Evaluating the Technical Needs of Montana’s Problem-Solving Courts

Montana’s Drug Courts
Statewide Management Information System

Lisa Mader – March 2016
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Part I: Introduction and Purpose

In January 2015 a performance audit of the Montana Drug Courts was published. The Legislative Audit Committee was interested in the administration of Montana’s Drug Courts because of the growing prevalence of drug courts both nationwide and in the state of Montana.

Several of the recommendations outlined in the audit speak to the inevitability of a statewide Management Information System (MIS) for Drug Courts. This report intends to address Recommendation #5 that the Montana Supreme Court strengthen its drug court case management system by: a) prioritization of securing resources to obtain a case management system for the district-level drug courts that currently rely on paper records; b) developing a strategic plan to implement a drug court specific, integrated web-based case management system for district court and courts of limited jurisdiction drug courts; and c) assessing the possibility of integrating drug court case management needs into the FullCourt system.

Further, additional audit recommendations will be addressed in the following report: a) ensuring drug courts comply with statutory requirements that prohibit drug court participation by individuals convicted of violent offenses; b) ensuring that drug courts comply with statutory provisions for assessing drug court participant fees; c) ensuring individual drug court case files contain documentation to support consideration of ability to pay and indigency decisions; d) implementing nationally recognized standards for drug courts that require a comprehensive system of monitoring and evaluation to ensure achievement of program goals and objectives and gauge program effectiveness.

A Drug Court MIS Committee was formed and tasked with defining the capabilities and data elements needed for a local and statewide drug court management information system, reviewing existing options, potential costs and risks and providing case management recommendations to the Office of the Court Administrator. This paper will attempt to outline several viable options for securing a statewide Drug Court Management Information System in Montana.

NOTE: This paper is written after considerable research of management information system development standards and considerations, other states efforts in development of statewide drug court management information systems and one meeting with the Drug Court MIS Committee.

This paper is for discussion purposes only and is not intended to be a comprehensive functional specification. Considerably more collaboration will be necessary to thoroughly detail Montana’s functional business requirements, conceptual framework requirements and specific data element requirements in an effort to make valuable recommendations.

Drug Court MIS Committee Members
- District Court Judge Mary Jane Knisely, 13th Judicial District
- District Court Judge Ingrid Gustafson, 13th Judicial District
- District Court Judge Michael Hayworth, 16th Judicial District
- Justice Court Judge Audrey Barger, Hill County Justice Court
- Steve Ette, Gallatin County Drug Court Coordinator
- Layla Coffman, 1st Judicial District Drug Court Coordinator
- Jeff Kushner, Statewide Drug Court Coordinator
- Beth McLaughlin, Supreme Court Administrator
a. Drug Courts in Montana

Montana’s first drug court began operating in Missoula in 1996. Per the legislative audit there are now 31 drug courts operating statewide (including 5 tribal courts) at both the district court level and in courts of limited jurisdiction. Montana’s Tribal Courts also operate an additional five drug courts. Court officials operate a number of different drug or problem-solving courts within the state including:

1. **Adult Drug Courts**: Provide an alternative to traditional criminal justice prosecution for nonviolent drug-related offenses. These courts focus on adult criminal cases where crimes are motivated by addiction.

2. **Family Drug Courts**: Work with parents at risk of losing or who have temporarily lost custody of their children due to substance abuse. Individuals in these courts have pending dependency and neglect cases. The goals are to protect children and reunite families by providing substance-abusing parents treatment and access to services.

3. **Co-occurring or Mental Health Court**: A type of problem-solving court that combines judicial supervision with community mental health treatment and other support services. These courts work with individuals with mental illnesses who are in the criminal justice system.

4. **Veteran’s Courts**: A hybrid of drug and mental health courts that use the drug court model to serve veterans struggling with addiction, mental illness and/or co-occurring disorders who have committed crimes.

5. **Juvenile Courts**: Juvenile delinquency cases where crimes are motivated by addiction. Juvenile drug court programs provide judicial and community supervision of juveniles involved in substance abuse.

6. **Driving Under the Influence/Driving While Intoxicated**: Courts that use the drug court model for individuals charged with second or subsequent offense in order to reduce the occurrence of repeat impaired driving. The goal is to keep the public safe from impaired drivers.

An integrated management information system does not currently exist for case management of Montana drug courts. Drug courts use a variety of management information systems, including drug court specific software available from a variety of vendors, custom-deployed software unique to an individual courts, and freeware. The current architecture of these disparate case management systems has each court operating a stand-alone database. Further, some drug courts do not have an electronic case management system and utilize paper-based files.

Because courts use different case management systems, the branch has developed a means of collecting general drug court information and performance metrics. The OCA developed a system called InfoPath that each court utilizes to report drug court participant data centrally. There is no automated integration between the disparate systems and InfoPath and requires that each coordinator manually enter participant information into the central system. Entry of participant information into the InfoPath system is a duplicative effort. This duplicative effort is very time consuming and frustrating for drug court coordinators but allows the OCA the ability to run queries on system data to produce reports such as recidivism rates, number of graduates, number of participants discharged, drug free babies born, etc. The InfoPath system does not have an easy to use ad hoc reporting module therefore the coordinators are unable to glean court specific program or participant information unless directly requested of the Information Technology Division.
b. Need for a Statewide Drug Court MIS

The National Center for State Courts advocates development of statewide drug court case management systems and states that standardized statewide systems can assist in the measurement of drug court performance, a metric which is central to the task of defending and managing drug courts.\(^1\) There is a growing awareness that evaluation is essential and goes hand in hand with data collection and MIS design. In many cases evaluation results can be a compelling argument that garners the support of political decision makers and other key stakeholders and may ensure continued financial and policy backing for the drug court program.\(^2\) A statewide system can provide state administrators and managers the ability to report key metrics and draw conclusions about the efficacy and efficiency of particular programs.

If developed properly, a statewide MIS could provide state administrators and managers the ability to immediately report the numbers of clients being served along with some idea about the services those clients are receiving. Additionally, a well-planned MIS will allow evaluators to determine answers to pressing questions surrounding drug courts like those related to retention, sobriety, and recidivism.

A statewide case management system could additionally achieve several Montana specific goals:

- a. Ensure courts comply with statutory requirements that prohibit drug court participation by individuals convicted of violent offenses.
- b. Ensure courts comply with statutory provisions for assessing drug court participant fees.
- c. Ensure individual drug court case files contain documentation to support consideration of ability to pay and indigency decisions, as well as a person or families eligibility for Medicaid and newly expanded waiver requirements.
- d. Implement a comprehensive system of nationally recognized standards for monitoring and evaluation to ensure achievement of program goals and objectives and gauge program outcomes and effectiveness (e.g., sobriety of participants and/or mental health indicators, retention in the program, and recidivism).
- e. Strengthen the validity of recidivism data collected by the drug courts.
- f. Collects data consistently among all drug courts without duplication of data entry.
- g. Provides customizable data necessary for individual courts (e.g., Type of Court -- Family Court, Veterans Court, DUI Court, etc.)
- h. Compile data about drug testing and frequency, outcomes of drug testing, incentives and sanctions, attendance at community support groups, and other events that occur during the program.
- i. Identify variables that predict program success.
- j. Provide evidence of results for funding purposes.
- k. Help identify problem areas so technical assistance can be delivered to resolve such problems/issues.

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\(^1\) Performance Audit, Administration of Montana’s Drug Courts – January 2015, Page30; A Report to the Montana Legislature, Legislative Audit Division

\(^2\) “Supporting the Drug Court Process: What You Need To Know for Effective Decisionmaking and Program Evaluation” -- February 2003, Page 2; U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance
c. What is Important in a Statewide Management Information System?

There is a surprising magnitude of difference between court case management system requirements (CMS) and drug court management information system requirements. A CMS focuses on managing case flow and clerical operations while a drug court MIS focuses on judicial decision making, with recordkeeping functions as a side benefit. Drug court systems require much more detailed information about the case than a typical court CMS. Evaluation and statistical reporting in a court CMS is a byproduct of operational work, however, in a drug court MIS a tremendous amount of information is captured solely to support the evaluation function\(^3\).

The most important reason to establish a statewide MIS is the contribution it makes to decision-making and administration of the drug court’s day-to-day activities, the ability to collect comprehensive and accurate information about program candidates and participants. Another critical element is the ability to enter (one time) and transmit information in a timely manner so that it is available to those who have an operational interest and those are responsible for reacting to it.

Although screening and assessment eliminate prospective participants who fail to meet eligibility criteria or who are faced with program capacity constraints, it is important that the MIS capture data on these individuals for evaluation purposes. Information collected and retained early in the process may benefit the treatment case manager. Even after graduation, initial information may be of value. For example, the identity and telephone numbers of relatives, collected through the pretrial services recommendation interviews, if recorded in the system may be helpful later when investigating issues such as post-graduation relapse rates, recidivism, or lifestyle changes.\(^4\)

- **Important Aspects of Software Development for Drug Courts**
  - Can and should simultaneously make the users more efficient and effective;
  - Should improve management and employee supervision capabilities;
  - Provide data that is accurate, reliable and useful for presentation to stakeholders and policy makers, as well as evaluators; and
  - Should promote constant use from professionals working in the field. Serving as a one-stop client management tool will have several causes:
    - The quality of data that is entered into the system will be high and all users will work to ensure the accuracy of information in the system as it becomes part of their daily activities;
    - Information can be shared more quickly than through the old paper-driven models, thereby improving drug court team responses and client accountability;
    - Data in the system should be up-to-date and immediately accessible;
    - Federal and state funding agencies should be able to get quick answer to questions about drug court activity; and
    - Program management should improve as coordinators can track client progress and employee activity.
  - Should promote standardization, not standardization requiring all courts look alike but rather the creation of standard definitions for events and activities for all courts.
  - Should promote performance measurements that allow agencies to determine the extent to which they are meeting their goals and creating positive outputs or outcomes. There are three primary

\(^3\) “Supporting the Drug Court Process: What You Need To Know for Effective Decisionmaking and Program Evaluation” -- February 2003, Page 13; U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance

\(^4\) “Supporting the Drug Court Process: What You Need To Know for Effective Decisionmaking and Program Evaluation” -- February 2003, Page 11; U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance
areas of performance measurements that should be considered – sobriety of clients, retention in program, and recidivism.

- **Baseline Issues for Consideration:**
  There are some technical and operational baseline issues to consider when developing or implementing a drug court management information system.

- **Conversion** – ability to convert historical data from OCA developed InfoPath system, and to the extent feasible data from the individual MIS systems utilized throughout Montana’s Drug Courts.
- **Access** – the number of users a system will handle at a given time.
- **Security** – the relationship between the user and the server. Security is particularly critical when non-drug court personnel are to have direct access to the data.
- **Functionality** – the level to which the system interacts with the user. If there is regular feedback and relationships between fields are stressed, it is important to have enough operating memory in the system to handle the demand. Given the interrelationships between access, security, and functionality it is important to consult with the developer or software consultant regarding web-based application protocols.
- **Conceptual Framework** – drug court clients follow a trajectory as they move through the program. One way to ensure the completeness of a drug court MIS is to follow the path of a client. This path should be mapped, and a map should focus all of the decision points in the drug court program. The client trajectory could include:
  - Screening
    - Assessment
  - Admission
  - Treatment
    - Sanctions
    - Incentives
  - Other Services
- The path of a drug court client crosses many decision points. All these points make excellent frames of reference for a drug court database as they both require and produce information. For example, the initial screening of a drug court client requires criminal background information as well as information regarding the current charge and the appropriateness of drug or alcohol treatment. This information should be entered and referenced in the software system. When decisions, such as the admission of a client, are recorded, the software should easily date and time stamp the information to monitor the process of clients. It is important the MIS provide a place for recording critical information such as outcomes. The behavioral model associated with drug courts requires that continual logs be kept that reflect the actions of clients in relationship to the actions of the court. Capturing this information will be critical to the ability to link sanctions or incentives to client behaviors and the dates on which all of these activities occur.
• **Reporting** – It is also critical in planning or developing an MIS to include discussions about the system reporting capabilities and reporting requirements. An MIS should provide significant analytical and management capabilities for all members of the drug court team. While the MIS should be developed to produce management reports, it should also be easily programmed to provide ad hoc reports to answer unforeseen questions.

• **Confidentiality**

Drug courts must comply with Federal and State confidentiality laws. A drug court MIS contains information that must be secured and protected. Information about drug court clients includes personal identifiers, medical, drug testing and other highly sensitive information. In developing a management information system, considerable attention must be given to confidentiality, including protocols that limit the release of information to persons explicitly authorized to receive it via high-level security methods. In addition, the system must provide for constant monitoring of unauthorized access either malicious or intentional.

In general, confidentiality in drug court is addressed by two federal statues, the Health Insurance Portability and Accountability Act (HIPAA), and 42 CFR Part 2. Despite conventional wisdom and practice, HIPAA does not apply to the courts, law enforcement, or probation officers. 42 CFR Part 2, however, applies to any program that is directly or indirectly assisted by any department or agency of the United States, which is interpreted to include any state or local court system. HIPAA was enacted to improve health care by establishing standards for the electronic transmission of certain health records. A privacy rule prohibits certain entities from disclosing a patient’s health information without proper consent or authorization. Though HIPAA does not specifically apply to the courts, it does apply to substance abuse treatment providers. Thus, it is recommended that drug courts adhere to the spirit of the law by requiring participants to sign a consent form that meets HIPAA requirements. This consent can be integrated into the participant’s 42 CFR Part 2 consent. 42 CFR applies to substance abuse program records. It protects the identity, diagnosis, prognosis, and treatment records of any participant in a substance abuse program. Essentially, 42 CFR Part 2 prohibits the direct or indirect acknowledgement of one’s substance abuse diagnosis, prognosis, or treatment. Drug test results are not protected unless used for diagnosis or treatment. Therefore, because of the therapeutic use of drug testing results in drug courts, these records should also be considered protected under federal confidentiality laws. ⁶

• **Drug Court Participant Fees and Financial Tracking**

Legislative Audit Recommendation #2: a) ensure courts comply with statutory provisions for assessing drug court participant fees; and b) ensure individual drug court case files contain documentation to support consideration of ability to pay and indigency decisions.

When Montana’s legislature enacted the Drug Offender Accountability and Treatment Act it included a fee provision. Section 46-1-1104(9), MCA, states, “Each drug offender shall contribute to the cost of substance abuse treatment in accordance with 46-1-1112(2).”

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⁶ “Developing and Implementing a Drug Treatment Court in Michigan” – November 2012, Page 20; Michigan Supreme Court State Court Administrative Office
During the audit the issue of participant fees was examined. Each drug court establishes whether participants will be assessed a fee, the amount, frequency of payment, process for collecting, and how fees will be used. Participant fees are used to defray program costs in the following manner:

- Drug testing (64 percent)
- Other (incentives, sanctions, emergency personal needs, etc.) (55 percent)
- Participant incentives (45 percent)
- Chemical dependency treatment (27 percent)
- Chemical dependency assessments (18 percent)
- Wrap-around services/life skills (18 percent)
- Administrative costs (i.e. staff, office supplies, etc.) (9 percent)

Drug courts that assess fees typically require participants to pay fees in full as one of the conditions that must be met in order to graduate. The courts have the ability to exercise considerable influence with participants as they are under court supervision. These fees are court ordered, just like sanctions, but are not considered a sanction.\(^7\)

A statewide Drug Court Management Information System should, at a minimum, include functionality to calculate fees, fines, and restitution, distribute payments automatically, as well as financial reporting on fees that are levied and collected. In addition the following financial tracking functionality should be considered: the ability to record and track fee waivers for indigency, record and track fee waivers given as an incentive, record and track the number of fees that are waived, determine and record Medicaid eligibility, and more.

- **Designing software of this magnitude requires considerable knowledge, experience, and creativity:**
  - Successful interactive software design should include a great deal of communication and review between developers and business users.
  - Drug court software can and should simultaneously make the user more efficient and effective, improve management and employee supervision capabilities and provide data that is accurate, reliable and useful for presentation to stakeholders and policy makers, as well as evaluators.
  - All aspects of drug court operations should be considered. For example, including a risk assessment tool as part of the screening process, or loading an existing assessment tool into the drug court MIS.
    - The MIS should expand to accommodate changes in population size, number of authorized users, program capabilities, amount of accumulated data, and types of data collected. Flexibility to modify the system is the foundation for meeting unforeseen requirements that may arise from internal decisions or from reporting mandates imposed by external entities such as central court administrative offices, legislatures, and county/local commissioners.\(^8\)

- **Integration Strategy – Long-Term Goal**
  - An underlying strategy of the most effective drug court MIS follows the trend of electronically linking systems to leverage information available in each system while minimizing repetitive data entry and storage.
  - A drug court MIS is an integrated system much like criminal justice integrated systems, except that criminal justice integration is sequential and drug court integration is concurrent. With criminal

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\(^7\) Performance Audit, Administration of Montana’s Drug Courts – January 2015, Pages 17 and 18; A Report to the Montana Legislature, Legislative Audit Division

\(^8\) “Information: Collection, Storage, and Use for Drug Courts: Developing a Statewide System” – February 2005, Pages 2 and 3; Statewide Technical Assistance Program, National Center for State Courts
justice integration, data can be extracted and passed electronically from system to system as a series of onetime events. In a drug court, everyone actively exchanges information on the participant’s status weekly, rather than passing it along to another agency when internal work is finished. A drug court MIS data exchange is continuous through the life of the case and requires much more sophisticated interfaces between involved agencies than a typical CMS integration.\(^9\)

\(^9\) “Supporting the Drug Court Process: What You Need To Know for Effective Decisionmaking and Program Evaluation” – February 2003, Pages 12 and 13; U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance
d. Methods for Making System Recommendations
The MIS Committee will work in connection with the OCA IT Division, the State Drug Court Coordinator, and the Court Administrator to evaluate this paper and a variety of technology options identified in a later section of this report. The following steps may facilitate decisions to be made.

QUESTIONS:
- Is additional information required of the drug court coordinators with regard to daily business processes, systems being utilized, and data being collected?
- Is additional information required of the drug court coordinators with regard to the case management challenges they currently face?
- Is additional information required with regard to the deficiency of data captured via the InfoPath Forms process?
- What challenges does the Branch face when compiling statistics for legislative purposes, specifically with regard to recidivism rates?

METHODS FOR GATHERING REQUIRED INFORMATION:
- Survey all drug court staff and judges to compile information necessary to answer questions above.
- The committee should consider the shared data elements of a system that would be used by all courts versus individual data needs of the various types of courts.
- The committee should review national guidelines for data collection in problem-solving courts.
- The committee should consider legal issues that affect data entry, particularly confidentiality issues and ex parte issues.
- The committee should consider the need for a database that allows the ability to evaluate each program, both for process and outcome. The committee should determine the primary outcome measures (e.g., sobriety of participant, mental health indicators, retention in the program, recidivism, and/or variables that predict program success).
- The committee should identify existing barriers to data entry, retrieval and analysis.
- The committee should identify each element, source of the element, and persons to enter the data.

TECHNICAL ASSISTANCE
The Drug Court MIS Committee might consider requesting technical assistance through the Center for Court Innovation.

Treatment Court Training and Technical Assistance
The Center for Court Innovation provides training and technical assistance to treatment courts across the United States, including adult drug courts, juvenile drug courts, family treatment courts, DWI/DUI courts, veterans treatment courts, and other models.

- **Strategic Planning** - The Center’s staff of experienced treatment court practitioners facilitates on-site planning workshops and helps courts in the development of strategic plans that ensure fidelity to the model, promote evidence-based practices, build coordinated training strategies, and enhance interagency partnerships. In recent years, the Center has helped Washington, Colorado, and New York develop statewide strategic plans for their drug courts.
- **Evidence-Based Practices** - The Center helps treatment courts successfully implement evidence-based practices like validated risk-need assessments, Medication-Assisted Treatment
(MAT), Moral Reconation Therapy (MRT), and others. In New York, for example, the Center is helping to integrate Medication-Assisted Treatment into drug courts through training and policy reviews.

- **Fidelity Reviews** - To help drug courts measure their fidelity to the model, the Center conducts hands-on assessments that look at intake, assessment, and referral procedures, case planning, compliance monitoring, data collection and evaluation practices, and other key performance areas. The Center also offers targeted training to address areas needing improvement.

- **Innovation** - In addition to promoting evidence-based practices, the Center experiments with new and innovative approaches in treatment courts, including the use of technology to deliver remote treatment and supervision to participants, and using restorative justice practices to help participants repair damaged relationships and build a stronger foundation for long-term recovery.

- **National Drug Court Online Learning System** - The Center operates the National Drug Court Online Learning System (http://drugcourtsonline.org), the leading online training resource for treatment courts. This free website offers training videos, practitioner interviews, virtual tours of treatment courts, and a resource library.

- **On-Site and Remote Assistance** - The Center offers both on-site and remote assistance to treatment courts nationally. Areas of assistance include strategic planning workshops, court assessments, training for staff and partner agencies, implementation of evidence-based practices, conference presentations, document review, research assistance, and much more.

- **For More Information** - Contact Aaron Arnold, director of treatment court programs, at arnolda@courtinnovation.org or 646-386-3242.10

Part II: Current Data Collection in Montana Drug Courts

Of the Montana Drug Court Coordinators surveyed and responses the following data collection processes occur in Montana at present:

- 4 problem solving courts collect and retain participant data via a **paper** process
- 3 problem solving courts collect and retain participant data via a combination **paper/electronic** process
- 10 problem solving courts collect and record participant data via an **electronic** process
  - Of these courts, 8 are utilizing the Advanced Computer Technologies DCCM system (Drug Court Case Management System)
    - All 8 courts are entering data into the system in real-time
    - 4 courts have treatment providers or probation offices entering information into the DCCM system
- All drug court coordinators are expected to subsequently re-enter drug court participant data into the OCA developed InfoPath database for central collection and reporting purposes.

**PAPER PROCESSING COURTS**
- Yellowstone County Family Drug Court
- Hill County DUI/Drug Court – paper
- Custer County Treatment Court – Paper
- Ninth Judicial District Court – Paper

**COMBINATION PAPER/ELECTRONIC PROCESSING COURTS**
- Missoula Co-Occurring Treatment Court
- Missoula Veterans Co-Occurring Treatment
- Missoula Family Drug Treatment Court – Paper/FullCourt docs/InfoPath

**ELECTRONIC PROCESSING COURTS**
- 20th Judicial Adult Drug Court – InfoPath
- Gallatin County Treatment Court – Currently using Buffalo Software but moving to DCCM
- Veterans Treatment Court/Impaired Driving Court (Yellowstone County) – (DCCM)
- 8th Adult Treatment Court – (DCCM)
- 1st Judicial District Adult Treatment Court – (DCCM)
- Butte-Silver Bow Family Drug Court – (DCCM)
- 8th Veterans Treatment Court – (DCCM)
- 13th Judicial District Drug Court – (DCCM)
- Billings Adult Municipal DUI Court – (DCCM)
- Enhanced Treatment Court (Co-Occurring) (Yellowstone County) – (DCCM)
Part III: Proposed Montana Statewide Drug Court MIS

a. Parameters

Part 1B (Need for a Statewide Drug Court MIS) briefly discussed the court’s need for a statewide drug court management information system. The primary interests of a statewide system are consistency in data collection, single point of entry for all data, program management needs, information about events during the programs, individualized data for particular courts, ability to evaluate program processes and outcomes, compliance with statutory requirements, strengthened validity of recidivism data, and implementation of national standards. This introductory concept of a statewide database for Montana minimally addresses some of the issues discovered during research and writing of this paper.

1. Consistency in data collection

The existing programs collect a wide variety of data that is stored in many different locations. The proposed solution would be intended for use by all specialty courts throughout Montana. New programs should be able to utilize the solution with little difficulty although it may be necessary for individual courts to adapt their procedures to accommodate the standardized fields for data definition and entry. As the committee proposes data elements and definitions for the statewide solution it will be important to contemplate building on existing practices to minimize difficulties during transition, in as much as is feasible. Because many data elements and functionalities of the system may be new to the existing programs, a systematic and comprehensive training program that identifies core training components would assist in ensuring that all users learn the new procedures and processes in a uniform manner.

2. Single point of entry for all data

The long-term goal should be a highly integrated statewide, web-based system in which re-entry or duplicative entry would never occur. However, in the short-term it will likely be necessary to manually enter data from other agencies into the system. The single point of entry may not immediately be feasible in the initial phase of the project as each point of integration has not been thoroughly discovered. The long-term plan should contemplate as many points of integration as possible to avoid current duplicative, error prone data entry.

The immediate critical objective should be to focus on a collaborative and comprehensive discussion and documentation process to accurately capture the functional business and data element requirements to secure a system that will allow drug court administrators and judges to manage their programs and participants, perform day-to-day job functions, and evaluate the efficacy and efficiency of each individual program. In gathering functional business and data element requirements it is important to be cognizant of the need to report key metrics as well as to aggregate individual program information into statewide reports. It is this effort that will lay the conceptual framework of the system and will contemplate future goals and efficiencies.

Due to the absence of a specific drug court technology budget each individual drug court was allowed to decide what case management system it wanted to use thereby complicating the idea of integration with agency/stakeholder databases (Departments of Corrections, Public Health and Human Services, Justice, and even trial courts). A long-term goal should be to develop an integration strategy between the statewide Drug Court Management Information System and relative agency repositories thus allowing data from partnering systems to automatically populate portions the drug court’s database, reducing the redundant and error prone data entry.
In addition, it should be considered that participants’ attorneys, probation officers, treatment personnel, and others have limited read-only access to relevant data about the participants and their cases. It could also be considered that agencies and evaluators be granted more direct access to the drug court data in formats that respect the confidentiality provision of each participant and may even be conceivable to grant data entry access to treatment providers, urinalysis vendors and others.

3. Information about events during the program
It is important that the Management Information System capture information regarding events during the program. Without capturing specific data such as number of sober days, it will be difficult for a judge to know when to offer incentives such as coins or certificates. Capturing the number of sober days will also inform a judge when it is appropriate for the program participant to move from one phase to the next. In addition, it may be feasible that the system display a flag as notification that the program participant has met the sober days requirement, thereby notifying the judge that the incentive or phase benchmark has been met. The number of sober days, incentives, and movement between program phases should be a part of the participants’ progress report. Other benchmarks that could be met by recording the number of sober days may be completing steps of a treatment plan or obtaining employment or housing. The system should have the ability to configure the benchmark at the discretion of each individual court as not every court will calculate benchmarks the same.

Staff entering this data could record the data by hand at the hearing and later enter it into the database, or could enter it directly into the database at the time of the hearing. The method used will depend on the preferences and training of the staff for each project.

If staff capture data manually during the hearing and enter the data later, it could be feasible to use a paper hearing record which could include information about substance abuse monitoring results since the most recent hearing, the participant’s employment and housing, cognitive behavioral program status, judge or staff notes, and the next court date. A major focus of the form should be on recording incentives and sanctions. These are considered a critical component of the drug court process, it is necessary to track the data.

4. Individualized data for each program
There will be certain data elements that are best managed via a configuration table in the system. For example, during intake it will be helpful to capture the court name and jurisdiction from which the participant is being referred and what drug or treatment court they are being referred to.

Specialty Court Type – Based on the type of court selected the workflow or participant trajectory may be different and will likely require different data elements.

The Case Initialization Screen would include specialized information for each of the various types of courts – adult drug, family drug, co-occurring or mental health, veterans’, juvenile, or driving under the influence/driving while intoxicated court, that would be commonly captured and stored as a part of the management information system. The variables for these workflows have yet to be thoroughly discussed and vetted by the MIS Committee.

ASSUMPTION – when the variables for the specialty courts are documented, additional information required for specific types of program will be recorded, such as outcomes specific to the court (e.g. return of child(ren) to parents, as an outcome for the family drug court).
5. Process evaluation and outcome measures

This section is intended to address the potential evaluation needs that the court should address in its database design. This section will attempt to cover both process evaluation and outcome evaluation.

Process evaluations look at on-going programs to determine how many participants are enrolled, the point at which the participants leave the program (or are discharged), frequency with which incentives and sanctions are being used in the different program, and other information helpful for program management. The information from process evaluation can also be used for periodic reports to court administration, legislature, funding organizations and other interested groups. Information from process evaluations can additionally be part of an outcome evaluation.

There are several methods of program and outcome evaluations. The MIS committee may find it necessary to evaluate each method and determine which method will be most appropriate for Montana Drug Courts. There is a vast amount of information available for various methods including:

- The National Institute of Justice (NIJ) has developed a logic model for adult drug court programs that court administrators and their partners who want to examine the performance of their drug courts may find useful. The logic model can help clarify the best way to use resources and what long- and short-term outcomes drug court teams should consider measuring.
- Alaska provides documentation of their chosen method in a September 2006 Therapeutic Justice Statewide Database document.
- There is a published 2001 Kentucky Drug Court Evaluation.
- Published 2003 Initial Process and Outcome Evaluation of Drug Courts in Texas.

Outcome measures can be quantitative or qualitative. The most commonly used quantitative measure is recidivism, whether new arrests, new remands to custody, or new convictions. More specialized measures may be days of incarceration or number of days sober. Quantitative measures must be objective measures that any other research would be able to replicate. For quantitative measures, widely used statistical techniques should be applied to the data to show whether differences among groups are statistically different.

Qualitative measures are not subjectively decided, but often are less easily measurable. Examples of commonly used qualitative measures are improvements in the participants’ situations between intake and the end of their participation in the program. Because often the goals of specialty courts include assuring that participants are habilitated or rehabilitated by the end of the program, qualitative measures include improvements in life such as housing, education, employment status, family relationships, and financial responsibility. Other qualitative measures include drug-free babies, and return of children to parents (or other permanent solution for the children).

One measure that many programs would like to use is freedom from substance abuse. While the participant is in the program, regular testing for substance use can assure that this goal is being met. Once out of the program, measurement of substance use is far more difficult. Thus measures like “days to sobriety” may be valid during the program but not reliable after program completion. However, in Montana, this after program measure has been identified as important and desirable. Therefore, the Montana solution should contemplate a mechanism to assist coordinators in following up with participants post-program in an effort to capture data that will allow some level of reportability of this measure.\footnote{Therapeutic Justice Statewide Database – September 2006, Pages 19 through 21; By the Alaska Judicial Council for the Alaska Court System}
Part IV: Proposed Data Elements for Montana Drug Courts

This following discussion of data elements will be a high level discussion and is not intended to encompass a comprehensive, exhaustive list of required elements for Montana’s statewide solution. Rather this section is intended to formulate a conceptual discussion of essential data elements.

**TASK** -- The MIS Committee should continue, through an iterative process, to develop and document a comprehensive and accurate compilation of functional data elements for case management, process evaluation, outcome evaluation, financial tracking, cost benefit and aggregate statistical reporting.

Outside of this report, the OCA will attempt to do a comparison or mapping of data elements captured in the OCA InfoPath forms process to a variety of other potentially viable products the Branch may consider for the statewide Drug Court MIS.

1. Basic variables for program reporting

Most of the following variables are in the court case file and should be transferred to any problem-solving court program. There are elements that may not be kept consistently such as reasons for admission to the program and reasons for departure from the program. This list of data elements permits program staff to make periodic reports about each problem-solving court, and to view data from all for the programs together. Court and program staff would be able to:

- State the number of participants in their program;
- Identify the number of participants of different ages;
- Show the location of the case;
- Show the reasons why participants were in the program (e.g., substance (alcohol or drug) abuse, mental health issues – the list of reasons can be more or less detailed depending on the wishes of those using the database);
- Show how long each participant was in the program, or has been in the program (along with the average time in program for those who left);
- Show the reasons why the participants left the program.

**IDENTIFICATION INFORMATION**

- Name – Last, First, Middle
- Date of Birth – Day, Month, 4-Digit Year
- ID Numbers – Social Security, Driver’s License, State ID #

**COURT AND PROGRAM ADMISSION INFORMATION**

- Court Case Number – All Letters and Digits
- Date of Admission or Non-Admit to Program – Substance Abuse, Mental Health Programs, etc.
- Conviction Date – Date, Month, 4-Digit Year

**COMMENCEMENT, GRADUATION, OPT-OUT, DISCHARGE INFORMATION (end of case information)**

- Date of Program End – Day, Month, 4-Digit Year
- Reason for Program End – Opt-Out, Discharged, Commenced, Graduated, Completed Program, Other
2. Variables specific to therapeutic and problem-solving courts.

The following section will describe variables that are specific to problem-solving courts. The most important information captured and utilized in a problem-solving court’s day to day program management needs are urinalysis results, treatment and other services notes. Other information such as adjunctive medications, cognitive behavioral programs, and program phases are generally not used outside of the drug courts. This information likely would not be in either the court’s usual records or any other agency’s records. This section discusses incentives and sanctions. Finally, this section includes information about the participant’s status at the end of a program, whether the participant left before completion or completed the program, and about post-program recidivism.

a) Adjunctive Medications
Adjunctive medications reduce cravings for alcohol, allowing those using them to focus on establishing new behaviors that will aid sobriety in the long run. The programs that use adjunctive medications typically have them prescribed for a few months. Participants using them are followed by a physician and program staff. The database should include information about participants who use them, as well as fields to capture specific information such as medication prescribed, length of use, and monitoring of medication use.

b) Cognitive Behavior Programs
Some programs use cognitive behavioral programs. The cognitive behavioral program focuses on making participants aware of their thinking patterns related to their addiction(s), and on developing ways of avoiding or responding to situations that could trigger inappropriate behavior. The most commonly used programs are Moral Reconation Therapy or Thinking for a Change. The judges and Drug Courts are interested in knowing whether the programs are being used to determine if a person needs treatment to correct thinking errors (which is the case for most participants) and whether an evidence-based practice is being used to treat the person. Cognitive Behavioral analysis is part of the Montana Drug Court’s peer review process. The database should record use of any cognitive behavioral program utilized, as well as the purpose for which the program is being utilized.

c) Program Phases
Some programs divide work with participants into phases. It is conceivable that not all programs find the phased approach appropriate for the clientele, for example Montana’s Co-Occurring or Mental Health Courts. If a program utilizes phases, the database should note the fact and provide a configuration tool for the benchmarks of each phase.

d) Case Management; Incentives and Sanctions
In the traditional court process, once the defendant has entered a plea (or been convicted at trial) and the judge has imposed sentence, the case is closed. The court may have no further contact with the defendant. In a problem-solving court process, the defendant will usually enter a guilty plea and then is monitored by the court, with the assistance of program staff and team members. Program staff use different means to track events during participation in the programs, for example a Judge’s social file (which never leaves the drug court even after discharge) contains key information that is discussed in staffing meetings (recommendations of the team, confidential treatment information, key medical and mental health information, sanction, therapeutic responses to drug use, incentives provided etc.), as well as the results of what occurs during formal court status hearings. The prosecutor will often keep their own set of notes specifically about what has occurred regarding non-compliance with drug court rules and drug use episodes. Drug court coordinators will keep track of their own responsibilities during and after the court docket when requirements are set by the judge for participants to complete prior to the next court date and when the drug court participant may need assistance from the drug court coordinator.
A key component of the problem-solving court philosophy and operation is built on the premise of prompt and well-defined incentives and sanctions for participants.\textsuperscript{12} It is important to capture and measure how these incentives, therapeutic responses, and sanctions are used in individual courts. The reasons for tracking incentives, therapeutic responses, and sanctions include:

- Monitoring progress in an individual participant’s case;
- Determining the balance in an individual court between incentives used and sanctions imposed, in terms of the overall frequency of use, and the balances between intensity of incentives and intensity of sanctions;
- Evaluating how incentives and sanctions are used in problem-solving courts in general; and
- Determining whether the use of incentives and sanctions is meaningfully associated with success in the programs and with participant characteristics.

The drug court model is premised on a behavioral model. At its roots, the behavioral model focuses on operant conditioning, meaning behavior is a consequence of reinforcements and punishments (Skinner, 1950). For the reinforcements and punishments (i.e., sanctions and incentives) to work, according to traditional behavioral psychology, they must not only occur, but be quick, certain, and appropriate to the precipitating action. Drug courts can and do serve as an ongoing test of this theory. To determine the extent to which particular sanctions or incentives are having an effect on behavior, evaluators must be able to document not only the action of the court, but also the precipitating action of the client and the time period between these two. This type of research can answer questions concerning the appropriateness of a particular sanction or incentive, as well as the timeliness of court intervention.\textsuperscript{13}

A 2005 paper about participants’ views of therapeutic courts emphasized the importance of having incentives and sanctions decided in problem-solving court hearings. Most participants agreed that “seeing others receive praise and sanctions (particularly in the latter) send the message that ‘it could be me.’”\textsuperscript{14} This finding suggests that a database should note the context in which incentives and sanctions were administered.

1) Incentives
Incentives are items or actions, tangible or behavioral, offered to participants to encourage them to follow the program. Behavior that might warrant an incentive could include achieving a specific goal (i.e. finding a job, completing a course of treatment, regaining custody of children); maintaining a course of action (holding a job since the last court hearing, staying sober or having a negative drug/substance test); or taking an initiative (volunteering extra time for a community work service project).

2) Sanctions
Sanctions are actions meant to discourage specific behavior by a participant. The types of behaviors for which sanctions are appropriate must be clear. Behaviors that could warrant sanctions include probation violations, missed treatment or group sessions, any problems with substance abuse testing, and poor reports from treatment providers or other organizations to which the participant is accountable. The document “Local drug Court Research: Navigating Performance Measures and Process Evaluations,”\textsuperscript{15} says that

\textsuperscript{12} "Defining Drug Courts: The Key Components,” Bureau of Justice Assistance – January 1997, Page 23; Key Component #6: “A coordinated strategy governs drug court responses to participant’s compliance” – “Drug courts must reward compliance as well as respond to non-compliance.” Page 27; Key Component #7: “On-going judicial interaction with each drug court participant is essential.” Performance Benchmark #2: “The court applies appropriate incentives and sanctions to match the participant’s treatment progress.”

\textsuperscript{13} "Local Drug Court Research: Navigating Performance Measures and Process Evaluations”, National Drug Court Institute – June 2006, Page 14

\textsuperscript{14} “Seeing Eye to Eye”, Center for Court Innovation – 2005, Page iii

\textsuperscript{15} “Local Drug Court Research: Navigating Performance Measures and Process Evaluations”, National Drug Court Institute – June 2006, Page 6
Behavioral research supports the notion that the magnitude of the sanction or incentive should be proportionally consistent with the precipitating incident, so sanctions and incentives should be measured in relation to client behaviors. Therefore, it is both possible and desirable to create a ratio of behaviors to sanctions or incentives with a goal of four incentives to every one sanction, however it is important to note that research suggests it is just as important to put an emphasis on positive and strength based incentives.

The author notes that the units of services should be defined so that programs can document them. If an increase in frequency of attendance at groups or other considered a sanction, the program would have to have a way to define the increase (i.e. hours, number of sessions). The same principle would apply to other services. Similarly, incentives and sanctions would have to be standardized so that they could be compared across participants in the same program or in different programs.

For each incentive or sanction imposed, the National Drug Court Institute document recommends including the following bits of information in a database: a) the precipitating event; b) the type of sanction or incentive; c) the completion of the sanction; d) who initiated the incentive or imposed the sanction; and e) intensity or severity.

One thing that must be considered in designing data elements to capture information about incentives and sanctions is the multiple reasons for using different actions. For example, increases or decrease in required sessions, monitoring, and similar actions could be viewed as incentives or sanctions, or they could be more neutrally regarded as aspects of the program. The database design and training for data entry staff must distinguish between the two uses.

Appendix 1 – November 2015 Data Elements Discussion (Page 27)
The data elements identified in Appendix 1 were derived from a November 2015 discussion with the Drug Court MIS Committee, are in no particular order, and are not meant to be a full representation of data element requirements or representative of the MIS screen by which the data will be captured.

Appendix 2 – Gallatin County Treatment Court Intake Report (Page 33)
During the November 2015 meeting with the Drug Court MIS Committee it was discussed that the Gallatin County Treatment Court has an extensive intake report which may help identify most, if not all, intake data elements. For this reason, the Gallatin County Treatment Court Intake Report has been included as Appendix 2 of this report.

Appendix 3a & 3b – DOC Pre-Sentence Investigation Questionnaire & Medical Screening Report (3a - Page 40; 3b – Page 55)
During the November 2015 meeting with the Drug Court MIS Committee it was discussed that the pre-sentence investigation report may be a valuable document for participant screening. For that reason the pre-sentence investigation questionnaire and medical screening report are included in this report as Appendix 3a and 3b. Also available to us but not included in this report are the official Department of Corrections Pre-Sentence Investigation form and Post Sentence Investigation forms.

16 “Local Drug Court Research: Navigating Performance Measures and Process Evaluations”, National Drug Court Institute – June 2006, Page 27. The document does not specify what is used to measure the “completion of the sanction.”
Appendix 4 – Workflow Diagrams (Page 57)
The Appendix 4 section is a placeholder for Montana’s problem-solving court workflows. A future task of the Drug Court MIS Committee will be to discuss and document the various workflows for each of the therapeutic court processes.
Part V: MIS Vendor Research / Viable Montana Options

I am including at the end of this report limited amount of information on a variety of leading edge off-the-shelf technology solutions. The information was provided to Montana by the Center for Court Innovation. The information is being offered simply to show that there is a variety of options/programs available. It should be noted that because this information is quite limited, the committee may decide it necessary to put out a Request for Information (RFI) allowing vendors to provide more comprehensive details about their MIS system functionality and basic costs of such systems.

In the following portion of this report I am providing information about four technical solutions that I believe may be the most viable and cost effective options available to Montana Drug Courts. At least two of these options may not require engaging in a full Request for Information/Request for Proposal process. These four options are presented in no particular order, are merely offered in my opinion, and will unquestionably need to be considered and assessed by the MIS Committee.

- **Option A** – Justice Systems, Inc. *(FullCourt Enterprise Diversion Module)*
- **Option B** – Noble Software Group
- **Option C** – Off the Shelf System

Two additional options were considered, New York’s Universal Treatment Application and Kentucky’s Management Information System. While both systems offered the functionality that Montana requires, IT determined that it would not be practical or timely to obtain either code base with the expectation of Montana specific modifications being accomplished within existing OCA resources.

It is also fully possible that the MIS Committee will decide that assessing one of the other variety of products is the best approach to take in which case a Request for Information and Request for Quote would likely be required and ultimately followed by the full Request for Proposal process.

It is important to understand that according to the Bureau of Justice Assistance (BJA) one of the major weaknesses of drug court MIS software development is the lack of support. The best information systems require maintenance work and all software packages require periodic modifications. Reporting requirements change, new laws are implemented, and new approaches may be desired. The expense of continual maintenance and enhancements must be considered for any product detailed below and ultimately chosen as Montana’s drug court system.  

*Several courts have expressed an interest in remaining with a vendor-owned system currently in place in several courts. The committee should have this discussion. However, as a general rule vendor-owned systems are not the most fiscally advantageous as the yearly cost for the system requires a significant investment over time. A purchased or owned system has a one-time-only cost with either a smaller maintenance contract or internal support for maintenance issues. Several vendor-owned products are highlighted in the report.*

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17 “Supporting the Drug Court Process: What You Need To Know for Effective Decisionmaking and Program Evaluation” – February 2003, Pages 15; U.S. Department of Justice, Office of Justice Programs, *Bureau of Justice Assistance*
OPTION A – Justice Systems, Inc. (FullCourt Enterprise Diversion Module)

FullCourt Enterprise allows the opportunity to see at a glance an individual’s case history, warrant history, payment history, and more. FullCourt Enterprise supports Supervision courts by providing for alternative sentencing, program tracking and monitoring, drug testing, check-ins, interviews, and the other tools needed to support drug courts and other problem-solving venues. Within the Supervision module, officers can perform the following functions:

- Track a party’s history within the supervision program, including education, drug use, group affiliations, employment, financial obligations, health, relationships, residence, and more.
- Create, track, and record drug test panels and results.
- Setup monthly calendars for the drug tests required by the supervision program.
- Create and record class rosters and attendance.
- Configure office visit schedules and record results.
- Setup a calendar for supervision officers.
- Define the programs that constitute supervision such as Alcohol Abuse, Anger Management, etc.
- Specify providers that sponsor the various treatment programs.
- Record and track risk assessments and evaluations.
- Review the conditions of probation/supervision ordered by the Judge, and enter additional conditions.
- Record notes regarding contacts with supervised parties and other case events.
- Track information about a supervised party’s performance while under supervision and record information about the termination of supervision.

Nearly 50 standard Supervision specific reports are available. In addition to the standard reports the system has a built-in Ad Hoc Reporting feature that allows the court to create simple reports on demand, and the system is fully integrated with third-party report writing tools (i.e. Crystal Reports). Reports created in third-party report writing tools may be uploaded into the system and generated by any user with report printing permissions.

Cost:
The OCA is currently engaged in a major case management upgrade project from current Version 5 of FullCourt to the next generation FullCourt Enterprise. The FullCourt system is utilized by all trial courts statewide in Montana. The Drug Diversion Module is included in the cost of the FullCourt Enterprise licensing held by the Office of the Court Administration.

While the OCA does not possess licensing for the current version of the Drug Diversion Module, Justice Systems, Inc. has agreed to provide necessary licenses for the V5 module at no additional charge because of the current migration project to FullCourt Enterprise. There would be charges for the services to implement/install and maintenance costs.

The current product would not be enhanced in any way because of the migration to FullCourt Enterprise, however, any courts that are implemented with the V5 module at the time of the major migration would subsequently be included in the conversion process to the Enterprise version.

Pros:
- Knowledge of vendor and application
- Data elements necessary for a diversion participant already available within local database
- Recidivism data more directly available without developing another integration layer from one system to the FullCourt system
- Moving to a centralized single database where case management resides
- Ability to get drug courts using v5 version in a relatively short timeframe
- Cost effective in the absence of a drug court technology budget
- Replication to courts central repository – OCA ability to develop individual court reports or statewide reports
- Possibility of converting InfoPath data into drug diversion module so no data is lost -- TBD
- Ease of integration with agencies via use of Enterprise Services Bus
- May not require engagement in a full RFP process / possibly a Sole Source Justification would be accepted by State Procurement

Cons:
- In the beginning databases would be distributed and ease of access not as seamless or transparent as envisioned
- No enhancements would be made to the current version
- Pilot phase of project been extended into 2017 for the fully web-based application
OPTION B – Noble Software Group

The Office of the Court Administrator has full ownership of the Juvenile Court Assessment & Tracking System (JATS) which was developed by Noble Software group in close partnership with the Youth Court Services Division of the Montana Supreme Court.

Because much of the trajectory that a drug court participant takes is similar to the trajectory of a juvenile tracked through the JCATS system and because the OCA owns the code base of the JCATS application, it is conceivable that the code base could be very easily adapted to accommodate the drug court assessment, tracking, reporting and financial needs.

A brief overview of the Juvenile Court Assessment & Tracking System:

*The Juvenile Court Assessment and Tracking System (JCATS) provides detailed management information to youth court employees and judges. The system allows Districts to share information about youth who move around districts. The system can track, in detail and in the aggregate, information about youth entering the Youth Court system.*

*The JCAT system is used for tracking offense history, restitution, community service, drug testing and all services and placements. JCATS also captures all demographic information on the youth, school history and medical history.*

*There are over 50 custom reports that provide officers valuable information about youth demographics in their district as well as the types of offenses being committed and how each youth that enter the system is handled. The reports provide for the user to select specific time range criteria.*

*Attached to the JCATS system are service and placement query modules that allow users to query any service or placement and pull in information on youths who have received the service or have been placed in a particular facility. It also automatically pulls in the youth’s risk level and tracks whether or not the youth has committed any new offenses since starting the service or being placed.*

*It also has a social history report that pulls in information from all intake screens and produces the beginning of a nice court report.*

*The case closing report for each intake automatically reports performance measures being tracked in the system, i.e., restitution ordered vs. paid, community service ordered vs. completed, time on supervision, recidivism while on supervision, resistance to drugs, school participation.*

**JCATS FUNCTIONALITY:**
- USER/PARTICIPANT MANAGEMENT
- REMINDERS AND ALERTS
- INTAKE
  - Intake Information
  - Offense Listing
  - Conditions of Probation
  - Additional Information
  - School Information
  - Mental Health Information
  - Community Service and Restitution
  - Intake Status
  - Comments
- HEALTH AND MENTAL HEALTH RECORDS
- EDUCATION RECORDS
Costs:
Costs will be incurred for time and material development with Noble Software Group, as well as annual maintenance costs.

It is possible that OCA in-house resources could tackle the modification and development of the existing system to a Drug Court Assessment Tracking System (DCATS).

Pros:
- May not require engagement in a full RFP process / possibly a Sole Source Justification would be accepted by State Procurement

Risks:
- Lack of development expertise
- Possibility of staff turnover
- Loss of historical and development knowledge
- Inability to recruit and hire
- Time to mentor/train, knowledge transfer, reduced productivity
- Ongoing support and enhancement capabilities
OPTION C – Off the Shelf System

Several Montana courts are using an off the shelf subscription based system. The system provides robust capabilities for data entry and reporting. Vendor-owned systems are building specifically for treatment courts and meet the needs of treatment court staff and judges.

Quick Facts – Off the Shelf Systems possess the following elements:
- Entrance Requirements;
- Agreement of Participation;
- Drug Screens;
- Assessment;
- Types of Referrals to the Drug Court;
- Probation Track;
- Diversion Track;
- Descriptions are Provided for Intake Logs
- The Supervision of Participants;
- Program Phases;
- Incentives and Sanctions;
- Termination;
- Aftercare;
- Statistical Reporting.

Pros:
- Built specifically for Drug Courts;
- In place in several courts thus user familiarity with the product;
- Robust reporting

Risks:
- Expense over time significantly higher than building or purchasing system;
- Connectivity to the FullCourt system is lacking;
- Contracting issues around data ownership
Example – Off the Shelf System

Advanced Computer Technologies - Drug Court Case Management System (DCCM)
Representative: Jim Binion (334)262-6882

- The DCCM, is a web-based system, provides key case management tools to drug court professionals to effectively manage treatment, capture historical data, and monitor case information to include drug testing. It provides all the resources needed for court personnel and their team members to do their jobs and provide the court with information needed on a daily basis. DCCM processes individual cases from screening through graduation. Our system enhances the collaboration capability between judicial, treatment and administrative professionals.

- **Screening** - The screening tool includes a set of questions to assist the screener in determining eligibility for potential clients. DCCM informs the screener of the candidate’s risk factor. This information assists the screener in determining whether it is in the community’s and justice’s best interest to provide the defendant with treatment or alternative sentencing as opposed to incarceration.

- **Case File Management** - The case file management tool displays individual client information including his/her case number, demographics, treatment, community service, phase, case manager, judge, drug testing, ancillary services, incentives/sanctions and other detailed client level information.

- **Report Preparation** - This tool generates reports based on the data entered, such as treatment progress and drug test reports. Each of the reports in this system has multiple filters that can be applied dynamically. The Staffing report can be generated for the team electronically and can also provide a docket. All of the reports can be exported into an Excel spreadsheet.

- **Drug Court Analysis** – This analytics tool allows case managers, court administrators, and evaluators to interact with the data collected in DCCM. It allows each court to generate ad hoc reports with an unlimited number of populations. It provides the ability to ask various questions enabling them to see important areas where the drug court is successful or areas where improvement is needed. It gives evaluators the ability to import critical data elements established by NADCP and NDCI for SPSS enabled statistics.

- **Drug Testing Integration** – The DCCM system is integrated with a drug testing system called Parasalsis that allows for integration of drug testing results and support for randomization of testing schedules.

- The Drug Court Case Management System is used in 500 court programs and supports multiple types of courts, including Adult Drug Courts, DUI Courts, Family Dependency Courts, Juvenile Drug Courts, Mental Health Courts, Sure and Swift Sanction (HOPE), Tribal Courts and Veterans Courts.

- **Estimate of costs:**
  - $17,500 for state specific modifications, one time charge
  - $10,000 each for first three programs annually
  - $5,000 each for ten programs annually
  - $2,500 each for initial on-site training
Appendix 1

Drug Courts Management Information System
November 2015 - Data Elements Discussion

DRUG COURT MIS COMMITTEE DISCUSSIONS

- Financial Management Section
  - Determination of indigency – fee waivers if indigent
  - Fee waivers if someone does well in program
  - How many fees is the participant required to pay? How many of those fees are paid, have any fees been waived (example community service in lieu of)
  - Eligibility for Medicaid (ensure participant has been referred to DPHHS for health coverage and that the participant has secured the necessary coverage).
  - Tracking mandatory drug court fees (restitution fines and fees) – interest in making certain restitution is paid
  - Record of receipts for payment of restitution
  - Financial obligations met when set for graduation
  - Ancillary budgeting – income vs debt, restitution, fines/fee updates as a part of treatment plan
  - Regular payment cycles – is a participant current on restitution
  - Child Support – Does the participant owe Child Support? Is the participant current on Child Support payments?
  - Deposits, system generation of deposits, basic general ledger capabilities

- Alert System – Examples: alerts from treatment providers or urinalysis vendors of events such as positive drug testing results; email notifications from team member to team member; reminder notifications on a future date events or activities; or pre-defined automatic system generated alerts.

- Problem-Solving Court Type – family drug court, juvenile drug court, co-occurring or mental health court, etc.

- Ability to track the number of times a participant has gone through an individual program

- Whether an individual participated in a treatment court in another location

- Eligibility
  - Jurisdiction – sentence jurisdiction, regional access jurisdiction
  - Diagnosis of chemical dependency
  - High risk, high need
  - Willingness
  - Mental Health Component
  - If not eligible – reasons why

- Risk Assessment Tool
• Identifying criminal justice information – what court the participant is coming from, what treatment/drug court

• Capturing information to identify when a participant is eligible to move from one phase to another (benchmarks)

• Clean Days reports, money owing reports

• Recovery Management Check-Ins – Follow-up Capabilities with participants no longer in a program

CENTER FOR COURT INNOVATION
Developing a Statewide Drug Court Data Tracking System Data Elements
November 2015 Discussion

Application Elements
• Participant Profile at Intake
• Criminal Justice Information per Participant
• Tracking Drug Court Status
  • Distinguishing Participants
  • Tracking Current Program Status of All Participants
  • Recording Key Dates of Participation
• Drug Testing
• Infractions, Sanctions and Incentives
• Treatment Linkages
• Ancillary Services
• Court Appearances
• Achievements
• Exit Status
• Recidivism
• Case Management
• Absconding/Warrants
• Monitoring Performance Indicators –
  • Is the drug court working? How? Why? And for whom?
    • Is the Court meeting its volume projections?
    • What is the profile of the participant?
    • Course of treatment and recovery?
    • Core Outcomes?
    • Did the participant succeed?
    • Policy Implications?
• Initial Case Processing Time
• Retention and Graduation Rates
• Time to Graduation
Participant Profile
- Sex (male, female, transgender)
- Date of birth
- Ethnicity (Black/African-American, Hispanic/Latino, White, Asian/Pacific Islander, Native-American)
- Attained high school degree or GED (yes/no)
- Current employment status (e.g., employed full-time, employed part-time, not employed)
- Current educational status (e.g., in school full time, in school part-time, or not in school)
- Marital status (e.g., married, single, separated, divorced)
- Number of prior drug treatment episodes
- Ever homeless (yes/no)
- Currently homeless (yes/no)
- Number of children
- Number of children with primary care responsibility
- Pregnancy?

Medical Screening
- Medical Assisted Treatment
- Primary drug (marijuana, alcohol, crack, cocaine, methamphetamine, heroin/opiates, benzodiazepines, steroids, barbiturates)
- Secondary frequency for each
- Tertiary frequency for each
- What prescription drugs are currently being prescribed
- Are you prescribed and taking
- Are you taking a prescription drug not prescribed (illicitly or non-illicitly)
- Any drug use in past 30 days (series of yes/no fields):
  - Any alcohol use
  - At least 4 alcoholic drinks in the same day
  - Marijuana
  - Crack
  - Cocaine (powder)
  - Heroin
  - Methamphetamine
  - Other with text field
- Physical
- Dental Exam
- In treatment, what level, participating in mental health services, depression, what level – MENTAL HEALTH DIAGNOSIS (medications)

Criminal Justice Information
- ID number (generated by database)
- State ID #: person-based criminal justice identifier (to be merged with state SAC data)
- Case-level arrest number or docket number
- Court ID #: court-based identifier (to distinguish from participants in other courts)
- Arrest Date
- Last name
- First name
- Social security number
- Address
- City, state, zip code
- Telephone
- Arrest date
- Intake date (date of first contact with drug court program)
- Top arrest charge
- Top arrest charge severity (e.g., felony, misdemeanor)
- DL# - Driver’s License Status
- Drug testing module
- Ignition Interlock (beginning and ending dates)
- 24/7
- SCRAM – continuing number of days
  - Tamper or Positive

**Drug Court Status**
- Participant status (drug court participant yes/no)
- If not participating, reason not participating (e.g. D.A. ineligible, not addicted, refused to participate, severe mental illness, severe medical problem, other)
- Enrollment date (if participating)
- Legal status at enrollment: pre-plea, post-plea/deferred sentence, sentenced to probation, other sentence (with text field to clarify sentence), probation violator/new arrest, probation violator/technical violation, post-incarceration (reentry)
- Top charge severity (all except pre-plea) (e.g. felony, misdemeanor) – possibly capture all with a filter (out what don’t want to see)
- FEL/MISD
- Indigency Determination / Financial Status
- Medicaid Eligibility (ensure participant has been referred to DPHHS for health coverage and that the participant has secured the necessary coverage)
- Phase of Treatment: Pre-Enrollment, Phase One, Phase Two, Phase Three, Phase Four, Aftercare
- Phase start date (for each phase)
- Time in Phase: auto-calculated once participant enters new phase or exits program from start date to end date
- Program status: active, absconded, graduated, terminated, other (with text field)
- Reason for termination (if terminated): dropped-out voluntarily, terminated for noncompliance, terminated for re-arrest, incarcerated on another case, other with text field for “other”
- Closed date (date that latest program status was effective)
- Sober Days – to be calculated

**Case Management**
- Type of case management (check all that apply): court case manager, probation, parole, other (with text field)
- Case manager
- Probation/parole officer (probation officer who provides probation/parole supervision)
- Case management contact date
- Contact type (e.g., court, home visit, phone)
- Contact notes (text field)
**Absconding/Warrants**
- Date(s) bench warrant issued
- Date(s) of return on warrant

**Drug Testing**
- Date of each drug test
- Result of each drug test (positive or negative)
- Drugs tested positive (if positive): drop-down (e.g. alcohol, marijuana, methamphetamine, cocaine, heroin)
- Track Drugs test negative for drop down
- Days sober (auto-calculated since enrollment date or last positive drug test if followed enrollment date)

**Infractions, Sanctions, and Incentives**
- Program violation (drop-down TBD)
- Program violation date
- Sanction (drop-down TBD)
- Sanction date
- Achievement (drop-down TBD)
- Achievement date
- Incentive (drop-down TBD) – i.e. numbered gift cards – track the number – get more info from Becky
- Incentive date

**Treatment Linkages**
- Modality (e.g. residential, short-term rehabilitation, intensive outpatient, outpatient, self-help groups, aftercare) - InfoPath
- Program name (drop-downs unique to each program provider)
- Program start date
- Program end date
- Four things should be required from treatment provider to input into system – template for treatment provider
- Date individual attended treatment from last court date
- If missed a date, what date missed
- Short progress note of how participant is doing in treatment
- Recommendations for the judge
- What assignment working on
- Did people come to family night
- Are they progressing

**Ancillary Services**
- Criminal thinking intervention (check if applicable)
- Halfway house (check if applicable)
- Other supportive housing (check if applicable)
- Individual therapy (check if applicable)
- Family therapy (check if applicable)
- GED class (check if applicable) – admission to discharge
- Vocational training (check if applicable)
• Employment readiness (check if applicable)
• Child Support
• Medicaid eligibility (ensure participant has been referred to DPHHS for health coverage and that the participant has secured the necessary coverage)
• Parenting class (check if applicable)
• More info needed about services (Kentucky / more information available)

Court Appearances
• Date of each scheduled court appearance
• Present/absent/excused for each scheduled date
• Minutes entries in drug court cases
• Where is the defendant – detention center? Transport needed?

Achievements
• Graduation
• Phase advancement
• Dates – could get reset if somebody relapses
• Drug-free baby
• Obtained GED
• Completed vocational/training program

Exit Status
• Employment status (e.g. employed f/t, employed p/t, not employed)
• School/Training program status (e.g., enrolled f/t, enrolled p/t, not enrolled)
• Still attending treatment program (yes/no)

Recidivism
• New arrest date
• New arrest top charge
• New arrest severity (felony, misdemeanor)
Appendix 2
GALLATIN COUNTY TREATMENT COURT
Initial Interview Report

Date of initial contact: _______________ Treatment Court Case #: _______________

Name (Last, First, Middle): __________________________________________

Alias: _______________________________________________________________

Address: _____________________________________________________________ Zip Code: __________

Telephone #: _______________ DOB: _______________ SS#: __________________

Ethnicity: _______________ U.S. Citizen? Y or N Gender: _____ Age: ______

Years at Address: _______________ Years in Community: ______________________________

Name of Reference Person in Community: _____________________________ Phone #: __________

SIGNIFICANT FAMILY INFORMATION

Marital Status: _______________ In current status for how long? _______________

Spouse/Fiancé(e)/Partner name: __________________________________________

Where does your spouse/Fiancé(e)/Partner live? ____________________________________

# of Children? _____ Name(s) & age: ________________________________________

Where do your children live? _____________________________________________

With whom do your children live? __________________________________________

Defendant’s present living situation: __________________________________________

For how long? ____________________________ Is either parent still living? Y or N

If yes, list name(s) & where they are living: ______________________________________

Any siblings? Y or N If yes, list name(s) & where they are living: __________________________

With what family member(s) are you most in contact with? __________________________

How can they be contacted? (address and/or phone #) __________________________

Would any of your family members be willing to participate with your treatment? Y or N
**LEGAL STATUS**

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<tr>
<th>Present Charge(s):</th>
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<th>Drug(s):</th>
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<tr>
<th>Arrest Date:</th>
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<tr>
<td>______ / ______ / ______</td>
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<tr>
<th>Presiding Judge:</th>
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<tr>
<th>Currently Incarcerated?</th>
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<tr>
<td>Y or N</td>
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<th>Released on bond?</th>
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<tr>
<td>Y or N or Own Recognizance</td>
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<th>Bond Amount:</th>
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<tr>
<th>Probation or parole or N/A? (circle one)</th>
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<tr>
<td>Probation/Parole Officer:</td>
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<tr>
<th>Probation or parole in another jurisdiction?</th>
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<tr>
<td>Y or N</td>
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<th>Previous revocation?</th>
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<tr>
<td>Y or N</td>
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<tr>
<th>Does defendant have other cases pending?</th>
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<tr>
<td>Y or N</td>
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<th>If yes, what &amp; where?</th>
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<tr>
<th>Is defendant wanted in any other jurisdiction?</th>
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<tr>
<td>Y or N</td>
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<tr>
<th>If yes, for what &amp; where?</th>
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<tr>
<th>Has a record check been done?</th>
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<td>Y or N or Partial</td>
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<th>When?:</th>
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<tr>
<th>Has a PSI been conducted?</th>
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<td>Y or N</td>
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<th>When?:</th>
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<tr>
<th>Prior arrest(s)?</th>
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<tr>
<td>Y or N</td>
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<tr>
<th>DL #__________</th>
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<tr>
<td>DL Status: Susp/Rev/Current/NO DL</td>
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<tr>
<th>Date</th>
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<th>Crime</th>
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<tr>
<th>Place</th>
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<td>________________</td>
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<tr>
<th>Disposition</th>
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<td>________________</td>
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<table>
<thead>
<tr>
<th>Have you ever been convicted of a violent offense?</th>
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<tbody>
<tr>
<td>Y or N</td>
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<table>
<thead>
<tr>
<th>Ever been convicted of arson?</th>
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<tbody>
<tr>
<td>Y or N</td>
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</table>

<table>
<thead>
<tr>
<th>Any history of missing court appearances?</th>
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<tbody>
<tr>
<td>Y or N</td>
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<table>
<thead>
<tr>
<th>Has a Public Defender form been filled out?</th>
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<tbody>
<tr>
<td>Y or N</td>
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<table>
<thead>
<tr>
<th>Public Defender (name, address &amp; phone #):</th>
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</thead>
<tbody>
<tr>
<td>____________________</td>
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</tbody>
</table>
### EDUCATION

<table>
<thead>
<tr>
<th>Question</th>
<th>Y or N</th>
<th>If yes, what year?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Did you receive a high school diploma?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name of school?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did you receive a G.E.D.?</td>
<td>Y or N</td>
<td></td>
</tr>
<tr>
<td>Name of school?</td>
<td></td>
<td></td>
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<tr>
<td>Received any other degree?</td>
<td>Y or N</td>
<td></td>
</tr>
<tr>
<td>Any reading or writing problems?</td>
<td>Y or N</td>
<td>Illiterate, Language, Other</td>
</tr>
</tbody>
</table>

### EMPLOYMENT

<table>
<thead>
<tr>
<th>Question</th>
<th>Y or N</th>
<th>FT or PT? (circle one)</th>
<th>Hours/week:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Currently Employed?</td>
<td></td>
<td>FT or PT?</td>
<td></td>
</tr>
<tr>
<td>Name of Employer:</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Employer’s Address:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supervisor’s Name:</td>
<td></td>
<td>Work phone #:</td>
<td></td>
</tr>
<tr>
<td>Years on Job:</td>
<td></td>
<td>Annual Income:</td>
<td></td>
</tr>
<tr>
<td>Is your job currently being held for you?</td>
<td>Y or N</td>
<td>Are you looking for work?</td>
<td>Y or N</td>
</tr>
<tr>
<td>Previous Employment (last 12 months):</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Place</td>
<td></td>
<td>Years on Job</td>
<td>Phone #</td>
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</tbody>
</table>

### MILITARY

<table>
<thead>
<tr>
<th>Question</th>
<th>Y or N</th>
<th>If yes, what branch?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are you a Veteran?</td>
<td>Y or N</td>
<td></td>
</tr>
<tr>
<td>Were you deployed?</td>
<td>Y or N</td>
<td></td>
</tr>
<tr>
<td>Do you receive VA services?</td>
<td>Y or N</td>
<td></td>
</tr>
<tr>
<td>Do you have a service-related disability?</td>
<td>Y or N</td>
<td></td>
</tr>
</tbody>
</table>
**MEDICAL INFORMATION**

Are you currently insured?  Y or N  Type of Insurance: __________________________

Medical insurer: ______________________________________________________________

Has the defendant experienced any of the following? (check all that apply)

- ______ Heart murmur
- ______ HIV
- ______ Hepatitis
- ______ Excessive coughing
- ______ Swollen liver or pancreas disorders
- ______ Diabetes
- ______ Ulcers
- ______ Sexually transmitted disease
- ______ Intestinal problems
- ______ Other diseases or illnesses: ____________________________________________

Females, are you currently pregnant?  Y or N  If yes, what is your due date? ________

Most recent physical exam: ___________________________________________________

Physician (name & phone #): _________________________________________________

Present health status: _________________________________________________________

Are you currently receiving treatment for any health problem(s)?  Y or N

If yes, for what & where: _____________________________________________________

Are you currently taking any prescribed medication?  Y or N

Are you currently taking any OTC medication?  Y or N

If yes, list names and for what condition(s): _______________________________________

Verification of prescriptions (physician name and phone #): _______________________

Have you ever suffered a traumatic event? _______________________________________

Have you ever been physically or sexually abused? (circle one) Physically  Sexually  Both  No
### PSYCHOLOGICAL INFORMATION

Have you ever been involved in mental health counseling, had an evaluation, or been committed to a mental health facility? Y or N  
If yes, when: ____________________ where? ____________________  
when: ____________________ where? ____________________  
Hospitalization or Outpatient? (circle one) For how long? ____________________  
Are you currently under treatment for any mental health problem? Y or N  
If yes, for what diagnosis: ____________________  
where: ____________________  
Have you ever taken any medication for any behavior, mental, or emotional condition? Y or N  
If yes, list names & dosage of all medications: ____________________  
____________________________  
History of lethality? Y or N or Denies Present thoughts of lethality? Y or N or Denies

### SUBSTANCE USE / ABUSE HISTORY

Are you currently in a substance abuse treatment program? Y or N  
If yes, what type? (circle one) Inpatient Intensive Outpatient Outpatient Continued Care  
Where: ____________________  
If no, have you received treatment in the last 5 years? Y or N Have you ever? Y or N  
If yes, what type: ____________________ when? ____________________  
where? ____________________  
Current frequency of alcohol or other drug use: ____________________ Last use: ____________________  
Primary drug of Choice: ____________________ Age of first use: ____________________  
Secondary Drug of Choice: ____________________ Age of first use: ____________________  
Tertiary Drug of Choice: ____________________ Age of first use: ____________________  
Other information related to alcohol and/or drug use: ____________________  
Has anyone in your family had a history of substance abuse or been in treatment (outpatient or inpatient) for substance abuse? Y or N  
If yes, please explain: ____________________
# GALLATIN COUNTY TREATMENT COURT – Initial Interview Report

## FINANCIAL INFORMATION

<table>
<thead>
<tr>
<th>ASSETS</th>
<th>LIABILITIES</th>
<th>MONTHLY INCOME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash on hand</td>
<td>Public utility debt</td>
<td>$ ___________</td>
</tr>
<tr>
<td>Checking Acct.</td>
<td>Personal Property</td>
<td></td>
</tr>
<tr>
<td>Vehicles/value</td>
<td>Mortgage</td>
<td>MONTHLY EXPENSES</td>
</tr>
<tr>
<td>Life Insurance</td>
<td>Other loans</td>
<td>Rent $ ___________</td>
</tr>
<tr>
<td>Real Estate</td>
<td>Other debt</td>
<td>Utilities $ ___________</td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td>Court Payment(s)</td>
</tr>
</tbody>
</table>

## CHECKLIST

- Did the defendant cooperate during the interview?  Y or N
- Was the defendant charged with an alcohol and/or other drug offense?  Y or N
- Is the defendant charged with a violent offense?  Y or N
- Does the defendant have a prior violent conviction(s)?  Y or N
- Does the defendant accept responsibility for his/her offense?  Y or N

## SIGNS OF SUBSTANCE USE / ABUSE OBSERVED BY CASE

- Requires immediate detoxification services?  Y or N
- Signs of alcohol or other drug intoxication?  

- Signs of acute withdrawal from alcohol or other drugs?  

- Any observable signs and symptoms of substance use/abuse?  

- Presenting problem? (In case manager’s opinion)  

---

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### SUMMARY / RECOMMENDATION

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Case Manager’s Signature: ___________________________ Date: ____________
## Appendix 3a

### Montana Department of Corrections

**Adult Probation & Parole**

**Pre-Sentence Investigation Questionnaire & Medical Screening**

Pre-Sentence Investigation (PSI) Fee – Pursuant to §46-18-111, MCA, you shall pay to the Department of Corrections a $50 fee at the time the PSI report is completed, unless the court determines that you are not able to pay the fee within a reasonable time. You are to submit this payment by money order to the Department of Corrections one week prior to the submission of the PSI report. This fee is in effect for offenses committed after July 1, 2005.

Return this form to: ____________________________  Return by: ____________________________

Address (City, State, Zip): ____________________________

Interview Date/Time (if available): ____________________________  Sentencing Date: ____________________________

### Identification

**Name:** (Last, First, Middle): ____________________________  **Religious Preference:** ____________________________

**Other Names Used:** ____________________________

**Address (City, State, Zip):** ____________________________

Who else resides at this address?

**Current or Anticipated Address (if incarcerated):** ____________________________

Home Phone: ____________________________  Work Phone: ____________________________  Cell Phone: ____________________________

**Message Phone:** ____________________________  **DOB:** ____________________________  **Age:** ____________________________  **Place of Birth:** ____________________________

**SS #:** ____________________________  **Height:** ____________________________  **Weight:** ____________________________

**Eyes:** ____________________________  **Hair:** ____________________________  **Handed:** [ ] Right [ ] Left

**Complexion/Skin Tone:** ____________________________  **Build:** ____________________________

**# of Dependents:** ____________________________  **US Citizen:** [ ] Yes [ ] No

If No, Country of Citizenship: ____________________________  **Immigration Status:** ____________________________

**Race:** ____________________________  **Sex:** [ ] Male [ ] Female

**Drivers License #:** ____________________________  **State:** ____________________________

**Marital Status:** [ ] Single [ ] Married [ ] Separated [ ] Divorced [ ] Common Law

**Do you wear glasses?** [ ] Yes [ ] No

**Do you wear contact lenses?** [ ] Yes [ ] No

**Scars/Marks/Tattoos** *(Include moles, freckles, chin discoloration, birthmarks, etc., Specify description and location):*

________________________________________________________

________________________________________________________

________________________________________________________

**Piercings** *(ears, nose, tongue, etc.):*

________________________________________________________

________________________________________________________

### Emergency Information

Whom do you wish to be notified in case of an emergency?

**Name:** ____________________________  **Relationship:** ____________________________

**Address (City, State, Zip):** ____________________________

**Phone #:** ____________________________

**Name:** ____________________________  **Relationship:** ____________________________

**Address (City, State, Zip):** ____________________________

**Phone #:** ____________________________

### Offense Information

What are you charged with?
Date of Arrest: __________________ Did you plead “Guilty”? □ Yes □ No Trial by Jury? □ Yes □ No

Days in jail on this charge? __________________ Date of release from jail? __________________

Type of release: □ O.R. □ Bond Bond Type: □ Property □ Cash □ Surety (Bondsman)

Amount of bond: $ ________________

Is there a plea agreement in your case? □ Yes □ No

If Yes, what is recommended? __________________

To your knowledge, are there any warrants or detainers out for you? □ Yes □ No

Your Attorney’s Name: ____________________________________________ □ Appointed □ Retained

Attorney’s Address: ____________________________________________ Phone #: __________________

Is there a Co-Defendant(s)? □ Yes □ No If Yes, give person’s name, address, and phone number.

<table>
<thead>
<tr>
<th>Name (Last, First)</th>
<th>Address</th>
<th>Phone Number</th>
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In your own words, what did you do to get arrested on this charge? (Use back of this page, if needed.)

_____________________________________________________________________________________

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What reason do you have for your involvement in this offense? (Use back of this page, if needed.)

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Offender Signature: ___________________________ (Please sign each page)

(NGP 20-1 (3) Pre-Sentence Investigation Questionnaire & Medical Screening - Envision Date 01/17/18)
Give your recommendation as to what you think the court should do in your case? (Use back of this page, if needed.)


Have you ever been arrested before? □ Yes □ No
If Yes, how many misdemeanors? ____________________________ How many felonies? ____________________________

Have you ever been arrested as a juvenile? □ Yes □ No
If Yes, for what? ____________________________

Have you ever been on probation and/or parole as a juvenile? □ Yes □ No □ Probation or □ Parole
If Yes, give circumstances: ____________________________

Did you complete supervision satisfactorily? □ Yes □ No Explain: ____________________________

Juvenile Probation/Parole Officer(s) name: ____________________________
Probation/Parole Officer(s) Address: ____________________________

Have you ever been placed in a state juvenile correctional facility? □ Yes □ No
If Yes, explain: ____________________________

Have you ever been on adult probation/parole before? □ Yes □ No □ Probation or □ Parole
If Yes, give circumstances: ____________________________

Did you complete supervision satisfactorily? □ Yes □ No Did you violate your probation or parole? □ Yes □ No
If Yes, please list violations, dates, and disposition of violation hearing: ____________________________

Adult Probation/Parole Officer(s) Name: ____________________________
Probation/Parole Officer(s) Address: ____________________________

Have you ever been incarcerated? □ Yes □ No If Yes, for what? ____________________________

Please complete lines below regarding incarceration information (include prerelease placements, prison, etc.):

<table>
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Offender Signature: ____________________________ (Please sign each page)

(Please sign each page)
List your complete criminal history below (include juvenile history): (Use back of this page if needed.)

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<th>Date</th>
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HEALTH

Rate your Health:  □ Good  □ Fair  □ Poor
Please describe (indicate any current problems you are experiencing or general health status):

List the date(s) and nature of any serious or chronic illnesses and medical conditions:

Physician Name: __________________________ Address: __________________________
Are you currently taking medication?  □ Yes  □ No  □ If Yes, list medication and what you are taking it for:

Date of your last physical: ______     Where: ________________
Do you have any physical or other disabilities?  □ Yes  □ No  □ If Yes, list your disabilities:

Are you receiving Social Security or any other disability income?  □ Yes  □ No  □ If Yes, list what you are receiving and the amount:

Are you on Medicaid?  □ Yes  □ No  □ Do you have private insurance?  □ Yes  □ No  □ If Yes, list the insurance company name and policy #: ______________________

Offender Signature: ______________________ (Please sign each page)
CHEMICAL DEPENDENCY

How would you describe your alcohol use? (Check all that apply.)
- None
- Rare
- Social
- Weekends
- Heavy
- Daily
- Alcoholic
- Recovering Alcoholic

What age did you first use alcohol? _______________ Type/Amount: _______________

What happened: ____________________________________________________________

Describe how your drinking has progressed since this time: ___________________________

When was the last time you used alcohol? _______________ Type/Amount: _______________

What is your preference for alcohol? _____________________________________________

What is the longest time you have gone without alcohol? ____________________________ When: _________________________

Please check any problems associated with your alcohol use:
- Blackouts
- Marital Problems
- Medical Problems
- Loss of job
- DUI
- Financial Problems
- Divorce
- Other Arrests
- Other.

How would you describe your drug use? (Check all that apply.)
- None
- Rare
- Social
- Weekends
- Heavy
- Daily
- Addict
- Recovering Addict

What age did you first use drugs? _______________ Drug Type/Amount: _______________

What happened: ____________________________________________________________

Describe how your drug use has progressed since this time: _________________________

When was the last time you used drugs? _______________ Type/Amount: _______________

What is your drug(s) of choice? ________________________________________________

What is the longest time you have gone without drugs? ____________________________ When: _________________________

Please check each drug you have used and indicate how many times or for how many years you have used each drug:

- Hash
- Crystal
- Cocaine
- Marijuana
- LSD
- Methamphetamines (Crank/Speed)
- Amphetamines
- Heroin/Opiates
- Mushrooms
- Inhalants:
- Abuse of Prescription Drugs
- Other Drugs:

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<th>Drug</th>
<th>How Many Times Used</th>
<th>Years Used</th>
<th>Date of Last Use</th>
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<td>Other Drugs</td>
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Please check any problems associated with your drug use:
- Blackouts
- Marital Problems
- Medical Problems
- Loss of job
- DUI
- Financial Problems
- Divorce
- Flash Backs
- Other Arrests
- Other:

Offender Signature: __________________________ (Please sign each page)

(Pre-Sentence Investigation Questionnaire & Medical Screening - Revision Date 01/19/14)
Have you ever used any drugs intravenously (with a needle)? □ Yes □ No  Frequency: ____________
Drug(s) injected: ________________________________________________________________
Date of last intravenous use: ____________________________

If you checked prescription drug abuse above, was this your prescription or someone else's? __________
How did you obtain the prescription? __________
Was it obtained under false pretenses? □ Yes □ No  Please explain: ________________________________________________________________

Were you using alcohol or illegal drugs at the time of the current offense? □ Yes □ No  If Yes, describe type of substance(s), amount(s) used and how alcohol or drugs were involved: ________________________________________________________________

Have you ever received Chemical Dependency counseling or treatment? □ Yes □ No  If Yes, list below:

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<tr>
<th>Program Title</th>
<th>Therapist Name</th>
<th>Inpatient/ Out Patient</th>
<th>Date Started</th>
<th>Date Completed</th>
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Is there a history of alcoholism or drug addiction in your family? □ Yes □ No  If Yes, please indicate who and explain any problems within your family resulting from alcohol or drugs: ________________________________________________________________

MENTAL HEALTH

Have you ever visited a psychiatrist, psychologist, counselor or any mental health provider? □ Yes □ No  If Yes, please list below:

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<tr>
<th>Program Title</th>
<th>Therapist Name</th>
<th>Inpatient/ Out Patient</th>
<th>Date Started</th>
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Have you ever been diagnosed with a mental illness? □ Yes □ No  If Yes, please describe: ________________________________________________________________

Are you on any medication for a mental health concern? □ Yes □ No  If Yes, list medication, dosage, and purpose: ________________________________________________________________

Have you ever been on any medication for a mental health concern in the past? □ Yes □ No  If Yes, list medication and indicate the reason you stopped taking the medication: ________________________________________________________________
Are you currently in therapy? □ Yes □ No  Therapist Name: _____________________________
Reason: ____________________________________________________

Please describe past or present gambling problems, including the type of gambling you like to do and your biggest wins and biggest losses:
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How do you get along with your siblings?  

Have you remained in contact with your immediate family?  □ Yes □ No  
Has anyone in your family ever been on probation, parole, or in a prison or pre-release center?  □ Yes □ No  
If Yes, list who, what for, when and where:  

What is your religious preference?  
How often do you attend?  

Who is your best friend?  
Address:  
How long have you known each other?  
What hobbies or recreational pursuits do you have?  

Do you or have you ever belonged to any clubs or social organizations?  □ Yes □ No  
If Yes, please explain:  

How long have you lived in Montana?  

Name all the places you have lived since you were born. (Use back of this page, if needed.)  

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Have you ever been a victim of (check all that apply): □ Physical Abuse □ Mental Abuse □ Sexual Abuse  
Explain:  

Write a brief history of your upbringing. (Were you well provided for? Did you have a happy childhood? Describe significant family history.)  

What is the most significant thing that happened to you as you were growing up that has affected who you have become?
MARITAL HISTORY

Marital Status: □ Single □ Married □ Separated □ Divorced □ Common Law

# of Previous Marriages: ____________

Current Spouse/Significant Other (Last, First, Middle):

Address: ________________________________________________________________

Phone #: __________________ Age: _______ Occupation: ____________________________

Date of Marriage: ____________

Number of children born to this marriage (List below): __________________________

Were any other children involved (i.e. step-children)? □ Yes □ No
If Yes, list name and relationship:

________________________________________________________

Does alcohol or drugs play a part in this relationship? □ Yes □ No
Please describe:

________________________________________________________

How do you get along with your spouse?

List Children’s Name(s), Current Ages, Occupation and Addresses:

Name (First, Last) | Age/DOB | Occupation/Address

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How do you get along with your children?

Previous Spouse (if applicable) (Last, First, Middle):

Address: ________________________________________________________________

Phone #: _______________________________________________________________

Occupation: __________________ Age: _______ Date of Marriage: ____________

Date of Divorce: ____________

Number of children born to this marriage (List below): ______________________

Were any other children involved (i.e. step-children)? □ Yes □ No
If Yes, list name and relationship:

________________________________________________________

Did alcohol or drugs play a part in this relationship? □ Yes □ No
Please describe:

________________________________________________________

List Children’s Name(s), Current Ages, Occupation and Addresses:

Name (First, Last) | Age/DOB | Occupation/Address

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Reason for divorce: _______________________________________________________
________________________________________________________________________
________________________________________________________________________

Offender Signature: ____________________________  (Please sign each page)

(Please sign each page)
What is your current relationship with this person and the children? ____________________________

Are you required to pay child support? □ Yes □ No From what state(s)? ____________________________
If Yes, give the amount of support for each child: $ ____________________________

Are you current? □ Yes □ No If No, how delinquent are you? $ ____________________________
If you have been married more than twice, please list the marriages on the back of this page giving names of your ex-spouse, dates of marriage and divorces, number of children born to each marriage, the child support required and if you are current on this support, the location of the children, and if you have contact with the children and ex-spouse.

List any children conceived from relationships you have had. Do not include children you have previously listed:

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<th>Name (First, Last)</th>
<th>Parent Name</th>
<th>Age/DOB</th>
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EDUCATIONAL AND VOCATIONAL HISTORY

High School Graduate? □ Yes □ No If Yes, year graduated: __________ City/State: __________
If Yes, please have transcripts available at the interview. Use attached P&P 30-1(6) Transcript Request/Release Form if needed.

If No, how many grades did you complete? __________ Please write a little about why you weren't able to graduate:

Name of school you last attended: ____________________________
Address: ____________________________
Do you have your High School Equivalency? □ Yes □ No
If Yes, where did you get it? ____________________________
If Yes, please have a copy of high school equivalency assessment certificate available at the interview. Use attached P&P 30-1(6) Transcript Request/Release Form if needed.

Did you go to Job Corps? □ Yes □ No □ NA If Yes, did you receive a certificate? □ Yes □ No
If Yes, please have a copy of the Job Corps certificate available at the interview.

In school did you participate in sports or other extra-curricular activities? □ Yes □ No
If Yes, what were they? ____________________________

If Yes, did you enjoy it? ____________________________

Write a little about what you remember grade school being like for you.

What was your favorite thing about grade school?

Write a little about what middle school was like for you.

Offender Signature: ____________________________ (Please sign each page)
(P&P 30-1 (6) Pre-Sentence Investigation Questionnaire & Medical Screening - Revision Date 01/11/14)
What type of grades did you get in middle school and which grade did you get most often?

Did you ever receive any extra help in middle school such as resource room or tutoring?  □ Yes  □ No  If Yes, for which class did you receive the help (i.e. reading, math)?

Did you ever receive any specific Special Education help in middle school?  □ Yes  □ No  If Yes, what type of help was it for or for which class (i.e. reading, math)?

Did you ever get suspended or expelled while in middle school?  □ Yes  □ No  If Yes, please explain:

Write a little about what high school was like for you.

What type of grades did you get in high school and which grade did you get most often?

Were any of the classes hard for you?  □ Yes  □ No  If Yes, what made them hard?

Did you ever receive any extra help in high school such as resource room or tutoring or specific Special Education?  □ Yes  □ No  If Yes, what type of help was it for?

Write a little about your relationships with other students and teachers.

Did you ever get suspended or expelled while in high school?  □ Yes  □ No  If Yes, please explain:

Have you received any type of Vocational Training?  □ Yes  □ No  If Yes, please have transcripts available at the interview. Use attached P&P 30-1(G) Transcript Request/Release Form, if needed.

When: __________________  Where: __________________  Date Graduated: __________________

What type of Training: __________________

Have you ever attended college?  □ Yes  □ No  If Yes, please have transcripts available at the interview. Use attached P&P 30-1(G) Transcript Request/Release Form, if needed.

Did you obtain a degree?  □ Yes  □ No  If No, how long did you attend? (explain): __________________

If Yes, when: __________________  Where: __________________  Date Graduated: __________________

Major/Type of degree received: __________________

Do you have any professional license(s)?  □ Yes  □ No  If Yes, please list: __________________
### EMPLOYMENT HISTORY

Are you currently employed?  □ Yes  □ No
If Yes, complete lines below.

Name of Employer: ____________________________ Supervisor’s Name: ____________________________
Address: ___________________________________ Phone #: ______________________

What is your salary (Take home pay per month): $ ________ Date you started work: __________
Job Title: ____________________________ Full Time □ Part-Time □ # hours per week: _______

Does your employer know about the current charges against you?  □ Yes  □ No
Has this affected your employment?  □ Yes  □ No  If Yes, explain how: ____________________________

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List your last four places of employment, beginning with the most recent (Do not include employment listed above):

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<td>(Supervisor Name)</td>
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<td>(Position)</td>
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<td>Reason for Leaving:</td>
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<td>Reason for Leaving:</td>
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<td>(Business Name)</td>
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<td>Reason for Leaving:</td>
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Which job did you like the best and why? ____________________________

Which job did you like the least and why? ____________________________

Write a little about how your relationships with bosses have been.

__________________________
Some people have a hard time with people telling them what to do. Has this ever happened to you? □ Yes □ No  
If Yes, how did you handle it? ____________________________________________________________

Write a little about how your relationships with coworkers have been. ____________________________________________________________

Please give some examples of how you have handled frustrations with people who annoyed you while at work. ____________________________________________________________

Write a little about which job you would pick to do if you could and why. ____________________________________________________________

What are some things currently in the way of you getting this job? ____________________________________________________________

Are you currently receiving welfare, food stamps, housing assistance or utility assistance? □ Yes □ No  
If Yes, please list the amounts:  
<table>
<thead>
<tr>
<th>Welfare</th>
<th>Food Stamps</th>
<th>Housing Assistance</th>
<th>Utilities</th>
<th>Other</th>
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**FINANCIAL STATUS**

Total Monthly Net Income: $ __________________________

Please indicate monthly income source:  
□ Employment □ Workers Compensation □ AFDC □ Family □ General Assistance □ Retirement □ SSI  
□ Other (please explain): __________________________

How much cash do you have on hand? $ __________________________

Do you have a checking account? □ Yes □ No  
If Yes, where: ___________________________________________ How much? $ __________________________

Do you have a savings account? □ Yes □ No  
If Yes, where: ___________________________________________ How much? $ __________________________

Do you have an IRA? □ Yes □ No $ __________________________  
Stocks/Bonds? □ Yes □ No $ __________________________

Do you have any life insurance? □ Yes □ No  
Surrender Value: $ __________________________

Does anyone else contribute to your income? □ Yes □ No  
If Yes, who and how much take home per month? $ __________________________

Do you Own □ Rent your residence? Monthly Payment/Rent? $ __________ Monthly Utilities: $ __________

If you own your home, what could you sell it for today? $ __________________________

How much do you owe on your home? $ __________________________

Offender Signature: __________________________

(Please sign each page)
Do you own vehicles? [ ] Yes [ ] No
If Yes, list them below:

1. ________________ (Year-Make Model) ________________ (Value) ________________ (Financed With?)
2. ________________ (Year-Make Model) ________________ (Value) ________________ (Financed With?)
3. ________________ (Year-Make Model) ________________ (Value) ________________ (Financed With?)
4. ________________ (Year-Make Model) ________________ (Value) ________________ (Financed With?)

Assets: List all Personal Property (household items, guns, jewelry, collections, sporting equipment, real estate, etc.):

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Debts: List all loans (vehicle, mortgage, personal loans), credit cards, charge accounts, child support, alimony, medical bills, etc.:

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<tr>
<th>Kind</th>
<th>Creditor Name</th>
<th>Balance Owed</th>
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MILITARY HISTORY

Have you ever served in the U.S. Military? [ ] Yes [ ] No
Branch: ___________________________ Date Entered: ________________ Did you enlist: [ ] Yes [ ] No
Military Service #: ________________ VA Claim #: (If applicable):
Date of Discharge: ________________ Type of Discharge: __________________________
Highest Rank Achieved: ________________ Rank at Discharge (Attach copy of your DD-214):
Did you receive any Article 15s or Court Martials? [ ] Yes [ ] No If Yes, explain: __________________________

Did you receive any special training? [ ] Yes [ ] No If Yes, explain: __________________________

Did you receive any awards? [ ] Yes [ ] No

Offender Signature: ___________________________ (Please sign each page)
If Yes, explain: ________________________________________________________________

__________________________________________________________________________

Where were you stationed?
__________________________________________________________________________

__________________________________________________________________________

FUTURE PLANS

What are your future plans? (School, Work, Residence, etc.) ______________________

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

SIGNATURE: ________________________________ DATE: ________________
## Appendix 3b

**MONTANA DEPARTMENT OF CORRECTIONS**  
**ADULT PROBATION & PAROLE**  
**GENERAL HEALTH QUESTIONS – MEDICAL SCREENING**

(When applicable, Officer will verify information by asking offender to sign a waiver for the physician, clinic, hospital, records.)

1. Are you currently under treatment for any medical, mental health or dental problem? □ Yes □ No  
   If you are, please explain, i.e. diagnosis, treatment, medication, etc. List physicians.

2. Have you ever received treatment for a medical condition requiring admission to a hospital, on-going care, or surgery? □ Yes □ No  
   If Yes, please explain, i.e. date, location, diagnosis, treatment, etc.

3. Have you ever taken medication for any behavioral, mental or emotional problem? □ Yes □ No  
   If you have, please explain, i.e. name and dosage of all medications.

4. Is there any physical or emotional condition that you believe requires accommodation, e.g. lifting restrictions, activity restrictions, and assistance in ambulating etc.? □ Yes □ No  
   Have reasonable accommodations been made in the past? □ Yes □ No  
   If Yes, please explain. Is there anything that would limit your ability to participate fully in any correctional setting, i.e. prerelease, boot camp, ISP, MSP, etc. □ Yes □ No

5. Has your ability to function/work/interact with others been impaired due to mood and or mind altering drugs? □ Yes □ No  
   Have you had legal difficulties due to mood and/or mind altering drugs? {Include alcohol (beer, wine, liquor), any drugs, medications or inhalants.} □ Yes □ No

   a. Were you using or under the influence of any substance at the time of arrest or at the time this crime was committed? □ Yes □ No  
      If Yes, what were you using?

   b. Do you, or does anyone in your family have a history of substance abuse or been in treatment (out-patient or in-patient) for substance abuse? □ Yes □ No

Offender Signature:  
(Officer sign each page)
c. Do you know if your mother used alcohol during the time she was pregnant with you?  ☐ Yes  ☐ No  
If Yes, to what extent?

..........................................................................................................................................................

6. Have you ever engaged in high risk behaviors such as IV drug use or multiple sexual partners?  ☐ Yes  ☐ No  
If Yes, please explain.

..........................................................................................................................................................

7. If female, are you pregnant?  ☐ Yes  ☐ No

8. Are you currently receiving Medicaid or Social Security Benefits?  ☐ Yes  ☐ No  
If Yes, please indicate source(s) and amount.

..........................................................................................................................................................

9. Do you have private medical insurance?  ☐ Yes  ☐ No  
If Yes, list the company name and policy number below.

..........................................................................................................................................................

DISCLAIMER:

I understand the above questions and have answered truthfully and to the best of my knowledge.

I hold harmless the State of Montana and Department of Corrections for failure on my part to disclose information.

Offender Signature  Date

Witness Signature  Date

File: Offender Field File
Appendix 4

The Appendix 4 section is a placeholder for Montana’s problem-solving court workflows. A future task of the Drug Court MIS Committee will be to discuss and document the various workflows for each of the therapeutic court processes.