

Collaborative Case Planning

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Disclosure

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Session Objectives



- Review of how The 10 Key Components & Adult Drug Court Best Practice Standards apply to collaborate case planning
- Develop an understanding of applicable roles & responsibilities of team members' in related to collaborate case planning
- Introduce collaborate case planning strategies from screening & assessment to aftercare planning
- Increase team members' confidence in enhancing current practices related to collaborative case planning





Applying Adult Drug Court Best Practice Standards to Collaborative Case Planning



Adult Treatment Court Best Practice Standards

Last updated July 28, 2025







Adult Treatment Court Best Practice Standards July 28, 2025 (pp. 45)

- Participants collaborate with their treatment providers or clinical case managers in setting treatment plan goals and choosing from among the available treatment options and provider agencies.
- Team members serve complementary roles in *both supporting participants*' treatment preferences and *ensuring adequate behavioral change* to protect participant welfare and public safety.
- Treatment professionals and defense attorneys emphasize helping participants to select and reach their preferred goals and are not responsible for enforcing court orders or sanctioning program infractions.
- Other team members, including the judge, prosecutor, and supervision officers, also work collaboratively with participants to help them achieve their goals while ensuring that they make the necessary *behavioral changes to safeguard their welfare and protect public safety*.



Reasons to Collaborate:

- Treatment and Supervision share goals for the participants
 - Recovery
 - Reducing recidivism
- Creates treatment and case plans that support mutual goals without overwhelming the participant
- Avoids conflicting or competing goals
- Fills in gaps in information
- Collaborative prioritization for addressing risks (criminogenic), needs (clinical), & responsivity (barriers)
- Increases team's knowledge of the participant and progress, increasing support, incentives and accountability







Back to Basics: Applying the 10 Key Components to Collaborative Case Planning



#1: Drug courts integrate alcohol and other treatment services with justice system processing.

- Requires a multifaceted, collaborative "team" approach for integrating the delivery of services
- Promotes mission of promoting recovery while ensuring accountability
- Underscores the need for collaborative goal setting and program monitoring
- Ensures ongoing communication of timely and accurate information about each participant's performance in the program

#2: Using a non-adversarial approach, prosecution and defense counsel promote public safety while protecting participants' due process rights.

- Maintains focus on the primary purpose of the program: the participant's recovery
- Supports due process, ethical, and strengths-based treatment, and confidentiality
- Promotes individual accountability and community safety
- Bridges the traditional gap between case processing, protecting the public, treatment mandates (HIPAA, 42CFR), and respect for individual rights.

#3: Eligible participants are identified early and promptly placed in the drug court program.

- Ensures the coordination of this process by "tracking" and facilitating the prompt sharing among the team of all relevant information arising from the initial referral, eligibility screening, and assessment process
- Promotes cross-system training, communication, and information sharing.

#4: Drug courts provide access to a continuum of alcohol, drug, and other related treatment and rehabilitation services.

- Assist team in identifying and monitoring each participant's unique needs for support and rehabilitation services
- Coordinates services and supports for to participants and family
- Ensures linkage and coordination among the treatment court team and service providers
- Ensures ongoing assessment and communication of the participant's progress; and coordination & oversight of referrals to appropriate ancillary service providers

#5: Abstinence is monitored by frequent alcohol and other drug testing.

- Ensures that forensic drug test results are promptly and accurately recorded and disseminated to the drug court team
- Promotes health outcomes by using clinical testing to explore ambivalence, motivation, and substance use behaviors



#6: A coordinated strategy governs drug court responses to participants' compliance.

- Assists team in tracking and ISSA for each participant to help ensure a graduated response to participant behavior
- Promotes an individualized response to participant behavior by based on their unique criminogenic risks, clinical needs, and responsivity considerations



#7: Ongoing judicial interaction with each participant is essential.

 Ensures the drug court judge has essential information and critical insight to promote effective interactions from the bench

#8: Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.

- Ensures relevant information is accurately, promptly, and systematically documented to effectively monitor, engage, and advocate for participants
- Establishes processes for ongoing monitoring and evaluation of the program outcomes



#9: Continuing interdisciplinary education promotes effective drug court planning, implementation, and operations.

- Facilitates interdisciplinary education within the drug court team
- Integrates interdisciplinary training into drug court meetings by periodically enlisting an ancillary service provider or justice system professional to address the team and, if appropriate, participate in the staffing process



#10: Forging partnerships among drug courts, public agencies, and community-based organizations increases the availability of treatment services, enhances drug court effectiveness, and generates local support.

- Sustains ongoing contact with key line staff of the partnering agencies and organizations
- Ensures consistent and direct contact with other community-based services & supports
- Increases team members' understanding of existing services & supports; and helps to identify service gaps/community needs
- fosters collaboration between the court and the community

Components of Case Management

Screening & Assessment

Communication

Participant
Family
Team
Service Providers

Treatment & Service Planning

Monitoring & Evaluation

Advocacy



Selecting Screening & Assessment Tools

- ☐ Reliable = Predicts risk consistently from person to person
- □ Valid = Has been tested multiple times in defined population and it is accurate *(for CJ population)
- ☐ Standardized = Has proscribed instructions for use that, if followed, have the same result with different users
- □ Ease of use = Instructions easy to follow, not too long to be practical
- ☐ Cost = Within acceptable price range according to resources available, some good free tools

Traditional Assessment Tools of the Trade



CRIMINAL JUSTICE

- COMPAS (Correctional Offender Management Profiling for Alternative Sanctions)
- Ohio Risk Assessment System (ORAS)
- Level of Service Inventory Revised (LSI-R)
 - Level of Service / Case
 Management Inventory (LS/CMI)

MH / SUD TREATMENT

- Addiction Severity Index (ASI)
- ASAM Continuum
- Structured Clinical Interview for DSM-5 Disorders—Clinician Version (SCID-5-CV)
- Global Appraisal Of Individual Needs (GAIN)

The Central 8

Criminal History Education / Employment

Family /
Marital
Relationships

Leisure /
Recreation
Activities

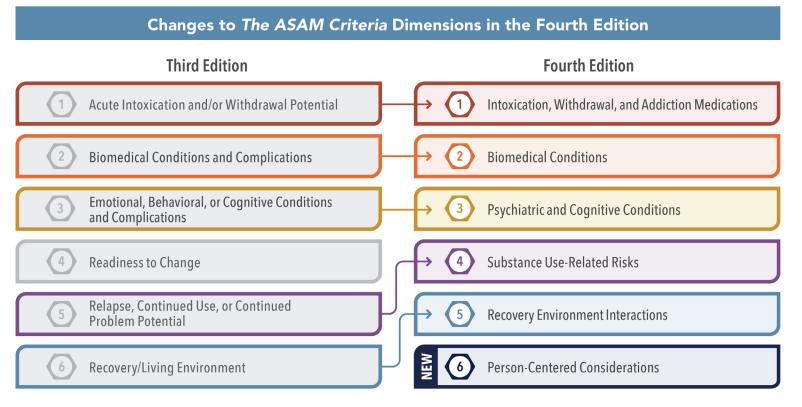
Substance Use Antisocial Peers Antisocial Thinking / Attitudes Antisocial Behavior / Personality



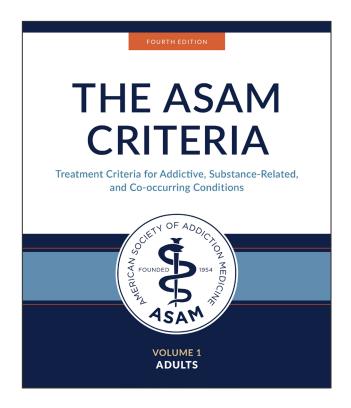
The ASAM Continuum: Multidimensional Assessment

Examines the patient's:

- needs
- obstacles
- liabilities
- strengths
- assets
- resources
- support structure



The Fourth Edition reorders the dimensions from the Third Edition. Readiness to change is now considered within each dimension, and the Third Edition Dimensions 5 and 6 were shifted to Dimensions 4 and 5, respectively, in the Fourth Edition. The new Dimension 6: Person-Centered Considerations considers barriers to care (including social determinants of health), patient preferences, and need for motivational enhancement.



The ASAM Criteria Dimensions and Subdimensions

Dimension 1 – Intoxication, Withdrawal, and Addiction Medications

- Intoxication and associated risks
- · Withdrawal and associated risks
- Addiction medication needs

Dimension 2 – Biomedical Conditions

- Physical health concerns
- Pregnancy-related concerns
- Sleep problems

Dimension 3 – Psychiatric and Cognitive Conditions

- Active psychiatric concerns
- Persistent Disability
- Cognitive Functioning
- Trauma exposure and related needs
- · Psychiatric and cognitive history

Dimension 4 – Substance Use Related Risks

- · Likelihood of risky substance use
- Likelihood of risky SUD-related behaviors

Dimension 5 – Recovery Environment Interactions

- Ability to function in current environment
- Safety in current environment
- Support in current environment
- Cultural perceptions of substance use

Dimension 6 – Person-Centered Considerations

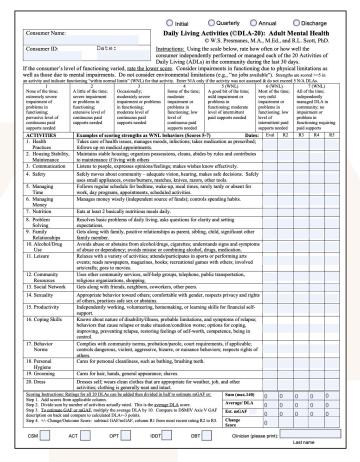
- · Patient preferences
- · Barriers to care
- Need for motivational enhancement



Identifying Barriers to Engagement

- Cognitive / Learning Needs
- Mental Health / Emotional Regulation
- Motivation / Readiness Language / Communication
- Social / Relational Dynamics

- Basic Needs / Practical Barriers
- Learning Style / Preferences
- Health / Physical Considerations
- Systemic / External Pressures
- Accessibility Limitations



HTTPS://RECOVERYTECHNOLOGY.ORG/WP-CONTENT/UPLOADS/DLA20-ADULT-ASSESSMENT-OF-FUNCTIONING09.PDF



Risk Need Responsivity (RNR)

RISK (How Much?)

- Level of Risk (to re-offend)
- Match Risk & Supervision Level

NEED (What Type?)

- Factors that drive criminogenic risk (Central 8)
- Mitigate these factors = reduction in recidivism

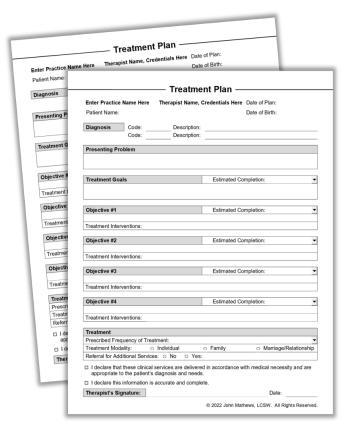
RESPONSIVITY (How to Deliver It?)

- CBT Interventions/Programming
 - Learning styles, motivation, abilities, & strengths
 - Individual characteristics and demographics

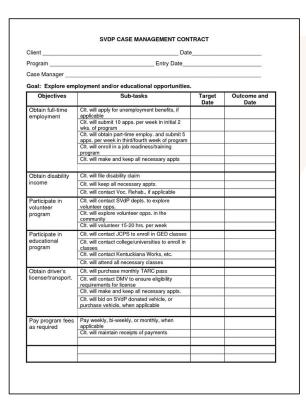


...and the two shall become one

Clinical Treatment Plan



Supervision Case Plan



Integrated Service Plan





If Integration is not Possible

Collaborate on the two plans to ensure timing and who is responsible for assisting the client.



Buy- In: A critical component

Buy-in refers to the client's psychological and emotional commitment to the treatment process. It's the extent to which they:

- Understand the purpose of treatment,
- Believe it is relevant and can help them,
- Feel ownership over their goals, and
- Are willing to participate actively.



Collaborative Case Plans require:

- Full participation from individual
- Input & engagement from family, when possible
- Input and engagement from all members of the Treatment Court Team; and other service providers, as appropriate
- Ongoing monitoring and evaluation
- Regular and consistent review and revisions
- Person-centered and strength-based language; and integration of individual's own words
- Incentives and accountability for individual; as well as for team members & service providers



Collaborative Case Plans include:

- Assessed areas of criminogenic risk & clinical needs for participant, family, and team
- Identify 2 3 SMART goals targeting individuals assessed risk & needs
- Identify responsivity concerns or other potential barriers / obstacles to attaining goals
- Identify specific treatment interventions, services, & supports to assist individual in achieving goals
- Outline specific actions and expectations for participant, family, team, and service providers
- Identify projected outcomes and how these will be measured



SMART Goal Criteria

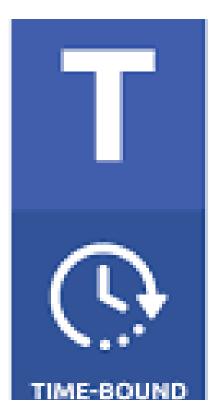












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Mental Heal	h Symptoms:		
Medical/Hea	Ith Needs:		
Transportat	on:		
Motivation:			
Insurance:			
Child Care/F	amily Needs		
OTHER			

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Collaborative Case Plan										
Participant:	Program Start Date:	Current Phase:	Phase Start Date:							
Problem Statement:	Goal Section	Review in Days								
Area of Focus (Criminogenic Need):	Treatment Objectives/Strategies:	Supervision/Case Management Objectives/Strategies:	Recovery/Prosocial Support Objectives/Strategies:							
GOAL:										
Responsivity factors to address: 1										
2. 3.										
Resiliency Factors in place:										
1. 2. 3.										
Incentive:										
Notes/Updates:										

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Sample Process for Integrated Case Planning



- 1. CM obtains appropriate ROI's from participant to engage & share information with all parties
- 2. Upon admission and following each phase advancement the participant, family members, team members, peer mentor, and treatment providers meet together to develop / revise case plan
- 3. Participant and appropriate team members present results of risk & need assessments, identify responsivity issues, and update group re: current status/progress in treatment, supervision, and ancillary services
- 4. CM elicits feedback & facilitates discussion to prioritize 2 3 goals targeting specific risks / needs identified in assessment

Sample Process for Integrated Case Planning, continued



- 5. Participant (and group) provide specific objectives (actions, steps) to be taken
- 6. Team members & services providers identify specific objectives (actions, services & supports) to be provided to assist client in achieving goals
- 7. CM will complete Case Plan for review by all in attendance
- 8. CM, Participant, and team members (if applicable) will sign completed plan
- 9. If supervision, treatment, etc. are required to have separate treatment/supervision case plans; these are attached as addendums to Integrated Case Plan.
- 10. Written case plan will be provided to Participant, Treatment Court Team, and relevant service providers

Sample Process for Integrated Case Planning, continued

- 11. Team members will report on progress toward objectives at staffing, at predetermined intervals, and for phase promotion
- 12. A new plan will be developed at each phase; and may be reviewed as necessary if there are concerns with one's progress or when additional risks, needs, responsivity issues are identified





Effective Practices in Correctional Settings (EPICS-II)

Risk Assessments tell us what areas needing targeted intervention, but not the how or why

- Antisocial Peers identified as an area, but not the how these peers fit into the offending patterns or how the individual ends up around these peers
- Unemployment identified, but not the why past experience is can make money faster selling drugs or has no work history, resume, or job seeking skills

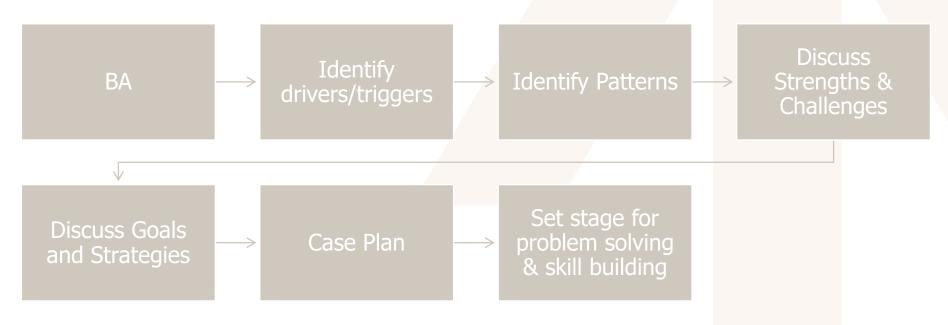
EPICS (Relationship, Assessment, Intervention, & Bridging Skills) help individual and team:

- Understand past and current behaviors
- Identify high risk people, places, things and thoughts or situations
- Focus on skills to avoid the people, places, things or situations OR cope with the situation

Behavioral Analysis (BA)

Recommend completing a BA as soon as possible upon start of supervision (EPICS-II Training Manual).

Assist with creating better case plans.



Behavioral Analysis (BA) Worksheet





More of the How & Why: Common Drivers for Criminogenic Domains



Antisocial Personality Traits vs Antisocial Attitudes & Thinking Patterns

ANTISOCIAL PERSONALITY TRAITS

Characterized by long-term patterns of behavior:

- Disregard for rules & social norms
- Deceitfulness & manipulation
- Impulsivity & recklessness
- Lack of remorse or guilt
- Difficulty forming stable relationships

ANTISOCIAL ATTITUDES & THINKING PATTERNS

A person's belief, values & thought patterns that justify or rationalize antisocial behavior:

- Negative attitudes toward authority
- Rationalize rule-breaking
- Tolerance for deviance
- Lack of empathy

Drivers

SUBSTANCE USE/MISUSE OR ALCOHOL & DRUG PROBLEMS

- Antisocial Attitudes or Thinking toward the use of alcohol and/or drugs
- Poor Coping Skills
- Family & Social Relationships
- Lack of Prosocial Relationships or Activities
- Mental Health
- Physical Addiction- DSM-V Diagnosis

EDUCATION/EMPLOYMENT/ FINANCIAL

- Interpersonal Skill Deficit
- Educational/Vocational Skill Deficit
- Antisocial Attitudes/Cognitions
- Substance Use
- Medical or Mental Health Needs
- Logistical Barriers



Drivers

FAMILY/MARITAL

- Antisocial Attitudes and/or Thinking
- Antisocial Peers or Family
- Abuse, Neglect, or Trauma
- Dysfunctional Family or Significant Other Relationships

RESIDENCE/NEIGHBORHOOD

- Lack of Stability
- Lack of Contact with Prosocial People/Environment
- Housemates and/or Neighborhood with Antisocial Influences/Tendencies
- Substance Abuse
- Logistical Barrier(s)



Drivers

ANTISOCIAL ASSOCIATIONS

- Peer Pressure
- Desire for Acceptance or Status within Antisocial Peer Groups
- Isolation from Prosocial Peers and Mentors

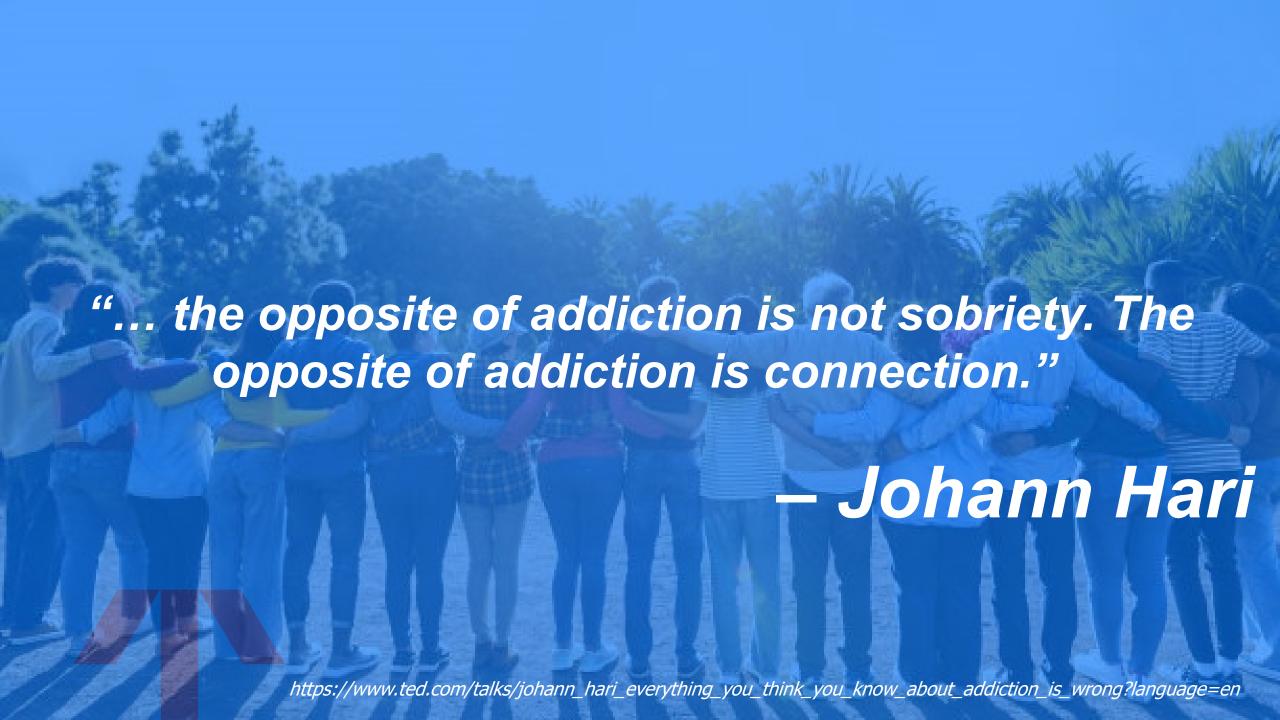
LEISURE/RECREATION

- Lack of Structured, prosocial recreational activities
- Boredom or Lack of Purpose
- Social Environments that Encourage Criminal Behavior



The Linchpin: Recovery Capital







Recovery Capital: It's About Connection

- Connection to Self
- Connection to Others
- Connection to Resources





THE IMPACT OF TRAUMA

- ALL 10 statements in the ACEs
 Questionnaire are related to a rupture
 of interpersonal relationship.
- 12 of the 14 statements in the ACEs resiliency questionnaire are related to interpersonal connection.
- Individuals with ACE scores ≥5 are seven to 10 times more likely to report illicit drug addiction compared to those without ACEs.
- Each ACE increased the likelihood for early initiation 2- to 4-fold.

AIIRISE

ADULT TREATMENT COURT

Best Practice Standards

Definitive guidance for treatment court practitioners

- Higher levels of parental and familial support are associated with significantly better outcomes in treatment courts and other criminal justice programs, whereas family conflict or parental distress is associated with significantly poorer treatment.
- A multisite study of 69 adult drug courts found that programs offering family counseling and parenting services were approximately 65% more effective at reducing recidivism than those not offering these services.
- A study of 142 treatment courts found that the racial disparities in outcomes in programs offering family or domestic-relations counseling were 78% smaller than in programs not offering these services.

Putting It All Together!





Meet with, treatment and supervision/case management, outside of staffing (in person or Zoom)



Emails



Shared document drive



Use of collaborative case plan form



Ask the Expert

https://allrise.org/trainings/ask-the-expert/



Scheduled times with experts on various key topics

Submit a Question

Submit a question to the All Rise team

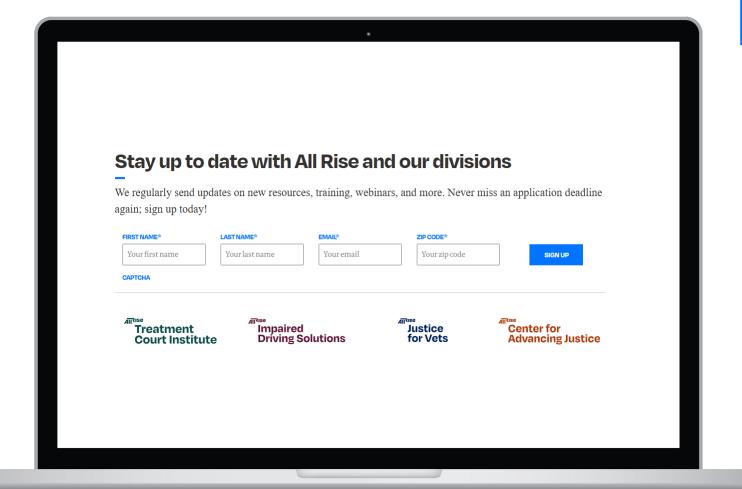
Schedule a Consultation

Schedule a consultation with the All Rise team



All Rise Email Blast

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Evaluations



- 1. On your compatible phone or tablet, open the built-in camera app.
- 2. Point the camera at the QR code.
- 3. Tap the banner that appears on your phone or tablet.
- 4. Follow the instructions on the screen to complete the evaluation.
- 5. After completion, you will be provided with a certificate that can be saved and printed.

Questions?



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