

State of Ohio  
Specialized Docket Data Collection  
FAQs

**LOG-IN CREDENTIALIALS**

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- **How do I obtain credentials for the data application?**
  - Credentials for the data application are associated with the Ohio Courts Network (OCN) credentials. Please complete this process for everyone that you would like to give access to the Specialized Docket data application, even if they already have OCN credentials.
  - Contact the OCN Helpdesk [OCNHelpdesk@sc.ohio.gov](mailto:OCNHelpdesk@sc.ohio.gov) to request OCN credentials (if needed) and access to the Specialized Dockets data application, for court employees.
    - In the email request, please include the following information:
      - Name of person to be given access
      - Court to which they belong and that is making the request
      - Email address
      - Phone number
      - If this individual currently has an OCN account, please include their current OCN username.
  - If you would like a non-court employee to have access to the application, the specialized docket judge must send a request to Monica Kagey at [monica.kagey@sc.ohio.gov](mailto:monica.kagey@sc.ohio.gov).
    - In the email, please include the following information for the person to be given access:
      - Name
      - Title
      - Email address
      - Phone number
  - If multiple accounts are needed for one docket, you may submit one request for all individuals at the court rather than multiple individual requests, though please include all information above for each individual.
- **I already have OCN credentials, why am I not able to log in to the Specialized Docket Data Collection page?**
  - Even if you (or other staff) currently have OCN credentials, a request must be made to the OCN Help Desk to request access to the Specialized Dockets data application. See details above.
  - *Though the credentials are the same, you will use these credentials to log-in to a separate portal for the data submission, not the OCN itself.*

- **What do I do if my OCN password expires?**
  - OCN passwords expire every 120 days. Each time staff log into the data application, there will be a notification as to the date on which the current password will expire. To initially set up the security questions allowing users to change/update passwords independently, the user must go to: <https://ocnv2.ohiocourts.gov/Services/accounts/>. That page will display a few options. The second link on the screen, **“Answer and/or change your answers to your password reset questions,”** is the option to click on to establish the security questions.
  - If credentials have expired completely, the user will need to contact the Help Desk via phone at 614-387-9980 to reset the password.
  
- **How do I log-in to download the spreadsheet and upload my data?**
  - You will use OCN credentials to [log-in to the application](#) to download a blank spreadsheet (only once) and submit your data (a minimum of once per month). If the person that will be doing the reporting already has OCN credentials, you may use those. If you need credentials, see the FAQ above about obtaining credentials.
  - There is no maximum number of credentials that one docket can obtain. In other words, if there are seven staff members that may submit data, you may request OCN credentials for each of those seven staff members.
  
- **Data is supposed to be entered for new referrals after July 1. Do you want data from current participants after July 1?**
  - On July 1, you should have entered the information for your docket’s current participants at that time. Beginning July 1, you start recording every referral that comes in and update them to participants as the application process proceeds.

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#### DATA SUBMISSION DIFFICULTIES OR ERRORS

- **I have not received a confirmation email within two hours of submission. What do I do?**
  - If you do not receive a confirmation email, please verify the following:
    - All of the information on the front page (Docket ID, Capacity and email address) is filled out completely. This doesn’t have to be reentered each time, but for every row of information that exists on the “Court Information” tab, it must have all three pieces of information.
    - That you are using the most recent version of the data collection spreadsheet. You likely are, but if you are not sure, you can download another blank copy from the data collection home page and copy and paste your information and upload again.
  - If you are sure that the problem is neither of the issues above, please contact Christine Hahn: [Christine.Hahn@sc.ohio.gov](mailto:Christine.Hahn@sc.ohio.gov). She will work with you to resolve the situation.
  
- **I submitted my report and received a message that I have several errors, what do I do now?**
  - You will receive a message with detailed errors. It may look overwhelming, but that is because it lists every individual row/column error separately. As you look through, you will likely see the same error for multiple rows, such as ROW X “Secondary Substance of Use cannot be blank.” This just means that for each row that you receive that message, you need to adjust the information. For the example, it means you would need to select “No substance use” instead of leaving the field blank. For information about which fields

can and cannot be left blank, please consult the [Specialized Docket data collection instructions](#).

- **I received a message that reads “The file you are attempting to upload is not what was expected. Only Excel (.xlsx) files will be expected.” However, the file I am attempting to upload is an Excel file! What do I do?**
  - Unfortunately, this happens sometimes as a result in irregularities either in local desktop computer or browsers. This also happens with the regular case statistics reporting occasionally. If this occurs, please try changing your browser. This application tends to work best with Internet Explorer or Edge. If that does not work, you may want to try submitting the data from a different computer. If you are still receiving this message, please contact the Christine Hahn at [Christine.Hahn@sc.ohio.gov](mailto:Christine.Hahn@sc.ohio.gov) and she will work with you to resolve the problem.
- **Do we need to notify if there are corrections or changes other than making the changes to the spreadsheet?**
  - No. If you find an error, simply correct the information in your spreadsheet and upload it again. You may upload as often as you like. If you do find an error, it is recommended that you fix it and upload a corrected sheet as soon as possible so that erroneous data is not reported.

## PRIVACY CONCERNS

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- **Since I am supplying identified information (name, address, phone, etc.) do I need to require each individual to sign an informed consent waiver to permit us to share information with the Supreme Court of Ohio as well as the OARRS database (through the Ohio Board of Pharmacy)?**
  - The identifiable information contained in your spreadsheet will be passed on to the Board of Pharmacy and not retained in the Supreme Court’s records. All of the participant information kept in the database will be linked only through the ID number you assign each referred individual (in Column A). For this reason, a waiver is not required.
  - Accordingly, if you determine it is necessary to have your participants sign a waiver applicable to the sharing of their information contained in the spreadsheet, the third party to be addressed in that waiver would be the Board of Pharmacy. Patients do not, though, consent to their doctor and/or prescriber entering information into OARRS. A possible solution is to have the client sign a limited scope release for the Board of Pharmacy, consenting to the disclosure of their name, etc. and docket participation due to substance use disorder.
- **Do HIPAA guidelines and 42CFR have an impact on the substance use and SUD information requested?**
  - No, as the Supreme Court will never know who the client is, because we only store de-identified information. Therefore, identified information is not available to be requested as public record.

- **Does the maintenance and existence of this spreadsheet violate the court’s Sealing Order?**
  - No, as the Supreme Court will never know who the client is, because we only store de-identified information. Therefore, identified information is not available to be requested as public record.

## **PARTICIPANT INFORMATION SECTION**

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- **What do you mean by a “referred” individual? Is that one who completed an application to the docket or just one who is referred to the docket?**
  - By “referred,” we mean all of those that are officially referred to the specialized docket by a judge. You will fill in additional information when/if the individual goes through the application process. Or, if there is no more action, you may select “unable to complete referral” in Column W. See page 6 of the [Specialized Docket data collection instructions](#) for details.
- **I am getting submission errors because we have blank spaces for referred individuals, but we do not know all of the required information yet. What do we do?**
  - We suggest keeping track of those that are going through the referral process separately and entering all referral information when you have it ready. You may want to keep a second local copy of the spreadsheet that you *never* submit and is just used to keep track of referrals that are in progress. When they are complete, you can copy and paste them over to the sheet you use for submission. Also, keep in mind that you are required to only submit the report once a month, so you can have “partial” records in your submission spreadsheet for several weeks with no problem, as long as they are complete when you submit the report.
- **How do you suggest we track referrals? Our application is accessible to providers, attorneys, etc. so we don’t know who all is being referred.**
  - Count only those that you know as being referred (usually by a judge) as a referral.
- **Should we be including all referrals from the past or just going forward?**
  - All dockets are required to begin including all referrals on July 1, 2019. You may start collecting this information any time prior to this date, if you wish. If you begin on a date prior to July 1, please record the date you begin, as that will assist with future data analysis.
- **We utilize a combined application for Drug Court and Mental Health Court then decide which docket prior to sentencing. Do both coordinators then add the applicant to the excel sheet?**
  - Yes, the individual should be added as a referred individual to both dockets and then their status should be updated when sentencing occurs. For example, if the person is seen as a better fit in drug court (and agrees to participate) they should be marked as “Accepted” in Column W on the Drug Court excel sheet and as “Not meeting participant criteria” for Mental Health Court.
- **If someone is accepted into the docket, but the sentencing judge does not sentence them into the docket how should it be indicated in “Acceptance or Rejection from Docket” (Column W)?**

- For the time being, this situation should be coded as “not meeting participation criteria.” As the data collection evolves, we may add an additional category here. If that happens, you will be informed.
- **If we have a referral that starts the process, gets a warrant and therefore cannot be officially placed in the system, do we leave that person on the sheet or close it until they get arrested?**
  - Once someone is on your spreadsheet, they should never be deleted. If someone begins the application process and has a warrant, you may keep that open for as long as you see fit. If they are then arrested and not able to participate or finish the referral process, you may choose “unable to complete referral” or “not meeting participation criteria” in Column W.
- **How do we enter information for candidates who fail to comply prior to an interview and information cannot be obtained?**
  - Please fill out all of the information with the green headers. If you do not know the information and it is a yes or no question, select “no.” For “acceptance or rejection from docket” (Column W), select “unable to complete referral.”
- **How do we choose ID numbers for participants?**
  - That is completely up to you, but it is important that these ID numbers do not change for the entirety of their involvement in the docket. (They should not have one ID number when referred and another after they are accepted, for example.)
  - We recommend that this number be something that is not easily identifiable. For this reason, we *do not* recommend using case numbers.
- **If a candidate is referred to the docket at a later date (for a second charge, for example) do we use the same ID number or use a new one?**
  - If an individual is referred to the docket and they are not currently participating or going through the application process for an earlier charge, give them a new ID number.
  - If an individual gets referred to the docket through a new offense and is currently participating, do not give them an additional ID number. Just indicated “yes” under “New Criminal Offense” (Column AR).
- **I thought this data collection was de-identified? Why are you asking for name, address, etc.?**
  - The data that is stored at the Supreme Court (and will be available as public records) will not include any identifiable information. We ask for that information because we are transmitting information to the Board of Pharmacy to indicate in a patient’s record if they are currently in a specialized docket and being treated for a substance use disorder (only for adults). They need identifiable information to match records in their database.
  - Though the Supreme Court will not store this information, we recommend that you keep this information up-to-date to ease with your record keeping.
  - Please see pages 4 and 5 of the [Specialized Docket data collection instructions](#) for further details.
- **What if the client is homeless? What should be entered in the address field?**
  - If an individual is homeless, please enter the address of the shelter or where they sleep. If all else fails, please use your court’s address.

- **Are courts required to constantly update (throughout each participant’s entire time in the program) the list each month in regards to employment, insurance coverage, etc. or just upon accepting a new referral and upon exit?**
  - Columns AH through AL-Employment Status at Referral are only for the point in time when the individual is referred to the docket. Columns AM through AQ-Employment Status at Exit are only for the point in time when the person exits the docket. (See page 8 of the [instructions](#).)
  - Columns AW through BA-Participant Funding would be updated as changes occur. (See page 9 of the [instructions](#).)
  
- **Where is “methamphetamines” in the substance used dropdown boxes?**
  - Since methamphetamine is a subtype of amphetamine, it is captured under “amphetamines.” Please see page 6 of the [instructions](#) for more details.
  
- **If we do not have information on a tertiary substance of use (Column V), why is do we receive an error message?**
  - If an individual does not have three substances of use, choose “no substance use” under Column V. The same thing applies if they only have one, or zero, substances of use. Select “no substance use” if nothing applies. If the columns are left blank, you will receive an error message.
  
- **Does a new criminal offense (Column AR) include traffic offenses?**
  - Yes, if the participant is charged with a new, criminal traffic offense while participating in the docket, please indicate “yes.”
  
- **Are we tracking new charges or only new convictions as a “new criminal offense” (Column AR)? If the offense occurred prior to participation but disposition occurs while in the docket, is that included.**
  - Select “yes” in this column only for a new charge (not a violation) on an act that occurred while the individual was a participant in the docket. See page 8 of the [instructions](#) for more information.
  
- **If an individual has VA Healthcare, how is that recorded in the funding section?**
  - VA healthcare falls under “Other Funding.”
  
- **Does “Treatment Prior to Referral” (Column AS) refer to any past treatment or treatment just at the time of the offense?**
  - This does not refer to just any past treatment. If the individual was engaged in treatment for the clinical need that is outlined in your docket’s clinical criteria at the time of referral, please select “Yes.”
  
- **If an individual enters and exits treatment through their course of participation in a docket—such as going AWOL from treatment, getting a warrant, going to jail, and then reentering treatment—do we change treatment start and end dates (Columns AT and AU)?**

- Treatment can definitely be fluid in dockets. If this occurs, use the initial start date as the starting date and the final end date. As long as they are a participant in the docket, we acknowledge changes and lapses in treatment may occur for various reasons.
- **Could you please explain “Submit to OARRS” (Column M)?**
  - This is for specialize dockets that treat individuals for substance use disorder. If you have an individual accepted into your docket that has a substance use disorder diagnosis for which they are receiving treatment in the docket, you will select “yes” in this column. This information is transmitted to the Board of Pharmacy’s OARRS system to inform providers that this individual is currently in treatment for a substance use disorder. You do not have to do any individual submission to OARRS.
  - Further details about this column, including what courts are excluded from this measure, can be found on page 5 of the [instructions](#).
- **If someone has a substance use disorder but is not receiving treatment, can we still select “yes” for “Submit to OARRS” (Column M)?**
  - No. A “yes” in this column should only be used for those being treated for a substance use disorder in the docket.
- **What is the definition of being treated for a substance use disorder? Can that just include combined mental health and substance use individual counseling?**
  - If the treatment plan diagnosis includes substance use disorder and treatment for substance use disorder, then they are being treated for a substance use disorder.
- **Do you expect us to change the risk assessment date and result (Columns Q and S, respectively) when an individual is reassessed in ORAS, or is this information just for entry?**
  - Please record the risk assessment date and result only at entry. We are interested in the risk level when individuals are referred to or enter the docket.
- **What if your court does not use ORAS?**
  - If your court does not use ORAS, please select the risk assessment tool that is used in Column R. If you use a tool not listed, select “Other tools not otherwise listed.” If you do not use a risk assessment tool, select “No risk assessment tool used.” For a list of risk assessment tools, see page 6 of the [instructions](#).
- **If we utilize ORAS-CST, what do we select as a risk assessment tool (Column R)?**
  - In this case, please select ORAS.
- **If a participant is incarcerated and/or committed to DRC, but are not exiting the docket, should we still enter that or is this only if they are terminated?**
  - Only use Column BC to indicate incarceration if they have exited the docket. If you still consider the person active in your docket, you do not need to indicate the temporary incarceration.
- **If the Docket Exit (Column BB) is successful, is the Additional Exit Code (column BC) just left blank?**
  - Yes. Column BC is only filled in if the individual is incarcerated following their exit from the docket. Further details can be found on page 10 of the [instructions](#).

- **Can I delete people (i.e. rows) from the spreadsheet when they exit the program?**
  - No. Please do not delete any rows at any time from your spreadsheet. That will remove them from the database. Treat this spreadsheet as a historical document; the list should be of all individuals referred since your report start date (no later than July 1, 2019).
- **If legal custody of a child is granted to someone else, is that child still listed on the “Number of minor children” field (Column AG)?**
  - Yes. The only reason a minor child should *not* be counted in this field is if parental rights have been terminated. (See pages 7-8 of the [instructions](#).)

## CHILD WELFARE SECTION

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- **When a child is successfully returned home, does the legal status (Abused, Neglected, and/or Dependent) change to ‘No’? Or, once they are adjudicated does it stay that way in the spreadsheet?**
  - The legal status remains. Once they are adjudicated, they remain adjudicated, even when an additional line is entered due to a status change (such as reunification).
- **How do we choose ID numbers for children?**
  - Again, you can do this however you want. On the Child Welfare page (only currently required for Family Dependency Treatment Courts), you must enter the ID number of the parent from the previous tab and then a child’s ID number. You might want to make it something that seems to fit together. If the parent is FDC001, the child may be FDC001a.
- **We have several couples... So for example Jane Doe is #13 and John Doe is #14 and they have two children 13-A & 13-B. Is this sufficient? How will you know that 14 is a companion case with 13? I just don’t want it to appear on the sheet that 14 does not have any kids or would you automatically assume that they are a couple?**
  - The children should be listed under both parents. So the same children would be not only 13-A and 13-B but also 14-A and 14-B. We won’t know that 13 and 14 are a couple, but that is ok. We just want to keep track of a participant and their children.
- **We have had several clients have new babies. So for example Jane Doe #13 has a baby between reporting periods. In the next period do we add a line under 13A& 13B or do we add 13-C to the bottom of the list?**
  - You can add a line under the other children or to the bottom of the list—whatever is easier. Only add the child to this sheet if the child is subject to the FDTC case/a court filing. If not, just increase the number of minor children on the adult spreadsheet. You can sort the Excel columns, if it is useful to you. So, you can add the row at the bottom of the spreadsheet and then you can sort by the child’s ID number, which places all of the children of one participant together.

- **So we have a new referral Susie Q #44. Do we add Susie's kids in now? Or wait until after she is accepted to track the kids?**
  - Add her kids now. We understand that should she not enter the docket, the child's information may not be complete or ever updated.