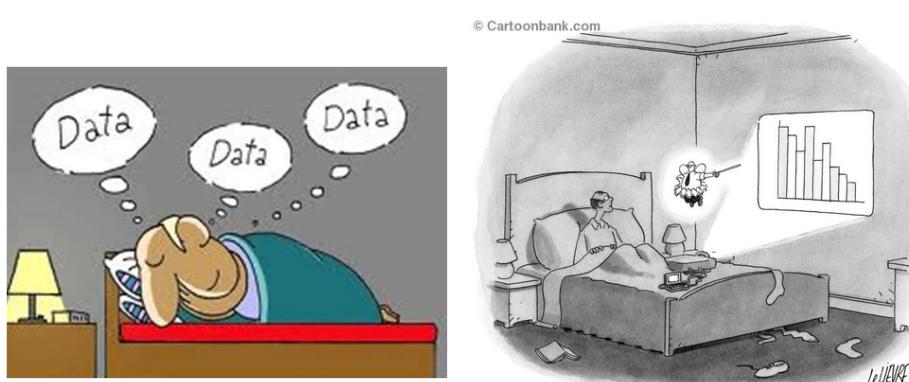


Action Research: Data Collection and Evaluation Strategies for Healing to Wellness Courts

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FOR
COURT
INNOVATION

Aaron Arnold
Director, Tribal Justice Exchange
Center for Court Innovation

**“Aaron, can you do a
presentation on data?”**



The Night Before the Big Meeting Frank Receives a Visit from the PowerPoint Fairy.

Major Themes

Data helps you improve your HTWC.

Data collection and analysis should be continuous.

You don't need to be an expert—the entire HTWC team should be involved.

Data helps generate support from tribal leaders, community, and grant funders.

3

What is Data?

Factual information

- Something that can be observed/measured
- Does not require additional analysis

Can be quantitative...

- # of HTWC participants
- # of positive drug tests
- # of days spent in jail

...or qualitative

- types of incentives and sanctions used
- type of treatment ordered
- employment history

Can be analyzed to draw conclusions

- Are we serving our target population?
- Are people getting into treatment quickly?
- Do we need to provide other services?



4

Why Collect Data?

Key Component #8

- Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.
 - Improve the HTWC process
 - Oversee participant progress
 - Inform funders



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5

Ok, So How Do We Do It?

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"We have lots of information technology. We just don't have any information."

6

We Do It With...

Action Research

Provides immediate and useful feedback about everyday program operations and performance

Evaluates not just whether a HTWC is working, but how it's working, why it's working, for whom it's working, and how it can improve

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7

Action Research

Action Research Questions:

Is the HTWC meeting its volume projections?

What is the profile of HTWC participants?

What is the course of treatment and recovery?

What are the core outcomes of our HTWC?

Which participants succeed?

How can this information be used to improve our HTWC?

8

Developing an Action Research Plan

1. Identify program goals

- Why was your HTWC established? What did it set out to do in the first place?
- Examples of program goals:
 - Reduce recidivism
 - Rehabilitate addicted offenders
 - Process cases more efficiently
 - Make courts more therapeutic/less punitive

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9

Developing an Action Research Plan

2. Identify program objectives

- More specific than goals (how will goals be achieved?)
- Follow the SMART approach
 - Specific
 - Measurable
 - Achievable
 - Results-oriented
 - Time-bound

Examples of program objectives:

- Enroll 25 new participants per year
- Move cases from arrest to HTWC enrollment within one week
- Achieve a 50 percent graduation rate
- Reduce recidivism by 20 percent compared with regular case processing

10

Developing an Action Research Plan

3. Plan to measure the objectives

- What data is needed to measure the objectives?
 - See handout for examples
- Who has the data we need?
- How will this data be collected and by whom?
- Who is responsible for which data reporting tasks?
- How often should reports be updated?

11

Developing an Action Research Plan

4. Other questions of interest

- What other information would be helpful to know about the HTWC that may not fall neatly under the objectives?
- What data is needed to answer these other questions?
- Examples of other questions:
 - Do certain categories of participants have special needs?
 - How long do participants take to reach key milestones?
 - Which sanctions and rewards are used and how often?

12

Developing an Action Research Plan

5. Make changes

- Brainstorm examples of practices or policies that you might rethink depending on the results of action research?
- Examples of research leading to changes:
 - Special services for female clients
 - English-as-a-Second Language program
 - Adjusting initial screening procedures
 - Reallocation of staff time/duties

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13

Data Collection 101

Distinguish participants from non-participants

- Acceptance rate
- Reasons for non-entry in HTWC
- Number of people actually served
- Basis for most other data analysis (e.g., retention rate, graduation rate, recidivism)

14

Data Collection 101

Track current program status of all participants

- Open (still active in program)
- Warranted (absconded/temporarily disappeared)
- Graduated (successfully completed the program)
- Failed (dropped out or was terminated from program)
- Incomplete

15

Data Collection 101

Record key dates

- Arrest date/probation violation date
- Intake date
- Participation date (or ineligibility date)
- Exit date
- Warrant dates

16

Key Performance Measures

Volume

- Is our HTWC screening and enrolling enough participants?
- If not, diagnose the reasons why:
 - Low referrals (arrests are down, judges not sending people, lack of formal referrals procedures)
 - Low acceptance rate (defendant refusals, ineligibility)

17

Key Performance Measures

Initial case processing time

- Immediacy is critically important
- Goal should be to get participants into treatment as quickly as possible
- Minimize early failure (e.g., create “pre-placement” groups while participants wait for treatment beds)

18

Key Performance Measures

Retention and graduation rates

- Longer retention in treatment leads to less long-term drug use and criminal re-offending
- Cheap and easy indicator of program success
- Aim to retain participants for at least 12 months
- National average is around 60% one-year retention

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19

Key Performance Measures

Time to graduation

- Can indicate whether the HTWC's graduation requirement are too easy or too hard
- National study found that graduates spend about 15 months in the program

20

Key Performance Measures

Participant profile

- Demographics, drug use, criminal history, co-occurring disorders
- Not really a “performance” indicator, but very useful
 - Identify need for additional services
 - Compare with other HTWCs
 - Determine whether participants match target population

21

Key Performance Measures

Other questions

- How common are relapses and other types of noncompliance?
- How frequently are participants sanctioned and what kinds of sanctions are most often imposed?
- Are certain categories of participants more likely to fail?
- Are there critical warning signs of failure?

22

Use of Surveys

Action research isn't just about "hard" data.

- Survey participants
 - Feedback about treatment programs
 - Understanding consequences of graduation or failure
 - Meeting civil legal needs
- Survey case managers
 - Need for additional services
 - Quality of existing services

23

Whew! Glad That's Done.

But not so fast...let's talk about technology.

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"We back up our data on sticky notes because
sticky notes never crash."

© Cartoonbank.com



"And this is our department of experimental accounting."

24

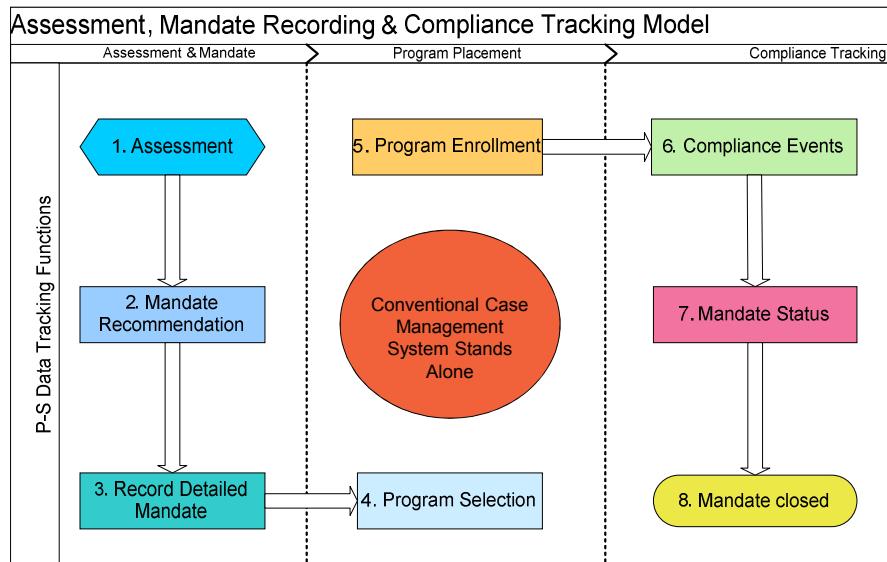
Goals of Data Management

Data Management Goals

Enhance case processing Make better-informed decisions Improve accountability Promote collaboration Make improvements Generate support for the HTWC

25

Enhance Case Processing



Enhance Case Processing

Step 1: Assessment Interview: Substance Abuse/Treatment History

The screenshot shows a Windows Internet Explorer window titled 'Interview - Windows Internet Explorer'. The main content area is titled 'Alcohol and Other Drug Use'. On the left, there is a vertical menu with links like Client Info, Living Arrangements, Education, Employment, Financial Support, Health, Mental Health, AOD Use, Current Arrest, Criminal Court, Family Court, Services, and CJA Stamp. At the top right, there is a 'Print' button. The main content area contains several questions about substance use and treatment history, with 'Yes' or 'No' responses. For example:

- Have you ever used alcohol? Yes
- Have you ever used drugs? Yes
- Do you think you need substance abuse treatment? Yes
- Have you ever completed detox? No
- Do you think that you have a problem with drugs or alcohol? Yes
- Have you ever entered treatment for substance abuse? Yes
- If yes, how many times have you entered treatment for drugs? 1
- If yes, how many times have you entered treatment for alcohol? 0
- If yes, are you currently in a treatment program? No
- If no, what was the most recent program you attended? SOUTH BROOKLYN
- If no, when did you attend this program? DK 3RD AVE outpatient
- If no, what kind of program was it? Outpatient
- Are you willing to enter a treatment program as soon as possible? No

At the bottom right of the window, there are buttons for Local intranet, Print, and 100% zoom.

Screen Shot: New York State Justice Center Application (JCA) (web-based example)

Enhance Case Processing

Step 1: Assessment Interview: Mental Health History

The screenshot shows a Microsoft Access form titled 'Mental Health History'. It includes fields for Lastname, Middle Initial, and Firstname. A navigation bar at the top has tabs for Personal, Cases, Educational, Employment, Legal, Medical, Mental Health, AOD, Pre-Link, Provider, Notes, Report, and Other. The 'Mental Health' tab is selected. The form contains several questions and dropdown menus:

- Have you ever have a Mental Health Evaluation: YES
- Mental Health Diagnosis: Depression
- Have you ever been Hospitalized for Mental Health: NO If Yes, for how long?: (Average length of stay if more than once)
- Date of Last Mental Health Hospitalization: [empty field]
- Are you currently receiving Mental Health Counseling: YES If so, Mental Health Agency: [dropdown menu] Agency Phone #: [empty field]
- Psychotropic Medications: Seroquel (Quetiapine)
- Have you ever tried to harm yourself or others: Yes No Do you currently have any plan or ideations of harming yourself or others: Yes No
- Lethality Notes: [large text area]
- Have you ever been physically, mentally or sexually abused?: NO Sexually Physically Mentally

Screen Shot: Buffalo, New York Drug Court MIS (MS Access example)

Informed Decision-Making

Step 1: Assessment Interview: LSI-R Criminal History

LSI-R assessment

Criminal History

Alcohol/Drug Problems | Emotional Personal Problems | Attitudes/Orientation | Score |

Criminal History | Education/Employment | Financial | Family/Marital | Accommodation | Leisure Recreation | Companions |

Criminal History

Domain score:

1. Any prior adult convictions? No Yes
2. Two or more prior adult convictions? No Yes
3. Three or more prior adult convictions? No Yes
4. Three or more present offenses? No Yes
5. Arrested under age 16? No Yes
6. Ever incarcerated upon conviction? No Yes
7. Escape history from a correctional facility? No Yes
8. Ever punished for institutional misconduct? No Yes
9. Charge laid or probation/parole suspended during prior community supervision? No Yes
10. Official record of assault/violence? No Yes

Close | Save |

Screen Shot: LSI-R Standardized Assessment Interview in New York State Universal Treatment Application (UTA)

Enhance Case Processing

Steps 2 and 3: Recording Court Mandate Details

Court/Project & Obligations		Programs & Compliance	Weekly Schedule	Complete History
Client:	GEORGE BROOKLYN, NY		Case Manager:	
Open new Court or Project participation		JINetwork st		
Court or Project	Dkt/Case Number & Part	Status	Note	Opened
Criminal Court		0	Open/Warranted	10/23/2006
				New obligation
Status	Obligation	Opened	Service/Action	Description
0	(M)	10/23/2006	Outpatient drug tx	GOAL 6 months

Screen Shot: New York State Justice Center Application (JCA)

Litigant Accountability

Step 6: Litigant Compliance: Reviewing Drug Test History

Screen Shot: New York State Universal Treatment Application (UTA)

Promoting Collaboration

Treatment Provider Enters Drug Test Results via Web MIS

Screen Shot: New York State Justice Center Application (JCA)

Litigant Accountability

Comprehensive Progress Report

Drug Court Progress Report

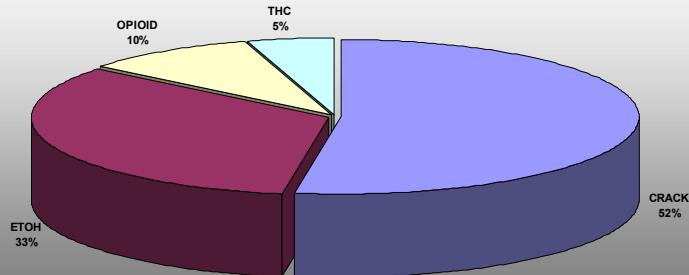
Lastname: DOE	Firstname: JOHN	Middle Initial: F
NAME: JOHN F DOE		
Docket: 96F6629		
Contract Date: 8/20/1996		
Primary Drug: CRACK		
Treatment Provider:		
1:1 Counseling: 1 <input checked="" type="checkbox"/> WEEKLY <input type="checkbox"/> Date Attendance Toxicology 3/3/2003 N <input checked="" type="checkbox"/> PENDIN <input type="checkbox"/> 2/25/2003 Y <input checked="" type="checkbox"/> POS <input checked="" type="checkbox"/> 10/29/2002 Y <input checked="" type="checkbox"/> NEG <input type="checkbox"/> 10/15/2002 Y <input checked="" type="checkbox"/> NEG <input type="checkbox"/> 9/30/2002 N <input checked="" type="checkbox"/> POS <input type="checkbox"/> 9/21/2002 Y <input checked="" type="checkbox"/> N/A <input type="checkbox"/> 9/10/2002 Y <input checked="" type="checkbox"/> NEG <input type="checkbox"/> 8/30/2002 N <input checked="" type="checkbox"/> N/A <input type="checkbox"/>		
Group Counseling: 5 <input checked="" type="checkbox"/> WEEKLY <input type="checkbox"/> Date Attendance Toxicology 3/5/2003 N <input checked="" type="checkbox"/> <input type="checkbox"/> 3/4/2003 Y <input checked="" type="checkbox"/> N/A <input checked="" type="checkbox"/> 3/3/2003 Y <input checked="" type="checkbox"/> NEG <input checked="" type="checkbox"/> 2/28/2003 N <input checked="" type="checkbox"/> <input type="checkbox"/> 2/27/2003 Y <input checked="" type="checkbox"/> N/A <input checked="" type="checkbox"/> 2/26/2003 Y <input checked="" type="checkbox"/> N/A <input checked="" type="checkbox"/> 9/1/2003 <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>		
Record: [14] [4] [1] [2] [3] [4] [5] [6] [7] [8] [9] [10] of 10 Record: [14] [4] [1] [2] [3] [4] [5] [6] [7] [8] [9] [10] of 6		
AA/NAA Meetings: <input checked="" type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A Frequency: 3 X WEEK <input type="checkbox"/> G.E.D.: <input checked="" type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A Frequency: 2 X WEEK <input type="checkbox"/> Vocational Session: <input type="checkbox"/> Y <input checked="" type="checkbox"/> N <input type="checkbox"/> N/A Frequency: <input type="checkbox"/> Mental Health: <input checked="" type="checkbox"/> Y <input type="checkbox"/> N <input type="checkbox"/> N/A Frequency: 1 X MONTH <input type="checkbox"/> Family Counseling: <input type="checkbox"/> Y <input type="checkbox"/> N <input checked="" type="checkbox"/> N/A Frequency: <input type="checkbox"/>		
Significant Client Information: THE DEFENDANT COMPLETED PHASE II OF TREATMENT. HE STARTED ON "RELAPSE PREVENTION" GROUP ON 3/3/2003. HE SHARES WITH US THE MISTAKES HE DID THAT LED HIM TO A RELAPSE. HE CANCELLED GROUP SESSION ON DUE TO BEING OVER WITH A ASTHMA ATTACK, HE WAS INSTRUCTED TO		
Record: [14] [4] [1] [2] [3] [4] [5] [6] [7] [8] [9] [10] of 13		

Screen Shot: Buffalo, New York Drug Court MIS (MS Access)

Tracking Results

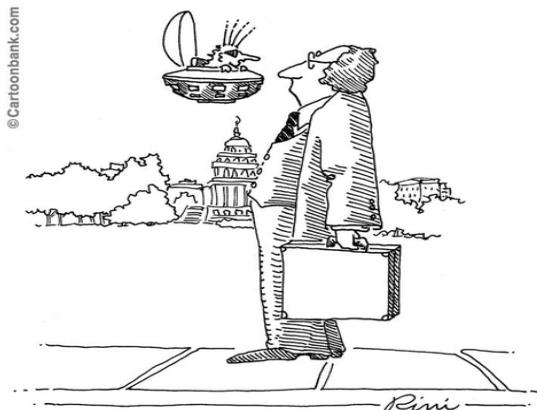
Front-End Reporting Tools for Management, Grant Reporting,
and Long-Term Evaluation Needs

Primary Drug



Screen Shot: Buffalo, New York Drug Court MIS (MS Access)

Technical Considerations



"Forget your leader! Where's your
information systems manager?"

35

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36

Training and Technical Assistance

Center for Court Innovation

www.courtinnovation.org

Aaron Arnold

Director, Tribal Justice Exchange

Center for Court Innovation

Phone: (315) 266-4331

Email: arnolda@courtinnovation.org

37