

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

CENTER
FOR
COURT
INNOVATION

Aaron Arnold
Director, Tribal Justice Exchange
Center for Court Innovation

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



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*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.

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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?



"Oh no. More data!"

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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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Ok, So How Do We Do It?

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

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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

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?

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

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

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?

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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?

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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

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)

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

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Data Collection 101

Record key dates

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

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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)

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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)

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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

Key Performance Measures

Time to graduation

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

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

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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?

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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

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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."

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"And this is our department of experimental accounting."

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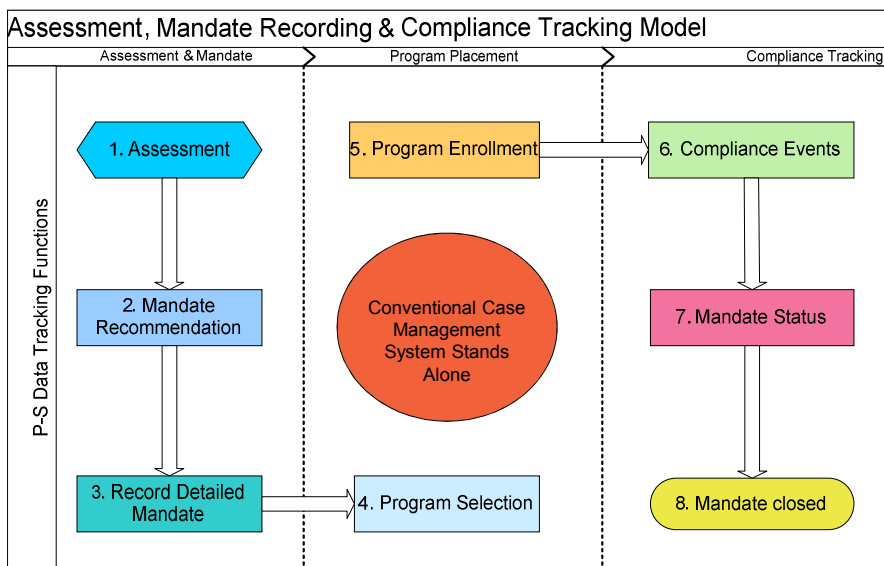
Goals of Data Management

Data Management Goals



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Enhance Case Processing



Enhance Case Processing

Step 1: Assessment Interview: Substance Abuse/Treatment History

You are working with: SANCHEZ, A
InterviewID: 95079

Alcohol and Other Drug Use

Have you ever used alcohol?	No
Have you ever used drugs?	Yes
Do you think you need substance abuse treatment?	Yes
Have you ever completed detox?	Do not know
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
If no, what kind of program was it?	outpatient
Are you willing to enter a treatment program as soon as possible?	No

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

Enhance Case Processing

Step 1: Assessment Interview: Mental Health History

Lastname Middle Initial Firstname

Personal Cases Educational Employment Legal Medical **Mental Health** AOD Pre-Link Provider Notes Report Other

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:

Are you currently receiving Mental Health Counseling YES If so, Mental Health Agency:

Agency Phone #:

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:

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

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** Case Manager:
 BROOKLYN, NY JINetwork st

[Open new Court or Project participation](#)

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	Details
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

Court Dates | Compliance | Drug Tests | Treatment Programs | Social Services | Onsite Services

Compliance Summary

Date	Drug Test	Attendance				
		Court	Detox	Treatment	Jail	Case Mgmt
3/2/2010		●				
3/1/2010	▲					
2/22/2010				●		
2/15/2010	▲			●		
2/8/2010	▲			●		
2/2/2010		●				
2/1/2010	▲			●		

Court

Program

Program:

Attendance: Attended

Modality:

Drug Test Results

	Pos	Neg	N/A	Not Collected:
THC (marijuana):	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="text"/>
Heroin (opiates):	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Cocaine:	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="text"/>
Benzodiazepine:	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Comments: <input style="width: 100%; height: 40px;" type="text"/>
PCP (phencyclidine):	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Amphetamine:	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Alcohol:	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Methadone:	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Barbiturates:	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Onsite: <input type="text" value="Yes"/>
Methamphetamine:	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	
Prescription Meds:	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	

DTR Reports | Edit Case | Treatment Plan | Case Notes | Save | Print | Close

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

Promoting Collaboration

Treatment Provider Enters Drug Test Results via Web MIS

* Date recorded:

* In compliance: Yes No N/A

Note (optional):

Private clinic note (optional):

Recorded by: Modified by:

Add another compliance record for same client/program.

Drug test results (optional):

	Neg	Pos	N/A	
Alcohol	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	Onsite testing: <input type="text" value="Yes"/>
Amphetamine	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	Apparatus: <input type="text" value="Cup"/>
Barbiturates	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	If specimen not collected, why? <input type="text" value="N/A"/>
Benzod	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Cocaine	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Heroin	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Methadone	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Methamphetamine	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
PCP	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
THC	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	

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

Litigant Accountability

Comprehensive Progress Report

Drug Court Progress Report

Lastname: Firstname: Middle Initial:

NAME: **JOHN F DOE** Docket: **96E6629**
 Contract Date: **8/20/1996** RCD: **8/20/1996**
 Primary Drug: **CRACK** Secondary Drug: **OPIOID**
 Treatment Provider: Location:

1:1 Counseling: **1 WEEKLY** Group Counseling: **5 WEEKLY**

Date	Attendance	Toxicology	Date	Attendance	Toxicology
3/2/2003	N	PENDIN	3/5/2003	N	
2/25/2003	Y	POS	3/4/2003	Y	N/A
10/29/2002	Y	NEG	3/3/2003	Y	NEG
10/15/2002	Y	NEG	2/28/2003	N	
9/30/2002	N	POS	2/27/2003	Y	N/A
9/21/2002	Y	N/A	2/26/2003	Y	N/A
9/10/2002	Y	NEG			
8/30/2002	N	N/A			

Record: [14] of 10 Record: [14] of 6

AA/NA Meetings: Y N N/A Frequency: 3 X WEEK
 G.E.D. Y N N/A Frequency: 2 X WEEK
 Vocational Session: Y N N/A Frequency: _____
 Mental Health: Y N N/A Frequency: 1 X MONTH
 Family Counseling: Y N N/A Frequency: _____

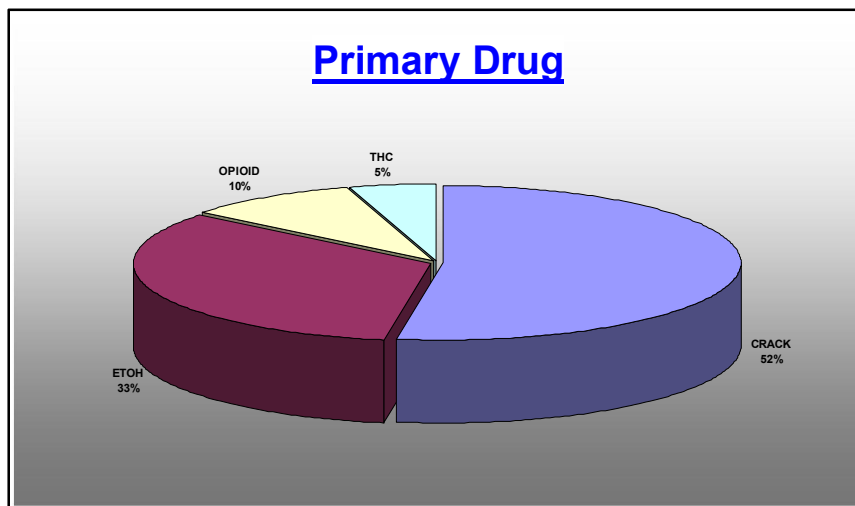
Significant Client Information:
 THE DEFENDANT COMPLETED PHASE II OF TREATMENT. HE STARTED ON "RELAPSE PREVENTION" ROUP ON 3/3/03. HE SHARES WITH THE GROUP THE MISTAKES HE DID THAT LED HIM TO A RELAPSE. HE CANCELLED GROUP SESSION ON DUE TO BEING ON ER WITH A ASTHMA ATTACK, HE WAS INSTRUCTED TO

Record: [14] of 13

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

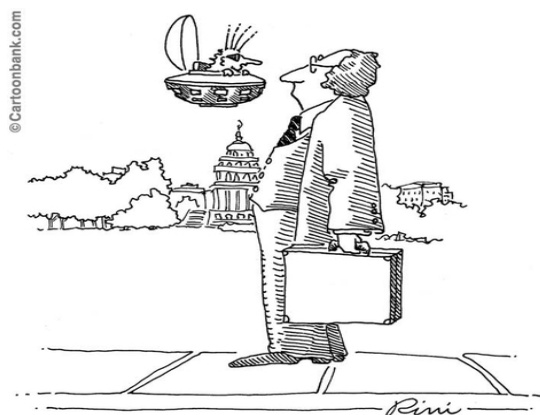
Tracking Results

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



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

Technical Considerations



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

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Major Themes

Data helps you improve your HTWC.

Data collection and analysis should be continuous.

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

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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