SMART
Drug Court
Training Manual

Purpose of this manual:
This training manual is designed to provide drug court program staff with the practical information necessary to use the SMART management information system. This includes understanding how to enter data into the system and retrieve data once it has been entered. The first several chapters outline each SMART module, specific training objectives, how to correctly enter data into the module, the identification of associated reports and suggested utility of the data. The last chapter is dedicated to generating and utilizing client and program level reports and includes case scenarios illustrating the value of data. Practitioners will be trained in modules according to their roles within the court.

Training Objectives:
This training will provide participants with the tools to utilize the SMART system. At the end of this training, participants will:

- Know how to login and search for existing clients and view client progress.
- Enter new clients into the system and open a client case.
- Document client treatment contacts (treatment encounters and ancillary services provided by the treatment provider) and assessments.
- Document drug testing results.
- Document criminal justice contacts (court hearings, probation contacts, etc.).
- Enter and track charges received during drug court.
- Document employment and education information.
- Document drug court admission and discharge information.
- Utilize the reports associated with each module, as well as others available to track client and program progress.

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Accessing SMART

Purpose of Module:
The purpose of this module to provide the step-by-step process for accessing and navigating the SMART application. Participants will also gain an understanding of the 3 factor credentialing and data security.

Training Objectives:
After completing this module, users will be able to:

- Connect to the SMART database.
- Login to SMART.
- Change Password/PIN.
- Understand the security of client data.
- Understand the basic navigation conventions in SMART
- Navigate SMART Modules

Requirements for Logging Into SMART:

- Computer
- High speed internet access
- Web browser (recommend Internet Explorer 6.0 or higher)
- Adobe Acrobat Reader (to view reports)
- Microsoft Excel (to generate Excel spreadsheets)
- Popup blockers allowed for SMART website
- SMART URL: **https://smart.bgr.umd.edu**
- Username/password/PIN (sent via email)

In order to view or enter data into SMART, users must have access to the Internet. SMART is located on a secure site, where all authorized users have secure access to the site through an assigned username, password and PIN. All client data entered through the SMART application is stored in the SMART database and not on the user's computers. The SMART database acts as a storage warehouse of data, where each agency/facility has its own file cabinet and key (username, password and PIN) to access that file cabinet. ***Note:*** the only time client data is stored on a user's computer is when the user exports data into Microsoft Excel and saves the data on the user's computer.

SMART Navigation
The SMART Menu Bar (left tool bar) appears in the far left column of the screen and serves as the springboard for all other functions in SMART. The functionalities are categorized under 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 menu item, there are subcategories/second level menu items. By clicking on a primary category, a list of subcategories appears. For example, by clicking on Client List, Client Profile and Activity List appear as second level subcategories. And likewise, 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.

Toolbar icons serve as points of information, as well as allow for general tasks such as printing reports, logging out, etc. The navigation buttons allow the user to move from screen to screen within a module (next, previous, save, cancel, finish). Hyperlinks and table actions allow for specific actions such as reviewing adding or deleting information. For more detailed navigation information, see 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 (e.g. Internet Explorer version 6.0 or later) to protect data transmitted over the web. This means that when a user accesses SMART, all information accesses or transmitted from the user's computer to the SMART database is 128 bit encrypted.

SMART Authentication

Upon entering SMART, the user must first enter their credentials – username, password and PIN. Unlike many applications, the user credentials are accessed on a separate authentication server than the client data. Thus, when a user generates the login screen, only the authentication server and not the SMART server is accessed by the user, allowing 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 that the authentication server is compromised, clinical data remains secure.

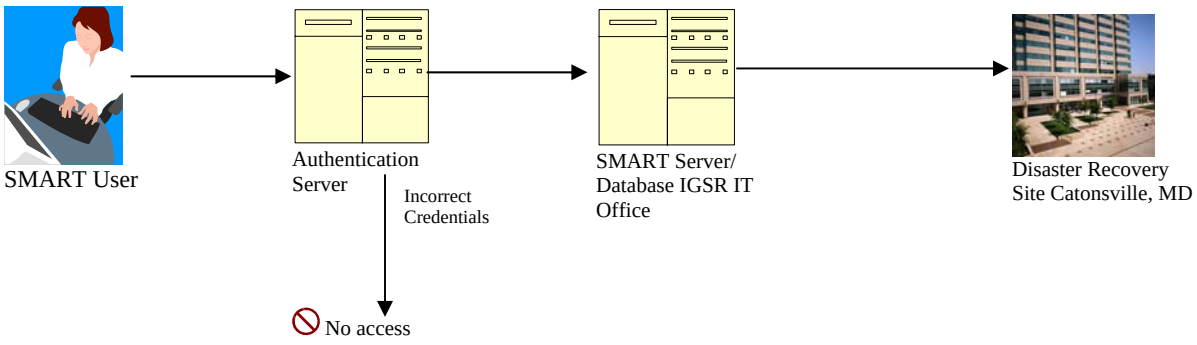
SMART Database Protection

The SMART database and application server is protected behind a firewall to protect from unauthorized users and viruses and updated regularly with security patches. In addition, the SMART server is located 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 a server crash or disaster, the data can either be accessed through onsite restore of log files or through the disaster recovery site, depending on the severity of the server and database damage. In addition, IGSR hosts a disaster recovery site that replicates the SMART server/database setup in Catonsville, Maryland and in the event of a disaster (hurricane, fire, etc.), client data can be recovered and the database restored.

Security Overview



Helpful Hints:

- To create a shortcut to SMART on your desktop, right click on the webpage (somewhere below the header) and choose 'Create Shortcut'. It will prompt you with a message - "A shortcut to the current page will be placed on your desktop" Click 'OK'.
- Please remember your username, password and PIN. Logging in three times incorrectly, will disable your account and your account will have to be activated before proceeding.

Supporting Documentation:

Accessing SMART Tip Sheet
Navigation SMART Tip Sheet

SMART Tip Sheets

This tip sheet focuses on the elements required to access SMART.

Total Pages: 5

Accessing SMART

- Accessing SMART
- Logging In
- Agency/Facility/Program Access
- Logging Out

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Accessing SMART

Accessing SMART Through the Web

1. **Accessing the SMART URL:** to access SMART you must have a computer with access to the Internet and a web browser (Internet Explorer recommended). To access SMART, type the following URL in the address line of your browser and hit enter:

   https://smart.bgr.umd.edu

   Note: to create a shortcut, right click on the webpage (somewhere below the header) and choose 'Create Shortcut'. It will prompt you with a message confirming that you wish to place the shortcut on your desktop. Click **OK**. **Note:** the name of the shortcut will be ***WITS*** instead of SMART.

2. **Security Alert:** to protect your data SMART is located on a secure site. When you receive the Security Alert message, asking if you want to proceed, click **Yes**.

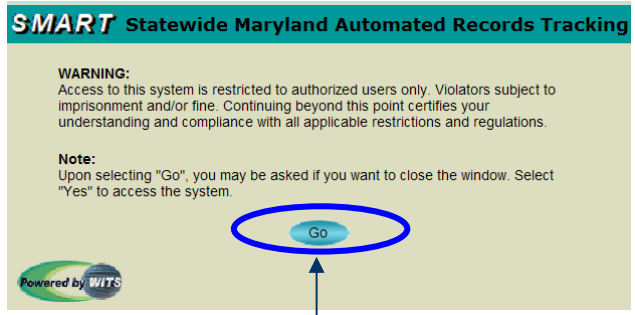
3. **Warning Message Box:** next you will be warned that you must be authorized to view this site, Click **Go** if you are authorized.

4. **Browser Window Message:** When you enter SMART, it opens a new browser window. Your browser is asking you if you want to close the current browser window. Click **Yes**.

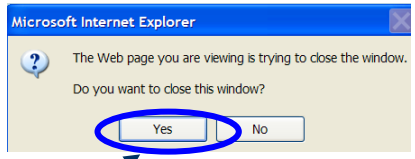
SMART URL

Security Alert

Click Yes



Click Go



Click Yes

Accessing SMART

Logging Into SMART

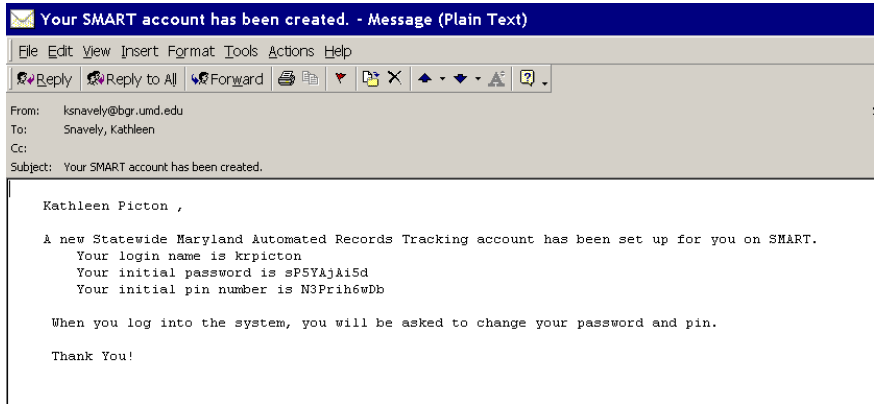
1. **Account Setup:** Your account will be setup by your SMART Agency Administrator, and you will receive a system generated email with your User ID, initial Password and PIN.

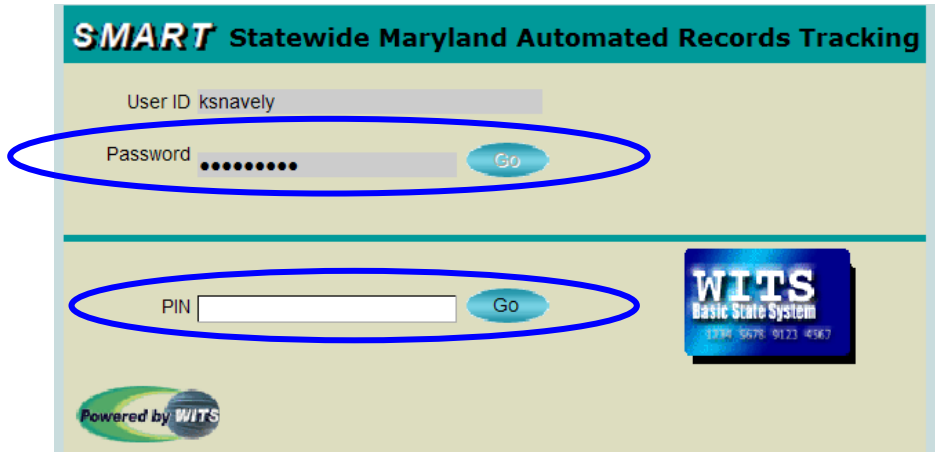
2. **Logging In:** The first time you login, enter the User ID, Password and PIN sent to you in the email. If you have not received your login information, please contact your SMART Agency Administrator.

3. **User ID/Password/PIN:** Each user will be assigned a User ID that will generally follow the convention of the user's first initial of the first name and the entire last name. Once you enter your User ID and Password, click **Go.** You will then be asked for your PIN. Please enter it and click **Go.**

   Note: the first time you login to SMART and periodically (every 90 days according to HIPAA) thereafter, you will be prompted to change your password and PIN. The Password must be at least 8 characters long, where one character is a number. The PIN cannot be the same as your User ID or password and must be six characters long. Change the password and pin to something you will remember and that someone else could not easily guess.

   Note: Your account will automatically become disabled after three failed attempts to login. If this happens, please contact your agency's SMART liaison, your training representative, or the IGSR Helpdesk to enable your account.





Accessing SMART

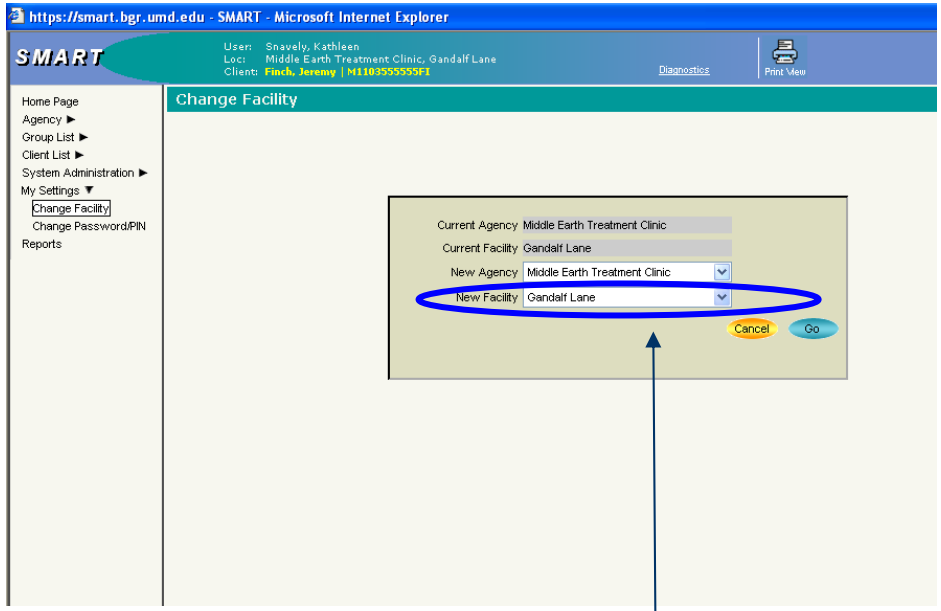
Agency/Facility/Program Access

1. **Agency/Facility/Program Access:** When accessing SMART, the user logs in to an agency and facility. And then within the facility, the user can access/enter information in one or more programs associated with that facility, depending on the user's permissions.

2. **Session Context:** SMART requires each user to have a context per session. Most users will be associated with one Agency, but may be associated with many facilities. After you enter your User ID, Password, and PIN, you will be asked to identify which facility you would like to login to. SMART defaults to the Agency that is accessible by your User ID, Password, and PIN. Choose the appropriate facility from the drop down box and then click **Go.**

   Note: if you have access to one facility only, then this screen will not appear. You will be taken directly to the Home Page.

3. **Change Context:** To change the facility, from the left tool bar, click '**My Settings**' and then click '**Change Facility**'.



Select Your Facility

Accessing SMART

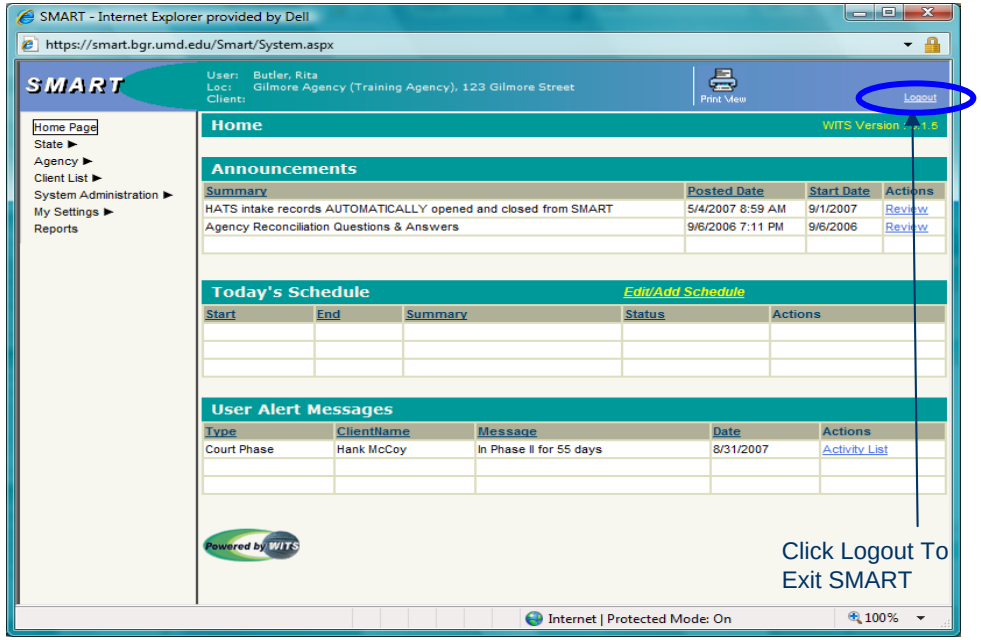
Logging Out of SMART

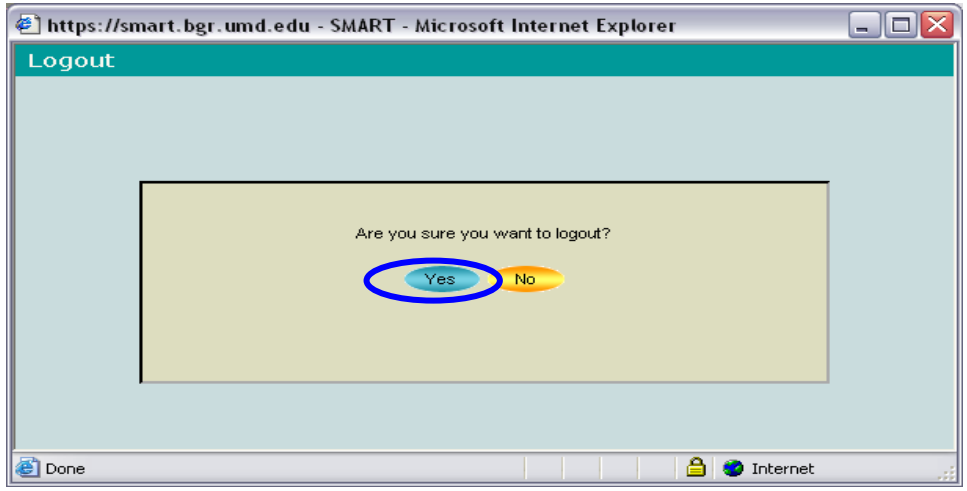
1. **Logging Out:** It is important that users properly logout of SMART, and not simply click the 'X' in the upper right hand corner. Logging out improperly can result in problems the next time the user tries to login and the user may have to contact his/her System Administrator and request that his/her account be cleared from the server before being able to successfully login again.

2. Click **Logout** in the upper right hand corner of the screen (available on all SMART Screens).

   Note: Be sure to save your work prior to logging out of SMART.

3. A window will appear asking you, "Are you sure you want to logout?" Click **Yes.**





SMART Tip Sheets

This tip sheet focuses on the elements required for navigation, and data entry.

Total Pages: 6

SMART Basic Navigation

Menus/Toolbars
Navigation Buttons/Table Actions
Controls
Conventions

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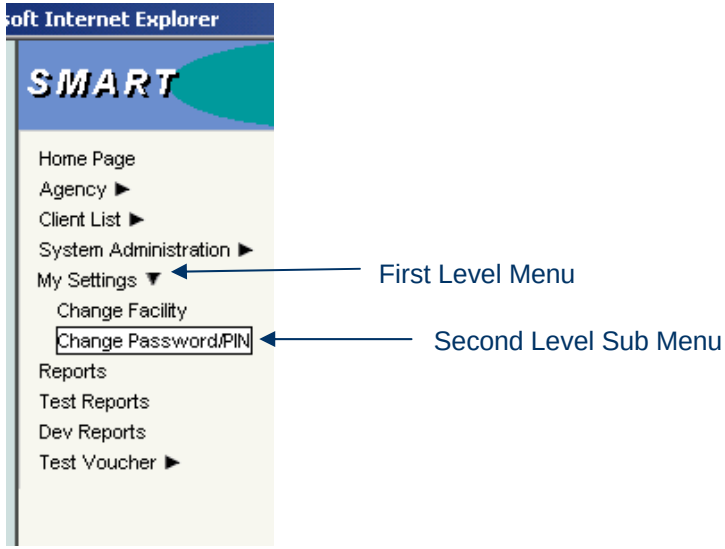
SMART Basic Navigation

Menus/Toolbars

1. **Menus:** The SMART Main Menu appears in the far left column of the screen. First level menu items are left-most aligned and may include: **Home**, **Agency**, **Client**, **My Settings**, **Reports**, among others (depending on the user's level of access).

   Sub-Menus: Once the user has selected a First Level function, using the First Level Menu selection (e.g. **My Settings**), the menu expands to display the Second Level Sub-Menus. The Sub-Menus allow the user to navigate to specific screens without having to use next and back keys. Sub-Menus can be identified by a small triangle to the right of the label (pointing to the right). The triangle points down when the Sub-Menu is displayed. To choose a menu item, put your mouse over the item and single click the item.



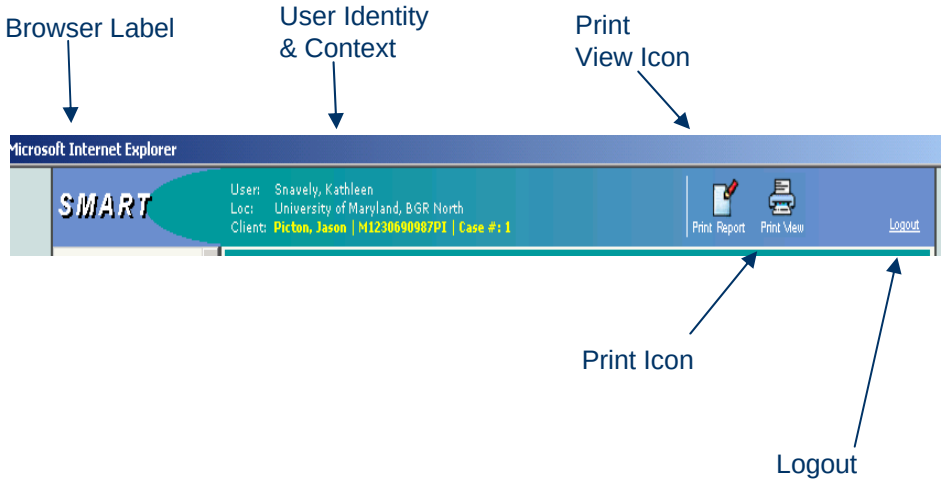
2. **Toolbar Icons:**
   - The Browser Label depicts the name of the browser vendor (e.g. Microsoft Internet Explorer).

   - User Identity & Context identify the User (person logged into SMART), the Location (agency/facility the user is logged into) and the client's record opened to be worked on.

   - The **Print View** icon, allows the user to print a formatted record of the module being worked on and is available on all screens.

   - The **Print Report** icon, allows the user to print a formatted record of the module being worked on.

   - **Logout** allows the user to logout of the application.



SMART Basic Navigation

Navigation Buttons/Table Actions

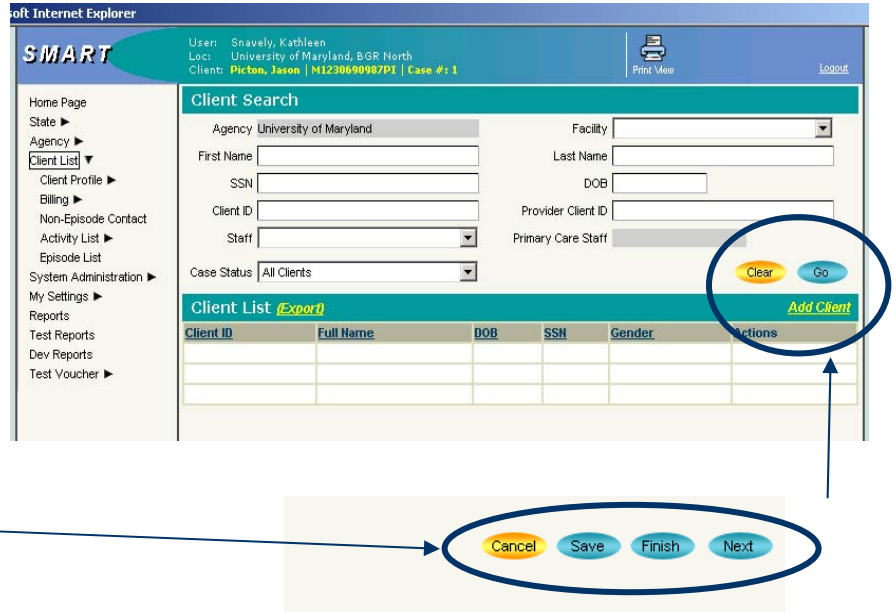
1. **Navigation Buttons:** The **Go** button is used to initiate a query (e.g. Clicking **Go** from the **Client Search** screen will generate a list of clients at the agency).

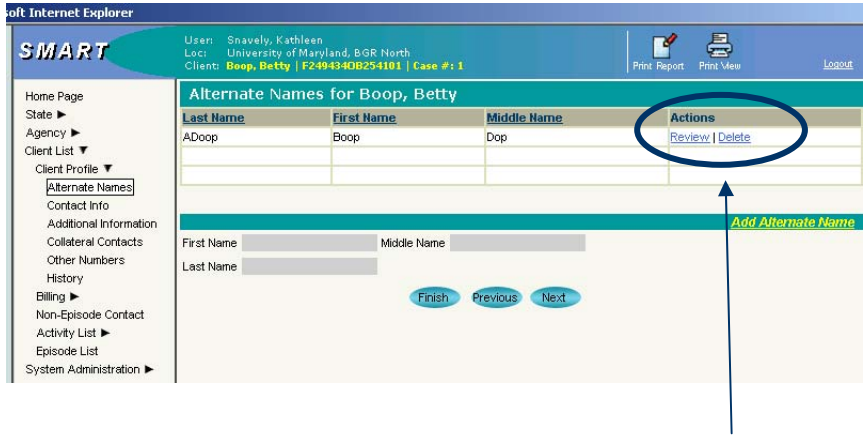
   Cancel, **Save**, **Finish** and **Next** allow the user to move through a particular SMART module (e.g. **Admission**), where **Cancel** cancels your transaction and no work is saved; **Save** saves your work, but you remain on the same screen; **Finish** saves your work and returns you to the original screen; **Previous** takes you to the previous screen; and **Next** advances you to the next screen in the module.

2. **Table Actions & Hyperlinks:** Table actions allows the user to create, edit or delete information.

   a. A yellow underlined hyperlink, allows the user to create (add) a new record. For example, clicking **Add Client** will allow the user to add a new client record.

   b. Blue underlined hyperlinks, allows the user to take actions. For example, **Review** allows the user to review an existing record. **Delete** allows the user to delete a record.





SMART Basic Navigation

Controls

1. **Textbox:** Text boxes are designed to allow the user to enter data in manually. Some text fields have specific formats which must be used for example:

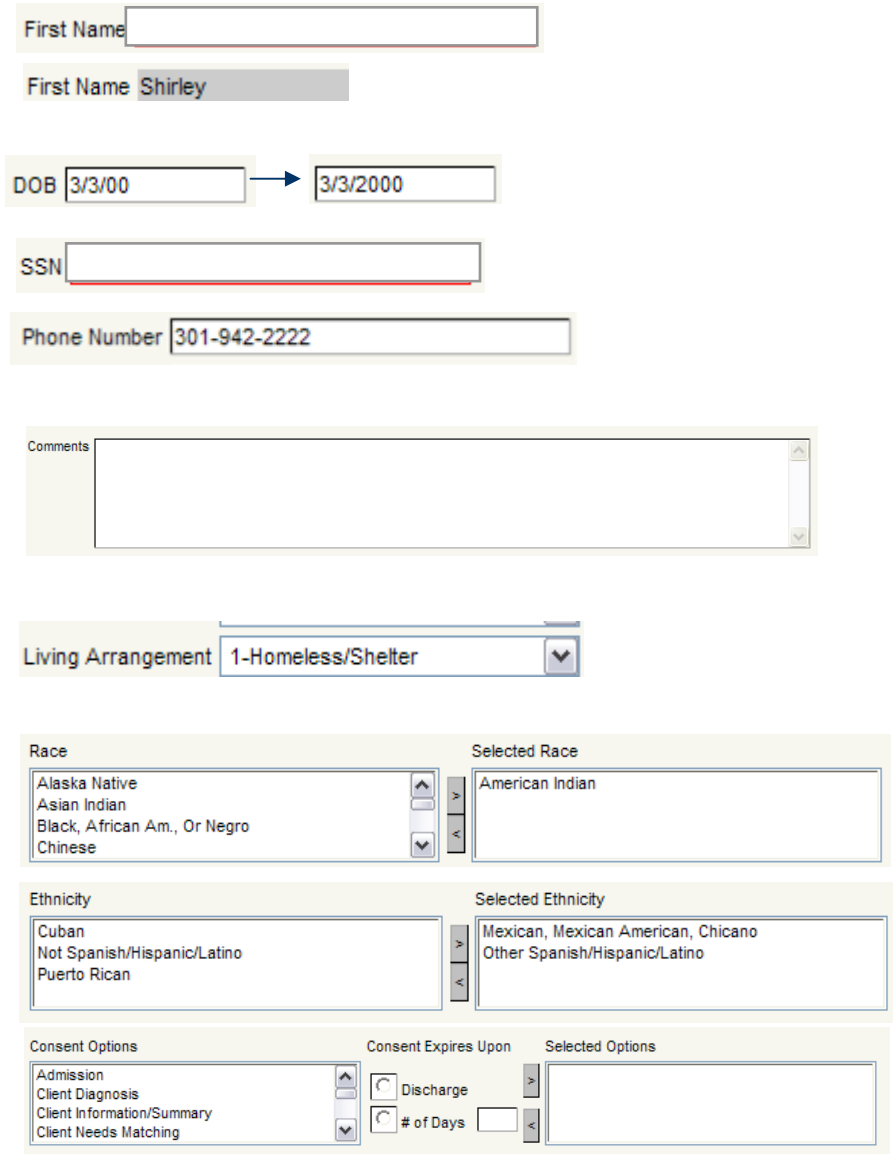
   a. DOB/Date: mm/dd/yyyy
   b. SSN: nnn-nn-nnnn
   c. Phone Number: nnn-nnn-nnnn

2. **Scrolling Textbox:** Scrolling textboxes are used to capture notes and descriptions. A scrolling textbox allows the user to enter at least 500 characters. Some have no character limits. An example of a scrolling textbox is a **Comment** field.

3. **Drop-down box:** A drop-down box is used where only one entry may be selected from a list of values.

4. **Mover Box:** A mover box is used where more than one entry may be selected from a list of values. Some may scroll. Must display at least 4 rows of text.

5. **Mover Box with Radio Buttons**: The user selects an option with a single left click. Before selecting the mover arrow, the user must select an option, using the radio buttons located between the boxes. In this example, if the user selects **# of Days**, the user clicks the **Radio Button**, and put the number of days in the textbox using the keyboard. The user then moves the options to the select box using the upper arrow adjacent to the **Selected** box.



SMART Basic Navigation

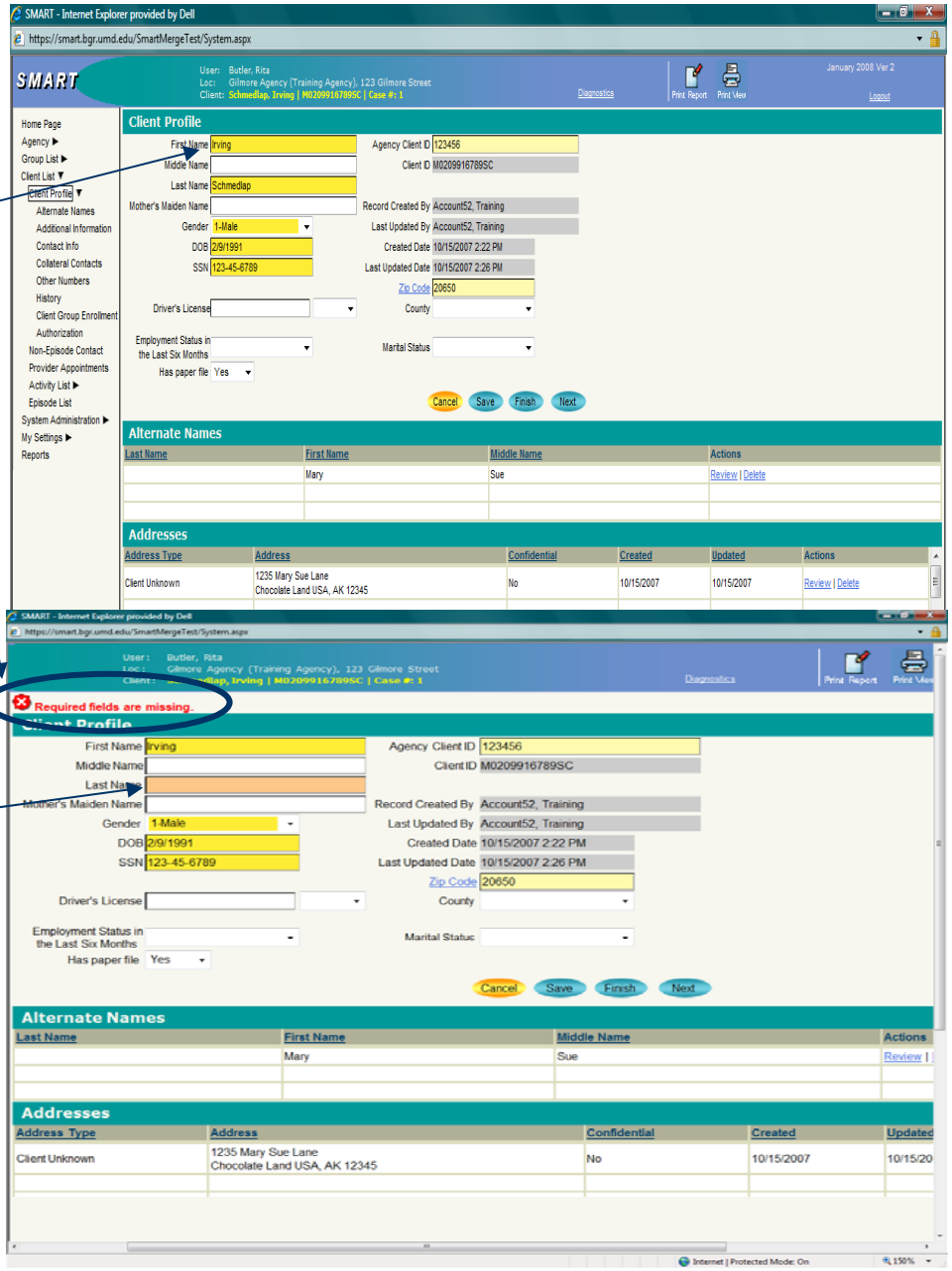
Conventions

1. **Required Fields:** required fields will be indicated by a yellow background. Dark yellow fields are system required fields and the record cannot be saved if a dark yellow field is incomplete.

2. **Reporting:** if a field is not required data for integrity, but is required to support reporting requirements for the state or agency, the background is pale yellow. ***Note:*** If any record with a pale yellow field is incomplete, then the entire ADAA admission or discharge record will be incomplete. Incomplete records will not be submitted to ADAA through the monthly reconciliation process.

   Note: Exception to the Rule - when documenting the ASI, all fields must be complete, whether they are white or yellow.

3. **Incomplete Required Fields:** incomplete required fields will generate a warning error, and will be indicated by a peach background when the user tries to save the record.



SMART Basic Navigation

Navigation Shortcuts

1. **Tab Key (Keyboard):** moves the user from field to field.

2. **Control Key (Keyboard):** Holding down the control key while selecting multiple options in mover boxes allows the user to select and move more than one selection in a mover box.

3. **Shift Key (Keyboard):** Holding down the shift key while selecting options in a mover box will allow the user to choose multiple sequential options.

4. **Helpful Hints**: Moving your mouse over a field will generate a helpful hint box providing additional information about the data field.

5. **Sort:** a user can sort list items, such as those in the **Activity List** or **Episode List** by clicking on the category title. For example in the **Activity List**, if the user clicks on **Date**, the list will automatically sort the list of activities by date.

Opening a Client Record

Purpose of Module:
During an initial contact appointment or an intake appointment a client's basic information is documented, thus allowing the tracking of the client's progress through treatment and recovery support services. In this module, participants will learn to create clients and open a client record in SMART for all clients that are referred to drug court. Completing an intake is opening a client record at the agency, it is not admitting the client to drug court. Drug court admission is a separate function.

Training Objectives:
After completing this module, users will be able to:

- Search for and create a client in SMART
- Document the client's demographic and contact information
- Open and close a client record in SMART

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements	Recommended SMART Data Elements
CLIENT PROFILE	
First Name, Last Name	Employment Status Last Six Months
Social Security Number	Alternate Names
Gender	Contact Information (address, phone, etc.)
Date of Birth	Collateral Contacts
Marital Status	Other Numbers (specifically the court case number)
Race	
Ethnicity	
H.S. Diploma	
Highest Grade Completed	
INTAKE	
Intake Facility	
Intake Staff	Source of Referral
Residence	Reason for Non-Admission
Case Status	
Pregnant (female only)	
Reason for Non-Admission (If client was not admitted to drug court)	
Report to State (should be 'no' unless it's an agency reporting to ADAA)	

Why it Matters?

- ✓ The client demographic and intake information is essential to SMART. These two modules are required prior to the entry of any other drug court information.
- ✓ A client's date of birth, SSN, name, and gender are used to configure the unique SMART client ID.
- ✓ Collecting demographic data on the clients who are referred to drug court, but not subsequently admitted, will allow analyses of the demographics of the types of clients being referred only as compared to those being admitted.
- ✓ Demographic information is critical to providing descriptive information on drug court clients and will be routinely aggregated and included in reports to BJA and local and state sponsoring agencies.

Associated Reports:

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

Supporting Documentation:

Client Profile Tip Sheet
Client Intake Tip Sheet

SMART Tip Sheets

Adding A New Client

This tip sheet focuses on the elements required for adding a new client and starting a new episode of care (Intake).

Total Pages: 6

Client Search
Client Profile
Client Intake

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Adding A New Client

Client Search

1. **Entry Steps:** Login, Select Facility, Select **Client List** from left Menu to generate the Client Search Screen.

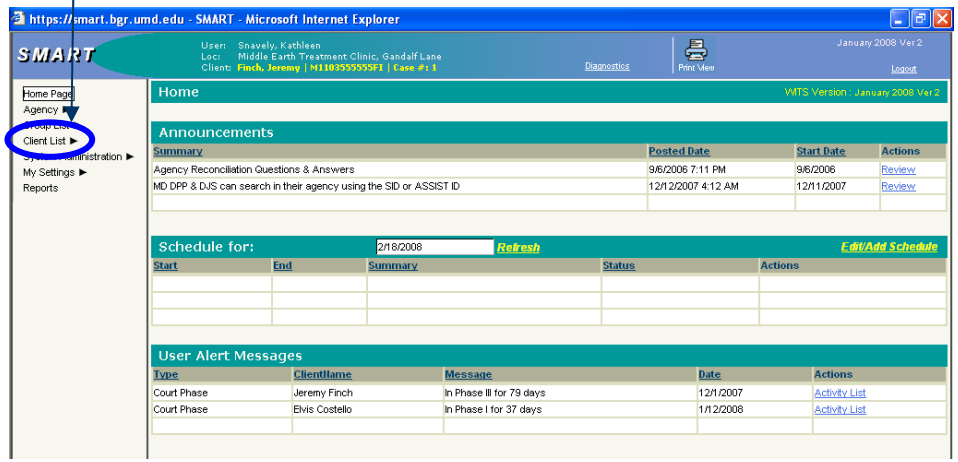
2. **Client Search:** Before adding a client to SMART, make sure that the client has not been admitted to your agency/facility previously. You can search for a client by entering the client's First Name, Last Name, SSN, DOB, etc. or a combination thereof. However, the more criteria you search by, the more specific the search and you may/may not find the client; therefore, this is not recommended . You can also broaden your search by using an '*' in place of letters if you are unsure of the spelling (e.g. entering bro* searches for a name beginning with "bro").

   Attention DPP & DJS: you can also search for a client by the DPP MD SID# or the DJS ASSIST #. To do so, select the appropriate number in the **Number Type** field and then enter the number in the **Other Number** field. Then click **Go**.

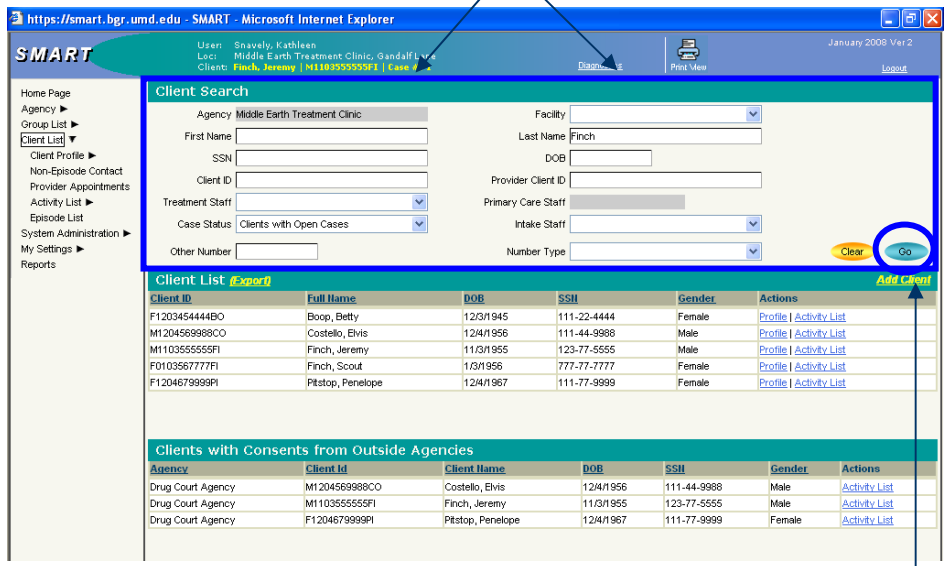
   Note: To search for all active clients, choose 'Clients with Open Cases' in the drop-down list. To generate a list of a staff's active cases, you would choose the staff member and then choose 'Clients with Open Cases' (note: this applies **only** if the staff member's name is selected in the 'Intake Staff" field on the Intake screen). When you have entered your search criteria, click **Go**.

   Note: The easiest way to do a search is to click **Go** without entering any search criteria. However, this client search will only provide a maximum of 1500 clients. If a search results in more than that, you will receive an error message and you will need to narrow the search parameters and try again.

To Search for Clients
Click Client List



Search Criteria



Enter your search criteria and click Go.

Adding A New Client

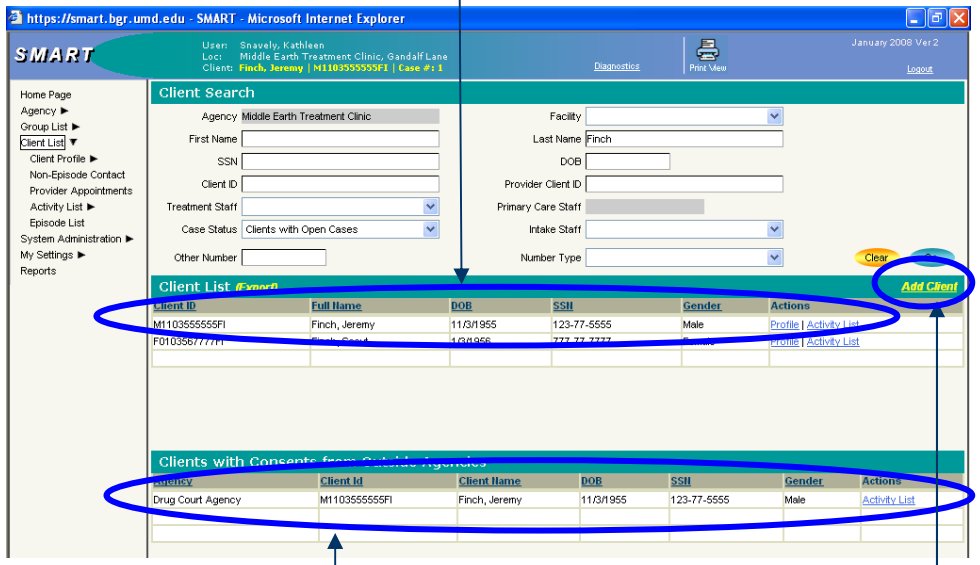
Viewing an Existing Client or Adding a New Client

1. **Client List:** After searching for your client, if your client exists in your agency, it will appear in the **Client List** in the middle of your screen**.** This is where you will access clients that have records in your agency. To view an existing client's profile, click **Profile** or to view past activity for the client, click **Activity List.**

2. **Clients With Consents From Outside Agencies:** After your client search, you may also see your client listed in the 'Clients With Consents From Outside Agencies' list at the bottom of your screen. You can immediately identify the agency record that has been consented to you, by viewing the Agency field in the list box. Clicking on **Activity List** will allow you to view the consented information for the client from a particular agency. Each agency's consented activities should be viewed separately.

3. **Adding Client:** If the client is not found through the Client Search process, proceed to **Add Client**.

When searching for Jeremy Finch, the search results reveal Jeremy in two places. The Client List is Jeremy's record in your agency.



Jeremy is also listed under Clients with Consents from Outside Agencies.

If the client is not found, to add a new client, click **Add Client**.

Adding A New Client

Create Client Profile

1. **Entry Steps:** Login, Select Facility, Client Search.

2. **Add Client**: After searching for the client you determined that s/he does not have a record at your agency/facility. Click **Add Client**.

3. **Client Profile:** To complete a client profile, you must complete all of the required fields highlighted in dark yellow. There are several screens within the Client Profile, including: Alternate Names, Contact Information, Additional Information, Collateral Contacts, Other Numbers and History.

Note: the Agency Client ID is your agency number. If you are a treatment agency, please enter your SAMIS Client ID here. DPP & DJS, this will default to either the DPP (MD-SID#) or DJS ASSIST#.

- Click Add **Alternate Names** if the client has a nick name, name change through marriage, divorce, etc. Click **Next.** To move to the next page, click **Next**.

- Add the race and ethnicity, as well as educational status under 'Additional Information'. Click **Next**.

- Add the client's address and telephone numbers under 'Contact Information'. Click **Next**.

- Add spouse contacts, parents, guardians, probation officers, etc. under 'Collateral Contacts'.

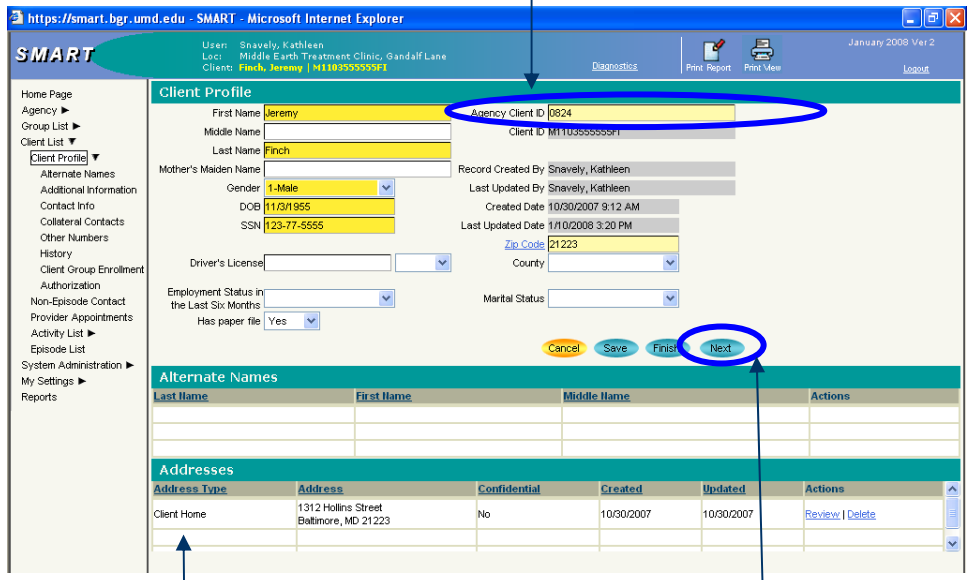
- Additional numbers such as court docket numbers, ASSIST ID, other SSNs, etc. can also be added under 'Other Numbers'.

- After completing all sections of the module, click '**Finish**' to return you to the screen you started from or '**Save**' to save your work and stay on this page.

Note: For multiple entries in any screen, click **Save** and repeat the steps.

The Agency Client ID is your agency number.

- Treatment Agency = SAMIS Client ID
- DJS = ASSIST Number
- DPP = MD SID Number



Click **Next** to advance to the next screen.

If you are using the Client Progress Report, you must enter the client's address as a home address.

Adding A New Client

Adding Client Group Enrollment (requirement for BSAS agencies only)

1. **Entry Steps:** Login, Select Facility, Client List, Client Profile.

2. After clicking **Finish** from the first portion of the Client Profile, click **Client Group Enrollment** under the **Client Profile** module from the Left Menu.

3. Each BSAS funded client must be assigned to a Cost Center. In SMART, the client must be enrolled in a Government Contract. To Enter a Government Contract, click **Add Government Contract Enrollment**.

4. Select the Plan (Cost Center), the Group, the Contract and the Start Date. **Note:** when this Cost Center expires, the 'End Date' must be entered. Also, if a client changes Cost Centers during his/her time in treatment during an episode of care, s/he must be enrolled in another Government Contract after entering the 'End Date' for the prior Cost Center. Lastly, there should always be an active Cost Center while the client is in treatment otherwise SMART will display a message stating that one must be entered. When finished, click **Save**.

5. When the client is discharged from treatment, you must ensure that an 'End Date' for any active Government Contract(s) appears. However, please note that SMART will automatically enter the 'End Date' once the discharge is documented.

6. Information on the Government Contracts can be edited by clicking the **Edit** link under **Actions** in the **Payor List**.

Adding A New Client

Adding Benefit Plan Enrollment

(requirement for BSAS agencies only)

1. **Entry Steps:** Login, Select Facility, Client List, Client Profile.

2. For all Facilities that have active Contracts with BSAS, all clients must be assigned to a **Client Group Enrollment or a Benefit Plan Enrollment**. If the client is a non-BSAS client, the client still must be enrolled. The client can be enrolled in a Benefit Plan if there are no appropriate Government Contracts.

3. Click **Add Benefit Plan Enrollment**.

4. Select the appropriate Group (e.g. Self Pay, Medicaid, etc.).

5. Complete all yellow fields.

6. When finished, click **Save**.

7. When the client is discharged from treatment, you must ensure that an ‘End Date’ for any active Benefit Plan Enrollment(s) appears. However, please note that SMART will automatically enter the ‘End Date’ once the discharge is documented.

SMART Tip Sheets

Client Intake

New Episode

This tip sheet focuses on the elements required for starting a new episode of care (Intake).

Total Pages: 3

Maryland
February 2008
IGSR Technical Support: 301.397.2330

Client Intake

New Episode

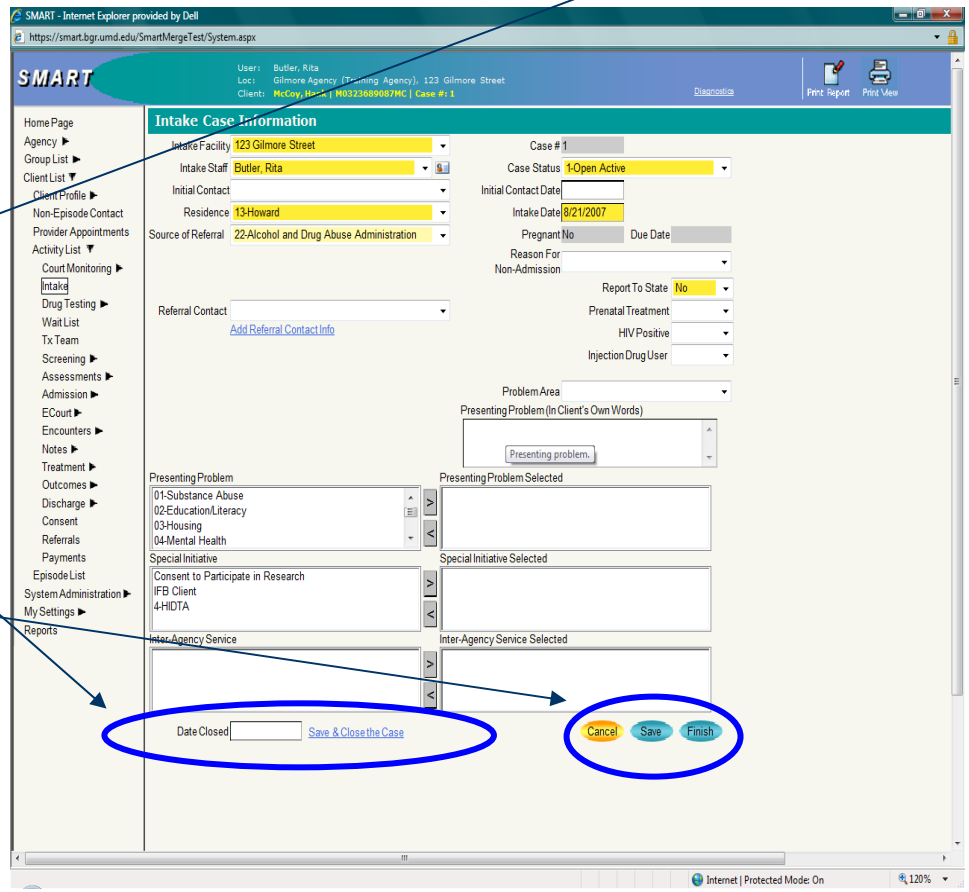
1. **Entry Steps:** Login, select Facility, Client List, select client, Episode List.

2. An Intake is the beginning of a new episode of care at a facility and is required before any other clinical activities can be recorded.

3. An Intake can only be completed if the client has no existing, active Intake record at the same facility or once all previous cases at the same facility have been closed. When you click **Activity List** or **Episode List**, you will receive a message "Please select a case, or click Start new Episode."

   To open a case, click **Start New Episode**. This will open the Client Intake screen. Complete all required fields and click **Save** or **Finish**.

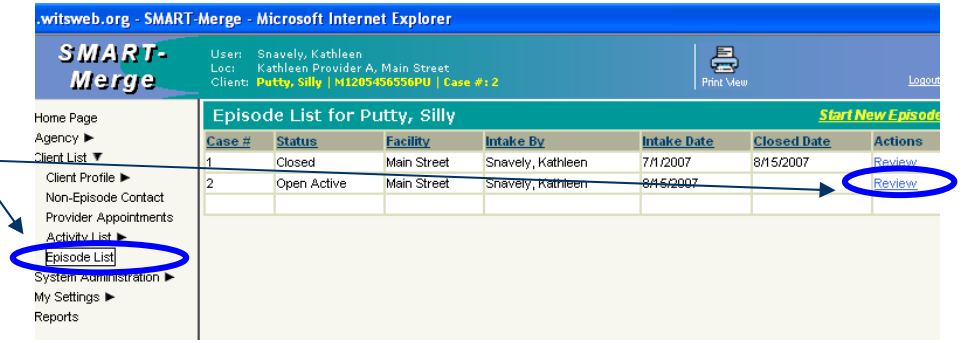
4. When a client is Discharged, users must remember that the case must also be closed on the Intake screen. To close a case, enter the date closed and click **Save & Close the Case** as opposed to the **Save** or **Finish** button.

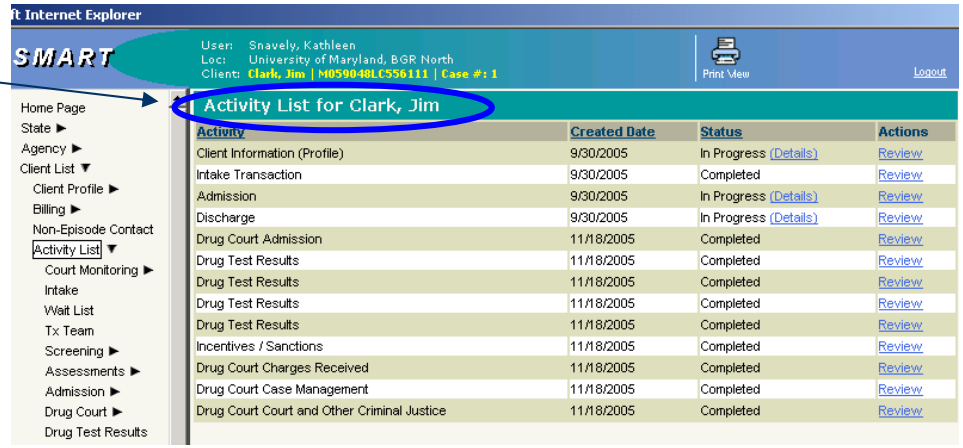


Client Intake

New Episode

6. **Reviewing Cases**: If the client has one or more cases at your facility (active or closed), click **Episode List** to view the list of cases and then click **Review** to open an existing case. SMART will then display the Activity List for that specific case only and allows you to review all transactions completed under that specific episode of care. Click **Review** to view or edit any transactions within that case's Activity List.





Drug Court Admission

Purpose of Module:
The purpose of the Admission module is to officially admit the participant into drug court and to gather additional information on the participant's background and legal history. The information entered in this module and the Client Profile and Intake, creates a snapshot of the client at the time of Intake/Admission. This information is used to compare to similar data captured at Discharge and measure client progress. A client should be admitted to drug court upon signing the drug court contract.

Training Objectives:
After completing this module, users will be able to:

- Admit a participant into drug court.
- Record a participant's legal history.
- Record critical status, and history information on clients.
- Generate reports on client demographics and background information.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake

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, problemsolving, skill-building for resisting drug use and criminal behavior, the replacement of drug using and criminal activity with constructive nondrug using activities, improved problemsolving, 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 others in the community.

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements	Recommended SMART Data Elements
Admission Date	Criminal History (all fields)
Admission Staff	Conviction Charge
Employment Status	Arrest Number
# Weeks Employed in the Past Year	Most Severe VOP Charge
Average Monthly Employment Income in the Past Year	Date of VOP Charge
School/Vocational Training Status	Judge Name
Living Arrangement	Date Placed on Probation/Pretrial/Parole
# Months at Current Living Arrangement	
Number of Children Living with Client	
Highest Grade Completed	
Ever Required to Attend Drug Treatment by a Criminal Justice Supervision Agent	
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" client in drug court. Clients without Admission Dates will only be considered "screened" and will not be counted in reports associated with active clients such as *number of clients in drug court.*
- ✓ A client's legal history will inform the treatment plan by enabling the user to anticipate potential problems and to construct an intervention strategy that accounts for prior negative behavior.
- ✓ A client's status at admission (education, living arrangements, employment, etc.) will be used to gauge the client's level of success in the drug court when compared to her or his status at discharge.
- ✓ Client profile and status information is essential for providing descriptive information on drug court clients. This information will be routinely aggregated and included in reports to BJA and local and state sponsoring agencies.

Associated Reports:

Report	Description	Access	Format
Drug Court Admission Report	Provides the Drug Court Admission data in a preformatted report	Drug Court Admission Module	SMART generated report

Supporting Documentation:

Drug Court Admission Tip Sheet

SMART Tip Sheets

Drug Court Admission

This tip sheet explains how to document a drug court admission.

Total Pages: 2

Background
Legal

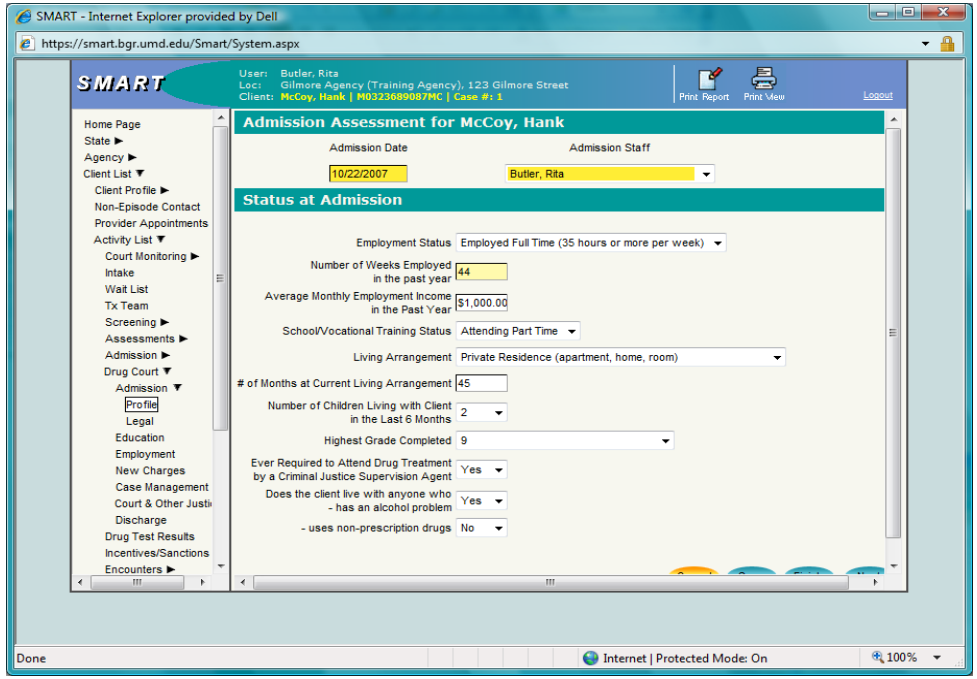
Maryland
February 2008
IGSR Technical Support: 301.397.2330

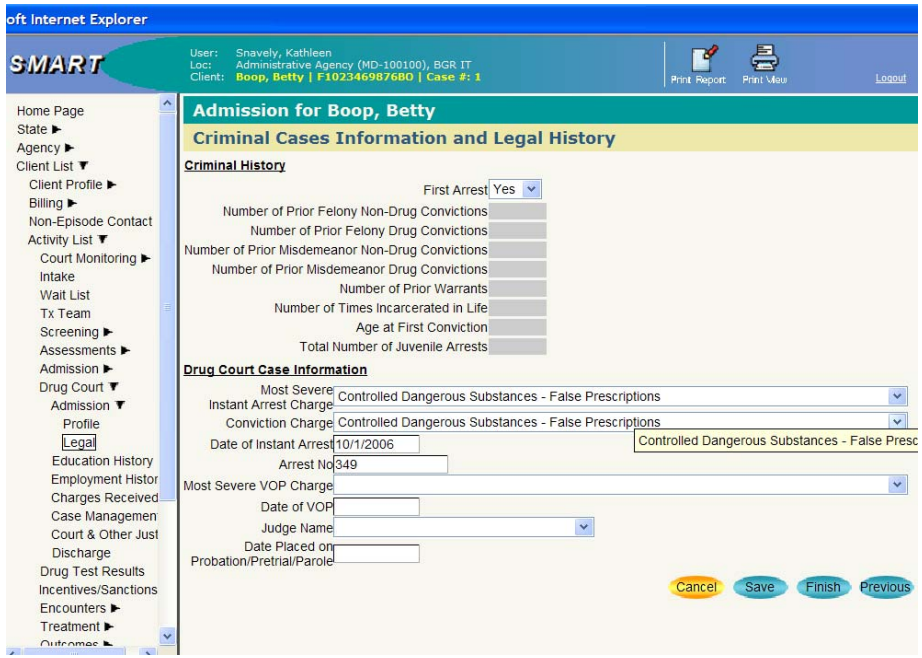
Drug Court Admission

Documenting a Drug Court Admission

A drug court admission record should be documented when a client is admitted to a drug court (i.e., the date the client signed the drug court contract).

- **Entry Steps:** Login, Select Facility, Client List, select client, Intake, Activity List, ECourt, Admission.
- Enter the **Admission Date** and select the **Admission Staff** from the drop-down menu. Complete the remaining fields on the **Status at Admission** screen. ***Note:*** It is important that you enter the correct Drug Court Admission date because SMART will automatically pre-populate the Admission Date field with the date you create the Drug Court Admission.
- Click **Next** to continue on to the **Criminal Cases Information and Legal History** screen.
- **Criminal History:** Document whether the instant arrest is the clients first arrest. If it is a first arrest, the criminal history fields *will not* be activated. If it is not first arrest, the criminal history fields will become activated. ***Note:*** complete the criminal history fields by typing a number in the fields. Also, the **Age at First Conviction** field will become activated when you enter number of prior convictions in any of the prior convictions fields.
- **Drug court Case Information:** Continue through the screen completing the current drug court case information if applicable.
- Click **Save** and/or **Finish** when you have completed the Drug Court Admission record.





Drug Testing

Purpose of Module:
Drug testing is an integral component of drug court supervision and monitoring; it is a key performance indicator and is a tangible measure of participant compliance. The Drug Testing module in SMART allows for the tracking of drug test results and attendance.

Training Objectives:
After completing this module, users will be able to:

- Add a drug test result.
- Review drug testing results and identify patterns of substance use.
- Generate associated drug testing reports.
- Understand the utility of tracking drug testing data.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements	Recommended SMART Data Elements
Date	Unit
Client Action	
Type of Test*	
Substance, Outcomes & Results*	
BAC **	

*If the client took the test (i.e. Client Action = Test Taken)
** If the client was positive for alcohol.

Helpful Hint

- To generate a list of drug test results by date, enter a date in the 'From Date' and 'To Date' at the top of the screen. For example, to generate a list of drug test results for the month of August or for the past two weeks, simply enter the date range and click 'Go'.
- Multiple substances and drug test results can be selected for the same date, by holding down the control key. For example, if the client was tested for five substances, and tested negative for four of those, you could hold down the Control key, select the four substances, choose Negative for the outcome and then using the arrow, move them into the Results box.

NIDA PRINCIPAL OF DRUG TREATMENT # 6

Drug use during treatment should be carefully monitored. Individuals trying to recover from drug addiction may experience a relapse, or return, to drug use. Triggers for drug relapse are varied; common ones include mental stress and associations with peers and social situations linked to drug use. An undetected relapse can progress to serious drug abuse, but detected can progress to serious drug abuse, but detected use can present opportunities for therapeutic intervention. Monitoring drug use through urinalysis or other objective methods, as part of treatment or criminal justice supervision, provides a basis for assessing and providing feedback on the participant's treatment progress. It also provides opportunities to intervene to change unconstructive behavior—determining rewards and sanctions to facilitate change, and modifying treatment plans to according to progress.

- Drug test data can be exported into Microsoft Excel by clicking Export at the top of the Drug Test Report page. This allows the user to use the raw data to run specific reports.

Why it Matters?

- ✓ Short-term tracking of a client's drug test results allows for appropriate case management responses, including imposing sanctions or rewarding incentives. Longer-term drug test tracking allows the court to monitor the effectiveness of drug treatment and supervision in reducing client drug use.
- ✓ The SMART system also allows the user to track unattended drug tests, refused drug tests, and other actions (such as failure to provide a specimen). This enables the drug court to hold the offender accountable both for the drug test results and for negative behaviors associated with the drug testing process (e.g., failure to appear).
- ✓ Positive drug test results indicate relapse. Reviewing positive drug test results and looking at patterns of use and other behaviors on or around the same dates can assist in understanding client behaviors. For example, if a client always tests positive on Mondays, it may indicate that the client relapses over the weekend, and the drug court may want to provide additional preventive support on weekends.
- ✓ Drug test results are recognized by the field as a critical measure of performance. Testing and test results data will be routinely aggregated and included in reports to BJA and local and state sponsoring agencies.

Associated Reports:

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

Supporting Documentation:

Drug Testing Tip Sheet

SMART Tip Sheets

Drug Testing

This tip sheet explains how to enter drug test results.

Total Pages: 2

Maryland
February 2008
IGSR Technical Support: 301.397.2330

Drug Testing

Reviewing/Deleting Drug Testing Results

1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List, Drug Test Results.

2. **Review Existing Drug Test Results**: The drug test results list will default to the last 30 days, if you wish to review drug test results for a different period of time, enter the **F**rom Date and To Date, then click **Go**.

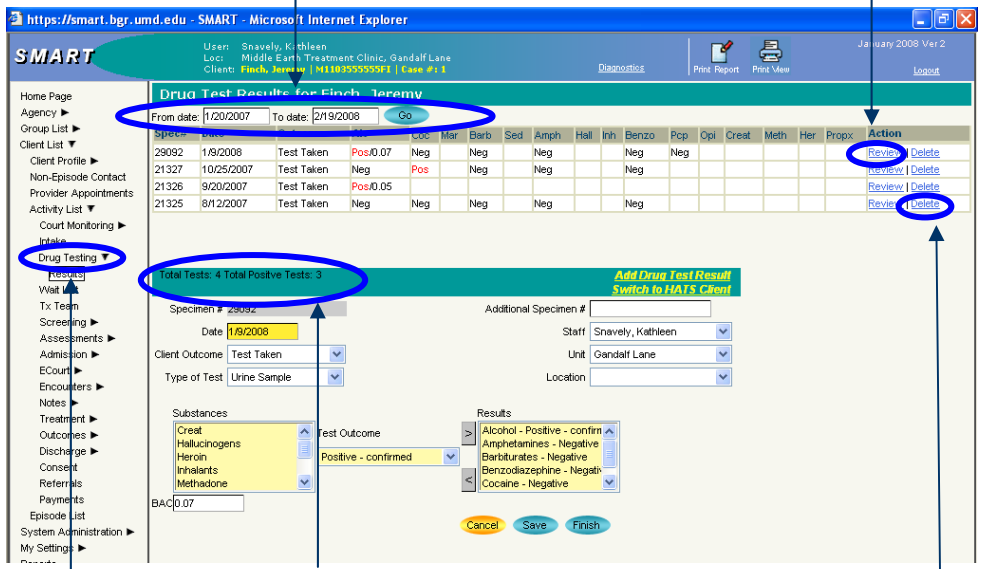
   Note: The total tests for the period specified will display below, as well as the total number of positive tests.

3. To view a specific drug test result, click **Review** in the **Actions** column. The information will be displayed below.

4. **Delete a drug test result**: To delete a drug test result, click Delete in the Actions column.

To review drug test records for a time period other than the last 30 days, change the From Date and To Date and click **Go**.

To Review and existing drug test result, click **Review**.



From the Left Menu Bar, click Drug Testing.

For the date range specified, the total tests for that period and the positive tests display.

Click **Delete** to delete a drug test result record.

Drug Testing

Documenting Drug Testing Results

1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List, Drug Test Results.

2. Enter a New Drug Test Result: Once you have opened the Drug Test Results module, click on the **Add Drug Test Result** hyperlink to make a drug test result entry.

3. Enter the **Date**. Select the **Client Outcome** from the drop down box. If you chose an option that involved the client taking the test (i.e. test taken or other), additional fields will be activated to allow you to enter the test results.

4. Select the **Type of Test** from the drop down menu.

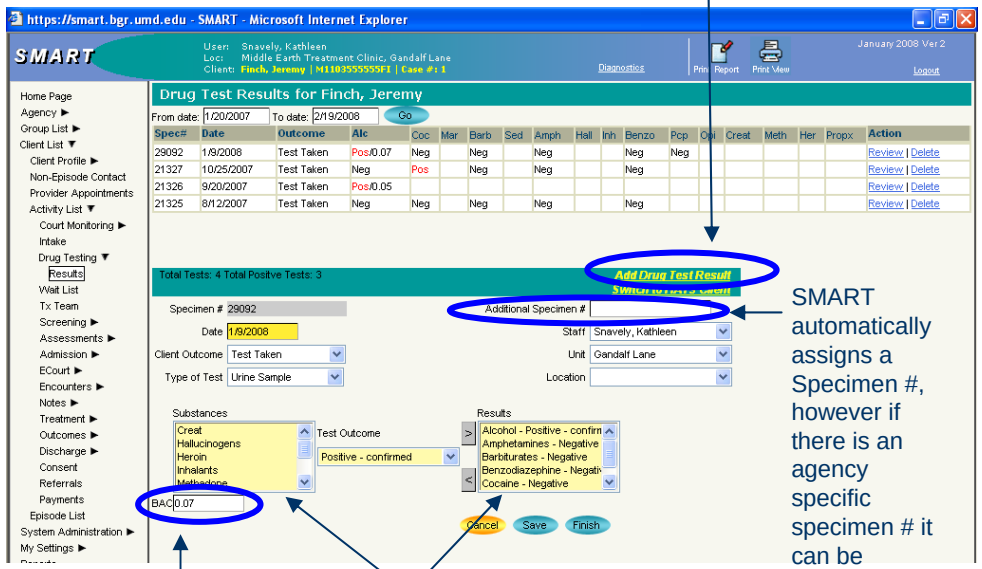
5. Entered the substances tested for and the result in the combo mover box. The mover box will allow you to enter multiple drug results for a particular date (positive and/or negative). Select a substance (or multiple substances if they have the same outcome by holding down the Control key) from the drop down box, then select an outcome. Click the arrow box to move the drug to the results box.

   Note: If the specimen was tampered with, lost in transit or the client waterloaded, select **Inconclusive Result** in the **Test Outcome** field.

6. If the client tested positive for Alcohol, the Blood Alcohol Content (BAC) can be entered.

7. Click **Save** or **Finish** when you have completed the drug test information and the result will be posted to the list.

To enter a new drug test result, click **Add Drug Test Result**.



SMART automatically assigns a Specimen #, however if there is an agency specific specimen # it can be entered in the Additional Specimen # field.

Select multiple substances that have the same outcome by holding down the Control key on your keyboard, then selecting the Test Outcome, and click the arrow to move to the results box.

The BAC field becomes active if there is a positive result for Alcohol.

Treatment Encounters

Purpose of Module:
Substance abuse treatment is the core service provided to drug court participants, where the substance abuse issue and the underlying issues related to substance abuse are addressed by trained substance abuse counselors through a variety of counseling styles. The purpose of the Treatment Encounters module is to record all *treatment* related services provided to the drug court participant.

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.

Training Objectives:
After completing this module, users will be able to:

- Record a direct treatment service encounter.
- Record additional services (e.g. provided to the participant).
- Generate associated treatment encounter reports.
- Understand the utility of tracking treatment encounters.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake
- ✓ Maryland (SAMIS) Admission/Program Enrollment

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements	Recommended SMART Data Elements
Service Code/Description	ICD-9 Diagnosis
Service Location	Progress Notes
Note Type	
Tx/Service Date	
Rendering Staff	
Billable	
Program Name	
Outcome	
Number of Sessions	
Duration	

Helpful Hints

- It is important to document treatment sessions attended, as well as scheduled treatment sessions not attended (excused or FTA).
- This module differs from the Case Management module in that only *direct treatment services* should be recorded here. Case planning or case management activities should be recorded in the Case Management module.
- MRT should not be recorded as a treatment encounter, but a case management activity (see Case Management module).

Why it Matters?

- ✓ By tracking each client encounter with a treatment provider, the drug court can track the client's progress and participation in treatment, and specifically whether the client is attending or missing regularly scheduled treatment appointments.
- ✓ Chance or incidental encounters, including non-scheduled client contacts (phone contacts, crisis events, etc.), can also be documented and tracked, allowing drug courts to identify gaps in the match between the client's needs and the actual services provided.
- ✓ Drug courts can review reports to identify any patterns associated with missed or attended appointments (e.g., certain day of the week, near scheduled phase movement) and modify the client's treatment plan and/or court requirements accordingly.
- ✓ Treatment participation is a central goal of drug courts and recognized by the field as a critical measure of performance. Treatment attendance information will be routinely aggregated and included in reports to BJA and local and state sponsoring agencies.

Associated Reports:

Report	Description	Access	Format
Treatment Encounter Report	Provides a listing of all treatment encounters and associated information entered into SMART for a particular client.	Treatment Encounters Module	SMART generated Report
Encounter Data Report	Provides a spreadsheet of clients and associated treatment encounter information	Reports Module	Microsoft Excel spreadsheet

Supporting Documentation:

Treatment Encounters Tip Sheet

SMART Training Manual

This tip sheet outlines the procedures to document treatment encounters, ancillary services provided by treatment, progress notes and miscellaneous notes.

Total Pages: 5

MARYLAND
February 2008
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Encounter Notes

Billable
Miscellaneous
Encounter Reports

Notes

Encounters

Background: This module allows you to document client encounters and associated notes.

1. **Entry Steps:** Client List, select client, ADAA Admission/Enrollment, Activity List.

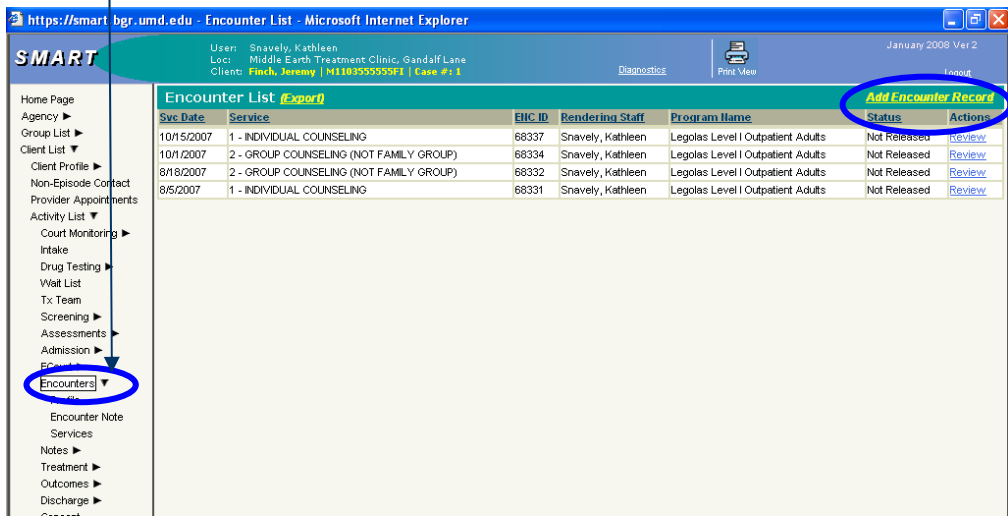
2. **Encounters:** To enter an encounter for a client (e.g. individual counseling, etc.) Click **Encounters** from the left menu bar, click the **Add Encounter Record**. ***Note:*** Click on **Review** in the Actions Column to review prior entries.

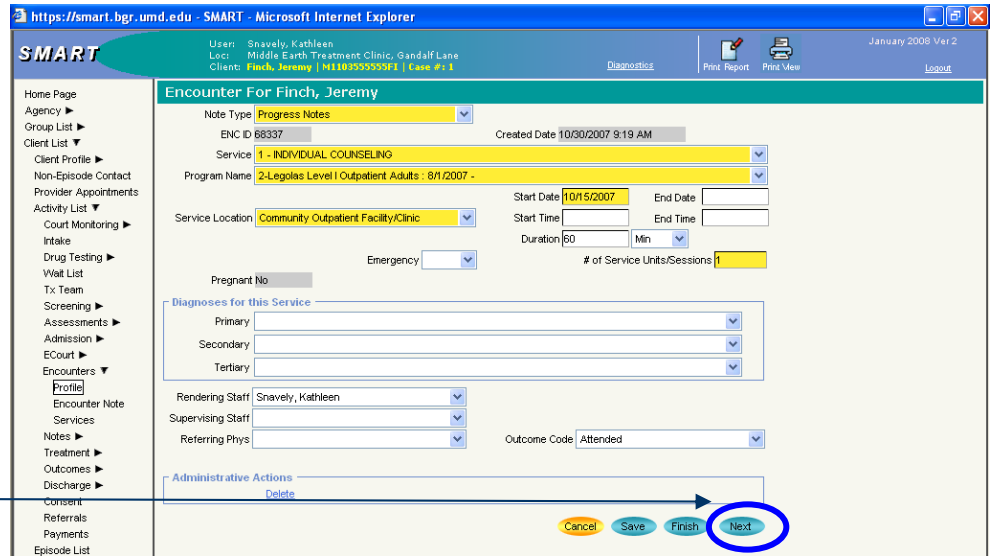
3. Complete at all required system and agency fields. Note: If the client is a drug court client please enter the Outcome to ensure that it appears on the Client Progress Report.

4. Click **Next** to advance to the next screen.

To access the Encounters module, click **Encounters** from the Left Menu Bar.

Click **Add Encounter Record** to enter a new encounter.





Click Next to advance to the next screen.

Notes

Encounters - Notes

Background: This module allows you to document client encounters and associated notes.

1. **Sign Notes:** Notes can either be signed or unsigned. To electronically append your notes to the encounter and make them uneditable (signed), type the progress notes in the **Unsigned Notes** box at the bottom, then click the **Sign Notes** button. ***Note:*** Please also remember to select the appropriate option on the **Release these Notes** drop-down (yes = you agree to share the notes with another agency in SMART if your agency has an existing/current/active consent to share this client's treatment encounter).

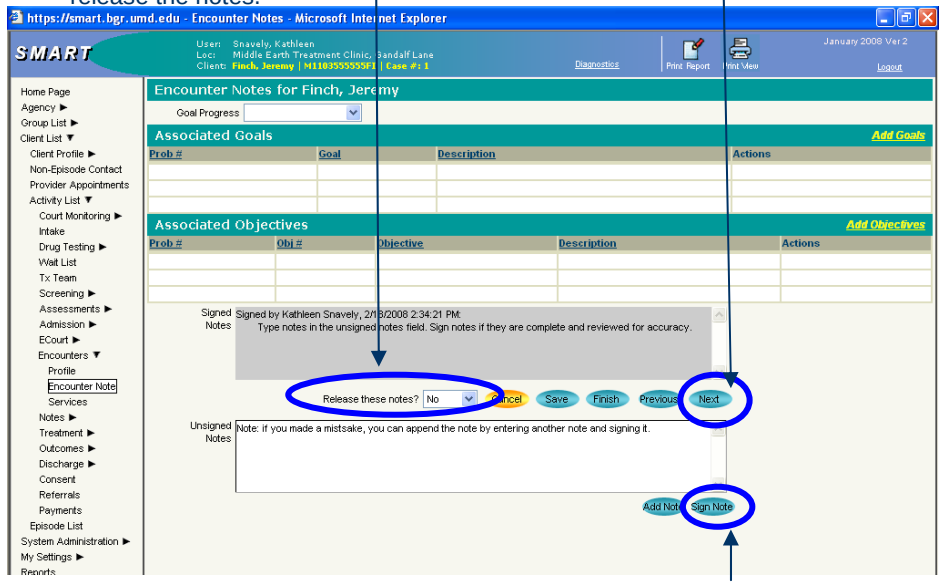
2. Click **Next** to advance to the Ancillary Services Screen.

3. Click **Save** or **Finish** after completing the last screen.

4. To print a list of Encounters for this client, including the notes, click **Print Report** and a report will generate.

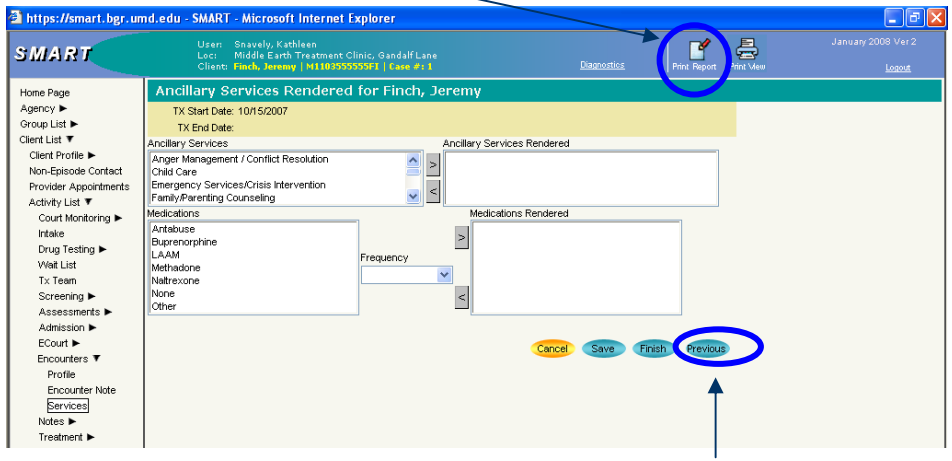
If you would like to share this note with another agency, select Yes to release the notes.

When finished, click **Next** to advance to the next screen.



To print a report of the encounters, click Print Report.

To sign a not, click **Sign Note**.



When finished, click **Finish**.

Miscellaneous Notes

Notes

1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List.

2. From the Activity List, click **Notes**.

3. Click **Add New Misc. Note.**

4. Complete all system and agency required fields.

5. **Sign Notes:** Notes can either be signed or unsigned. To electronically append your notes to the encounter and make them uneditable, type the progress notes in the *Unsigned Notes* box at the bottom then click the **Sign Notes** button. ***Note:*** Please also remember to select the appropriate option on the **Release these Notes** drop-down (yes = you agree to share the notes with another agency in SMART if your agency has an existing/current/active consent to share this client's treatment encounter).

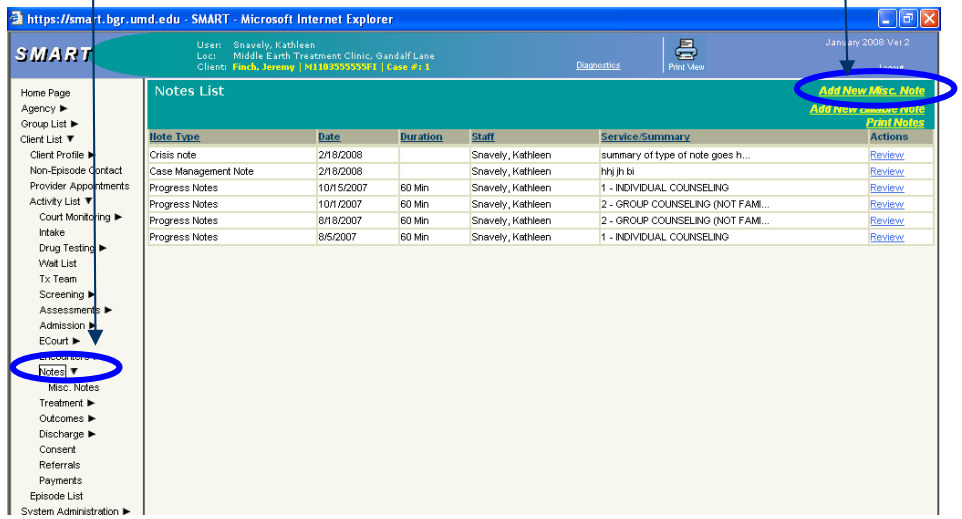
6. Click on **Save** or **Finish.**

   ***Helpful Hint*: A.** Use the Alert feature by clicking the **Alert** hyperlink to indicate if the client requires immediate follow-up. The client's name will appear in Red on the Client List if the Alert feature is used. **B**. The Miscellaneous Notes screen becomes non-editable once you click **Save** or **Finish**.

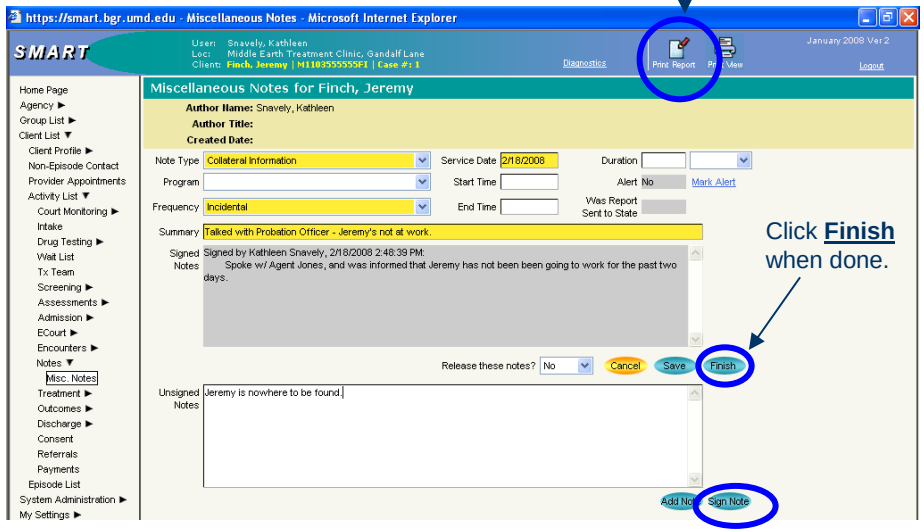
6. **Miscellaneous Notes Report:** After clicking **Save** and while you are still within the encounter record, single-click the **Print Report** icon to generate a report of the listed notes for this particular client.

To access Miscellaneous Notes, click Notes.

To enter a new Miscellaneous Note, click **Add New Misc. Note**.



To print a report of the Miscellaneous Notes for this client, click **Print Report**.



Click **Finish** when done.

Click Sign Notes to sign your notes.

Notes

Print Notes

Background: This function allows you to generate all notes for a particular client, including the Encounters and the Miscellaneous Notes.

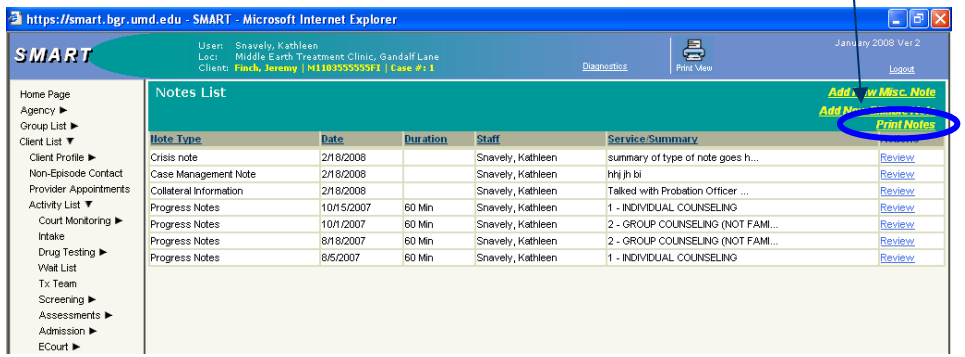
1. **Print All Notes**: From the Left Menu Bar, click **Notes** on to pull up the Notes List screen. This generates both the Encounters and the Miscellaneous Notes.

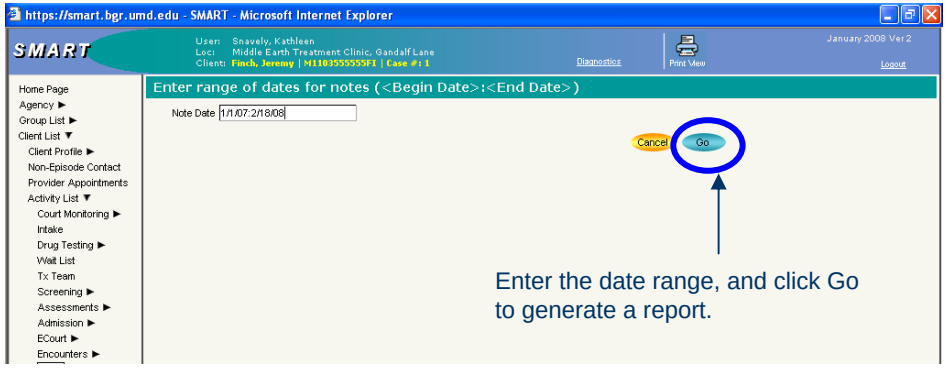
2. Click **Print Notes** at the top right.

3. Enter the desired date range in the Note Date field, and click **Go**.

4. Click **Export** to export your report in MS Excel or click **Finish** to return to the Notes List screen.

Click Print Notes to print all notes for this client, Encounters & Miscellaneous Notes.





Enter the date range, and click Go to generate a report.

Case Management

Purpose of Module:
Many drug courts employ a case manager, or assign case management tasks to an existing member of the drug court team. Case managers are typically responsible for the overall coordination of services for the client, as well as identifying client needs, case planning, and referring clients to ancillary services. The primary purpose of this module is to record all case management and related events, referrals and services provided to the drug court participant.

Training Objectives:
After completing this module, users will be able to:

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

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements*	Recommended SMART Data Elements
Event date	Duration
Event Type	
Event	
Type of contact	
Location	
Outcome	

* This module is required only if the drug court program provides case management activities, referrals to services, or the client attends referral services.

Helpful Hints:

- Three types of case management activities can be documented here by selecting the appropriate 'Event Type': Case Management Activities, Referrals to Services, and Services Attended. Case Management Activities include: case planning, case management review, exit planning, meeting with the treatment provider, among others; Referrals to Services is intended to capture when a client is referred to a service or program (e.g. life skills training, support groups, etc.); and Services Attended captures a client's actual attendance at service s/he was referred to.
- To document a Summary Note to appear on the Client Progress Report, select 'Case Management Activity' for 'Event Type' and 'Summary Note' for the Event. This note will appear on the Client Progress Report.
- To document a MRT service provided, select 'Services Attended' for Event Type, and then select MRT for the Event.

Why This Matters?

- ✓ By tracking each case management activity, it is possible to identify ancillary services provided to the client in and to track the client's progress and participation.
- ✓ Contact with the Case Manager can also be tracked, as well as incidental encounters, including non-scheduled client contacts.

Associated Reports:

Report	Description	Access	Format
Case Management Report	Provides a listing of all case management activities for each client.	Case Management Module	SMART generated Report

Supporting Documentation:

Case Management Tip Sheet

SMART Tip Sheets

Case Management

This tip sheet explains how to various types of case management activities, including case management activities, referrals to services, and attendance.

Total Pages: 2

Maryland
February 2008
IGSR Technical Support: 301.397.2330

Case Management

Entering Case Management Activities

1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List, Drug Court, Case Management.

2. Once you have opened the Case Management module, click on the **Add New** hyperlink to make a case management entry.

3. Enter the **Event Date** (**Note:** either press the Tab key or click the Event field to activate the remaining fields).

4. Select an **Event Type** (Case Management, Referral to Services, or Services Attended.) This will populate the **Event** drop down box and the **Type of Contact** drop down box.

5. Continue through the module completing the pertinent information for the 'Event', 'Type of Contact', 'Location', 'Staff Name', 'Outcome' and 'Duration'.

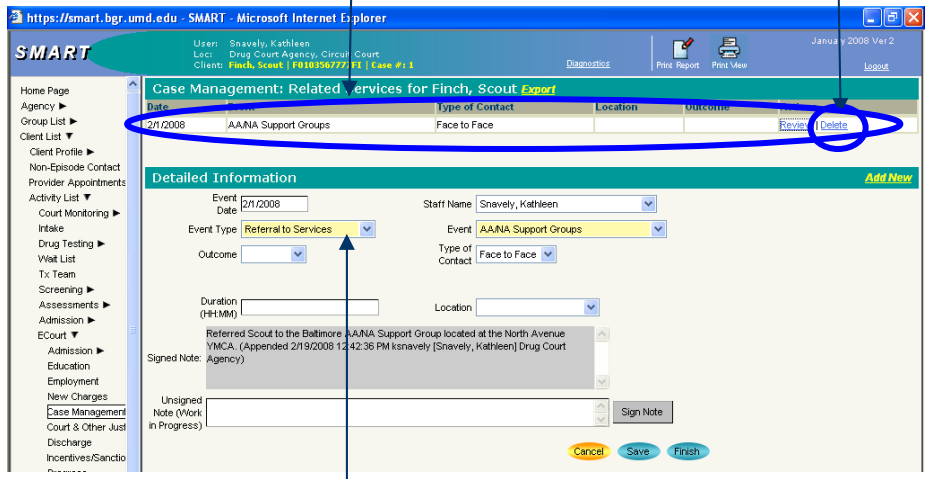
6. **Signed/Unsigned Notes:** This screen contains a Signed/Unsigned note function. To make an editable note, enter your note in the **Unsigned Note** field and click **Save** or **Finish**. To electronically sign the note, enter the note in the 'Unsigned Note' box and then click **Sign Note**. **Note:** By signing a note, you are certifying its content and precluding further editing. However, the signed note contained erroneous information or if you need to enter more data, simply enter the new information in the 'Unsigned Note' box and click **Sign Note** again.

7. Click **Save** or **Finish** when you have completed the court or supervision record.

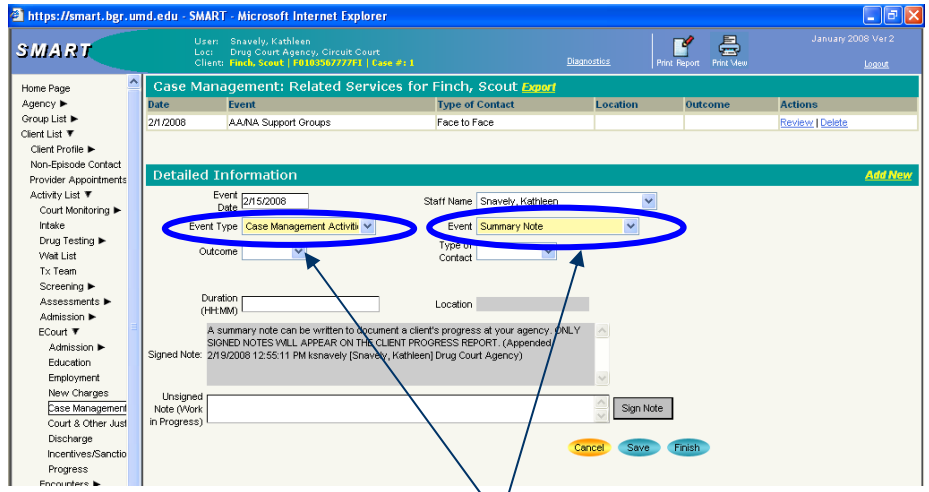
   Helpful Hint: To document a case management summary note that will appear on the Client Progress Report, select **Case Management Activities** as the **Event Type** and choose **Summary Note** as the event. Note: Only signed notes for Summary Notes will appear on the Client Progress Report.

The top of the screen provides a historical list of Case Management events for this client's case.

To review an existing record, select 'Review'. A record can also be deleted by selecting 'Delete'.



Choosing an **Event Type** will populate the **Event** drop down box and the **Type of Contact** drop down box.



To document a Summary Note to appear on the Client Progress Report, select **Case Management Activites** as the **Event Type** and **Summary Note** as the **Event**. Notes must be signed to appear on the Client Progress Report.

Employment

Purpose of Module:
This module allows for the documentation of a client's employment status throughout his/her participation in the program. It is intended that the employment status is documented whether the client is employed or not employed, allowing drug court staff to monitor trends and patterns of employment and track progress toward drug court goals.

Training Objectives:
After completing this module, participants will be able to:

- Successfully enter an employment record.
- Generate associated employment reports.
- Understand the utility of tracking a client's employment.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements	Recommended SMART Data Elements
Employment Start Date	
Employment Status	
Name of Employer	
Wage	
Employment End Date	
Employment Termination Reason	

Helpful Hint:

- It is important to document a client's employment information for each job the client has, where more than one employment record may be documented during the same period of time. For example, a client may be employed part time with two different employers.

Why it Matters?

- ✓ By tracking client's employment status/history the court is able to monitor the client's progress in drug court. If for example, a client repeatedly loses a job, the court may observe that the client is not responding well to the suggested course of treatment and may modify the client's drug court expectations for compliance accordingly.
- ✓ Monitoring employment status/history enable courts to investigate the "bigger picture" associated with client behavior. For example, if a client changes jobs frequently, the court may want to investigate the situation to see if something larger (such as environmental stress, family problems or behavior problems) are present.
- ✓ Drug courts can review reports to identify common patterns associated with employment, as well as use the information to better understand and address client behavior.

Associated Reports:

Report	Description	Access	Format
Employment Report	Provides a list of a client's dates of employment and employment status.	Employment Module	SMART Generated Report

Supporting Documentation:

Employment Tip Sheets

SMART Tip Sheets

Employment

This tip sheet explains how to enter employment information for each client.

Total Pages: 2

Maryland
February 2008
IGSR Technical Support: 301.397.2330

Employment

Documenting Employment

This module allows for the documentation of a client's employment status throughout his/her participation in the program. It is intended that the employment status is documented whether the client is employed or not employed.

1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List, ECourt, Employment.

2. Once you have opened the Employment screen, click **Add Employment** to document the client employment data.

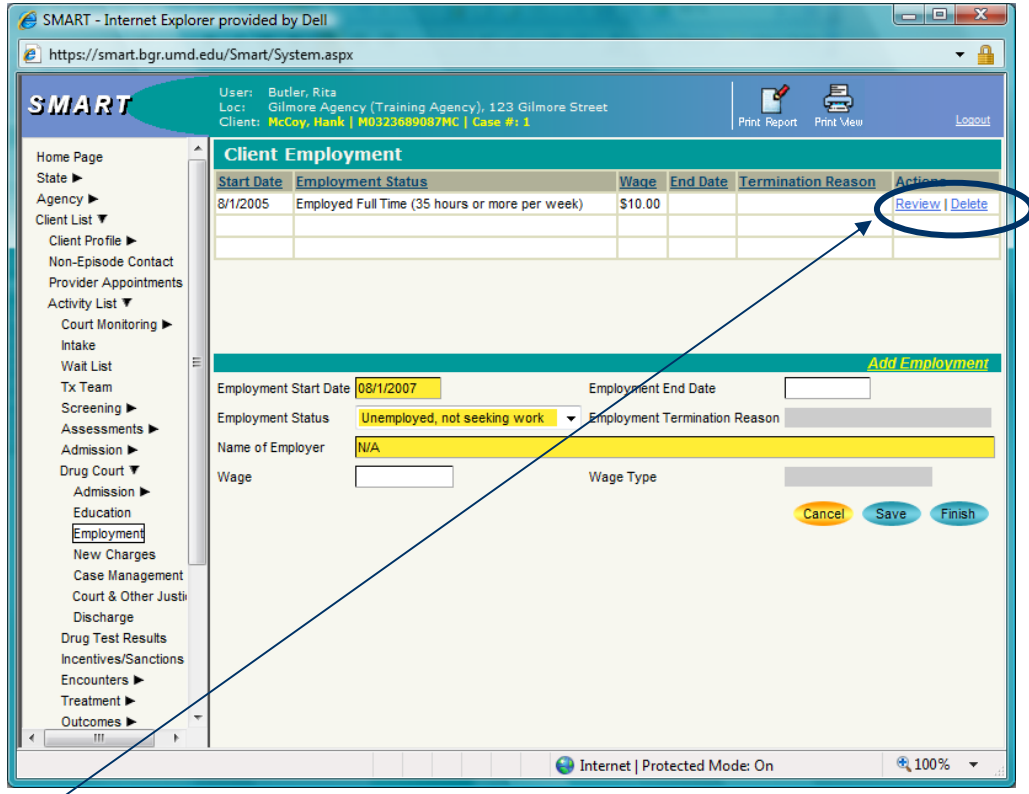
3. Enter the **Employment Start Date**. Select the **Employment Status** from the drop-down box, then enter the **Name of the Employer** and the **Wage**.

4. Click **Save** or **Finish** when you have completed the employment information. The current employment information will then be posted to the list above.

5. When the client has completed employment with this employer, click **Review** and enter the **Employment End Date** and **Employment Termination Reason**.

6. If the client is employed by another employer or not employed for any reason, begin with step 2 to document the client's new employment status.

7. Click **Save** or **Finish** when you have completed the employment information and the information will be posted to the list above.



Education

Purpose of Module:
This module allows for the documentation of a client's education status throughout his/her participation in the program. For all participants it is important to identify the client's highest level of education completed, and for those clients attending school or training programs, it is important to document their progress throughout their participation in drug court.

Training Objectives:
After completing this module, participants will be able to:

- Successfully enter an education record.
- Generate associated education reports.
- Understand the utility of tracking a client's education.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements	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 Hints:

- It is important to document a client's education information, where more than one education record may be documented during the same period of time. For example, a client may be attending two schools/training schools on a part time basis.
- 'New School/Vocational Training Status' is required only if different from the 'Highest Grade Completed'.

Why it Matters?

- ✓ By tracking client's education status/history the court is able to monitor the client's progress in drug court.
- ✓ Monitoring education status/history enable courts to investigate the "bigger picture" associated with client behavior. For example, if a client is frequently truant or absent from school, the court may want to investigate the situation to see if something larger (such as environmental stress like family problems or behavior problems) are present.
- ✓ Drug courts can review reports to identify any common patterns associated with education and use the information to better understand and address client behavior.

Associated Reports:

Report	Description	Access	Format
Education Report	Provides a list of schools/training schools attended and associated dates.	Education Module	SMART Generated Report

Supporting Documentation:

Education Tip Sheets

SMART Tip Sheets

Education

This tip sheet explains how to enter education information for each client.

Total Pages: 2

Maryland
February 2008
IGSR Technical Support: 301.397.2330

Education

Documenting Education

This module allows for the documentation of a client's education status throughout his/her participation in the program. It is intended that the education status is documented as a client moves from grade level to grade level but at minimum, the Highest Grade Completed should be documented for each client.

1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List, ECourt, Education.

2. Once you have clicked **Education**, click on **Add New** to document your education entry.

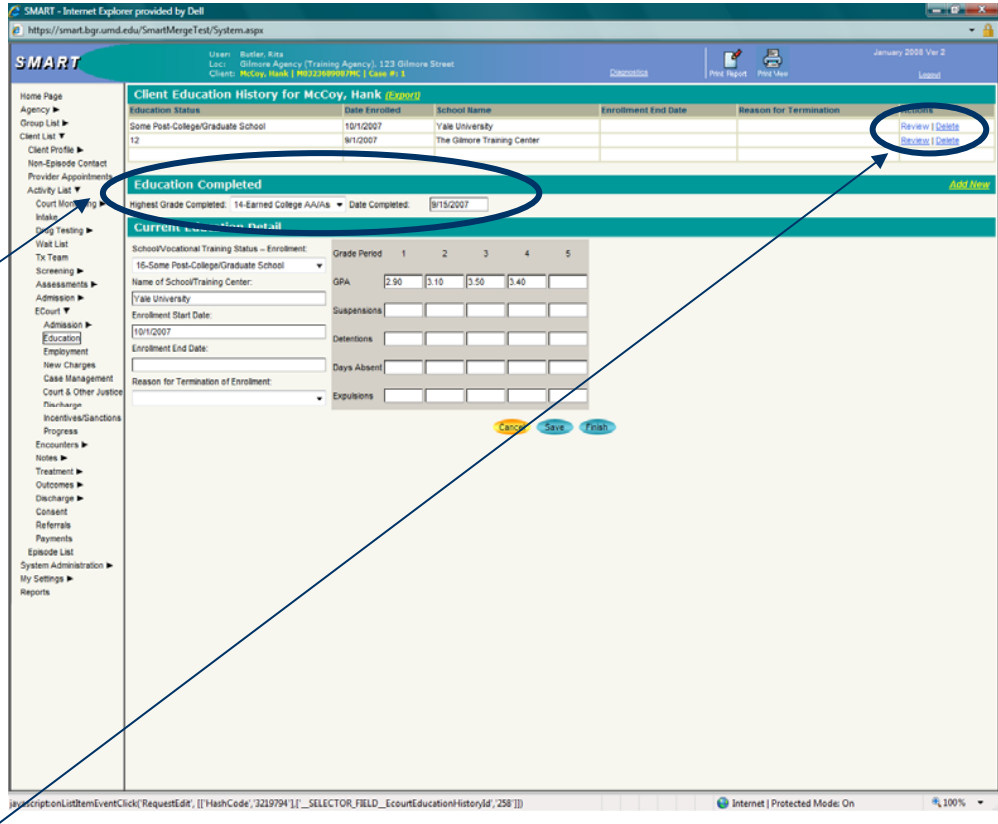
3. Enter the **Highest Grade Completed** and the **Date Completed**.

4. If the client is currently attending a school or training center, document the **School/Vocational Training Status Enrollment**, the **Name of School/Training Center** and the **Enrollment Start Date**.

5. Click **Save** or **Finish** when you have completed the education information. The record will then be posted to the list above.

6. When the client has completed a grade level, click **Review** on the list above and enter the **Enrollment End Date** and **Reason for Termination of Enrollment**. ***Note:*** GPAs, Suspensions, Detentions, Days, Absent and Expulsions can be entered by marking period in the gray section to the right.

7. Click **Save** or **Finish** when you have completed the education information and the information will be posted to the list above.



Sanctions & Incentives

Purpose of Module:
A drug court participant's progress in the drug court is monitored by his/her compliance/non-compliance with the drug court behavioral contract/treatment plan. How a drug court responds to both positive (compliance) and negative (non-compliance) client behavior and the timeliness of the response is instrumental to client success. The SMART Sanctions and Incentives module is used to record positive and negative behaviors and the court's response to those behaviors – incentives or sanctions.

NIDA PRINICIPAL # 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, less 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.

Training Objectives:
After completing this module, participants will be able to:

- Successfully enter a behavior and its associated sanction or incentive.
- Generate associated sanctions and incentives reports.
- Understand the utility of tracking sanction and incentive data.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake

SMART Required & Recommended Data Elements:

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

Helpful Hints:

- SMART allows the user to enter a behavior type (sanction or incentive) and behavior and then save the record, allowing the entry of the response at a later date/time. This feature is useful in documenting behaviors as they happen, and documenting the response as it is imposed later in court. If both the behavior and response are known, it is important that all data is entered into SMART at the same time.
- The response date must not be earlier than the behavior date.

Why This Matters?

- ✓ By tracking client behavior the court is able to monitor the client's progress in drug court. If, for example, a client is repeatedly sanctioned for negative behavior, the court may observe that the client is not responding well to the suggested course of treatment, and may modify the drug court's compliance requirements accordingly.
- ✓ Monitoring sanctions and incentives enables courts to investigate the "bigger picture" associated with client behavior. For example, if a client has received repeated incentives, and then receives a sanction, the court may want to investigate the situation to see if something larger has occurred (such as family or employment problems).
- ✓ Drug courts can review reports to identify any common patterns associated with negative behaviors (e.g., dates, days of the week, type of behavior and use the information to better understand and address client behavior.
- ✓ Sanctions and incentives are recognized by the drug court field as key activities and will be routinely aggregated and included in reports to BJA and local and state sponsoring agencies.

Associated Reports:

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

Supporting Documentation:

Sanctions and Incentives Tip Sheets

SMART Tip Sheets

Sanctions & Incentives

This tip sheet explains how to enter positive and negative client behaviors and program responses to those behaviors.

Total Pages: 2

Maryland
February 2008
IGSR Technical Support: 301.397.2330

Sanctions & Incentives

Documenting Behaviors & Responses

1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List, ECourt, Incentives/Sanctions.

2. Once you have opened the Incentives/Sanctions screen, click on the **Add New** hyperlink to enter the client's incentives/sanctions.

3. Click **Behavior Type** (either Negative or Positive), enter the **Behavior Date** then click an option on the **Behavior** drop down box and the.

4. Enter the **Response Date** and click the appropriate **Responses** within the mover box (i.e. choosing a negative behavior type will give you a list of negative behaviors and possible sanctions and choosing positive behavior types will give you a list of positive behaviors and possible incentives). Continue through the module completing the pertinent information for the sanction or incentive including **Unit** and **Staff**.

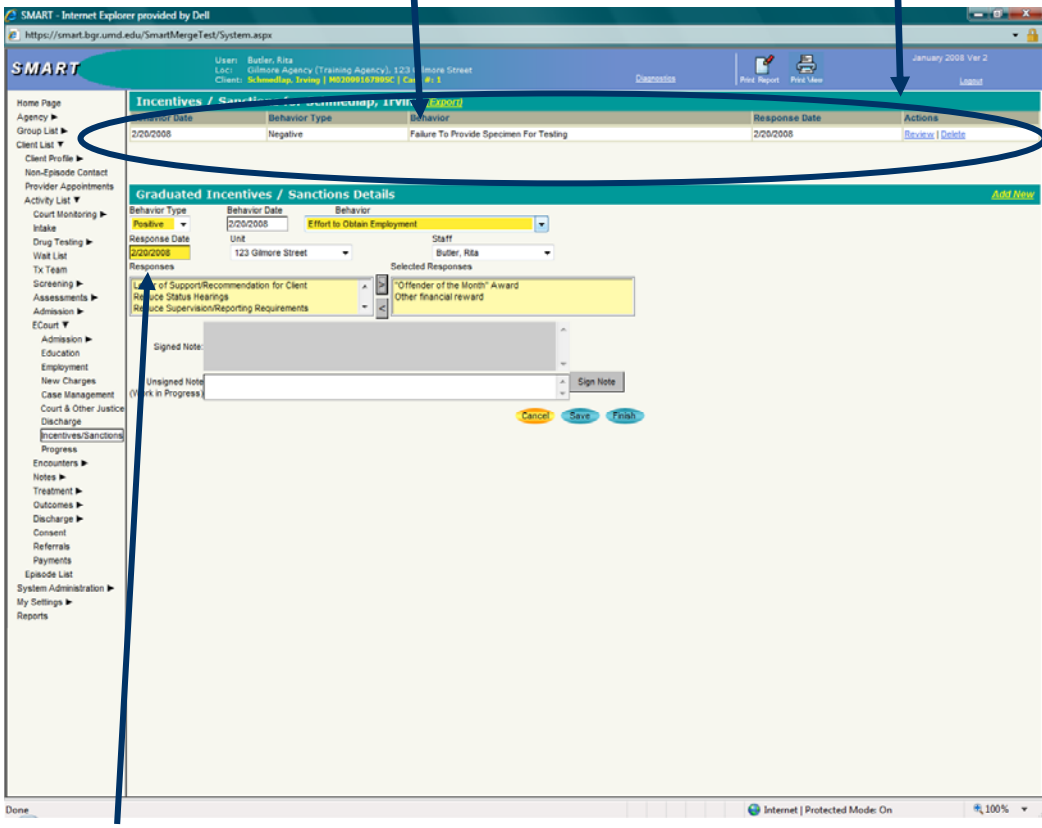
5. **Signed/Unsigned Notes:** This screen contains a Signed/Unsigned note function. To make an editable note, enter your note in the **Unsigned Note** field and click **Save** or **Finish**. However, to electronically sign the note (thereby making it uneditable), enter the note in the **Unsigned Note** box and then click **Sign Note**. ***Note:*** If the signed note contained erroneous information or if you need to enter more data, simply enter the new information in the **Unsigned Note** box and click **Sign Note** again.

6. Click **Save** or **Finish** when you have completed the record.

   Note: Please remember to enter the actual date for the behavior and response, since the date field defaults to the date you created the record.

The top of the screen provides a historical list of Sanctions/Incentives for this client's case.

To review an existing record, click **Review**. A record can also be deleted by clicking **Delete**.



Choosing a **Behavior Type** will populate the **Behavior** drop down box and the **Responses** mover box.

New Charges

Purpose of Module:
Part of the mission of drug court is not only to help clients become sober, but also to break the cycle of criminal behavior. In order to understand and address criminal behavior, we must have the ability to track it. The New Charges Module allows the user to track charges received during and after drug court.

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 judgment that lead to drug abuse and criminal behavior may improve outcomes.

Training Objectives:
After completing this module, users will be able to:

- Add a new charge.
- Add a new violation of probation (VOP).
- Generate associated new charges reports.
- Understand the utility of tracking subsequent charges.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements	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* drug court by recording new arrests or VOPs occurring any time after the client's admission to drug court, including after his/her drug court discharge date.
- Rearrests are temporary and tentative indicators of recidivism. Users should make efforts to obtain and record information on case *dispositions*, since these are much more valid indicators of recidivism and client and court performance.

Why This Matters?

- ✓ Rearrest 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 drug court allows the court to reward the success of those who desist from criminal behavior.
- ✓ Reduced recidivism is a central goal of drug courts and rearrests are recognized by the field as a critical measure of performance. Rearrest, violation, and disposition data will be routinely aggregated and included in reports to BJA and local and state sponsoring agencies.

Associated Reports:

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

Supporting Documentation:

New Charges Tip Sheet

SMART Tip Sheets

New Charges

This tip sheet explains how to add a charge received during the client's time in drug court.

Total Pages: 2

Maryland
February 2008
IGSR Technical Support: 301.397.2330

New Charges

Documenting New Charges

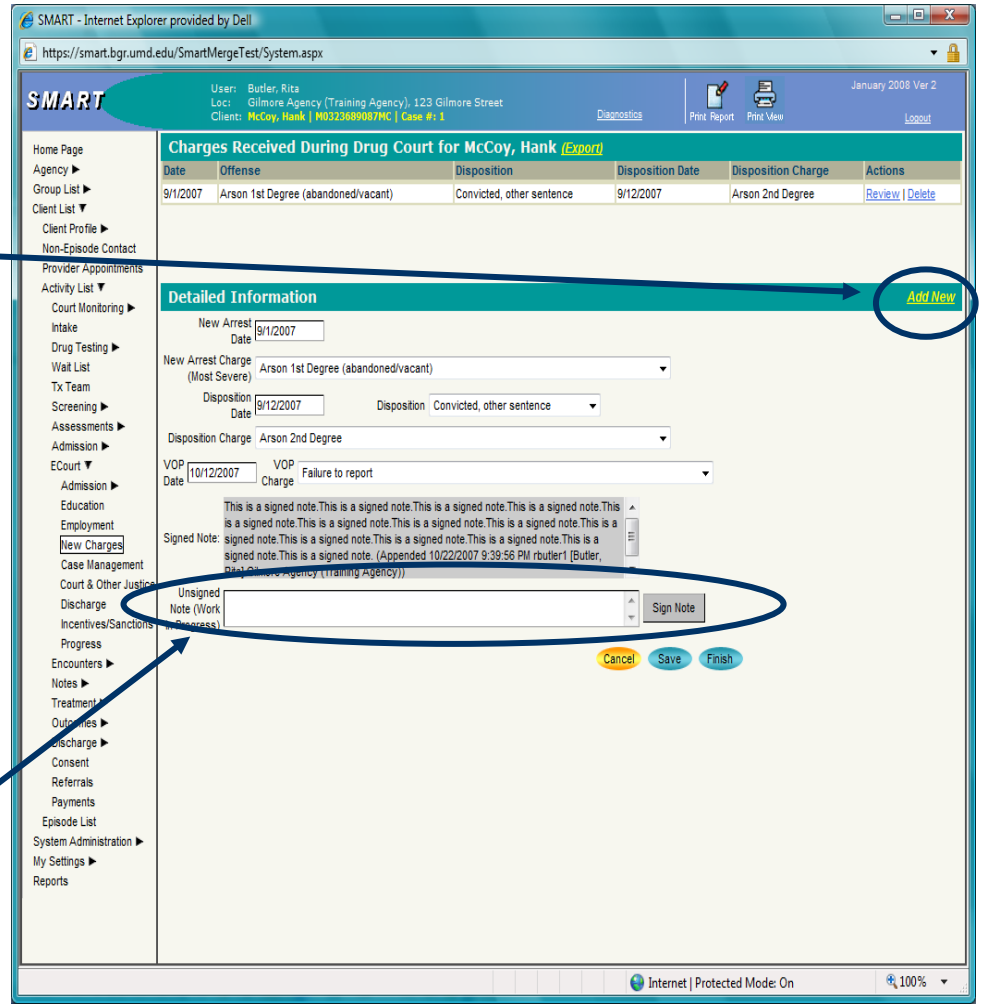
1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List, ECourt, New Charges.

2. Once you have opened the New Charges screen, click on the **Add New** hyperlink to add a charge**.**

3. **New Entries:** Enter the **New Arrest Date** and **New Arrest Charge** and/or **VOP date(s)** and **VOP Charge(s)**. Continue through the module completing the pertinent information for the event(s) (i.e., when entering a date [either New Arrest or VOP], also be sure to select the charge for the corresponding option).

4. **Signed/Unsigned Notes:** This screen contains a Signed/Unsigned note function. To make an editable note, enter your note in the **Unsigned Note** field and click **Save** or **Finish**. However, to electronically sign the note (thereby making it uneditable), enter the note in the **Unsigned Note** box and then click **Sign Note**. ***Note:*** If the signed note contained erroneous information or if you need to enter more data, simply enter the new information in the **Unsigned Note** box and click **Sign Note** again.

5. Click **Save** or **Finish** when you have finished entering in the new charge(s).



Court & Other Criminal Justice Supervision/Events

Purpose of Module:
The Court & Other Criminal Justice Supervision screen allows the drug court to track criminal justice contacts (probation, drug court review hearings, etc.) with the drug court participant including the type of contact made, the outcome of the contact, and the court's action in response to the contact.

Training Objectives:
After completing this module, users will be able to:

- Add a new criminal justice contact or event.
- Document client movement from one phase to another during drug court participation.
- Generate associated reports.
- Understand the utility of tracking criminal justice and court-related contacts.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake

SMART Required & Recommended Data Elements:

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 that 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 between treatment providers and courts or parole and probation offenders is important in addressing the complex needs of these reentering individuals.

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

Helpful Hints:

- If a drug court courtroom (DC Courtroom) is selected as the location, a Court Action can be entered (e.g. bench warrant issued, phase movement, placed on electronic monitoring, etc.).
- A court action must be selected in order to document the actual client's phase in the drug court.

Why This Matters?

- ✓ Active supervision increases the probability that a client will remain in treatment and desist from criminal activity.
- ✓ During the initial phases of drug court, it is important to have frequent status hearings to monitor compliance. As a client becomes more stable and demonstrates receptiveness toward change, the frequency of the status hearings may be reduced.
- ✓ Frequent criminal justice contacts will reinforce the legal aspect of drug court and the consequences of recidivism.
- ✓ Court appearances and phase movement are recognized by the field as important activities in drug court. Appearance and phase data will be routinely aggregated and included in reports to BJA and local and state sponsoring agencies.

Associated Reports:

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

Supporting Documentation:

Court & Other Criminal Justice Supervision Tip Sheet

SMART Tip Sheets

Court & Other Criminal Justice

Court Hearings
Probation Meetings

This tip sheet explains how to add criminal justice related event information, and court actions such as phase movement.

Total Pages: 2

Maryland
October 2007
IGSR Technical Support: 301.397.2330

Court & Other Criminal Justice

Criminal Justice Contacts

1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List, eCourt, Court and Other Justice.

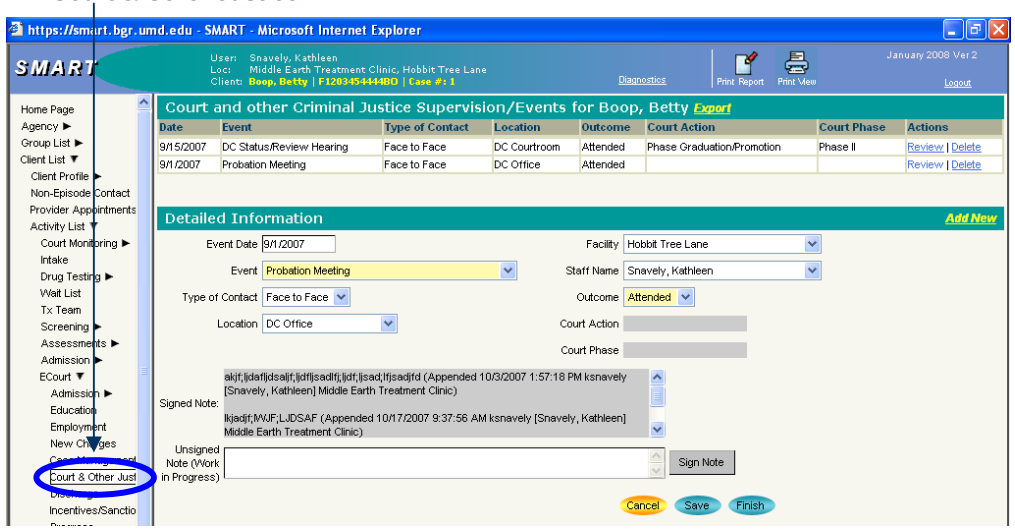
2. Once you have opened the Criminal & Other Justice module, click on the **Add New** hyperlink to add a criminal justice contact (probation meeting, court hearing, etc.)

3. Type the **Event Date** and select the type of **Event** from the drop-down menu. This will activate the remaining fields and enable you to enter all pertinent court supervision information including: **Staff Name**, **Type of Contact**, **Location** *(the system will only allow you to enter a* ***Location*** *if you chose a face-to-face meeting in the* ***Type of Contact*** *field)*, **Outcome**, **Court Action**, and **Court Phase** (the system will *only allow you to enter a* ***Court Phase*** *if you chose Phase Graduation/Promotion or Phase Reduction/Demotion in the* ***Court Action*** *field.*)

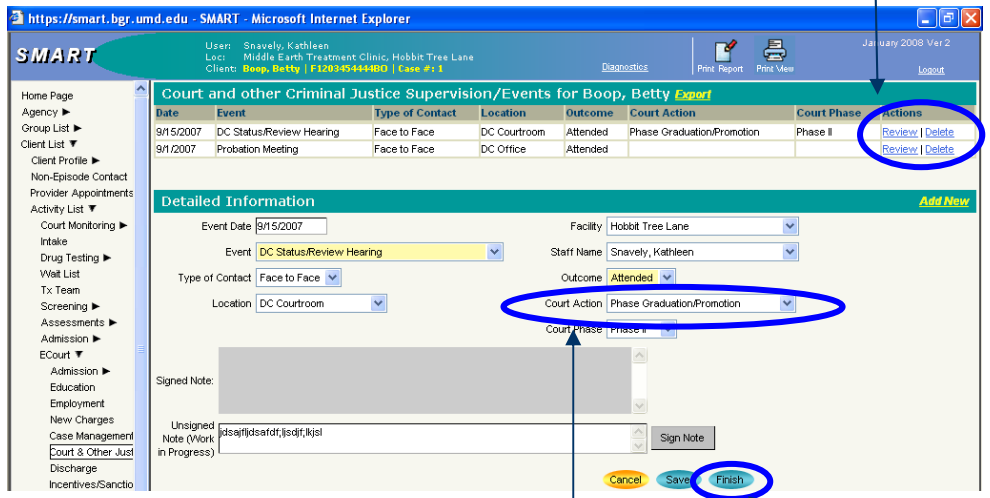
4. **Signed/Unsigned Notes:** This screen contains a Signed/Unsigned note function. To make an editable note, enter your note in the **Unsigned Note** field and click **Save** or **Finish**. To electronically sign the note, enter the note in the 'Unsigned Note' box and then click **Sign Note**. **Note:** By signing a note, you are certifying its content and precluding further editing. However, the signed note contained erroneous information or if you need to enter more data, simply enter the new information in the 'Unsigned Note' box and click **Sign Note** again.

5. Click **Save** or **Finish** when you have completed the court or supervision information.

Under ECourt on the Left Menu Bar, click **Court & Other Justice.**



To review an existing record, click **Review** or to delete a record, click **Delete**.

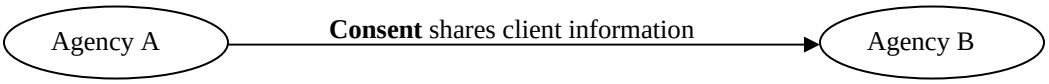


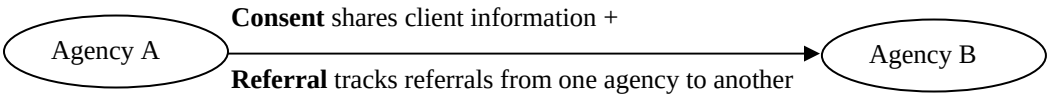
If the event is a DC Status/Review Hearing, the Court Action field will populate. You can enter Phase movement and then Court Phase.

Click **Finish** when done.

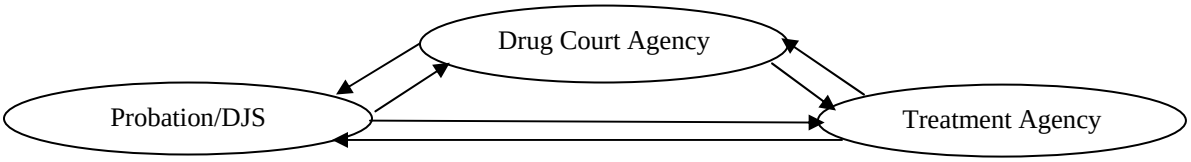
Consent/Disclosure & Referrals

Purpose of Modules:
The consent and referral modules allow you to share client information with other agencies and track referrals through an electronic consent/referral process in SMART. The consent process is a one way process that allows Agency A to disclose client information to Agency B, where no referral is required for Agency B to view the disclosed client information. The consent process determines for each client 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 client is referred to another agency, as well as clients referred in from another agency, where reports can be generated to track referrals in and out of an agency.





A Consent from Agency A to Agency B only shares client 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: information sharing is a one way disclosure. In a drug court setting it will be very important to ensure that all the proper disclosures of information are in place in order for the drug court agency to have all the necessary information about a client. For example, if the probation/DJS agency opens the record in SMART, they should then disclose information to the drug court. The drug court should then disclose information back to probation/DJS and also to the treatment agency.



Training Objectives:
After completing this module, users will be able to:

- Create a client consent/disclosure, allowing the sharing of records from one agency to another.
- Create a client referral and track the status of the referral.
- Understand how to accept referrals electronically.
- Understand the electronic consent and referral process and their appropriate use.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements	Recommended SMART Data Elements
Consent	
Disclosed to Agency	Description
Purpose for Disclosure	Comments
Consent Date	Other Disclosures
Has the Client Signed the Paper Agreement Form	
Client Information Options/Disclosure Selection	
Referrals	
Reason	Comments
Is Consent Verification Required?	Appointment Date
Is Consent Verified?	
Continue this Episode of Care?	
Facility	
Program	

Why it Matters – Consent/Referrals Out?

- ✓ The consent process allows the user to establish a consent agreement for a particular client to share specified client records with another agency. The consent form can be printed from SMART and signed by the client. Once confirmation of signature is documented, information is shared electronically, regardless of whether or not a referral is also documented. The consent process must be completed prior to making a referral to an outside agency.
- ✓ The referral process is an additional step that allows the user to document and track each time a client is referred to another agency, where once accepted at the other agency electronically, the referring agency can track the client's referral status. For example, in a drug court setting, most often the initiating agency will make a referral to the drug court (e.g. Probation) and the drug court will make a referral for treatment services, but all other sharing of information will be handled through a consent/disclosure.
- ✓ Referrals made from your agency to another can be viewed through the Agency functions in SMART.
- ✓ A consent may be revoked at any time, however the initial information that has already been consented to and shared will continue to be shared, revocation only affects information entered from the date of revocation forward.

Why it Matters – Consent/Referrals In?

- ✓ The consent process allows the client record to be shared with another agency as soon as it is documented 'Yes' that the "Client Has Signed the Paper Agreement Form". To view a client where only consent has been granted (no referral), search for the client on the client search screen and the information will display at the bottom of the screen "Clients With Outside Consents". This allows you to view the records shared from the other agency.
- ✓ Information disclosed or referred from one agency to another cannot be modified and can only be viewed by the receiving agency.
- ✓ Referrals can be tracked through the Agency functions 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 clients referred out.

Helpful Hints:

- The consent/referral process is a one way process, where information is shared from the referring agency to the receiving agency.
- Once you have received a referral from an agency, and want to share information back to the referring agency, you will want to establish a consent/disclosure from your agency back to the referring agency. This will establish two way communication for a particular client.
- Consents and referrals are on a client by client basis and are only intended to share information for a particular case associated with the client.

Associated Reports

Report	Description	Access	Format
Consent Report	Provides consent information, specifying which information will be shared through the consent process. Also, the report the client can sign.	Consent Module	SMART generated report
Referrals In by Agency	Provides # and % of clients placed/accepted, pending, terminated, refused tx, rejected, placed on waiting list, etc.	Reports Module	Export File
Referrals Out by Agency	Provides # and % of clients referred prior to tx, referred during tx, referred after tx, etc.	Reports Module	Export File

Supporting Documentation:

Consent/Referral Tip Sheets

SMART Tip Sheets

Client Referral

This tip sheet focuses on how to share client records and make client referrals using SMART.

Total Pages: 6

Consent
Referral
Accepting Referrals

Maryland
February 2008
IGSR Technical Support: 301.397.2330

Client Referral

Consent

Entry Steps: Client Profile, Intake. Additionally, if your agency has a standard set of information that is regularly shared with one or all agencies when making a referral, an Agency Disclosure Agreement(s) should be established prior to initiating a client consent (See Administrative Tip Sheets).

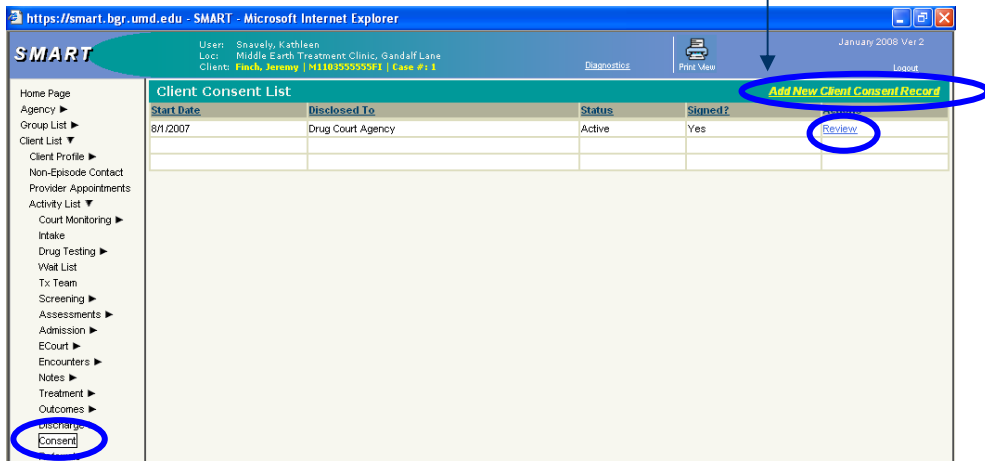
1. Consents are required before sharing any information about a client with anyone outside the agency. In SMART, an independent consent/disclosure must be established before information can be shared.

2. Generate the client's Activity List. Click **Consent** from the Menu Tree. Existing consents will be listed in the Client Consent List.

3. **Review Existing Consents**: There may be several consents already on record. Click **Review** to review any existing consents. ***Note***: make sure there is no active existing consent with the agency you are about to initiate consent with. If a client consent has been revoked, it will be noted in the Status.

4. To initiate a client consent, click **Add New Client Consent Record** hyperlink.

To create a consent with another agency, sharing your client records, click **Add New Client Consent Record**.



To review an existing consent, click **Review.**

To access the Consent module, click **Consent** from the Activity List.

Client Referral

Consent

5. Complete the "Entities with Disclosure Agreements". If your agency has a pre-established Agency Disclosure Agreement, it will automatically appear here.

6. **Disclosed From Agency (yellow box at the top):** Your agency is the Disclosed From Agency.

7. **Disclosed To Agency:** Select the agency you will share information with (only one agency per consent is allowed). ***Note***: If you wish to document the sharing of information with agencies not using SMART, you may select "Non System Agency" and enter the agency.

8. Enter the Purpose For Disclosure.

9. **Consent Date:** The consent date defaults to the current date and may be modified, as this is the date that triggers the sharing of information (i.e., if a user enters 1/15/07, only information entered on 1/15/07 and forward in my agency will be shared - nothing entered prior to 1/15/07 will be shared.

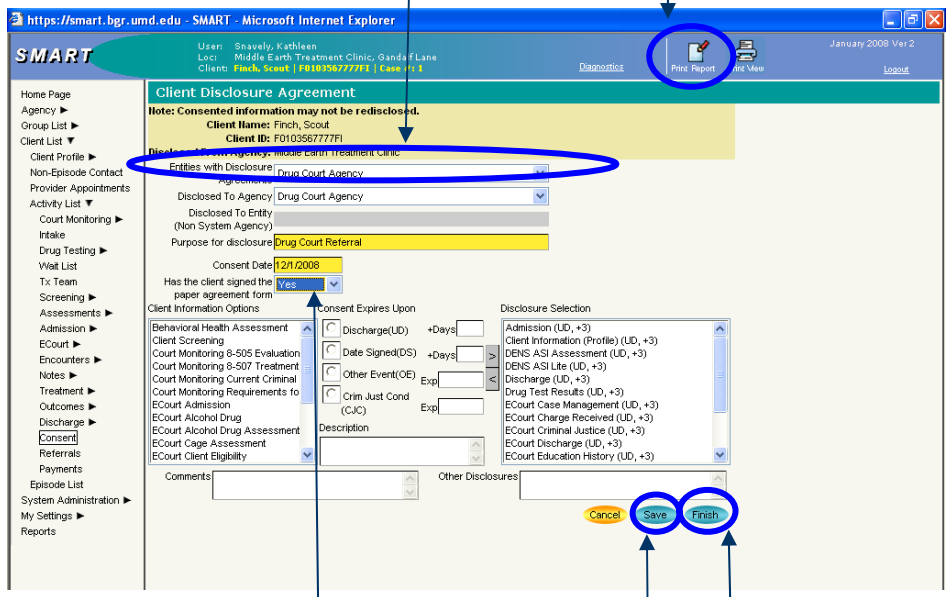
10. **The "Has the client signed the paper agreement form" field must be "No"**, until the client has signed the consent.

11. The Client Information Options may be modified on a client by client basis using the mover boxes to add information to be shared or remove information from being shared. **Note:** an expiration date must be associated with each body of information selected in the consent.

12. Once the Screen is completed click "**Save**".

If your agency has a consent policy setup, select the agency you would like to consent information from in the field **Entities with Disclosure Agreements**. Note: if All Other Agencies is an option in this drop down, select this, and then identify the Agency in the **Disclosed to Agency** field.

To generate a paper copy of the consent for the client to sign, click **Print Report**.



Only if there is a signed consent or the client has signed the paper agreement, click **Yes** to **Has the Client Signed the Paper Agreement Form**.

To save your consent and to make a referral using this consent, click **Save**.

To exit the Consent module and not make a referral, click **Finish**.

Client Referral

Consent (cont.)

13. To generate a report for the client to sign, click the **Print Report** icon. The consent will then appear in a PDF format.

14. Print the Consent and obtain the Client and Witness signatures. A hard copy of the consent must be placed in the client's file.

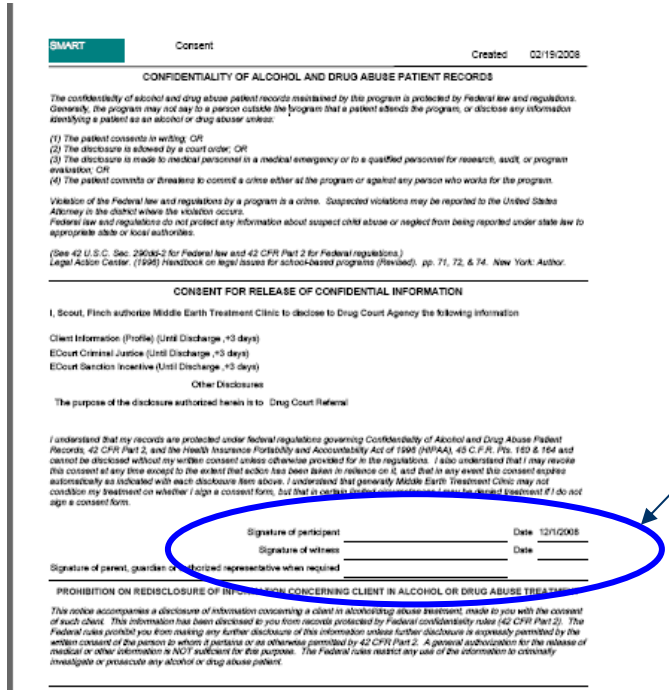
15. Once the client's signature is obtained, return to the Consent screen to change the "Has the Client signed the paper agreement form" answer from "No" to "Yes" then click "**Finish**".

    Note: By clicking 'Yes' and saving the record, the record becomes uneditable and this consent must be revoked and a new consent must be established if any changes must be made. At this point, information has been disclosed to the other agency.

16. **Revocation:** A client may revoke a consent prior to its expiration. To revoke a consent, click the **Revoke** button at the bottom of the screen. The status of the consent will change to 'Revoked' on the Activity List.

    Note: Revocation is not retro-active. Whatever information that was already shared prior to revocation will continue to be shared.

17. **Create a Referral using this Consent:** Click on the yellow **Create Referral Using this Disclosure Agreement** hyperlink or go to the Menu Tree and click **Referrals** and click **Add New Client Referral Record**.


SMART Consent Created 02/19/2008

CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS

The confidentiality of alcohol and drug abuse patient records maintained by this program is protected by Federal law and regulations. Generally, the program may not say to a person outside the program that a patient attends the program, or disclose any information identifying a patient as an alcohol or drug abuser unless:

(1) The patient consents in writing; OR
(2) The disclosure is allowed by a court order; OR
(3) The disclosure is made to medical personnel in a medical emergency or to a qualified personnel for research, audit, or program evaluation; OR
(4) The patient commits or threatens to commit a crime either at the program or against any person who works for the program.

Violation of the Federal law and regulations by a program is a crime. Suspected violations may be reported to the United States Attorney in the district where the violation occurs.
Federal law and regulations do not protect any information about suspect child abuse or neglect from being reported under state law to appropriate state or local authorities.

(See 42 U.S.C. Sec. 290dd-2 for Federal law and 42 CFR Part 2 for Federal regulations.)
Legal Action Center. (1998) Handbook on legal issues for school-based programs (Revised). pp. 71, 72, & 74. New York: Author.

CONSENT FOR RELEASE OF CONFIDENTIAL INFORMATION

I, Scout, Finch authorize Middle Earth Treatment Clinic to disclose to Drug Court Agency the following information

Client Information (Profile) (Until Discharge ,+3 days)
ECourt Criminal Justice (Until Discharge ,+3 days)
ECourt Sanction Incentive (Until Discharge ,+3 days)

Other Disclosures

The purpose of the disclosure authorized herein is to Drug Court Referral

I understand that my records are protected under federal regulations governing Confidentiality of Alcohol and Drug Abuse Patient Records, 42 CFR Part 2, and the Health Insurance Portability and Accountability Act of 1996 (HIPAA), 45 C.F.R. Pts. 160 & 164 and cannot be disclosed without my written consent unless otherwise provided for in the regulations. I also understand that I may revoke this consent at any time except to the extent that action has been taken in reliance on it, and that in any event this consent expires automatically as indicated with each disclosure item above. I understand that generally Middle Earth Treatment Clinic may not condition my treatment on whether I sign a consent form, but that in certain [illegible] treatment if I do not sign a consent form.

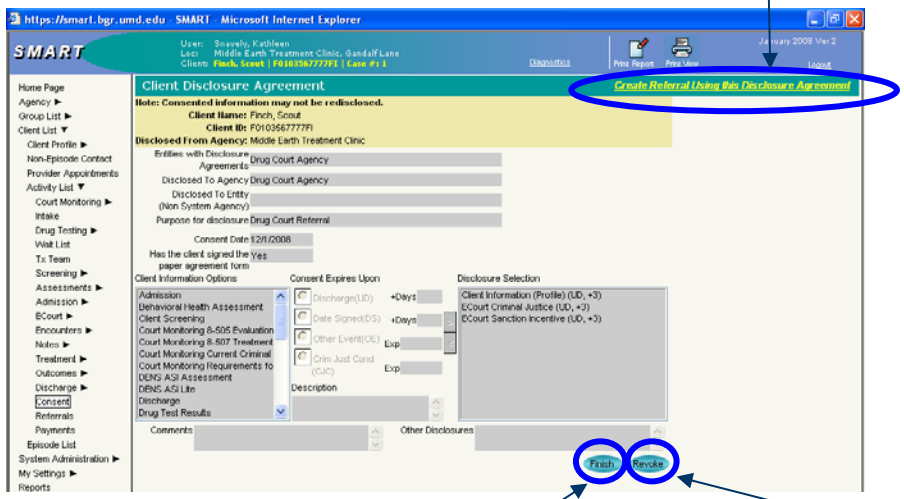
Signature of participant _____ Date 12/1/2008
Signature of witness _____ Date _____
Signature of parent, guardian or authorized representative when required _____

PROHIBITION ON REDISCLOSURE OF INFORMATION CONCERNING CLIENT IN ALCOHOL OR DRUG ABUSE TREATMENT

This notice accompanies a disclosure of information concerning a client in alcoholism/drug abuse treatment, made to you with the consent of such client. This information has been disclosed to you from records protected by Federal confidentiality rules (42 CFR Part 2). The Federal rules prohibit you from making any further disclosure of this information unless further disclosure is expressly permitted by the written consent of the person to whom it pertains or as otherwise permitted by 42 CFR Part 2. A general authorization for the release of medical or other information is NOT sufficient for this purpose. The Federal rules restrict any use of the information to criminally investigate or prosecute any alcohol or drug abuse patient.

The client can sign the consent form here.

To make a referral using this consent, click Create Referral Using this Disclosure Agreement



When complete, click **Finish.**

If information was shared incorrectly, click Revoke.

Referrals

1. The client disclosure agreement allows you to create a referral for the client. Users will now see that many of the fields on the referrals screen are pre-populated.

2. **'Referred By' column:** Select a 'Reason' for the referral from the drop down box. Select 'Yes' or 'No' for "Is Consent Verification Required?" and "Is Consent Verified?". Enter any comments you wish to share with the agency you are making the referral to in the 'Comments' box.

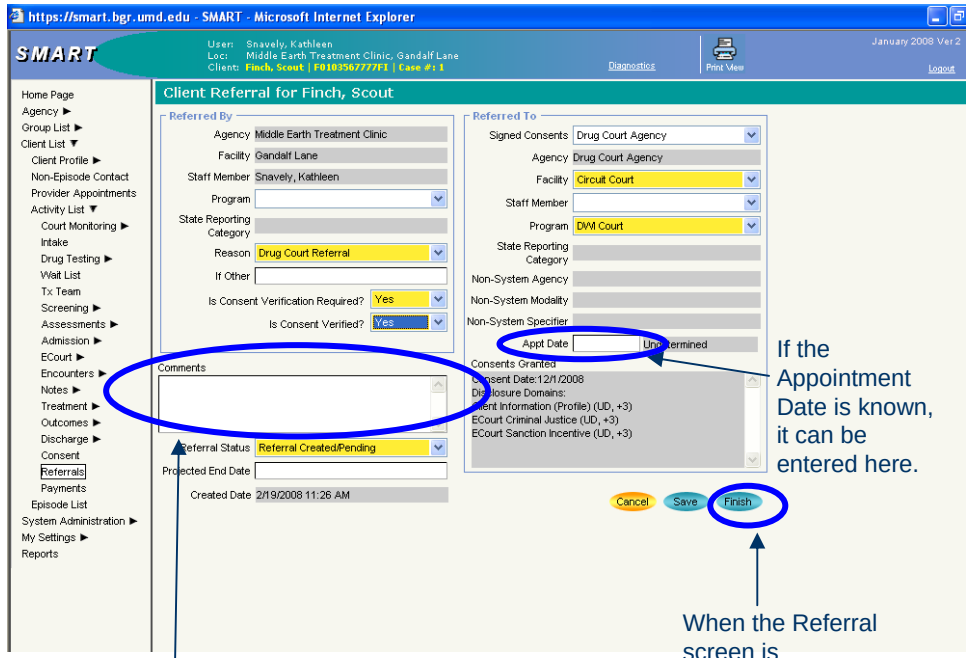
   Note: DPP A&P Traffic Unit, please enter the referral source in the comments section.

1. **'Referred To' column**: Enter the Facility, the Staff, the Program, and the Appointment Date (if known). Review the Consents Granted to ensure this is the correct consent.

2. Click the **Save** or **Finish** button.

3. Once you have clicked the **Finish** button the referral is automatically sent, and you will be taken to the Client Referral Status screen.

4. Referrals coming into and leaving your agency can be tracked by accessing 'Referrals' from the 'Agency' section of the Menu Tree (**Referrals In** or **Referrals Out**).



If the Appointment Date is known, it can be entered here.

When the Referral screen is complete, click **Finish.**

DPP A&P Traffic Unit, enter the referral source in the **Comments** section.

Accepting Referrals

Accepting Referrals (Referrals In)

1. Accepting client referrals is considered an Agency function. Select ‘Agency’ from the left menu tree.

2. To view referrals made to your agency, click **Referrals In**. To begin, select the **Referral Status Codes** and move them to the **Search Criteria** box (using the arrow). Then click **Go**. This will generate a list of clients referred in to your facility by status code.

3. To view a referral, click **Review** next to the appropriate client.

4. This will generate the Referral screen displaying the referral information, including any comments entered by the referring agency.

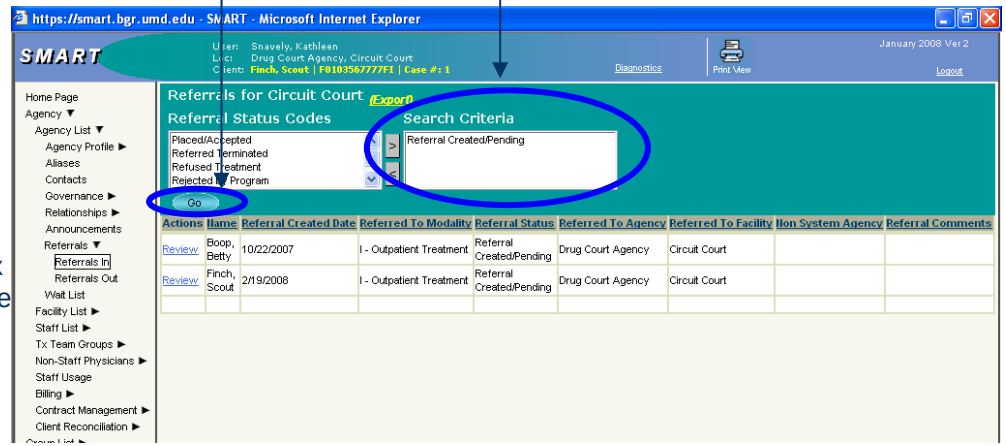
5. To accept a referral, select **Placed/Accepted** for **Referral Status**. Enter the Appointment Date and status (if known). Or you may select another **Referral Status**.

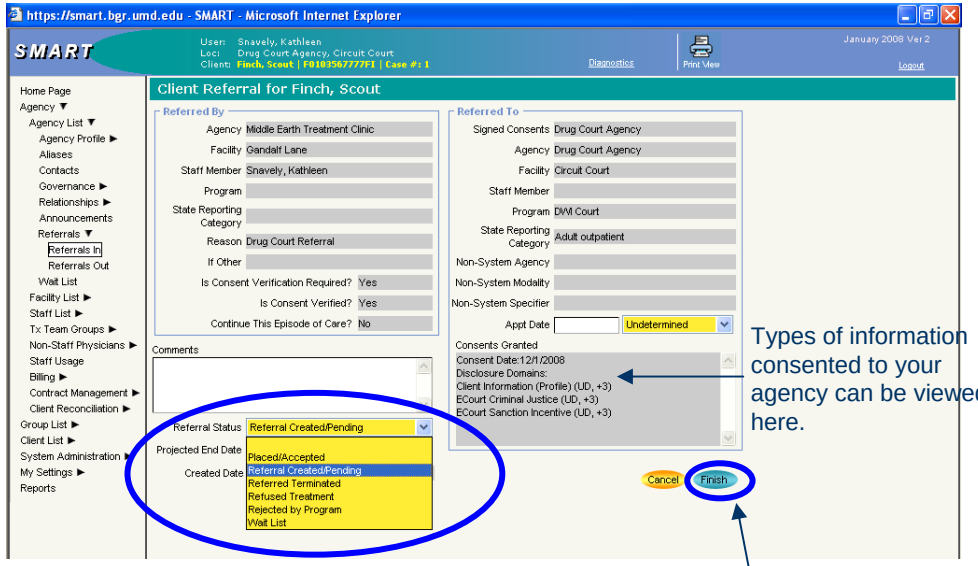
   Note: If the client already exists in your agency, select **Rejected by Program**. This remove the referral from the Referrals Created/Pending list, and you will still be able to view the consented information by the referring agency.

6. To view the information the referring agency agreed to share with you, use the scroll bar to view consented information under ‘Consents Granted’.

7. Click **Finish**. This will take you immediately to the Client Profile screen. Once a case is accepted, follow the procedures for entering client data in your agency.

Select the Referral Status Codes you would like to display and move it to the Search Criteria box, then click **Go**.





Types of information consented to your agency can be viewed here.

Click **Finish** when done.

Select a **Referral Status**. If you wish to accept the referral, select **Placed/Accepted**. If the client already exists in your agency, select **Rejected by Program**, to avoid creating duplicate clients.

SMART

Consent

Printed 03/05/2007

CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS

The confidentiality of alcohol and drug abuse patient records maintained by this program is protected by Federal law and regulations. Generally, the program may not say to a person outside the program that a patient attends the program, or disclose any information identifying a patient as an alcohol or drug abuser unless:

(1) The patient consents in writing; OR
(2) The disclosure is allowed by a court order; OR
(3) The disclosure is made to medical personnel in a medical emergency or to a qualified personnel for research, audit, or program evaluation; OR
(4) The patient commits or threatens to commit a crime either at the program or against any person who works for the program.

Violation of the Federal law and regulations by a program is a crime. Suspected violations may be reported to the United States Attorney in the district where the violation occurs.
Federal law and regulations do not protect any information about suspect child abuse or neglect from being reported under state law to appropriate state or local authorities.

(See 42 U.S.C. Sec. 290dd-2 for Federal law and 42 CFR Part 2 for Federal regulations.)
Legal Action Center. (1996) Handbook on legal issues for school-based programs (Revised). pp. 71, 72, & 74. New York: Author.

CONSENT FOR RELEASE OF CONFIDENTIAL INFORMATION

I, **Penelope Pitstop** authorize **Administrative Agency (MD-100100)** to disclose to **ADAA (MD-100200)** the following information

Drug Court Discharge (Until Discharge ,+0 days)

Drug Court Admission (Until Discharge ,+0 days)

Drug Court Alcohol Assessment (Until Discharge ,+0 days)

Drug Court Case Management (Until Discharge ,+0 days)

Drug Test Results (Until Discharge ,+0 days)

Other Disclosures

The purpose of the disclosure authorized herein is to Referral to Tx.

I understand that my records are protected under federal regulations governing Confidentiality of Alcohol and Drug Abuse Patient Records, 42 CFR Part 2, and the Health Insurance Portability and Accountability Act of 1996 (HIPAA), 45 C.F.R. Pts. 160 & 164 and cannot be disclosed without my written consent unless otherwise provided for in the regulations. I also understand that I may revoke this consent at any time except to the extent that action has been taken in reliance on it, and that in any event this consent expires automatically as indicated with each disclosure item above. I understand that generally Administrative Agency (MD-100100) may not condition my treatment on whether I sign a consent form, but that in certain limited circumstances I may be denied treatment if I do not sign a consent form.

Signature of participant _____ Date 3/5/2007

Signature of witness _____ Date _____

Signature of parent, guardian or authorized representative when required _____

PROHIBITION ON REDISCLOSURE OF INFORMATION CONCERNING CLIENT IN ALCOHOL OR DRUG ABUSE TREATMENT

This notice accompanies a disclosure of information concerning a client in alcohol/drug abuse treatment, made to you with the consent of such client. This information has been disclosed to you from records protected by Federal confidentiality rules (42 CFR Part 2). The Federal rules prohibit you from making any further disclosure of this information unless further disclosure is expressly permitted by the written consent of the person to whom it pertains or as otherwise permitted by 42 CFR Part 2. A general authorization for the release of medical or other information is NOT sufficient for this purpose. The Federal rules restrict any use of the information to criminally investigate or prosecute any alcohol or drug abuse patient.

Criteria: Client Name = Penelope Pitstop // Agency Name = Administrative Agency (MD-100100) // Intake Facility = BGR IT // Case Number = 1

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Drug Court Discharge

Purpose of Module:
The Drug Court Discharge Module mirrors the Drug Court Admission Module in that it collects the same data for participants at the time of discharge that was collected during the participants' drug 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 drafted to provide continued support to the client subsequent to graduation.

NIDA PRINCIPALS FOR DRUG TREATMENT #9

Continuity of care is essential for drug abusers re-entering 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 postincarceration. Continuing drug treatment in the community is essential to sustaining these gains.

Training Objectives:
After completing this module, users will be able to:

- Record participant discharge information.
- Understand the utility of tracking admission and discharge information.

Prerequisite Modules:

- ✓ Client Profile
- ✓ Client Intake
- ✓ Drug Court Admission

SMART Required & Recommended Data Elements:

OPSC Required SMART Data Elements	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	
Living Arrangement	
# Months in this Living Arrangement	
Number of Children Living with 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 This Matters?

- ✓ Comparing intake and discharge data is an effective way to measure drug court performance at both the individual and program level. At the individual level, the information illustrates the progress the participant has made as a result of treatment and supervision. At the program level, the comparison can be used to identify strengths and weaknesses in the court's service and supervision strategies.
- ✓ Discharge data may be used to inform the client's continuing care plan.
- ✓ Life improvements as indicated by employment, education advancement, residential stability, and living in a drug-free environment are recognized by the field as important measures of client and program-level performance. Information on status and discharge and improvements since admission will be routinely aggregated and included in reports to BJA and local and state sponsoring agencies.

Associated Reports

Report	Description	Access	Format
Drug Court Discharge	Provides discharge information in a one page report.	Drug Court Discharge Module	SMART generated report

Supporting Documentation

Drug Court Discharge Tip Sheet

SMART Tip Sheets

Drug Court Discharge

This tip sheet explains how to documents client status information at Discharge.

Total Pages: 2

Maryland
February 2008
IGSR Technical Support: 301.397.2330

Drug Court Discharge

Client Discharge from Drug Court

This module allows for the documentation of a client's status at discharge (employment, education and living arrangements). The comparison of information entered at admission can be compared to information at discharge, thus allowing for the ability to generate performance measures.

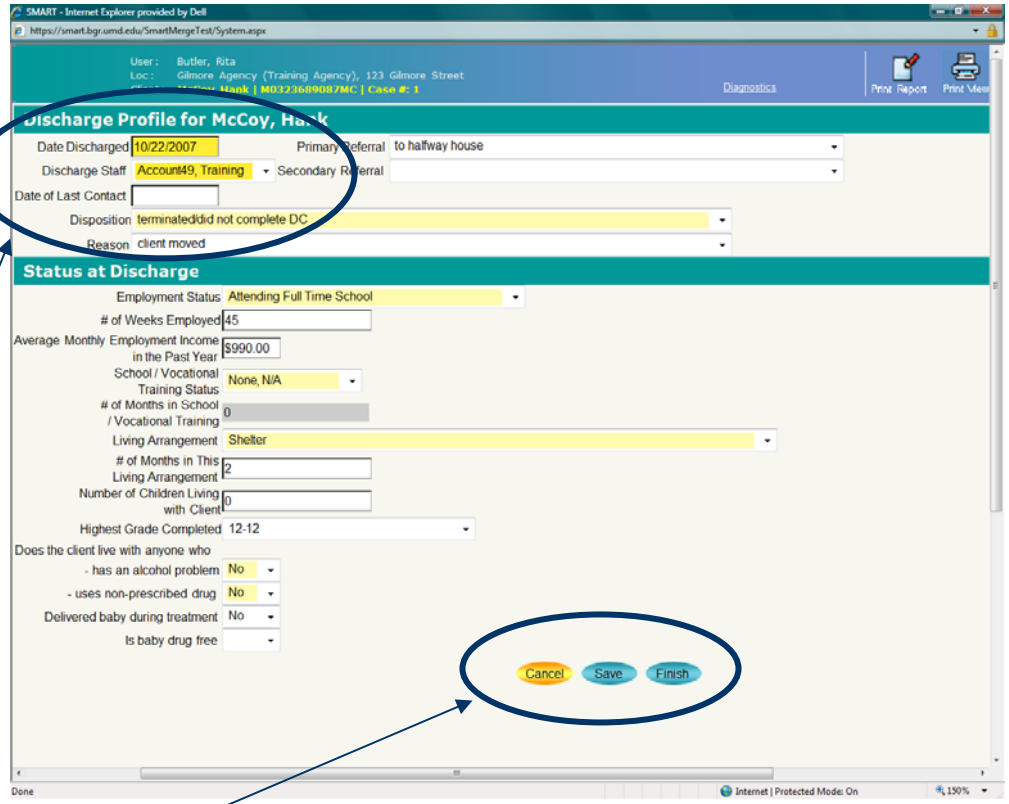
1. **Entry Steps:** Login, Select Facility, Client List, select client, Activity List, ECourt, Discharge.

2. Enter the **Date Discharged**, **Discharge Staff** and **Disposition**. ***Note*:** It is important that you enter the correct Discharge date because SMART will automatically pre-populate the Dishcarge Date field with a default date.

3. Continue through the module completing the pertinent information for discharge.

4. Please note there are a number of light yellow fields on the discharge screen (fields linked to key performance measures). Completing all fields is important to generate performance measures. Please complete the Discharge prior to closing the record.

5. Click **Save** and/or **Finish** when you have completed the discharge record.



Monitoring Progress: Accessing Data & Generating Reports

Purpose of Module:
The SMART system allows for the entry of comprehensive information about each client, but how can the data be utilized in the best interest of the drug court? In this module, participants will be able to begin to understand the utility of the data being entered into SMART, and identify how data can be used at the client and program levels to further advance drug courts.

Training Objectives:

After completing this module, participants will be able to:

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

Why it Matters?
The SMART system can facilitate the analysis of drug court operations and processes both within and across jurisdictions, and allow drug courts to document and monitor performance in distinct program areas and outcomes at the system and offender levels. Program personnel need direct access to client information; the ability to prioritize caseloads and to determine type of services available and needed by the clients; the ability to identify and prioritize client needs; knowledge of services available across agencies; timely access to information to information about client status; and quality information to determine program effectiveness. Data is also essential to identify patterns (what works? what doesn't work?), client response to services, and the ability of the program to match needs to services. Essentially information is power, and it is important for the information to be in the hands of program personnel to make client level decisions (about individual cases) and program level decisions (about program services). Ultimately, the standardization of data elements collected and the development of a common MIS will allow for the comparison of drug courts across jurisdictions, and the ability to identify best practices among individual drug court programs.

Tracking and monitoring client compliance/non-compliance (effectiveness)

Because of the unique multi-agency approach to drug courts, it is extremely important to document comprehensive detailed information about client behavior and progress, where information entered can be extracted in a meaningful way to make timely and informed decisions about clients. The availability of timely, accurate and case-level information allows agencies to perform their duties more effectively, minimizes redundant data collection and lessens staff time reentering data, improving 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 truly advocate for the client by seeing the whole picture of the client as opposed to only the picture known to the individual service provider/agency, allowing decisions to be client based, 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 client care: supporting the client 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 clients?

It is important to use client data to improve supervision of individual cases and the oversight of the delivery of client services. When data at the level of the individual client become available, the ability to use data to influence clinical flow and decision making increases. Data can be used to support the client by expanding the network of services available by easily identifying gaps in services and to assist in identifying informal support systems.

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

Client Level Monitoring

Client Level Monitoring	Available Report (s)/Review Modules
Readiness for Change	
Is my client ready to change his/her lifestyle and is the drug court the appropriate program for him/her?	Motivational Readiness/Cage Screens
Compliance & Noncompliance	
Client level data can be used to track if the client is participating (attendance) in required activities (treatment, criminal justice, supervision/probation, case management, court hearings, etc.), as well as to identify patterns of compliance/non-compliance.	Treatment Encounters Report Encounter Data Report (Excel File) Court & Other Criminal Justice Report Case Management Report New Charges Report Client Progress Report
Is the client remaining sober or relapsing?	Drug Testing Report Client Progress Report
Community Services, Training, and Employment	
Is the client becoming involved in the community (job, education, community service, etc.)?Does the client have a job? Is she/he attending school or training? Does the client have community support (e.g., AA/NA sponsor)?	Treatment Encounters Report (review progress notes) Case Management Report Client Progress Report Employment Report Education Report
Identify client needs not being met and develop resources to address client needs.	Case Management Report Treatment Encounters Report ASI Narrative Report
Have I entered into SMART all the data necessary for a coordinated case management approach to meeting the client's needs?	All client level reports
Family & Living situation	
Does the client have a permanent and sober living arrangement?	Treatment Encounters Report (Progress Notes)
Behavior Patterns & Triggers	
Is there a pattern of behavior that leads to certain client behavior?	Drug Testing Report Case Management Report Treatment Encounters Report Court & Other Criminal Justice Report Client Progress Report
Client Discharge	
Inform the discharge plan to help clients plan to transition from one type of setting or service program to another.	Drug Court Admission Report Drug Court Discharge Report

Client Level Reports Summary

Report	Description	Access	Format
Client Profile Data Report	Provides a spreadsheet of client data entered into the client profile module.	Reports Module	Microsoft Excel File
Client List Report	Provides a list of clients based on search criteria entered into the client list module.	Client List (Export)	Microsoft Excel File
Drug Court Admission Report	Provides the drug court admission data in a preformatted report.	Drug Court Admission Module	SMART generated report
Drug Test Results Report	Provides a list of drug test results, including specimen #, date, action, drug and result.	Drug Testing Module	SMART generated report
Drug Test Results (Export data)	Provides an export file including: specimen #, date, action, drug and result.	Drug Testing Module	Microsoft Excel File
Treatment Encounter Report	Provides a listing of all treatment encounters and associated information entered into SMART for a particular client.	Treatment Encounters Module	SMART generated report
Encounter Data Report	Provides a spreadsheet of clients and associated treatment encounter information.	Reports Module	Microsoft Excel File
Case Management Report	Provides a listing of all case management activities for a particular client.	Case Management Module	SMART generated report
Employment Report	Provides a list of a client's dates of employment and employment status.	Employment Module	SMART generated report
Education Report	Provides a list of schools/training schools attended and associated dates.	Education Module	SMART generated report
Sanctions/ Incentives Report	Provides a list of client behaviors and associated sanctions and incentives.	Sanctions & Incentives Module.	SMART generated report
Sanctions/Incentives (Export data)	Provides an export file listing the following: behavior date, behavior type, behavior, response date, response description	Sanctions & Incentives Module	Microsoft Excel File
New Charges Report	Provides a listing of any charges received and associated disposition information.	New Charges Module	SMART generated report
Court Justice Report	Presents criminal justice contacts, phase movement and associated notes by date of event.	Court & Other CJ Supervision Module	SMART generated report
Drug Court Discharge	Provides discharge information in a one page report.	Drug Court Discharge Module	SMART generated report
Client Progress Report	Provides client 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 particular client, click 'Client Progress'	SMART generated report

Client Progress Report

eCourt

Client Progress

Printed 03/29/2007

Client Information

Court Case #	DC-9987455	Employment Status	Employed Full Time (35 hours or more per week)
Client Id	M0108342252PR	Name of Employer	Omega Records
Client Name	Presley, Elvis	Highest Grade	10
Address	123 Graceland Way Nashville, TN 00981	Date of Birth	1/8/1934
		Age	73
Enrolled in School/Training	11		
Community Service Hours			

Treatment Attendance

Start Date	Outcome	CPT Description	Staff	Action
3/29/2007	Attended	INDIVIDUAL COUNSELING	Snavely, Kathleen	Administrative Agency

Drug Test Results

Test Date	Action	Test Result	Drug Description	Agency
3/15/2007	Test Taken	Positive - confirmed	Cocaine	Administrative Agency
3/15/2007	Test Taken	Negative	Benzodiazepine	Administrative Agency
2/27/2007	Test Taken	Positive - confirmed	Alcohol	Administrative Agency
2/27/2007	Test Taken	Positive - confirmed	Cocaine	Administrative Agency
2/27/2007	Test Taken	Negative	Benzodiazepine	Administrative Agency
3/5/2007	FTA			Administrative Agency

Requested By Snavely, Kathleen, Administrative Unit 1 of 3 Confidential and Proprietary

Criteria: ClientIntakeId = 1155 // BeginDate = 2/27/2007 // EndDate = 3/29/2007 // DateRange = 2/27/2007:3/29/2007 // HashCode = 16902 // UniqueClientNumber = M0108342252PR // AgencyID = 1

eCourt

Client Progress

Printed 03/29/2007

Criminal Justice Contacts

Event Date	Outcome	Event Description	Staff	Agency
2/27/2007	Attended	Probation Meeting	Snavely, Kathleen	Administrative Agency
2/28/2007	Attended	DC Status/Review Hearing		Administrative Agency

Case Management Contacts

Event Date	Outcome	Event Description	Staff	Location	Agency
3/12/2007	Attended	Life Skills Training	Snavely, Kathleen	DC Office	Administrative Agency
3/15/2007	Attended	Case Management Planning	Snavely, Kathleen	Other Service Agency	Administrative Agency
3/28/2007		Summary Note	Snavely, Kathleen		Administrative Agency

Sanctions and Incentives

Behavior Type	Behavior Date	Behavior	Responce Date	Responce	Agency
Incentive	3/12/2007	Obtain/Retain Employment	3/15/2007		Administrative Agency
Sanction	3/7/2007	FTA for Drug Testing	3/9/2007		Administrative Agency

Drug Court Summary Notes

Event Date	Notes	Outcome	Staff	Agency
3/28/2007	Client has been progressing well in employment, however he tested positive for cocaine. Recommend community service. (Appended 3/29/2007 3:02:29 PM ksnavely1 [Snavely, Kathleen] Administrative		Snavely, Kathleen	Administrative Agency

Requested By Snavely, Kathleen, Administrative Unit 2 of 3 Confidential and Proprietary

Criteria: ClientIntakeId = 1155 // BeginDate = 2/27/2007 // EndDate = 3/29/2007 // DateRange = 2/27/2007:3/29/2007 // HashCode = 16902 // UniqueClientNumber = M0108342252PR // AgencyID = 1

Client Progress Report – Where Does the Data Come From?

Data	SMART Screen Where Data Entered
1. Court Case Number	**Client Profile**
2. Client ID	**Client Profile**
3. Client Name	**Client Profile**
4. Client Address	**Client Profile**
5. Enrolled in School/Training	**Education History** under Drug Court
6. Community Service Hours	Not yet available
7. Employment Status	**Employment History** under Drug Court
8. Name of Employer	**Employment History** under Drug Court
9. Highest Grade	**Education History** under Drug Court
10. Date of Birth	**Client Profile**
11. Age	Calculated based on date of birth and date report generated
12. Treatment Attendance	**Encounters/Treatment Encounters** from all agencies who have entered data where there is appropriate consent/disclosure
13. Drug Test Results	**Drug Test Results** from all agencies who have entered data where there is appropriate consent/disclosure
14.Criminal Justice Contacts	**Court & other Justice** under Drug Court from all agencies who have entered data where there is appropriate consent/disclosure
15.Case Management Contacts	**Case Management** under Drug Court from all agencies who have entered data where there is appropriate consent/disclosure
16.Sanctions and Incentives	**Incentives/Sanctions** from all agencies who have entered data where there is appropriate consent/disclosure
17. Drug Court Summary Notes	**Case Management** under Drug Court where "Summary Note" is selected as Event Type and selected from all agencies who have entered data where there is appropriate consent/disclosure

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 doesn't work in order to continually improve the quality of care. SMART set out standard performance measures to assist drug courts to monitor the performance of their program and to use outcome data to improve programs and services. By helping drug court practitioners collect meaningful outcome data, the drug courts can then use the data to promote continuous quality monitoring.

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

Drug 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 drug 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 the four reports.

Performance Measure Reports

Performance Indicator	Questions Answered	SMART Report
Program Retention	What percentage of admitted clients graduate from the program? What is the average length of stay in the drug court for graduates and for those who terminate early?	Admissions and Discharge Report
Criminal behavior outcomes	What percentage of clients are rearrested while participating in the drug court? What percentage are rearrested in the first year after drug court participation (if captured)?	Recidivism & Other Outcomes Report
Substance abuse outcomes	What percentage of drug court clients' drug tests are positive? By type of drug?	Drug Testing & Treatment Report
Target Population characteristics	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)
Use of sanctions and incentives	How frequently are sanctions and incentives imposed on clients?	Court Monitoring & Case Management Report
Use of treatment	How frequently do clients attend treatment services?	Drug Testing & Treatment Report
Court resource utilization	How many status hearings do clients attend? How many meetings between clients and case managers or other drug court staff occur?	Court Monitoring & Case Management Report
Social and economic status outcomes	What are clients' employment patterns after drug court participation? What are living status patterns at discharge?	Recidivism & Other Outcomes Report

Performance Report: Admission and Discharge

Performance Measure	Query Period: 1/1/2005 to 12/31/2006	Total Since Implementation
Clients Referred	98475	172828
Clients Admitted	43	62
Percent Admitted (of those Referred)	0.0%	0.0%
Clients Graduated	2	8
Percent Graduated (of those discharged)	-	34.8%
Client Discharged, Neutral Disposition	2	3
Client Discharged, Terminated for Cause	7	12
Clients Active in Drug Court (at end of query period)	43.0	-
Days in Drug Court, Graduates (mean)	-	51.3
Days in Drug Court, Terminations (mean)	-	162.4

Performance Report:Court Monitoring and Case Management

	Query Period 1/1/2005 to 12/31/2006	Total Since Implementation
Court Review Hearings	3	8
Court Hearings Attended per Client (Mean)	0.1	0.0
Referrals for Ancillary Services	0	1
Percentage attended	-	100
Services Attended	2	3
Services Attended per Client (Mean)	0.0	0.0
Other Supervision Contacts	36	48
Supervision Contacts per Client (Mean)	0.8	0.8
Sanctions Imposed	110	153
Sanctions Imposed per Client (Mean)	2.6	2.5
Incentives Given	21	40
Incentives Given per Client (Mean)	0.5	0.6

SMART

Performance Report: Drug Testing and Treatment

Printed 04/06/2007

	Query Period 1/1/2005 to 12/31/2006	Total Since Implementation
Drug Tests Scheduled	2256	3286
Failed to Appear or Refused Test	15	30
Percent Fail to Appear for Test	66.9%	91.9%
Drug Tests Administered	2237	3246
Positive Drug Tests (any drug)	521	731
Percent Positive Drug Tests (any drug)	23.3%	22.5%
Alcohol	19	36
Percent Alcohol	0.8%	1.1%
Marijuana	252	369
Percent Marijuana	11.3%	11.4%
Opiates	38	48
Percent Opiates	1.7%	1.5%
Cocaine	91	122
Percent Cocaine	4.1%	3.8%
Amphetamines	42	56
Percent Amphetamines	1.9%	1.7%
Barbiturates	10	19
Percen Barbiturates	0.4%	0.6%
Other	200	286
Percent Other	8.9%	8.8%
Treatment Counseling Sessions Attended	6098	11217
Sessions Attended per Client (Mean)	141.0	180.0
Days in Treatment - Graduate (Mean)	-	0.0
Days in Treatment - Terminations (Mean)	-	0.0
Days from Admission to Treatment (Mean)	-	0

Requested By Huang, Ru, Wicomico Main Street 1 of 2 Confidential and Proprietary

Criteria: BeginDate = 1/1/2005 // EndDate = 12/31/2006 // DateRange = 1/1/2005:12/31/2006 // Units = EAF.Model.ManagedList // HashCode

SMART

Recidivism and Other Outcomes

Printed 04/06/2007

Performance Measure	Current Quarter		Total Since Implementation	
	Graduates	Non-Graduates	Graduates	Non-Graduates
Client Rearrested	0	3286	0	0
Percent Rearrested (of active clients) During				
Client with Technical Violation Imposed				
Percent with Technical Violations				
School/Training Participation During DC				
No attendance				
Completed some school or training, still attending				
Completed some school or training, no longer attending				
Graduated high school/GED				
Percent Employed at Time of Graduation				
Living in Drug-Free Household/Sober Living Environment at Graduation				

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 a software application, but also to understand how to find information, generate reports and make informed decisions about clients. The following scenarios will be used as part of the training session to assist participants in becoming familiar with the information available in the SMART application. Case scenarios may also be used by the drug court team for discussion in team meetings, in-house trainings, among other uses.

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

CASE SCENARIOS

Case Scenario I:

Thirty-two year old Ricky Johnson was arrested on September 1, 2006 for possession of cocaine. Ricky tested positive for cocaine and alcohol. As a result of his drug use, Ricky was referred to the drug court, where if successfully completed his charge would be dropped. Ricky's prior charges include two other possession charges and one trespassing charge. Upon entry into Drug Court, Ricky was 26 years old, he was living with his Grandmother, was unemployed, and had completed 10th grade, but has not made any attempts to obtain a GED.

Ricky has been in Phase I for 90 days, where he was required to meet with his supervision agent once per week, attend IOP treatment for three hours/three times per week, and attend a support group (e.g. AA/NA) three times per week. To date Ricky has found a part time job, attends his support groups, and has been attending GED classes, however he has been non-compliant with treatment and has been testing positive for cocaine.

Questions

What client data would you review in making a decision about Ricky?

What reports would you generate?

If Ricky came before your drug court today, what would be the team's response to Ricky's behavior and why?

SMART Modules Reviewed	Reports Generated	Decisions

Case Scenario II:

Dahlia Green was admitted to the drug court for the charge of shoplifting and testing positive for cocaine. Dahlia is 30 years old and the mother of Simon, her 6 year old son. At the time of her admission to drug court, Dahlia had been unemployed for six months, and was living with her abusive boyfriend (not Simon's father), who is also a drug user. Simon at the time of Dahlia's admission to drug court lived with his Grandmother.

Dahlia has done very well in drug court and has obtained a part-time job at Salon Voila and has been taking GED classes. She is currently in Phase III of the drug court program and has been testing negative for all drugs for the past 75 days, attending all her treatment sessions and support groups. Dahlia has left her abusive boyfriend, found her own apartment and her son, Simon, is now living with her. ***Note:*** a month ago her boyfriend was released from Jail.

During a random home visit, the probation agent found Dahlia drinking on Saturday afternoon, and upon testing her (breathalyzer), found her BAC was 0.05.

Questions

What client data would you review in making a decision about Dahlia?

What reports would you generate?

If Dahlia came before your drug court today, what would be the team's response to Lauren's behavior and why?

SMART Modules Reviewed	Reports Generated	Decisions

Case Scenario III:

Raymond, entered drug court at the age of 45 for theft of construction tools over $500 and he tested positive for alcohol and methamphetamine. Raymond's job, however, was not full-time employment, but a construction job, where he was a day laborer putting in long hours and getting paid under the table. Raymond was upset by the treatment he received from his boss and stole the tools from a construction site as payment for what he considers mis-treatment. Raymond has a High School diploma, but due to his methamphetamine use, he has many physical problems.

Since participating in drug court, Raymond had a rough start, but lately has been doing well. Initially he was testing positive for methamphetamine, and although he was attending his individual counseling sessions, he missed all group sessions during the first month he was in drug court. He states that he did not go to group sessions because his was afraid people would judge his physical appearance. Raymond's teeth are rotting and since he stopped using methamphetamine, he is experiencing a tremendous amount of back pain that inhibits normal movement.

In the last 60 days, he has obtained a legitimate part-time job (about 30 hours per week) as a shift manager at Hardware Depot making $11 per hour, attended his individual and group counseling sessions, and attended his support groups. Raymond has not tested positive, and only failed to appear for drug testing once 45 days ago. The drug court coordinator is recommending that Raymond be promoted from Phase I to Phase II and that the team search for resources to assist in replacing his teeth, as well as chiropractic services.

Questions

What client data would you review in making a decision about Raymond?

What reports would you generate?

If Raymond came before your drug court today, what would be the team's response to Raymond's behavior and why?

SMART Modules Reviewed	Reports Generated	Decisions

Appendix B Frequently Asked Questions

(Forthcoming)

Appendix C
Data Dictionary

(Forthcoming)