



**Court Services and Offender Supervision Agency
for the District of Columbia**

*Community Supervision Services
Office of the Associate Director*

MEMORANDUM

TO: CSS Staff

DATE: April 26, 2004

FROM: Thomas H. Williams, Associate Director (*signed*)

Re: Automated Alleged Violation Report (AVR)
Subject: SMART Note No. 54

I am very pleased to inform you that SMART now has the capability to create automated Alleged Violation Reports (AVRs) directly from SMART in a word file format for quick review and editing. The new AVR report will replace the Report of Alleged Violation Report (RAV), the Technical Violation Report (TVR), the Civil Protection Order (CPO), and the Deferred Sentencing Agreement (DSA) non-compliance reports.

Attachment #1 provides detailed instructions on how to generate and print the AVR report. In addition to these instructions, the SMART help menu is available to provide additional instructions on using this reporting capability. However, if you determine that you need additional assistance in using this module, or encounter any difficulty in running the report, please contact the IT Help Desk.

Your comments on the module are appreciated and should be sent to Debra M. Kafami, Supervisory Management Analyst. Many thanks to IT and CSOSA staff who provided input on this module.

cc: Paul A. Quander, Director
Frank Lu, IT Development Manager
Ginger Lynch, SMART Project Manager
Kathleen French, IT Web Developer
Denise Gaston, Executive Assistant to the Director
Calvin Johnson, Director of Research & Evaluation
Jasper Ormond, Associate Director, CJP
Jim Williams, Associate Director, M&A
Debra Fulton, Special Assistant to the Deputy Director
IT Help Desk

McKinley Rush, Deputy Associate Director, CSS
Debra M. Kafami, Supervisory Management Analyst
Joyce McGinnis, Management Analyst
Beverly Hill, Chief of Staff
Christine Keels, Executive Assistant
Gradie McCray, Executive Assistant
David Huffer, ORE
Cedric Hendricks, Associate Director, OLIPA
Pereuna Johnson, Director, Training & Career Dev.
Laurence Wolfe, Chief Technology Officer

ATTACHMENT #1

ALLEGED VIOLATION REPORTS (AVRs) INSTRUCTIONS

The following steps detail how to use the AVR module in SMART to create an AVR report and track what happens to the AVR and the offender, as a result of submitting the AVR and the offender having a hearing. In addition to these instructions, a Quick Reference Guide is available through the SMART Help menu to further assist you with the AVR process.

In order to have an AVR report automatically generated from SMART, you must first have one or more violations with corresponding sanctions in SMART. **If you do not have a violation and sanction in SMART, you will not be able to create an AVR report in SMART.** This report also will download running record entries into the report. You will have the ability to select the time period from which to download the running record entries, and be able to pick and choose which running record entries to place in specific areas of the report, to add support to your allegations.

An AVR can be created in two ways, by:

- 1) Entering a violation and sanction in SMART and going directly on to select the “Save Changes and Create AVR” button at the bottom right-hand side of the Violations Window (usually the option that would be used due to a new arrest); or by
- 2) Selecting “Violations,” “Alleged Violations Report” button under the left-hand side of the “Violations” dropdown menu after one or more violations and sanctions have been entered in SMART (usually the option that would be used due to a number of technical violations).

It is very important to note that the AVR Module downloads data from the offender’s SMART record modules. Data downloaded from SMART modules include:

- CSO’s contact information;
- Offender’s age (calculated from the offender’s date of birth in SMART);
- Offender’s identifiers (PDID#, FBI#, DCDC#, and Federal Register#);
- Docket number, charge, and sentence;
- Special conditions;
- Treatment information;
- Offender’s home and work addresses and phone numbers;
- Date of last home visit;
- Length of time offender resides at a location or works at a job (based off of “moved in” and employment “start dates”); and
- SCSO’s contact information.

Therefore, it is critical that you ensure that these data are accurate and up to date in SMART as required by Agency policy. In addition, accurate data in SMART will save you work when editing the report.

I. Creating an AVR when the Offender Has a New Arrest

1. Select the offender requiring the AVR and ensure that a violation and sanction exist under the Violations menu and the Violations submenu of SMART. If not, enter the violation and sanction information in SMART, including the detailed violation information (refer to SMART Note 51, if needed). We will use a hypothetical case.

The screenshot displays the SMART system interface for creating a violation incident. The browser address bar shows the URL: <http://dc0633ap03:8888/content/violations/violationIncident.asp?Cat=8&Subcat=0&ViolationID=4691>. The user is identified as John Taberski, CSO. The form is titled "Violation Incident" and contains the following fields:

- Incident Date:** 4 / 15 / 2004
- Arraignment Date:** 4 / 15 / 2004
- Violation Discovered:** 4 / 16 / 2004
- Police Interaction:** 4 / 16 / 2004
- Police Interaction:** Adult/Arrest
- Papered:**
- PSA of Arrest:** PSA 104
- Incident Source:** Lockup List
- Pre-Trial Release Status:** 5 Day Hold/NB
- Docket Number:** F-12345-04
- Documentation of Events, Charges:** Burglary II

The "Detailed Violations" section shows:

- Violation Type:** Failed To Obey All Laws
- Violation Category:** Supervision

A "Save Changes/Add Violation" button is located below the violation details. The interface also includes a sidebar menu with options like "Personal", "Supervision", "Drug Testing", and "Violations".

2. Go to the bottom of the screen and click on the “Save Changes and Create AVR” button.

Failed To Obey All Laws Supervision

Save Changes/Add Violation

Sanction Determination

Iteration: 1
Mitigation:
Sanction Recommendation:
Actual Sanction (if different from recommendation): Submitted AVR to SCISO on 4/16/04.
Sanction Implemented: 4 / 16 / 2004
Sanction Imposed: AVR
Enter therapeutic intervention in: **Running Record**

Warrant

Detainer:
Warrant Number:
Warrant Date: / /
Warrant Approval: / /
Warrant Executed: / /

* - Required field.

Save Changes **Clear Change** **Save Changes and Create AVR**

3. The “Alleged Violations Report Details” screen will display on the screen, as shown below.

User: Taberski, John CSO

PDID:
CSOSA:

Alleged Violations Report Details

Report Creation Date: 4 / 16 / 2004
Case Type:
Releasing Authority:
Hearing Judge:
Case Analyst:
Hearing Docket Number:
Beginning of Violation Period: / /
Offender Adjustment:
AVR based off of a rearrest?:
Action Recommended:
Potential Risk:

Save and Continue

4. The “Report Creation Date” is automatically filled for you and is the date that you are creating the AVR.
5. Select a “Case Type” from the drop down menu. The selection, here, will **automatically** populate the next data field, “Releasing Authority.” The releasing authority options are:
 - Assistant United States Attorney for Civil Protection Order (CPO) and Deferred Sentencing Agreement (DSA) cases;
 - D.C. Superior Court for probation cases; and
 - United States Parole Commission for parole and supervised release cases.

For our hypothetical example, we will select parole, since the offender is on parole.

6. If the releasing authority is D.C. Superior Court, you must select a “Hearing Judge” from the drop down list. If the releasing authority is the USPC, you must select a case analyst from the drop down list. For our example, we will select case analyst Mark Bransky.
7. The next field to be entered is the “Hearing Docket Number.” This information should be entered, if known. For our example, use F-012345.
8. The field, “Beginning of Violation Period,” is the key, critical field to enter for the AVR report. **The date you enter must be the date in which the offender began to be non-compliant for the reporting period in which you want to file the AVR.** The date you enter, from that date forward, pulls the offender’s violation history information into the report and gives you the option to include specific running record entries from that date to the current date. It is very important that, if the offender had a previous AVR sent, the date you enter for the “Beginning of Violation Period” for the AVR you currently are preparing is a date that is **AFTER** the last AVR report date. If you do not choose the correct date, the AVR will include old, historical violations that were already addressed.

For our example, we will use the “Beginning of Violation Period” date of 4/1/04, although we could have chosen 4/16/04, the date a running record entry was made to reflect the date the CSO learned that the offender was rearrested.

9. The CSO then selects one of four possibilities for the field, “Offender Adjustment”:
 - Marginal;
 - Poor;
 - Satisfactory; or
 - Unsatisfactory.

For our example, we will select “Marginal” because the offender appeared to be doing well up until the rearrest. However, he was rearrested for another felony offense, although he was reporting and had satisfactory employment.

10. The CSO selects “Yes” or “No” from the drop down menu to indicate if the AVR is being created based off of a rearrest. For this example, the answer is “Yes.”

11. For the field, “Action Recommended,” the CSO is to select one of the following choices:

- Continuance;
- Revocation Hearing;
- Summons;
- Show Cause Hearing; or
- Warrant.

For our example, we are requesting a “Revocation Hearing” before the United States Parole Commission.

12. The final data field on this screen is “Potential Risk.” Here, the CSO is asked to assess the offender’s risk, which is one of the following:

- High Risk;
- Moderate Risk; or
- Potential Risk.

For our example, we will use “Moderate Risk” because this offender was rearrested for burglary and has a previous sex offender offense.

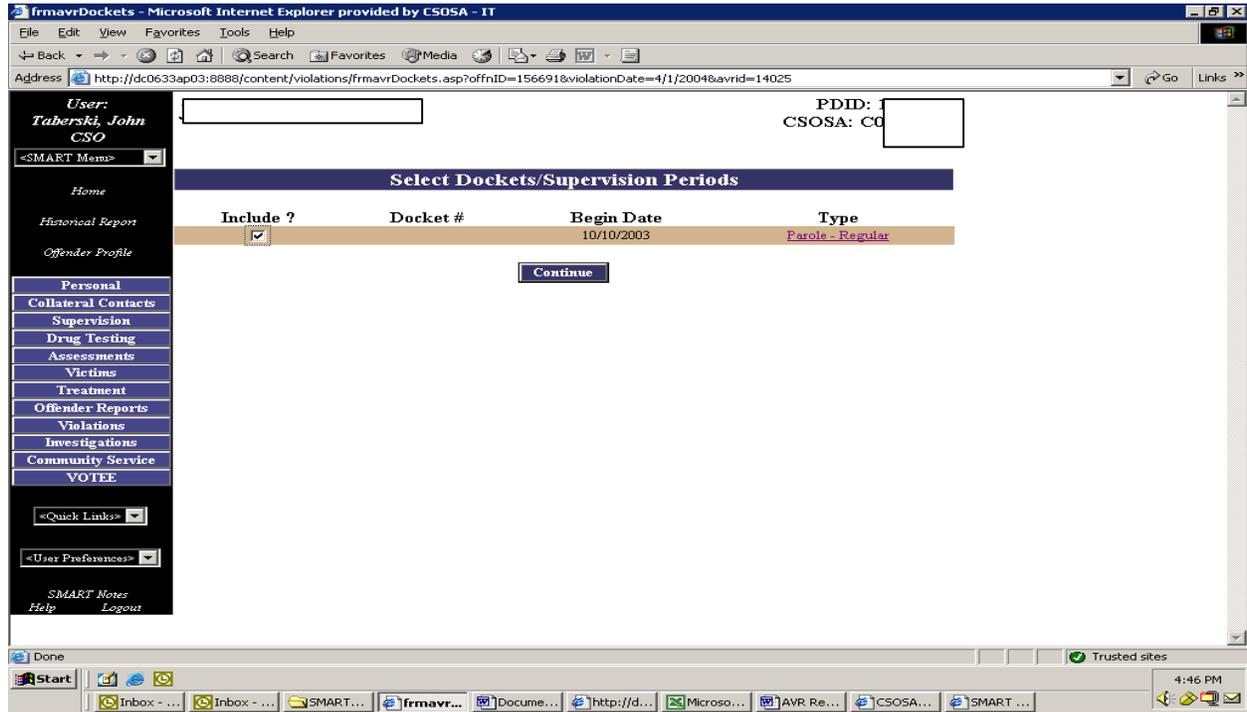
13. Once all of the data fields are entered, as in our example, below, click the “Save and Continue” button.

The screenshot displays a web browser window with the URL <http://dc0633ap03:8888/content/violations/frmavr.asp?cat=8&subCat=1&ReportType=PAR>. The user is identified as John Taberski, CSO. The main content area is titled "Alleged Violations Report Details" and contains the following fields:

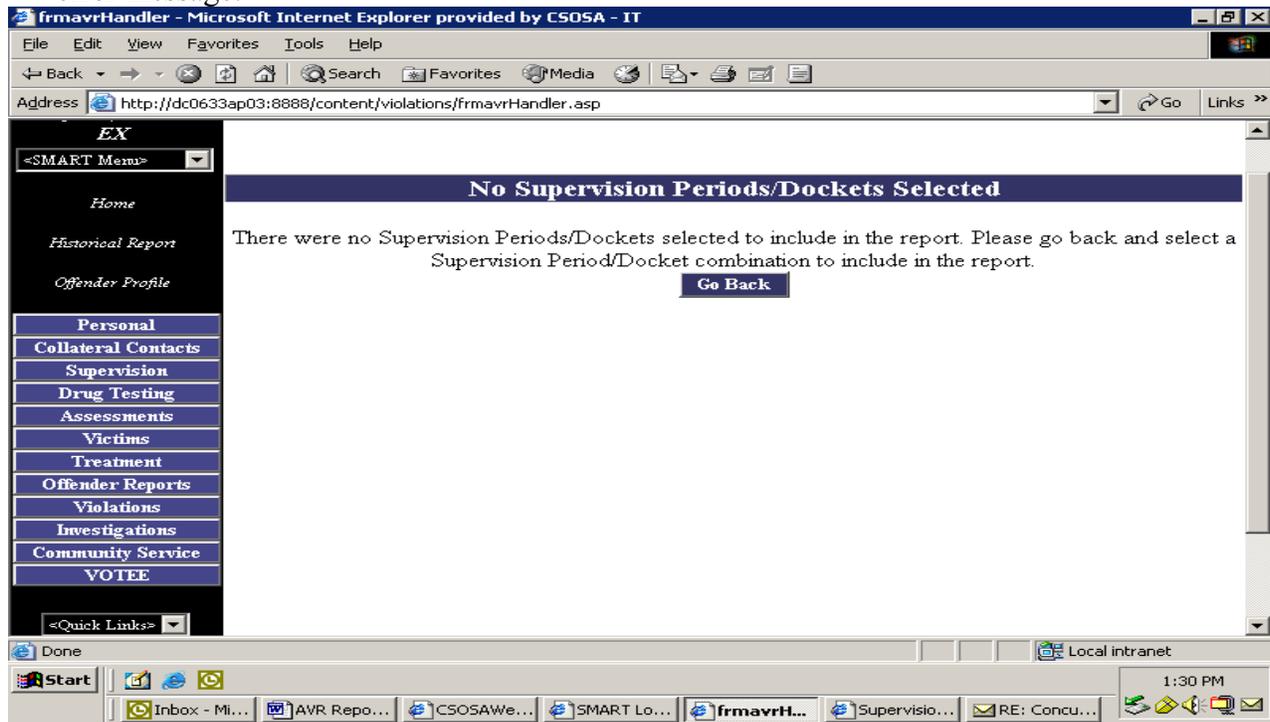
- Report Creation Date: 4 / 16 / 2004
- Case Type: Parole
- Releasing Authority: U.S. Parole Commission
- Hearing Judge: (empty)
- Case Analyst: Bransky, Mark
- Hearing Docket Number: F-012345
- Beginning of Violation Period: 4 / 1 / 2004
- Offender Adjustment: Satisfactory
- AVR based off of a rearrest?: Yes
- Action Recommended: Revocation Hearing
- Potential Risk: High Risk

A "Save and Continue" button is located at the bottom of the form. The left sidebar contains a navigation menu with options like Home, Historical Report, Offender Profile, Personal, Collateral Contacts, Supervision, Drug Testing, Assessments, Victims, Treatment, Offender Reports, Violations, Alleged Violations Report, Investigations, Community Service, and VOTEE. The taskbar at the bottom shows several open applications, including an email client and a document editor.

14. Upon saving and continuing, you are taken to the “Select Dockets Supervision Periods” screen. From this screen, click the box for the docket(s) on which you are preparing the AVR and select the “Continue” button. You must select one or more dockets.



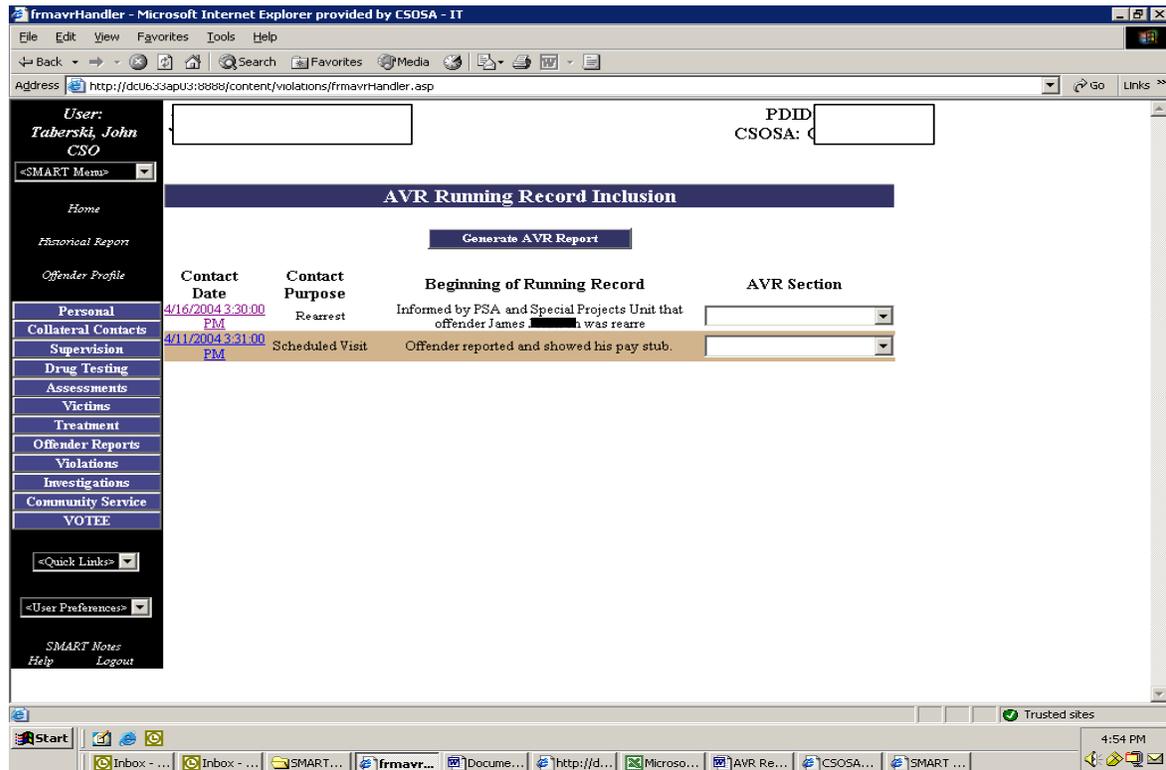
15. If you do not select a supervision period(s) to include in the report, you will get the following error message:



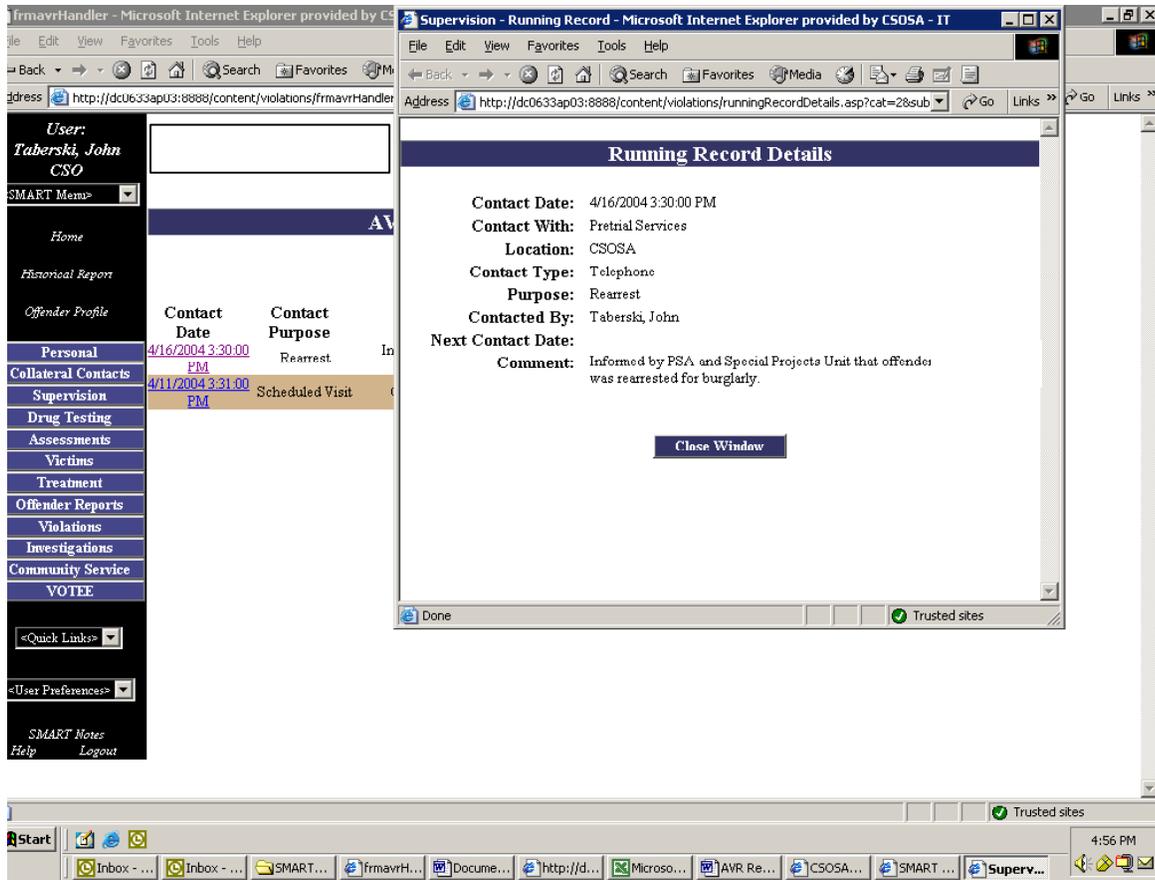
For the AVR to generate, there must be a supervision period selected.

16. The next screen to come up is the “AVR Running Record Inclusion” screen. This screen lists every running record entry for the offender from the date entered in the “Beginning of Violation Period” date (item #8).

In our example, the last running record entry was 4/16/04, and only two running records were entered in SMART since 4/1/04.

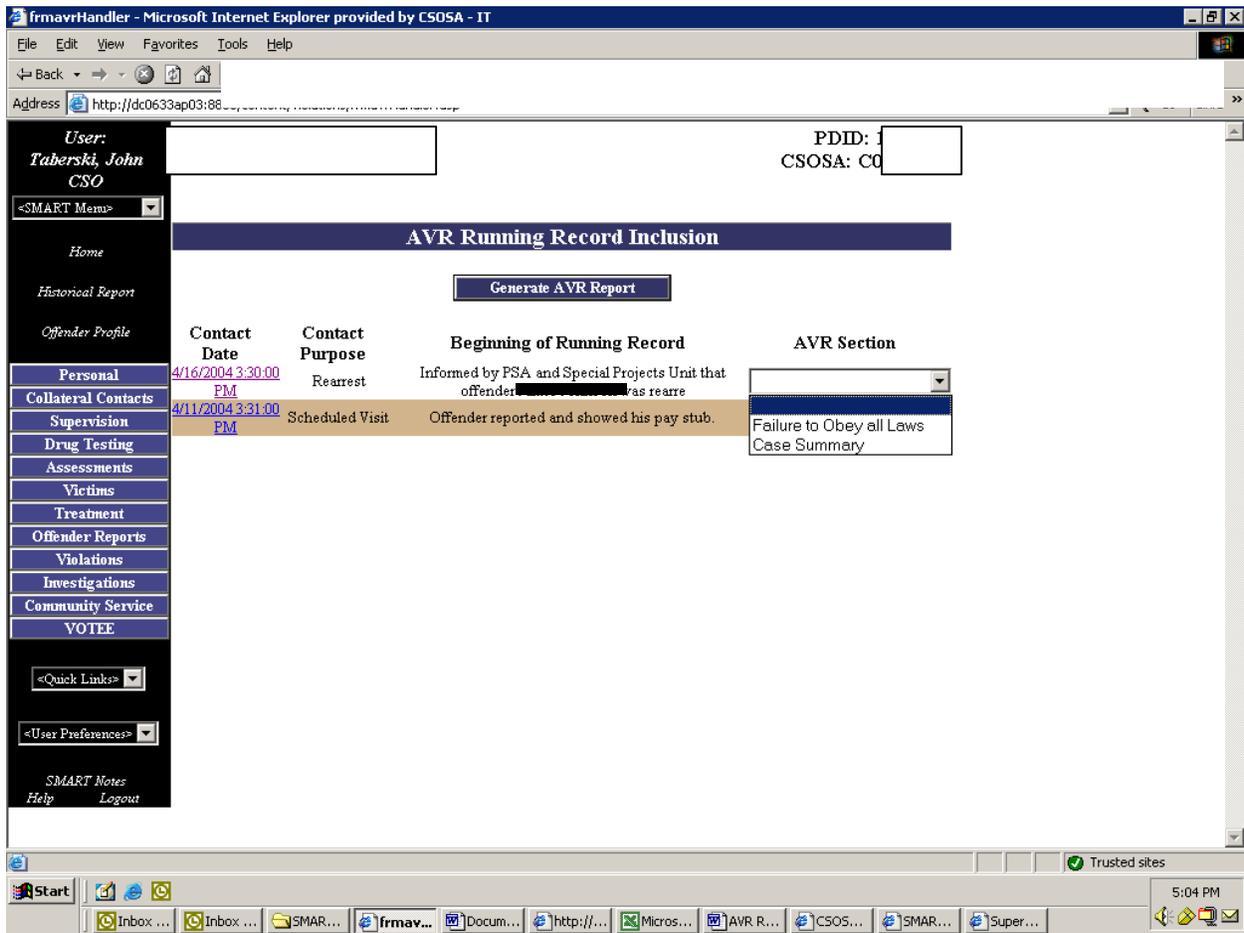


17. By clicking on the blue link for the “Contact Date,” you can pull up the entire running record entry in SMART:

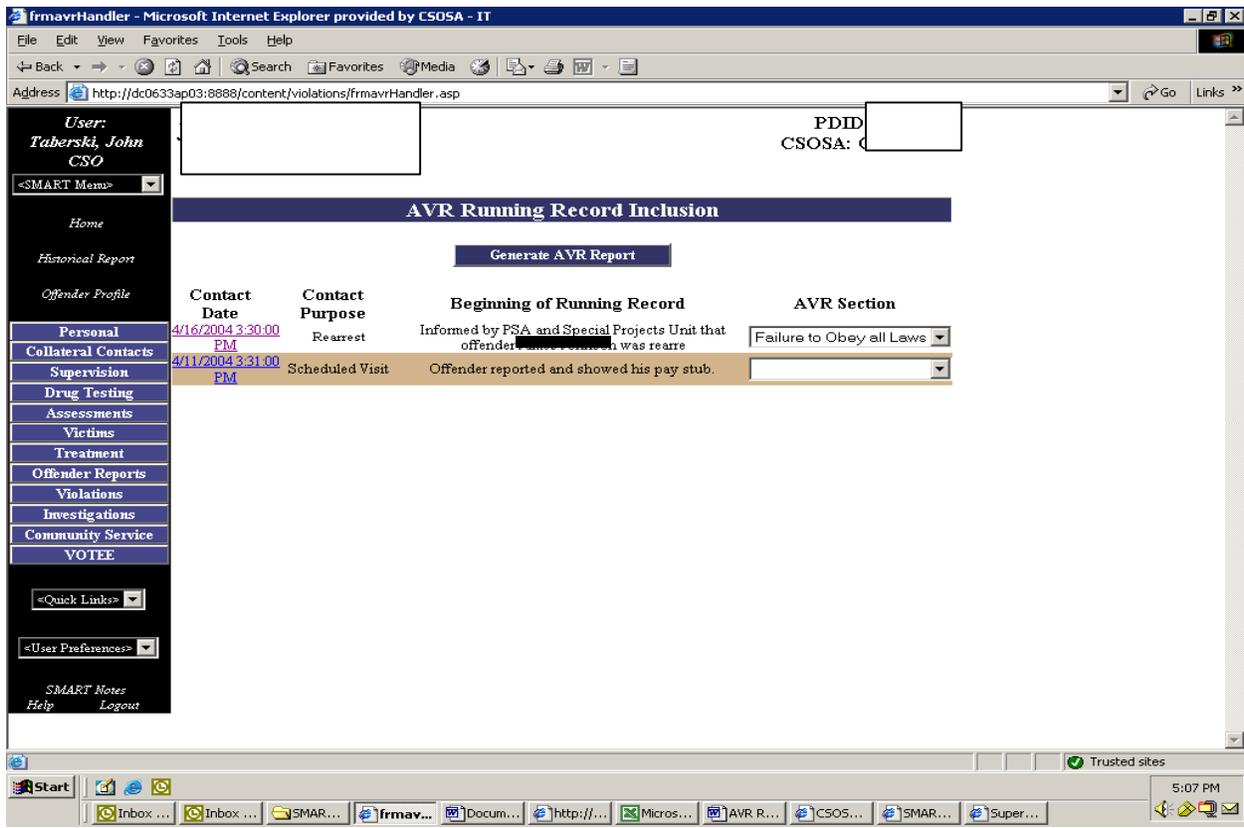


18. If you click the “Close Window” button, you return to the entire list of possible running record entries to include in the report.

19. To include an entry, click the down arrow on the right of the screen. For our example, we want to include the running record entry dated 4/16/04, which references the offender's rearrest. Upon clicking on the down arrow on the right hand side of the form, you can include this entry within one of two sections of the AVR, Failure to Obey all Laws, or Case Summary. Since we are developing this AVR based on a rearrest only, we only have this section of the AVR available to place this entry in. The Case Summary section is present for any AVR. Other AVR sections are available in the report, based on the violations entered in SMART.

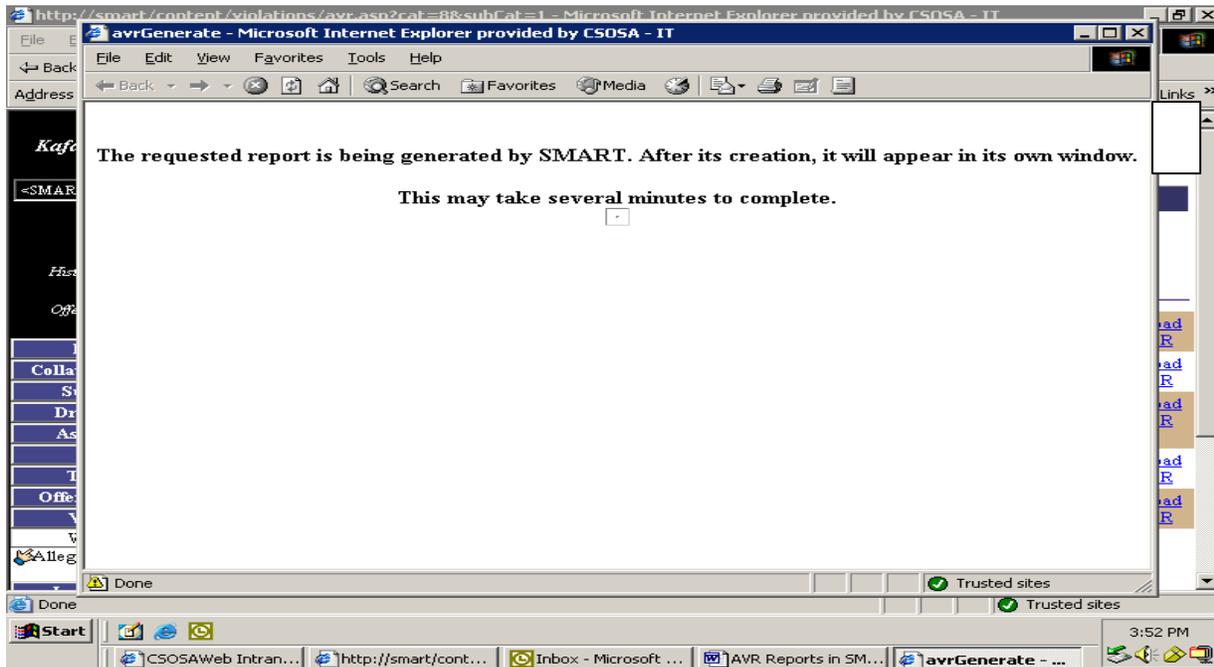


20. We will place this AVR within the “Failure to Obey all Laws” section of the report by clicking that information. Below is what the screen would look like.



We do not need to or want to include the other running record, so its AVR section designation can remain blank, as shown above.

21. Once all of the desired running record entries to be included on the AVR report are selected and designated into an AVR section, click the “Generate AVR Report.” The following screen will appear:



22. The report will take a few minutes to generate, but will appear in a word document that can be edited.
23. You will note that the generated document has text that is highlighted in red. You do not need to delete the red text. It will not appear when the document is printed. In some cases, the red text is a reminder to include some documentation with the AVR. In other cases, the red text is prompting you to enter some information about the AVR.
24. After editing the AVR as necessary, save it to your hard drive or LAN. You MUST rename the file in order to save it. You should use the naming convention that you previously used for violation reports. You will now be able to access this document through Word and edit as needed.
25. Similar steps are to be used to create an AVR based on a number of technical violations.

II. Uploading an AVR

1. After the SCSO has reviewed and approved the AVR, it is ready to be sent to the releasing authority. You need to upload the AVR to SMART.
2. To upload an AVR to SMART, simply go to the "Alleged Violations Report History" screen, click on the Upload AVR link that is on the row with the "detailed" information you previously created.

http://dc0633ap03:8888/content/violations/avr.asp?cat=8&subCat=1 - Microsoft Internet Explorer provided by CSOSA - IT

User: **Taberski, John**
CSO

PDID:
CSOSA:

Alleged Violations Report History

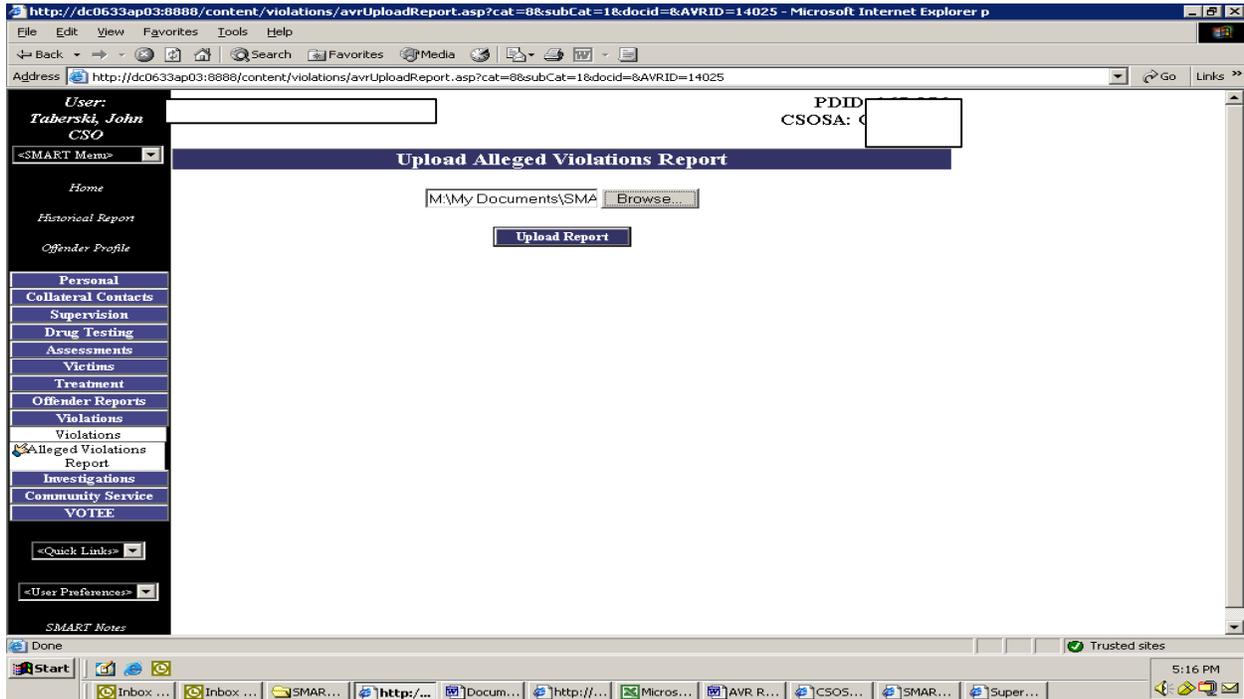
Report Date (AVR Tracking)	Report Type	Releasing Authority (Judge)	Report Sent	Disposition
4/16/2004	Parole	U.S. Parole Commission	Create AVR	Upload AVR

[Create an AVR](#)

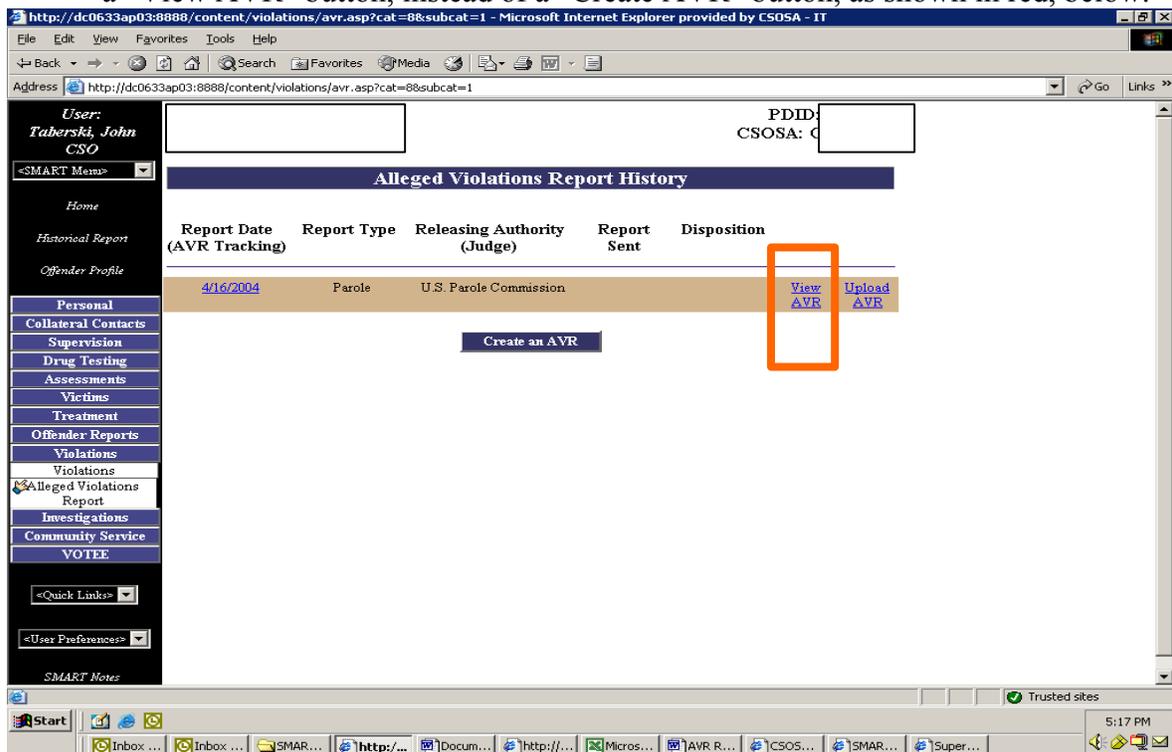
Done Trusted sites 5:13 PM

Inbox ... Inbox ... SMAR... http://... Docum... http://... Micros... AVR R... CSOS... SMAR... Super...

- From the “Upload Alleged Violations Report” screen, click on the “Browse” button and locate your previously saved AVR on your hard drive or LAN. Once you have located the AVR, click on it once, then click “Open” on the “Choose File” window.



- Back on the “Upload Alleged Violations Report” screen, click on the “Upload Report” button. The AVR has now been saved and stored in SMART. You now see a “View AVR” button, instead of a “Create AVR” button, as shown in red, below.

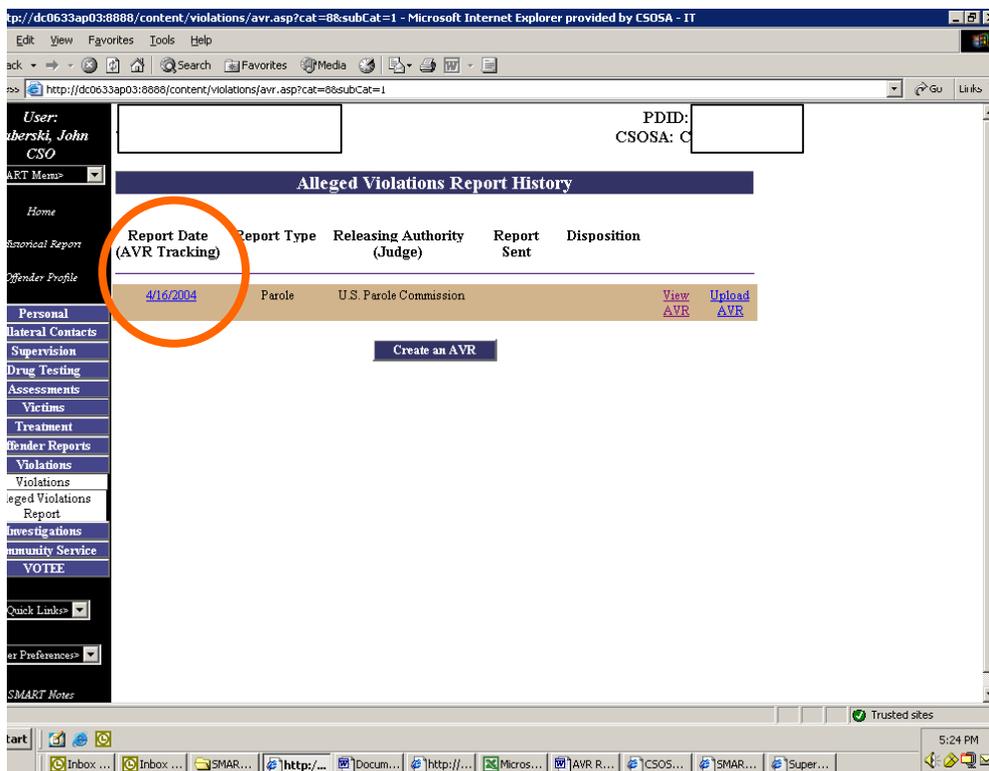


III. Editing a Previously Uploaded AVR

1. Once you have uploaded an AVR to SMART, the row on the “Alleged Violations Report History” screen will now have a “View AVR” link in the second to last column.
2. You can click on this link to open the AVR in Word and make any necessary edits to the AVR.
3. Once your edits are complete, you must save the edited AVR to your hard drive or LAN so that you can re-upload the new version.
4. Upload the new version by following the steps in the "Uploading an AVR," section II.

IV. Tracking an AVR

1. At any time after the detailed information is entered for an AVR, you can enter tracking information regarding the AVR, such as when it was submitted to the SCSO, when the SCSO approved the AVR, and the outcome of submitting the AVR.
2. From the “Alleged Violations Report History” screen, click on the blue “Report Date (AVR Tracking)” link for the row that you want to enter tracking information. The “AVR Tracking” screen will be displayed, as shown on the following page.



- On the “AVR Tracking” screen, you can enter data as is applicable for the AVR.
NOTE: The “AVR Type,” the “AVR Created” date, and the “AVR Sent to Releasing Authority” fields are repopulated from the violations screen data.

- The CSO is to record the date the AVR was submitted to the SCSO for review. The SCSO is to record the date the AVR was submitted to the releasing authority.
- Once the disposition of submitting the AVR is determined, that information is to be captured in the “Outcome of Submitting AVR” data field above, along with any relevant comments. Possible outcomes include:
 - Hearing Scheduled;
 - Letter of Reprimand Sent;
 - No Action Taken;
 - Warrant Denied; or
 - Warrant Issued.

- When hearings are held, the CSO is to record the “Initial Violation Hearing Date,” continuances, and the “Date Hearing was Concluded,” as shown, below.

Personal
Collateral Contacts
Supervision
Drug Testing
Assessments
Victims
Treatment
Offender Reports
Violations
Investigations
Community Service
VOTEE

<Quick Links>
<User Preferences>

SMART Notes
Help
Logout

Date Sent to SCSO: 4 / 16 / 2004
Date SCSO Approved: 4 / 16 / 2004
AVR Sent to Releasing Authority: U.S. Parole Commissio
Date Sent to Releasing Authority: 4 / 16 / 2004
The Honorable:
Outcome Of Submitting AVR: Hearing Scheduled
AVR Outcome Comment:

Hearing and Disposition

Initial Violation Hearing Date: 4 / 19 / 2004
First Continued/Rescheduled Hearing Date:
Second Continued/Rescheduled Hearing Date:
Date Hearing Concluded: 4 / 19 / 2004
Disposition Type: Revoke - New Offense
Hearing and Disposition Comment:

Save Changes Clear Changes

- The CSO is to update the Tracking Section as the details are determined. Staff can go into this screen and make changes as they occur. As changes are entered, staff are to select the “Save Changes” button.
- Every AVR must have an “Outcome of Submitting AVR” value and, if a hearing was held, a “Disposition Type.” These data are critical for tracking outcomes and must be completed.