

CONSENT TO PARTICIPATE IN A RESEARCH STUDY CALLED:

“Transitional Case Management”

You are being asked to participate in a research study being conducted by Michael Prendergast, Ph.D., from the Integrated Substance Abuse Programs at the University of California, Los Angeles. Your participation is VOLUNTARY. If you decide to participate in this study, you are free to withdraw your consent and stop participation at any time without penalty. Your participation will not affect your relationship with any criminal justice, treatment, parole, or other agency that you are or may become involved with.

You have been asked to participate in this study because you have received a referral to community-based substance abuse treatment while in a criminal justice facility and will be released from custody in the near future.

Purpose of the Study

This research study is designed to evaluate the effectiveness of enhanced case management services to improve participants' post-release treatment attendance and access to services in the community. The study will also assess whether the intervention has created a change in patterns of contact and collaboration among service providers who assist clients re-entering local communities. It is expected that the findings from this study will help policy makers decide how best to assist people with referrals to community-based substance abuse treatment in their transition from custody to the community.

Procedures

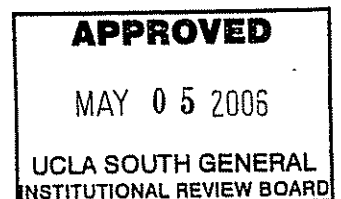
This is a randomized study. That means that you will have a 50-50 chance of being assigned to either the Standard Referral Group or the Case Management Group. This assignment will be determined by chance, in a process similar to drawing cards. This means that your assignment to a group is based on chance rather than a decision made by the researcher.

If you are in the Standard Referral Group, you will receive the services regularly offered by the Department of Corrections and/or the community-based treatment program to which you have been referred.

- You will continue to receive institutional substance abuse treatment prior to your release.
- You will receive a referral for community-based substance abuse treatment.
- You will view a videotape near the end of your treatment here that emphasizes the importance of entering community treatment after release.
- Upon release, you will receive the standard services of community correctional supervision.

If you are in the Case Management Group:

- You will receive all of the services of the Standard Referral Group.
- A case manager will meet with you about two months before your release to help you assess your strengths and skills and determine what services you will need upon release.



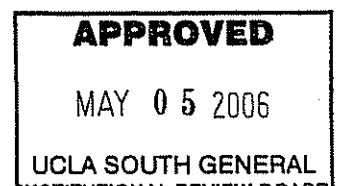
- The case manager will set up a conference call with you, the treatment program you plan to go to, your parole officer (or similar authority), other service providers, family members, and others to help you plan for a successful transition into the community. This call will take place about one month before your release date.
- After you are released to the community, the case manager will meet with you weekly for 3 months to help you access services, develop your abilities to attain your post-release objectives, and encourage you to enter and participate in the treatment program to which you have been referred.
- After the first 3 months, the case manager will call you at least once a month for 3 months to help you with any additional assistance as necessary.

Participants in both the Standard Referral Group and the Case Management Group will take part in three research interviews:

- A 1-2 hour baseline interview (conducted now);
- A 30-minute mid-point interview (conducted three months after release),
- And a 60-minute follow-up interview (conducted around 9 months after release).
- You may be asked to provide a VOLUNTARY urine sample at the mid-point interview, follow-up interview, or at both interviews.

In the baseline interview, you will be asked questions regarding your family and social background, prior criminal justice involvement, employment, substance use/abuse, psychological functioning, motivation for treatment, HIV risk behavior, and pressure to enter community treatment. The mid-point interview will include short surveys that focus on services you have received since release from prison, your satisfaction with those services, and any drug use or criminal activities. The 9-month follow-up interview will cover many of the same areas as in the baseline interview.

In the baseline interview, we will also ask you to complete a Locator Form so that we will have the necessary information to locate you for the mid-point and follow-up interviews. The Locator Form is attached for your review prior to signing this form. The Locator Form includes questions about things like your nicknames, driver's license number, social security number, where you live, where your relatives live, and identifying physical characteristics. Study staff will contact only as many people on the Locator Form as is necessary to contact you. When speaking to others, we will only say we are trying to locate you for a "Health Study." We will not disclose the nature of the study or give any study-based information to locator sources. We first send a letter to the address that you indicate is your "best mailing address," then, if there is no response, we send letters to the other addresses you give us. If there is no response, we call the phone numbers you give us, starting with the "best address" and "best contact" phone numbers. If we are unable to locate you through the addresses and phone numbers you give us, we request address update information from agencies such as the department of motor vehicles, credit bureaus, and reverse directory services. We *only* request *address* update information from these agencies. At the time of the follow-up interviews you may be incarcerated. We will attempt to contact you by letter to inform you that you are due for a follow-up interview for a "Health Study." You will be provided with a collect-call number so that you may arrange for the interview.



As part of this study, we will also conduct records-based reviews. We will determine study participants' rates of rearrest and return to custody from data provided by the Department of Justice and the Department of Corrections. We will also collect data on the services the Case Management Group received from case managers (such as service logs) and from the treatment programs in which you participate.

Potential Risks and Discomforts

Although the risks associated with this study are minimal, you may experience anxiety, emotional distress or another negative reaction due to the sensitive nature of some of the questions included in the interview.

Potential Benefits to Subjects

If you are randomized to the Case Management Group, you will receive assistance while in custody with planning for your transition into the community and contacting those who can assist you after release. In addition, for three months after release, you will receive help in obtaining services and meeting your post-release objectives. If you are randomized to the Standard Treatment Group, you will receive no direct benefit as a result of your participation in this study, but you will still have the opportunity to participate in the treatment program to which you have been referred.

Potential Benefits to Society

Knowledge gained from this study may be used to improve retention in community-based substance abuse treatment and access to other services for previously incarcerated individuals.

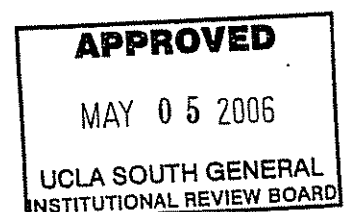
Payment for Participation

You will receive \$10.00 deposited to your inmate trust account for your baseline interview. You will receive a \$25.00 grocery gift certificate for the mid-point interview and a \$25.00 grocery gift certificate for the follow-up interview. If you complete both the mid-point interview and the follow-up interview, you will receive an additional \$10 grocery gift certificate. In addition, if you are selected to provide a urine sample and you agree, you will receive a \$5 grocery gift certificate. If you are incarcerated in a state or county correctional facility at the time of the mid-point or follow-up interviews your compensation will be sent to a beneficiary of your designation. You will receive no payment for either the mid-term or follow-up interview if such interviews are conducted while you are incarcerated in a federal prison.

Confidentiality

Due to the nature of prisons, it is very difficult to prevent others from knowing that you are taking part in a research study. We minimize this risk as much as possible. If you are concerned about other people knowing you are in a research study, you have the right to opt out of participation without any consequences. The confidentiality of the data collected will be protected at all times. Interviewers are required to take all possible measures to protect the confidentiality of your responses. No data identifying you as a participant will be shared with treatment staff, parole agents, or other research programs. All data reported in publications or reports will be in aggregate form. This means that the data will be combined and reported in such a way that no individuals can be identified. Data will be kept in locked files at the researchers' office, and questionnaire results will be identified by a code number only. Results of the voluntary urinalyses will also be kept confidential. All samples and results

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will be identified by code number only, and identifiable individual results data will not be shared with treatment staff, parole agents or other criminal justice personnel, or other research programs. As with other measures, data will be reported in aggregate form only. The list linking participants' names and code number will be available only to immediate research staff and will be kept in a locked safe separate from the other data. Upon completion of the project the list will be destroyed. No information that identifies you will be released without your separate consent except as required by law. Once all the data is collected, all personal identifiers will be removed and the data will be sent to a coordinating center for use by researchers.

The data collected in this study will be covered by a Certificate of Confidentiality issued by the Department of Health and Human Services. This Certificate is intended to protect the identities of research participants from any person not connected with the research itself. This protection includes "any civil, criminal, administrative, legislative, or other proceedings whether Federal, State or local" (quoted from the Certificate). The only exceptions to the confidentiality of the information you provide concerns the sexual or physical abuse of a child or elder, or threatened harm to yourself or others. If information on current child/elder abuse is given to the researchers, or if there are threats to harm yourself or others, the researchers are required to report this to the authorities. The obligation to report includes alleged or probable abuse as well as known abuse. Except for these requirements, the Certificate of Confidentiality means that the information provided by you cannot be used in any criminal or legal proceedings.

Participation and Withdrawal

You can choose whether to be in this study or not. If you volunteer to be in this study, you may withdraw at any time without consequences of any kind. You may also refuse to answer any questions you don't want to answer and still remain in the study. You may refuse services offered by the case manager.

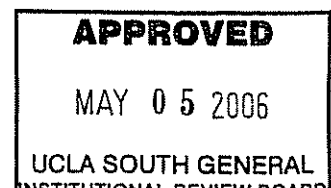
You may be asked to participate in other studies in the future. Your participation in any future studies would be voluntary and covered by a separate consent procedure.

Identification of Investigators

If you have any questions or concerns about this evaluation study, feel free to contact Jerome Cartier, MA., Study Director. He can be reached at the UCLA Integrated Substance Abuse Programs, 1640 S. Sepulveda Blvd., Suite 200, Los Angeles, California 90025. You may also call collect at 310-445-0874 x339. The Principal Investigator for this study is Michael Prendergast, PhD., UCLA Integrated Substance Abuse Programs, 1640 S. Sepulveda Blvd., Suite 200, Los Angeles, CA. 90025, 310-445-0874 x334.

Rights of Subjects

You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claim, rights, or remedies because of your participation in this evaluation study. If you have questions regarding your rights as a subject, contact the Office for Protection of Research Subjects, UCLA, 2107 Ueberroth Bldg., Box 951694, Los Angeles, California 90095-1694, 310-825-8714.



Permission to Obtain Address Information from Credit Bureaus

Please check the appropriate box and initial:

- ___ I agree to allow researchers to obtain my address information from credit reporting agencies.
- ___ I do NOT agree to allow researchers to obtain my address information from credit reporting agencies.

Signature of Subject

Your signature indicates that you have read and understood the information provided above and that you willingly agree to participate in this evaluation study. **You will receive a copy of this form.**

Name of Subject

Signature of Subject

Date

Signature of Interviewer

In my judgment, the subject is voluntarily and knowingly giving informed consent and possesses the legal capacity to give informed consent to participate in this research study.

Signature of Interviewer

Date

