not have a peer sponsor)
_SAT8B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did you participate in AA or NA while you were …? (Incarcerated, On the street, Or both)
	_SAT8A1 through _SAT8B1 repeated in _SAT8a2–_SAT8b12 for each month R participated in AA or NA since last interview.
_SAT9	o *(If R received any drug or alcohol treatment since last interview)* At any point since your last interview, did you participate in any alternative approaches to alcohol and drug treatment, such as acupuncture, meditation, or biofeedback? (Yes, No)
_SAT9A	• *(If yes)* In which of the months since your last interview did you participate in alternative approaches to alcohol and drug treatment?
_SAT9A1	• How many days did you participate in alternative approaches to alcohol and drug treatment during {1st month}?
_SAT9B1	• *(If R in jail or prison greater than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, Or both)
	_SAT9A1 and _SAT9B1 repeated in _SAT9a2–_SAT9b12 for each month R participated in any alternative approaches to alcohol and drug treatment since last interview.

Criminal Behavior Calendar

Criminal behaviors	
	Baseline
BCBC1	• At any point during the past 6 months have you committed any violent crimes, regardless of whether or not you were caught? By violent crimes, we mean things like physical or sexual assault, rape, robbery, manslaughter, attempted murder, murder, vehicular manslaughter, or vehicular homicide, whether you knew the person or not? (Yes, No)
BCBC2	• At any point during the past 6 months, have you committed any other crimes against people, regardless of whether or not you were caught? Crimes against people include hit and run or harassment. (Yes, No)
BCBC3	• At any point during the past 6 months, have you carried a gun, knife, or other weapon, regardless of whether or not you were caught? (Yes, No)
BCBC4	• At any point during the past 6 months, have you used or possessed either drugs or drug paraphernalia, regardless of whether or not you were caught? (Yes, No)
BCBC5	• At any point during the past 6 months, have you sold any drugs, regardless of whether or not you were caught?-(Yes, No)
BCBC6	• At any point during the past 6 months, have you committed any other drug crimes, such as manufacturing, trafficking, or prescription fraud, regardless of whether or not you were caught? (Yes, No)
BCBC7	• *(If R not incarcerated the entire six months before baseline)* At any point during the past 6 months, have you driven while intoxicated or under the influence, regardless of whether or not you were caught? (Yes, No)
BCBC8	• At any point during the past 6 months, have you committed any property crimes, regardless of whether or not you were caught? Property crimes include burglary, larceny, auto theft, bad checks, fraud, forgery, or grand theft. (Yes, No)
BCBC9	• At any point during the past 6 months, have you committed any prostitution, public order, or vagrancy crimes regardless of whether or not you were caught? Do not include any procedural violations you may have committed. (Yes, No)
	6 month/18 month
_CBC1	• At any point since your last interview, have you committed any violent crimes, regardless of whether or not you were caught? By violent crimes, we mean things like physical or sexual assault, rape, robbery, manslaughter, attempted murder, murder, vehicular manslaughter, or vehicular homicide, whether you knew the person or not? (Yes, No)

_CBC2	• At any point since your last interview, have you committed any other crimes against people, regardless of whether or not you were caught? Crimes against people include hit and run or harassment. (Yes, No)
_CBC3	• At any point since your last interview, have you carried a gun, knife, or other weapon, regardless of whether or not you were caught? (Yes, No)
_CBC4	• At any point since your last interview, have you used or possessed either drugs or drug paraphernalia, regardless of whether or not you were caught? (Yes, No)
_CBC5	• At any point since your last interview, have you sold any drugs, regardless of whether or not you were caught?-(Yes, No)
_CBC6	• At any point since your last interview, have you committed any other drug crimes, such as manufacturing, trafficking, or prescription fraud, regardless of whether or not you were caught? (Yes, No)
_CBC7	• *(If R not incarcerated the entire time since previous interview)* At any point since your last interview, have you driven while intoxicated or under the influence, regardless of whether or not you were caught? (Yes, No)
_CBC8	• At any point since your last interview, have you committed any property crimes, regardless of whether or not you were caught? Property crimes include burglary, larceny, auto theft, bad checks, fraud, forgery, or grand theft. (Yes, No)
_CBC9	• At any point since your last interview, have you committed any prostitution, public order, or vagrancy crimes regardless of whether or not you were caught? Do not include any procedural violations you may have committed. (Yes, No)
Criminal behavior calendar	
	Baseline
BCBC10	• *(If R has committed any violent crimes at any point during the past 6 months)* In which of the past six months did you commit at least one violent crime?
BCBC10A1	o How many times did you commit a violent crime during {1st month}?
BCBC10B1	• *(If R incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
BCBC10C1	• How many times were you arrested for a violent crime in {1st month}?
	BCBC10A1 through BCBC10C1 repeated in BCBC10a2–BCB10c12 for each month R committed any violent crimes during the past 6 months.
BCBC11	• *(If R committed any other crimes against people during the past 6 months))* In which of the past six months did you commit at least one other crime against people?

BCBC11A1	o How many times did you commit at least one other crime against people during {1st month}?
BCBC11B1	• *(If R incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
BCBC11C1	• How many times were you arrested for some other crime against people in {1st month}?
	BCBC11A1 through BCBC11C1 repeated in BCBC11a2–BCB11c12 for each month R committed any violent crimes during the past 6 months.
BCBC12	• *(If R carried a gun, knife, or other weapon during the past 6 months)* In which of the past six months did you carry a weapon at least one day?
BCBC12A1	o How many days did you carry a weapon during {1st month}?
BCBC12B1	• *(If R incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
BCBC12C1	• How many times were you arrested for carrying a weapon in {1st month}?
	BCBC12A1 through BCBC12C1 repeated in BCBC12a2–BCB12c12 for each month R carried a gun, knife, or other weapon during the past 6 months.
BCBC13	• *(If R used or possessed either drugs or drug paraphernalia during the past 6 months)* In which of the past six months did you use or possess either drugs or drug paraphernalia?
BCBC13A1	o How many days did you use or possess either drugs or drug paraphernalia during {1st month}?
BCBC13B1	• *(If R incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
BCBC13C1	• How many times were you arrested for using or possessing either drugs or drug paraphernalia in {1st month}?
	BCBC13A1 through BCBC13C1 repeated in BCBC13a2–BCBC13c12 for each month R used or possessed either drugs or drug paraphernalia during the past 6 months.
BCBC14	• *(If R sold any drugs during the past 6 months)* In which of the past six months did you sell drugs?
BCBC14A1	o How many times did you sell drugs during {1st month}?:
BCBC14B1	• *(If R incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)

BCBC14C1	• How many times were you arrested for selling drugs in {1st month}?
	BCBC14A1 through BCBC14C1 repeated in BCBC14a2–BCB14c12 for each month R sold any drugs during the past 6 months.
BCBC15	• *(If R committed any other drug crimes, such as manufacturing, trafficking, or prescription fraud during the past 6 months)* In which of the past six months did you commit other drug crimes?
BCBC15A1	o How many times did you commit other drug crimes during {1st month}?
BCBC15B1	• *(If R incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
BCBC15C1	• How many times were you arrested for some other drug crime in {1st month}?
	BCBC15A1 through BCBC15C1 repeated in BCBC15a2–BCBC15c12 for each month R committed any other drug crimes during the past 6 months
BCBC16	• *(If R has driven while intoxicated or under the influence during the past 6 months)* In which of the past six months have you driven while intoxicated or under the influence?
BCBC16A1	o How many times did you drive while intoxicated or under the influence during {1st month}?
BCBC16B1	• *(If R incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
BCBC16C1	• How many times were you arrested for driving while intoxicated or under the influence in {1st month}?
	BCBC16A1 through BCBC16C1 repeated in BCBC16a2–BCB16c12 for each month R has driven while intoxicated or under the influence during the past 6 months.
BCBC17	• *(If R has committed any property crimes during the past 6 months)* In which of the past six months did you commit property crimes?
BCBC17A1	o How many times did you commit property crimes during {1st month}?
BCBC17B1	• *(If R incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
BCBC17C1	• How many times were you arrested for a property crime in {1st month}?
	BCBC17A1 through BCBC17C1 repeated in BCBC17a2–BCBC17c12 for each month R committed any property crimes during the past 6 months.

BCBC18	• *(If R has committed any prostitution, public order, or vagrancy crimes during the past 6 months)* In which of the past six months did you commit prostitution, public order, or vagrancy crimes?
BCBC18A1	o How many times did you commit prostitution, public order, or vagrancy crimes during {1st month}?
BCBC18B1	• *(If R incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
BCBC18C1	• How many times were you arrested for prostitution, public order, or vagrancy crimes in {1st month}?
	BCBC18A1 through BCBC18C1 repeated in BCBC18a2–BCBC18c12 for each month R committed prostitution, public order, or vagrancy crimes during the past 6 months.
	<u>6 month/18 month</u>
_CBC10	• *(If R has committed any violent crimes at any point since last interview)* In which of the months since your last interview did you commit at least one violent crime?
_CBC10A1	o How many times did you commit a violent crime during {1st month}?
_CBC10B1	• *(If R is incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
_CBC10C1	• How many times were you arrested for a violent crime in {1st month}?
	_CBC10A1 through _CBC10C1 repeated in _CBC10a2–_CBC10c12 for each month R committed any violent crimes since last interview.
_CBC11	• *(If R committed any other crimes against people since last interview)* In which of the months since your last interview did you commit at least one other crime against people?
_CBC11A1	o How many times did you commit at least one other crime against people during {1st month}?
_CBC11B1	• *(If R is incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
_CBC11C1	• How many times were you arrested for some other crime against people in {1st month}?
	_CBC11A1 through _CBC11C1 repeated in _CBC11a–_CBC11c12 for each month R committed any violent crimes since last interview.
_CBC12	• *(If R carried a gun, knife, or other weapon since last interview)* In which of the months since your last interview did you carry a weapon at least one day?

_CBC12A1	o How many days did you carry a weapon during {1st month}?
_CBC12B1	• *(If R is incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
_CBC12C1	• How many times were you arrested for carrying a weapon in {1st month}?
	_CBC12A1 through _CBC12C1 repeated in _CBC12a2–_CBC12c12 for each month R carried a gun, knife, or other weapon since last interview.
_CBC13	• *(If R used or possessed either drugs or drug paraphernalia since last interview)* In which of the months since your last interview did you use or possess either drugs or drug paraphernalia?
_CBC13A1	o How many days did you use or possess either drugs or drug paraphernalia during {1st month}?
_CBC13B1	• *(If R is incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
_CBC13C1	• How many times were you arrested for using or possessing either drugs or drug paraphernalia in {1st month}?
	_CBC13A1 through _CBC13C1 repeated in _CBC13a2–_CBC13c12 for each month R used or possessed either drugs or drug paraphernalia since last interview.
_CBC14	• *(If R sold any drugs since last interview)* In which of the months since your last interview did you sell drugs?
_CBC14A1	o How many times did you sell drugs during {1st month}?:
_CBC14B1	• *(If R is incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
_CBC14C1	• How many times were you arrested for selling drugs in {1st month}?
	_CBC14A1 through _CBC14C1 repeated in _CBC14a2–_CBC14c12 for each month R sold any drugs since last interview.
_CBC15	• *(If R committed any other drug crimes, such as manufacturing, trafficking, or prescription fraud since last interview)* In which of the months since your last interview did you commit other drug crimes?
_CBC15A1	o How many times did you commit other drug crimes during {1st month}?
_CBC15B1	• *(If R is incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)

_CBC15C1	• How many times were you arrested for some other drug crime in {1st month}?
	_CBC15A1 through _CBC15C1 repeated in _CBC15a2–_CBC15c12 for each month R committed any other drug crimes since last interview.
_CBC16	• *(If R has driven while intoxicated or under the influence since last interview)* In which of the months since your last interview have you driven while intoxicated or under the influence?
_CBC16A1	o How many times did you drive while intoxicated or under the influence during {1st month}?
_CBC16B1	• *(If R is incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
_CBC16C1	• How many times were you arrested for driving while intoxicated or under the influence in {1st month}?
	_CBC16A1 through _CBC16C1 repeated in _CBC16a2–_CBC16c12 for each month R has driven while intoxicated or under the influence since last interview.
_CBC17	• *(If R has committed any property crimes since last interview)* In which of the months since your last interview did you commit property crimes?
_CBC17A1	o How many times did you commit property crimes during {1st month}?
_CBC17B1	• *(If R is incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
_CBC17C1	• How many times were you arrested for a property crime in {1st month}?
	_CBC17A1 through _CBC17C1 repeated in _CBC17a2–_CBC17c12 for each month R committed any property crimes since last interview.
_CBC18	• *(If R has committed any prostitution, public order, or vagrancy crimes since last interview)* In which of the months since your last interview did you commit prostitution, public order, or vagrancy crimes?
_CBC18A1	o How many times did you commit prostitution, public order, or vagrancy crimes during {1st month}?
_CBC18B1	• *(If R is incarcerated more than zero but less than 28 days)* Did this happen while you were …? (Incarcerated, On the street, or Both)
_CBC18C1	• How many times were you arrested for prostitution, public order, or vagrancy crimes in {1st month}?

	_CBC18A1 through _CBC18C1 repeated in _CBC18a2–_CBC18c12 for each month R committed prostitution, public order, or vagrancy crimes since last interview.

Violations

Violations (conditions of supervision)	
	Baseline *This module only asked if R has been under supervision during past 6 months or was preloaded as a drug court participant.* Now I'd like to ask you some questions about the {rules or requirements of your supervision/conditions of your drug court program participation}. Which of the following are rules or requirements of your {supervision/drug court program participation}?
BVIO2	• Is appearing for regularly scheduled monitoring or status hearings a condition of your {supervision/drug court participation}? (Yes, No)
BVIO3	• Is meeting with a case manager, a condition of your {supervision/drug court participation}? A case manager is someone who talks with you about issues or needs you have, tries to get you into services or programs, helps you get benefits or assistance and monitors your progress. (Yes, No)
BVIO4	• Is meeting with a pretrial officer, probation officer or parole officer a condition of your {supervision/drug court participation}? (Yes, No)
BVIO5	• Is doing community service a condition of your {supervision/drug court participation}? (Yes, No)
BVIO6	• Is being electronically monitored, on house arrest, or some other way of daily reporting to a supervision officer a condition of your {supervision/drug court participation}? (Yes, No)
BVIO9	• Is taking regularly scheduled drug tests a condition of your {supervision/drug court participation}? (Yes, No)
BVIO10	• Is taking unscheduled or random drug tests a condition of your {supervision/drug court participation}? (Yes, No)
BVIO11	• Is attending drug or alcohol treatment a condition of your {supervision/drug court participation}? (Yes, No)
BVIO11A	o *(If yes)* Is following the rules of the drug or alcohol treatment program required of you? (Yes, No)
BVOP11B	o *(If yes)* Is successfully completing drug or alcohol treatment required of you? (Yes, No)

BVIO11C	o *(If yes)* What type of drug or alcohol treatment is required of you? (No particular type of treatment has been identified by the court or supervising agency, Detoxification, Residential treatment, Outpatient group counseling, Medicinal intervention such as methadone maintenance, naltrexone or buprenorphine, Individual counseling, Alcoholics Anonymous or Narcotics Anonymous, Alternative approaches such as acupuncture, meditation, or biofeedback, or Some other kind of treatment)
BVIO11D	o *(If yes)* Which of the following pay for portions of the costs of your drug or alcohol treatment? (Your private health insurance, You, Medicaid, The court, Probation, Other)
BVIO11E	• *(If R pays for portions of the costs of drug or alcohol treatment))*How much do you pay for drug or alcohol treatment?
BVIO12	• Is attending mental health treatment a condition of your {supervision/drug court participation}? (Yes, No)
BVIO13	• Is participating in other programs such as a batterer intervention, life skills, anger management, or parenting skills program a condition of your {supervision/drug court participation}? (Yes, No)
BVIO14	• Is showing up on time to any required court hearings, appointments, or treatment programs a condition of your {supervision/drug court participation}? (Yes, No)
BVIO16	• {*If R is required by court to pay child support*} Is paying child support a condition of your {supervision/drug court participation}? (Yes, No)
BVIO17	• Is paying court ordered payments, including fees for drug tests, other fees, fines, and restitution a condition of your {supervision/drug court participation}? (Yes, No)
BVIO18	• Is not carrying a weapon a condition of your {supervision/drug court participation}? (Yes, No)
BVIO19	• Is not frequenting places where drugs or alcohol are sold a condition of your {supervision/drug court participation}? (Yes, No)
BVIO20	• Is not associating with the victim of your crime a condition of your {supervision/drug court participation}? (Yes, No)
BVIO21	• Is not associating with gang members a condition of your {supervision/drug court participation}? (Yes, No)
BVIO22	• Is not associating with people with felony convictions a condition of your {supervision/drug court participation}? (Yes, No)
BVIO23	• Is having a good attitude a condition of your {supervision/drug court participation}? (Yes, No)

	6 month[48]/18 month *This module only asked if R has been under supervision at any point since previous interview or self-reported drug court participation during baseline interview.* Now I'd like to ask you some questions about the {rules or requirements of your supervision/conditions of your drug court program participation.} Which of the following were rules or requirements of your {supervision/drug court program participation} since your last interview?
_VIO2	• Was appearing for regularly scheduled monitoring or status hearings a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO3	• Was meeting with a case manager a condition of your {supervision/drug court participation} at any point since your last interview? A case manager is someone who talks with you about issues or needs you have, tries to get you into services or programs, helps you get benefits or assistance and monitors your progress. (Yes, No)
_VIO4	• Was meeting with a pretrial officer, probation officer or parole officer a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO5	• Was doing community service a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO6	• Was being electronically monitored, on house arrest, or some other way of daily reporting to a supervision officer a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO9	• Was taking regularly scheduled drug tests a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO10	• Was taking unscheduled or random drug tests a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO11	• Was attending drug or alcohol treatment a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO11A	o *(If yes)* Was following the rules of the drug or alcohol treatment program required of you at any point since your last interview? (Yes, No)
_VIO11B	o *(If yes)* Was successfully completing drug or alcohol treatment required of you at any point since your last interview? (Yes, No)
_VIO11C	o *(If yes)* Which of the following types of drug or alcohol treatment has been required of you at any point since your last interview? (No particular type of treatment has been identified by the court or supervising agency,

[48] Due to a bug in the 6 month instrument, the vio2-23 series was not asked of the first 424 respondents.

	Detoxification, Residential treatment, Outpatient group counseling, Medicinal intervention such as methadone maintenance, naltrexone or buprenorphine, Individual counseling, Alcoholics Anonymous or Narcotics Anonymous, Alternative approaches such as acupuncture, meditation, or biofeedback, or Some other kind of treatment)
_VIO11D	o *(If yes)* Which of the following have paid for portions of the costs of your drug or alcohol treatment at any point since your last interview? (Your private health insurance, You, Medicaid, The court, Probation, Other)
_VIO11E	• *(If R pays for portions of the costs of drug or alcohol treatment))*How much do you pay for drug or alcohol treatment?
_VIO12	• Was attending mental health treatment a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO13	• Was participating in other programs such as a batterer intervention, life skills, anger management, or parenting skills program a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO14	• Was showing up on time to any required court hearings, appointments, or treatment programs a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO16	• (*If R is required by court to pay child support*) Was paying child support a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO17	• Was paying court ordered payments, including fees for drug tests, other fees, fines, and restitution a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO18	• Was not carrying a weapon a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO19	• Was not frequenting places where drugs or alcohol are sold a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO20	• Was not associating with the victim of your crime a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO21	• Was not associating with gang members a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
_VIO22	• Was not associating with people with felony convictions a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)

_VIO23	• Was having a good attitude a condition of your {supervision/drug court participation} at any point since your last interview? (Yes, No)
Violations (violations of conditions)	
	Baseline *This module only asked if R has been under supervision during the past 6 months or was preloaded as a drug court participant.*
BVIO24	• *(If appearing for regularly scheduled monitoring or status hearings is a condition of supervision/drug court participation)* At any point during the past six months, did you skip a regularly scheduled monitoring or status hearing at least once that you were supposed to attend, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO24A	o *(If yes)* In which of the past six months did you skip a regularly scheduled monitoring or status hearing at least once that you were supposed to attend?
BVIO24A1	• How many times during {1st month} did you skip a regularly scheduled monitoring or status hearing?
BVIO24B1	• How often did your {supervision officer} know that you skipped a regularly scheduled monitoring or status hearing during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO24A1 and BVIO24B1 repeated in BV1O24a2–BV1O24b12 for each month R skipped a regularly scheduled monitoring or status hearing during the past six months.
BVIO25	• *(If meeting with a case manager a condition of supervision/drug court participation)* At any point during the past six months, did you fail to meet with your case manager (if "supervision officer" is not drug court case manager, Fill: regardless of whether your {supervision officer} knew about it)? (Yes, No)
BVIO25A	o *(If yes)* In which of the past six months did you fail to meet with a case manager?
BVIO25A1	• How many times during {1st month} did you fail to meet with a case manager?
BVIO25B1	• *(If main supervision officer is not drug court case manager)* How often did your {supervision officer} know that you failed to meet with a case manager during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO25A1 and BVIO25B1 repeated in BVIO25a2–BVIO25b12 for each month R failed to meet with a case manager during the past six months.
BVIO26	• *(If meeting with a pretrial officer, probation officer or parole officer was a condition of supervision/drug court participation)* At any point during the past six months, did

	you fail to meet with a pretrial officer, probation officer or parole officer? (Yes, No)
BVIO26A	o *(If yes)* In which of the past six months did you fail to meet with a pretrial officer, probation officer or parole officer?
BVIO26A1	• How many times during {1st month} did you fail to meet with a pretrial officer, probation officer or parole officer?
BVIO26B1	• *(If main supervision officer is a drug court case manager)* How often did your {supervision officer} know that you failed to meet with a pretrial officer, probation officer, or parole office during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO26A1 and BVIO26B1 repeated BVIO26a2–BVIO26b12 for each month R failed to meet with a pretrial officer, probation officer, or parole officer during the past six months.
BVIO27	• *(If community service, paying child support, or paying court ordered payments a condition of supervision/drug court participation)* At any point during the past six months, did you {skip required community service activities/fail to make child support/fail to make other court ordered payments} regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO27A	o *(If yes)* In which of the past six months did you {skip required community service activities/fail to make child support/fail to make other court ordered payments}?
BVIO27A1	• How many times during {1st month} did you {skip required community service activities/fail to make child support/fail to make other court ordered payments}?
BVIO27B1	• How often did your {supervision officer} know that you {skipped required community service/failed to make child support/failed to make other court ordered payments} during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO27A1 and BVIO27B1 repeated in BVIO27b2–BVIO27b12 for each month R failed to required conditions during the past six months.
BVIO28	• *(If being electronically monitored, on house arrest, or some other way of daily reporting to a supervision officer was a condition of supervision/drug court participation during past six months)* At any point during the past six months, did you violate your electronic monitoring, house arrest or other type of day reporting requirements, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO28A	o *(If yes)* In which of the past six months did you violate your electronic monitoring, house arrest or other type of day reporting requirements at least once?

BVIO28A1	• How many times during {1st month} did you violate your electronic monitoring, house arrest or other type of day reporting requirements?
BVIO28B1	• How often did your {supervision officer} know that you violated your electronic monitoring, house arrest or other type of day reporting requirements during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO28A1 and BVIO28B1 repeated in BVIO28a2–BVIO28b12 for each month R violated electronic monitoring, house arrest or other type of day reporting requirements during the past six months.
BVIO31	• *(If taking regularly scheduled drug tests a condition of supervision/drug court participation during past six months)* At any point during the past six months, did you skip regularly scheduled drug tests, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO31A	o *(If yes)* In which of the past six months did you skip regularly scheduled drug tests?
BVIO31A1	• How many times during {1st month} did you skip regularly scheduled drug tests?
BVIO31B1	• How often did your {supervision officer} know that you skipped regularly scheduled drug tests during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO31A1 and BVIO31B1 repeated in BVIO31a2–BVIO31b12 for each month R skipped regularly scheduled drug tests during the past six months.
BVIO32	• *(If taking unscheduled or random drug tests a condition of supervision/drug court participation during past six months)* At any point during the past six months, did you fail to take unscheduled or random drug tests, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO32A	o *(If yes)* In which of the past six months did you fail to take unscheduled or random drug tests?
BVIO32A1	• How many times during {1st month} did you skip random drug tests?
BVIO32B1	• How often did your {supervision officer} know that you skipped random drug tests during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO32A1 and BVIO32B1 repeated in BVIO32a2–BVIO32b12 for each month R skipped random drug tests during the past six months.

BVIO33	• *(If attending drug or alcohol treatment a condition of supervision/drug court participation during past six months)* At any point during the past six months, did you skip drug or alcohol treatment, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO33A	o *(If yes)* In which of the past six months did you skip drug or alcohol treatment?
BVIO33A1	• How many times during {1st month} did you skip drug or alcohol treatment?
BVIO33B1	• How often did your {supervision officer} know that you skipped drug or alcohol treatment during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO33A1 and BVIO33B1 repeated in BVIO33a2–BVIO33b12 for each month R skipped drug or alcohol treatment during the past six months.
BVIO34	• *(If following the rules of the drug or alcohol treatment program a condition of supervision/drug court participation during the past six months)* At any point during the past six months, did you fail to follow the rules of the drug or alcohol treatment program, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO34A	o *(If yes)* In which of the past six months did you fail to follow the rules of the drug or alcohol treatment program?
BVIO34A1	• How many times during {1st month} did you fail to follow the rules of the drug or alcohol treatment program?
BVIO34B1	• How often did your {supervision officer} know that you failed to follow the rules of the drug or alcohol treatment program during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO34A1 and BVIO34B1 repeated in BVIO34a2–BVIO34b12 for each month R failed to follow the rules of the drug or alcohol treatment program during the past six months.
BVIO35	• *(If successfully completing drug or alcohol treatment a condition of supervision/drug court participation during the past six months)* At any point during the past six months, did you get kicked out of or drop out of the drug or alcohol treatment program, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO35A	o *(If yes)* In which of the past six months did you get kicked out of or drop out of the drug or alcohol treatment program?
BVIO35A1	• How many times during {1st month} did you get kicked out of or drop out of the drug or alcohol treatment program?
BVIO35B1	• How often did your {supervision officer} know that you got kicked out of or drop out of the drug or alcohol treatment program during

	{1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO35A1 and BVIO35B1 repeated in BVIO35a2–BVIO35b12 for each month R got kicked out of or dropped out of the drug and alcohol treatment program during the past six months.
BVIO36	• *(If attending mental health treatment OR participating in other programs such as batterer intervention, life skills, anger management, or parenting skills program a condition of R's supervision/drug court participation during the past six months)* At any point during the past six months, did you fail to attend {mental health treatment and/or a batterer intervention, life skills, anger management, or parenting skills program}, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO36A	o *(If yes)* In which of the past six months did you fail to attend {mental health treatment and/or a batterer intervention, life skills, anger management, or parenting skills program}
BVIO36A1	• How many times during {1st month} did you fail to attend {mental health treatment and/or a batterer intervention, life skills, anger management, or parenting skills program}?
BVIO36B1	• How often did your {supervision officer} know that you failed to attend {mental health treatment and/or a batterer intervention, life skills, anger management, or parenting skills program}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO36A1 and BVIO36B1 repeated in BVIO36a2–BVIO36b12 for each month R failed to attend mental health and/or batterer intervention, life skills, anger management, or parenting skills programs during the past six months.
BVIO38	• *(If showing up on time to any required court hearings, appointments, or treatment programs a condition of R's supervision/drug court participation during the past six months)* At any point during the past six months, did you fail to show up on time to required court hearings, appointments, or treatment programs, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO38A	o *(If yes)* In which of the past six months did you fail to show up on time to required court hearings, appointments, or treatment programs?
BVIO38A1	• How many times during {1st month} did you fail to show up on time to required court hearings, appointments, or treatment programs?
BVIO38B1	• How often did your {SUPERVISION OFFICER} know that you failed to show up on time to required court hearings, appointments, or treatment programs during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO38A1 and BVIO38B1 repeated in BVIO38a2–BVIO38b12 for each month R failed to show up on time to required court hearings, appointments, or treatment programs

	during the past six months.
BVIO42	• *(If not carrying a weapon, not frequenting places where drugs or alcohol are sold, not associating with the victim of your crime, not associating with gang members, not associating with people with felony convictions, OR having a good attitude a condition of R's supervision/drug court participation during the past six months)* At any point during the past six months, did you violate other conditions such as {not carrying a weapon/not frequenting places where drugs or alcohol are sold/not associating with the victim of your crime/not associating with gang members/not associating with people with felony convictions/having a good attitude}, regardless of whether your {supervision officer} knew about it? (Yes, No)
BVIO42A	o *(If yes)* In which of the past six months did you violate these other conditions?
BVIO42A1	• How many times during {1st month} did you violate these other conditions?
BVIO42B1	• How often did your {supervision officer} know that you violated these other conditions during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	BVIO42A1 and BVIO42B1 repeated in BVIO42a2–BVIO42b12 for each month R violated these other conditions during the past six months.
	<u>6 month/18 month</u>
	This module asked if R has been under supervision at any point since previous interview or self-reported drug court participation during baseline interview.
_VIO24	• *(If appearing for regularly scheduled monitoring or status hearings a condition of supervision/drug court participation)* Since your last interview, did you skip a regularly scheduled monitoring or status hearing at least once that you were supposed to attend, regardless of whether your {supervision officer} knew about it at any point since your last interview? (Yes, No)
_VIO24A	o *(If yes)* In which of the months since your last interview did you skip a regularly scheduled monitoring or status hearing at least once that you were supposed to attend?
_VIO24A1	• How many times during {1st month} did you skip a regularly scheduled monitoring or status hearing?
_VIO24B1	• How often did your {supervision officer} know that you skipped a regularly scheduled monitoring or status hearing during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO24A1 and _VIO24B1 repeated in _VIO24a2–_VIO24b12 for each month R skipped a regularly scheduled monitoring or status hearing since last interview.

_VIO25	• *(If meeting with a case manager a condition of supervision/drug court participation)* Since your last interview, did you fail to meet with your case manager (if supervision officer is not drug court case manager, fill: regardless of whether your {supervision officer} knew about it)? (Yes, No)
_VIO25A	o *(If yes)* In which of the months since your last interview did you fail to meet with a case manager?
_VIO25A1	• How many times during {1st month} did you fail to meet with a case manager?
_VIO25B1	• *(If main supervision officer is not drug court case manager)* How often did your {supervision officer} know that you failed to meet with a case manager during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO25A1 and _VIO25B1 repeated in _VIO25a2–_VIO25b12 for each month R failed to meet with a case manager since last interview.
_VIO26	• *(If meeting with a pretrial officer, probation officer or parole officer a condition of supervision/drug court participation)* Since your last interview on {interview date}, did you fail to meet with a pretrial officer, probation officer or parole officer? (Yes, No)
_VIO26A	o *(If yes)* In which of the months since your last interview did you fail to meet with a pretrial officer, probation officer or parole officer?
_VIO26A1	• How many times during {1st month} did you fail to meet with a pretrial officer, probation officer or parole officer?
_VIO26B1	• *(If main supervisor is a drug court case manager)* How often did your {supervision officer} know that you failed to meet with a pretrial officer, probation officer, or parole office during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO26A1 and _VIO26B1 repeated in _VIO26a2–_VIO26b12 for each month R failed to meet with a pretrial officer, probation officer, or parole officer since last interview]
_VIO27	• (*If community service, paying child support, or paying court ordered payments a condition of supervision/drug court participation*) At any point since your last interview, did you {skip required community service activities/fail to make child support/fail to make other court ordered payments} regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO27A	o *(If yes)* In which of the months since your last interview did you {skip required community service activities/fail to make child support/fail to make other court ordered payments}?

_VIO27A1	• How many times during {1st month} did you {skip required community service activities/fail to make child support/fail to make other court ordered payments}.
_VIO27B1	• How often did your {supervision officer} know that you {skipped required community service/failed to make child support/failed to make other court ordered payments} during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO27A1 and _VIO27B1 repeated in _VIO27a2–_VIO27b12 for each month R failed to required conditions since last interview.
_VIO28	• *(If being electronically monitored, on house arrest, or some other way of daily reporting to a supervision officer a condition of supervision/drug court participation)* Since your last interview on {interview date}, did you violate your electronic monitoring, house arrest or other type of day reporting requirements, regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO28A	o *(If yes)* In which of the months since your last interview did you violate your electronic monitoring, house arrest or other type of day reporting requirements at least once?
_VIO28A1	• How many times during {1st month} did you violate your electronic monitoring, house arrest or other type of day reporting requirements?
_VIO28B1	• How often did your {supervision officer} know that you violated your electronic monitoring, house arrest or other type of day reporting requirements during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO28A1 and _VIO28B1 repeated in _VIO28a2–_VIO28b12 for each month R violated electronic monitoring, house arrest or other type of day reporting requirements since last interview.
_VIO31	• *(If taking regularly scheduled drug tests a condition of supervision/drug court participation)* Since your last interview, did you skip regularly scheduled drug tests, regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO31A	o *(If yes)* In which of the months since your last interview did you skip regularly scheduled drug tests?
_VIO31A1	• How many times during {1st month} did you skip regularly scheduled drug tests?
_VIO31B1	• How often did your {supervision officer} know that you skipped regularly scheduled drug tests during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO31A1 and _VIO31B1 repeated in _VIO31a2–_VIO31b12 for each month R skipped

	regularly scheduled drug tests since last interview.
_VIO32	• *(If taking unscheduled or random drug tests as a condition of supervision/drug court participation)* Since your last interview on {interview date}, did you fail to take unscheduled or random drug tests, regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO32A	o *(If yes)* In which of the months since your last interview did you fail to take unscheduled or random drug tests?
_VIO32A1	• How many times during {1st month} did you skip random drug tests?
_VIO32B1	• How often did your {supervision officer} know that you skipped random drug tests during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO32A1 and _VIO32B1 repeated in _VIO32a2–VIO32b12 for each month R skipped random drug tests since last interview.
_VIO33	• *(If attending drug or alcohol treatment a condition of supervision/drug court participation)* Since your last interview, did you skip drug or alcohol treatment, regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO33A	o *(If yes)* In which of the months since your last interview did you skip drug or alcohol treatment?
_VIO33A1	• How many times during {1st month} did you skip drug or alcohol treatment?
_VIO33B1	• How often did your {supervision officer} know that you skipped drug or alcohol treatment during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO33A1 and _VIO33B1 repeated in _VIO33a2–_VIO33b12 for each month R skipped drug or alcohol treatment since last interview.
_VIO34	• *(If following the rules of the drug or alcohol treatment program a condition of supervision/drug court participation during the past six months)* Since your last interview, did you fail to follow the rules of the drug or alcohol treatment program, regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO34A	o *(If yes)* In which of the months since your last interview did you fail to follow the rules of the drug or alcohol treatment program?
_VIO34A1	• How many times during {1st month} did you fail to follow the rules of the drug or alcohol treatment program?
_VIO34B1	• How often did your {supervision officer} know that you failed to follow the rules of the drug or alcohol treatment program during {1st

	month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO34A1 and _VIO34B1 repeated in _VIO34a2–_VIO34b12 for each month R failed to follow the rules of the drug or alcohol treatment program since last interview.
_VIO35	• *(If successfully completing drug or alcohol treatment a condition of supervision/drug court participation)* Since your last interview, did you get kicked out of or drop out of the drug or alcohol treatment program, regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO35A	o *(If yes)* In which of the months since your last interview did you get kicked out of or drop out of the drug or alcohol treatment program?
_VIO35A1	• How many times during {1st month} did you get kicked out of or drop out of the drug or alcohol treatment program?
_VIO35B1	• How often did your {supervision officer} know that you got kicked out of or drop out of the drug or alcohol treatment program during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO35A1 and _VIO35B1 repeated in _VIO35a2–_VIO35b12 for each month R got kicked out of or dropped out of the drug and alcohol treatment program since last interview.
_VIO36	• *(If attending mental health treatment OR participating in other programs such as batterer intervention, life skills, anger management, or parenting skills program a condition of R's supervision/drug court participation)* Since your last interview, did you fail to attend {mental health treatment and/or a batterer intervention, life skills, anger management, or parenting skills program}, regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO36A	o *(If yes)* In which of the months since your last interview did you fail to attend {mental health treatment and/or a batterer intervention, life skills, anger management, or parenting skills program}
_VIO36A1	• How many times during {1st month} did you fail to attend {mental health treatment and/or a batterer intervention, life skills, anger management, or parenting skills program}?
_VIO36B1	• How often did your {supervision officer} know that you failed to attend {mental health treatment and/or a batterer intervention, life skills, anger management, or parenting skills program}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO36A1 and _VIO36B1 repeated in _VIO36a2–_VIO36b12 for each month R failed to attend mental health and/or batterer intervention, life skills, anger management, or parenting skills programs since last interview.

_VIO38	• *(If showing up on time to any required court hearings, appointments, or treatment programs is a condition of R's supervision/drug court participation)* Since your last interview, did you fail to show up on time to required court hearings, appointments, or treatment programs, regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO38A	o *(If yes)* In which of the months since your last interview did you fail to show up on time to required court hearings, appointments, or treatment programs?
_VIO38A1	• How many times during {1st month} did you fail to show up on time to required court hearings, appointments, or treatment programs?
_VIO38B1	• How often did your {SUPERVISION OFFICER} know that you failed to show up on time to required court hearings, appointments, or treatment programs during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO38A1 and _VIO38B1 repeated in _VIO38a2–_VIO38b12 for each month R failed to show up on time to required court hearings, appointments, or treatment programs since last interview.
_VIO42	• *(If not carrying a weapon, not frequenting places where drugs or alcohol are sold, not associating with the victim of your crime, not associating with gang members, not associating with people with felony convictions, OR having a good attitude a condition of R's supervision/drug court participation)* Since your last interview, did you violate other conditions such {not carrying a weapon/not frequenting places where drugs or alcohol are sold/not associating with the victim of your crime/not associating with gang members/not associating with people with felony convictions/having a good attitude}, regardless of whether your {supervision officer} knew about it? (Yes, No)
_VIO42A	o *(If yes)* In which of the months since your last interview did you violate these other conditions?
_VIO42A1	• How many times during {1st month} did you violate these other conditions?
_VIO42B1	• How often did your {supervision officer} know that you violated these other conditions during {1st month}? Would you say…(Every time, At least once but not every time, Not at all)
	_VIO42A1 and _VIO42B1 repeated in _VIO42a2–_VIO42b12 for each month R violated these other conditions since last interview.

Sanctions Calendar

Sanctions (sanctions received)	
	Baseline *This domain only asked of R's who have been under supervision at some point during the past six months or who were preloaded as drug court participants.* Now I am going to ask you what types of sanctions or punishments you may have received during the **past 30 days**. During the past 30 days have you received the following sanctions or punishments?
BSAN12	• During the past 30 days, have you been reprimanded or warned? (Yes, No)
BSAN14	• During the past 30 days, have you been assigned to do a writing assignment? (Yes, No)
BSAN15	• During the past 30 days, have you been assigned community service? (Yes, No)
BSAN16	• During the past 30 days, have you been assigned an increase in the number of required drug tests? (Yes, No)
BSAN17	• During the past 30 days, have you been assigned an increased number of required AA/NA meetings? (Yes, No)
BSAN18	• During the past 30 days, have you been assigned an increase in the amount of drug or alcohol treatment you are required to have or assigned to a more intense treatment program? (Yes, No)
BSAN19	• *(If R preloaded as drug court participant)* During the past 30 days, have you been required to sit in the jury box to observe drug court proceedings? (Yes, No)
BSAN21	• *(If R preloaded as drug court participant)* During the past 30 days, have you been kicked out of drug court? (Yes, No)
BSAN22	• During the past 30 days, have you been on electronic monitoring, day reporting, house arrest, or community control? (Yes, No)
BSAN25	• During the past 30 days, have you received one to three consecutive nights in jail? (Yes, No)
BSAN26	• During the past 30 days, have you received four or more consecutive nights in jail? (Yes, No)
BSAN27	• During the past 30 days, have you received a formal violation? A formal violation is where a judge alters someone's probation, parole, or pretrial supervision because the person did not follow the terms or conditions of supervision. (Yes, No)

BSAN28	• During the past 30 days, have you received some other sanction or punishment? (Yes, No) <u>6 month/18 month</u> *This domain only asked of R's who have been under supervision at some point since previous interview or self-reported drug court participation during baseline interview.* Now I am going to ask you what types of sanctions or punishments you may have received during your last interview. Since your last interview, have you received the following sanctions or punishments?
_SAN12	• Since your last interview, have you been reprimanded or warned? (Yes, No)
_SAN14	• Since your last interview, have you been assigned to do a writing assignment? (Yes, No)
_SAN15	• Since your last interview, have you been assigned community service? (Yes, No)
_SAN16	• Since your last interview, have you been assigned an increase in the number of required drug tests? (Yes, No)
_SAN17	• Since your last interview, have you been assigned an increased number of required AA/NA meetings? (Yes, No)
_SAN18	• Since your last interview, have you been assigned an increase in the amount of drug or alcohol treatment you are required to have or assigned to a more intense treatment program? (Yes, No)
_SAN19	• *(If R self-reported drug court participation at baseline or current interview)* Since your last interview, have you been required to sit in the jury box to observe drug court proceedings? (Yes, No)
_SAN21	• *(If R self-reported drug court participation at baseline or current interview)* Since your last interview, have you been kicked out of drug court? (Yes, No)
_SAN22	• Since your last interview, have you been on electronic monitoring, day reporting, house arrest, or community control? (Yes, No)
_SAN25	• Since your last interview, have you received one to three consecutive nights in jail? (Yes, No)
_SAN26	• Since your last interview, have you received four or more consecutive nights in jail? (Yes, No)
_SAN27	• Since your last interview, have you received a formal violation? A formal violation is where a judge alters someone's probation, parole, or pretrial supervision because the person did not follow the terms or conditions of supervision. (Yes, No)

_SAN28	• Since your last interview, have you received some other sanction or punishment? (Yes, No)
Sanctions (details about specific sanctions received)	
	Baseline *This section only asked of R's who have been under supervision at some point during the past six months or who were preloaded as drug court participants.*
BSAN29	• *(If R has been reprimanded or warned during the past 30 days)* How many times have you been reprimanded or warned during the past 30 days?
BSAN29A1	• *(If R has been reprimanded or warned during the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN29A2	• *(If R has been reprimanded or warned during the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN29A3	• *(If R has been reprimanded or warned during the past 30 days)* Did someone else give you this sanction (Yes, No)
BSAN29B	• *(If R has been reprimanded or warned during the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in these sanctions? Would you say…? (Definitely, Probably, Probably not, Definitely not)
BSAN29C	• *(If R has been reprimanded or warned during the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN29D	• *(If R has been reprimanded or warned during the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN31	• *(If R has been assigned to do a writing assignment during the past 30 days)* How many times have you been assigned to do a writing assignment during the past 30 days?
BSAN31A1	• *(If R has been assigned to do a writing assignment during the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN31A2	• *(If R has been assigned to do a writing assignment during the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN31A3	• *(If R has been assigned to do a writing assignment during the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN31B	• *(If R has been assigned to do a writing assignment during the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN31C	• *(If R has been assigned to do a writing assignment during the past 30 days)* Did you

	think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN31D	• *(If R has been assigned to do a writing assignment during the past 30 days)* How serious was being assigned a writing assignment? (Very serious, Somewhat serious, Not at all serious)
BSAN32	• *(If R has been assigned community service during the past 30 days)* How many times have you been assigned community service during the past 30 days?
BSAN32A1	• *(If R has been assigned community service during the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN32A2	• *(If R has been assigned community service during the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN32A3	• *(If R has been assigned community service during the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN32B	• *(If R has been assigned community service during the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN32C	• *(If R has been assigned community service during the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN32D	• *(If R has been assigned community service during the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN33	• *(If R has been assigned an increase in the number of required drug tests in the past 30 days)* How many times has your number of required drug tests been increased during the past 30 days?
BSAN33A1	• *(If R has been assigned an increase in the number of required drug tests in the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN33A2	• *(If R has been assigned an increase in the number of required drug tests in the past 30 days)*Did your {supervision officer} give you this sanction? (Yes, No)
BSAN33A3	• *(If R has been assigned an increase in the number of required drug tests in the past 30 days)*Did someone else give you this sanction? (Yes, No)
BSAN33B	• *(If R has been assigned an increase in the number of required drug tests in the past 30 days)*Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN33C	• *(If R has been assigned an increase in the number of required drug tests in the past*

	30 days) Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN33D	• *(If R has been assigned an increase in the number of required drug tests in the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN34	• *(If R has been assigned an increased number of required AA/NA meetings in the past 30 days)* How many times have you been assigned an increase in the number of required AA/NA meetings during the past 30 days?
BSAN34A1	• *(If R has been assigned an increased number of required AA/NA meetings in the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN34A2	• *(If R has been assigned an increased number of required AA/NA meetings in the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN34A3	• *(If R has been assigned an increased number of required AA/NA meetings in the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN34B	• *(If R has been assigned an increased number of required AA/NA meetings in the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN34C	• *(If R has been assigned an increased number of required AA/NA meetings in the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN34D	• *(If R has been assigned an increased number of required AA/NA meetings in the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN35	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program in the past 30 days)* How many times have you been assigned an increase in the amount of drug or alcohol treatment you are required to have or assigned to a more intense treatment program during the past 30 days?
BSAN35A1	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program in the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN35A2	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program in the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN35A3	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program in the past 30*

	days) Did someone else give you this sanction? (Yes, No)
BSAN35B	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program in the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN35C	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program in the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN35D	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program in the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN36	• *(If R has been required to sit in the jury box to observe drug court proceeding in the past 30 days)* How many times have you been required to sit in the jury box to observe drug court proceedings during the past 30 days?
BSAN36A1	• *(If R has been required to sit in the jury box to observe drug court proceeding in the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN36A2	• *(If R has been required to sit in the jury box to observe drug court proceeding in the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN36A3	• *(If R has been required to sit in the jury box to observe drug court proceeding in the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN36B	• *(If R has been required to sit in the jury box to observe drug court proceeding in the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN36C	• *(If R has been required to sit in the jury box to observe drug court proceeding in the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN36D	• *(If R has been required to sit in the jury box to observe drug court proceeding in the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN38	• *(If R has been kicked out of drug court during the past 30 days)* How many times have you been kicked out of drug court during the past 30 days?
BSAN38A1	• *(If R has been kicked out of drug court during the past 30 days)* Did the judge give you this sanction? (Yes, No)

BSAN38A2	• *(If R has been kicked out of drug court during the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN38A3	• *(If R has been kicked out of drug court during the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN38B	• *(If R has been kicked out of drug court during the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN38C	• *(If R has been kicked out of drug court during the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN38D	• *(If R has been kicked out of drug court during the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN39	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control during the past 30 days)* How many days have you been on electronic monitoring, day reporting, house arrest, or community control during the past 30 days?
BSAN39A1	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control during the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN39A2	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control during the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN39A3	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control during the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN39B	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control during the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN39C	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control during the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN39D	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control during the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN42	• *(If R has received one to three consecutive nights in jail during the past 30 days)* How many times have you received one to three consecutive nights in jail during the past 30 days?

BSAN42A1	• *(If R has received one to three consecutive nights in jail during the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN42A2	• *(If R has received one to three consecutive nights in jail during the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN42A3	• *(If R has received one to three consecutive nights in jail during the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN42B	• *(If R has received one to three consecutive nights in jail during the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN42C	• *(If R has received one to three consecutive nights in jail during the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN42D	• *(If R has received one to three consecutive nights in jail during the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN43	• *(If R has received four or more consecutive nights in jail during the past 30 days)* How many times have you received four or more consecutive nights in jail during the past 30 days?
BSAN43A1	• *(If R has received four or more consecutive nights in jail during the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN43A2	• *(If R has received four or more consecutive nights in jail during the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN43A3	• *(If R has received four or more consecutive nights in jail during the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN43B	• *(If R has received four or more consecutive nights in jail during the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN43C	• *(If R has received four or more consecutive nights in jail during the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN43D	• *(If R has received four or more consecutive nights in jail during the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN44	• *(If R has received a formal violation during the past 30 days)* How many times have

	you received a formal violation during the past 30 days?
BSAN44A1	• *(If R has received a formal violation during the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN44A2	• *(If R has received a formal violation during the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN44A3	• *(If R has received a formal violation during the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN44B	• *(If R has received a formal violation during the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN44C	• *(If R has received a formal violation during the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN44D	• *(If R has received a formal violation during the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
BSAN45SP	• *(If R has received some other sanction or punishment during the past 30 days)* What was the other sanction you received?
BSAN45	• *(If R has received some other sanction or punishment during the past 30 days)* How many times have you received this sanction or punishment during the past 30 days?
BSAN45A1	• *(If R has received some other sanction or punishment during the past 30 days)* Did the judge give you this sanction? (Yes, No)
BSAN45A2	• *(If R has received some other sanction or punishment during the past 30 days)* Did your {supervision officer} give you this sanction? (Yes, No)
BSAN45A3	• *(If R has received some other sanction or punishment during the past 30 days)* Did someone else give you this sanction? (Yes, No)
BSAN45B	• *(If R has received some other sanction or punishment during the past 30 days)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN45C	• *(If R has received some other sanction or punishment during the past 30 days)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
BSAN45D	• *(If R has received some other sanction or punishment during the past 30 days)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)

	<u>6 month/18 month</u> *This section only asked of R's who have been under supervision at some point since previous interview or self-reported drug court participation during baseline interview.*
_SAN29	• *(If R has been reprimanded or warned since R's last interview)* How many times have you been reprimanded or warned since your last interview?
_SAN29A1	• *(If R has been reprimanded or warned since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN29A2	• *(If R has been reprimanded or warned since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN29A3	• *(If R has been reprimanded or warned since R's last interview)* Did someone else give you this sanction (Yes, No)
_SAN29B	• *(If R has been reprimanded or warned since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in these sanctions? Would you say…? (Definitely, Probably, Probably not, Definitely not)
_SAN29C	• *(If R has been reprimanded or warned since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN29D	• *(If R has been reprimanded or warned since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN31	• *(If R has been assigned to do a writing assignment since R's last interview)* How many times have you been assigned to do a writing assignment since your last interview?
_SAN31A1	• *(If R has been assigned to do a writing assignment since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN31A2	• *(If R has been assigned to do a writing assignment since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN31A3	• *(If R has been assigned to do a writing assignment since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN31B	• *(If R has been assigned to do a writing assignment since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN31C	• *(If R has been assigned to do a writing assignment since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)

_SAN31D	• *(If R has been assigned to do a writing assignment since R's last interview)* How serious was being assigned a writing assignment? (Very serious, Somewhat serious, Not at all serious)
_SAN32	• *(If R has been assigned community service since R's last interview)* How many times have you been assigned community service since your last interview?
_SAN32A1	• *(If R has been assigned community service since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN32A2	• *(If R has been assigned community service since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN32A3	• *(If R has been assigned community service since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN32B	• *(If R has been assigned community service since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN32C	• *(If R has been assigned community service since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN32D	• *(If R has been assigned community service since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN33	• *(If R has been assigned an increase in the number of required drug tests since R's last interview)* How many times has your number of required drug tests been increased since your last interview?
_SAN33A1	• *(If R has been assigned an increase in the number of required drug tests since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN33A2	• *(If R has been assigned an increase in the number of required drug tests since R's last interview)*Did your {supervision officer} give you this sanction? (Yes, No)
_SAN33A3	• *(If R has been assigned an increase in the number of required drug tests since R's last interview)*Did someone else give you this sanction? (Yes, No)
_SAN33B	• *(If R has been assigned an increase in the number of required drug tests since R's last interview)*Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN33C	• *(If R has been assigned an increase in the number of required drug tests since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)

_SAN33D	• *(If R has been assigned an increase in the number of required drug tests since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN34	• *(If R has been assigned an increased number of required AA/NA meetings since R's last interview)* How many times have you been assigned an increase in the number of required AA/NA meetings since your last interview?
_SAN34A1	• *(If R has been assigned an increased number of required AA/NA meetings since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN34A2	• *(If R has been assigned an increased number of required AA/NA meetings since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN34A3	• *(If R has been assigned an increased number of required AA/NA meetings since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN34B	• *(If R has been assigned an increased number of required AA/NA meetings since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN34C	• *(If R has been assigned an increased number of required AA/NA meetings since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN34D	• *(If R has been assigned an increased number of required AA/NA meetings since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN35	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program since R's last interview)* How many times have you been assigned an increase in the amount of drug or alcohol treatment you are required to have or assigned to a more intense treatment program since your last interview?
_SAN35A1	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN35A2	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN35A3	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program since R's last interview)* Did someone else give you this sanction? (Yes, No)

_SAN35B	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN35C	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN35D	• *(If R has been assigned an increase in the amount of drug and alcohol treatment required to have or assigned to a more intense treatment program since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN36	• *(If R has been required to sit in the jury box to observe drug court proceeding since R's last interview)* How many times have you been required to sit in the jury box to observe drug court proceedings since your last interview?
_SAN36A1	• *(If R has been required to sit in the jury box to observe drug court proceeding since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN36A2	• *(If R has been required to sit in the jury box to observe drug court proceeding since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN36A3	• *(If R has been required to sit in the jury box to observe drug court proceeding since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN36B	• *(If R has been required to sit in the jury box to observe drug court proceeding since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN36C	• *(If R has been required to sit in the jury box to observe drug court proceeding since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN36D	• *(If R has been required to sit in the jury box to observe drug court proceeding since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN38	• *(If R has been kicked out of drug court since R's last interview)* How many times have you been kicked out of drug court since your last interview?
_SAN38A1	• *(If R has been kicked out of drug court since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN38A2	• *(If R has been kicked out of drug court since R's last interview)* Did your

	{supervision officer} give you this sanction? (Yes, No)
_SAN38A3	• *(If R has been kicked out of drug court since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN38B	• *(If R has been kicked out of drug court since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN38C	• *(If R has been kicked out of drug court since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN38D	• *(If R has been kicked out of drug court since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN39	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control since R's last interview)* How many days have you been on electronic monitoring, day reporting, house arrest, or community control since your last interview?
_SAN39A1	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN39A2	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN39A3	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN39B	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN39C	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN39D	• *(If R has been on electronic monitoring, day reporting, house arrest, or community control since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN42	• *(If R has received one to three consecutive nights in jail since R's last interview)* How many times have you received one to three consecutive nights in jail since your last interview?
_SAN42A1	• *(If R has received one to three consecutive nights in jail since R's last interview)* Did

	the judge give you this sanction? (Yes, No)
_SAN42A2	• *(If R has received one to three consecutive nights in jail since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN42A3	• *(If R has received one to three consecutive nights in jail since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN42B	• *(If R has received one to three consecutive nights in jail since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN42C	• *(If R has received one to three consecutive nights in jail since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN42D	• *(If R has received one to three consecutive nights in jail since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN43	• *(If R has received four or more consecutive nights in jail since R's last interview)* How many times have you received four or more consecutive nights in jail since your last interview?
_SAN43A1	• *(If R has received four or more consecutive nights in jail since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN43A2	• *(If R has received four or more consecutive nights in jail since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN43A3	• *(If R has received four or more consecutive nights in jail since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN43B	• *(If R has received four or more consecutive nights in jail since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN43C	• *(If R has received four or more consecutive nights in jail since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN43D	• *(If R has received four or more consecutive nights in jail since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN44	• *(If R has received a formal violation since R's last interview)* How many times have you received a formal violation since your last interview?

_SAN44A1	• *(If R has received a formal violation since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN44A2	• *(If R has received a formal violation since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN44A3	• *(If R has received a formal violation since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN44B	• *(If R has received a formal violation since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN44C	• *(If R has received a formal violation since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN44D	• *(If R has received a formal violation since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)
_SAN45SP	• *(If R has received some other sanction or punishment since R's last interview)* What was the other sanction you received?
_SAN45	• *(If R has received some other sanction or punishment since R's last interview)* How many times have you received this sanction or punishment since your last interview?
_SAN45A1	• *(If R has received some other sanction or punishment since R's last interview)* Did the judge give you this sanction? (Yes, No)
_SAN45A2	• *(If R has received some other sanction or punishment since R's last interview)* Did your {supervision officer} give you this sanction? (Yes, No)
_SAN45A3	• *(If R has received some other sanction or punishment since R's last interview)* Did someone else give you this sanction? (Yes, No)
_SAN45B	• *(If R has received some other sanction or punishment since R's last interview)* Did you expect your {supervision officer}, to find out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN45C	• *(If R has received some other sanction or punishment since R's last interview)* Did you think you would receive a sanction if your {supervision officer}, found out about the violations that resulted in this sanction? (Definitely, Probably, Probably not, Definitely not)
_SAN45D	• *(If R has received some other sanction or punishment since R's last interview)* How serious was getting reprimanded or warned? (Very serious, Somewhat serious, Not at all serious)

Rewards

Rewards	
	Baseline *This section only asked of R's who have been under supervision at some point during the past six months or who were preloaded as drug court participants.*
BREWRD1	• The following questions are about rewards or incentives you may have received in the past 30 days. In the past 30 days, have you received praise by your {supervision officer}? (Yes, No)
BREWRD1A	o *(If yes)* In the past 30 days, how many times did you receive praise by your {supervision officer}?
BREWRD1B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BFAIR30A	o *(If yes)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
BREWRD1C	o *(If yes)* Did you expect to get praise by your {supervision officer}? (Definitely, Probably, Probably not, Definitely not)
BREWRD1D	o *(If yes)* How pleased were you to get praise by your {supervision officer}? (Very pleased, Somewhat pleased, It did not matter to me)
BREWD2	• In the past 30 days, have you received praise from a judge? (Yes, No)
BREWRD2A	o *(If yes)* In the past 30 days, how many times did you receive praise by a judge?
BREWRD2B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BFAIR31A	o *(If yes)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
BREWRD2C	o *(If yes)* Did you expect to get praise by a judge? (Definitely, Probably, Probably not, Definitely not)
BREWRD2D	o *(If yes)* How pleased were you to get praise by a judge? (Very pleased, Somewhat pleased, It did not matter to me)
BREWRD3	• In the past 30 days, were you rewarded with a decreased frequency of required drug tests? (Yes, No)

BREWRD3A	o *(If yes)* In the past 30 days, how many times did you receive a decreased frequency of required drug tests?
BREWRD3B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BREWRD3C	o *(If yes)* Did you expect to get decreased frequency of required drug tests? (Definitely, Probably, Probably not, Definitely not)
BREWRD3D	o *(If yes)* How pleased were you to get decreased frequency of required drug tests? (Very pleased, Somewhat pleased, It did not matter to me)
BREWRD4	• In the past 30 days, did you receive a decreased frequency of drug or alcohol treatment? (Yes, No)
BREWRD4A	o *(If yes)* In the past 30 days, how many times did you receive decreased frequency of drug or alcohol treatment?
BREWRD4B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BREWRD4C	o *(If yes)* Did you expect to get decreased frequency of drug or alcohol treatment? (Definitely, Probably, Probably not, Definitely not)
BREWRD4D	o *(If yes)* How pleased were you to get decreased frequency of drug or alcohol treatment? (Very pleased, Somewhat pleased, It did not matter to me)
BREWRD5	• In the past 30 days, did you receive a decreased frequency of required AA/NA meetings? (Yes, No)
BREWRD5A	o *(If yes)* In the past 30 days, how many times did you receive a decreased frequency of required AA/NA meetings?
BREWRD5B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BREWRD5C	o *(If yes)* Did you expect to get decreased frequency of required AA/NA meetings? (Definitely, Probably, Probably not, Definitely not)
BREWRD5D	o *(If yes)* How pleased were you to get decreased frequency of required AA/NA meetings? (Very pleased, Somewhat pleased, It did not matter to me)
BREWRD6	• In the past 30 days, did you receive a decreased frequency of contacts with your {supervision officer}? (Yes, No)
BREWRD6A	o *(If yes)* In the past 30 days, how many times did you receive decreased

	frequency of contacts with your {supervision officer}?
BREWRD6B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BREWRD6C	o *(If yes)* Did you expect to get decreased frequency of contacts with your {supervision officer}? (Definitely, Probably, Probably not, Definitely not)
BREWRD6D	o *(If yes)* How pleased were you to get decreased frequency of contacts with your {supervision officer}? (Very pleased, Somewhat pleased, It did not matter to me)
BREWRD7	• In the past 30 days, did you receive a promotion to a higher phase of drug or alcohol treatment? (Yes, No)
BREWRD7A	o *(If yes)* In the past 30 days, how many times did you receive a promotion to a higher phase of drug or alcohol treatment?
BREWRD7B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BFAIR29A	o *(If yes)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
BREWRD7C	o *(If yes)* Did you expect to get a promotion to a higher phase of drug or alcohol treatment? (Definitely, Probably, Probably not, Definitely not)
BREWRD7D	o *(If yes)* How pleased were you to get a promotion to a higher phase of drug or alcohol treatment? (Very pleased, Somewhat pleased, It did not matter to me)
BREWRD8	• In the past 30 days, did you receive increased travel privileges? (Yes, No)
BREWRD8A	o *(If yes)* In the past 30 days, how many times did you receive increased travel privileges?
BREWRD8B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BREWRD8C	o *(If yes)* Did you expect to get increased travel privileges? (Definitely, Probably, Probably not, Definitely not)
BREWRD8D	o *(If yes)* How pleased were you to get increased travel privileges? (Very pleased, Somewhat pleased, It did not matter to me)
BREWRD9	• In the past 30 days, did you receive tokens, vouchers, or small gifts? (Yes, No)

BREWRD9A	o *(If yes)* In the past 30 days, how many times did you receive tokens, vouchers, or small gifts?
BREWRD9B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BFAIR28A	o *(If yes)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
BREWRD9C	o *(If yes)* Did you expect to get tokens, vouchers, or small gifts? (Definitely, Probably, Probably not, Definitely not)
BREWRD9D	o *(If yes)* How pleased were you to get tokens, vouchers or small gifts? (Very pleased, Somewhat pleased, It did not matter to me)
BREWRD10	• In the past 30 days, did you receive any other reward or incentive? (Yes, No)
BREWRD10A	o *(If yes)* What was the other reward you received?
BREWRD10B	o *(If yes)* In the past 30 days, how many times did you receive this other reward or incentive?
BREWRD10C	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
BREWRD10D	o *(If yes)* Did you expect to get this other reward or incentive? (Definitely, Probably, Probably not, Definitely not)
BREWRD10E	o *(If yes)* How pleased were you to get this other reward or incentive? (Very pleased, Somewhat pleased, It did not matter to me)
	<u>6 month/18 month</u> *This section asked of R's who have been under supervision at some point since previous interview or self-reported drug court participation in baseline interview.*
_REWRD1	• The following questions are about rewards or incentives you may have received since your last interview. Since your last interview, have you received praise by your {supervision officer}? (Yes, No)
_REWRD1A	o *(If yes)* Since your last interview, how many times did you receive praise by your {supervision officer}?
_REWRD1B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
_FAIR30A	o *(If yes)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)

_REWRD1C	o *(If yes)* Did you expect to get praise by your {supervision officer}? (Definitely, Probably, Probably not, Definitely not)
_REWRD1D	o *(If yes)* How pleased were you to get praise by your {supervision officer}? (Very pleased, Somewhat pleased, It did not matter to me)
_REWRD2	• Since your last interview, have you received praise from a judge? (Yes, No)
_REWRD2A	o *(If yes)* Since your last interview, how many times did you receive praise by a judge?
_REWRD2B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
_FAIR31A	o *(If yes)* Very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
_REWRD2C	o *(If yes)* Did you expect to get praise by a judge? (Definitely, Probably, Probably not, Definitely not)
_REWRD2D	o *(If yes)* How pleased were you to get praise by a judge? (Very pleased, Somewhat pleased, It did not matter to me)
_REWRD3	• Since your last interview, were you rewarded with a decreased frequency of required drug tests? (Yes, No)
_REWRD3A	o *(If Yes)* Since your last interview, how many times did you receive a decreased frequency of required drug tests?
_REWRD3B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
_REWRD3C	o *(If yes)* Did you expect to get decreased frequency of required drug tests? (Definitely, Probably, Probably not, Definitely not)
_REWRD3D	o *(If yes)* How pleased were you to get decreased frequency of required drug tests? (Very pleased, Somewhat pleased, It did not matter to me)
_REWRD4	• Since your last interview, did you receive a decreased frequency of drug or alcohol treatment? (Yes, No)
_REWRD4A	o *(If yes)* Since your last interview, how many times did you receive decreased frequency of drug or alcohol treatment?
_REWRD4B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)

_REWRD4C	o *(If yes)* Did you expect to get decreased frequency of drug or alcohol treatment? (Definitely, Probably, Probably not, Definitely not)
_REWRD4D	o *(If yes)* How pleased were you to get decreased frequency of drug or alcohol treatment? (Very pleased, Somewhat pleased, It did not matter to me)
_REWRD5	• Since your last interview, did you receive a decreased frequency of required AA/NA meetings? (Yes, No)
_REWRD5A	o *(If yes)* Since your last interview, how many times did you receive a decreased frequency of required AA/NA meetings?
_REWRD5B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
_REWRD5C	o *(If yes)* Did you expect to get decreased frequency of required AA/NA meetings? (Definitely, Probably, Probably not, Definitely not)
_REWRD5D	o *(If yes)* How pleased were you to get decreased frequency of required AA/NA meetings? (Very pleased, Somewhat pleased, It did not matter to me)
_REWRD6	• Since your last interview, did you receive a decreased frequency of contacts with your {supervision officer}? (Yes, No)
_REWRD6A	o *(If yes)* Since your last interview, how many times did you receive decreased frequency of contacts with your {supervision officer}?
_REWRD6B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
_REWRD6C	o *(If yes)* Did you expect to get decreased frequency of contacts with your {supervision officer}? (Definitely, Probably, Probably not, Definitely not)
_REWRD6D	o *(If yes)* How pleased were you to get decreased frequency of contacts with your {supervision officer}? (Very pleased, Somewhat pleased, It did not matter to me)
_REWRD7	• Since your last interview, did you receive a promotion to a higher phase of drug or alcohol treatment? (Yes, No)
_REWRD7A	o *(If yes)* Since your last interview on {last interview date}, how many times did you receive a promotion to a higher phase of drug or alcohol treatment?
_REWRD7B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)

_FAIR29A	o *(If yes)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
_REWRD7C	o *(If yes)* Did you expect to get a promotion to a higher phase of drug or alcohol treatment? (Definitely, Probably, Probably not, Definitely not)
_REWRD7D	o *(If yes)* How pleased were you to get a promotion to a higher phase of drug or alcohol treatment? (Very pleased, Somewhat pleased, It did not matter to me)
_REWRD8	• Since your last interview, did you receive increased travel privileges? (Yes, No)
_REWRD8A	o *(If yes)* Since your last interview on {last interview date}, how many times did you receive increased travel privileges?
_REWRD8B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
_REWRD8C	o *(If yes)* Did you expect to get increased travel privileges? (Definitely, Probably, Probably not, Definitely not)
_REWRD8D	o *(If yes)* How pleased were you to get increased travel privileges? (Very pleased, Somewhat pleased, It did not matter to me)
_REWRD9	• Since your last interview, did you receive tokens, vouchers, or small gifts? (Yes, No)
_REWRD9A	o *(If yes)* Since your last interview on {last interview date}, how many times did you receive tokens, vouchers, or small gifts?
_REWRD9B	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
_FAIR28A	o *(If yes)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
_REWRD9C	o *(If yes)* Did you expect to get tokens, vouchers, or small gifts? (Definitely, Probably, Probably not, Definitely not)
_REWRD9D	o *(If yes)* How pleased were you to get tokens, vouchers or small gifts? (Very pleased, Somewhat pleased, It did not matter to me)
_REWRD10	• Since your last interview, did you receive any other reward or incentive? (Yes, No)
_REWRD10A	o *(If yes)* What was the other reward you received?
_REWRD10B	o *(If yes)* Since your last interview on {last interview date}, how many times did you receive this other reward or incentive?

_REWRD10C	o *(If yes)* For which of the following behaviors did you receive this reward? Please include all that apply. (Staying clean, Completing all treatment requirements, Something else)
_REWRD10D	o *(If yes)* Did you expect to get this other reward or incentive? (Definitely, Probably, Probably not, Definitely not)
_REWRD10E	o *(If yes)* How pleased were you to get this other reward or incentive? (Very pleased, Somewhat pleased, Pleased, It did not matter to me)

Court Hearings and Contacts

Court hearings	
	Baseline
BCOURT1	• How many times have you appeared in court during the past 30 days?
BCOURT2	o *(If appeared in court in the past month and if [R was under supervision during past 6 months OR preloaded as drug court participant])* How many of these appearances were for regularly scheduled monitoring or status hearings?
BCOURT3	o *(If appeared in court in the past month and if [R was under supervision during past 6 months OR preloaded as drug court participant])* How many of these appearances were violation hearings? In a violation hearing, the judge considers whether to formally violate someone's supervision because the offender did not follow the terms or conditions of supervision.
BCOURT4	• *(If one or more appearances were violation hearings)* Were you picked up on a warrant for any of these violation hearings? (Yes, No)
BCOURT5	o *(If appeared in court in the past month)* How many of these appearances were for arrests on new offenses?
BCOURT6	o *(If appeared in court in the past month)* How many of these appearances were for other matters, such as family court hearings or other criminal cases?
	6 month/18 month
_COURT1	• How many times have you appeared in court since your last interview?
_COURT2	o *(If R appeared in court since last interview and if [R was under supervision OR participated in drug court at any point since last interview])* How many of these appearances were for regularly scheduled monitoring or status hearings?

_COURT3 _COURT4 _COURT5 _COURT6	o *If R appeared in court since last interview and if [R was under supervision OR participated in drug court at any point since last interview])* How many of these appearances were violation hearings? In a violation hearing, the judge considers whether to formally violate someone's supervision because the offender did not follow the terms or conditions of supervision. • *(If one or more appearances were violation hearings)* Were you picked up on a warrant for any of these violation hearings? (Yes, No) o *(If appeared in court in the past month)* How many of these appearances were for arrests on new offenses? o *(If appeared in court in the past month)* How many of these appearances were for other matters, such as family court hearings or other criminal cases?
Judge contacts	
BCOURT7 _COURT7	Baseline • During the past 30 days, how many times have you had contact with the judge assigned to your case? 6 month/18 month • Since your last interview, how many times have you had contact with the judge assigned to your case?
Prosecutor contacts	
BCOURT8 _COURT8	Baseline • During the past 30 days, how many times have you spoken face-to-face with a prosecutor assigned to your case? 6 month/18 month • Since your last interview, how many times have you spoken face-to-face with a prosecutor assigned to your case?
Defense Attorney contacts	
BCOURT9 _COURT9	Baseline • During the past 30 days, how many times have you spoken face-to-face with a defense attorney assigned to your case or that you hired? 6 month/18 month • Since your last interview, how many times have you spoken face-to-face with a defense attorney assigned to your case or that you hired?

Perceptions of Fairness

Attitude toward supervision officer	
	Baseline/6 month/18 month *For baseline, the Q's are only asked if R was under any supervision during the past 6 months or was preloaded as drug court. For 6/18 month interviews, the Q's are only asked if R was under any supervision since the last interview or self-reported drug court participation in the baseline interview.* Please indicate how you feel about the following statements about your {supervision officer}.
_FAIR1	• Your {supervision officer} is knowledgeable about your case. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR2	• Your {supervision officer} knows you by name. Do you…? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR3	• Your {supervision officer} helps you to succeed. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR4	• Your {supervision officer} emphasizes the importance of drug and alcohol treatment. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR5	• Your {supervision officer} gives you a chance to tell your side of your story. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR6	• Your {supervision officer} can be trusted to treat you fairly. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR7	• Your {supervision officer} treats you with respect. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
Attitude toward judge	
	Baseline/6 month/18 month *R is asked to indicate how s/he feels about the judge that (for drug court participants) is part of R's drug court program or (for comparison group) presided over R's case related to the arrest and charge that led to supervision.*
_FAIR8	• The judge is knowledgeable about your case. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR9	• The judge knows you by name. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR10	• The judge helps you to succeed. (Strongly disagree, Disagree, Neither disagree nor

	agree, Agree, Strongly agree)
_FAIR11	• The judge emphasizes the importance of drug and alcohol treatment. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR12	• The judge is intimidating or unapproachable. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR13	• The judge remembers your situations and needs from hearing to hearing. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR14	• The judge gives you a chance to tell your side of your story. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR15	• The judge can be trusted to treat you fairly. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR16	• The judge treats you with respect. (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
Perceived fairness of sanctions	
	Baseline *For baseline, the Q's are only asked if R was under any supervision during the past 6 months or was preloaded as drug court.*
BFAIR17	• During the past 30 days, in general did you understand what behaviors would result in sanctions? (Yes, No)
BFAIR18	• Based on your previous answers, you have received {the total number of sanctions indicated by respondent in Sanctions Domain} sanctions during the past 30 days.
BFAIR19	• *(If total number of sanctions is greater than zero)* Did any sanction you received in the past 30 days come as a surprise to you? (Yes, No)
BFAIR20	• *(If total number of sanctions is greater than zero)* Did you think any sanction you received in the past 30 days was unfair? (Yes, No)
	6 month/18 month *For 6/18 month interviews, the Q's are only asked if R was under any supervision since the last interview or self-reported drug court participation in the baseline interview.*
_FAIR17	• Since your last interview, in general did you understand what behaviors would result in sanctions? (Yes, No)
_FAIR18	• Based on your previous answers, you have received {the total number of sanctions indicated by respondent in Sanctions Domain} sanctions since your last interview.
_FAIR19	• *(If total number of sanctions is greater than zero)* Did any sanction you received

	since your last interview come as a surprise to you? (Yes, No)
_FAIR20	• *(If total number of sanctions is greater than zero)* Did you think any sanction you received since your last interview was unfair? (Yes, No)
Perceived procedural justice	
	Baseline/6 month/18 month *Note: In the 6/18 month interviews, this set of Q's is preceded by _FAIR21a:* Since your last interview, have you been involved in court room proceedings related to {your drug court participation/the case that was started by the arrest that took place on (arrest date)*}?* (Yes, No) *Only R's who answer yes receive the questions below.* What happened when you went to court during your most recent case? *(R's preloaded as drug court, fill:* we are referring to your last court appearance before the judge; *nondrug court, fill:* the case we are referring to is the one related to the arrest and charge we have been talking about—the arrest that took place on {arrest date}.
_FAIR21	• You felt you had the opportunity to express your views in the court. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
BFAIR21A/ SFAIR212/ NFAIR212	• All sides had a fair chance to bring out the facts in the court. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21B	• You felt you had enough control over the way things were run in the court. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21C	• You felt too intimidated or scared to say what you really felt in the court. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21D	• You felt pushed around in the court case by people with more power than you. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21E	• People in the court spoke up on your behalf. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21F	• The court took account of what you said in deciding what should be done. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21G	• During the court you felt pushed into things you did not agree with. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21H	• You felt that people who committed the same offense were treated the same way by courts. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21I	• You were disadvantaged in the court because of your age, income, sex, race, or some other reason. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree,

	Agree, Strongly agree)
_FAIR21J	• The court got the facts wrong. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21J1	o (*If R agreed or strongly agreed*) When the court got the facts wrong, you were able to get the facts corrected. Do you…? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21K	• You were treated unfairly by the court or the police. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21K1	o *(If R agreed or strongly agreed)* You got your complaint about being treated unfairly heard. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21L	• People were polite to you in court. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21M	• You understood what was going on in the court. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21N	• You understood what your rights were during the processing of the case. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21O	• You feel that you were treated with respect in the court. Do you..? (Strongly disagree, Disagree, Neither disagree nor agree, Agree, Strongly agree)
_FAIR21P	• How much influence did you have over the agreement reached in the court? Would you say…? (None at all, Not much, Some, A lot)
_FAIR21Q	• How much did you feel the court respected your rights? Would you say…? (None at all, Not much, Somewhat, A lot)
Perceived distributive justice	
	Baseline/6 month/18 month *In the 6/18 month interviews, the Q's are only asked of R's who experienced court room proceedings related to drug court or their arrest that led to participation in the study.*
_FAIR22	• Overall, how do you rate the fairness of the outcome you received in the case {that got you into the drug program/related to the arrest and charge we have been talking about—the arrest that took place on (arrest date)}.Would you say.. (Very fair, Somewhat fair, Somewhat unfair, Very unfair)
_FAIR23	• Overall, how do you rate the fairness of the court in using penalties for using drugs, skipping drug tests, or skipping drug treatment? (Very fair, Somewhat fair, Somewhat unfair, Very unfair)
Perceived helpfulness	

	<u>Baseline</u> *Only asked for R's preloaded as drug court participants.*
BFAIR24	• During the past 30 days, how many times have you heard a formal speech from drug court graduates?
BFAIR24A	o *(If R heard formal speech from drug court graduates in the past 30 days)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
BFAIR25	• During the past 30 days, how many times have you spoken to drug court graduates informally?
BFAIR25A	o *(If R has spoken to drug court graduates informally in the past 30 days)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
BFAIR26	• During the past 30 days, how many times have you watched people graduate from drug court?
BFAIR26A	o *(If R has watched people graduate from drug court in the past 30 days)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
BFAIR27	• During the past 30 days, how many times have you had the courtroom applaud you?
BFAIR27A	o *(If R has had the courtroom applaud in the past 30 days)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
	<u>6 month/18 month</u> *Only asked for R's who self-reported drug court participation at the baseline or current interview.*
_FAIR24	• Since your last interview, how many times have you: Heard a formal speech from drug court graduates?
_FAIR24A	o *(If R heard formal speech from drug court graduates since last interview)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
_FAIR25	• Since your last interview, how many times have you spoken to drug court graduates informally?
_FAIR25A	o *(If R has spoken to drug court graduates informally since last interview)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)

_FAIR26	• Since your last interview, how many times have you watched people graduate from drug court?
_FAIR26A	o *(If R has watched people graduate from drug court since last interview)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
_FAIR27	• Since your last interview , how many times have you had the courtroom applaud you?
_FAIR27A	o *(If R has had the courtroom applaud since last interview)* Was having this happen very helpful, helpful, or not particularly helpful to you? (Very helpful, Helpful, Not particularly helpful)
Perceived deterrence	
	Baseline *Note: The items below are asked of all baseline respondents.* How bad would it be to have the court do the following things to you?
BFAIR32	• Put you on house arrest or community control. Would that be…(Extremely bad, Somewhat bad, Not bad at all)
BFAIR33	• Put you on electronic monitoring. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR34	• Make you do community service. Would that be…?(Extremely bad, Somewhat bad, Not bad at all)
BFAIR35	• Make you take drug tests more often. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR36	• *(If R preloaded or self-reported drug court participation)* Make you sit in the jury box to observe drug court proceedings. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR37	• *(If R preloaded or self-reported drug court participation)* Demote you to a previous phase of drug court. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR38	• Put you in jail for one to three consecutive nights. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR39	• Put you in jail for four or more consecutive nights. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR40	• Increase the time you spend in drug or alcohol treatment. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)

BFAIR41	• Increase the number of AA/NA meetings you are required to attend. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR42	• Give you a warning form your {supervision officer}. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR43	• Give you a warning from the judge. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR44	• *(If under supervision or preloaded as drug court)* Charge you with a violation of your release, probation, or parole conditions. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR45	• *(If R preloaded or self-reported drug court participation)* Kick you out of drug court. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
BFAIR46	• Arrest you for a new charge. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
	<u>6 month/18 month</u>
	Only asked of R's who experienced court room proceedings related to drug court or their arrest that led to participation in the study.
	How bad would it be to have the court do the following things to you?
_FAIR32	• Put you on house arrest or community control. Would that be…(Extremely bad, Somewhat bad, Not bad at all)
_FAIR33	• Put you on electronic monitoring. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR34	• Make you do community service. Would that be…?(Extremely bad, Somewhat bad, Not bad at all)
_FAIR35	• Make you take drug tests more often. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR36	• *(If R self-reported drug court participation at the baseline or current interview)* Make you sit in the jury box to observe drug court proceedings. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR37	• *(If R self-reported drug court participation at the baseline or current interview)* Demote you to a previous phase of drug court. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR38	• Put you in jail for one to three consecutive nights. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)

_FAIR39	• Put you in jail for four or more consecutive nights. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR40	• Increase the time you spend in drug or alcohol treatment. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR41	• Increase the number of AA/NA meetings you are required to attend. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR42	• Give you a warning form your {supervision officer}. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR43	• Give you a warning from the judge. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR44	• *(If R has been under supervision since last interview)* Charge you with a violation of your release, probation, or parole conditions. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR45	• *(If R self-reported drug court participation at the baseline or current interview)* Kick you out of drug court. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
_FAIR46	• Arrest you for a new charge. Would that be…? (Extremely bad, Somewhat bad, Not bad at all)
Victimization	
	6 month[49]/18 month Now let's talk about things that have happened to you in the past year, that is since {fill}.
_FAIR47	• During the past year, how often did someone push, slap, or grab; you; twist your arm, pull your hair; restrain or shove you; or throw something at you that could hurt you? (Never in the past year, Once in the past year, Twice in the past year, 3-5 times in the past year, 6-10 times in the past year, More than 10 times in the past year)
_FAIR48	• During the past year, how often did someone punch or hit you with something that could hurt, kick you, slam you against a hard surface, beat you up, choke, strangle, burn or scald you on purpose, or use a knife or gun on you? (Never in the past year, Once in the past year, Twice in the past year, 3-5 times in the past year, 6-10 times in the past year, More than 10 times in the past year)
_FAIR49	• During the past year, how often did someone verbally insist that you have sex, including oral, anal, or vaginal sex when you didn't want to, or insist that you have sex without a condom? (Never in the past year, Once in the past year, Twice in the past year, 3-5 times in the past year, 6-10 times in the past year, More than 10 times in the past year)

[49] In the 6 month interview, the questions were not added until February 2006 (1/3 of the way through the 6 month interviews).

_FAIR50	• During the past year, how often did someone physically force you—by hitting, holding you down, or using a weapon—to have oral sex, anal sex, or vaginal sex? (Never in the past year, Once in the past year, Twice in the past year, 3-5 times in the past year, 6-10 times in the past year, More than 10 times in the past year)
_FAIR51	• During the past year, how often did someone make harassing phone calls to you, keep you from spending time or talking with your friends, stop you from going some place you wanted to go, insult you, swear at you, humiliate you, put you down, or make you feel worthless? (Never in the past year, Once in the past year, Twice in the past year, 3-5 times in the past year, 6-10 times in the past year, More than 10 times in the past year)

Family

Family members' criminal/drug behavior	
	Baseline
BFAM1	• Have any of your blood relatives ever been convicted of a crime? (Yes, No)
BFAM1A	o *(If yes)* Which of your blood relatives has ever been convicted of a crime? (Biological mother or father, Biological brother or sister, Biological aunt or uncle, Biological cousin, Biological grandparent)
BFAM7	• Have any of your other relatives or friends ever been convicted of a crime? (Yes, No)
BFAM7A	o *(If yes)* Which of your other relatives or friends has ever been convicted of a crime? (Spouse or romantic partner, Stepmother or stepfather, Stepsister or stepbrother, Friends)
BFAM13	• Have any of your blood relatives ever been in jail or prison? (Yes, No)
BFAM 13A	o *(If yes)* Which of your blood relatives have ever been in jail or prison? (Biological mother or father, Biological brother or sister, Biological aunt or uncle, Biological cousin, Biological grandparent)
BFAM19	• Have any of your other relatives or friends ever been in jail or prison? (Yes, No)
BFAM19A	o *(If yes)* Which of your other relatives or friends has ever been in jail or prison? (Spouse or romantic partner, Stepmother or stepfather, Stepsister or stepbrother, Friends
BFAM25	• Have any of your blood relatives ever had problems with drugs or alcohol? (Yes, No)
BFAM25A	o *(If yes)* Which of your blood relatives has ever had problems with drugs or alcohol? (Biological mother or father, Biological brother or sister, Biological aunt or uncle, Biological cousin, Biological grandparent)

BFAM31	• Have any of your other relatives or friends ever had problems with drugs or alcohol? (Yes, No)
BFAM31A	o *(If yes)* Which of your other relatives or friends has ever had a problem with drugs or alcohol? (Spouse or romantic partner, Stepmother or stepfather, Stepsister or stepbrother, Friends
BFAM37	• Have any of your blood relatives ever been in treatment for problems with drugs or alcohol? (Yes, No)
BFAM37A	o *(If yes)* Which of your blood relatives has ever been in treatment for problems with drugs or alcohol? (Biological mother or father, Biological brother or sister, Biological aunt or uncle, Biological cousin, Biological grandparent)
BFAM43	• Have any of your other relatives or friends ever been in treatment for problems with drugs or alcohol? Do not count the friends you met in treatment this time. (Yes, No)
BFAM43A	o *(If yes)* Which of your other relatives or friends has ever been in treatment for problems with drugs or alcohol? Do not count the friends you met in treatment this time. (Spouse or romantic partner, Stepmother or stepfather, Stepsister or stepbrother, Friends)
	<u>6 month/18 month</u>
_FAM1	• Have any of your blood relatives been convicted of a crime since your last interview? (Yes, No)
_FAM1A	o *(If yes)* Which of your blood relatives have been convicted of a crime since your last interview? (Biological mother or father, Biological brother or sister, Biological aunt or uncle, Biological cousin, Biological grandparent)
_FAM7	• Have any of your other relatives or friends been convicted of a crime since your last interview? (Yes, No)
_FAM7A	o *(If yes)* Which of your other relatives or friends have been convicted of a crime since your last interview? (Spouse or romantic partner, Stepmother or stepfather, Stepsister or stepbrother, Friends)
_FAM13	• Have any of your blood relatives been put in jail or prison since your last interview? (Yes, No)
_FAM 13A	o *(If yes)* Which of your blood relatives have been in jail or prison since your last interview? (Biological mother or father, Biological brother or sister, Biological aunt or uncle, Biological cousin, Biological grandparent)
_FAM19	• Have any of your other relatives or friends been put in jail or prison since your last interview? (Yes, No)

_FAM19A	o *(If yes)* Which of your other relatives or friends have been in jail or prison since your last interview? (Spouse or romantic partner, Stepmother or stepfather, Stepsister or stepbrother, Friends
_FAM25	• Have any of your blood relatives had problems with drugs or alcohol since your last interview? (Yes, No)
_FAM25A	o *(If yes)* Which of your blood relatives has ever had problems with drugs or alcohol? (Biological mother or father, Biological brother or sister, Biological aunt or uncle, Biological cousin, Biological grandparent)
_FAM31	• Have any of your other relatives or friends had problems with drugs or alcohol since your last interview? (Yes, No)
_FAM31A	o *(If yes)* Which of your other relatives or friends has had a problem with drugs or alcohol since your last interview? (Spouse or romantic partner, Stepmother or stepfather, Stepsister or stepbrother, Friends
_FAM37	• Have any of your blood relatives been in treatment for problems with drugs or alcohol since your last interview? (Yes, No)
_FAM37A	o *(If yes)* Which of your blood relatives have been in treatment for problems with drugs or alcohol since your last interview? (Biological mother or father, Biological brother or sister, Biological aunt or uncle, Biological cousin, Biological grandparent)
_FAM43	• Have any of your other relatives or friends been in treatment for problems with drugs or alcohol since your last interview? Do not count the friends you met in treatment this time. (Yes, No)
_FAM43A	o *(If yes)* Which of your other relatives or friends have been in treatment for problems with drugs or alcohol since your last interview? Do not count the friends you met in treatment this time. (Spouse or romantic partner, Stepmother or stepfather, Stepsister or stepbrother, Friends)
Family conflict	
	Baseline
BFAM49	• In the past 30 days, how many times have you had serious conflicts with your family? By 'serious conflicts' we mean both verbal and physical conflicts.
	The following statements describe how you may feel about your relationships with your family in the **past 30 days**. Please tell me whether you strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree with the following statements:
BFAM50C	• You fight a lot with your family members. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM50D	• You often feel like you disappoint your family. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)

BFAM50E	• You are criticized a lot by your family. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
	6 month/18 month
_FAM49	• Since your last interview, how many times have you had serious conflicts with your family? By 'serious conflicts' we mean both verbal and physical conflicts.
	The following statements describe how you may feel about your relationships with your family **since your last interview**. Please tell me whether you strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree with the following statements:
_FAM50C	• You fight a lot with your family members. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM50D	• You often feel like you disappoint your family. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM50E	• You are criticized a lot by your family. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
Family emotional support	
	Baseline
	The following statements describe how you may feel about your relationships with your family in the **past 30 days**. Please tell me whether you strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree with the following statements:
BFAM50	• You feel close to your family. (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM50A	• You want your family to be involved in your life. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM50B	• You consider yourself a source of emotional support for your family. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM50F	• You have someone in your family to talk with about your interests or your problems. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM50G	• You have someone in your family to turn to for suggestions about how to deal with a personal problem. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM50H	• You have someone in your family who understands your problems. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM50I	• You have someone in your family to love you and make you feel wanted. Do you…?

	(Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree) <u>6 month/18 month</u> The following statements describe how you may feel about your relationships with your family **since your last interview**. Please tell me whether you strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree with the following statements:
_FAM50	• You feel close to your family. (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM50A	• You want your family to be involved in your life. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM50B	• You consider yourself a source of emotional support for your family. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM50F	• You have someone in your family to talk with about your interests or your problems. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM50G	• You have someone in your family to turn to for suggestions about how to deal with a personal problem. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM50H	• You have someone in your family who understands your problems. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM50I	• You have someone in your family to love you and make you feel wanted. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
Family instrumental support	
	<u>Baseline</u> The following statements describe how you may feel about your relationships with your family in the past 30 days. Please tell me whether you strongly disagree, disagree, agree, or strongly agree with the following statements:
BFAM51	• You have someone in your family who would provide help or advice on finding a place to live. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM51A	• You have someone in your family who would provide help or advice on finding a job. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM51B	• You have someone in your family who would provide support for dealing with a substance abuse problem. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)

BFAM51C	• You have someone in your family who would provide transportation to work or other appointments if needed. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
BFAM51D	• You have someone in your family who would provide you with financial support. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
	6 month/18 month
	The following statements describe how you may feel about your relationships with your family since your last interview. Please tell me whether you strongly disagree, disagree, agree, or strongly agree with the following statements:
_FAM51	• You have someone in your family who would provide help or advice on finding a place to live. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM51A	• You have someone in your family who would provide help or advice on finding a job. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM51B	• You have someone in your family who would provide support for dealing with a substance abuse problem. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM51C	• You have someone in your family who would provide transportation to work or other appointments if needed. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)
_FAM51D	• You have someone in your family who would provide you with financial support. Do you…? (Strongly disagree, disagree, neither disagree nor agree, agree, or strongly agree)

Physical Health

Physical health status	
	Baseline/6 month/18 month
_HEALTH1	• Do you have any chronic medical problems which continue to interfere in your life? A chronic medical condition is a serious physical condition that persists for several months and requires regular care, such as medications or dietary restrictions, and prevents you from using all of your abilities. (Yes, No)

Mental Health

Mental health status	
	Baseline/6 month/18 month
_MENHE1	• In general, would you say your current emotional or mental health is…(Excellent, Very Good, Good, Fair, Poor)
Anti-social personality disorder	
	Baseline
BMENHE2	• Before you were 15, did you bully or threaten other kids? (Yes, No)
BMENHE3	• Before you were 15, did you start fights? (Yes, No)
BMENHE4	• Before you were 15, did you hurt or threaten someone with a weapon like a bat, brick, broken bottle, a knife, or gun? (Yes, No)
BMENHE5	• Before you were 15, did you deliberately torture someone or cause someone physical pain or suffering? (Yes, No)
BMENHE6	• Before you were 15, did you torture or hurt animals on purpose? (Yes, No)
BMENHE7	• Before you were 15, did you mug, rob, or forcibly take something from someone by threatening him or her? (Yes, No)
BMENHE8	• Before you were 15, did you force someone to have sex with you, get undressed, or touch you sexually? (Yes, No)
BMENHE9	• Before you were 15, did you set fires? (Yes, No)
BMENHE10	• Before you were 15, did you deliberately destroy things that weren't yours? (Yes, No)
BMENHE11	• Before you were 15, did you lie a lot? (Yes, No)
BMENHE12	• Before you were 15, did you steal or commit forgery on more than one occasion? By stealing we mean taking property when the owner was not present. (Yes, No)
BMENHE13	• Before you were 15, did you break into houses, other buildings, or cars? (Yes, No)
BMENHE14	• Before you were 15, did you lie a lot or con other people? (Yes, No)
BMENHE15	• Before you were 15, did you sometimes steal or shoplift things or forge someone's signature? (Yes, No)
BMENHE16	• Before you were 15, did you run away and stay away overnight either permanently

	or more than once? (Yes, No)
BMENHE17	• Before you were **13**, did you often stay out very late, long after the time you were supposed to be home? (Yes, No)
BMENHE18	• Before you were **13**, did you often skip school? (Yes, No)
BMENHE19	• The next two questions are about right now. Do you often find that you have to lie to get what you want? (Yes, No)
BMENHE20	• Do you often do things on the spur of the moment without thinking about how it will affect you or other people? (Yes, No)
BMENHE21	• Was there **ever** a time when you had no regular place to live? (Yes, No)
BMENHE22	• Since you were 15 have you been in more than one fight? (Yes, No)
BMENHE23	• Since you were 15 have you hit or thrown something at your spouse or partner? (Yes, No)
BMENHE24	• Since you were 15 have you physically threatened or hurt anyone else? (Yes, No)
BMENHE25	• Have you gotten more than two speeding tickets ever in your life? (Yes, No)
BMENHE26	• Have you been in more than two car accidents ever in your life? (Yes, No)
BMENHE29	• In the past 5 years have you been unemployed for 6 months or more when you were expected to work and work was available or have you been out of school for 6 months or more when you were expected to be attending an academic program? (Yes, No) (include academic behavior if person is a student)
BMENHE30	• In the past 5 years, when you **were** working, did you have frequent absences that were not the result of your or your family's illness? (Yes, No)
BMENHE31	• In the past 5 years, have you walked off more than one job without having another one to go to? (Yes, No)
BMENHE32	• In the past 5 years, have you owed people money and not paid them back? (Yes, No)
BMENHE33	• *(If R has children)* In the past 5 years, have you failed to pay child support, or give money to children who depended on you? (Yes, No)
BMENHE34	• The next set of questions refer to the <u>present</u> time. Do you feel that any of the things that you have done are wrong in any way? (Yes, No)

Narcissism	
	Baseline
BMENHE35	• When you are criticized do you often feel very angry, ashamed, or put down for hours or even days? (Yes, No)
BMENHE36	• Have you sometimes had to use or sweet talk other people to get what you wanted? (Yes, No)
BMENHE37	• Do you feel you are a person with special talents or abilities? (Yes, No)
BMENHE38	• Have people told you that you have too high an opinion of yourself? (Yes, No)
BMENHE39	• When you have a problem do you almost always insist on seeing the top person? (Yes, No)
BMENHE40	• Do you often daydream about achieving great things, being famous, or having a perfect romance? (Yes, No)
BMENHE41	• Do you think that it's not necessary to follow certain rules or social conventions when they get in your way? (Yes, No)
BMENHE42	• Is it very important to you that people pay attention to you or admire you in some way? (Yes, No)
BMENHE43	• Have people said that you are not sympathetic or understanding about their problems? (Yes, No)
BMENHE44	• Are you often envious of other people? (Yes, No)
Depression	
	Baseline/6 month/18 month Next I will ask you about the ways you may have **recently** felt or behaved in the past 7 days.
_MENHE45A	• You were bothered by things that don't usually bother you (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the past 7 days)
_MENHE45B	• You had trouble keeping your mind on what you were doing. (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the past 7 days)
_MENHE45C	• You felt depressed. (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the past 7 days)
_MENHE45D	• You felt like everything you did was an effort. (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the

	past 7 days)
_MENHE45E	• You felt hopeful about the future. (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the past 7 days)
_MENHE46F	• You felt fearful. (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the past 7 days)
_MENHE45G	• Your sleep was restless. (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the past 7 days)
_MENHE45H	• You were happy. (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the past 7 days)
_MENHE45I	• You felt lonely. (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the past 7 days)
BMENHE45J	• You could not get going. (Never in the past 7 days, Rarely in the past 7 days, Sometimes in the past 7 days, Often in the past 7 days, Always in the past 7 days)

Income

Income	
	Baseline/6 month/18 month *This section skipped in the 6/18 month interviews for R's who were incarcerated the entire time since the previous interview.*
_INC1	• How do you currently support yourself? Please tell us all the ways you support yourself. (A Job, Support from your family, Support from your friends, Disability, A government program, Illegal income, Some other type of support)
_INC2A	• *(If R currently supports self with a job)* What was your total monthly income from your job(s) last month? Would you say…? (Less than $100, $100 to $299, $300 to $499, $500 to $999, $1,000 to $1,999, $2,000 to $2,999, $3,000 to $3,999, $4,000 to $4,999, $5,000 to $10,000, Over $10,000)
_INC2B	• *(If R currently supports self with support from family)* How much money did your family provide for you last month? (Less than $100, $100 to $299, $300 to $499, $500 to $999, $1,000 to $1,999, $2,000 to $2,999, $3,000 to $3,999, $4,000 to $4,999, $5,000 to $10,000, Over $10,000)
_INC2C	• *(If R currently supports self with support from friends)* How much money did your friends provide for you last month? (Less than $100, $100 to $299, $300 to $499, $500 to $999, $1,000 to $1,999, $2,000 to $2,999, $3,000 to $3,999, $4,000 to $4,999, $5,000 to $10,000, Over $10,000)
_INC2D	• *(If R currently supports self with disability)* How much money did you receive from disability last month? (Less than $100, $100 to $299, $300 to $499, $500 to $999, $1,000 to $1,999, $2,000 to $2,999, $3,000 to $3,999, $4,000 to $4,999, $5,000 to $10,000, Over $10,000)
_INC2E	• *(If R currently supports self with money from a government program)* How much money did you receive from a government program last month? (Less than $100, $100 to $299, $300 to $499, $500 to $999, $1,000 to $1,999, $2,000 to $2,999, $3,000 to $3,999, $4,000 to $4,999, $5,000 to $10,000, Over $10,000)
_INC2F	• *(If R currently supports self with illegal income)* How much money did you receive from illegal income last month? (Less than $100, $100 to $299, $300 to $499, $500 to $999, $1,000 to $1,999, $2,000 to $2,999, $3,000 to $3,999, $4,000 to $4,999, $5,000 to $10,000, Over $10,000)
_INC2G	• *(If R currently supports self with money from other sources)* How much money did you receive from other sources last month? (Less than $100, $100 to $299, $300 to $499, $500 to $999, $1,000 to $1,999, $2,000 to $2,999, $3,000 to $3,999, $4,000 to $4,999, $5,000 to $10,000, Over $10,000)
_INC4	• What kinds of health insurance or health care coverage do you have? (Employer-

	provided health insurance, Private health insurance plan purchased directly, Private health insurance plan through a State or local government program or community program, Medicare, -Gap, Medicaid, Military health care/VA, CHAMPUS/ TRICARE/CHAMP-VA, Indian Health Service, State-sponsored health plan [specified in _INC4SP1], Other government program [specified in _INC4SP2]. No insurance, some other kind of health care coverage [specified in _INC4SP3])

Other Support Services

Entitlement services (e.g., cash assistance, Medicaid)	
	Baseline
BSUPSER1	• During the past 30 days, have you received financial assistance, including short-term loans or housing deposits? (Yes, No)
BSUPSER1A	• During the past 30 days, did you want or think you needed help getting financial assistance, including short-term loans or housing deposits? (Yes, No)
BSUPSER2	• During the past 30 days, have you received public financial assistance, such as disability benefits or welfare? (Yes, No)
BSUPSER2A	• During the past 30 days, did you want or think you needed help getting public financial assistance, such as disability benefits or welfare? (Yes, No)
BSUPSER3	• During the past 30 days, have you received public healthcare assistance, such as Medicare or Medicaid? (Yes, No)
BSUPSER3A	• During the past 30 days, did you want or think you needed help getting public healthcare assistance, such as Medicare or Medicaid? (Yes, No)
BSUPSER4	• During the past 30 days, have you received legal assistance? (Yes, No)
BSUPSER4A	• During the past 30 days, did you want or think you needed help getting legal assistance? (Yes, No)
	6 month/18 month
_SUPSER1	• Since your last interview, have you received financial assistance, including short-term loans or housing deposits? (Yes, No)
_SUPSER1A	• Since your last interview, did you want or think you needed help getting financial assistance, including short-term loans or housing deposits? (Yes, No)
_SUPSER2	• Since your last interview, have you received public financial assistance, such as disability benefits or welfare? (Yes, No)
_SUPSER2A	• Since your last interview, did you want or think you needed help getting public

	financial assistance, such as disability benefits or welfare? (Yes, No)
_SUPSER3	• Since your last interview, have you received public healthcare assistance, such as Medicare or Medicaid? (Yes, No)
_SUPSER3A	• Since your last interview, did you want or think you needed help getting public healthcare assistance, such as Medicare or Medicaid? (Yes, No)
_SUPSER4	• Since your last interview, have you received legal assistance? (Yes, No)
_SUPSER4A	• Since your last interview, did you want or think you needed help getting legal assistance? (Yes, No)
Obligation services (e.g., child support payments, restitution)	
	Baseline
BSUPSER5	• *(If R is currently required by a court to pay child support for any children under the age of 18)* During the past 30 days, have you received help with modifying a child support debt you owe? (Yes, No)
BSUPSER5A	• *(If R is currently required by a court to pay child support for any children under the age of 18)* During the past 30 days, did you want or think you needed help with modifying a child support debt you owe? (Yes, No)
BSUPSER6	• *(If R has children under 18)* During the past 30 days, have you received help with getting child support payments? (Yes, No)
BSUPSER6A	• *(If R has children under 18)* During the past 30 days, did you want or think you needed help with getting child support payments? (Yes, No)
BSUPSER7	• *(If R does not have primary care responsibilities for any of R's own children under the age of 18)* During the past 30 days, have you received help with regaining custody of children? (Yes, No)
BSUPSER7A	• *(If R does not have primary care responsibilities for any of R's own children under the age of 18)* During the past 30 days, did you want or think you needed help with regaining custody of children? (Yes, No)
	6 month/18 month
_SUPSER5	• *(If R is currently required by a court to pay child support for any children under the age of 18)* Since your last interview, have you received help with modifying a child support debt you owe? (Yes, No)
_SUPSER5A	• *(If R is currently required by a court to pay child support for any children under the age of 18)* Since your last interview, did you want or think you needed help with modifying a child support debt you owe? (Yes, No)
_SUPSER6	• *(If R has children under 18)* Since your last interview, have you received help with getting child support payments? (Yes, No)

_SUPSER6A	• *(If R has children under 18)* Since your last interview, did you want or think you needed help with getting child support payments? (Yes, No)
_SUPSER7	• *(If R does not have primary care responsibilities for any of R's own children under the age of 18)* Since your last interview, have you received help with regaining custody of children? (Yes, No)
_SUPSER7A	• *(If R does not have primary care responsibilities for any of R's own children under the age of 18)* Since your last interview, did you want or think you needed help with regaining custody of children? (Yes, No)
Other services (e.g., employment services, anger management classes)	
	Baseline
BSUPSER8	During the past 30 days, have you received any employment services or help with finding a job? (Yes, No)
BSUPSER8A	During the past 30 days, did you want or think you needed any employment services or help with finding a job? (Yes, No)
BSUPSER9	During the past 30 days, have you received help obtaining documents necessary for employment, such as your birth certificate, social security card, and photo identification? (Yes, No)
BSUPSER9A	During the past 30 days, did you want or think you needed help obtaining documents necessary for employment, such as your birth certificate, social security card, and photo identification? (Yes, No)
BSUPSER10	During the past 30 days, have you received help with money management? (Yes, No)
BSUPSER10A	During the past 30 days, did you want or think you needed help with money management? (Yes, No)
BSUPSER11	During the past 30 days, have you received help with other life skills? (Yes, No)
BSUPSER11A	During the past 30 days, did you want or think you needed help with other life skills? (Yes, No)
BSUPSER12	During the past 30 days, have you participated in any anger management programs? (Yes, No)
BSUPSER12A	During the past 30 days, did you want or think you needed help with anger management? (Yes, No)
BSUPSER13	During the past 30 days, have you received any educational services, such as GED or adult basic education classes? (Yes, No)
BSUPSER13A	During the past 30 days, did you want or think you needed any educational services, such as GED or adult basic education classes? (Yes, No)

BSUPSER14	During the past 30 days, have you received help with finding transportation? (Yes, No)
BSUPSER14A	During the past 30 days, did you want or think you needed help with finding transportation? (Yes, No)
BSUPSER15	During the past 30 days, have you received help with finding or keeping a place to live? (Yes, No)
BSUPSER15A	During the past 30 days, did you want or think you needed help with finding or keeping a place to live? (Yes, No)
BSUPSER16	During the past 30 days, have you participated in a batterer intervention program? (Yes, No)
BSUPSER16A	During the past 30 days, did you want or think you needed to participate in a batterer intervention program? (Yes, No)
BSUPSER17	During the past 30 days, have your family or household members received help understanding your substance abuse problems and how to help you avoid relapse or remain sober? (Yes, No)
BSUPSER17A	During the past 30 days, did your family or household members want or think they needed help understanding your substance abuse problems and how to help you avoid relapse or remain sober? (Yes, No)
	<u>6 month/18 month</u>
_SUPSER8	Since your last interview, have you received any employment services or help with finding a job? (Yes, No)
_SUPSER8A	Since your last interview, did you want or think you needed any employment services or help with finding a job? (Yes, No)
_SUPSER9	Since your last interview, have you received help obtaining documents necessary for employment, such as your birth certificate, social security card, and photo identification? (Yes, No)
_SUPSER9A	Since your last interview, did you want or think you needed help obtaining documents necessary for employment, such as your birth certificate, social security card, and photo identification? (Yes, No)
_SUPSER10	Since your last interview, have you received help with money management? (Yes, No)
_SUPSER10A	Since your last interview, did you want or think you needed help with money management? (Yes, No)
_SUPSER11	Since your last interview, have you received help with other life skills? (Yes, No)
_SUPSER11A	Since your last interview, did you want or think you needed help with other life skills? (Yes, No)

_SUPSER12	Since your last interview, have you participated in any anger management programs? (Yes, No)
_SUPSER12A	Since your last interview, did you want or think you needed help with anger management? (Yes, No)
_SUPSER13	Since your last interview, have you received any educational services, such as GED or adult basic education classes? (Yes, No)
_SUPSER13A	Since your last interview, did you want or think you needed any educational services, such as GED or adult basic education classes? (Yes, No)
_SUPSER14	Since your last interview, have you received help with finding transportation? (Yes, No)
_SUPSER14A	Since your last interview, did you want or think you needed help with finding transportation? (Yes, No)
_SUPSER15	Since your last interview, have you received help with finding or keeping a place to live? (Yes, No)
_SUPSER15A	Since your last interview, did you want or think you needed help with finding or keeping a place to live? (Yes, No)
_SUPSER16	Since your last interview, have you participated in a batterer intervention program? (Yes, No)
_SUPSER16A	Since your last interview, did you want or think you needed to participate in a batterer intervention program? (Yes, No)
_SUPSER17	Since your last interview, have your family or household members received help understanding your substance abuse problems and how to help you avoid relapse or remain sober? (Yes, No)
_SUPSER17A	Since your last interview, did your family or household members want or think they needed help understanding your substance abuse problems and how to help you avoid relapse or remain sober? (Yes, No)

Appendix B. Core Administrative Data Elements

Multi-Site Adult Drug Court Evaluation
Criminal History Information Request Details

OVERVIEW

The data the Urban Institute is requesting includes:

- Sealed cases;
- State-level data (rather than county or agency level) – e.g., state-wide arrest data;
- The variables listed below, specifically ARREST, COURT, and CUSTODY data, as well as any other data available.

DATA LIST

I. PERSONAL DATA (IDENTIFIERS)[50]

- Name
- Criminal ID number (or State ID number)
- Case ID number(s)
- Social Security Number
- Date of Birth
- Sex
- Race
- Aliases
- Research I.D. – assigned by the researcher for the purpose of the study

II. ARREST DATA – for each arrest event:

- Arrest date(s)
- Top arrest charge name(s)
- Top arrest charge classification (felony/misdemeanor/violation)
- Arrest jurisdiction (city, county)
- Arraignment date for each case filled
- Charge information <u>at filing</u>, including
    - Number of charges at filing
    - Top charge (offense) at filing
    - Top charge classification/severity (felony/misdemeanor) at filing
- Disposition date(s)
- Top disposition charge severity (felony/misdemeanor)
- Final disposition (convicted, dismissed, etc.)
- Sentence information for each case, including
    - Sentencing date
    - Sentence type (prison, jail, probation, conditional discharge, fine, etc.)
    - Sentence length

III. INCARCERATION (PRISON OR JAIL) DATA – for each period in custody:

[50] UI will be able to provide agencies with the following identifiers for matching purposes: Name (first, last and middle initial), Date of Birth, Race, Sex, Social Security Number, Aliases, and in some instances State I.D. number or Department of Corrections I.D. number.

- Date(s) of entry/intake (booked into jail/prison)
- Date(s) of release
- Type of release (i.e., if prison release: parole, supervised release, unconditional release; if jail release: Pretrial, ROR, sentenced, bond, bail, time served)
- Probation information (if applicable) for each period of supervision:
    - Probation start date
    - Probation end date
    - Probation violations including the date and nature of each
    - Probation revocations including the date and nature of each
- Parole information (if applicable) for each period of supervision:
    - Parole start date
    - Parole end date
    - Parole violations including the date and nature of each
    - Parole revocations including the date and nature of each

Appendix C. NIBRS Offense Structure

NIBRS Crime Classifications (plus Traffic Violations)

MAIN CATEGORY	SUB-CATEGORY	OFFENSE TYPE	CODE
Person	Assault Offenses	Aggravated Assault	13A
		Simple Assault	13B
		Intimidation	13C
	Homicide Offenses	Murder & Non-Negligent Manslaughter	09A
		Negligent Manslaughter	09B
	Kidnapping/Abduction		100
	Sex Offenses, Forcible	Forcible Rape	11A
		Forcible Sodomy	11B
		Sexual Assault with an Object	11C
		Forcible Fondling	11D
	Sex Offenses, Non-forcible	Incest	36A
		Statutory Rape	36B
Society	**Drug/Narcotic Offenses**	**Drug/Narcotic Violations**	35A
		Drug Equipment Violations	35B
	Gambling Offenses	Betting/Wagering	39A
		Operating/Promoting/Assisting Gambling	39B
		Gambling Equipment Violations	39C
		Sports Tampering	39D
	Prostitution Offenses	Prostitution	40A
		Assisting/Promoting Prostitution	40B
	Pornography/Obscene Material		370
	Peeping Tom		90H
	Weapons Law Violations		520
	Curfew/Loitering/Vagrancy		90B
	Disorderly Conduct		90C
	Driving Under the Influence		90D
	Drunkenness		90E
	Family Offenses, Non-violent		90F
	Liquor Law Violations		90G
	Trespassing		90J
Property	Arson		200
	Bad Checks		90A
	Bribery		510
	Burglary/Breaking and Entering		220
	Counterfeiting/Forgery		250
	Destruction/Damage/Vandalism of Property		290
	Embezzlement		270
	Extortion/Blackmail		210
	Fraud Offenses	False Pretenses/Swindle/Confidence Game	26A
		Credit Card/ATM Fraud	26B
		Impersonation	26C
		Welfare Fraud	26D
		Wire Fraud	26E
	Larceny/Theft Offenses	Pocket Picking	23A
		Purse Snatching	23B
		Shoplifting	23C
		Theft from Building	23D
		Theft from Coin-Operated Machines	23E
		Theft from Motor Vehicle	23F
		Theft of Motor Vehicle Parts/Accessories	23G
		All Other Larceny	23H
	Motor Vehicle Theft		240
	Robbery		120
	Stolen Property Offenses		280
Traffic	Traffic Violations (except DUI/DWI, hit & run, vehicular homicide per NIBRS guidelines)		TRF
Other	All Other Offenses (includes conspiracy, solicitation, facilitation, false statements/reports, eavesdropping)		90Z
Not A Crime	Justifiable Homicide		09C
	Runaway		90I
	All Other Non-Offenses		NOT

Appendix D. Constructing the Net Benefits Variable

Constructing the Net Benefits Variable

As discussed in the Methods section (Chapter 3), our goal is to create a single measure of social impacts, termed net benefits to society, to conduct multilevel analyses to determine the effects of drug court on social welfare. This Appendix discusses the creation of that individual-level variable. For further details on the analysis, we refer the reader to Chapter 3.

To structure the analysis, individuals' impacts on society were divided into the following categories and sub-categories. This stratification is only a conceptual tool—since prices and quantities will be aggregated across all components to determine each individual's total impacts on society, it is unimportant whether a particular item is improperly categorized. Table 1-D.1 displays all categories, sub-categories, and the impacts considered. Each is discussed in turn. We note again that all of the calculations described below were performed for all observations in our sample; thus, the net benefits for the drug court group and the comparison group were calculated in an identical manner.

Table 1-D.1. Components of Net Benefits

Category	Sub-Category	Impacts
1. Social productivity	A. Employment B. Education C. Services and Support Provided	Earnings Schooling Child support payments, community service
2. Criminal justice system	A. Monitoring B. Police C. Courts D. Corrections E. Drug court	Probation officer meetings, drug tests, electronic monitoring Arrests Hearings Jail and prison (sanctions or otherwise) Case management, administrative costs
3. Crime and victimization		Crimes committed
4. Service use	A. Drug treatment B. Medical treatment C. Mental health treatment D. Other	ER, detoxification, residential care, outpatient, methadone Non-drug related hospital stays Non-drug related stays in mental health facilities Halfway houses, public housing, homeless shelters
5. Financial support use	A. Government B. Other	Welfare, disability, and other entitlements Money from family and friends

Social Productivity

1A. Employment/Earnings

Several survey variables ask about employment and we used these variables to estimate earnings. The foundational question is: "Have you been employed the whole time since the last

interview?" If the answer is "yes," we simply multiplied last month's earnings, obtained from another question, by the number of months since the last interview.

When the answer was "no," we measured how many weeks the respondent reported working since the last interview. If this answer is not zero, indicating that the respondent had worked some, but not all of the time since the last interview, an assumption must be made as to whether (1) finding employment took the respondent some time since the last interview, but once employment was secured, it was steady; or (2) the respondent has been continuously, but inconsistently employed since the last interview. To inform this assumption, we examined the individual's response to the prior survey wave to determine whether the respondent reported being employed at that time.

If the respondent was not employed at the time, but has been employed since, we assume that last month's earnings, reported in the survey, are typical of earnings during months when the respondent worked. Last month's earnings are divided by 4.3 to determine weekly earnings, and then those earnings are multiplied by the number of weeks the respondent reported working since the last interview.

If the respondent was employed at the time of the last interview, but had not been employed the entire time since, we checked whether the respondent reported any earnings in the last month. If they did, we assumed that it was a typical month, and multiplied earnings by the number of months since the last interview. Thus, we assume that the last month's work patterns were the same as previous months.[51] If there were no earnings last month, or the respondent reported no longer being employed, then we cannot assume that last month was typical, as we know that the respondent had worked some since the last interview. In this case, we used the number of weeks reported working and the number of hours worked in a typical week to develop the number of hours worked since the last interview. We used two methods for valuing these hours (that is, two methods of estimating wages), and conducted an analysis to determine how sensitive our results were to the method.

First, we obtained the effective minimum wage from each state during each year that the survey was conducted.[52] These figures were obtained from a historical table on state wage laws compiled by the Wage and Hour Division of the US Department of Labor. As an alternative, we obtained data from the US Census Bureau's Current Population Survey (CPS), a nationally representative survey conducted each month.[53] Using data from each month during which the survey was conducted, we constructed a dataset of all employees paid hourly who reported their wages (N=296,076). Because of the large volume of the data, we were able to divide the full

[51] This is not the same as the previous assumption that the respondent was employed all of the prior month. That assumption led us to calculate weekly earnings, and multiply that figure by weeks of employment. This method, on the other hand, assumes that the respondent was not employed all of last month, so last month cannot be used to calculated weekly earnings. Instead, we must assume that last month's patchy earnings were the same as in previous months. The second assumption will necessarily lead to higher estimates than the first.
[52] The effective minimum wage refers to the higher of two applicable minimum wages: that of the state and the federal minimum wage.
[53] All CPS data was accessed through Data Ferret, a free program available on the Census Bureau's website.

sample into a subsample for each site.[54] Then, for each site, we regressed the real wage, adjusted to 2008 dollars, on age,[55] race and ethnicity, gender, and level of education—variables that we were able to match to our survey data.

The results of the regression are displayed in Table 1-D.2, below. Together, the coefficients make an equation to predict an hourly employee's average wage, given his or her age, race and ethnicity, gender, and education. To determine the wage of our respondents, we simply put their information into the equation, and generated their expected labor market wage.

The minimum wage is probably an underestimate of earnings, given that only 2.2 percent of hourly workers earn the federal minimum wage (Bureau of Labor Statistics 2007). The average wage is likely an overestimate, given our sample's history of crime and drug use, which cannot be controlled for using the CPS data. We conducted a sensitivity analysis using average wage as an upper bound and minimum wage as a lower bound and report the entire confidence interval.

1B. Education

An extensive review of the economics of education literature by Lange and Topel (2006) indicates that there is no strong evidence for social benefits of education itself. Instead, educational benefits tend to manifest in the form of reduced crime and improved employment outcomes. Since we explicitly account for these outcomes, including them in a valuation of education would be double counting. Wider benefits to aggregate economic growth, national output, or income distribution have not been sufficiently demonstrated. Thus, we chose to exclude educational outcomes from the cost-benefit calculation.

1C. Service and Support Provided

The service and support provided sub-category included community service and child support payments. We also considered court fees and fines; however, the data were not adequate to responsibly estimate these.

Community Service

Survey data indicated how many times each individual was assigned to do community service. To determine the amount of community service performed, we turned to the CPS data, and made use of the Annual Volunteering Supplement. Using all available data, 2002-2008, we restricted our focus to those who were ordered by the court to volunteer (N=230). Unfortunately, our survey contains data on the number of times individuals volunteer, while the CPS data contains the number of volunteering hours per volunteering week. We therefore assumed that most individuals court ordered to volunteer do so only once per week. If individuals volunteered

[54] Sites with larger populations had more responses. In all sites, enough observations were available for reliable estimates. N ranged from 5,350 in Chicago to 177 in Olympia. The average N was 1,655. The sample size was less than 400 in only two sites.

[55] Following the standard practice in labor economics, we used a linear and a quadratic term for age. This allowed the data to conform to the well-documented pattern where wages rise with age before peaking and eventually falling. In all sites, our estimated coefficients conformed to this expectation.

Table 1-D.2. Estimation of Average Wage

Site	Inter-cept Term	Male	Age	Age Squared	Race					Highest Attained Level of Education							
					White	Black	Indian	Asian	Hispanic	6 or Less	7–9	10–12	HS Grad or GED	Some College No Deg	Assoc Deg	Bach Deg	Advanced Deg
Osceola County Drug Court	0.20	1.64	0.577	-0.0060	0.00	-1.25	-0.80	-0.27	-0.97	-1.50	-0.65	-0.97	0.00	1.48	2.51	2.94	9.81
Volusia County Adult Drug Court Program	-2.38	2.01	0.682	-0.0071	0.00	-4.04	-4.04	-0.50	-1.75	-0.07	0.37	-0.80	0.00	0.95	3.66	6.83	4.58
Fulton County	0.67	2.17	0.584	-0.0059	0.00	-1.74	0.78	-3.43	-2.53	-1.86	-1.36	-1.85	0.00	0.64	2.18	4.15	10.71
Hall County Drug Court	-0.28	2.60	0.581	-0.0056	0.00	-2.00	-2.07	-4.39	-1.70	-2.51	-2.77	-1.95	0.00	0.61	1.45	5.90	8.72
Rehabilitation Alternative Program (R.A.P.)	-3.88	2.97	0.800	-0.0080	0.00	-2.39	0.67	-1.35	-1.53	-3.52	-3.09	-1.22	0.00	1.48	1.04	3.56	8.64
Kane County Rehabilitation Court	-3.88	2.97	0.800	-0.0080	0.00	-2.39	0.67	-1.35	-1.53	-3.52	-3.09	-1.22	0.00	1.48	1.04	3.56	8.64
Auburn Drug and Alcohol Treatment Court	-2.96	3.10	0.639	-0.0064	0.00	0.36	0.80	-2.31	1.05	-0.59	-1.79	-0.60	0.00	1.38	3.06	2.98	7.60
Lackawanna City Drug Court	-2.96	3.10	0.639	-0.0064	0.00	0.36	0.80	-2.31	1.05	-0.59	-1.79	-0.60	0.00	1.38	3.06	2.98	7.60
Batavia City Drug Treatment Court	-2.96	3.10	0.639	-0.0064	0.00	0.36	0.80	-2.31	1.05	-0.59	-1.79	-0.60	0.00	1.38	3.06	2.98	7.60
City of Niagara Falls Drug Treatment Court	-7.12	1.95	0.938	-0.0097	0.00	-2.59	1.88	-4.76	-2.15	-3.73	-1.73	-0.87	0.00	1.03	1.59	3.31	8.47
Syracuse Community Treatment Court	-2.96	3.10	0.639	-0.0064	0.00	0.36	0.80	-2.31	1.05	-0.59	-1.79	-0.60	0.00	1.38	3.06	2.98	7.60
Finger Lakes Drug Court	-3.98	1.35	0.817	-0.0083	0.00	-1.43	-3.28	-2.34	-1.47	-3.19	-0.87	-1.86	0.00	0.55	1.80	3.31	11.27
Finger Lakes Drug Court, felony division	-3.98	1.35	0.817	-0.0083	0.00	-1.43	-3.28	-2.34	-1.47	-3.19	-0.87	-1.86	0.00	0.55	1.80	3.31	11.27

Wayne County Drug Treatment Court	-3.98	1.35	0.817	-0.0083	0.00	-1.43	-3.28	-2.34	-1.47	-3.19	-0.87	-1.86	0.00	0.55	1.80	3.31	11.27
Chester County Drug Court Program	-3.23	2.66	0.801	-0.0081	0.00	-2.26	-0.32	-0.99	-1.62	-3.60	-2.48	-2.29	0.00	1.02	2.04	5.84	8.70
Philadelphia Treatment Court	-3.23	2.66	0.801	-0.0081	0.00	-2.26	-0.32	-0.99	-1.62	-3.60	-2.48	-2.29	0.00	1.02	2.04	5.84	8.70
York County Drug Treatment Court	-2.04	2.56	0.705	-0.0072	0.00	-1.93	-2.66	-0.36	-1.19	-2.89	-2.06	-1.37	0.00	0.30	2.76	4.32	11.05
Seattle Drug Court	-7.33	2.96	1.043	-0.0109	0.00	-2.41	-0.47	-1.86	-0.83	-6.87	-1.15	-0.46	0.00	0.80	2.48	5.60	7.70
Kitsap County Adult Drug Court	-5.78	3.25	0.870	-0.0088	0.00	-1.52	-0.61	-4.09	3.24	0.00	0.25	-0.47	0.00	1.70	2.79	7.95	4.28
Pierce Felony Drug Court	-7.33	2.96	1.043	-0.0109	0.00	-2.41	-0.47	-1.86	-0.83	-6.87	-1.15	-0.46	0.00	0.80	2.48	5.60	7.70
CHART Court	-5.78	3.25	0.870	-0.0088	0.00	-1.52	-0.61	-4.09	3.24	0.00	0.25	-0.47	0.00	1.70	2.79	7.95	4.28
Thurston County Drug Court	-6.36	2.84	0.915	-0.0088	0.00	-2.58	-2.81	-1.73	-0.34	0.00	2.01	1.73	0.00	0.98	-0.97	4.30	11.43
King County Drug Court	-7.33	2.96	1.043	-0.0109	0.00	-2.41	-0.47	-1.86	-0.83	-6.87	-1.15	-0.46	0.00	0.80	2.48	5.60	7.70
H.S.A	0.20	1.64	0.577	-0.0060	0.00	-1.25	-0.80	-0.27	-0.97	-1.50	-0.65	-0.97	0.00	1.48	2.51	2.94	9.81
Stewart Marchman	-2.38	2.01	0.682	-0.0071	0.00	-4.04	-4.04	-0.50	-1.75	-0.07	0.37	-0.80	0.00	0.95	3.66	6.83	4.58
IL TASC	-3.88	2.97	0.800	-0.0080	0.00	-2.39	0.67	-1.35	-1.53	-3.52	-3.09	-1.22	0.00	1.48	1.04	3.56	8.64
NC Probation	-2.40	2.14	0.761	-0.0081	0.00	-1.96	2.00	2.80	-1.54	-2.92	-3.09	-2.81	0.00	0.43	2.98	4.21	13.79
Pierce County TASC/ DOSA–Breaking The Cycle	-7.33	2.96	1.043	-0.0109	0.00	-2.41	-0.47	-1.86	-0.83	-6.87	-1.15	-0.46	0.00	0.80	2.48	5.60	7.70

multiple times per week, hours per volunteering session will be biased upward. To better account for this assumption, we eliminated from the CPS sample individuals who volunteered more than 24 hours (obviously more than one session), and used the median number of hours, rather than the mean. We estimated that each court-ordered volunteering session lasts seven hours.

To determine the extent to which volunteer work comprises a social contribution, we follow the method used by Jastrzab, Masker, et al. (1996) to estimate the costs and benefits of the American Conservation and Youth Service Corps. Using surveys of organizations that use volunteer services, they found that 24.6 percent of project sponsors reported that none of the work would have been done without those particular volunteers. Another 55.9 percent reported that only some of the work would have been done. We assume that for these cases, half the work would have been done, and thus, volunteers increase total production by 24.6 + (0.5)(55.9) = 47.6 percent of the work that they do, with the remaining 52.4 percent being work that would have been completed by other volunteers.

Using the market analogy method, well accepted in cost-benefit analysis, we value this production at each individual's calculated wage rate, following classic economic theory that an individual's wage reflects how productive an individual is in the market place. We assume that organizations using volunteers appropriately take advantage of their skills, making them equally productive in volunteering as they are in the private market.

Wages were calculated by dividing earnings, computed in 1C, by the number of reported weeks since the last interview, and the number of reported hours worked in a typical week. For individuals who had no earnings, we used the minimum wage to value community service.

Child Support Payments

Child support payments constitute a transfer of wealth and should not always be counted. However, given that our standing excluded the offender, they are appropriate here. The survey collected data whether the respondent was required to pay child support and the amount, if any, of back child support that the individual owed. We did not, however, have data on the amount of required child support payments.

To compute these values, we obtained child support schedules from each state in our sample. In all states but Florida, only the most recent schedule was available, while in Florida we were able to obtain the schedule in effect in 2006, the middle of our surveyed years. We do not expect this incongruence to bias our estimates. In Illinois and New York, child support payments are based on a flat rate of payer's monthly income, 20 and 17 percent, respectively. In the other five states, child support payments were established in a way that there was a fixed payment established for each level of monthly income, in intervals of $50.

To simplify the analysis, we elected not to match each individually reported income from the surveys with a corresponding payment amount. Instead, we developed an equation to determine payment amount from monthly income. All states have a minimum income threshold below which child support payments are a fixed amount, and a maximum threshold above which payment amounts no longer increase with income. To develop the equations, we truncated each

state's data at its respective minimum and maximum thresholds, restricting our focus only to the portion where payment amount increases with income.

Then, for each of the six states with a fixed payment schedule,[56] we regressed payment amount on income, logged income, and squared income, to allow the equation to fit the data well. All values of R-squared were 0.997 or above, indicating that each state's equation is a sufficient substitute for the actual figures. For each of these six states, if the respondent's income is below the minimum or above the maximum threshold, we used the minimum or maximum payment, respectively. If income lies between the two, we use the equation. The equation and threshold values are displayed in Table 1-D.3.

Table 1-D.3. Estimation of Child Support Obligations

	Minimum Threshold and Payment		Maximum Threshold and Payment		Regression Results for Other Payment			
State	Min. Income	Min. Pay	Max. Income	Max. Pay	Constant	Income	Squared Income	Log Income
Florida	650	74	10,000	1,437	-260.455	0.238	-1.04E-05	36.414
Georgia	850	197	30,000	2,236	-1362.12	0.069	-8.43E-07	222.701
Pennsylvania	850	50	20,000	2,301	-3105.48	-0.026	2.88E-06	482.582
North and South Carolina	1,000	50	25,000	1,819	-2374.28	0.01	4.62E-07	363.764

Note: All payment amounts are based on net monthly income. In the analysis, participants' reported income was adjusted to net income using the Federal Income Tax Brackets.

Criminal Justice

2A. Monitoring

The survey asked about several types of monitoring. Monitoring can broadly be thought of as supervision requiring reporting to persons. Individuals under supervision were asked whether the main person to whom they report is a parole or probation officer, a pretrial supervision officer, or a drug court case manager. This section considers the services of only the parole or probation officers and the pretrial supervision officers, as drug court case managers are discussed in section 2E, below.

Primary Supervision

The survey asked how many times since the last interview respondents met face-to-face or had phone contact with their primary supervision officer. Unfortunately, we do not know how long each meeting was. Following the convention in the criminal justice literature, we estimated each in-person and phone meeting to be 20 minutes in length. Estimated wages for these supervision

[56] South Carolina also had a fixed payment schedule; however, it was available only through an online calculator that required detailed input about parent characteristics. As this was not practical, we assumed that South Carolina's child support payments follow the same trend as North Carolina's, an imperfect assumption, but likely one with little substantive effect.

officers were obtained directly from the sites, where possible, through the aforementioned secondary set of interviews (Bhati, Roman, and Chalfin 2008).[57]

The salaries of probation or parole officers were unknown in a number of sites. To impute these salaries, we used a method for adjusting site-specific wages to drug court-relevant price structures. We did so using the Occupational Employment Statistics (OES) maintained by the Bureau of Labor Statistics (BLS 2009). Every 6 months, the BLS surveys about 200,000 employers from 450 different industries about the number and wages of employees falling into 800 different occupational categories. The resulting OES estimates are available for very specific occupational classifications and geographic regions.

For each Metropolitan Statistical Area (MSA) in our sample, we obtained the median wage of "Probation Officers and Correctional Treatment Specialists." Then, to account for the possibility that probation and parole officers involved in drug courts may earn different wages than general probation or parole officers, for all sites that reported their probation and parole officers' wages in the phone interview, we computed the ratio of the wage of drug court probation officers at that site to the median wage of all probation officers in that MSA. We took the average of this ratio across all available sites, and used the average ratio of drug court wages to median wages to scale the median wages by site.

This process was followed for a number of occupations discussed later. We see strong advantages to using site-specific wages, and when sites are unable to provide this information directly, we believe that adjusting wages using the average relationship between drug court wages and aggregate regional wages is a suitable approximation. To enable other researchers to use this technique, Table 1-D.4 displays the average ratio of drug court wages to all wages, for a variety of different types of employees. Future researchers can obtain site-specific wages through the OES, and use these values to scale the site-specific wages accordingly to estimate site-specific drug court wages.

Secondary Supervision

We were not able to directly observe how often participants reported to other supervision officers. Unfortunately, the survey only specifies whether respondents were supposed to meet with another type of supervision officer, not the number of meetings. We assumed that the frequency of meetings with a secondary supervision officer was half of that with the primary supervision officer. This ratio is arbitrary; however, preliminary investigation found that the results were not sensitive to the assumption. Meetings with a secondary supervision officer were valued in the same way as those with the primary supervision officer.

[57] We were concerned that this is only a reflection of average costs, rather than marginal costs upon which cost-benefit theory is built. However, the extensively well-documented caseload overburden faced by supervision officers indicates that additional cases force officers to either compromise the quality of other cases or devote additional time, beyond full-time employment, to cases. In either situation, these costs should be valued, so in this context, average costs are an accurate representation of marginal costs.

Table 1-D.4. Ratio of Drug Court Wages to Local Wages

Position	Estimate Based on N Sites	Mean Ratio	Standard Error of Mean Ratio
Prosecutors	14	0.668	0.15
Defense attorneys	10	0.622	0.214
Judges	10	1.082	0.312
Rehabilitation counselors	4	1.56	0.301
Substance abuse social workers	5	1.099	0.469
Probation officers	4	0.840	0.132
Court reporters	4	0.887	0.323
Law clerks	8	1.045	.403
Bailiffs	2	0.968	0.336

Electronic Monitoring

Other questions in the survey regarding criminal justice monitoring relate to drug tests (discussed below) and electronic monitoring. Estimating costs for both of these measures was fairly straightforward. Regarding electronic monitoring, only North Carolina has publicly available estimates of the cost of house arrest, so its estimate does not vary across sites. However, since the cost is nearly trivial, $7.74 per day after adjusting for inflation, this is unimportant.

Drug Tests

Estimates of the costs of drug tests were obtained from the aforementioned phone interview of drug courts in the study.[58] The survey of individuals asked only how many times the individual was tested for drugs, not what type of test was conducted. However, in order to further specify our estimates, we used responses from the MADCE Adult Drug Court Survey (see Volume 2 of this report), which asked drug court administrators what type of tests they used, choosing from saliva, urine, hair, and patch tests. For each individual in our sample, we assumed that all tests were of the type their drug court reported using. When the drug court reported using multiple types, we assumed that the drug tests the individual reported taking were evenly distributed across the multiple types the individual's court reported using.

For sites that did not have drug courts, we have no response to the MADCE Adult Drug Court Survey with which to estimate what type of tests those individuals took. We assumed that non-drug courts have the same preferences for drug test type as drug courts, and used the total responses from the Drug Court Survey to predict that 13.8 percent of courts test saliva, 96.3 percent test urine, 8.2 percent test hair, and 14.6 percent use patch tests. Thus, for each individual, whether in the drug court or not, we have reported number of drug tests taken and estimated number of each of these four types taken.

We compiled drug test cost estimates from multiple sources. Patch test costs, $32.49 in 2008 dollars, were directly laid out in Henry and Clark (1999). Other cost estimates were made

[58] In addition to drug testing, the survey also asked about the number of times respondents received a breathalyzer test, but because breathalyzer systems carry only fixed costs and no marginal costs, they were excluded from this analysis.

indirectly. Henry and Clark estimate most drug tests cost $10-$20 each. DuPont, Campbell, and Shea (2003) evaluated eight school-based drug testing programs, and reported median costs per test to be $19. Finally, the Office of National Drug Control Policy (ONDCP 2002), also discussing school-based drug testing, estimated that most drug tests cost $10-$30 each, with hair tests being somewhat higher. Therefore, we estimated the cost of a hair test, also described as more expensive by Henry and Clark, to be the higher end of this range: $30 in 2002 dollars or $35.90 after inflation adjustment. Saliva tests, supposedly more expensive than urine tests but less expensive than hair tests, were assumed to lie in the middle of the ONDCP range, which happens to match the DuPont et al. median at $20 ($23.94 after inflation adjustment). Finally, the cost of a urine test, reported by all three sources to be less expensive than other tests, was available directly from the sites themselves. Several sites reported this cost during the phone interview. We used each site's self-reported cost where possible, and where this wasn't possible, we used the average of the self-reported costs, $4.21.

2B. Police

Police costs, based on number of arrests, were estimated from official arrest records. An important shortcoming of the criminal justice cost-benefit analysis literature is the lack of estimates pertaining to police costs. Virtually all studies use estimates from Miller, Cohen, and Rossman (1994), whether they cite the work directly or indirectly, through a later paper which uses those estimates. Investigation, arrest, and processing costs, or the components which make up those costs, such as time use, are almost nonexistent. A major priority for the research should be updating these costs, currently based on 20 year old data.

That said, we did little to correct this omission. We did make some effort to make estimates more site-specific. We assumed that 75 percent of investigation, arrest, and processing costs are labor costs. We then customized inflation adjusted cost estimates from Miller et al. (1994) using the above mentioned Occupational Employment Statistics (OES) maintained by the BLS (2009). For each site, we obtained median wages of Police and Sherriff's Department Officers from that site's MSA for 2008. We then compared these median wages to national median wages, to develop a ratio of site-specific labor costs to national labor costs. We weighted the costs of arrest as follows:

$$Cost_i = 0.25 * Cost_N + (Wagei/Wage_N) * 0.75 * Cost_N$$

where $Cost_i$ and $Cost_N$ are the costs of an arrested for site i and the nation as a whole, respectively, and $Wage_i$ and $Wage_N$ are the median police officer wages for site i and the nation as a whole, respectively. Wages of police officers, along with those of many other relevant criminal justice employees, are displayed in Table 1-D.5.

Table 1-D.5. Wages of Relevant Criminal Justice Employees

Site	Parole & Probation Officers	Case Man-agers	Judges	Prose-cutors	Defense Attorneys	Police Officers
Osceola County Drug Court	23.62	21.10	85.62	40.41	35.43	22.2
Volusia County Adult Drug Court Program	26.70	25.60	86.77	45.68	40.05	18.14
Fulton County	19.85	23.36	85.03	57.98	50.83	19.75
Hall County Drug Court	17.64	25.60	42.99	28.50	24.99	15.06
Rehabilitation Alternative Program (R.A.P.)	29.91	25.60	103.74	62.44	54.74	34.89
Kane County Rehabilitation Court	24.65	39.54	93.45	57.39	50.32	34.89
Auburn Drug and Alcohol Treatment Court	34.14	13.35	78.72	102.32	89.71	20.9
Lackawanna City Drug Court	27.90	25.60	86.55	45.40	39.81	20.9
Batavia City Drug Treatment Court	27.90	24.08	86.55	45.40	39.81	20.9
City of Niagara Falls Drug Treatment Court	29.52	25.60	83.87	42.19	36.99	27.9
Syracuse Community Treatment Court	32.60	27.39	91.29	44.62	39.12	23.51
Finger Lakes Drug Court	28.09	27.98	58.78	33.47	29.35	25.18
Finger Lakes Drug Court, felony division	31.58	25.60	54.43	23.42	20.54	25.18
Wayne County Drug Treatment Court	32.09	25.60	77.02	36.60	32.09	25.18
Chester County Drug Court Program	32.16	35.32	96.69	57.48	50.40	29.69
Philadelphia Treatment Court	29.52	25.60	98.03	56.66	49.68	29.51
York County Drug Treatment Court	20.04	21.23	77.02	51.24	44.93	20.78
Seattle Drug Court	26.67	25.60	73.00	50.66	44.42	32.36
Kitsap County Adult Drug Court	25.50	25.60	70.27	31.70	27.79	28.35
Pierce Felony Drug Court	23.80	25.60	67.54	41.70	36.56	29.86
CHART Court	26.67	25.60	70.27	50.66	44.42	32.36
Thurston County Drug Court	25.32	25.60	82.85	73.35	64.31	31.41
King County Drug Court	26.67	25.60	73.00	50.66	44.42	32.36
H.S.A	23.62	25.60	85.62	50.75	44.50	22.2
Stewart Marchman	26.70	25.60	86.77	33.71	29.56	18.14
IL TASC	29.91	25.60	103.74	62.44	54.74	34.89
NC Probation	20.13	25.60	80.26	49.58	43.47	15.73
Pierce County TASC/ DOSA– Breaking The Cycle	23.80	25.60	67.54	41.70	36.56	29.86

2C. Courts

The survey asked respondents how many times they were in court for any type of hearing, and how frequently they met with the judge or a lawyer outside of hearings. The information needed to value these occasions was drawn primarily from the phone interview of drug courts included in the study. Because the interview included only treatment sites and not every court responded or provided all necessary information, we imputed missing values for each court. We took all possible measures to ensure that imputed values were empirically driven and as site-specific as possible. We used a multi-tiered approach.

When needed data were missing from the phone interview, we first turned to the process evaluation, where estimates were observed during a visit by the research team. This is less

preferable because the interview asked about typical operations, whereas the process evaluation is based on observations from a single point in time.

When information, such as salaries, was not included in the process evaluation, we turned to the aforementioned OES database. We used the same process explained above to adjust site specific median wages to wages relative to drug court. Again, see Table 1-D.4 for the ratio of drug court wages to median wages for various positions.

When salary information was not available through the OES, we assumed that relative salaries tend to cluster by court. For the positions of bailiff, clerk, court reporter, and court officer, we calculated the average salary from all reporting sites. For each site, we then computed the deviation of each of these positions' salaries from the mean. We created an index value for each site reflecting the average deviation from the mean of that site's non-legal courtroom positions. For example, suppose a site reported employing a bailiff, clerk, and court reporter, but provided salary information for only the bailiff and the court reporter. Suppose the bailiff is paid 10 percent more than the average bailiff from our sample, and the court reporter is paid 15 percent more than the respective average. We assumed that the clerk is paid 12.5 percent more than the average clerk in our sample, and estimated the salary accordingly.

Our final recourse, when none of these methods were viable, was to use a simple average of comparable estimates. For example, labor loading rates were used to obtain the true value of each individual's work. When labor loading rates were not available for a specific site, we calculated them as the average labor loading rate for the same position in other sites.[59] The same procedure was used to impute missing attendance rates at court hearings for various positions.

The survey also asked how often respondents met outside of court with the prosecutor, their defense attorney, and the judge. With insufficient data on the length of these meetings, we assumed that each lasted approximately five minutes. Wages of relevant parties specific to each site are presented along with those of law enforcement officers in Table 1-D.5.

2D. Corrections

The individual survey asked respondents how many days they were in jail or prison since the last interview, using the calendaring method to improve memory recall. However, self-reported responses are notoriously unreliable, due to both poor recall and dishonesty. Thus, we used official records for how many days the respondent was in jail and prison. We valued days in prison using financial records from each state's Department of Corrections. We used the Bureau of Justice Statistics' 2006 Census of Jail Facilities (BJS 2006), available through ICPSR, to calculate daily jail costs specific to each MSA.[60] Table 1-D.6 displays each site's daily prison and jail costs.

[59] Our initial expectation was that labor loading rates would cluster in sites, not positions, but informal inspection of the data indicated that the opposite was true. Thus, looking at loading rates for the same position at other sites is more appropriate than looking at loading rates for other positions at the same site.

[60] Per diem, per capita costs are not available through the Census of Jail Facilities. We calculated them as the sum of annual wage costs, operating expenses, and capital expenses divided by the average daily population divided by 365.

For sites where official records did not include brief jail stays used as sanctions, we supplemented the administrative data with data from the individual survey questions: "How many times have you received one to three consecutive nights in jail since your last interview?" and "How many times have you received four or more consecutive nights in jail since your last interview?" Since these questions explicitly referred to court sanctions and were separate from questions about incarceration for a new offense, we did not feel that they were double counting official incarceration records. We assumed that each stay of the first type lasted 2.5 days and each stay of the second type lasted 7 days.

2E. Drug Court

The survey asked two questions specific to drug court participation and services. Because the survey asked only about "regularly scheduled" court hearings, all drug court hearings are included in section 2C. The survey did, however, importantly ask in how many months since the last interview the respondent had participated in drug court (if any). The administrative costs for nearly all sites were obtained through the aforementioned phone interview. Nearly every site reported employees, even when salaries were not reported, so we could make very accurate approximations about how many full-time employees oversaw drug court administration. When salaries, details of staff meetings, and other employees were not reported, we used the techniques described above to impute this information. Administrative drug court costs are presented with daily jail and prison costs in Table 1-D.6.

The survey also asked about meetings with a drug court case manager. These questions mirrored those about supervision officers discussed in section 2A, and the same protocol was used to estimate case manager meeting time and wage, both when the case manager was the primary person to whom the respondent reported and when reporting to the case manager was assigned as a secondary responsibility. Estimated salaries of case managers are reported in Table 1-D.5.

Crime and Victimization

3A. Number of Crimes

An important impact to measure is the crimes committed by participants and the effects they have on victims. We used official data on arrests to estimate the number of crimes committed. Because we do not expect that respondents were arrested for every crime they commit, we scaled this figure up using national clearance rates (Federal Bureau of Investigation 2008).[61]

For sites whose jails did not report information for the Census, we used the daily jail cost for the geographically closest county in the same state that did report to the Census.

[61] Clearance rates are the proportion of crimes reported that end in arrest. This process has been used in past criminal justice literature (Roman 2009) and specifically in drug court cost-benefit analyses (WSIPP 2003).

Table 1-D.6. Costs of Incarceration and Administrative Costs of Drug Court

Site	Daily Cost of Jail	Daily Cost of Prison	Drug Court Monthly Administrative Costs per Enrollee	Costs Per Hearing[62]	
				Regularly Scheduled Hearings	Other Hearings
Osceola County Drug Court	69.50	55.09	30.04	11.23	8.12
Volusia County Adult Drug Court Program	52.78	55.09	60.64	24.95	26.98
Fulton County	62.29	48.05	143.92	17.88	8.95
Hall County Drug Court	45.80	48.05	108.57	3.15	4.36
Rehabilitation Alternative Program (R.A.P.)	88.27	64.97	33.59	14.56	10.18
Kane County Rehabilitation Court	88.27	64.97	63.03	26.96	24.89
Auburn Drug and Alcohol Treatment Court	112.01	95.45	94.86	16.23	14.37
Lackawanna City Drug Court	112.01	95.45	11.76	9.69	9.35
Batavia City Drug Treatment Court	84.93	95.45	13.40	4.04	4.54
City of Niagara Falls Drug Treatment Court	84.93	95.45	3.48	3.01	4.46
Syracuse Community Treatment Court	119.21	95.45	39.37	2.99	5.66
Finger Lakes Drug Court	103.04	95.45	191.65	6.36	8.89
Finger Lakes Drug Court, felony division	103.04	95.45	229.07	15.41	6.83
Wayne County Drug Treatment Court	133.12	95.45	237.30	14.16	9.33
Chester County Drug Court Program	67.05	85.93	35.84	48.52	36.56
Philadelphia Treatment Court	97.44	91.77	22.14	10.48	7.13
York County Drug Treatment Court	24.83	44.34	166.60	4.45	10.42
Seattle Drug Court	79.88	97.30	18.27	14.03	17.63
Kitsap County Adult Drug Court	75.20	97.30	88.70	13.21	11.86
Pierce Felony Drug Court	88.76	97.30	17.55	17.66	25.13
CHART Court	86.77	97.30	62.52	1.15	2.53
Thurston County Drug Court	141.46	97.30	177.51	21.89	18.84
King County Drug Court	79.88	97.30	1.84	29.05	28.73
H.S.A	69.50	55.09	30.04	8.12	8.12
Stewart Marchman	52.78	55.09	60.64	26.98	26.98
IL TASC	88.27	64.97	48.31	17.53	17.53
NC Probation	95.58	73.10	166.60	10.42	10.42
Pierce County TASC/ DOSA– Breaking The Cycle	88.76	97.30	17.55	25.13	25.13

3B. Price of Crime

Robust estimates of the price of criminal victimization, measured as the costs of crime to victims, inform a broad range of policy analysis and are widely applied. However, the most commonly cited studies are constrained by limited data and cannot directly estimate prices; thus,

[62] Costs per hearing primarily depend on who attends the hearing. At times, drug court hearings cost more than other hearings. This is because many individuals, whose time must be valued, attend these drug court hearings who would not attend other hearings. These might include treatment providers or case managers. On the other hand, sometimes the cost of a drug court hearing is lower. This is because in some sites, prosecutors and other employees do not attend drug court hearings, but do attend other hearings. We found wide variation across sites in terms of the types of employees who attended hearings, and this accounts for wide variation in hearing costs.

the studies cannot correct for sampling bias and do not report estimated variance in prices. A recent study (Roman 2009) combines individual and aggregate data, and analyzes individual-level data from two sources: (1) jury award and injury data from the RAND Institute of Civil Justice and (2) crime and injury data from the National Incident-Based Reporting System (NIBRS). Propensity score weights were developed to account for heterogeneity in jury awards with respect to legal claims. Data from the jury awards are interpolated onto the NIBRS data using combinations of all attributes observable in both data sets. From the combined data, estimates are developed of the price of crime to victims for 31 crime categories, and these prices of crime are used in this research. For each type of crime, we used both the mean cost and the median cost to determine the extent to which our results were sensitive to this choice.

Service Use

4A. Drug Treatment

The MADCE survey includes many drug treatment questions. From the survey, we are able to determine the number of days each month (since the last interview) that the respondent:

Received inpatient drug or alcohol detoxification at a hospital.
Was treated for drugs or alcohol in the emergency room.
Participated in a residential drug treatment program.
Received medicinal treatment (such as methadone, Naltrexone, or Buprenorphine).
Participated in outpatient group therapy.
Received outpatient individual counseling.

These services were valued using a number of extant sources, displayed along with the estimates of prices for each modality in Table 1-D.7. Several sites reported costs in responding to the aforementioned phone interview. For these sites, we used their self-reported costs. For the rest, however, we chose to rely on national estimates since they were invariably based on a much larger sample size than we had available from the interview.

Emergency room and hospital detoxification were valued using publicly available data from Healthcare Cost and Utilization Project (HCUP) conducted by the US Department of Health and Human Services' Agency for Healthcare Research and Quality. The HCUP combines data from state, public, and private databases into a large, nationwide dataset. From HCUPnet,[63] we obtained data on emergency room visits and inpatient hospital stays for which the primary diagnosis was drugs or alcohol, where averages were reported for drugs separately from those for alcohol. We computed average daily cost for each as the mean cost divided by mean length of stay. For each individual who reported either emergency room treatment or hospital detoxification, we determined whether to use the value for a drug or an alcohol diagnosis by referring to the individual interview, which asked the primary drug of choice. If the response was alcohol, we assumed the visit was for alcohol. If they responded with a drug, we assumed the visit was drug-related. Lastly, if they responded that they are not currently using drugs, we valued the reported visit as the average between a drug and an alcohol visit.

[63] Available online at: http://hcupnet.ahrq.gov/

Table 1-D.7. Drug Treatment Costs and Sources

Treatment Type	Source	Data Year	Sample Size	Cost	Per
Emergency room (drug)	HCUP	2006	All Hospitals	3,340	Day
Emergency room (alcohol)	HCUP	2006	All Hospitals	4,102	Day
Hospital detox (drug)	HCUP	2006	All Hospitals	2,713	Day
Hospital detox (alcohol)	HCUP	2006	All Hospitals	2,901	Day
Residential drug treatment	SAMHSA	1997–1999	48	82	Day
Medicinal treatment	SAMHSA	1997–1999	44	19	Visit
Outpatient group counseling	SAMHSA	1997–1999	215	10	Session
Outpatient individual counseling	SAMHSA	1997–1999	215	100	Session
In-prison therapeutic community	Roebuck et al.	1993–2002	8	8.43	Day

We valued the daily cost of residential drug treatment, outpatient medicinal treatment, outpatient group counseling, and outpatient individual counseling using figures reported in the Drug and Alcohol Services Study (ADSS) carried out by the Substance Abuse and Mental Health Services Agency (SAMHSA 2003). Phase II of ADSS was a cost analysis derived from interviews with directors of 280 treatment programs around the country. To approximate medicinal treatment costs, we used methadone treatment costs (methadone being the most commonly used medicinal treatment). Because methadone treatment is outpatient, we used estimates per visit, and matched these costs to the number of days respondents reported receiving the service. We also assume, based on the ADSS study's recommendation, that each individual and group counseling session lasts one hour, allowing us to match ADSS hourly counseling estimates with survey responses on number of days receiving counseling.

Finally, the survey allowed respondents to specify whether treatment was received "on the street" or while incarcerated. To our knowledge, the Drug Abuse Treatment Cost Analysis Program (DATCAP) is the only source that reports the costs of in-prison drug treatment services (Roebuck, French, and McClellan 2003). The eight in-prison treatment programs from which this average cost estimate is derived are all considered group-based residential treatment. This cost estimate is, therefore, directly used as the cost of in-prison group counseling and in-prison residential treatment. To adjust for prison cost structure, while still trying to obtain the most specific estimates possible, two cost ratios were calculated: (1) the ratio of outpatient individual counseling to outpatient group counseling and (2) the ratio of outpatient medicinal treatment to

outpatient group counseling. Each ratio was multiplied by the cost of in-prison treatment to obtain cost estimates for in-prison individual counseling and in-prison medicinal treatment, respectively.

For individuals who reported that any particular month's treatment was received both on the street and while incarcerated, we took the total number of days in the month that the individual was incarcerated divided by 30 (days in a month) and used that to weight estimates. For example, if an individual specifies that the treatment they received in August was received both on the street and during incarceration, and this individual was incarcerated for 10 days during August, we weight the in-prison cost estimates by one-third and the "on the street" cost estimates by two-thirds and average the two.

4B. Medical Treatment

The MADCE survey also asked about overnight hospital and emergency room visits that were not for drug treatment. To value these, we again returned to the HCUP data, obtaining 2006 data on mean cost and mean length of stay for all hospital stays. We obtain average daily cost by dividing average cost by average length of stay to calculate average cost per day of overnight hospital stays.[64] Because the HCUP data are so rich, we are able to develop more specific average daily costs based jointly on whether the individual is over or under 45 and what type of health insurance, if any, the individual has.[65] The individual interview collected age and insurance information, allowing us to match these estimates of cost per day, given age and insurance, to the reported number of days spent in the hospital for non-drug related reasons. These figures are displayed in Table 1-D.8.

Table 1-D.8. Costs of Overnight Hospital Stays by Age and Insurer

	Age 18–45	Age 46+
Medicare	1,560.46	1,929.11
Medicaid	1,554.18	1,872.39
Private	1,964.40	2,665.61
No insurance	1,854.12	2,109.36
Other	2,041.10	2,430.52

[64] We acknowledge that some debate exists surrounding the choice of median versus mean hospital costs, as medical expenses vary wildly and mean costs are likely much higher than typical costs. We believe that this problem is addressed when dividing mean costs by mean length of stay, as anomalously high hospital stays likely bias both the numerator and the denominator proportionally. More generally, we feel that mean values are advantageous to policy-makers, as they take into account the small probability of extremely expensive stays, where these stays would be disregarded altogether when using median costs.

[65] Because only two-way tables were available, we were only able to simultaneously use two controls. We selected these two because they exhibited the greatest variation across groups.

4C. Mental Health Treatment

Another survey question asked respondents how many days were spent in residential mental health treatment not related to drug or alcohol use. Because of the decentralization of the mental health system in the United States, estimates comparable to the medical care figures obtained through HCUP are not available (US Surgeon General 1999). In fact, few studies have surveyed a wide range of mental health treatment providers to develop cost estimates for the sector as a whole.

We turned to research from the Veterans Affairs Health Economics Resource Center (Barnett and Berger 2003). Using two comprehensive national databases maintained by the US Department of Veterans Affairs and a survey of hospital directors, the authors obtained direct costs (staff and supplies) and estimate indirect costs (including administrative, facilities, and general operating costs). Because this study drew research from hospitals around the country, albeit only VA Hospitals, we determined that it was the ideal source of estimates for the present analysis.[66] We used reported estimates of total direct and indirect costs. Of the available estimates, we selected those that excluded research and teaching expenses, because we believe that these expenses are unique to VA Hospitals, and not incurred by typical facilities. Our estimated cost of a single day in residential mental health treatment was $175.06.[67]

4D. Other Service Use

The key additional services used are services related to housing provision. The individual survey asked respondents to choose from a list of places where they had lived since the last interview. It then asks them to indicate in which of the selected choices they mostly lived. The survey does not specify what portion of the time since the last interview was spent in each place. We weighted responses as conservatively as was reasonable. If an individual reported living in a total of k different locations since the last interview, we assumed that the respondent spent 1/(k+1) of the time in each location, except that s/he spent 2/(k+1) of the time in the primary location reported in the next question. Thus, we assume that the respondent lived twice as long in the place they lived "most of the time" than any other place.

Three of the seven responses are important for the cost-benefit analysis: halfway houses, homeless shelters, and public housing (or section 8 housing). Each was valued using extant literature, from a variety of sources. To estimate the daily cost of halfway houses, we used figures reported in Klein-Saffran's (1995) summary of her dissertation. Adjusted for inflation, this daily cost is $49.75.

Cost estimates for homeless shelters were not as simple. We obtained estimated daily shelter costs for North Carolina from three reports submitted to the National Alliance to End Homelessness (NAEH) as 10-Year Plans to End Homelessness (Durham County, Raleigh and

[66] Most other studies we were able to locate were evaluations of specific hospitals or programs and relied on small samples. The VA is one of the largest providers of mental health services in the country, and so Barnett and Berger were able to use a much larger sample.

[67] Again, in several cases, sites reported their own residential mental health facility costs. We used these when available, but used national estimates otherwise, because of the excellent sample size on which estimates are based.

Wake County, and Asheville and Buncombe County). These reports are available through the online publication library of the NAEH. Although most sites in our sample had submitted 10-Year Plans to End Homelessness, few of them had cost estimates, and most were not as thorough as those from North Carolina. Therefore, we turned to a report compiled by the Lewin Group (2004) for the Corporation for Supportive Housing that provided cost estimates from nine major cities, several of which were included in our sample. Finally, we obtained an estimate of the daily shelter costs in New York City (Culhane, Metraux, and Hadley 2002).

Thus, in all, cost estimates were available for 13 different locations, including 3 of the 17 cities and 5 of the 8 states in our sample. Through the US Department of Housing and Urban Development's (HUD) selection of online datasets, we then obtained data on median rent values for every MSA in the country, and restricted the dataset to only MSAs in which there was an MADCE site or for which we had a homeless shelter cost estimate. Assuming that homeless shelter costs would vary proportionally with rent values, for each site for which we did not have a specific estimate, we assumed that daily homeless shelter costs were the same as those of the site with the most similar rent values. Our results using this method are displayed in Table 1-D.9.

Finally, the individual survey allowed respondents to specify that they lived in public housing and Section 8 housing.[68] This could be done in one of two ways. Individuals could report either living mostly in their own home or mostly living in another person's home, and two following questions would ask if this was Public Housing or Section 8 housing. We chose to value only those who lived in their own home, as we presumed that others who allowed the respondent to live with them would have received subsidized housing regardless, so the individual carries no marginal cost. To value subsidized housing, we returned to HUD. Using the dataset "A Picture of Subsidized Households—2000," the most recent year publicly available free of charge, we obtained the average monthly cost per unit of Public Housing and Section 8 housing for each state in our sample. These results, too, are displayed in Table 1-D.9.

Financial Support Use

5A. Government Financial Support

Valuing government financial support is not necessary when the standing includes the offender, as it is merely a transfer. However, since our standing did not include the offender, it was appropriate to include and was fairly straightforward to value. The survey asked how much money respondents received from disability or another government program in the prior month. For each individual, we looked back at how much they reported receiving from disability or government programs in the month prior to the previous survey. We then estimated that each month's financial support was a linear progression from the previous survey to the current one. If an individual received the same amount of financial support each month until the last month, when the amount declined or the individual stopped receiving support altogether, we will be underestimating government support. If, on the other hand, the individual received a given amount or no financial support during each month from the last interview to the final month,

[68] Some would argue that Section 8 housing would be more appropriately classified as financial support; however, due to the organization of the survey, it was easier to group with services used. Again, this misclassification is trivial, as all costs and benefits across all categories are aggregated to form total net benefits.

then the individual started receiving more support, our method will overestimate financial support. With no recourse, we accept this imprecision.

Table 1-D.9. Costs of Other Service Use

Site	Daily Costs of Homeless Shelter	Monthly Costs of Public Housing	Monthly Costs of Section 8 Housing
Osceola County Drug Court	$25.90	$354	$442
Volusia County Adult Drug Court Program	25.38	354	442
Fulton County	12.54	325	404
Hall County Drug Court	12.54	325	404
Rehabilitation Alternative Program (R.A.P.)	25.07	686	476
Kane County Rehabilitation Court	25.07	686	476
Auburn Drug and Alcohol Treatment Court	25.38	545	527
Lackawanna City Drug Court	25.38	545	527
Batavia City Drug Treatment Court	25.38	545	527
City of Niagara Falls Drug Treatment Court	21.72	545	527
Syracuse Community Treatment Court	25.38	545	527
Finger Lakes Drug Court	25.38	545	527
Finger Lakes Drug Court, felony division	25.38	545	527
Wayne County Drug Treatment Court	25.38	545	527
Chester County Drug Court Program	28.08	595	361
Philadelphia Treatment Court	28.08	595	361
York County Drug Treatment Court	25.36	359	342
Seattle Drug Court	19.38	351	460
Kitsap County Adult Drug Court	19.38	351	460
Pierce Felony Drug Court	19.38	351	460
CHART Court	19.38	351	460
Thurston County Drug Court	19.38	351	460
King County Drug Court	19.38	351	460
H.S.A	25.90	354	442
Stewart Marchman	25.38	354	442
IL TASC	25.07	686	476
NC Probation	25.36	359	342
Pierce County TASC/ DOSA– Breaking The Cycle	19.38	351	460

5B. Other Financial Support

The survey also asked whether the individual received financial support from friends or family. Again, when the unit of standing includes the respondent, this transfer is not counted. We estimated other financial support using the same method, to which the same caveat applies, as we did for government financial support.

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