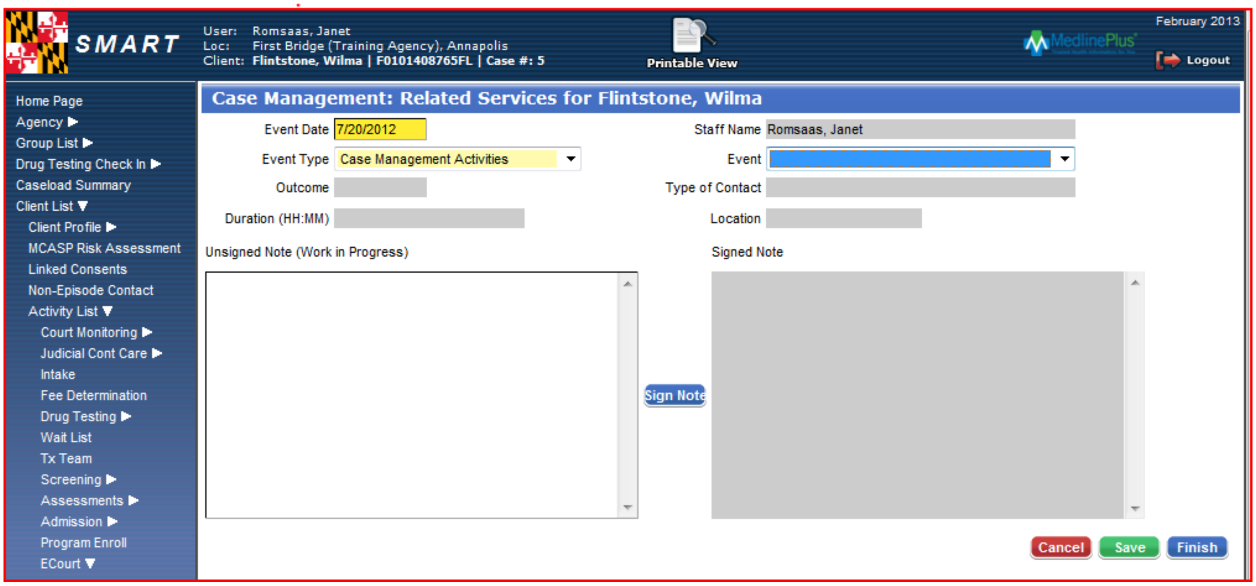
SMART Case Managers' Guide

INTRODUCTION:

The case managers associated with the problem solving court typically enter case management activities, referrals to services and services attended in SMART. These case managers usually work directly for the court but sometimes are employed by health departments, by treatment agencies or by Department of Juvenile Services.



There are three different types of eCourt case management events (called Event Types on the data entry screen) in SMART. This document covers each of these three events in a separate section.

EVENT TYPES:

1. **Case Management Activities**: Defined as the "ECourt Case Management Event" where all the documentation of the communication and directives between the case manager and client, or between the case manager and others working with the client, is recorded.
2. **Referral to Services**: Defined as the "ECourt Case Management Event" where all referrals to Ancillary or Collateral Services by the case manager and the follow-up on the referrals by the client are documented within SMART.
3. **Services**: Defined as the "ECourt Case Management Event" where the client's attendance at each individual Ancillary or Collateral Service is documented within SMART.

1. CASE MANAGEMENT ACTIVITIES:

Events are as follows:

a) **Case Management Planning** is defined as any session where the client and the Case Manager develop and update the goals and tasks and assignments of the Case Plan. This note should be formatted in the following manner: Goal, Action, and Plan (GAP)

b) **Case Management Review** (Progress Note) is defined as a written record completed at the end of a session where the Case Manager is managing, monitoring and/or evaluating the progress of a client regarding the existing goals and tasks and assignments of the case plan. This note should be formatted in the following manner: Data, Action, Plan, and Results. (DAP)

c) **Contact with Treatment Provider** is defined as a Case Management contact with any of the client's Treatment Providers, such as mental health, medical, family therapy or substance abuse. This category refers to contact with providers who have clinical licensure or certification. This contact shall be conducted by a face-to-face meeting, by phone, or a conversation through email. Written correspondence through standard mail or fax is not considered a contact.

d) **Contact with Criminal Justice** is defined as a Case Management Contact with the Probation Agent, State's Attorney, Public Defender, or Private Counsel. This contact shall be conducted through either a face to face meeting, by phone, or email. Written correspondence through standard mail or fax is not considered a contact.

e) **Summary Note**- is defined as the specific information provided in the public reporting section on the SMART Problem- Solving Court Report. **This is not a progress note.** The intention of the Summary Note is to provide adequate, specific, and appropriate information for the purposes of a Problem solving court Review Hearing in accordance with all consent(s) on file. For example, specific, confidential details of a session (clinical, non-clinical, or legal) should not be included within the Summary Note. Also, the Summary Note should not be used to manage the details of Case Management, Clinical, or Legal Sessions. The "Court Report" is not to be substitution for case file documentation or a replacement of PSC Team meetings or communication.

f) **<u>Contact with Monitors</u>** – is defined as communication between the Case Manager and Public Safety Personnel. For example: Drug Driving Monitors

g) **<u>Contact with Collateral</u>–** is defined as a service or person serving to support or reinforce the needs of the client. This includes but is not limited to; Ancillary Services, Family, Parent or Guardian, non-Criminal Justice Services, or Employers.

h) **<u>Exit Planning</u>** is defined as a process of monitoring and evaluating the client's readiness for discharge from Problem solving court. Exit Planning is a process that begins at admission and includes; however, it is not limited to exercises in time, task and resource management, relapse management, successful execution of life skills, coping skills, support group participation, or mentor identification. Further, Exit Planning is process whereby the Client and Case Manager prepare and implement strategies to decrease barriers, improve behavioral responses to daily activities, decrease the influence of and improve reactions to triggers, and improve decision making and confidence. Measureable outcomes should be evident through the case notes kept by the Case Manager, and this information shall be used to support a recommendation for graduation. In cases of poor performance or non-compliance, the detailed notes should support a recommendation for termination.

Progress notes may be associated with any of the above events except Summary Notes. Progress Notes are defined as written records of any session where the Case Manager is managing, monitoring, and/or evaluating the progress of a client regarding the existing goals and tasks of the case plan. The detail includes the "data, action, plan, results". (DAP)

Outcomes for Case Management Activities are:

a) **Attended** – Successful completion of an appointment, contact, or assignment (i.e. phone call received)
b) **Failure to Attend (FTA)** – Failure to Attend a scheduled appointment or to complete a given assignment.
c) **Not Applicable (N/A)** – For Case Management Summary Note or others as needed

d) **Excused** – Used in limited application to identify when a client has correctly addressed and/or rescheduled a scheduled appointment. (see program policy to define "correctly")

e) **Unknown** – Should be used very infrequently

f) **Blank** – Missing

g) <u>Any other items in the dropdown list should not be used after 1/25/13.</u>

Outcome is currently a required field even though it is not shaded yellow.

Types of Contact for Case Management Activities are:

- ✓ **Face to Face**: Client or professional communication in person at any designated location.
- ✓ **Phone Contact**: Client or professional communication through the telephone.
- ✓ **Written, Email, and Text**: Client or professional communication through email or text message.
- ✓ <u>Any other items in the dropdown list should not be used after 1/25/13.</u>

Type of Contact is currently a required field even though it is not shaded yellow.

2. REFERRALS TO SERVICES

When a case manager makes a referral to one of the services below, it should be documented in SMART with the date the referral was made.

Events are as Follows:

Anger Management /Conflict Resolution
Child Care
Community Service and Volunteer Projects
Department of Labor, Licensing, and Regulation (DLLR)
Developmental Disability Services
Employment Services
Family/Parenting Counseling
General Educational Development (GED)/Educational Services
Higher Education and Vocational Colleges
Hobby/Recreation
Housing
Hygiene – Personal Grooming & Care
Legal Services (civil & criminal)
Life Skills Training
Medical Health Services (medical, dental, other)
Mental Health Services
Mentor
Moral Reconation Therapy (MRT)
Other
Parenting Classes
Recovery Advocate
Social Services
Substance Abuse Treatment
Support Groups
Transportation
U. S. Department of Veterans Affairs (VA)
Vital Statistics Agency – SSI, SSN, Driver's License
Vocational Training
Women's Services
Work Preparedness Services - Clothing closets, pre-employment services

When the case manager confirms that the client followed up at least once, it should be documented as follows:

Outcomes for Referrals to Services are:

The following outcomes are used to record the results of any referral to services.

a) **Attended**– Used if the client has followed-up on the referral and attended at least one appointment with the referral agency. This outcome should also be used if the client has successfully completed a given assignment.

b) **Failure to Attend (FTA)**– FTA to a scheduled appointment or to complete a given assignment.

c) **Not Applicable (N/A)**

d) **Excused** – Used in limited application to identify when a client has correctly addressed and/or rescheduled a scheduled appointment. (see program policy or define “correctly”)

e) **Unknown** – Should be used very infrequently

f) **Blank** – If outcome is unknown (expected to be completed when outcome is known)

g) <u>Any other items in the dropdown list should not be used after 1/25/13.</u>

Outcome is currently a required field even though it is not shaded yellow.

Type of Contact for Referrals to Services are:

- ✓ **Face to Face**: Client or professional communication in person any designated location.
- ✓ **Phone Contact**: Client or professional communication by telephone.
- ✓ **Written, Email, and Text**: Client or professional communication through email or text message.
- ✓ <u>Any other items in the dropdown list should not be used after 1/25/13.</u>

Type of Contact is currently a required field even though it is not shaded yellow.

3. SERVICES:

When a case manager finds out that a client attended or did not attend one of the services below, it should be documented in SMART for the date the event was attended or scheduled for.

Events are as follows:
Anger Management /Conflict Resolution
Child Care
Community Service and Volunteer Projects
Department of Labor, Licensing, and Regulation (DLLR)
Developmental Disability Services
Employment Services
Family/Parenting Counseling
General Educational Development (GED)/Educational Services
Higher Education and Vocational Colleges
Hobby/Recreation
Housing
Hygiene – Personal Grooming & Care
Legal Services (civil & criminal)
Life Skills Training
Medical Health Services (medical, dental, other)
Mental Health Services
Mentor
Moral Reconation Therapy (MRT)
Other
Parenting Classes
Recovery Advocate
Social Services
Substance Abuse Treatment (for treatment agencies not using SMART)
Support Groups
Transportation
U. S. Department of Veterans Affairs (VA)
Vital Statistics Agency – SSI, SSN, & Driver's License
Vocational Training
Women's Services
Work Preparedness Services - Clothing Closets, Pre-Employment Services

Outcomes for Services are:

The following outcomes should be used to record the results of any services.

a) **Attended**– If the client attended the service. This outcome should also be used if the client has successfully completed a given assignment.

b) **Failure to Attend (FTA)**– FTA to a scheduled appointment or to complete a given assignment.

c) **Not Applicable (N/A)**

d) **Excused** – Used in limited application to identify when a client has correctly addressed and/or rescheduled a scheduled appointment. (see program policy or define "correctly")

e) **Unknown** – Should be used very infrequently

f) **Blank** – If outcome is unknown (expected to be completed when outcome is known)

g) <u>Any other items in the dropdown list should not be used after 1/25/13.</u>

Outcome is currently a required field even though it is not shaded yellow.

Type of Contact for Services are:

- ✓ **Face to Face**: Client or professional communication in person any designated location.
- ✓ **Phone Contact**: Client or professional communication by telephone.
- ✓ **Email and Text**: Client or professional communication through email or text message.
- ✓ <u>Any other items in the dropdown list should not be used after 1/25/13.</u>

Type of Contact is currently a required field even though it is not shaded yellow.

<u>**For all Event Types: (optional fields)**</u>

Duration: Time spent on the activity in hours and minutes

Unsigned and Signed Notes: Can be used to document what transpired during an event. Signing notes causes them to be date and time-stamped with the time signed as well as with the SMART user's name. Only signed case management summary notes will appear on the Client Progress Report and Summary Report. Other signed notes will appear on the report of Case Management Activities, both within an agency and in other agencies where a valid consent is in place, but not on the Client Progress Report. <u>**NOTE: Check with OPSC to see when these notes are required.**</u>

Location: Is always grayed out. Users are never able to enter data in this field. If this field is needed, we can address opening it up for data entry.

<u>**Modifying or Deleting Case Management Entries**</u>

To modify an entry (i.e. to add an outcome) click "review" next to the activity on the eCourt Case Management screen. Then make the needed changes and save.

To delete an entire case management event, referral, or service click "delete" next to the activity on the eCourt Case Management Screen. SMART will ask you if you are sure you wish to delete this event. If you are sure, press "yes", this will delete the activity and then you must completely re-enter the note if you decide it is needed.

AVAILABLE REPORTS:

1. Client Progress Report – lists all case management events within a certain period, but does not display any notes, except for summary notes. (See Attachment A)
2. Print Report – Prints all fields on screen including signed notes for any Case Management Activity. However, one cannot limit the date range; therefore, all Case Management Activities for a given client will be displayed starting from the client's admission into Problem solving court. (This report will have a date selection option by March 2013) This report is also available for consented data from the consented activity list.
3. Performance Reports from SSRS – Tables 7-9 report on Case Management activities as described below. See Attachment B for sample reports.

Table 7. Case Management Event Summary

Selects clients who were active during the reporting period. Also selects any case management activities that fall during the reporting period, in the agency requesting the report or any consenting agency. Case management activities are entered in the eCourt Case Management module in SMART, with event type "case management activity."

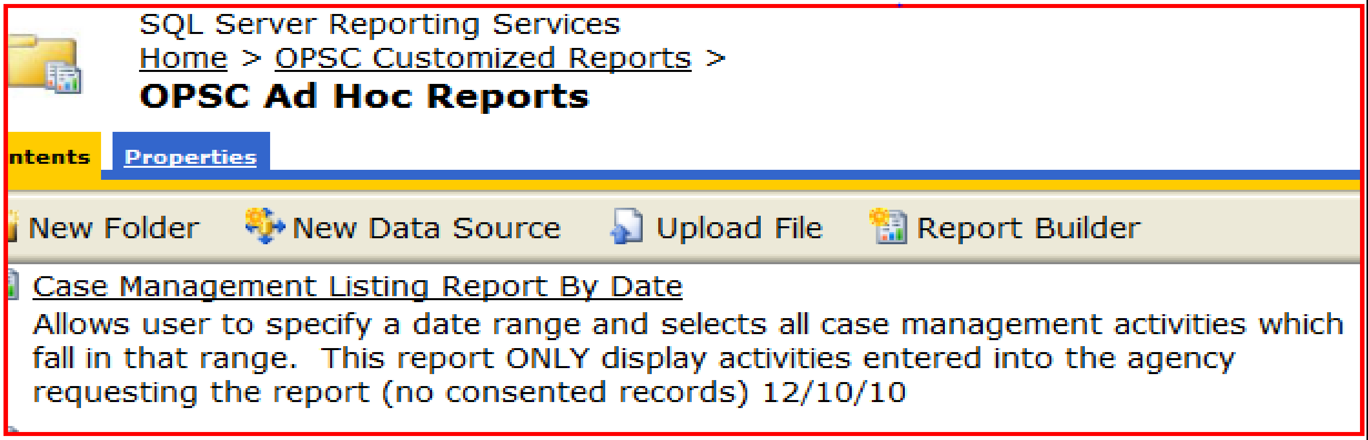
Table 8. Case Management Event Summary Referrals

Selects clients who were active during the reporting period. Also selects any referrals to service where the event date falls during the reporting period, in the agency requesting the report or any consenting agency. Referrals to service are entered in the eCourt Case Management module in SMART, with event type "referral to service."

Table 9. Case Management Events Services Scheduled

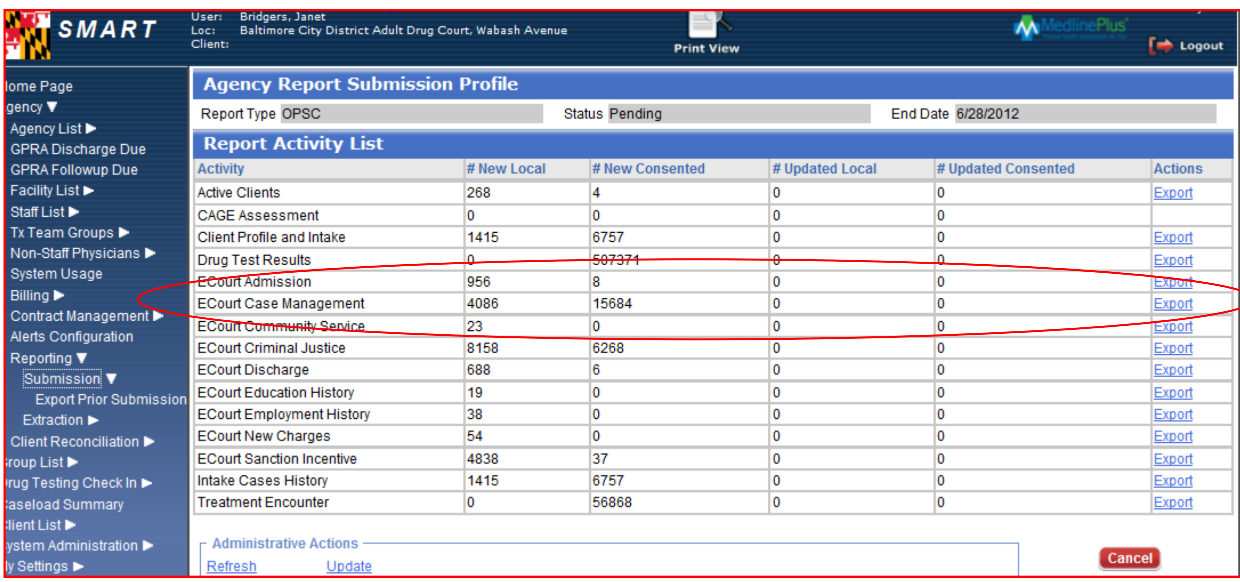
Selects clients who were active during the reporting period. Also selects any services where the the event date falls during the reporting period. Services are entered in the eCourt Case Management module in SMART, with event type of "services."

4. Ad Hoc Report from SSRS – There is a case management listing report by date as described below.



This report will only show events entered into the agency requesting the report (i.e. no consented data). See Attachment C for a sample report.

5. Excel spreadsheet report from SMART – Agency Reporting. Click Export to download the data to Excel, where users can analyze and format data.



Activity	# New Local	# New Consented	# Updated Local	# Updated Consented	Actions
Active Clients	268	4	0	0	Export
CAGE Assessment	0	0	0	0	
Client Profile and Intake	1415	6757	0	0	Export
Drug Test Results	0	507371	0	0	Export
ECourt Admission	956	8	0	0	Export
ECourt Case Management	4086	15684	0	0	Export
ECourt Community Service	23	0	0	0	Export
ECourt Criminal Justice	8158	6268	0	0	Export
ECourt Discharge	688	6	0	0	Export
ECourt Education History	19	0	0	0	Export
ECourt Employment History	38	0	0	0	Export
ECourt New Charges	54	0	0	0	Export
ECourt Sanction Incentive	4838	37	0	0	Export
Intake Cases History	1415	6757	0	0	Export
Treatment Encounter	0	56868	0	0	Export