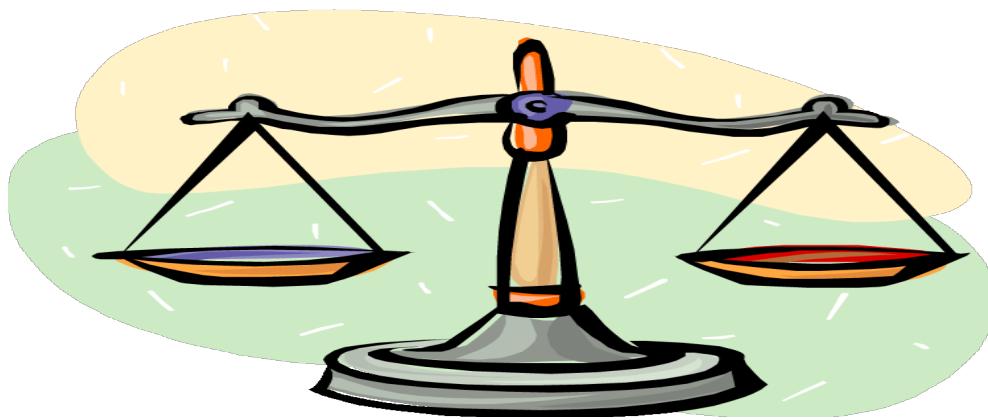




# SMART Problem Solving Court Training Manual

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Problem solving courts exist to address the underlying problems that contribute to criminal behavior.



### **Purpose of the SMART Problem-Solving Court manual:**

This training manual is designed to provide problem solving court program team members with the practical tools and information required to use the Statewide Maryland Automated Record Tracking (SMART) information system for effective caseload management and recordkeeping. (Note: Problem solving court team members include the case manager and the multidisciplinary providers that are collaborating to meet the needs of the participant.)

The goal of this manual is to assist the problem-solving court team in utilizing case management and treatment strategies to provide more efficient and effective supervision and treatment across the service system. This approach includes integrating the problem-solving court principles, understanding how to capture and enter data into SMART, monitoring data, and retrieving data once it has been entered. The first several chapters outline each SMART module specific training objectives, how to correctly enter participant data into the module, the identification of associated reports and suggested utility of the data. The last chapter and the appendices cover the utilization of participant and program level reports to track progress and measure outcomes. In addition, the manual will review case scenarios that will provide guidance when making decisions. The problem-solving court team will be trained in modules according to his/her role(s) within the court program.

### **Training Objectives:**

This training will provide problem solving court team members with the information to utilize the SMART system as a case management tool to maintain accurate recordkeeping while meeting participant, local, and state requirements. After the training, participants will:

- Know how to access SMART, and search for existing participants and view client progress.
- Create a new participant record in SMART, and open a client/participant case.
- Document all problem-solving court related activities-
  - Problem solving court admissions;
  - Drug Testing;
  - Treatment Encounters;
  - Case Management related activities and services;

- Employment;
  - Education;
  - Sanctions/Incentives;
  - New Charges;
  - Court & Other Criminal Justice;
  - Consents/Referrals;
  - Legal Status (Mental Health Courts);
  - Current Situation;
  - Community Service;
  - Problem solving court discharge; and
  - Monitor Progress: Accessing Data and Generating Reports.
- In addition, the manual will cover the utility of the reports associated with some of the modules, as well as, tools to monitor problem solving court participant and program progress.

## OPSC and IGSR Contact Information

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### **OPSC Reporting Schedule:**

As agents of change, it is imperative that problem solving court case managers ensure that participant services are comprehensive in scope and all participant related information is captured in a timely, detailed fashion in SMART. In addition to using SMART to monitor a participant's progress, it is used to evaluate each court's performance. Each court is responsible for submitting reports quarterly and annually. All court coordinators and/or their designees are encouraged to generate reports frequently to ensure their courts are in alignment with the needs of their participants. Please see below for reporting details.

<b>Quarters</b>	<b>Reporting Months</b>	<b>Report Tables</b>	<b>Due Date</b>
<b>1<sup>st</sup> Qtr.</b>	July 1st through September 30th	Tables 1 through 18	On or before October 30 <sup>th</sup>
<b>2<sup>nd</sup> Qtr.</b>	October 1st through December 31 <sup>st</sup>	Tables 1 through 18	On or before January 30 <sup>th</sup>
<b>3<sup>rd</sup> Qtr.</b>	January 1 <sup>st</sup> through March 31 <sup>st</sup>	Tables 1 through 18	On or before April 30 <sup>th</sup>
<b>4<sup>th</sup> Qtr.</b>	April 1 <sup>st</sup> through June 30 <sup>th</sup>	Tables 1 through 18	On or before July 30 <sup>th</sup>

<b>Annual</b>	<b>Reporting Months</b>	<b>Report Tables</b>	<b>Due Date</b>
<b>12 mos.</b>	July 1 <sup>st</sup> through June 30 <sup>th</sup>	Tables 1 through 16 with graphs, and Tables 17 and 18	On or before July 30 <sup>th</sup>



## Table of Contents

Chapter 1	Accessing SMART
Chapter 2	Opening a Client Record
Chapter 3	Problem Solving Court Admission
Chapter 4	Drug Testing
Chapter 5	Treatment Encounters
Chapter 6	Case Management
Chapter 7	Employment
Chapter 8	Education
Chapter 9	Sanctions & Incentives
Chapter 10	New Charges
Chapter 11	Court & Other Criminal Justice
Chapter 12	Consents/Disclosure & Referrals
Chapter 13	Legal Status
Chapter 14	Current Situation
Chapter 15	Community Service
Chapter 16	PS Court Discharge
Chapter 17	Monitor Progress: Accessing Data and Generating Reports

## Appendices

Appendix A- Case Scenarios,

Appendix B- Report Submission Time Table

Appendix C- Data Dictionary



## **Chapter 1: Accessing SMART**

### **Purpose of the Module:**

The purpose of this module is to provide detailed steps in accessing and navigating SMART. The problem-solving court team will also gain an understanding of the three-factor credentialing and data security.

### **Training Objectives:**

After completing this module, the problem-solving court team will be able to:

- Log in to the SMART database.
- Change Password/PIN.
- Understand the security of client/participant data.
- Understand the basic navigation conventions in SMART.
- Access and navigate SMART modules.

### **Requirements for Logging Into SMART:**

- Computer
- High speed internet connection
- Web browser (Microsoft Internet Explorer 11.0 or higher, or Google Chrome, or Mozilla Firefox)
- Adobe Acrobat Reader (required to generate reports)
- Pop up blockers allowed for the SMART website.
- SMART url: <https://smart.igsr.umd.edu>.
- User name/id, password and PIN (sent directly from SMART via email)

### **SMART Navigation:**

The SMART Menu Tree (left tool bar) appears on the far-left column of the screen and serves as the springboard for all other functions in SMART. SMART functions are categorized under the first level menu items, where clicking on a menu item generates a list of menu items under that category. The primary categories (first level menu items) may include: Home Page, Agency, Client List, My Settings, and Reports. For each primary category/first level category, a list of subcategories appears. For example, by clicking on Client List, Client Profile appears as a second level subcategory. And for each subcategory, a third level subcategory appears by clicking the second level subcategory. If there is an arrow to the left of a category or subcategory, there are additional subcategories.

Menu tree icons serve as points of information, as well as allow for general tasks such as printing reports, etc. The navigation buttons allow the user to move from screen to screen within a module (Cancel, Save, Finish, etc.). Hyperlinks and table actions allow for specific actions such as reviewing, adding, or deleting information. Detailed information about SMART nuances and navigation can be found on the SMART Navigation Tip Sheet.



## **Security of SMART Data**

### **Accessing SMART**

SMART is a web-based application that is accessible over the internet. SMART uses the industry standard SSL (Secure Socket Layer) technology to protect SMART web transactions, where the web browser must support 128-bit encryption (i.e., Internet Explorer 11.0 or higher, Google Chrome, or Mozilla Firefox) to protect data transmitted over the web. This means that when a user accesses SMART, all information accessed or transmitted from the user's computer to the SMART database is 128 bits encrypted.

### **SMART Authentication**

Upon entering SMART, the user must first enter his/her credentials – username, password and personal identification number (PIN). Unlike many applications, the user credentials are validated on a separate authentication server prior to accessing the SMART client data server. Thus, when a user generates the login screen, they are only accessing the authentication server and not the SMART server. This allows maximum protection of client data. Only upon authentication of a valid username, password and PIN can a user access the SMART server and client database. In the event the authentication server is compromised, client/participant data will remain secure.

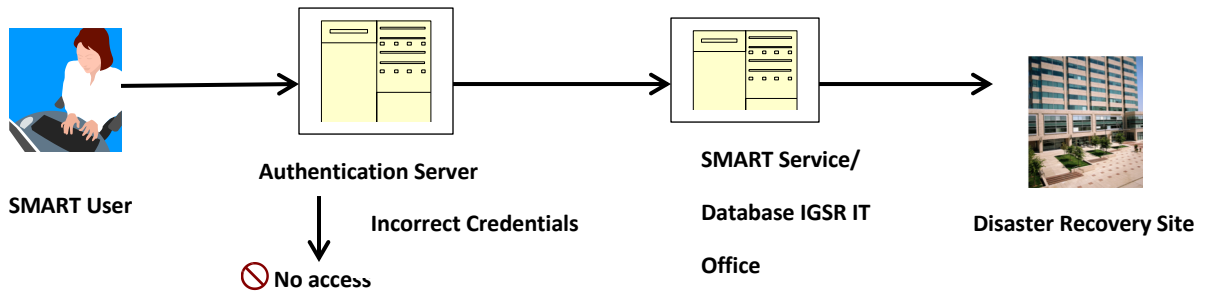
### **SMART Database Protection**

The SMART database and application server is protected behind a firewall that prevents unauthorized users access and protects against viruses. SMART is updated regularly with security patches. In addition, the SMART server is in a secure and locked server room, allowing only authorized IGSR staff to enter.

### **Data Storage and Backup**

All SMART data is stored in the SMART database at IGSR's IT Office (no data is stored on the user's computer). Data is stored in the SMART database and backed up in full nightly, as well as backed up incrementally in log files every two hours. If IGSR experiences an unexpected issue with the server (i.e., crash) or disaster, the data can either be accessed through the onsite restoration of log files or through the disaster recovery site. In addition, IGSR hosts a disaster recovery site that replicates the SMART server/database setup. In the event of a disaster (hurricane, fire, etc.), client data can be recovered, and the database restored using the disaster recovery site if required.

## Security Overview



## Helpful Hints:

- Please remember your user name/id, password, and PIN. Logging in three times incorrectly will disable your account. Your account will have to be enabled to complete the log in process.
- Never share SMART log in credentials with anyone. You are working with confidential legal client/participant information.
- Immediately notify your supervisor and the SMART Help Desk if someone has access to your SMART log in credentials. Unauthorized access will compromise your agency's client/participant data.

## Supporting Documentation:

Accessing SMART Tip Sheet

SMART Basic Navigation Tip Sheet



## **Chapter 2: Opening an Electronic Client Record**

**Purpose of the Module:**

During an initial contact appointment or an intake appointment a participant’s basic information is documented, thus allowing the tracking of the participant’s progress through treatment and recovery support services. This module will outline how to create problem solving court participant records in SMART. Completing an intake is opening a client/participant record at the court; it is not admitting the client/participant to the problem-solving court. A Problem-solving court admission is a separate function in SMART.

**Training Objectives:**

After completing this module, users will be able to:

- Search for and create a client/participant in SMART.
- Document the client/participant’s demographic and contact information.
- Open and close a client/participant record in SMART.

**SMART Required & Recommended Data Elements:**

<b>OPSC Problem Solving Court Required Data Elements</b>	<b>Recommended SMART Data Elements</b>
<b>Client Profile Screens</b>	
First Name, Last Name	Employment Status Last Six Months
Social Security Number	Alternate Names
Gender	Collateral Contacts
Contact Information (address, phone, etc.)	
Date of Birth	
Marital Status	
Race	Preferred Language
Ethnicity	Interpreter Needed
H.S. Diploma	
Highest Grade Completed	
Veteran’s Status	
Other Numbers {specifically the court case number and the Maryland State Identification number (SID)}	

OPSC Problem Solving Court Required Data Elements	Recommended SMART Data Elements
Intake Screen	
Intake Facility/ Case Assigned to	
Residence	Source of Referral
Case Status	
Pregnant (female only)	
Reason for Non-Admission (if not admitted to problem solving court)	
Report to State (should be 'No')	

### Why it Matters?

- The Client Profile and Intake Modules capture participant demographic information that is essential to the court and to SMART. These two modules are required prior to the entry of any other problem-solving court information.
- A participant's date of birth (DOB), social security number (SSN), name, and gender are used to configure the unique SMART client identification number.
- Collecting demographic data on the participants who are referred to problem solving court but not subsequently admitted, will allow analyses of the demographics of the types of individuals being referred to the problem-solving courts.
- Capturing demographic information is useful for the grant writing process.
- Demographic information is critical to providing descriptive information on the problem-solving court participants and will be routinely aggregated and included in reports to the Office of Problem Solving Courts.

### Associated Reports:

Report	Description	Access	Format
Client Profile Data Report	Provides a spreadsheet of client/participant data entered into the Client Profile module.	Reports Module	Microsoft Excel File
Client List Report	Provides a spreadsheet of the participants based on the search criteria entered in the Client List module.	Client List	Microsoft Excel File

**Supporting Documentation:**

Client Profile Tip Sheet

Client Intake Tip Sheet

# Admission

## Chapter 3: Problem Solving Court Admission

### **Purpose of the Module:**

The purpose of the Problem-Solving Court Admission module is to officially admit the participant into problem solving court and to collect additional information on the participant's background and legal history. The information entered into the Problems Solving Court Admission, Client Profile and the Intake modules creates a snapshot of the participant at the time of admission. The admission information serves as a baseline, and is used to compare similar data captured at the time of the participant's discharge. It is also used to measure the participant's progress as he or she moves through the program. A participant should be admitted to problem solving court upon signing the problem-solving court contract. Note: A problem solving court admission record is required for all participants admitted to the problem-solving court.

### **Training Objectives:**

After completing this module, users will be able to:

- Admit a participant into problem solving court.
- Record a participant's legal history.
- Record critical status and historical information on participants.
- Generate reports on participant demographics and background information.

### NIDA PRINCIPAL #5

*Tailoring services to fit the needs of the individual is an important part of effective drug abuse treatment for criminal justice populations.* Individuals differ in terms of age, gender, ethnicity and culture, problem severity, recovery stage, and level of supervision needed. Individuals also respond differently to different treatment approaches and treatment providers. In general, drug treatment should address issues of motivation, problem solving, skill-building for resisting drug use and criminal behavior, the replacement of drug using and criminal activity with constructive nondrug using activities, improved problem solving, and lessons for understanding the consequences of one's behavior. Treatment interventions can facilitate the development of healthy interpersonal relationships and improve the participant's ability to interact with family, peers, and other in the community.



**SMART Required & Recommended Data Elements:**

<b>OPSC Required SMART Data Element</b>	<b>Recommended SMART Data Elements</b>
Admission Date	Conviction Charge
Admission Staff	Most Severe VOP Charge
Employment Status	Date of VOP
# Weeks Employed in the Past Year	Judge Name
Average Monthly Employment Income in the Past Year	Date Placed on Probation/Pretrial/Parole
School/Vocational Training Status	
Living Arrangement	
# Months at Current Living Arrangement	
# of Children Living with Participant	
Highest Grade Completed	
Ever Required to Attend Drug Treatment by a Criminal Justice Supervision Agent	
<b>Does the client live with anyone who-</b> <ul style="list-style-type: none"> <li>• <b>Has an alcohol problem</b></li> <li>• <b>Uses non-prescribed drugs</b></li> </ul>	
<b>Criminal History (all applicable fields)</b>	
First Arrest (all applicable fields relating to the question)	
Most Severe Instant Arrest Charge	
Date of Instant Arrest	

**Why it Matters?**

- The Admission Date is a critical field in the SMART system. Most of the performance measures built into the SMART system consider the Admission Date the date in which the offender becomes an “Active” participant in problem solving court. Participants *without* Admission Dates will only be considered “Screened” and will not be counted in reports associated with the active participants such as *Active Clients* in problem solving court.
- A participant’s legal history contains information that will be useful to the problem-solving court treatment team by enabling each member to anticipate potential challenges and to develop an intervention strategy that accounts for prior negative behavior.
- A participant’s status at admission (education, living arrangements, employment, etc.) will serve as a baseline to measure the participant’s progress throughout the program and at the time of discharge.

- Descriptive participant information captured in the admission profile and status screens are essential for providing the participant’s background. This data will be routinely aggregated and included in reports to the Office of Problem Solving Courts.

**Associated Reports:**

Report	Description	Access	Format
Problem Solving Admission Report	Provides the Problem-Solving Court Admission data in a preformatted report	PS Court Admission Module	SMART generated report

**Supporting Documentation:**

Problem Solving Court Admission Tip Sheet



## Chapter 4: Drug Testing

**Purpose of Module:**

Drug testing is an integral component of problem solving court supervision and monitoring. It is a key performance indicator and is a tangible measure of participant compliance and progress towards recovery. The Drug Testing module in SMART allows for the entering of drug test results and tracking of attendance. The module maintains a urinalysis record that allows the problem-solving court team to monitor results, identify trends, and integrate decisions regarding the results appropriately.

**Training Objectives:**

After completing this module, users will be able to:

- Add a drug test result.
- Review drug test results.
- Identify patterns of substance use and attendance.
- Generate urinalysis reports.
- Understand the utility of tracking drug test data.

**Prerequisite Modules:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Elements	Recommended SMART Data Elements
Date	Specimen #
Client Outcome	Staff
Specimen Type*	Facility
Substance(s)	Location
Specimen (Test) Result(s)	Blood Alcohol Content**
	Marijuana Content***

\*If the participant provided a specimen for testing (i.e., Participant Action equals Test Taken)

\*\*If the participant result was positive for alcohol, enter the blood alcohol content.

\*\*\*If the participant result was positive for marijuana enter the marijuana content.

**Helpful Hint:**

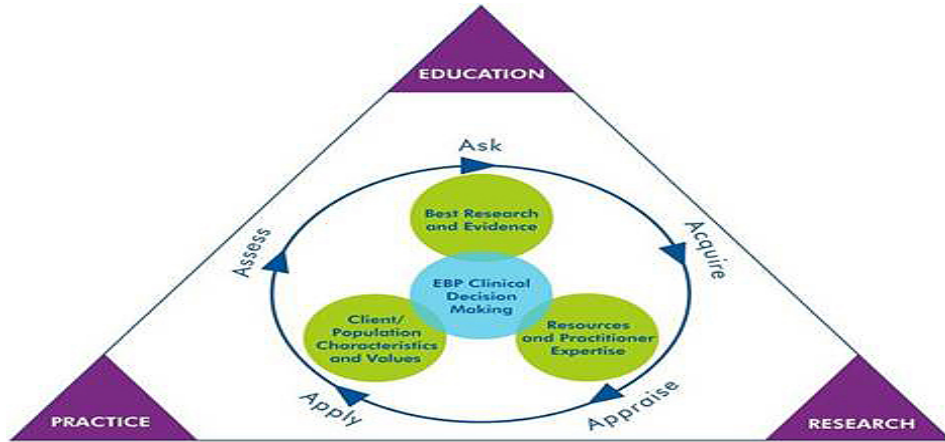
- Multiple substances and drug test results can be selected for the same date, by holding down the control key.
- The Drug Test Result List section of the screen can reveal the total number of tests and total number of positive test results according to the search criteria entered on the screen.

**Associated Reports:**

Report	Description	Access	Format
Drug Test Results	Provides a list of drug test results, including specimen id #, date, action, substance and result.	Drug Testing Module	Smart generated report.
Export Data	Provides an export file listing the following: specimen id #, date, action, drug and result.	Drug Testing Module	Microsoft Excel File

**Supporting Documentation:**

Drug Testing Tip Sheet



## Chapter 5: Treatment Encounters

### **Purpose of the Module:**

As a member of the collaborative problem-solving court team, the treatment provider renders core services to problem solving court participants, when substance abuse is an underlying issue. The underlying issues related to substance abuse are addressed by trained substance abuse counselors through a variety of counseling styles, services, and forums tailored to the participant's needs. The purpose of the Treatment Encounter module is to document all treatment related services provided to the problem-solving court participant.

### **Training Objectives:**

After completing this module, users will be able to:

- Record a direct treatment service encounter.
- Document additional services (i.e., provided to the participant).
- Generate associated treatment encounter reports.
- Understand how to use this module to monitor treatment encounters and their outcomes.

### **Prerequisite Modules:**

- Client Profile
- Client Intake
- Admission/Program Enrollment *or* Program Enrollment without Admission

### **NIDA PRINCIPLE OF DRUG ABUSE TREATMENT # 3**

***Treatment must last long enough to produce stable behavioral changes.*** In treatment, the drug abuser is taught to break old patterns of thinking and behaving and to learn new skills for avoiding drug use and criminal behavior. Individuals with severe drug problems and co-occurring disorders typically need longer treatment (e.g., a minimum of 3 months) and more comprehensive services. Early in treatment, the drug abuser begins a therapeutic process of change. In later stages, he or she addresses other problems related to drug abuse and learns to manage the problem.

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Elements	Recommended SMART Data Elements
Note Type (always Progress Note)	End Date
Service Code/Description	ICD-10 Diagnosis
Program Name	
Billable (always Yes)	
Service Location	
Start Date	
Start Time	
End Time	
Duration	
# of Service Units/Sessions	
Rendering Staff	
Payment Source	
Treatment Outcome	
	Progress Notes (This is not consented or required by the problem-solving court, but it is a good clinical practice.)

**Helpful Hints:**

- It is important to document all treatment sessions and their session outcomes [attendance and non-attendance whether it is excused or failure to appear (FTA)].
- Unlike the Case Management module, the Treatment Encounter module is designed to document direct treatment services. Case management activities such as case planning, case review; case monitoring, exit planning, etc., are documented in the Case Management module.
- Moral Reconciliation Therapy (MRT) should be documented in the Case Management module and not the Treatment module.

**Why it Matters?**

- The sharing of electronic consented participant information, allows the problem-solving court team to track each participant’s treatment encounter in real time. This allows for the evaluation of the participant’s participation and identification of any attendance or outcome patterns during treatment.
- All chance or incidental encounters, including non-scheduled participant contacts (phone contacts, crisis interventions, etc.), should be documented and tracked. This allows problem solving court case manager to identify potential gaps in the match between the participant’s needs and the actual services rendered.



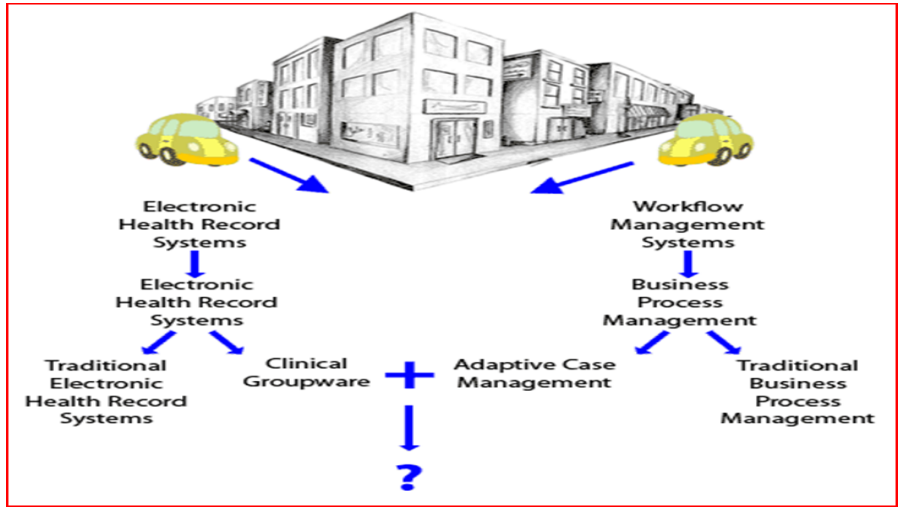
- Since the participant information is received in real time, problem solving court team members can review consented information and reports to identify patterns of compliance and non-compliance. This will allow for the modification of treatment and court requirement plans accordingly.
- Treatment participation is a central goal of problem solving courts, and is recognized by the field as a critical performance measure. Treatment attendance data will be routinely aggregated and included in reports to the Office of Problem Solving Courts.

**Associated Reports:**

Report	Description	Access	Format
Treatment Encounters Report	Provides a list of all treatment encounters and associated information entered into SMART for a participant.	Treatment Encounters Module	SMART generated report
Encounter Data Report	Provides a spreadsheet of participants and associated treatment encounter information.		

**Supporting Documentation:**

Treatment Encounters Tip Sheet



# Chapter 6: Case Management

**Purpose of Module:**

Effective and sound case management practices are crucial to the problem-solving court collaboration framework model. Many problem-solving courts employ a case manager or assign case management tasks as part of the diverse problem-solving court team. The standard case management practice includes addressing the total individual- inclusive of medical, psychosocial, behavioral, and spiritual needs. Case managers are tasked with identifying participant needs, case planning, coordinating services, referring participants to ancillary services, and case monitoring. Timely and accurate documentation, along with detailed record keeping, and ongoing collaboration are essential elements to managing a caseload. The primary function of the Case Management module is to record all case management events, referrals, services, and outcomes associated with a problem-solving court participant.

**Training Objectives:**

After completing this module, users will be able to:

- Document a case management event, activity or service.
- Generate associated case management event, activity, or service reports.
- Understand the utility of tracking case management activities.

**Prerequisite Module:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Elements	Recommended SMART Data Elements
Event Date	
Event Type	
Event	
Type of Contact	
Location	
Duration	
Outcome	

### Helpful Hints:

- Three types of case management activities can be documented in the Case Management module by selecting the appropriate 'Event Type' (i.e., Case Management Activities, Referrals to Services, and Services). Case Management Activities include: case planning, case management review, exit planning, meeting with treatment provider, among other activities/services. Referrals to Services is intended to capture when a participant is referred to a service or program (i.e., life skills training, employment services, support groups, etc.). The Services activity is intended to document the participant's attendance of services and programs he or she was referred to.
- To document a Summary Note for the Client Progress Report, select 'Case Management Activity' for the 'Event Type' and 'Summary Note' for the 'Event'. This note will appear on the Client Progress Report.
- To document a Moral Reconciliation Therapy (MRT) service provided, select 'Services Attended' for the Event Type, and then select MRT for the 'Event'.
- Case management data will be routinely aggregated and included in reports to the Office of Problem Solving Courts. Note: A problem solving court admission is required to see the case management data on the aggregated reports.

### Why This Matters:

- Managing your caseload and tracking each case management activity, makes it possible to identify ancillary services provided to the participant and to monitor the participant's progress/participation.
- All case manager contacts and incidental encounters, including non-scheduled participant contacts, should also be documented.

### Associated Reports:

Report	Description	Access	Format
Case Management Report	Provides a detail description of all case management activities for each participant.	Case Management Module	SMART generated Report

### Supporting Documentation:

Case Management Tip Sheet

Case Management Guide



# CREATIVE PATHS TO EMPLOYMENT

## Chapter 7: Employment

**Purpose of Module:**

The Employment module is designed to document a participant’s employment status throughout his or her participation in the problem-solving court program. The intent is to document the participant’s employment status whether he or she is employed or unemployed. Monitoring the participant’s employment status will permit the problem-solving court team to identify trends or patterns that may impact the participant’s problem-solving court goals.

**Training Objectives:**

After completing this module, case managers will be able to:

- Successfully enter an employment record.
- Generate associated employment reports.
- Understand the importance of tracking a participant’s employment.

**Prerequisite Modules:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Element	Recommended SMART Data Elements
Employment Start Date	
Employment Status	
Name of Employer	
Wage	
Wage Type	
Employment End Date (if applicable)	
Employment Termination Reason	

**Helpful Hint:**

- It is important to document a participant’s employment information for each job the participant has or has held during the program. SMART has the capacity to capture employment information even if the participant is employed part time with different employers.

**Why it Matters?**

- Tracking a participant’s employment status during the program permits the case manager to identify any patterns that may impact the participant’s problem-solving court goals. For example, if a participant repeatedly loses a job, the problem-solving court team may

identify an issue with job training and connect the participant to appropriate job training resources.

- Monitoring employment status and history enables the problem-solving court team to analyze the “bigger picture” associated with the participant’s behavior. For example, if a participant frequently changes jobs, the problem-solving court team may want to investigate to see what variables (environmental, family problems or behavioral problems) are contributing to the situation.
- Reviewing participant related employment reports allows for the problem-solving court team and the participant to identify and address any challenges; as well as, reinforce behavior consistent with established goals.

**Associated Reports:**

Report	Description	Access	Format
Employment Report	Provides a list of a participant’s dates of employment, reason for termination (when applicable), and employment status	Employment Module	SMART Generated Report

**Supporting Documentation:**

Employment Tip Sheets



## Chapter 8 Education



**Purpose of Module:**

The Education module allows for the documentation of a participant’s education status throughout his or her participation in the problem-solving court program. It is required to record the participant’s highest level of education; as well as, any educational activity inclusive of attendance and completion, if educational activities are applicable during the program.

**Training Objectives:**

After completing this module, case managers will be able to:

- Successfully enter an education record.
- Generate associated education reports.
- Understand the importance of tracking a participant’s education.

**Prerequisite Modules:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Element	Recommended SMART Data Elements
Highest Grade Completed	GPA
Date Completed	Suspensions
School/Vocational Training Status	Detentions
Name	Days Absent
Enrollment Start Date	Expulsions
Enrollment End Date	
Reason for Termination of Enrollment	

**Helpful Hint:**

- It is important to document a participant’s education status. SMART will allow the documentation of one or more education events which may be occurring at the same time. For example, a participant may be taking classes at a junior college and attending trade school concurrently.
- ‘New School/Vocational Training Status’ is required only if different from the ‘Highest Grade Completed’.

### Why it Matters?

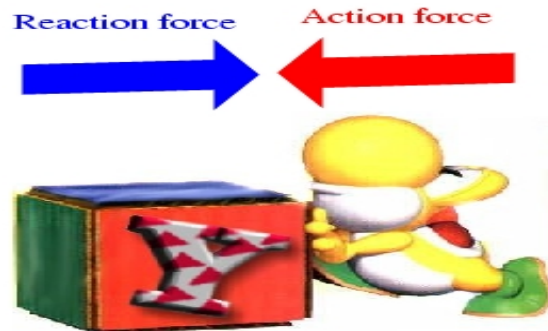
- Tracking a participant’s education status during the program permits the problem-solving court team to identify any patterns that may impact the participant’s recovery and supervision goals.
- Monitoring a participant’s education status enables the problem-solving court team to investigate the “bigger picture” associated with the participant’s behavior. For example, if a participant is frequently absent from or late to school, the problem-solving court team may want to examine factors (lack of transportation, etc.) that are contributing to the situation.
- Reviewing participant related education reports allows for the case manager and the participant to identify and address any challenges; as well as, reinforce behavior consistent with established goals.

### Associated Reports:

Report	Description	Access	Format
Education Report	Provides a list of a participant’s education status, the schools/training schools attended, and associated dates.	Education Module	SMART Generated Report

### Supporting Documentation:

Employment Tip Sheets



## Chapter 9: Sanctions & Incentives

**Purpose of Module:**

A participant’s progress in the problem-solving court is monitored by his or her compliance with the problem-solving court behavioral contract and recovery plan. This can be tracked by using the Sanctions/Incentives module. How and when a case manager identifies and responds to positive (compliant) behavior and negative (noncompliant) behavior is instrumental to the participant’s success.

**Training Objectives:**

After completing this module, the case manager will be able to:

- Successfully enter a behavior (positive or negative) and its associated response (incentive or sanction).
- Generate associated sanctions and incentives reports.
- Understand the importance of tracking sanction and incentive data.

**Prerequisite Modules:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Element	Recommended SMART Data Elements
Behavior Type	Agency
Behavior Date	Unit
Behavior	Notes
Staff Member	
Response Date	
Incentives/Sanctions selected	

**NIDA PRINCIPAL # 10**

*A balance of rewards and sanctions encourages prosocial behavior and treatment participation.*

When providing correctional supervision of individuals participating in drug abuse treatment, it is important to reinforce positive behavior. Nonmonetary “social reinforces” such as recognition for progress or sincere effort can be effective, as can graduated sanctions that are consistent, predictable, and clear responses to noncompliant behavior. Generally, punitive responses are used for early and less serious noncompliance, with increasingly severe sanctions issuing from continued problem behavior. Rewards and sanctions are most likely to have the desired effect when they are perceived as fair and when they swiftly follow the targeted behavior.

### **Helpful Hints:**

- SMART allows the case manager to: (1) enter a behavior type (sanction or incentive), and (2) document the behavior associated with the behavior type. SMART also allows the case manager to document and save the above information, and then return to the screen to enter the response at a later date/time.
- The response date cannot proceed the behavior date.
- The response to the behavior is critical to reinforce compliance and deter noncompliance.
- A problem-solving court admission must be completed in order for the aggregated data from this module to be submitted quarterly and annually to the Office of Problem Solving Courts.

### **Why it Matters?**

- Monitoring a participant's behavior is crucial to determining if the participant is in alignment with the established behavior contract/treatment plan. For example, a participant is repeatedly sanctioned for negative behavior (positive urine tests); the problem-solving court team may recommend additional scheduled and random drug testing.
- Monitoring sanctions and incentives enables courts to investigate the "bigger picture" associated with the participant's behavior. In doing so, the problem-solving court team may look at environmental, social, etc. variables that may directly be involved.
- SMART reports are available to allow the case manager to identify a participant's patterns of behavior that are consistent and non-consistent with established supervision and recovery goals, as well as, integrate the appropriate interventions.
- Sanctions and incentives are recognized by the problem-solving courts as key activities, and will be routinely aggregated and included in reports to the Office of Problem Solving Courts.

**Associated Reports:**

Report	Description	Access	Format
Sanctions/Incentives Report	Provides a list of a participant's behaviors and associated sanctions and incentives.	Sanctions & Incentives Module	SMART Generated Report
Export Data	Provides export file listing the following: behavior date, behavior type, response date, response description	Sanctions & Incentives Module	Export File

**Supporting Documentation:**

Sanctions and Incentives Tip Sheets



## Chapter 10 New Charges

**Purpose of Module:**

Part of the mission of the problem-solving court movement is not only help participants solve the underlying problem, but also to reduce recidivism and break the cycle of criminal behavior. Tracking criminal behavior provides the ability to understand and effectively address the behavior. The SMART New Charges module is the vehicle used to document any charges received during the time an individual is a participant in the problem-solving court.

**Training Objectives:**

After completing this module, case managers will be able to:

- Enter a new charge.
- Enter a new violation of probation (VOP).
- Generate associated new charges reports.
- Understand the importance of tracking new charges.

**Prerequisite Modules:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Element	Recommended SMART Data Elements
New Arrest Date	Disposition Date
New Arrest Charge	Disposition
Date of VOP	Disposition Charge
VOP Charge	Notes

**Helpful Hints:**

- This module can be used to track recidivism during or after problem solving court by recording new arrests or VOPs occurring any time after the participant’s admission to problem solving court, and after his or her discharge.
- Rearrests are temporary and tentative indicators of recidivism. Case managers should make efforts to obtain and record information on case dispositions, since these are much more valid indicators of recidivism and participant and court performance.

**NIDA PRINCIPAL # 7**

*Treatment should target factors that are associated with criminal behavior. “Criminal thinking” is a combination of attitudes and beliefs that support a criminal lifestyle and criminal behavior.* These can include feeling entitled to have things one’s own way; feeling that one’s criminal behavior is justified; failing to be responsible for one’s actions; and consistently failing to anticipate or appreciate the consequences of one’s behavior. This pattern of thinking often contributes to drug use and criminal behavior. Treatment that provides specific cognitive skills training to help individuals recognize errors in judgement that lead to drug abuse and criminal behavior may improve outcomes.



## Why it Matters?

- Rearrests or violations are standard (if incomplete) indicators of criminal recidivism. New charges may signal a return to previous drug involved criminal behavior, such as selling drugs or theft.
- Monitoring the number of participants who receive charges during problem solving court allows the court to reward the success of those who desist from criminal behavior.
- Reducing recidivism is a central goal of problem solving courts, and rearrests are recognized by the field as a critical performance indicator.
- Rearrests, violation, and disposition data will be routinely aggregated and included in reports to the Office of Problem Solving Courts.

## Associated Reports:

Report	Description	Access	Format
New Charges Report	Provides a list of a listing of any charges received and associated disposition information.	New Charges Module	SMART Generated Report

## Supporting Documentation:

New Charges Tip Sheets



## **Chapter 11: Court & Other Criminal Justice Supervision/Events**

### Purpose of Module:

The Court & Other Criminal Justice Supervision module allows the case manager to track criminal justice contacts (probation, problem solving court review hearings, etc.) with the problem-solving court participant including the type of contact made, the outcome of the contact, and the court's action in response to the contact. Note: All treatment related contacts are documented in the Case Management module.

### Training Objectives:

After completing this module, case managers will be able to:

- Record a new criminal justice contact.
- Document participant movement from one phase to another during participation in the court (drug court participants).
- Understand the importance of tracking a criminal justice and court related contacts.
- Generate supervision reports.

### Prerequisite Modules:

- Client Profile
- Client Intake

### SMART Required & Recommended Data Elements:

OPSC Required SMART Data Element	Recommended SMART Data Elements
Event Date	
Type of Contact	
Event	
Outcome	
Staff Name	
Location	
Court Action (if applicable)	
Court Phase	
Notes	

### NIDA PRINCIPAL # 8

*Criminal justice supervision should incorporate treatment planning for drug abusing offenders, and treatment providers should be aware of correctional requirements. The coordination of drug abuse treatment with correctional planning can encourage participation in drug abuse treatment and can help treatment providers incorporate correctional requirements as treatment goals. Treatment providers should collaborate with criminal justice staff to evaluate each individual's treatment plan and ensure that it meets correctional supervision requirements as well as treat person's changing needs, which may include housing and childcare; medical, psychiatric, and social support services; and vocational and employment assistance. For offenders with drug abuse problems, planning should incorporate the transition to community-based treatment and links to appropriate post release services to improve the success of drug treatment and re-entry. Abstinence requirements may necessitate a rapid clinical response, such as more counseling, targeted intervention or increased medication, to prevent relapse. Ongoing coordination and between treatment providers and courts or parole and probation offenders is important in addressing the complex needs of these reentering individuals.*

**Helpful Hints:**

- Document all coordinator meetings in the Case Management module.
- If Phase Demotion/Reduction, Phase Graduation/Promotion, or Phase Movement (Non-Court) is selected as the 'Event' along with DC Courtroom as the 'Location', then a Court Action can be entered (i.e., bench warrant issued, phase movement, placed on electronic monitoring, etc.)
- A court action must be selected in order to document the actual participant's phase while in drug court.

**Why it Matters?**

- Active supervision increases the probability that a participant will remain in treatment and desist from criminal activity.
- During the initial phases of problem solving court, it is important to have frequent status hearings to monitor compliance. If a participant becomes more stable and demonstrates receptiveness toward change, then the frequency of the status hearings may be reduced.
- Frequent criminal justice contacts will reinforce the legal aspect of the problem-solving court and may deter of recidivism.
- Court activities are recognized by the field as important in problem solving courts. The court activity data will routinely be aggregated and included in reports to the Office of Problem Solving Courts.

**Associated Reports:**

Report	Description	Access	Format
Court Justice Report	Presents criminal justice contacts, phase movement and associated notes by event date.	Court & Other Criminal Justice Supervision Module	SMART Generated Report

**Supporting Documentation:**

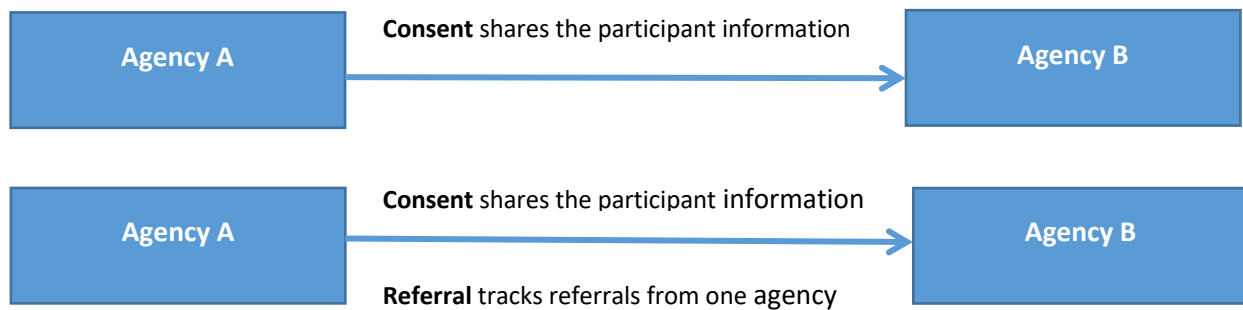
Court & Other Criminal Justice Supervision Tip Sheets



## Chapter 12: Consent/Disclosure & Referrals

**Purpose of Module:**

Ongoing communication about the participant among the problem-solving court team is crucial in effective case management. The SMART Consent and Referral Modules facilitate the electronic exchange of consented participant information among partner agencies, i.e., treatment, that are using SMART. These modules are designed to support continuity and coordination of participant services. The consent process is a one-way process that allows Agency A to disclose participant information to Agency B, where no referral is required for Agency B to view the disclosed participant information. The consent process determines for each participant what information is shared from one agency to the other and for what period of time. The referral process provides a mechanism for tracking each time a participant is referred to another agency, as well as participants referred in from another agency. There are consent and referral management reports that can be generated to track this information.



A Consent from Agency A to Agency B only electronically shares consented participant information entered by Agency A with Agency B. Any information entered by Agency B is not seen by Agency A until Agency B discloses/consents information to Agency A. Note: Electronic consented information sharing is one way. Consented participant information can never be re-disclosed to another agency, i.e., Agency C. Consents can be 'Revoked' at any time. It is critical that all SMART disclosure agreements are set-up with partner agencies using SMART. This will help to facilitate communication among the problem-solving court team members (problem solving court staff and treatment) to receive timely participant information to effectively monitor the participant's status and maintain continuity of services. As illustrated below, each agency must consent to share participant information.



**Training Objectives:**

After completing this module, case managers will be able to:

- Create a participant consent/disclosure agreement, allowing for the sharing of records from one agency to another.
- Revoke a participant's consent.
- Create a participant referral and track the status of the referral.
- Accept and place electronic referrals.

**Prerequisite Modules:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Element	Recommended SMART Data Elements
<b>Consent</b>	
Entities with Disclosure Agreements	Comments
Disclosed To Agency	
Facility	
Purpose of Disclosure	
Earliest Date to Consent Information	
Has the participant Signed the Paper Agreement Form	
Date participant signed consent	
<b>Referral</b>	
Reason	Appointment Date
Is Consent Verification Required?	Appointment Status
Is Consent Verified?	
Continue this Episode of Care	
Referral Date	
Facility	
Program	

### **Helpful Hints:**

- A paper consent must be signed by the participant and placed in the participant's record prior to electronically sharing any participant information. Note: A consent can be 'Revoked' at any time.
- The consent/referral process is a one-way process, where participant information is shared from the referring agency to the receiving agency. Note: A referral cannot be created without a signed consent.
- Once your agency has received a referral from another agency, your agency must create a consent to facilitate the sharing of participant information.
- Consents and referrals are created at the participant level.

### **Why it Matters- Consents/Referrals Out?**

- The consent process allows the problem-solving court team to establish a consent agreement for a participant to share specified participant information with another agency. A participant must sign a paper consent form to facilitate the sharing of information in SMART. A consent can be created without a referral, but a referral must be accompanied by a consent.
- The referral process is an additional step that allows the problem-solving court team to document and monitor each time a participant is referred to another agency. In addition, the referral status can be tracked. (Note: Use the Case Management Module to document participant referrals.)
- Referrals made from your agency to another agency can be viewed through the SMART Agency Module/Referrals Module.
- A consent can be 'Revoked' at any time; however, the initial information that was previously consented will not be rescinded. The revocation only affects information entered from the date of the revocation forward.

### **Why it Matters- Consents/Referrals In?**

- The consent process allows the participant record to be shared with another agency as soon as it is documented 'Yes' that the "Client Has Signed the Paper Agreement Form". Go to the Client List screen, enter the participant's name, and click Go. The information will appear at the bottom of the screen "Clients With Outside Consents". This will allow you to view the records shared from another agency.
- Information disclosed/consented or referred from one agency to another agency cannot be modified and can only be viewed by the receiving agency. Note: Information received by another agency cannot be re-disclosed.
- Referrals can be tracked through the Agency Module in SMART (Agency > Referrals> Referrals In). The receiving agency can document the status of the referral



(Placed/Accepted, Placed on Waitlist, etc.), which will also be documented for the referring agency to track the referral status of participants referred out.

**Associated Reports:**

Report	Description	Access	Format
Consent Report	Provides consent information, specifying which information will be shared through the consent process. Also, this report can be signed by the participant.	Consent Module	SMART Generated Report
Referrals In by Agency	Provides the number and percentage of participants Placed/Accepted, Pending, Terminated, Refused Tx, Rejected, Placed on Waiting List, etc.	Reports Module	Export File
Referrals Out by Agency	Provides the number and percentage of participants Referred Prior to Tx, Referred during TX, Referred after Tx, etc.	Reports Module	Export File

**Supporting Documentation:**

Consent and Referral Tip Sheet



## **Chapter 13: Legal Status**

**Purpose of Module:**

Mental health courts rely on mental health assessments, individualized treatment plans, and ongoing judicial monitoring to address both the mental health needs of offenders and public safety concerns of communities. This module is designed to capture and monitor the legal status of the problem-solving court participant.

**Training Objectives:**

After completing this module, case managers will be able to:

- Enter a legal status.
- Update a legal status
- Track a participant’s legal status.

**Prerequisite Modules:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Element	Recommended SMART Data Elements
Start Date	
Legal Status	
Type of Legal Status	
Reason for Change in Legal Status	
End Date	
Notes	

**Helpful Hint:**

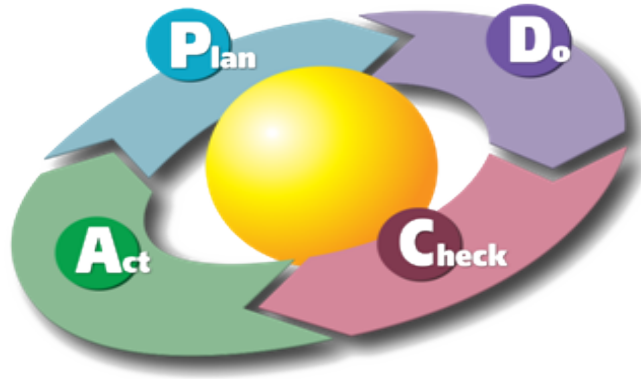
- SMART provides the flexibility to document the Legal Status and Type of Legal Status without documenting the Reason for Change in Legal Status, if that information is unknown at the time. The case manager can return to the Legal Status screen to record the Reason for Change in Legal Status once this information is known. For example, the case manager can enter the participant’s 8-505/8-507 (Legal Status) with an 8-505 Pending Placement (Type of Legal Status), and can return to the Legal Status screen to record the participant’s Success Completion (Reason for Change in Legal Status) once the change in status is known.
- Entering notes whether the change in status is known or unknown provides complete information about the participant’s status.

**Why it Matters?**

- Monitoring legal status enables the case manager to determine the appropriate path to managing the participant's case.

**Supporting Documentation:**

Legal Status Tip Sheets



## Chapter 14: Current Situation

**Purpose of Module:**

The Current Situation Module is used to document the status of a problem-solving court participant when he or she is in not in the community because he or she is incarcerated, in residential treatment, or on warrant status. It is important that the problem-solving court team is aware of the participant’s status, and for the case manager to document the status. This recordkeeping practice will indicate why there is minimal activity for the participant during the time he or she is not in the community.

**Training Objectives:**

After completing this module, case managers will be able to:

- Enter the status of a participant’s status when he or she is not in the community.
- Enter the Start and End Dates of the participant’s current situation.
- Understand the significance of tracking the charges.

**Prerequisite Modules:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Element	Recommended SMART Data Elements
Status	
Start Date	
End Date (when applicable)	
Notes	

**Helpful Hints:**

- Change the participant’s case status from ‘Open Active’ to ‘Inactive’ on the Intake screen when the participant is incarcerated or in residential treatment during the problem-solving court program. The case status can be changed from ‘Inactive’ to ‘Open Active’ when the participant situation changes.

**Why it Matters?**

- Documenting when a participant is in residential treatment or incarcerated indicates why the participant is not in the community and is part of case monitoring.
- Thorough recordkeeping practices of the participant’s status provide an explanation for any gaps in case management follow-up.

**Supporting Documentation:**

## Current Situation Tip Sheets



## **Chapter 15: Community Service**



**Purpose of Module:**

The Community Service Module is designed to document and track any court ordered or other related community service activities of problem solving court participants. Documenting community service details will provide a snapshot of date of the service, the hours completed, location, and reason for the service.

**Training Objectives:**

After completing this module, case managers will be able to:

- Enter details about a participant’s community service.
- Track the number of community service hours assigned.
- Track the number of community service hours completed.
- Monitor the remaining community service hours.

**Prerequisite Modules:**

- Client Profile
- Client Intake

**SMART Required & Recommended Data Elements:**

OPSC Required SMART Data Element	Recommended SMART Data Elements
Date	
Service Hours Assigned	
Hours Completed	
Location	
Reason For Service Hours	

**Helpful Hints:**

- This module can be used to record and review a participant’s community hours detail and status.
- This module is useful in tracking whether the participant’s service is a response to a sanction or if it is volunteer related.

**Why it Matters?**

- Monitoring the number of participants who receive community service hours issued by the problem-solving court team, may determine if the participant is compliant.

**Supporting Documentation:**

Community Service Tip Sheets



## **Chapter 16: Problem Solving Court Discharge**

### Purpose of Module:

The Problem-Solving Court Discharge Module mirrors the Problem-Solving Admission Module in that it collects the same data for the participants at the time of discharge that was collected during the participants' problem-solving court admission. Benchmarks such as school or vocational status and living arrangement are recorded and serve as a major contribution to key performance indicators. Based on the information entered, a continuing care plan can be crafted to provide continued support to the participant after graduation.

### Training Objectives:

After completing this module, case managers will be able to:

- Enter a participant's discharge information.
- Understand the significance of analyzing admission and discharge data.
- Generate a participant discharge report.

### Prerequisite Modules:

- Client Profile
- Client Intake
- Problem Solving Court Admission

### SMART Required & Recommended Data Elements:

OPSC Required SMART Data Element	Recommended SMART Data Elements
Date Discharged	Date of Last Contact
Discharge Staff	Primary Referral
Disposition	
Reason	
Employment Status	
# of Weeks Employed	
Average Monthly Employment Income in the Past Year	
School/Vocational Training Status	
# of Months in this Living Arrangement	

### NIDA PRINCIPALS FOR DRUG TREATMENT # 9

*Continuity of care is essential for drug abusers reentering the community. Those who complete prison-based treatment and continue with treatment in the community have the best outcomes. Continuing drug abuse treatment helps the recently released offender deal with problems that become relevant only at re-entry, such as learning to handle situations that could lead to relapse; learning how to live drug-free in the community; and developing a drug-free peer support network. Treatment in prison or jail can begin a process of therapeutic change, resulting in reduced drug use and criminal behavior post incarceration. Continuing drug treatment in the community is essential to sustaining these gains.*

Number of Children Living with Participant/Client	
Highest Grade Completed	
Has the Client Earned a GED?	
Does the client live with anyone who has an alcohol problem?	
Does the client live with anyone who uses non-prescribed drugs	

### Why it Matters?

- Comparing data captured at the admission and discharge provides an effective way to measure the problem-solving court at the participant level and the program level. At the participant level, the data illustrates the progress the participant has made because of the combination of treatment and court supervision. At the program level, the data comparison can identify strengths and weaknesses in the court’s services and supervision strategies.
- Discharge data can be used to help craft the participants continuing care plan and connect the participant with supportive resources.
- Moving participants to an optimal level can be reflected in life improvements as indicted by employment, education advancement, residential stability, and living in a drug-free environment are recognized by the field as important measures of participant and program level performance. Discharge data elements will be routinely aggregated and included in the reports submitted to the Office of Problem Solving Courts.

### Associated Reports:

Report	Description	Access	Format
Problem Solving Court Discharge	Provides discharge information in a one-page report.	Problem Solving Court Discharge Module	SMART Generated Report

### Supporting Documentation:

Problem Solving Court Discharge Tip Sheets

# Reports

## Chapter 17: Monitoring Progress: Accessing Data and Generating Reports

**Purpose of Module:**

Thorough recordkeeping practices are essential in tracking participant progress and monitoring program performance. Outcomes are everything for legal; as well as, health and human service organizations. The SMART system allows for the entry of comprehensive participant information to utilize data in measuring problem solving court outcomes (participant and court levels), create strategies, and make decisions. The key to making decisions are based upon accurate, detailed, and timely documentation. This section will help the problem-solving court team understand the utility of each module in producing meaningful data.

**Training Objectives:**

After completing this module, case managers will be able to:

- Successfully search for and review participant information in SMART.
- Generate participant/client level reports.
- Generate program level data and performance reports.
- Understand the utility of SMART data and reports.

**Why it Matters?**

The SMART system can facilitate the analysis of problem solving court operations and processes both within and across jurisdictions, and allow problem solving courts to document and monitor performance in distinct program. The problem-solving court team requires: (1) direct access to participant information; (2) the ability to prioritize caseloads and determine the type of services available and needed by the participants; (3) the ability to identify and prioritize needs; (4) knowledge of services available across agencies; (5) timely access to information about the participant status; and (6) quality information to determine program effectiveness.

Data is also essential to identify patterns (what is effective and ineffective?), analyze participant response to services, and assess the ability of the program to match needs to services. Essentially data drives participant and program decisions. Standard recordkeeping practices and the use of management information systems will allow for performance comparison of problem solving courts across jurisdictions, and the ability to identify evidence based best practices among the individual problem-solving court programs.

**Tracking and monitoring participant compliance/non-compliance:**

The problem-solving court model is a collaboration in which multidisciplinary teams from community based partner agencies work in conjunction to meet the participant's needs. This unique participant centered model requires the timely, accurate, and comprehensive information about the participant's behavior and progress. The availability of timely, accurate case level information allows the problem-solving court team to perform its duties more

effectively, minimizes redundant data collection, improves response times, and ultimately increasing public safety.

SMART serves as the single resource for multiple health and social services systems, where all agencies have centralized access to data. This provides the ability to advocate for the participant by assessing the whole picture of the participant as opposed to only the picture known to the individual service provider agency, allowing decisions to be participant driven, and not solely within the realm of an individual provider/agency. There are several ways in which this information is meaningful in the context of participant/client care: supporting the participant through services and referrals; and the identification of positive and negative behavior patterns and triggers of the behaviors. Specifically, what information do I need to know to make decisions about my participants?

It is important to use the participant data to improve and effectively manage your participants' cases. Data can be used to support the participant by expanding the network of services available by easily identifying gaps in service and to assist in identifying informal community support partners.

The following is a chart that outlines the participant level performance measures and the reports available in SMART. There is also a screen shot of the Client Progress Report following the chart.

## **Participant/Client Level Monitoring**

<b>Participant Level Monitoring</b>	<b>Available Reports</b>
Readiness for Change	
<b>Is the participant ready to change his/her lifestyle and is the problem-solving court the appropriate setting?</b>	Motivational Readiness/Cage Screens
Compliance & Non-compliance	
<b>Participant level data can be used to monitor if the participant is participating (attendance) in required activities (treatment, criminal justice, case management, court hearings, supervision/probation, etc.), as well as identifying any patterns of compliance and non-compliance.</b>	Treatment Encounter Reports Encounter Data Report (Excel File) Court & Other Criminal Justice Report Case Management Report New Charges Report Client Progress Report
<b>Is the participant remaining sober or relapsing?</b>	Drug Test Report Client Progress Report
Community Services, Training, and Employment	
<b>Is the participant becoming involved in the community (job, education, community service, etc.)? Does the participant have a job? Is she or he attending school or training? Does the participant have community support (i.e., AA/NA sponsor)?</b>	Treatment Encounters Report (reference the progress note) Case Management Report Client Progress Report Employment Report Education Report
<b>Identify participant needs not being met and develop resources to address the needs.</b>	Case Management Report Treatment Encounters Report Bio/Psycho Social Assessments
<b>Have I entered into SMART all the data necessary for a coordinated case management approach to serve my participant's needs?</b>	All participant/client level reports
Family & Living Situation	
<b>Does the participant have a permanent and sober living arrangement?</b>	Treatment Encounters Report (Progress Notes) Case Management Report
<b>Behavior Patterns &amp; Triggers</b>	
<b>Is there a pattern of behavior that leads to certain participant behavior?</b>	Drug Test Report Case Management Report Treatment Encounters Report Court & Other Criminal Justice Report Client Progress Report
Participant Discharge	
<b>Inform the discharge plan to help participants to transition from one type of setting or service program to another.</b>	Case Management Report Problem Solving Court Admission Report Problem Solving Court Discharge Report



## Participant Level Reports Summary

<b>Report</b>	<b>Description</b>	<b>Access</b>	<b>Format</b>
<b>Client Profile Data Report</b>	Provides a spreadsheet of participant/client data entered into the Client Profile Module	Reports Module	Microsoft Excel File
<b>Client List Report</b>	Provides a list of participants/clients based on the search criteria entered into the Client List Module.	Client List Module (Export)	Microsoft Excel File
<b>Problem Solving (PS Court) Admission Report</b>	Provides the PS court admission data in a preformatted report.	PS Court Admission	SMART generated report
<b>Drug Test Results Report</b>	Provides a list of drug test results, including the specimen #, date, action, substance, and result/outcome.	Drug Testing Module	SMART generated report
<b>Drug Test Results (Export data)</b>	Provides an export file including: specimen #, date, action, substance, and result/outcome.	Drug Testing Module	Microsoft Excel File
<b>Treatment Encounter Report</b>	Provides a listing of all treatment encounters associated information entered into SMART for a client/participant.	Treatment Encounter Module	SMART generated report
<b>Encounter Data Report</b>	Provides a spreadsheet of participants/clients and their associated treatment encounter information.	Reports Module	Microsoft Excel File
<b>Case Management Report</b>	Provides a listing of all case management activities for a participant.	Case Management Module	SMART generated report
<b>Employment Report</b>	Provides a list of a participant's dates of employment and employment status.	Employment Module	SMART generated report
<b>Education Report</b>	Provides a list of schools/training schools attended and associated dates.	Education Module	SMART generated report

<b>Sanctions/Incentives Report</b>	Provides a list of participant behaviors and associated sanctions and incentives.	Sanctions/Incentives Module	SMART generated report
<b>Sanctions/Incentives (Export data)</b>	Provides an export file listing the following: behavior date, behavior type, behavior, response date, response description.	Sanctions/Incentives Module	Microsoft Excel File
<b>New Charges Report</b>	Provides a listing of any charges received and associated disposition information.	New Charges Module	SMART generated report
<b>Court Justice Report</b>	Presents criminal justice contacts, phase movement and associated notes by date of event.	Court & Other Criminal Justice Supervision Module	SMART generated report
<b>Problem Solving Court Discharge Report</b>	Provides discharge information in a one-page report.	PS Court Discharge Module	SMART generated report
<b>Client Progress Report</b>	Provides client/participant summary information (employment & education status, age, etc.), and lists compliance (date specific) for treatment, probation and court attendance, drug test results, etc.	From the Activity List for a participant/client, click 'Client Progress'	SMART generated report

# Client Summary Progress Report

<b>Training</b>		<b>Client Progress Summary</b>		Report Generated	03/23/2016
		Report Dates: 01/01/2007 to 03/23/2016			
Court Case #	77793111	Employment Status	Employed Full Time (35 hours or more per week)		
Unique Client #	M0601640987PI	Name of Employer	Job Inc.		
Client Name	Pig, Porky	Highest Grade Completed	Earned BA/BS		
Alias	Pig Blanket, Piggy Bank, Pork Sandwich, Porky Frank, State Maryland, Sweet Pork, Sweet Sour, Sweetie Sour	Date of Birth	8/1/1964		
Address		Age	51		
School/Vocational Training Enrollment	Earned BA/BS	Drug Court Admission Date	11/01/2007		
Community Service Hours Remaining	40	Current Phase			
Phase Start Date		Number of Days in Phase			
Date of Last Positive Drug Test	8/11/2015	Days Since Last Positive Test	225		
<b>Drug Test Results</b>					
Agency	Total # Specimens	# FTA	# Negative	# Positive Specimens (confirmed positives and unconfirmed)	Positives
MBC Treatment Center (Training Agen	294	208	41	13	Alcohol, Amphetamines, Barbiturates, Benzodiazepine, Cocaine, Creat, Hallucinogens, Heroin, Marijuana, Other Opiates, PCP
Wallstreet Recovery	3	1	0	1	Alcohol, Cocaine
<b>Treatment Attendance</b>					
Agency	# Individual Sessions	# Group Sessions	# FTA		
MBC Treatment Center (Training Agen	5	4	1		
Wallstreet Recovery	1	0	1		
<b>Probation Meetings</b>					
Agency	Total # Meetings	# Attended	# FTA		
<b>Drug Court Summary Notes</b>					
Document your notes (Appended 8/18/2015 11:52:39 AM sgibbs1 [Gibbs, Sharon] MBC Treatment Center (Training Agen)					
kl;lkj;kljkljklj (Appended 6/25/2015 12:32:09 PM sgibbs1 [Gibbs, Sharon] MBC Treatment Center (Training Agen)					
ewhjaerjknareammnr (Appended 11/18/2009 3:22:17 PM sgibbs1 [Gibbs, Sharon] MBC Treatment Center)					
<hr/>					
Requested By	Gibbs, Sharon, Santa Ana	1	of	1	Confidential and Proprietary
Criteria:	Client Name = Porky Pig // Agency Name = MBC Treatment Center (Training Agen // Date Range = 1/1/2007:3/23/2016				

**Client Progress Report- Where Does the Data Come From?**

<b>Data</b>	<b>SMART Module /Screen Where Data Entered</b>
<b>Court Case Number</b>	Client Profile/Other Numbers
<b>Client ID</b>	Client Profile/Client Profile
<b>Client Name</b>	Client Profile/Client Profile
<b>Client Address</b>	Client Profile/Address
<b>Enrolled in School/Training</b>	PS Court/Education
<b>Community Service</b>	PS Court/Community Service
<b>Current Situation</b>	PS Court/Current Situation
<b>Employment Status</b>	PS Court/Employment
<b>Name of Employer</b>	PS Court/Employment
<b>Highest Grade</b>	PS Court/Education
<b>Date of Birth</b>	Client Profile
<b>Age</b>	Calculated based on date of birth and date report generated
<b>Treatment Attendance</b>	Encounter/Treatment Encounters (from all agencies that have entered data where there is appropriate consent/disclosure)
<b>Drug Test Results</b>	Drug Test Results from all agencies who have entered data where there is appropriate consent/disclosure or entered directly documented by the problem-solving court
<b>Criminal Justice Contacts</b>	PS Court/Court & Other Justice Supervision
<b>Legal Status</b>	PS Court/Legal Status
<b>Case Management Contacts</b>	PS Court/Case Management
<b>Sanctions and Incentives</b>	PS Court/Sanctions and Incentives
<b>Court Summary Notes</b>	PS Court/Case Management

## **Monitoring Effectiveness and Efficiency of Services/Practices**

As the program is implemented, it is important to monitor the efficiency of services provided and to identify what works and what does not work to continually improve the quality of care. SMART set out standard performance measures to assist problem solving courts to monitor the performance of their program and to use outcome data to improve programs and services. By helping problem solving court practitioners collect meaningful outcome data, the problem-solving courts can then use the data to promote continuous quality monitoring.

Modifying the practice of the entire problem-solving court team requires a greater intensity of effort than is needed to affect a relatively simple change. Sustained change requires a restructuring the flow of the daily work so that work so that routine procedures make it natural for the problem-solving provider to give care in the new way. Having access to clearly defined proven practices that are packaged for implementation would help problem solving court teams and administrators in their efforts to meet their responsibility to the communities they serve.

Problem solving courts may use the data for a variety of purposes. The aggregated data can be used to generate presentations for the local community and oversight boards, to provide information on outcome and continuous quality improvement activities to accrediting bodies, to report mandated data to the state, and to evaluate program and service effectiveness. A commitment to using outcome monitoring for continuous quality improvement remains, in large part, a result of the active interest of problem solving court practitioners. Owning and understanding the data appear to have promoted a sense of control and mastery that helped to mitigate feelings of apprehension about being evaluated/monitored, which often accompany the reporting of outcome data for accountability purposes.

The following is a chart that outlines the program level performance measures and the reports available in SMART. Following the chart are screen shots of reports.

## Performance Measure Reports

<b>Performance Indicator</b>	<b>Questions Answered</b>	<b>SMART Report</b>
<b>Program Retention</b>	What is the percentage of admitted clients/participants who graduate from the program? What is the average length of stay in the problem-solving court for graduates and for those who terminate early?	Admissions and Discharge Report
<b>Criminal Behavior outcome</b>	What is the percentage of participants who are rearrested while participating in the problem-solving court? What percentage is rearrested in the first year after problem solving participation (if captured)?	New Charges Report
<b>Substance abuse outcomes</b>	What percentage of problem solving court participants' drug tests is positive? By type of drug?	Drug Testing Report
<b>Target Population characteristics</b>	What are the characteristics of the target population served, and how do these characteristics differ from the planned target population?	Client Profile Data (Excel File)
<b>Use of sanctions and incentives</b>	How frequently are sanctions and incentives imposed on participants?	Sanctions and Incentives Report Case Management Reports
<b>Use of treatment</b>	How frequently do clients/participants attend treatment services?	Drug Testing & Treatment Reports
<b>Court resource utilization</b>	How many status hearings do participants attend? How many meetings between participants and case managers or other problem-solving court team.	Summary of Court Events & Case Management Reports
<b>Social and economic status outcomes</b>	What are participant's employment patterns? What are the living status patterns?	Case Management & Rearrests & Technical Violations & Discharge Reports

**Quarterly Reports: Table 1 Client Demographics for Active Clients**

<b>Table 1. Client Demographics for Active Clients</b> Profile Report for Administrative Agency (MD-100100) Report Period: 1/1/2009 to 3/31/2009			
Active Client Profile	Number	Percent of total reporting	Missing Data
<b>Total Active Clients*</b>	29	100%	--
All Races - total reporting	26	--	3
Alaskan Native	0	19%	--
American Indian	2	8%	--
Asian or Pacific Islander	0	23%	--
Black or African-American	3	12%	--
Other	0	0%	--
White	7	27%	--
More than one race	3	12%	--
Ethnicity - total reporting	26	--	3
Hispanic	10	58%	--
Not Hispanic	11	42%	--
All Genders - total reporting	29	--	0
Female	9	31%	--
Male	20	69%	--
Age Group - total reporting	29	--	0
Under 12	0	0%	--
12-14	0	0%	--
15-17	0	0%	--
18-20	1	3%	--
21-29	10	52%	--
30-39	5	17%	--
40 and Over	8	28%	--
Veteran Status - total reporting	28	--	1
Never in Military	1	4%	--
Active Duty	0	0%	--
Veteran	0	0%	--
Unknown	27	96%	--

\* An active client is any client who was active at any point during the time period specified for the report.

Created Date: 4/6/2016 9:09:45 AM Created By: sgibbs1

Quarterly Reports: Table 7. Case Management Events (Activities)

<b>Table 7. Case Management Events (Activities)</b>											
Profile Report for Administrative Agency (MD-100100)											
Report Period: 1/1/2009 to 3/31/2009											
Case Management Events	Number	Percent of Total	Attended	Collateral	Excused	FTA	N/A	Unknown	Missing Data	Mean # per Active Client	Range**
Total Active Clients*	29	100%	-	-	-	-	-	-		-	
Active Clients* with a Case Management Activity Reported	1	3%	-	-	-	-	-	-		-	
Unique Client ID's with a Case Management Activity Reported	3	10%	-	-	-	-	-	-	-	-	
Case Management Activities (total)	5	100%	0 (0%)	0 (0%)	0 (0%)	1 (20%)	0 (0%)	0 (0%)	4 (80%)	0.17	1 - 3
Contact with Treatment Provider	1	20%	0 (0%)	0 (0%)	0 (0%)	1 (100%)	0 (0%)	0 (0%)	0 (0%)	0.03	1 - 1
Summary Note	4	80%	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	4 (100%)	0.14	1 - 2
<i>Created Date: 4/6/2016 9:14:35 AM Created By: sgibbs1</i>											
* An active client is any client who was active at any point during the time period specified for the report.											
** Range is the minimum and maximum number of case management activities for clients with a case management activity reported.											



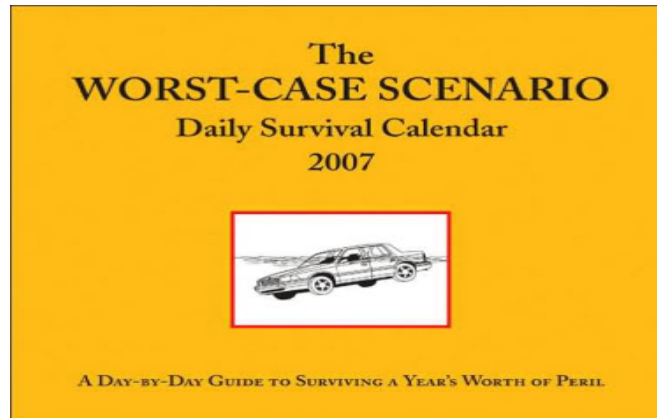
**Quarterly Reports: Table 17. Re-arrest and Technical Violations for Active Clients**

<b>Table 17. Re-arrests and Technical Violations for Active Clients</b>		
Profile Report for Administrative Agency (MD-100100)		
Report Period: 1/1/2009 to 3/31/2009		
	Number	Percent
Total of Active Clients*	29	-
Active Clients Re-arrested** During Drug Court Episode	11	38%
Active Clients Receiving at least one Technical Violation** During Drug Court Episode	9	31%

*Created Date: 4/6/2016 11:44:44AM*

\* An active client is any client who was active at any point during the time period specified for the report.

\*\* Persons can have multiple arrests and/or multiple technical violations.



## **Appendix A**

### **Case Scenarios**

## **Case Scenarios for Discussion**

### **Overview**

As part of each training, it is important to not only learn how to enter information into SMART, but to also understand how to locate information, and generate reports to interpret information to make informed decisions about problem solving court participants. The following scenarios will be used to assist in becoming familiar with the resources available in SMART. Case scenarios may also be used by the problem-solving court team for discussion in team meetings, internal trainings, etc.

Each scenario will involve the complex issues facing problem solving court participants, as well as demonstrate the capabilities of SMART as it relates to the myriad roles of case managers, supervision agents, counselors, advocates, service planners, facilitators, negotiators, judges, motivators, among other that are played by problem solving court team members.

**Scenario 1:**

Thirty-two-year-old Ricky Johnson was arrested on September 1, 2015 for possession of cocaine. Ricky tested positive for cocaine and alcohol. Because of his drug use, Ricky was referred to the Frankford County Problem Solving Court. If Ricky successfully completes the program, his charge would be dropped. Ricky’s prior charges include two other possession charges and one trespassing charge. Upon entry into the Frankford County Problem Solving Court, Ricky was twenty-six years old. He resided with his grandmother, was unemployed, and had a 10<sup>th</sup> grade education.

Ricky has been in Phase I for 90 days, where he was required to meet with his supervision agent once a week, attend intensive outpatient (IOP) treatment for three hours/three times per week, show up for scheduled and random urine tests; as well as, attend a support group (i.e., AA/NA) three times a week. To date Ricky is employed part-time, attends his support groups, and is enrolled in a GED program. However, Ricky has not been compliant with treatment. He has constantly missed drug testing appointments and tested positive for cocaine.

**Questions:**

1. What participant data would you review in making a decision about Ricky?
2. What reports would you generate?
3. If Ricky met with your drug court today, what would be the team’s response to Ricky’s behavior? Why?

SMART Modules Reviewed	Reports Generated	Decisions

**Scenario 2:**

Simon is a forty-six-year-old veteran with a prior arrest for second degree assault and battery. He suffers from post-traumatic syndrome. Since separating from the military, Simon has been seen by behavioral health specialists. He has completed some college courses, and lives with relatives. There is a growing incidence and prevalence of heroin in Simon’s community, and he begins using it. Judge Pearson from the Fairview County Mental Health Court feels Simon would be a good candidate for the mental health court program. Simon agrees and signs the contract for the program. Simon agrees to meet with his case manager twice a week.

Simon has been referred to Hope Behavioral Health Services, where he will receive behavioral health and substance services. His treatment consists of behavioral health therapy four times a week, group counseling three times a week, and random drug tests. The first few weeks Simon attends all counseling sessions, and has had negative urine results. Simon has also enrolled at the local university to complete his degree.

Recently, Simon has not appeared for any of his scheduled treatment sessions or case manager meetings. In addition, he has missed his random drug testing and has not been attending classes.

Simon’s case manager learns that he has been admitted the hospital, and does not know how long Simon will be there.

**Questions:**

- 1. What modules would you use to document the services Simon received?
- 2. What reports would you generate?
- 3. What modules would you use to document Simon’s status?

SMART Modules Reviewed	Reports Generated	Decisions

**Scenario 3:**

Tina was admitted to the problem-solving court for shoplifting and testing positive for cocaine. Tina is 30 years old and the mother to 6-year-old Tim. At the time of her admission to problem solving court, Tina had been unemployed for six months, and was living with her abusive drug user boyfriend, Frank. Tim at the time of Tina’s admission to problem solving court lived with his grandmother (Tina’s mother).

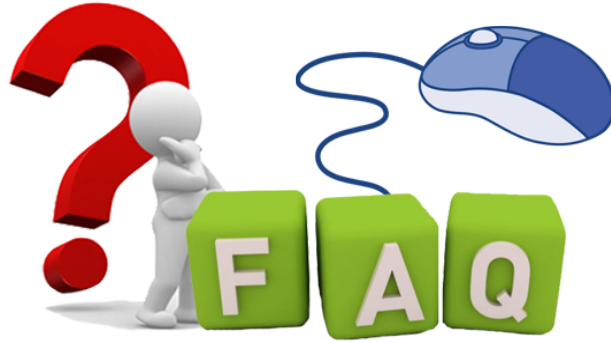
Tina has done very well in problem solving court and has obtained part time employment at Salon Voila and has been taking GED classes. She has been attending all of her treatment and support groups. Her drug test results have been negative for the past 75 days. She is no longer in an abusive relationship, and now has her own apartment with custody of Tim. Note: Approximately a month ago, Frank, her boyfriend was released from jail.

During a random home visit, the probation officer found Tina drinking, and upon testing her (breathalyzer), found her BAC was 0.05.

**Questions:**

1. What participant data would you review in making a decision about Tina?
2. What reports would you generate?
3. If Tina came before your problem-solving court today, what would be the team’s response to Tina’s behavior and why?

SMART Modules Reviewed	Reports Generated	Decisions



## **Appendix B**

### **Frequently Asked Questions**

### **OPSC Reporting Schedule:**

*How often does my court have to submit data to the Office of Problem Solving Courts? How are the quarterly and annual reports generated?*

Each court is responsible for submitting reports quarterly and annually. Please see below for details

Quarters	Reporting Months	Report Tables	Due Date
1 <sup>st</sup> Qtr.	July 1st through September 30th	Tables 1 through 18	On or before October 30 <sup>th</sup>
2 <sup>nd</sup> Qtr.	October 1st through December 31 <sup>st</sup>	Tables 1 through 18	On or before January 30 <sup>th</sup>
3 <sup>rd</sup> Qtr.	January 1 <sup>st</sup> through March 30 <sup>th</sup>	Tables 1 through 18	On or before April 30 <sup>th</sup>
4 <sup>th</sup> Qtr.	April 1 <sup>st</sup> through June 30 <sup>th</sup>	Tables 1 through 18	On or before July 30 <sup>th</sup>

Annual	Reporting Months	Report Tables	Due Date
12 mos.	July 1 <sup>st</sup> through December 31 <sup>st</sup>	Tables 1 through 16 with graphs, and Tables 17 and 18	On or before January 30 <sup>th</sup>

### **Where does the quarterly and annual data come from?**

All data is captured via SMART. It is imperative to document participant data in a timely and detailed fashion to create a complete picture of your court's performance.

### **How often is the data for the SSRS report site updated?**

The Report Site holds all SMART data but is only current through the previous day. SMART data are copied to the Report Site every evening. Any changes you make in SMART will be visible in reports the following day.

### **What is the URL for the SSRS report site?**

<https://smart-reports.igsr.umd.edu/smartreports>

### **Does everyone have access to the SSRS reporting site?**

The court coordinator is the primary individual who has access to the SSRS reporting site. He or she can send a written request to the IGSR Help Desk at [igsrsupport@umd.edu](mailto:igsrsupport@umd.edu) if she or he would like a designee to have access to this data site.



### **Do I have to create a record in SMART?**

All problem-solving court participants must have a record in order for the case manager to manage his or her caseload. The case manager uses internal and external participant information to monitor and make decisions.

### **What do I do if my problem-solving court participants' records are started at a partner agency, i.e., treatment?**

You will 'Place & Accept' the participant's record *if* it is electronically consented and referred to your court via SMART. Placing and accepting a consented record will start a participant record at your SMART agency.

You will create a participant SMART record at your court agency *if* your partner agency has not electronically consented and referred the participant. Creating the SMART record will allow you to document your information until partner agency information is shared.

### **Do I need to enter individuals not admitted to my problem-solving court in SMART?**

Yes, all individuals referred to your court must have a record in SMART. OPSC tracks this information as well. A SMART Client Profile and Intake would be created. Please use the Intake screen to indicate the individual's status, reason for non-admission, and to close the case.

The screenshot shows the 'Intake Case Information' form in SMART. The form is divided into several sections. The top section contains fields for Intake Facility (Santa Ana), Case Assigned To (Gibbs, Sharon), Intake Date (8/15/2007), Case Status (Not Admitted), and Source of Referral (Judge). The middle section contains fields for Source of Referral Detail and Source of Referral Detail Selected. The bottom section contains fields for Reason For Non-Admission (Psychologically unable to par...), Prenatal Treatment, HIV Positive, Report To State (No), and Referral Contact (Pig, Petunia). Red arrows point to the Case Status dropdown menu and the Reason For Non-Admission dropdown menu.

### **Does Discharging a participant automatically close the SMART record?**

Discharging and closing a SMART record are two different functions. Discharging a participant in SMART indicates the he or she is no longer in your problem-solving court program. The Intake screen is used to close the case after a participant is no longer in your program, and continuing care is not being monitored. The case will still have an 'Active' status until this process is complete.

## **Consents & Referrals:**

### ***What is the difference between Consents and Referrals?***

Consents allow agencies to electronically share specific participant information with another agency.

Referrals are done electronically when you need to send a participant to another agency for further treatment or services. There must be a signed consent on file prior to electronically referring a participant.

#### *How do I create Consents?*

Consents must be done for each participant separately. From the participant's Activity List, click Consent on the Menu Tree. Choose the agency and if your agency has a consent disclosure for this agency, the disclosure section will automatically populate. If not, you will have to select each item to be disclosed. Complete the required fields on the screen. Make sure the consent is signed and placed in the client's file. Please confirm that you have selected the correct agency name listed in SMART.

#### *How do I make Referrals?*

Please use the "Create Referral Using this Disclosure Agreement" link on the Consent screen. If the facility and/or program name field is blank on the Referral screen, then this agency is not setup in SMART. Please contact the agency to verify the agency name in SMART and to determine whether or not you should be making a referral to this agency within SMART.

#### *How should Consent Dates and Referral Dates be set?*

Be sure to enter the accurate date at which your agency can begin sharing the participant information. For example, if you want to consent an assessment, the consent date must be on or before the date of the assessment. The referral date is the date that you are making the referral to the outside agency.

## **Drug Test:**

### *What if I cannot locate a specific drug test result?*

If you are unable to locate a drug test result, please make sure that the date range you are searching for is correct.

### *How do I find the drug test results which are positive?*

Positive drug test results are listed in RED.

**Encounters:**

*What is the Outcome Code?*

All scheduled encounters whether attended or not, must be documented for the problem-solving courts. Please use FTA excused or attended as applicable.

**Does Encounter information automatically appear on my participant's progress report?**

There must be consenting to share encounter information or any other participant information. The Encounter data will appear if there is an active signed participant consent to share the information with your court.



## Appendix C: Data Dictionary

## SSRS Data (Table 1 through Table 18)

<u>Table 01 Active Clients</u>	Shows clients who were active during the time period requested, meaning an eCourt admission date on or before the requested end date, and either no discharge date or a discharge date on or before the requested start date. To run this report for all active clients as of a certain date, enter that date as both the start and end date.
<u>Table 01 Active Clients By Facility</u>	Same as Table 01 but allows the user to specify a facility (for those courts with multiple facilities).
<u>Table 02 Client Demographics at Admission</u>	Displays demographics (from client profile) for clients with eCourt admissions during the requested time period. Also counts the number of candidates (meaning an intake date during the requested time period.) Only data in the drug court agency will display.
<u>Table 02 Client Demographics at Admission by Facility</u>	
<u>Table 03 Client Characteristics at Admission</u>	Displays characteristics (from eCourt admission) for clients with eCourt admissions during the requested time period. Only data in the drug court agency will display.
<u>Table 03 Client Characteristics at Admission by Facility</u>	
<u>Table 04 Client Demographics at Discharge</u>	Displays demographics (from client profile) for clients with eCourt discharges during the requested time period. Only data in the drug court agency will display.
<u>Table 04 Client Demographics at Discharge by Facility</u>	
<u>Table 05 Client Characteristics at Discharge</u>	Displays characteristics (from eCourt discharge) for clients with eCourt discharges during the requested time period. Only data in the drug court agency will display
<u>Table 05 Client Characteristics at Discharge by Facility</u>	
<u>Table 06. Summary of Court Events</u>	Selects clients who were active during the reporting period. Also selects any court and other justice events that fall during the reporting period. Court events are entered in the Court and Other Justice module in SMART.
<u>Table 07. Case Management Events (Activities)</u>	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."
<u>Table 08. Case Management Events (Referrals)</u>	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."
<u>Table 09. Case Management Events (Services)</u>	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."
<u>Table 10. Client Drug Testing Outcomes</u>	Selects clients who were active during the reporting period. Also selects any drug test results that fall during the reporting period, in the agency requesting the report or any consenting agency.
<u>Table 11. Treatment Encounters</u>	Selects clients who were active during the reporting period. Also selects any treatment encounters that fall during the reporting period, in the agency requesting the report or any consenting agency. Treatment encounters are entered only in the Encounters Module in SMART.
<u>Table 12. Client Negative Behaviors</u>	Selects clients who were active during the reporting period. Also selects any negative behaviors where behavior date falls during the reporting period, in the agency requesting the report or any consenting agency. Negative behaviors are entered in the Incentives/Sanctions module in SMART.
<u>Table 13. Client Sanctions</u>	Selects clients who were active during the reporting period. Also selects any sanctions where the response date falls during the reporting period, in the agency requesting the report or any consenting agency. Sanctions are entered in the Incentives/Sanctions module in SMART.
<u>Table 14. Client Positive Behaviors</u>	Selects clients who were active during the reporting period. Also selects any positive behaviors where behavior date falls during the reporting period, in the agency requesting the report or any consenting agency. Positive behaviors are entered in the Incentives/Sanctions module in SMART.
<u>Table 15. Client Incentives</u>	Selects clients who were active during the reporting period. Also selects any incentives where the response date falls during the reporting period, in the agency requesting the report or any consenting agency. Incentives are entered in the Incentives/Sanctions module in SMART.
<u>Table 16. Rearrests and Technical Violations at Discharge</u>	Selects clients who were discharged (eCourt discharge) during the reporting period. Also reports number of discharged clients with at least one new charge or at least one technical violation during their drug court episode. All discharged clients and rearrests are only in the agency requesting the report (no consented data are used). Arrests and technical violations are entered in the New Charges module in SMART.
<u>Table 17. Rearrests and Technical Violations for Active Clients</u>	Selects clients who were active during the reporting period. Also selects any new charges and technical violations for these clients, no matter when they occurred, in the agency requesting the report. Rearrests are entered in the New Charges module in SMART.
<u>Table 18. Average Active Client Count</u>	Shows the average daily number of active clients for a user-specified time period as well as the range of active clients for the same period. Also counts the number of admissions and discharges during the period.

## Terminology

1. **Problem Solving Courts**- designed to address the underlying problems that contribute to criminal behavior. The courts provide a method of resolving the problem to reduce recidivism.
2. **Problem Solving Court Team**- collaboration of community partners consisting of treatment, medical, corrections, spiritual, education, employment, etc. that the case manager works with to meet the problem-solving court participant's needs.
3. **VOP**- violation of probation
4. **FTA**- failure to appear. Outcome measure used to track a participant's compliance for treatment related and other services.
5. **MRT**- moral reconnection therapy is a systematic treatment strategy that seeks to decrease recidivism among juvenile and adult criminal offenders by increasing moral reasoning.