DEPARTMENT OF HEALTH AND HUMAN SERVICES

Substance Abuse and Mental Health Services Administration
Center for Mental Health Services

Guidance for Applicants (GFA) No. SM 02-010
Part I - Programmatic Guidance

Targeted Capacity Expansion (TCE) Grants for Jail Diversion Programs

Short Title: Jail Diversion Programs

Application Due Dates:June 19, 2002 and September 10, 2002

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Table of Contents

Agency.. 3
Action and Purpose.. 3
Who Can Apply?.. 5
Application Kit.. 7
Where to Send the Application... 7
Application Dates.. 8
How to Get Help.. 8
Funding Criteria... 8
Post-award Requirements.. 8
Use of Funds.. 9
Grants and Cooperative Agreements... 10
Role of the Capacity Expansion Site Awardees in This Grant..................... 10
Role of the Technical Assistance and Policy Analysis (TAPA) Center Awardee in This Cooperative Agreement.. 10
Role of Federal Staff in the Capacity Expansion Site Grant TAPA Center Cooperative Agreement.. 11
Program Overview... 12
Program Objectives for Capacity Expansion Site Awards............................ 12
Program Objectives for TAPA Center Award.. 14
Detailed Information on What to Include in Your Application......................... 15
Project Narrative Review Criteria Instructions.. 17
Project Narrative Review Criteria for Capacity Expansion Site Awards.......... 17
Section A: Need for the Program.. 17
Section B: Implementation Plan... 18
Section C: Evaluation Plan, Data Collection, and Analysis....................... 20
Section D: Dissemination and Knowledge Use Plan................................. 21
Section E: Project Management and Staffing Plan.................................. 21
Project Narrative Review Criteria for TAPA Center Award.............................. 22
Section A: Need for the Program.. 22
Section B: Implementation Plan... 23
Section C: Evaluation Plan, Data Collection, and Analysis....................... 24
Section D: Dissemination and Knowledge Use Plan................................. 25
Section E: Project Management and Staffing Plan.................................. 25
SAMHSA Participant Protection.. 26
Appendix A: Assurances That Must Be Met by the Capacity Expansion Site Applicants 29
Appendix B: CMHS GPRA Client Outcome Measures for Discretionary Programs.... 30
Appendix C: Schematic Outline of the Criminal Justice Processing Spectrum........ 37
Appendix D: Logic Model for Targeted Capacity Expansion Jail Diversion Programs. 38
Appendix E: Gender-Specific Services for Women in the Criminal Justice System..... 39
Appendix F: Trauma-Specific Services for Women in the Criminal Justice System.... 49
Appendix G: Guidelines for Consumer and Family Participation........................ 58

Appendix H: Cultural Competence Resources.. 60
Appendix I: Adults in Contact with the Criminal Justice System, Co-occurring Disorders, and Jail Diversion Programs... 61

Agency

Department of Health and Human Services (DHHS), Substance Abuse and Mental Health Services Administration, Center for Mental Health Services.

Action and Purpose

The Substance Abuse and Mental Health Services Administration's (SAMHSA) Center for Mental Health Services (CMHS) announces the availability of fiscal year 2002 funds for programs to divert individuals with mental illness from the criminal justice system to mental health treatment and appropriate support services. These grants or cooperative agreements are made as part of the SAMHSA/CMHS Targeted Capacity Expansion (TCE) program. The title of this TCE program is *Jail Diversion Programs.*

This GFA on Jail Diversion, based on the Public Health Service Act, section 520G, is coordinated with the Department of Justice's solicitation "Mental Health Court Grants Program," authorized in P.L. 106-515, Part V, Section 2201.

It is the intention of both agencies to collaborate on both the implementation and analysis of these two programs. The overall goal of this collaboration is to improve policy and practice for addressing the needs of persons with a mental illness or co-occurring disorder who become involved with the criminal justice system.

To this end, each agency will fund programs that do not overlap by type of diversion model implemented. SAMHSA will fund diversion programs for pre- and postbooking diversion that do not involve continuous judicial supervision for treatment and case disposition. In contrast, the Department of Justice will fund Mental Health Courts that will be limited to models where continuous judicial supervision is a key design component.

For the SAMHSA, CMHS Jail Diversion Program, it is estimated that $4.0 million will be available to support two types of awards:

(1) Capacity Expansion Site Awards

Approximately $3 million will be available in fiscal year (FY) 2002 for up to 10 grants to support programs that divert persons with mental illness from the criminal justice system to community mental health and supportive services (submission date: June 19, 2002). Additional funds are expected to be available in the FY 2003 budget to fund a second group of Capacity Expansion Sites (submission date: September 10, 2002). Each Capacity Expansion Site is eligible to receive funding for up to 3 years.

Annual awards will be made subject to continued availability of funds and progress achieved by awardees. Given the importance of reserving resources for those programs that are most likely to be able to document program outcomes by the end of Year 3,

careful review of products delivered will be completed by the Government Project Officer (GPO) at the end of Years 1 and 2. Only those programs that have completed all required products to the satisfaction of SAMHSA/CMHS program staff at the end of Years 1 and 2 will be renewed for Years 2 and 3.

Awards of no more than $300,000 in total costs (direct and indirect) will be awarded per grant per year. In addition, applicants **must provide a non-federal share of 25%** (i.e., $100,000 out of a $400,000 project; $75,000 out of a $300,000 project, etc.). The applicant non-federal share may be made in cash or in kind fairly evaluated, including planned purchase or use of equipment or implementation of required services for clients in the diversion program.

Specifically, diversion programs should address the following objectives (see Program Overview for more detail):

- ♦ **Expansion of local services** through implementation of required interventions, as specified in section 520G of the Public Health Service Act (2002).

- ♦ **Service linkage** among mental health, substance abuse, and criminal justice systems to coordinate assessment and treatment of persons with a mental illness and dual disorders who are diverted from the criminal justice system.

- ♦ **Community outreach** to ensure that services are accessible to the target population and that the community accepts use of the services as beneficial.

- ♦ **Program evaluation** to confirm results and provide program feedback that will serve to enhance the efficiency and effectiveness of further service expansion efforts.

(2) Technical Assistance and Policy Analysis (TAPA) Center Award

One award of no more than $1 million in total costs (direct and indirect) will be awarded during FY 2002 (submission date: June 19, 2002). This grant may be renewed for up to 4 years. Annual continuation awards will be made subject to continued availability of funds and progress achieved by the TAPA Center grantee.

The primary focus of the TAPA Center is to address the technical assistance and policy development needs of mental health stakeholders and to assist in serving other potential stakeholders.

As part of a federal priority to strengthen the coordination between the mental health and criminal justice systems in addressing the needs of persons with a mental illness, SAMHSA's Center for Mental Health Services (CMHS) and the Department of Justice's (DOJ) Bureau of Justice Assistance have agreed to coordinate their Jail Diversion and Mental Health Court Grant Programs so that expertise in the areas of mental health and criminal justice may be shared.

As part of this collaboration, the TAPA Center will invest 25% of its technical assistance resources to providing technical assistance to DOJ Mental Health Court grantees and constituents. Conversely, DOJ

will mandate that 25% of their Technical Assistance Center(s) budget will be devoted to providing technical assistance to the Capacity Expansion Site grantees, other mental health grantees, and constituents.

More specifically, the TAPA Center will:

(1) Aid Capacity Expansion Site grantees to

develop a common framework for conceptualizing jail diversion programs such that common components can be identified, common technical assistance needs can be addressed, common evaluation variables can be collected, and lessons learned can be synthesized.

(2) Meet with DOJ's Technical Assistance Center(s) to develop a joint agenda for addressing the technical assistance and policy analysis needs of grantees and other communities interested in adopting a jail diversion program. This collaboration should include the development of a common philosophy, determination for delegating different types of technical assistance requests, an agreed-upon list of potential consultants to be used, and a listing of costs to be subsumed under the 25 percent of each Technical Assistance Center budget to be dedicated to joint agency activities.

(3) Provide an appropriate array of technical assistance techniques and technology to enhance the capacity of grantees and potential grantees to address problems that they encounter, to enrich their resources, and to plan for future growth and sustenance.

(4) Develop a list of current and potential users of technical assistance and policy analysis focused on jail diversion among various stakeholders and settings. Develop approaches that will engage current and potential stakeholders in the planning and implementation of jail diversion programs. Evaluate the outcome of these knowledge use efforts.

(5) Provide a conceptual framework for all grantees and potential users through the development of an analytic guide that serves to coordinate site-specific evaluations in a manner that addresses common themes and selected outcomes to be included in evaluations.

(6) Provide guidelines for translating information gained through implementation of jail diversion programs into tools for policy analysis and policy development.

(7) Continue database development for an inclusive set of three projects that CMHS has supported on jail diversion: (1) Jail Diversion Knowledge Development and Application (1997-2001); (2) Round One Targeted Capacity Expansion awards for adult jail diversion (2001-2002); (3) and the Capacity Expansion Site awards covered in this GFA. The database for each project will be put into archival form, accompanied by a user's guide as a public resource for further analyses.

(8) Develop criteria for identifying "best practices" that are used by site grantees, synthesize this information with what has been learned from other projects, and develop a guide for describing "best practices"from the funded sites and from the previously CMHS-funded jail diversion sites.

Who Can Apply?

As specified by the Public Health Service Act 520 G, eligibility to apply for **Capacity Expansion Site Awards** will be limited to the chief executive of a State, political subdivisions of States, Indian tribes, and tribal organizations, acting through agreements with other public and nonprofit entities to develop and implement programs to divert individuals with a mental illness from the criminal justice system to community-based services. Thus, all applications must be signed by the chief executive of their State, political subdivision of State, Indian tribe, or tribal organization.

Eligibility to apply for the **TAPA Center Award** includes States, political subdivisions of States, Indian tribes, and tribal organizations. In addition, the following entities are eligible:

- Public or private universities.
- Nonprofit agencies.

Interested parties who do not meet these criteria, including faith-based organ-izations, consumer organizations, consumer supporter organizations, and organizations representing people of color, are encouraged to partner with other agencies that are involved in preparation of the application.

Additional requirements for the Capacity Expansion Site and TAPA Center awards are listed below.

Capacity Expansion Site

Capacity Expansion Site applicants must contain the following assurances **(See Appendix A of this packet for the assurance form that must be included in your application as Appendix 4):**

- Community-based mental health services will be available for individuals who are diverted from the criminal justice system.
- Services offered in the community will be based on the "best known practices," which reflect current research findings and include case management, assertive community treatment, medication management and access, integrated mental health and co-occurring substance abuse treatment, and psychiatric rehabilitation.
- Services, as listed in the previous bullet, will be integrated with social services including life skills training, housing placement, vocational training, education job placement, and health care.
- There will be relevant interagency collaboration between the appropriate criminal justice, mental health, and substance abuse systems.
- The Federal support provided through this grant award will be used to supplement, and not supplant, State, local, Indian tribe, or tribal organization sources of funding that would otherwise be available.

TAPA Center

To apply for the TAPA Center award, applicants must demonstrate at least 2 years of experience in providing technical assistance and policy analysis in jail diversion. **Please attach the following materials to Appendix 5 of your application:**

(1) One document that illustrates the types of materials that you have distributed to organizations, communities, or States for whom you have provided technical assistance for jail diversion programs.

(2) One document that illustrates the types of materials that you have provided to organizations, communities, or States for policy analysis/policy development initiatives for planning and implementing jail diversion programs.

(3) A list of "best practices" for jail diversion programs that you have provided technical assistance to organizations, communities, and States to adopt. Include evaluation results from an assessment of the impact of these activities.

Application Kit

SAMHSA application kits include the two-part grant announcement (also called the Guidance for Applicants, or GFA) and the blank forms (SF 424 and PHS-5161, revised July 2000) needed to apply for a grant.

The GFA has two parts:

Part I - Provides information specific to the grant or cooperative agreement. It is different for each GFA. **This document is Part I.**

Part II - Has general policies and procedures that apply to **all** SAMHSA grants.

You will need to use both Part I and Part II to apply for a SAMHSA grant or cooperative agreement.

To get a complete application kit, including Parts I and II, you can:

- Contact the CMHS Knowledge Exchange Network (KEN) at:
  Voice: 1-800-789-2647
  Monday through Friday,
  8:30 A.M. to 5:00 P.M. ET
  TDD: 301-443–9006
  FAX: 301-984-8796
  P.O. Box 42490
  Washington, D.C. 20015
  Website: http://www.mentalhealth.org

or

- Download the application kit from the SAMHSA web site at www.SAMHSA.gov. Click on the "grant opportunities" link. Be sure to download both parts of the GFA.

Where to Send the Application

Send the original and two copies of your grant application to:

SAMHSA Programs
Center for Scientific Review
National Institutes of Health
Suite 1040
6701 Rockledge Drive MSC-7710
Bethesda, MD 20892-7710*

*Change the zip code to 20817 if you use express mail or courier service.

Please note:

- Be sure to type: "SM 02-010, Jail Diversion Programs" in Item Number 10 on the face page of the application form. Applicants can apply under only one group of grants as described above.

- ~~Be sure to indicate whether you are~~ applying for a Site Award or for the TAPA Center Award.

- If you require a phone number for delivery, you may use (301) 435-0715.

- All applications MUST be sent via a recognized commercial or governmental carrier. Hand-carried applications will not be accepted.

Application Dates

Your application must be received by June 19, 2002, to qualify for FY 2002 funding and by September 10, 2002, to qualify for FY 2003 funding. Applications received after these dates must have a proof-of-mailing date from the carrier before June 12, 2002, or September 3, 2002, respectively.

Private metered postmarks are not acceptable as proof of timely mailing. Late applications will be returned without review.

Applications for the September 10, 2002, application date will be funded through FY 2003 funds. It is important to note that this program is being announced prior to the annual appropriation for FY 2003 for SAMHSA programs. Applications are invited based on the assumption that sufficient funds will be appropriated for FY 2003 to permit funding of a reasonable number of applications. However, we cannot guarantee sufficient funds will be appropriated to permit SAMHSA to fund any applications. Questions regarding the status of the appropriation of funds should be directed to the Program Contact listed under the "How to Get Help" section in this announcement.

How to Get Help

For questions on *program issues*, contact:
Susan Salasin
Room 11C-22
5600 Fishers Lane
Rockville, MD 20857
(301) 443-3653
E-mail: ssalasin@samhsa.gov

For questions on *grants management issues*, contact:

Steve Hudak
Division of Grants Management
Substance Abuse and Mental Health
Services Administration
5600 Fishers Lane 13-103
Rockville, MD 20857
(301) 443-9666
E-mail: shudak@samhsa.gov

Funding Criteria

Funding decisions under this announcement will be based upon:

(1) The overall strengths and weaknesses of the application as determined by the Peer Review Committee and approved by SAMHSA's CMHS Advisory Council.

(2) The equitable distribution among the geographical regions of the United States and between urban and rural populations.

(3) Availability of funds.

Post-award Requirements

All grantees must:

(1) Comply with the GFA requirements and the Terms and Conditions of Awards.

(2) Provide financial status reports as required in the Public Health Service Grants Policy Statement.

(3) Submit an **annual report** summarizing:

- Project progress.
- Changes in key personnel.
- Problems incurred and how they were addressed.
- Alterations in approaches utilized.
- Actual expenditures for the year.
- Proposed program plans for the next budget period.
- A proposed budget and budget justification for the next budget year.
- Outcomes from 12-month evaluation.

(4) Submit a **final report** at the end of federal grant funding summarizing:

- Project findings.
- Lessons learned.
- Manuals, protocols, or other tools developed as implementation guides.
- Final results of the process and outcomes evaluation.
- Plans for sustaining services developed during the grant period.

(5) In addition, Capacity Expansion Site grantees must provide the following information for their site, and the TAPA Center must provide it in a pooled format:

- Data required for the *Government Performance and Results Act* (GPRA; see Appendix B).

(6) Support the travel expenses to Washington, DC, for a 2½-day conference. The TAPA Center will organize this conference as an opportunity for representatives from all the Capacity Expansion Sites to exchange "lessons learned," receive targeted technical assistance, and formulate common themes for evaluation purposes. Each of the Capacity Expansion Sites should plan to annually support travel for three project representatives (the project director, evaluator, and consumer representative) for this conference.

Use of Funds

Federal funds can be used to supplement, but not supplant, State, local, Indian tribe, or tribal organization sources of funding that would otherwise be available.

Federal funds may be used for any of the activities required within this grant funding announcement. This includes, but is not limited to:

- Convening stakeholders meetings.
- Evaluation activities.
- Database management.
- Provision of mental health services and support.
- Staff training.
- Identification of policy and funding

barriers.

- Publication costs for technical assistance reports, best practices guides, evaluation reports, etc.
- Multimedia project costs, such as videos, website management, teleconferences, etc.
- Costs for the support of travel for three project representatives—the Project Director, Evaluator, and Consumer Representative—for an annual meeting of 2½ days for all projects.
- Resources for consumer support for other forms of participation in the project.
- Consultant fees.

Grants and Cooperative Agreements

The **Capacity Expansion Site** funds will be awarded as grants. The **TAPA Center** award will be awarded as a cooperative agreement because it requires substantial ongoing participation on the part of the Government Project Officer (GPO) for this program. The TAPA Center is expected to work closely with the GPOs and the sites to ensure the success of this new program.

Role of the Capacity Expansion Site Awardees in This Grant

- Comply with all aspects of the Terms and Conditions of the grant.

- Consult with the GPO and obtain prior written approval from the GPO on significant modifications or adaptations of the project plan.

- Attend an annual 2½-day national meeting of sites to be held in Washington, DC (travel expenses for the Program Director, Evaluator, and Consumer Representative must be included in the budget).

- Use the technical assistance that will be provided by SAMHSA/CMHS staff and the TAPA Center in post-award activities, including the evaluation activities.

- Facilitate and implement the meaningful participation of consumers and family members in the planning and implementation of the project.

- Disseminate information about the activities and evaluation findings of the program through publications, presentations at conferences, collaboration with other sites, and other efforts to make the findings available to the field.

- Provide SAMHSA and the TAPA Center with data required for the Government Performance and Results Act (GPRA; see Appendix V).

- Participate in grantee teleconferences to be called by the GPO and/or TAPA Center representatives on an as-needed basis.

- Comply with direction from SAMHSA and its partners designated by the GPO regarding model development, evaluation, site visits, and acceptance of technical assistance.

- Cooperate with SAMHSA and its partners designated by the GPO in responding to requests for information

relevant to the grant.

Role of the TAPA Center Awardee in This Cooperative Agreement

- Consult with the GPO and obtain prior approval on significant modifications or adaptations of the project plan.

- At the outset of the project, engage in joint planning with DOJ–funded Technical Assistance Center(s), who will be working with DOJ Mental Health Courts grantees.

- Plan and coordinate an annual 2½-day national meeting of Capacity Expansion Sites to be held in Washington, DC. Note that a minimum of three participants will attend from each Capacity Expansion Site.

- Facilitate the meaningful participation of consumers and/or representatives of the target population in the planning and implementation of the TAPA Center activities. Undertake a systematic examination of innovative practices in this regard. Examples of such practices are: pre-or post-meeting session for consumers only, providing for a "consumer voice and vote" from each site, and mini-training sessions to translate and familiarize consumers with project methods. Recommend to sites those innovations that appear to best suit their programs.

- Present the findings across the Capacity Expansion Sites in a manner that is appropriate to various stakeholders. This may be done through publications, presentations at conferences, collaboration with the program sites, Internet resources, video, multimedia initiatives, and other efforts. Provide a resource to continually update and review these findings.

- Provide technical assistance to Capacity Expansion Sites for collecting, analyzing, and reporting data required for the Government Performance and Results Act (GPRA; see Appendix B). Develop a format for displaying GPRA data from each site in a pooled format that summarizes overall program accomplishments in this area.

- Establish parameters and methods for collecting and archiving "cleaned"jail diversion data from the three CMHS projects that have or are in the process of collecting data on jail diversion models. Develop a user's guide for working with the overall database.

- Coordinate and participate in awardee teleconferences to be called by federal representatives on an "as-needed" basis.

- Cooperate with SAMHSA and its partners in responding to requests for information relevant to the cooperative agreement.

Role of Federal Staff in the Capacity Expansion Site Grant and the TAPA Center Cooperative Agreement

- Provide the federal interpretation on the provisions of the GFA.

- Monitor the overall progress of the TAPA

Center, with sustained attention to the appropriateness of the joint agenda developed with the Department of Justice for cross-agency technical assistance totaling up to 25 percent of the budget of each agency's technical assistance providers.

- Provide consultation on the design and implementation of the TAPA Center products, such as implementation recommendations, policy development reports, and evaluation oversight plans.
- Provide guidelines for submission of annual and final financial and other required reports.
- Provide consultation on the development of tools and other products accruing from the projects.
- Advise and accompany TAPA Center staff on site visits to Capacity Expansion Sites to monitor the implementation of the program plans and evaluation activities.
- Work with the TAPA Center to help set the agenda for annual national meetings with the Capacity Expansion Site grantees.
- Collaborate with the TAPA Center in interpreting the results of the evaluations and the publications of program findings and other program products.

Program Overview

The goals of this program are to: (1) support community-based mental health services for individuals who have a mental illness or a co-occurring disorder who are diverted from the criminal justice system; (2) assure that jail diversion programs are based on the best known practices and reflect current research findings; (3) form and support interagency collaboration between the appropriate criminal justice, mental health, and substance abuse systems; (4) engage in policy analysis and development activities at a local level to promote implementation and sustenance of diversion activities; and (5) use federal funds to supplement, and not supplant, State, local, Indian tribe, or tribal organization sources of funding that would otherwise be available.

Program Objectives for Capacity Expansion Site Awards

Under this initiative, **Capacity Expansion Site** applicants may plan programs for one or more points on the criminal justice processing spectrum (see Appendix C for a schematic outline of this spectrum). These include the initial point of police contact, pre-booking, post-booking, and arraignment. All funded diversion programs must refer the person to mental health community-based treatment providers. After initial referral to a mental health care provider, and subsequent to community-based screening and assessment by the provider, persons may be referred to other needed community-based services as specified in the section 520G of the Public Health Service Act, 2002.

A Resource Guide for implementing jail diversion programs is provided in Appendix I, entitled "Adults in Contact with the Criminal Justice System, Co-occurring Disorders and

Jail Diversion Programs."

- Applicants are required to incorporate diversion programs with an existing system of care for those with mental illness. That is, communities should have a pre-existing system of care prior to applying.

- Mental health court diversion programs will not be funded through this GFA, and potential grantees interested in receiving funding for mental health courts are referred to the Department of Justice solicitation, "Mental Health Court Grants Program," authorized in P.L. 106-515, Part V, Section 2201.

Applicants must build service capacity using four activity areas known to yield sustainable results:

(1) **Expand the capacity** to implement evidence-based services. Activities that are required include:

- Case management.
- Assertive community treatment.
- Medication management and access.
- Integrated mental health and co-occurring substance abuse treatment.
- Psychiatric rehabilitation.
- Life skills training.
- Housing placement.
- Vocational training.
- Educational job placement.
- Health care.
- Gender-based services for women.
- Trauma-specific services.

Included in this goal is the establishment of appropriate training for service providers to implement evidence-based practices. Also included in this goal is the expansion of services to improve access and quality of treatment to persons in racial/ethnic minority populations, as well as to persons in rural settings. Further, cultural competence among program providers should be fostered.

(2) **Create service linkages** between individuals and groups that serve the targeted population (e.g., mental health providers and criminal justice system personnel). The building of service networks will ensure that assessment and/or treatment will take place within the target service systems or via linkages to specialty mental health services. Required activities include:

- Development of partnerships and coalitions among the mental health, substance abuse, and criminal justice systems to ensure greater services integration.

- Specific linkages among key personnel in the mental health, criminal justice, and criminal justice systems who will promote the changing of environments of institutions and service systems to foster mental health.

(3) **Undertake community outreach** to communicate to the larger community the importance of mental health and the capacity of a well-executed criminal justice diversion program to serve persons with a mental illness. Required activities include:

- Consensus-building among stake-holders and potential stake-holders for the adoption of evidence-based jail diversion services. The goal is to engage stakeholders and potential stakeholders in

the development and implementation of coordinated services.

- Ensure that services are accessible to the target population and that the community accepts the use of the services as beneficial.

(4) **Engage in program evaluation and dissemination** to demonstrate program outcomes and the quality and completeness of services implementation. In addition, Capacity Expansion Sites must supply data that comply with GPRA requirements for core client outcome measures (Appendix B). These data are to be collected at baseline and in years 1, 2, and 3 of the grant period. At minimum, an 80 percent response rate is expected at each data collection point. Funds may be used to purchase appropriate software and training for data collection, management, and analysis for program providers and the TAPA Center. Another important activity is the dissemination of program findings.

Program Objectives for TAPA Center

The role of the TAPA Center is to work with the Capacity Expansion Site grantees, grantees from the Department of Justice Mental Health Court program, and other interested communities in planning, implementing, and evaluating individual jail diversion programs. Due to the technical sophistication required to coordinate and advise Capacity Expansion Sites, the TAPA Center must demonstrate at least 2 years of experience in providing technical assistance and conducting policy analysis in communities implementing jail diversion programs.

The objectives of the TAPA center are as follows:

(1) Develop a framework for planning and implementing diversion programs in a manner that leads to the production of practical technical assistance technology that may aid future users in the field.

(2) Develop plans for reactive technical assistance based on potential users' requests, and proactively identify and consult with those who may become technical assistance users.

(3) Develop a joint technical assistance agenda in collaboration with the DOJ-designated Technical Assistance Center(s). Up to 25 percent of the overall TAPA Center budget will be dedicated to serving DOJ Mental Health Court grantees and constituencies. The TAPA Center must also cooperate with DOJ Technical Assistance Center(s) in developing their technical assistance abilities for serving Capacity Expansion Site grantees and mental health constituents.

(4) Determine which types of knowledge application methodologies should be used to best serve the Capacity Expansion Sites, and with the range of other potential users in the field.

(5) Develop an analytic framework for conducting meta-analyses of planned evaluations by each site, and synthesize information regarding "best practices" and "lessons learned."

(6) Plan and coordinate at least one annual meeting for diversion award sites for the purposes of planning, policy development, and

technical assistance. Develop a role in this meeting for DOJ-funded Mental Health Court Technical Assistance Center(s).

(7) Collaborate with the Capacity Expansion Sites on policy analysis methodology to be used in determining necessary local policy change for implementation and sustenance of diversion programs.

(8) Provide guidelines for translating information gained through implementation of jail diversion programs into tools for policy development by potential users.

(9) Plan and develop an overall archival database containing the data from the three CMHS projects that are completed or are in the process of collecting data on jail diversion programs. Develop a guide for users who want to work with this database for further analyses.

(10) Develop plans for helping sites collect GPRA data in a manner that is likely to yield at least an 80% response rate. Develop a pooled format for summarizing the GPRA site data in terms of key variables from overall program results.

Detailed Information on What to Include in Your Application

In order for your application to be complete and eligible, it must include the following in the order listed. Check off areas as you complete them for your application.

1. FACE PAGE

Use Standard Form 424, which is part of the PHS 5161-1 (revised July 2000). See Appendix A in Part II of the GFA for instructions. In signing the face page of the application, you are agreeing that the information is accurate and complete. Be sure to specify whether you are applying for a *Capacity Expansion Site Award* or a *TAPA Center Award*.

2. ABSTRACT

Your total abstract should be no longer than 35 lines. In the first five lines or less of your abstract, write a summary of your project that can be used in publications, reporting to Congress, or press releases, if your project is funded.

3. TABLE OF CONTENTS

Include page numbers for each major section of your application and for each appendix.

4. BUDGET FORM

Use Standard Form 424A, which is part of the PHS 5161-1 (revised July 2000). Fill out sections B, C, and E of the Standard Form 424A, which is part of the PHS 5161-1 (revised July 2000). Follow instructions in Appendix B of Part II of the GFA.

5. PROJECT NARRATIVE AND SUPPORTING DOCUMENTATION

The **Project Narrative** describes your project. It consists of Sections A through E. These sections may not be longer than 30 pages total. More detailed information about

Sections A through E follows #10 of this checklist.

- **Section A** - Need for the Program
- **Section B** - Implementation Plan
- **Section C** - Evaluation Plan, Data Collection, and Analysis
- **Section D** - Dissemination and Knowledge Use Plan
- **Section E** - Project Management and Staffing Plan

Supporting documentation for your application should be provided in sections F through I. There are no page limits for these sections, except for Section G, the Biographical Sketches/Job Descriptions.

- **Section F -** References. This section must contain complete citations, including titles and all authors, for any literature you cite in your application.
- **Section G -** Budget Justification, Existing Resources, Other Support. You must provide a narrative justification of the items included in your proposed budget as well as a description of existing resources and other support you expect to receive for the proposed project.

NOTE: Capacity Expansion Site applicants should include description of how the 25 percent non-federal share of funds will be used for service expansion.

- **Section H - Biographical Sketches and Job Descriptions**
  - Include a biographical sketch for the project director and for other key positions. Each sketch should be no longer than **two pages**. If the person has not been hired, include a letter of commitment from him/her with the sketch.
  - Include job descriptions for key personnel. They should be no longer than **one page**. ***Sample sketches and job descriptions are listed in Item 6 in the Program Narrative section of the PHS 5161-1.***
- **Section I - Confidentiality and SAMHSA Participant Protection (SPP).** The seven areas you need to address in this section are outlined after the Project Narrative description in this document.

6. APPENDICES 1 THROUGH 6

- Use only the appendices listed below.
- Do not use appendices to extend or replace any of the sections of the Program Narrative unless specifically required in this GFA (reviewers will not consider them if you do).
- Do not use more than **30 pages** (plus all instruments) for the appendices.

Appendix 1: Letters or documentation of Coordination and Support of target program and program goals.

Appendix 2: Copy of letter(s) to the Single State Agencies (SSAs). Please refer to Part II.

Appendix 3: Attach a copy of any informed consent forms or informational script that will be read to individuals who will be included in any evaluation component of your grant. Consent forms should comply with instructions listed in the Section "Confidential and SAMHSA participant protection."

Appendix 4: Applicants for the Capacity Expansion Site Awards must complete the Assurance form (see Appendix A of this application), as required by 520G of the Public Health Legislation. This form must be signed by the chief executive of a State, political subdivisions of States, Indian tribes, and tribal organizations.

Appendix 5: Applicants for the TAPA Center Award must provide documentation of at least 2 years of technical assistance and policy analysis experience (see "Who Can Apply" Section for details).

Appendix 6: Provide evidence of the capability, experience, and commitment of proposed consultants and subcontractors, including letters of commitment.

7. ASSURANCES

Non- Construction Programs. Use Standard form 424B found in PHS 5161-1 (revised July 2000).

8. CERTIFICATIONS

See Part II of the GFA for instructions.

9. DISCLOSURE OF LOBBYING ACTIVITIES

Please see Part II of the GFA for lobbying prohibitions.

10. CHECKLIST

See Appendix C in Part II of the GFA for instructions.

Project Narrative Review Criteria Instructions

Sections A through E are the required components of the Project Narrative section of your application. They describe what you intend to do with your project. Below you will find detailed information on how to respond to sections A through E. Sections A through E may not be longer than 30 pages total.

Each of these sections has a point value attached to it.

- Your application will be reviewed against the requirements described in sections A through E.
- A peer review committee will assign a point value to your application based on how well you address each of these sections.
- The number of points after each main heading shows the maximum number of points a review committee may assign to that category.
- Bullet statements do not have points assigned to them; they are provided to invite attention to important areas within the criterion.

- Reviewers will also be looking for evidence of ***cultural competence***. SAMHSA defines cultural competence as a set of behaviors, skills, attitudes, and policies that promote awareness, acceptance, and respect for differences among people (see Appendix H for resources).

Project Narrative Review Criteria for Capacity Expansion Site Awards

Section A: Need for the Program (15 points)

In this section, applicants should document the need for a jail diversion targeted capacity expansion grant by providing adequate information on the following:

- ♦ Provide a rationale for implementing a jail diversion program within your community. Be sure to describe:
  - Your community's existing program or system of care for addressing the needs of persons with a mental illness or co-occurring disorder who become involved with the criminal justice system.
  - The inability of your community to fund a diversion program adequately without federal assistance.
  - The unmet needs and service system gaps in the current system in your community.
  - The potential adverse consequences of not implementing a jail diversion program.
- ♦ Describe the target population for your program in terms of:
  - Sociodemographic characteristics, including racial/ethnic minority composition.
  - Population size and geographic distribution.
  - Estimated number to be served by your proposed program.
- ♦ Describe your organization's approach to addressing individuals from different age groups, sexual orientations, genders, cultural backgrounds, and languages.

Section B: Implementation Plan (35 points)

Applicants should describe the jail diversion that they will be implementing in their communities and provide information regarding the evidence supporting implementation of specific components of their program. Jail diversion programs should address the three activities that are required in a Targeted Capacity Expansion Grant: (1) expand the capacity, (2) create service linkages, and (3) undertake community outreach.

(1) Describe how a jail diversion program will **expand the capacity** to implement evidence-based services in your community.

- ♦ Describe the overall model of the diversion program you will be implementing using a logic model or flow chart for program activities (see Appendix C).

- ♦ Briefly describe the jail diversion program that you intend to initiate. Be sure to:

  - ‣ Describe approaches to jail diversion that have been documented as appropriate to your target population.

  - ‣ Provide the evidence base and rationale for the program that you propose to implement, including relevant literature citations.

  - ‣ Describe how the array of required treatment and social services (as outlined in the section labeled "Program Objectives for Capacity Expansion Site Awards") will be integrated into your model.

  - ‣ Indicate the likely impact of the proposed program on the existing system. Be sure to include beneficial outcomes at both the individual and system level and any adverse effects that you may have to address.

  - ‣ Describe how your proposed program will increase access to mental health services to the target population.

  - ‣ Describe how the proposed program will address reductions of disparities in mental health services among racial/ethnic minorities.

  - ‣ Describe how your proposed program will address the needs of women through gender-specific services (see Appendix E).

  - ‣ Describe how your proposed program will integrate trauma-specific interventions (see Appendix F).

- ‣ Provide a timeline for implementation of program services.

- ‣ Provide a plan for continuing the program activities after cessation of grant funds.

(2) Describe how a jail diversion program will **create service linkages** among individuals and groups that serve the targeted population (e.g., mental health providers, substance abuse providers, and criminal justice personnel).

- ♦ Describe how the mental health care, substance abuse treatment, and components of the criminal justice system will be integrated:

  - ‣ Describe any strategic planning activities that will take place prior to integration.

  - ‣ Describe social service partnerships and types of coalitions that will be fostered.

  - ‣ Outline the responsibilities that different organizations involved in the program will take as they collaborate (e.g., linkages, shared activities, sole responsibilities, how individuals in each organization will work to collaborate with other agencies).

(3) Describe how your organization will undertake **community outreach and crisis intervention activities** to communicate to the larger community the importance of mental health and the capacity of well-executed jail diversion program.

- ♦ Describe planned community outreach activities, such as plans to increase community awareness of the need for the program and availability of new services.
- ♦ Describe plans to ensure that services are accessible to the target population:

    - ‣ Describe how the target population will be identified, including eligibility criteria, screening tools, assessment measures, and outreach activities.

    - ‣ Include plans for ensuring cultural appropriateness of the program, including measures taken towards trust-building for ethnic minorities and participation of culturally appropriate consumers and family representatives.

    - ‣ Describe in detail how consumers will be included in the implementation and ongoing activities of your project (See Appendix G).

Section C: Evaluation Plan, Data Collection, and Analysis (15 points)

In this section, applicants should provide a plan for conducting a process and outcomes evaluation of the implementation of their proposed programs and measuring client and systems level outcomes using data such as services use and GPRA core client outcome measures (see Appendix B). A report describing project outcomes is required for each year of Federal funding.

- ♦ Summarize the plan for evaluating the proposed program. Identify outcome variables.

- ♦ Provide specific evaluation questions to be examined and hypotheses to be tested if appropriate.

- ♦ Describe the data collection plan, including:

    - ‣ Sources of data.
    - ‣ Data management and quality control.
    - ‣ Training of records reviewers, as appropriate.

- ♦ Discuss how service data and SAMHSA/CMHS GPRA core client outcomes (Appendix B) will be used to measure program outcomes. Examples of service data can include:

    - ‣ Services provided.
    - ‣ Clients served.
    - ‣ Who provided services.
    - ‣ Where services were provided.
    - ‣ Plans to measure outcomes in the future (e.g., longitudinal data).

- ♦ Describe the analytic methods to be used.

- ♦ Indicate whether and/or how qualitative methods will be used.
- ♦ Describe plans for monitoring and ensuring the fidelity of the implementation of the intervention.
- ♦ Discuss how the target population and their families will participate and contribute to the data collection efforts and interpretation and dissemination of the findings.
- ♦ Provide evidence that the proposed evaluation plan is sensitive to age, gender, sexual orientation, race/ethnicity, and other cultural factors related to the target population and, as appropriate, to the community to be served.

Section D: Dissemination and Knowledge Use Plan (15 points)

Applicants should discuss their plans to disseminate the findings of their process and outcome evaluations of their proposed programs.

- ♦ Describe plans to provide feedback to community stakeholders and constituencies on the process and outcome of the implementation of the program in a manner targeted to each constituency.
- ♦ Describe plans for preparing interim and final reports, conference presentations, publications, and other means of disseminating the program findings.
- ♦ Describe plans for collaborating with other sites with similar target populations or jail diversion program models.
- ♦ Describe how representatives of the target population and their families will participate and contribute to the interpretation and dissemination of the findings.
- ♦ Describe plans to disseminate findings to the appropriate source, which could be a financial partner in future years.

Section E: Project Management and Staffing Plan (20 points)

Applicants must demonstrate their ability to carry out the proposed program activities in terms of staffing and management plans by providing the following:

- ♦ Describe the qualifications and experience of the key personnel, including:
  - Project director.
  - Service providers.
  - Evaluation personnel.
  - Analytic and data management staff.
  - Interviewers.
  - Other key personnel.
- ♦ Document the capability and experience of the applicant organization with similar projects and populations. Include a description of the project director's and key service providers' experience with implementing an integrated community-based system.

- Provide evidence of the capability, experience, and commitment of proposed consultants and subcontractors, including letters of commitment (attach as Appendix 4).

- Discuss how professional staff, target population, and family representatives will be recruited and trained as well as what strategies have been developed for retaining staff in programs. Describe in-service training for staff and consumer/family development.

- Assign responsibility for specific tasks described in the evaluation plan for identified staff.

- Demonstrate that the staff is reflective of or sensitive to the diversity of the target population; sensitive to age, gender, sexual orientation, race/ethnicity, and other cultural factors related to the target population; and, as appropriate, to the community to be served, including issues such as:

  - Proficiency of staff at all levels of the organization in the languages and cultures of the target population.

  - Provision of cultural competence training specific to the target community.

  - Availability of interpreters and translators trained in mental health prevention/treatment issues and terminology.

<u>**NOTE:**</u> Although the **budget** for the proposed project is not a review criterion, the Review Group will be asked to comment on the budget appropriateness after the merits of the application have been considered.

Project Narrative Review Criteria for TAPA Center

Section A: <u>Need for the Program</u> (15 points)

In this section, applicants should document the need for a Technical Assistance and Policy Analysis (TAPA) Center.

- What do you envision as the role of the TAPA Center for guiding jail diversion program sites? For guiding and working with other potential users?

  - Document unmet needs and service system gaps that have been generated through statistical studies and reports on this topic, and "snowball needs" assessment.

  - Include a review of communities that have tried to implement jail diversion programs, and whether they have been successful. Identify the elements of "success."

- Describe what knowledge may be gained from funding targeted capacity expansion sites for jail diversion.

- What types of policy develop-ments may occur or may need to be addressed as a result of implementing a jail diversion program?

- Describe the potential adverse consequences of not implementing jail diversion programs.

- Indicate the likely impact of the activities of the TAPA Center on existing jail diversion services, policy changes, and the development of new diversion programs.

- Discuss the technical assistance needs that you can identify as expressed by communities, organizations developing jail diversion programs, and needs that may arise when developing a new jail diversion program.

♦ Document that your organization has experience with providing technical assistance in jail diversion.

  - Describe your organization's experience in providing technical assistance and policy analysis to communities implementing jail diversion programs.

  - Describe the number of commun-ities or organizations you have served.

  - Describe the types of technical assistance that you have provided, including consultations, written materials, site visits, and Web-based services, if applicable.

  - Describe the outcome evaluation of the technical assistance that you have provided (i.e., what was the impact on the program for which you were providing technical assistance).

Section B: <u>Implementation Plan</u> (35 points)

Applicants should demonstrate the viability of their proposed program and the adequacy of their implementation plans by addressing the following:

♦ Describe what types of technical assistance and policy analysis you will provide to Capacity Expansion Sites and other stakeholders.

  - Provide the evidence base for technical assistance and policy analysis tools to be employed, including relevant literature citations.

  - Describe how technical assistance will be designed to address the activities required by law for Capacity Expansion Sites (i.e., case management, assertive community treatment, vocational rehabilitation, etc.), including gender-specific

services and trauma-specific services.

- Include rationale for decisions about the appropriateness of tools to the target population of stakeholders and potential stakeholders.

- Describe how the proposed program will address reduction of disparities in mental health services that now exist for racial/ethnic minorities.

- Describe special steps to be taken by the TAPA Center to help communities address the needs of women through gender-specific services (see Appendix E).

- Describe how the proposed TAPA Center will help sites integrate trauma-specific services (see Appendix F) into the overall array of required services.

- Describe how the TAPA Center can help Capacity Expansion Sites develop plans to continue program activities after the termination of the grant.

♦ Describe the type of agenda you will establish for the annual meeting that the TAPA Center will convene with the Capacity Expansion Sites.

♦ Describe how you will establish a joint agenda with the Department of Justice Technical Assistance Center to serve Mental Health Court DOJ grantees.

♦ Describe any community outreach activities that the TAPA Center may engage in, such as:

  - Plans to increase community awareness of the need for diversion programs and availability of new services.

  - Plans to ensure that TAPA Center services are available to target stakeholders in mental health care.

  - Public education programs to ensure community acceptance of Capacity Expansion Site programs.

  - Plans to engage stakeholders.

  - Development of a coalition.

♦ Describe how linkages between the mental health care, substance abuse treatment, and criminal justice systems will be fostered through materials and training from the TAPA Center.

♦ Provide a timeline for implementation of program services.

♦ Describe plans for ensuring how stakeholders, including racial/ethnic groups and consumers, will be involved in designing the entire project process across the timeline (see Appendix G).

Section C: <u>Evaluation Plan, Data Collection, and Analysis</u> (15 points)

In this section, applicants should provide a plan for conducting a process evaluation of the implementation of their proposed program and provide a framework for coordinating the outcomes evaluation from the Capacity Expansion Site grants.

- Summarize the plan for evaluating progress made by the TAPA Center, and describe how a TAPA Center "outcomes–related report" will be generated and available every 12 months.
- Provide examples of specific evaluation questions to be examined across the Capacity Expansion Sites.
- Describe the data collection plan for GPRA data and for other evaluation data that are site-specific, including:
  - Sources of data.
  - Data management and quality control.
  - Training of records reviewers, as appropriate.
- Describe the analytic methods to be used.
- Indicate whether and/or how qualitative methods will be used.
- Discuss how the persons from the target population and their families will participate and contribute to the data collection efforts, as well as interpretation and dissemination of the findings.
- Provide evidence that the proposed evaluation plan is sensitive to age, gender, histories of trauma or physical and sexual abuse, sexual orientation, race/ethnicity, and other cultural factors related to the target population and to the community to be served.

Section D: <u>Dissemination and Knowledge Use Plan</u> (15 points)

TAPA Center applicants should discuss how they will present their findings from process and outcome evaluations. Further, they should discuss how these findings may impact policy development activities and technical assistance activities.

- Describe plans to provide feedback to community stakeholders on the process and outcomes of the implementation of the program in a manner targeted to each stakeholder.
- Describe plans for preparing interim and final reports, conference presentations, publications, and other means of disseminating the program findings.
- Describe plans to disseminate findings to the appropriate source (some of which could be financial partners for Capacity Expansion Sites in future years).

Section E: Project Management and Staffing Plan (20 points)

Applicants must demonstrate their ability to carry out the proposed program activities in terms of staffing and management plans by providing the following:

- Describe the qualifications and experience of the key personnel, including:
  - Project director.
  - Service providers.
  - Evaluation personnel
  - Analytic and data management staff.
  - Interviewers.
  - Other key personnel, such as consumers.

- Document the capability and experience of the applicant organization with similar projects and populations. Include a description of the project director's and key service providers' experience with implementing an integrated community–based system.

- Provide evidence of the capability, experience, and commitment of proposed consultants and subcontractors, including letters of commitment (attach as Appendix 6).

- Describe the extent to which the staffing and management plans, project organization, and other resources are appropriate to carrying out all aspects of the proposed project.
  - Be sure to address the adequacy of available resources (e.g., staffing and collaborating agencies, facilities, equipment)

- Demonstrate that the staff is representative of, or sensitive to, the diversity of the target population; and sensitive to age, gender, sexual orientation, race/ethnicity, consumer representation, and other cultural factors related to the target population and, as appropriate, to the community.

- Address personnel qualifications regarding the following factors, as appropriate:
  - Proficiency of staff at all levels of the organization in the languages and cultures of the target population.
  - Provision of cultural competence training specific to the target community.
  - Availability of interpreters and translators trained in mental health prevention/treatment issues and terminology.
  - Appropriate consumer staff.

NOTE: Although the **budget** for the proposed project is not a review criterion, the Review Group will be asked to comment on the budget appropriateness after the merits of the application have been considered.

SAMHSA Participant Protection

You must address seven areas regarding SAMHSA participant protection in your

supporting documentation. If one or all of the seven areas are not relevant to your technical assistance activities, you must document the reasons. No points will be assigned to this section.

This information will:

1) Reveal if the protection of participants is adequate or if more protection is needed.

2) Be considered when making funding decisions.

♦ Participants include consumers, consumer supporters, and other individuals or organizations that request technical assistance.

♦ Information collected as part of assessing or providing phone or on-site technical assistance should be addressed in this section. This includes issues of ensuring confidentiality of persons seeking technical assistance who may reveal personal information or facts about their organization while seeking advice. In addition, any information collected as part of the Evaluation Section of your grant application (Narrative Section E) should be addressed in this section.

Some projects may expose people to risks in many different ways. In completing this section of your application, you will need to:

- Report any possible risks for participants in your technical assistance activities.

- State how you plan to protect them from those risks.

- Discuss how each type of risk will be dealt with, or why it does not apply to the technical assistance grant.

The following seven issues *must be discussed*:

❶ Protection of Clients and Staff from Potential Risks

- Identify and describe any foreseeable physical, medical, psychological, social, legal, or other risks or adverse affects.

- Discuss risks that are due to participation in the technical assistance activities.

- Describe the procedures that will be followed to minimize effects of or protect participants against potential risks, including risks to confidentiality.

- Give plans to provide help if there are adverse effects on participants.

- Where applicable, describe the referral processes used when callers (either individuals or organizations) request or seek advice on treatment, both in emergency and non-emergency situations, or advice on other sensitive situations.

❷ Fair Selection of Participants

- Describe the target population(s) for the proposed technical assistance activities. Include age, gender, racial/ethnic background, or other special population groups.

- Explain the reasons for using special types of participants, such as people with mental disabilities, people in institutions, or others.

- Explain the reasons for including or excluding participants in your evaluation or when providing technical assistance.

❸ Absence of Coercion

- Explain if participation in the technical assistance activities, including the evaluation, is voluntary or required.

- State how volunteer participants will be told that they may receive assistance even if they do not wish to participate in the evaluation.

- Further, state how participants will be told that they will be allowed to discontinue receiving technical assistance without repercussions.

❹ Data Collection

- Identify from whom you will collect data (e.g., consumers, consumer supporters, consumer organizations, consumer supporter organizations, and individuals who call your TA Center). Explain how you will collect data. For example, will you use a brief survey for phone and on-site technical assistance, or use other sources?

❺ Privacy and Confidentiality

- List how you will ensure privacy and confidentiality related to technical assistance activities, as well as any information shared by telephone callers, such as personal information or facts about their organization, while seeking advice. Include who will collect data and how it will be collected.

- Describe:
  - Where data will be stored.
  - Who will or will not have access to information.
  - How the identity of participants will be kept private (e.g., by using a coding system on data records, limiting access to records, or storing identifiers separately from data).

NOTE: If applicable, grantees must agree to maintain the confidentiality of alcohol and drug abuse client records according to the provisions of Title 42 of the Code of Federal Regulations, Part II.

❻ Adequate Consent Procedures

- List what information will be given to people who participate in data collection for the project. Include the type and purpose of their participation. Include how the data will be used and how you will keep the data private.

NOTE: If the technical assistance activities pose potential physical, medical, psychological, legal, social, or other risks, you should get written, informed consent.

- Indicate whether you will get informed consent from participants (or, as applicable, their legal guardian.) Describe how the consent will be documented. For example: Will you read the consent forms? Will you ask prospective participants questions to be sure they understand the forms? Will you give them copies of what they sign?

‣ Include sample consent forms in the Participant Protection Section of your application, titled "Sample Consent Forms." If needed, give English translations.

NOTE: Never imply that the participant waives or appears to waive any legal rights, may not end involvement with the project, or may release your project or its agents from liability for negligence.

➐ Risk/Benefit Discussion

Discuss why the risks are reasonable when compared with expected benefits and importance of the knowledge from the technical assistance activities.

APPENDIX A
ASSURANCES THAT MUST BE MET BY CAPACITY EXPANSION SITE APPLICANTS

In accordance with the Public Health Service Act 520G, all Capacity Expansion Site applications must contain the following assurances.

Please check the appropriate boxes below and attach as Appendix 4 to your application. Only applicants that are able to provide the following assurances will be eligible for this grant. This form must be signed by the chief executive of the State, political subdivision of the State, Indian tribe, or tribal organization.

__Yes __No __Yes __No

__Yes __No __Yes __No

__Yes __No

___Yes ___No

In your jail diversion program, will community-based mental health services be available for individuals who are diverted from the criminal justice system?

Will the services offered to jail diversion clients be based on current research findings and include case management, assertive community treatment, medication management and access, integrated mental health and co-occurring substance abuse treatment, and psychiatric rehabilitation?

Will the services offered to jail diversion clients be coordinated with social services, including life skills training, housing placement, vocational training, education job placement, and health care?

Will there be relevant interagency collaboration between the appropriate criminal justice, mental health, and substance abuse systems?

Will the federal support provided by this grant be used to supplement, and not supplant, State, local, Indian tribe, or tribal organization sources of funding that would otherwise be available?

Is the jail diversion program going to be integrated with a pre-existing system of care for those with mental illness?

______________________________ ______________

Signature of the chief executive of the State, political subdivision of the State, Indian tribe, or tribal organization — Date

Form Approved
OMB No. 0930-0208
Expiration Date 10/31/2002

Appendix B
CMHS GPRA Client Outcome Measures for Discretionary Programs

The Government Performance and Results Act of 1993 (Public Law 103-62) requires all federal departments and agencies to develop strategic plans that specify what they will accomplish over a 3- to 5-year period, to annually set performance targets related to their strategic plan, and to annually

report the degree to which the targets set in the previous year were met. In addition, agencies are expected to regularly conduct evaluations of their programs and to use the results of those evaluations to "explain" their successes and failures based on the performance monitoring data.

Therefore, SAMHSA is now accountable for demonstrating the effectiveness of all its programs through performance data. In order to support current and future funding, we need your full cooperation in collecting and reporting performance data. Our ability to support these awards in future years depends on the data that you can provide. This performance element will carefully be considered in assessing awardee performance, and may have implications for future awards.

Public reporting burden for this collection of information is estimated to average 20 minutes per response if all items are asked of a client; to the extent that providers already obtain much of this information as part of their ongoing client intake or followup, less time will be required. Send comments regarding this burden estimate or any other aspect of this collection of information to SAMHSA Reports Clearance Officer, Room 16-105, 5600 Fishers Lane, Rockville, MD 20857. An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The control number for this project is 0930-0208.

A. RECORD MANAGEMENT

Client ID |____|____|____|____|____|____|____|____|____|____|____|
|____|____|____|____|____|____|____|____|____|____|

Contract/Grant ID

|____|____|

Grant Year

Year
|____|____| / |____|____| / |____|____|

Interview Date

Interview Type 1. INTAKE 2. 6-month follow-up 3. 12-month follow-up

B. DRUG AND ALCOHOL USE

1. During the past 30 days how many days have you used the following: **Number of Days**

		Number of Days
a.	Any alcohol	|____|____|
b.	Alcohol to intoxication (5+ drinks in one sitting)	|____|____|
c.	Illegal drugs	|____|____|

C. FAMILY AND LIVING CONDITIONS

1. In the past 30 days, where have you been living most of the time?

- ○ Shelter (safe havens, TLC, low-demand facilities, reception centers, other temporary day or evening facility)
- ○ Street/Outdoors (sidewalk, doorway, park, public or abandoned building)
- ○ Institution (hospital, nursing home, jail/prison)
- ○ Housed (own or someone else's apartment, room, house, halfway house, residential treatment)

2. During the past week, to what extent have you been experiencing difficulty in the area of:

Managing day-to-day life (e.g., getting to places on time, handling money, making every day decisions)?

- ○ No difficulty
- ○ A little difficulty
- ○ Moderate difficulty
- ○ Quite a bit of difficulty
- ○ Extreme difficulty
- ○ Don't know
- ○ Not applicable
- ○ Refused

3. **During the past week, to what extent have you been experiencing difficulty in the area of:**

Household responsibilities (e.g., shopping, cooking, laundry, keeping your room clean, other chores)?

- ○ No difficulty
- ○ A little difficulty
- ○ Moderate difficulty
- ○ Quite a bit of difficulty
- ○ Extreme difficulty
- ○ Don't know
- ○ Not applicable
- ○ Refused

4. **During the past week, to what extent have you been experiencing difficulty in the area of:**

Work (e.g., completing tasks, performance level, finding or keeping a job)

- ○ No difficulty
- ○ A little difficulty
- ○ Moderate difficulty
- ○ Quite a bit of difficulty
- ○ Extreme difficulty
- ○ Don't know
- ○ Not applicable
- ○ Refused

5. **During the past week, to what extent have you been experiencing difficulty in the area of:**

School (e.g., academic performance, completing assignments, attendance)?

- ○ No difficulty
- ○ A little difficulty
- ○ Moderate difficulty
- ○ Quite a bit of difficulty

- ○ Extreme difficulty
- ○ Don’t know
- ○ Not applicable
- ○ Refused

6. **During the past week, to what extent have you been experiencing difficulty in the area of:**

   Leisure time or recreational activities?
   - ○ No difficulty
   - ○ A little difficulty
   - ○ Moderate difficulty
   - ○ Quite a bit of difficulty
   - ○ Extreme difficulty
   - ○ Don’t know
   - ○ Not applicable
   - ○ Refused

7. **During the past week, to what extent have you been experiencing difficulty in the area of:**

   Developing independence or autonomy
   - ○ No difficulty
   - ○ A little difficulty
   - ○ Moderate difficulty
   - ○ Quite a bit of difficulty
   - ○ Extreme difficulty
   - ○ Don’t know
   - ○ Not applicable
   - ○ Refused

8. **During the past week, to what extent have you been experiencing difficulty in the area of:**

   Apathy or lack of interest in things?
   - ○ No difficulty
   - ○ A little difficulty
   - ○ Moderate difficulty
   - ○ Quite a bit of difficulty
   - ○ Extreme difficulty
   - ○ Don’t know
   - ○ Not applicable
   - ○ Refused

9. During the past week, to what extent have you been experiencing difficulty in the area of:

Confusion, concentration, or memory?

- ○ No difficulty
- ○ A little difficulty
- ○ Moderate difficulty
- ○ Quite a bit of difficulty
- ○ Extreme difficulty
- ○ Don't know
- ○ Not applicable
- ○ Refused

10. During the past week, to what extent have you been experiencing difficulty in the area of:

Feeling satisfaction with your life?

- ○ No difficulty
- ○ A little difficulty
- ○ Moderate difficulty
- ○ Quite a bit of difficulty
- ○ Extreme difficulty
- ○ Don't know
- ○ Not applicable
- ○ Refused

D. EDUCATION, EMPLOYMENT, AND INCOME

1. Are you currently enrolled in school or a job training program? [IF ENROLLED: is it full time or part time?]

- ○ Not enrolled
- ○ Enrolled, full time
- ○ Enrolled, part time
- ○ Other (specify)_______________

2. What is the highest level of education you have finished, whether or not you received a degree? [01=1st grade, 12=12th grade, 13=college freshman, 16=college completion]

|___|___| level in years

2a. If less than 12 years of education, do you have a GED (Graduate Equivalent Diploma)?

○ Yes No

3. **Are you currently employed?** [Clarify by focusing on status during most of the previous week, determining whether client worked at all or had a regular job but was off work.]

- ○ Employed full time (35+ hours per week, or would have been)
- ○ Employed part time
- ○ Unemployed, looking for work
- ○ Unemployed, disabled
- ○ Unemployed, volunteer work
- ○ Unemployed, retired
- ○ Other, specify___________

4. **Approximately how much money did YOU receive (pre-tax individual income) in the past 30 days from…**

		INCOME							
a. Wages	$				,				.00
b. Public assistance	$				,				.00
c. Retirement	$				,				.00
d. Disability	$				,				.00
e. Non-legal income	$				,				.00
f. Other___________ (specify)	$				,				.00

E. CRIME AND CRIMINAL JUSTICE STATUS

1. **In the past 30 days, how many times have you been arrested?** |____|____| times
2. **In the past 30 days, how many times have you been arrested for drug-related offenses?** |____|____| times
3. **In the past 30 days, how many nights have you spent in jail/prison?** |____|____| nights

F. MENTAL AND PHYSICAL HEALTH PROBLEMS AND TREATMENT

1. How would you rate your overall health right now?

- ○ Excellent
- ○ Very good
- ○ Good
- ○ Fair
- ○ Poor

2. **During the past 30 days, did you receive**

a. Inpatient treatment for:

	No	Yes ⇨	**If yes, altogether for how many nights** (DK=98)
i. Physical complaint	○	○	___________
ii. Mental or emotional difficulties	○	○	___________
iii. Alcohol or substance abuse	○	○	___________

b. Outpatient treatment for:

	No	Yes ⇨	**If yes, altogether how many times** (DK=98)
i. Physical complaint	○	○	___________
ii. Mental or emotional difficulties	○	○	___________
iii. Alcohol or substance abuse	○	○	___________

c. Emergency room treatment for:

	No	Yes ⇨	**If yes, altogether for how many times** (DK=98)
i. Physical complaint	○	○	___________
ii. Mental or emotional difficulties	○	○	___________
iii. Alcohol or substance abuse	○	○	___________

G. DEMOGRAPHICS (ASKED ONLY AT BASELINE)

1. **Gender**

- ○ Male
- ○ Female
- ○ Other (please specify) _________________

2. **Are you Hispanic or Latino?**

○ Yes ○ No

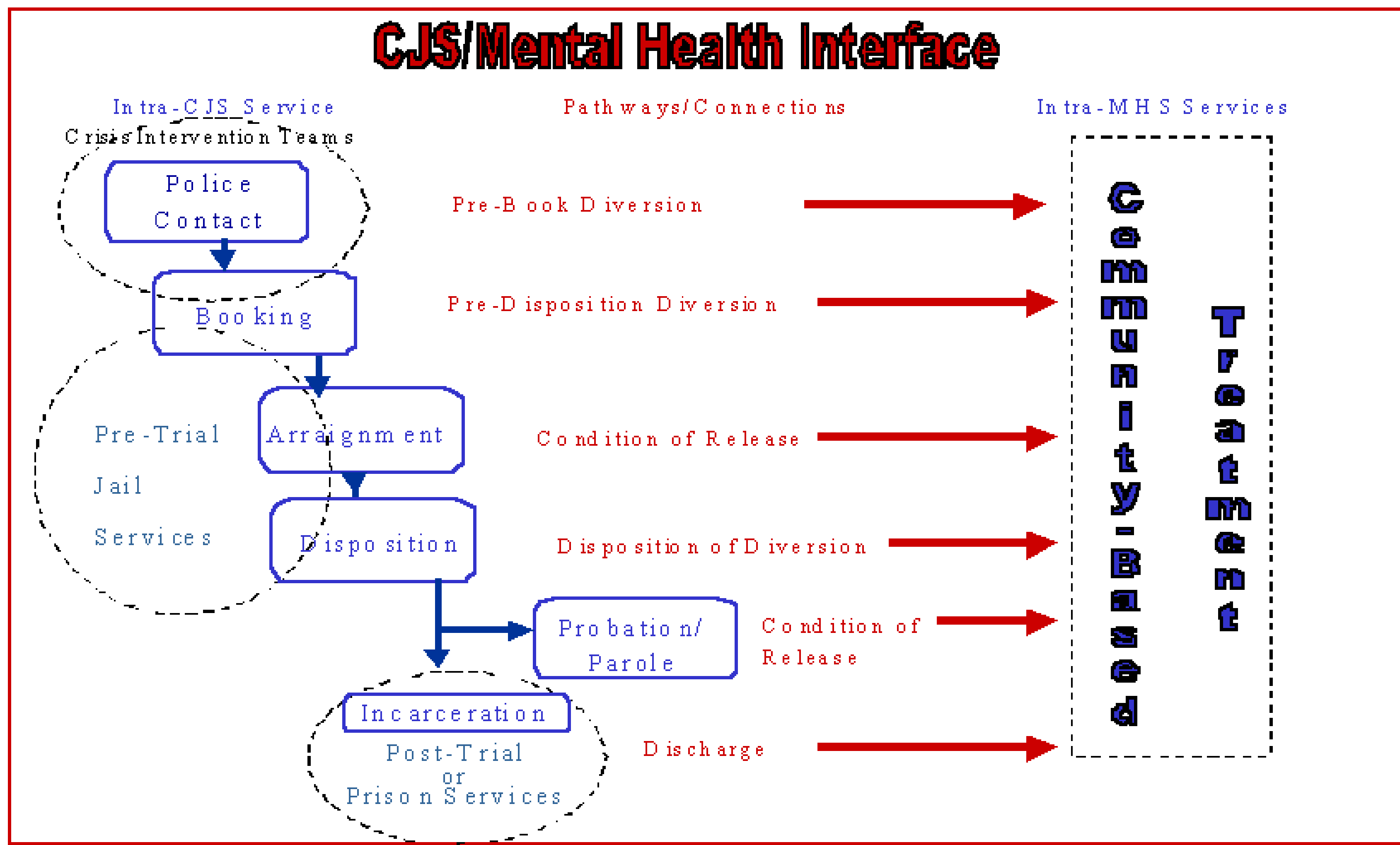
3. **What is your race? (Select one or more)**

- ○ Black or African American
- ○ Asian
- ○ American Indian
- ○ Native Hawaiian or other Pacific Islander
- ○ Alaska Native
- ○ White
- ○ Other (Specify)_______________

4. **What is your date of birth?** |____|____| / |____|____| / |____|____|

Month / Day / Year

Appendix C - Schematic outline of the Criminal Justice Processing Spectrum



APPENDIX D: LOGIC MODEL FOR TARGETED CAPACITY EXPANSION JAIL DIVERSION PROGRAMS

PROGRAM GOALS

I. Divert individuals with a mental illness from the criminal justice system to mental health treatment and appropriate support services

II. Improve quality, accessibility, and availability of mental health services delivery.

III. Build system infrastructure to support expansion and coordination of services.

→

POPULATION

Persons with a mental illness who have come into contact with the criminal justice system and would benefit from referral to mental health treatment and other supportive services.

→

ACTIVITIES

Expansion of Local Services
Screening
Increase/Train Providers
Evidence Based Practice Adoption
Integrated Treatment
Consumer integration
Technical assistance
Outreach,engagement, case-finding
Quality improvement activities
Improve access for racial/ethnic minorities and for persons in rural settings

Service Linking
Needs assessment
Strategic planning
Cross-training
Consensus building
Sustainable financing
Leadership development
Partnership development

Community Outreach
Social marketing
Public education/Health literacy
Dissemination
Consumer/Family/Advocacy Group involvement

Program Evaluation
Measure GPRA outcomes
Process evaluation/Program fidelity
Outcome Indicators

→

OUTCOMES

Individual Level
Increased functioning
Reduced recidivism into court system
Improved quality of life
Improved access to services
Increased healthy behaviors
GPRA Outcomes

Program Level
Evidence of Sustainability
Consumer/Family integration in planning/implementation
Reduced stigma
Increased participation by cultural/ethnic minorities
Increased engagement of target population

System Level
Expanded service base
Improved coordination
Increased Partnerships
Diverse populations served
Increased program recognition by external entities

APPENDIX E
GENDER-SPECIFIC SERVICES FOR WOMEN IN THE CRIMINAL JUSTICE SYSTEM*

***(This material was prepared under a SAMHSA collaborative grant that provides funding for "The National GAINS Center for People with Co-occuring Disorders in the Justice System.")**

BACKGROUND

Throughout U.S. history, female offenders have been largely invisible in a system designed to control and rehabilitate men (1). However, over the past 15 years, the presence of women in all aspects of the criminal justice system has increased dramatically. In 1998 there were 3.2 million arrests of women, accounting for 22% of all arrests that year, according to the Bureau of Justice Statistics. In that same year, 950,000 women were under correctional supervision, about 1% of the total U.S. female population. Between 1990 and 1998, the number of women on probation increased 40%, the number of women in jail increased 60%, the number of women in prison increased 88%, and the number of women under parole supervision increased by 80% (1). Although this increase has been attributed to a number of factors, including increased vigilance in the war on the drugs, the facts are compelling: women are a rapidly increasing presence in a male-oriented criminal justice system. Current statistics reveal that women make up 11% of the total jail population (2), 6% of prison inmates (3), 22% of adult probationers, and 12% of parolees (4).

SERVICE NEEDS

Although women represent only 11% of all jail inmates, 12% of them, almost twice the rate of male jail detainees, are likely to be diagnosed with a serious mental illness (5). Furthermore, 72% enter with a co-occurring mental health and substance disorder. Many women entering jails have themselves been victims and present multiple problems in addition to mental health and substance abuse disorders, including child–rearing and parenting difficulties, health problems, and histories of violence, sexual abuse, and resultant trauma. As many as 33% of women entering jails have been diagnosed with post traumatic stress disorder (PTSD) at some point in their lives (6). In a jail survey, 48% of women reported that they had been physically or sexually abused and 27% reported that they had been raped (7). These findings are considered by many to be conservative. As history of abuse is viewed as a direct correlate to circumstances leading to contact with the justice system, knowledge of this history is critical in treatment decisionmaking (8).

ACCESS TO SERVICES AND CONTINUITY OF CARE

Though many correctional facilities recognize that women bring different health and relationship issues to their period of incarceration, operationally most jails do not consider women to have substantially different issues from men. In a 1998 survey, 97% of jails used the same intake classification instrument for women as men; less than 30% screened women for histories of abuse or needs relating to their children, and gender-specific information obtained was rarely used to match women to services (9).

Jail settings also differ in provision of services because of their short-term nature, where the length of stay may range from overnight to a sentence of up to 1 year. Although specific programming, including child visitation, has become a more familiar feature of prison environments, there has been little movement in jails to redesign programming and services to meet the needs of women, despite the significant increase of women in contact with the justice system (10). Jails have a constitutional obligation to provide adequate services to detainees, whether male or female. However, jails typically do not know when someone will be released, whether it is pretrial or upon sentencing, except when inmates serve specific sentences. Early identification of needs and preparation for discharge planning is therefore part of the critical provision of services to jail detainees, and in the case of female detainees, includes linkage to a host of services for families (11).

Owing to significant differences in jail size throughout the United States, not all facilities are large enough to provide a full array of mental health services and housing options on-site. However, all jails are required to provide access to necessary services. Smaller jails typically access psychiatric care by contracting with community providers (12). This process actively encourages community in-reach and strengthens the linkage to community-based treatment services for the jail detainees upon release. Studies have shown that women respond best to long term care. This continuity of care is critical in the development of bonds, treatment adherence upon release, increased compliance with terms of probation, and as a successful intervention in breaking the cycle of recidivism. Despite their increased involvement in criminal justice programs, women remain significantly underrepresented in both community and institution-based treatment programs (13), while beds in community programs are often “earmarked” for men coming out of prison or jail.

For women with multiple co-occurring disorders, and often, complicated medical problems, engagement in treatment is key. If retained in treatment, women benefit most from “long-term continuous care” (14). Services provided in jail settings have not been conceptualized either as long-term or continuous in most communities. There is a growing consensus that to be successful, programming for women with co-occurring disorders necessitates the incorporation of gender-specific factors related to relationships, victimization, sexuality, depression, empowerment, culture, and ethnicity into evolving treatment models (15). Jail diversion is a special, targeted program to short-circuit the usual criminal court processing to the benefit of the detainee, the correctional staff, and the community. A pending publication outlines principles that can be used to create a family success paradigm in a jail setting for women entering jails with nonviolent or drug-related offenses. One principle states:

> Where appropriate the diagnosed mentally ill female offender with a history of physical or sexual abuse would be referred to community based alternatives in cases where less restrictive settings posed no obvious harm to the community. Jail staff would link more directly with human service and community based service workers and have

them available on-site in jails for jail treatment and to prepare detainees for release.
(16).

THE NEED FOR GENDER-SPECIFIC SERVICES

Understanding that women in contact with the justice system possess myriad service needs is the touchstone for the development of gender-specific services. Women entering jails are more likely to have greater needs than men, in terms of range and types of services, and yet are less likely to have these needs met (17). Although not trained as clinicians, jail staff are the frontline for early identification of possible mental illness and early referral for psychiatric evaluation. As such, there is a significant risk that women with mental illnesses may not be identified and therefore not receive treatment during their confinement in jail. More importantly, some psychiatric disorders such as PTSD and anxiety disorders, if not addressed, are likely to increase the risk that women will became management problems for security staff, or inappropriately use expensive medical and psychiatric services they would otherwise not require.

In addition to serious mental heath disorders, female detainees have substantial emotional difficulties relating to survivorship of abuse, separation from their children, and low self-esteem. Unaddressed, these issues may result in "acting out" behavior or in the exacerbation of psychiatric symptoms. To achieve parity for male and female detainees, jail programming must:

1. Include services to women that are comparable with services available to the male population, and
2. Provide gender-specific services where gender differences exist or when providing interventions that are unique to the female population (18).

GENDER-SPECIFIC SERVICE PROGRAM PLANNING AND DEVELOPMENT

For women entering jails, early needs assessment and screening for mental health and substance abuse disorders, and other needs relating to self and family, is critical to both the classification and treatment-planning phase.

Recognizing that institutional treatment for women has largely been based on models developed with and for men, revised APA guidelines on psychiatric services in jails and prisons recommend that staff:

- Must be able to accurately diagnose PTSD.
- Assess the psychological consequences of childhood and adult physical and sexual abuse.
- Provide comprehensive mental health evaluations to postpartum women.
- Recognize what constitutes sexual harassment and abuse of inmates.
- Review procedures related to seclusion and restrains.

- Work to employ verbal de-escalation for symptoms and behaviors that are sequelae of abuse experiences.
- Offer mental health staffing at per capita rates that are "significantly higher than those offered to male populations (19).

CRITICAL ELEMENTS FOR THE DEVELOPMENT OF GENDER-SPECIFIC PROGRAMS

In developing gender-specific programming for women diagnosed with mental illnesses in jail settings, comprehensive and integrated strategies are necessary. Veysey's 1998 report identifies eight key areas for program development:

- Parity of mental health services: Basic services must be available to all women before specialized services can be developed through the targeted allocation of resources.
- Targeted screening/evaluation procedures and gender-specific instruments: Women-specific tools must be developed that support appropriate classification of women and that can identify issues that complicate treatment and supervision, including histories of abuse, medical problems, and child care issues.
- Special crisis intervention procedures: Because of the overwhelming prevalence of physical or sexual abuse histories among female jail detainees, with or without mental illness, protocols for crisis intervention should be developed for all women in crisis. Jails should consider the use of noninvasive, nonthreatening de-escalation techniques for general use and to avoid retraumatizing procedures.
- Peer support and counseling programs: Because of the coercive nature of some psychiatric interventions, especially in jail settings (e.g. restraint, involuntary medications, locked rooms, paternalistic treatment), they may be rejected or resisted. Peer-counseling programs, in coordination with existing mental health services, show promise in helping women to address mental health problems and violent events in their lives. Peer-support programs offer an opportunity to connect the woman with her community prior to release.
- Parenting programs: Given the well-researched cycle of intergenerational abuse, and to the extent that women in jail settings may be both victims and perpetrators of violence, they are at increased risk of abusing their own children. Targeted parenting programs directed at education, empowerment, and practical skills are a promising practice in severing cycles of violence in families.
- Integrated services: Integrated services, in jail settings and in transition to the community, hold the most promise in assisting women to remain in the community and prevent recidivistic contact with the justice system.
- Training programs for security, mental health, and substance professionals: To maximize gender-specific programming, all correctional and treatment staff need to be trained to understand the specific issues and needs of female detainees, potential triggers, and purpose of program procedures.

- Outcome measures: Attention must be given to the development of appropriate outcome measures for treatment interventions designed to affect women diagnosed with mental illness in jails. Attention must be given to outcomes that acknowledge the wide variation in women's life experiences, adaptive styles, and modes of recovery. Measures should be developed through a joint effort by mental health professionals, researchers, and the women using services (C/S/R's).

Despite the increase in promising programs over the last decade, program developers do not have a ready array of treatment protocols, manuals, or training curricula available to help them create innovative programs for women with co-occurring disorders in jail settings. Through an increased focus on early intervention and integrated treatment planning, services in jails can be tailored to meet the specific needs of women and help to break the cycles of recidivism and abuse.

MODEL PROGRAMS

Promising programs specifically designed to meet the needs of women, and in some cases their children, have been mostly initiated in prison settings, with a few more developed in jails. However, most of these programs feature common components:

- Early identification of the specific needs of the women served.
- Avoidance of re-traumatization in correctional settings.
- Provision of a range of integrated treatment.
- Linkage to services.

1. TAMAR Project, Baltimore, MD

TAMAR is a State, county, university, and foundation partnership that implements and evaluates a trauma treatment and education program for adult women with alcohol, drug abuse, and mental health disorders and histories of trauma who are currently incarcerated for misdemeanors or nonviolent felony offenses. The TAMAR Project's focus is the development and delivery of training on the long-term effects of traumatic abuse to the staff of all the agencies working with female jail detainees. This includes introductory trauma framework and crisis intervention training for frontline staff in the departments of corrections, parole and probation, substance abuse, mental health, domestic violence, and social services in each of the counties. Intensive trauma training is also provided for mental health treatment staff specialists in the jails and in the community.

The TAMAR Project has identified several important barriers and challenges that women survivors of trauma with substance abuse and mental health diagnoses face. These include:

- Incarceration separates women and their children.
- Incarceration itself is traumatizing.
- Jail policies and procedures, designed for men, can be re-traumatizing.

- Each county has its own culture, services, and gaps and barriers to services.
- Because women are a small percentage of the jail population, few resources are available to them.

Central tenets of the project include a belief that lives can change with appropriate support and that jail is a viable point of intervention.

TAMAR provides the support to address the issue of trauma based on the following beliefs:

- Post-trauma responses include long lasting psychological, medical, behavior, and social effects.
- Recovery is a process that can begin while incarcerated but must be supported after release.
- Interventions must integrate treatment for substance abuse, psychiatric disorders, and trauma in a gender- and culturally sensitive manner.
- Emphasis must be on competency-building and empowerment.
- An integrated system of care should strive to preserve the mother/child relationship.

Women are assessed for substance abuse, psychiatric disorders, and trauma histories as they enter the jail system. They participate in psycho-educational groups, peer support groups, and individual case management sessions with an in-jail trauma specialist. After release, women can continue treatment under the guidance of the trauma specialist, participate in the ongoing peer support groups developed by On Our Own, and work with the trauma specialist to access housing entitlements, mental health services, and substance abuse counseling.

2. Cook County Jail, IL

The Department of Women's Justice Services of the Cook County Sheriff's Office was formed in 1999 to administer gender and culturally appropriate services to female drug offenders in Cook County, Illinois. The three phases program consists of pre-treatment, treatment education, and relapse prevention components, each of which lasts between 20 and 30 days. An array of services includes health, education, life skills, training, and community reintegration components.

Trauma services are provided by Trauma Incident Reduction, a foundation composed of community members, researchers, and practitioners to provide effective trauma treatment within the program. Life skills and mentoring services are administered by the Women in Community Service in order to promote self-reliance and the formation of a support network during the transition from jail to the community. Physical and mental health services are provided by Cermak Health Services, an affiliate of the Cook County Bureau of Health Services. A 24-hour mental health crisis team and regular treatment programs are operated through Cermak Health Services. Domestic violence, education, and legal aid programs are also provided by the Children's Advocacy Center and Chicago Legal Aid to Incarcerated Mothers.

The first two phases of the program focus on self-help, direct services, and health treatment programs within the jail setting. As the phases progress, it is expected that the participants will have made meaningful progress towards their substance abuse, health, trauma, and life-skills goals and that they will be prepared to work on a discharge plan in the third phase. Towards the end of the third phase, the women will be prepared for reintegration into the community, with an established support network and available services.

3. Women's V.O.I.C.E.S., Hampden County, MA

Located within the Women's Unit of the Hampden County Correctional Center in Massachusetts, the *Women's* V.O.I.C.E.S. program is a series of classes and groups focused on addiction, trauma, and parenting needs. The title of the program stands for validation, opportunity, inspiration, choice, empowerment, and safety. It is a jail-based treatment and educational program for women inmates, and is available to both pretrial and sentenced inmates.

The gender-specific curriculum employs five principles that take note of the documented gender differences between male and female offenders: validation, safety, personal application, relational/support building, confidentiality, and boundaries. Its method of intervention involves female-only groups, an emphasis on cognitive and behavioral change, a validation of self-expression, and phased progression through treatment and educational components. The staff of *Women's V.O.I.C.E.S.* are specifically trained with a focus on trauma, mental health, addictions and violence histories. They focus on matching the women in the program to community resources and clinically appropriate group activities, building problem solving skills, and increasing the choices available to them in their lives.

All inmates in the women's unit are eligible to take part in the introductory elements of the *Women's V.O.I.C.E.S.* program. However, to progress further through the phases of the program, it is essential to take into account an inmate's length of stay, classification, level of functioning, and self-assessment of their own strengths and problems.

Women's V.O.I.C.E.S is a four phase program of education, peer health, life skills, and addiction treatment classes. The program components include both high school and college–level education classes, anger management, HIV/AIDS education and treatment, trauma treatment, and vocational courses. Addiction treatment is provided through a graduated program that coincides with the four phases. Furthermore, release planning from the jail to the community is provided for inmates during the final phase of the program. Additional components include 12-step Alcoholics Anonymous and Narcotics Anonymous groups, religious services, and activities to promote greater physical health.

GENDER-SPECIFIC SERVICES FOR WOMEN IN THE CRIMINAL JUSTICE SYSTEM

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APPENDIX F
TRAUMA-SPECIFIC SERVICES FOR WOMEN IN THE CRIMINAL JUSTICE SYSTEM*

***(This material was prepared under a SAMHSA collaborative grant that provides funding for "The National GAINS Center for People with Co-occuring Disorders in the Justice System.")**

BACKGROUND

Throughout U.S. history, women offenders have been largely invisible in a system designed to control and rehabilitate men (1). However, over the past 15 years, women's presence in all aspects of the criminal justice system has increased dramatically. According to the BJS, in 1998 there were 3.2 million arrests of women accounting for 22% of all arrests that year. In that same year, 950,000 women, were under correctional supervision, about 1% of the total U.S. female population. Between 1990 and 1998, the number of women on probation increased 40%, the number of women in jail increased 60%, the number of women in prison increased 88%, and the number of women under parole supervision increased by 80% (1). Although this increase has been attributed to a number of factors, including increased vigilance in the war on the drugs, the facts are compelling: women are a rapidly increasing presence in a male-oriented criminal justice system. Current statistics reveal that women make up 11% of the total jail population (2), 6% of prison inmates (3), 22% of adult probationers, and 12% of parolees (4).

WHAT IS TRAUMA-INFORMED TREATMENT?

Trauma-informed treatment refers to incorporating an awareness of trauma and abuse into all aspects of treatment and the treatment environment. This awareness can also be used to modify procedures for working with women in jails. Just as drug treatment best occurs in a drug-free environment, trauma treatment is best accomplished in as trauma-free an environment as possible. Some abuse survivors, especially those with histories of severe or prolonged abuse, may experience angry outbursts, self-destructive or self-mutilating behaviors or other apparently irrational behaviors, that can be considered disruptive in jail.

A trauma-informed approach suggests alternative procedures that are not only less likely to make symptoms worse, but are also more effective as behavioral management techniques. Programs such as the TAMAR project in Maryland have been designed to increase the awareness of trauma for those working with incarcerated women and to provide trauma-informed and trauma-specific services in criminal justice settings.

PREVALENCE OF MENTAL ILLNESS, TRAUMA AND CO-OCCURRING DISORDERS

Of women entering jails, 12.2% are diagnosed with serious mental illnesses, while 72% have a co-occurring mental health and substance abuse disorder (5). Many women entering jails have themselves been victims and present multiple problems in addition to mental health and substance

abuse disorders, including child-rearing and parenting difficulties, health problems, and histories of violence, sexual abuse, and resultant trauma. In fact, 33% of women entering jails have been diagnosed with post-traumatic stress disorder (PTSD) at some point in their lives (6). In a jail survey, 48% of women reported that they had been physically or sexually abused and 27% reported that they had been raped (7). The Michigan Women's Commission found that 50% of female Michigan jail detainees had been victims of physical or sexual abuse at some point in their lives. These findings are considered by many to be conservative. Childhood physical and sexual abuse has been estimated to range as high as 80% in some local facilities (8).

NEED FOR TRAUMA-SPECIFIC PROGRAMMING

In considering the research, studies show that women in jail have often been the victims of physical or sexual abuse in childhood and/or adulthood. Consistent findings demonstrate that most women with co-occurring disorders also have histories of abuse. Prevalence studies show that 72% of women entering jail have a co-occurring mental health and substance abuse disorder. As such, trauma histories of severe abuse or violence can be considered the norm for women with co-occurring disorders in jail.

As history of abuse is viewed as directly contributing to circumstances leading to contact with the justice system, knowledge of this history is critical in treatment decisionmaking (9).

TRAUMA AND RE-TRAUMATIZATION IN JAIL SETTINGS

Within the jail environment, routine procedures and involuntary mental health services are, by nature, often coercive situations that may be misperceived, by female detainees with histories of abuse, as dangerous and threatening. Responses to perceived threat may be withdrawal, fighting back or extreme outbursts, worsening of psychiatric symptoms, and physical health problems, thereby increasing safety problems for jail staff or necessitating more expensive or longer term treatment (10).

In a review of jail practices and female detainees with abuse histories, Veysey, De Cou, and Prescott point out that procedures have been developed for practical security and treatment purposes but have historically not accommodated gender differences. The jail environment and procedures themselves may unintentionally be re-traumatizing to women with abuse histories. For women in jail settings, those with abuse histories may have problems directly associated with male authority figures as perpetrators of abuse. Many standard jail procedures routinely used to process jail inmates, ensure security, and meet medical standards of care in jails, including strip searches, examinations, use of physical force in crisis or psychiatric response, isolation, locked rooms, and restraints, may be re-traumatizing triggers.

TRAUMA-SPECIFIC SERVICE PLANNING AND PROGRAM DEVELOPMENT

The impacts of abuse and violence can affect all aspects of a woman's and her children's lives and contributes both to the development of and recovery from mental health and substance abuse disorders. Fortunately, in the past few years, survivors, clinicians, and other service providers have worked together to develop principles, procedures, and techniques to assist women in their recovery from trauma even with coexisting mental health, substance abuse, and criminal justice issues (11).

Trauma-responsive programming has evolved in the context of therapeutic community-based programs and shelters serving women in crisis, at risk, or presenting mental health and/or substance disorders. The SAMHSA Women, Co-Occurring Disorder and Violence KDA Study identified eight program components critical to the development of successful trauma-focused models (12).

These components are also applicable within the context of a jail setting:
- Outreach and engagement.
- Screening and assessment.
- Treatment.
- Trauma-specific services.
- Parenting skills.
- Peer-run services.
- Crisis interventions.
- Resource advocacy and coordination.

ADAPTATION OF TRAUMA-SPECIFIC SERVICES TO JAIL SETTINGS

Certain elements have been identified as critical to the combined development of a trauma-sensitive approach to treatment, services, and jail programming. Routine procedures have been successfully adapted in some jails to include these elements for trauma responsive programming. Veysey et al. (13) identified these elements in the jail context:

1. Booking

- Information disclosure about procedures, including strip searches and examinations, availability of services and how to access them.
- Early screening and assessment of a woman's history of abuse should be included in all routine mental health and substance abuse assessments. Sensitivity to cultural issues is also important, as revealing victimization outside the family, for example, may be inhibited by cultural norms (14).
- Even where no clinical services are available in the jail, information from trauma histories can still be helpful in creating a trauma-informed environment and for discharge planning.
- Crisis and de-escalation intervention screening to identify settings, people, and environments that increase stress or trigger violence for new detainees. Early identification of this information can be used in the development of behavior management, crisis, and treatment plans.

- Use of female staff to perform strip searches or medical examinations may reduce the risk of re-traumatization.

2. General Conditions of Confinement During Incarceration

- The jail environment can cause undue stress for female detainees with abuse histories. As most female offenders are not arrested for violent crimes, staff should be trained in managing women in a nonaggressive and nonthreatening manner with time for social interactions maximized for inmates.
- Psychological distress associated with administrative isolation should be weighed against its punitive sanction for women with abuse histories, while the greater need for privacy among women, as compared to men, should also be considered.

3. Treatment Services and Crisis Response

- Service providers sometimes express reluctance to ask about abuse and violence for fear of re-traumatizing clients, being unable to offer follow-up support, feeling it is intrusive, or even because of their own abuse issues. Experience with assessments, however, shows that most survivors appreciate being asked about their history, when asked in a respectful manner. Nevertheless, women should always be given the option of not answering these or any other personal questions. With few exceptions, the emotional responses elicited by such an assessment require the same basic counseling skills needed for any mental health or substance abuse assessment.
- Specialized staff are needed to engage and talk with detainees with trauma histories.
- Behavioral management techniques should be developed between the inmate and the treatment staff to identify boundaries of acceptable behavior and keep women informed about procedures while assuming responsibility for actions.
- Single-gender group treatment should be offered to women in jails who have histories of sexual or physical abuse. Care should be taken to discuss the purpose of the group as supportive, educational, and to learn new skills to handle the effects of trauma rather than relating the actual stories of trauma.
- Crisis response should utilize de-escalation techniques and include the use of least restrictive means or force.

4. Release Planning and Referral to Community Services

- As with gender-specific program planning, early development of linkages for release is critical despite the frequently unknown imminence of a release date.
- Discharge planning should focus on continuity of care, including continuation of services provided in jail and ensuring linkage to community supports for housing, mental health, and substance abuse services; and community counseling services, rape crisis, or domestic violence programs.
- Many women are released on probation, so probation officers should be involved in release planning for consistency and to avoid technical violations of probation.

- Getting permission to share trauma history and assessment with the follow-up provider in the community can be very beneficial. This alerts the community provider to issues they may not regularly assess and helps the woman not have to repeat the telling of her abuse history.
- As with in-jail intervention, the most important discharge planning consideration is making safety a top priority in any placement. The best trauma treatments in the world will be ineffective if the woman returns to an abusive or violent situation. If safe placement is not possible, priority attention should be placed on giving women information on options and resources such as domestic violence shelters, so that if they do become able to leave the violent situation they will know where to turn.

5. Training for Corrections Officers and Other Staff

To be effective, adequate training must be provided to correctional and treatment line-staff to ensure their support, understanding of the critical issues relating to trauma and gender-specific programming, and appropriate responses to women with histories of abuse.

ELEMENTS OF TRAUMA-SPECIFIC TREATMENT APPROACHES

Full recovery from trauma and its related sequelae can be a lengthy process. Some effective interventions involve special training, time, and clinical expertise that is not usually available in a jail setting but may be provided through a community-based service provider or adapted for short-term jail stays. Many skills needed to recover from traumatic experiences and build healthy lives are similar to those taught in a variety of settings and may include:

- Skills in identifying thoughts, feelings, and behaviors, learning how these work together, and effective problem-solving techniques.
- Relaxation, grounding, and self-soothing behaviors to handle the internal agitation and psychic pain so often reported by survivors.
- Interpersonal effectiveness skills such as assertiveness, setting appropriate boundaries, giving and receiving social support, and evaluating violent/nonviolent relationships.
- Relapse prevention skills and alternatives to substance abuse.
- How to make short and long-term safety plans and protecting oneself in the community.

Most trauma-informed interventions cover three primary areas important to all trauma recovery work:

- Education on the nature and extent of violence and the relationship of existing problems and disorders (including co-occurring disorders) to the original violence and abuse.
- Creation of a safe and supportive "space" to discuss these issues.
- Learning specific skills to facilitate recovery.

MODEL TRAUMA PROGRAMS IN JAIL SETTINGS

TAMAR: Operated by the Maryland Department of Health and Mental Hygiene, Baltimore, MD, the TAMAR Project (Trauma, Addictions, Mental health, And Recovery) offers a full array of training and clinical services to women who have been traumatized by physical and/or sexual abuse and are inmates in detention center settings. To participate, the women must have a co-occurring substance abuse and psychiatric disorder in addition to a trauma history. Cross-generational issues are addressed by providing coordinated case management across agencies to both mothers and their children. The TAMAR Program is a voluntary trauma treatment and education program for adults. It is designed to help individuals learn to cope with the aftermath of childhood traumatic experiences as well as dealing with trauma as an adult. The program includes trauma treatment groups and one-to-one counseling in the detention center as well as in some communities. Peer support groups also meet in several counties.

Women are assessed for substance abuse, psychiatric disorders, and trauma histories as they enter the jail system. They participate in psycho-educational groups, peer support groups, and individual case management sessions with an in-jail trauma specialist. After release, women can continue treatment under the guidance of the trauma specialist, participate in the ongoing peer support groups developed by On Our Own, and work with the trauma specialist to access housing entitlements, mental health services, and substance abuse counseling.

TIR – The Department of Women's Justice Services of the Cook County Sheriff's Office (Cook County, IL) was formed in 1999 to administer gender- and culturally appropriate services to female drug offenders in Cook County, IL. The three-phase program consists of pretreatment, treatment education, and relapse prevention components, each of which lasts between 20 and 30 days. The array of services includes mental health, education, life skills, training, and community reintegration components. The Cook County Sheriff's Office subcontracts with TIR Traumatic Incident Reduction, a nonprofit educational foundation composed of community partners, mental health practitioners, university faculty and researchers. TIR is committed to providing effective trauma treatment for those suffering from the effects of trauma. TIR is a brief, simple, profound, and systematically focused memory recovery technique for permanently reducing or eliminating the effects of traumatic events.

TRAUMA PROGRAMS IN NON-JAIL SETTINGS

Some psycho-educational interventions have been developed that hold potential for adaptation and effective use in a jail setting with an average stay of 30 days and only three to eight opportunities for treatment sessions. Some examples with potential for jail settings follow:

1. TRIAD: The Triad Women's Groups, funded through the SAMHSA Women, Co-Occurring Disorders and Violence Study, include 16 sessions but are designed to be beneficial in groups of

four sessions each, and the treatment manual is set up for this flexibility. Triad Women's Groups are designed specifically to address issues of co-occurring disorders, trauma, and gender. A female jail detainee could potentially begin or complete one of the 4-week sessions and be engaged with the other 4-week TRIAD sessions upon release to the community.

2. TREM: Maxine Harris, at Community Connections, DC, has developed a curriculum for 21 to 30 weekly group sessions in a community-based setting for working on trauma issues with women who also have mental health and substance abuse issues. However, the model requires at least 7 months, and a participant must take a minimum of 26 sessions to meet the criteria for completion. This model may only be applicable to women serving jail sentences between 6 months and 1 year unless services are provided through a community provider able to continue the program upon release of the detainee to the community.

TRAUMA-SPECIFIC SERVICES FOR WOMEN IN THE CRIMINAL JUSTICE SYSTEM

CITATIONS

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(2) Beck, A.J. and Karberg, J.C. 2001. *Prison and Jail Inmates at Midyear 2000*. Washington, DC: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics.

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(13) Veysey, B.M., De Cou, K., and Prescott, L. 1998. "Effective Management of Female Jail Detainees with Histories of Physical and Sexual Abuse." *American Jails* (May/June): 50-54.

(14) Norman, J. 2000. "Constructive Narrative in Arresting the Impact of Post-Traumatic Stress Disorder." *Clinical Social Work Journal* 28: 303-319.

MODELS

(1) TAMAR Project:
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E-mail rie@wwa.com

(3) TRIAD:

Triad Women's Project Clinical Interventions Committee. 2000. *Triad Women's Project: Group Facilitator's Manual.* Avon Park, FL: Triad Women's Project Clinical Interventions Committee.

(4) TREM:

Community Connections. 1997. *Approaches to Trauma Services: A Descriptive Summary.* Washington, DC: Community Connections.

APPENDIX G:
GUIDELINES FOR CONSUMER AND FAMILY PARTICIPATION

SAMHSA is committed to fostering consumer and family involvement in substance abuse and mental health policy and program development across the country. A key component of that commitment is involvement of consumers and family members in the design, development, and implementation of projects funded through SAMHSA's grants and cooperative agreements. The following guidelines are intended to promote consumer and family participation in SAMHSA grant and cooperative agreement programs.

In general, applicant organizations should have experience or a documented history of positive programmatic involvement of recipients of mental health services and their family members. This involvement should be meaningful and span all aspects of the organization's activities as described below:

• Program Mission - The organization's mission should reflect the value of involving consumers and family members in order to improve outcomes.

• Program Planning - Consumers and family members should be involved in substantial numbers in the conceptualization of initiatives, including identification of community needs, goals and objectives; identification of innovative approaches to address those needs; and development of budgets to be submitted with applications. Approaches should incorporate peer support methods.

• Training and Staffing – Organization staff should have substantive training in, and be familiar with, consumer and family-related issues. Attention should be placed on staffing the initiative with people who are themselves consumers or family members. Such staff should be paid commensurate with their work and in parity with other staff.

• Informed Consent - Recipients of project services should be fully informed of the benefits and risks of services and make a voluntary decision, without threats or coercion, to receive or reject services at any time. SAMHSA confidentiality and participant protection requirements are detailed in SAMHSA GFAs. These requirements must be addressed in SAMHSA funding applications and adhered to by SAMHSA awardees.

• Rights Protection - Consumers and family members must be fully informed of all of their rights, including those designated by the President's Advisory Commission's Healthcare Consumer Bill of Rights and Responsibilities: information disclosure, choice of providers and plans, access to emergency services, participation in treatment decisions, respect and nondiscrimination, confidentiality of healthcare information, complaints and appeals, and consumer responsibilities.

• Program Administration, Governance, and Policy Determination – Efforts should be made to hire consumers and family members in key management roles to provide project oversight and guidance. Consumers and family members should sit on all Boards of Directors, Steering Committees, and advisory bodies in meaningful numbers. Such members should be fully trained and compensated for their activities.

• Program Evaluation - Consumers and family members should be integrally involved in designing and carrying out all research and program evaluation activities. These activities include determining research questions, adapting/selecting data collection instruments and methodologies, conducting surveys, analyzing data, and writing/submitting journal articles.

APPENDIX H
Cultural Competence Resources

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Dais, T. 1993. An analysis of transition assessment practices: Do they recognize cultural differences? In Dais, T., Meier-Knonick N., Luft, P., and Rusch, F.R. (Eds.) *Selected Readings in Transition: Cultural Differences, Chronic Illness, and Job Matching*. Transition Research Institute at Illinois, University of Illinois at Urbana-Champaign.

U.S. Department of Health and Human Services. 2001. *Mental Health: Culture, Race, and Ethnicity--A Supplement to Mental Health: A Report of the Surgeon General*. Available through the Center for Mental Health Services Knowledge Exchange Network, 1-800-789-2497 or www.mentalhealth.org.

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APPENDIX I

RECENT DEVELOPMENTS IN JAIL DIVERSION PROGRAMS FOR ADULTS WITH CO-OCCURRING MENTAL ILLNESS AND SUBSTANCE USE DISORDERS IN CONTACT WITH THE CRIMINAL JUSTICE SYSTEM

***(This material was prepared under a SAMHSA collaborative grant that provides funding for "The National GAINS Center for People with Co-occuring Disorders in the Justice System.")**

BACKGROUND

As correctional populations have burgeoned over the past decade and the number of persons with mental illness living at the fringe of their communities has risen, the absolute number of persons with mental illness who come into contact with the criminal justice system has also escalated. As community-based mental health services have dwindled, emergency care, law enforcement departments, and jails have increasingly become *de facto* providers to persons with acute psychiatric and frequently co-occurring substance abuse disorders.

There are more Americans in jails than ever before. As of midyear 2000, there were 621,149 people in 3,365 U.S. jails (Beck and Karberg, 2001). The latest available statistics indicate that there were 11.4 million admissions to local jails in 1999 (Stephan, 2001). Although there are correspondingly more persons with mental illness in U.S. jails, there is a substantially higher percentage of both male and female jail detainees with severe mental disorders than in the general population (GAINS, 2002). Many communities increasingly rely on jails as alternatives for inadequate community-based mental health services (Teplin and Pruett, 1992; Torrey et al., 1992), but most jails are not equipped to handle the influx of detainees with mental health needs.

PREVALENCE

The most rigorous research estimating prevalence of mental illness and substance use disorders for individuals admitted to urban jails is data collected from male and female jail detainees admitted to the Cook County Department of Corrections (Chicago jail) (Teplin, 1990a, 1994: Teplin, Abram and McClelland, 1996.) Two-week prevalence data revealed that the rate of current severe mental disorder was 6.4% for male detainees entering jail (Teplin, 1990) and 12.2% for female detainees (GAINS, 2002).

Extrapolating to the United States, among the 11.4 million annual admissions to jail there are 802,000 with severe mental disorders. Moreover, among these 11.4 million admissions, alcohol and drug abuse co-morbidities are exceedingly high. Abram and Teplin (1991, Abram et al., 2001) found, among their sample of male detainees with severe mental disorders, 72% also met criteria for co-occurring disorders of alcohol or drug abuse.

The trends and needs are even more evident for women and for individuals of color. In 2-week prevalence data, 12.2% of women detainees—almost twice the rate for men—had a severe mental illness at jail entry (GAINS, 2002) and 53.3% of women had a substance use disorder compared

with 29.1% of men (Teplin, 1994; Abram et al., 2001). Minorities are disproportionately represented in the correctional population. Even though African Americans make up only 13% of the nation's population, they constitute 49% of the incarcerated population (Bureau of Justice Statistics, 1999b). The overrepresentation of minorities is further seen in the number of inmates per 100,000 of each group. Of the 621,149 persons detained in local jails at mid-year 2000, white non-Hispanics made up 260,500 (41.9%) of total detainees; black non-Hispanics, 256,300 (41.3%); Hispanics, 91,400 (15.1%); and American Indians, Alaska Natives, Asians, and Pacific Islanders together made up 10,200 (1.6%) of total detainees. Data also show that Hispanics are the fastest growing minority group in the criminal justice system.

WHAT IS JAIL DIVERSION?

Diversion programs are considered to be one of the primary responses needed to deal with persons with mental illness who are at risk for arrest and incarceration. It is commonly believed that law enforcement and jails, working together with other community mental health programs, substance abuse providers, the judiciary, and other community resources, can successfully divert offenders who have committed misdemeanors.

There is no definitive model for organizing a criminal justice diversion program for persons with co-occurring disorders. When a diversion program is developed, different strategies are needed because local criminal justice systems vary so much in size, structural characteristics, levels of perceived need, resources available within the communities' mental health and substance abuse services network, and local politics and economics. Diversion alternatives to the criminal justice system, whether prebook or postbook, target interventions for the individual at four important choice points: (1) first police contact; (2) at arraignment; (3) after booking, but prior to trial; and (4) at the time of sentencing.

The term 'jail diversion" refers to specific programs whose goal is to avoid or dramatically reduce the length of incarceration in local jails and lockups of persons with serious mental illness, usually with co-occurring substance use disorders, who come in contact with the justice system. Key program activities involve: (1) defining a target group for diversion, (2) identifying them as early as possible in their processing by the justice system, (3) negotiating community-based treatment alternatives to incarceration, and (4) implementing linkages to comprehensive systems of care and appropriate community supervision consistent with the disposition of the criminal justice contact. (Steadman et al., 1995; Steadman et al., 2001)

WHEN TO DIVERT?

There are two general categories of jail diversion programs defined by the point in criminal justice processing where diversion occurs (Steadman et al., 1995):

Prebooking: Individuals with co-occurring disorders may be identified for diversion from the criminal justice system at any point, such as prebooking interventions by police that occur before formal charges are brought. Prebooking diversion occurs at the points of contact with law

enforcement officers and relies heavily on effective interactions between police and community mental health services.

Postbooking: Postbooking is the most prevalent type of jail diversion program in the United States. These programs exist in arraignment courts, specialty mental health courts, and jails to screen individuals who are potentially eligible for diversion for the presence of mental illness. Once a person's eligibility for diversion is evaluated, diversion program staff negotiate with prosecutors, defense attorneys, community-based mental health and substance abuse providers and the courts to develop and implement a plan that will produce a disposition outside the jail in lieu of prosecution or as a conditional of a reduction of charges (whether or not a formal conviction occurs).

It is important to distinguish jail diversion from discharge planning. It is clear that only a minority of U.S. jails have any systematic discharge planning for persons with serious mental illness and co-occurring substance use disorders (Steadman et al., 1989). Those that do are not considered to be performing diversion under this program because discharge planning activities should be part of the usual criminal justice processing and occur only when the detainee would ordinarily be leaving the jail as his/her case is being handled by the criminal court. By contrast, jail diversion is a special, targeted program to short-circuit the usual criminal court processing to the benefit of the detainee, the correctional staff, and the community.

DIVERSION GOALS

The goals of various types of diversion are as follows: (1) police-based to accomplish diversion before the individual is actually booked into jail and involved in the criminal justice system; (2) court or postbooking diversion to reduce the time spent in jail. In the case of postbooking diversion, time in jail may be reduced through pretrial release or through sentencing alternatives. Court-based diversion uses sentencing alternatives and sanctions to structure the course of treatment within or outside of incarceration.

WHY DIVERT?

Persons with mental illnesses who come into contact with the criminal justice system are a particularly vulnerable group. Combined with the stress and stigma associated with their mental disabilities, the burden associated with their arrest and charges can exacerbate the isolation and distrust that are often associated with mental illness. Persons with alcohol or other drug dependence often come into contact with the criminal justice system specifically because of their disorders. In addition, decreasing community resources, particularly the lack of available or accessible emergency mental health services, have increased the likelihood that persons with mental illnesses will come into contact with police and be arrested (CMHS, 1995). However, although substance abuse services are typically more accessible and available to offenders than mental health services, the problems associated with integration of services, community supports, and follow-up services are similar.

Despite the huge needs and the many barriers to meeting them, it has been amply demonstrated in the CMHS report to the U.S. Congress, "Double Jeopardy: Persons With Mental Illnesses in the

Criminal Justice System," that comprehensive and integrated services for persons with mental illnesses and substance abuse disorders who come into contact with the criminal justice system can be developed to address their special problems. Many of the needed services require rethinking of how we have been addressing these problems and redirecting existing resources, rather than requiring new funding. Other reports have identified effective treatment programs specifically for individuals with co-occurring disorders in contact with the justice system. In particular, Peters and Hills work on "Intervention Strategies for Offenders with Co-Occurring Disorders: What Works?" (1997), and Hills's report on "Creating Effective Treatment Programs for Persons with Co-Occurring Disorders in the Justice System" (2000), provide principles, strategies and models of intervention for addressing co-occurring disorders for individuals involved in the justice system.

WHO BENEFITS?

Approximately 800,000 inmates with serious mental illnesses are admitted to U.S. jails each year. Some individuals with mental illnesses must be held in the jail because of the seriousness of the offense they commit, and should receive mental health treatment in the jail. However, individuals with mental illnesses, many who have been arrested for less serious or nonviolent crimes, can often be diverted from jail to community-based mental health programs, generally with better long-term prognoses and reduced recidivism.

Thirty-four percent of jails indicated they had some type of formal diversion program for mentally ill detainees (Steadman, 1994). However, in a follow-up survey only 18% (approximately 50 jails nationwide) had programs that would fit the definition of a jail diversion program.

The benefits of jail diversion include:

- Reduction of incarceration for persons with mental illness, or co-occurring mental health and substance abuse disorders, charged with low-level offenses.
- Enhancement of public safety by "freeing up" jail beds for more violent offenders or those ineligible for diversion.
- Reduction of recidivism of persons with mental illness, or co-occurring mental health and substance abuse disorders, through access and linkage to appropriate treatment.
- Provision of humane and confidential care for persons with serious mental illnesses, or co-occurring mental health and substance abuse disorders, who are involved in the justice system.
- Provision of more sentencing options to judges handling cases of persons with mental illness, or co-occurring mental health and substance abuse disorders, including alternatives to incarceration.
- Increased cost-effectiveness of courts, corrections, mental health, and substance abuse agencies through linkage of diverted persons with mental illness, or co-occurring mental health and substance abuse disorders, to appropriate integrated services.

ONE CORE PRINCIPLE, SIX KEY ELEMENTS

The fundamental principle on which all jail diversion programs must be based is treatment in the least restrictive alternative. SAMHSA is committed to supporting programs that combine an expansion of choices for persons with serious mental illness with careful attention to the rights of every community member to safety. Accordingly, all programs that would be funded under these SAMHSA

authorities must emphasize community-based treatment services that maximize individual choice and minimize legal constraints (civil or criminal). This principle recognizes that as alternatives to incarceration, the least restrictive alternative may include varying intensities of community supervision under the auspices of court supervision, community corrections, or civil mental health statutes. Where such mechanisms are used, it is expected that clear, informed, voluntary options will be offered to persons deemed competent to make these choices before entering the diversion program.

For the development and operation of any successful diversion program, there are six key elements:

(1) Interagency collaboration: Service integration at the community level, including involvement of social services, housing, mental health, health, local corrections (institutional and community), justice, and substance abuse agencies.

(2) Active involvement: Regular meetings for service coordination and information sharing and the establishment of written Memoranda of Understanding (MOUs).

(3) "Boundary-spanner": Staff who bridge the mental health, criminal justice, and substance abuse systems and manage cross-system staff interactions.

(4) Leadership: A strong leader to network and coordinate.

(5) Early identification: Detainees should be screened, at the earliest point possible, for mental health treatment needs and to determine whether they meet the criteria for diversion.

(6) Cross-trained case managers: Case managers should have adequate knowledge and experience with mental health and criminal justice systems.

EXAMPLES OF PROMISING JAIL DIVERSION PROGRAMS

(1) Akron, Ohio Crisis Intervention Team – Police-Based Prebooking Diversion

In May 2000, the Akron Police Department, in collaboration with the Summit County Alcohol, Drug Addiction and Mental Health Services Board and the National Alliance for the Mentally Ill – Summit County, inaugurated the Crisis Intervention Team. A Crisis Intervention Team is a partnership between law enforcement and community mental health services to enable police officers to de-escalate mental health crises in the community and provide a link to community-based mental health services while avoiding the criminalization of the mentally ill. Akron's program is based on the innovative model developed by the Memphis, TN, Police Department. The Crisis Intervention Team program consists of specially trained police officers and emergency medical services personnel from Akron and surrounding communities. Officers in the Crisis Intervention Team are trained in the de-escalation of mental health crises in the community. The majority of these encounters result in

referrals to a psychiatric emergency facility or hospitals, with only 6% of encounters resulting in arrest. Assistance in the development of Crisis Intervention Teams is possible through the Coordinating Center for Excellence in Jail Diversion and the Akron Police Department Training Bureau. For more information, contact (330) 375-2276.

(2) Montgomery County, Pennsylvania - Pre and Postbooking Diversion

Montgomery County Emergency Services offers both prebooking diversion and postbooking diversion, with a variety of dispositions that range from charges being dropped to returning the client to court to responding to the charges filed. The diversion program is supported through police training, a 24-hour crisis response team, inpatient treatment, case managers, and an outreach team. County Administrators and a local Task Force are also involved in diversion activities, both of which work closely with the Emergency Services to maximize multidisciplinary involvement in the diversion program. Montgomery County also has specialized probation caseloads. For more information, contact: (215) 349-8750.

(3) Lane County, Oregon - Postbooking Diversion

All inmates booked into Lane County Jail are screened for mental health and substance abuse problems. Persons identified are further assessed by the jail-based mental health staff and, in collaboration with the District Attorney and Public Defender's office, a diversion agreement is presented to the Drug Court. Participants are given 1 year to complete an integrated treatment program that is generally delivered in an outpatient setting. Persons requiring further stabilization can be hospitalized at the Lane County Psychiatric Hospital adjacent to the jail. A strong collaboration exists among law enforcement, corrections, the courts, the public mental health clinic, the psychiatric hospital and many private nonprofit agencies in order to maximize wraparound services. For more information, contact (541) 682-2121.

(4) Arizona Department of Mental Health Jail Diversion Programs – Postbooking Diversion

Postbooking jail diversion programs are operated by the Regional Behavioral Health Authorities of Pima and Maricopa Counties, which include the cities of Tucson and Phoenix, respectively. These postbooking diversion programs consist of a three-tier structure of diversion through a conditional release, deferred prosecution, or summary probation. Program clients diverted through conditional release receive treatment through a mental health case manager administered through managed care, clients whose prosecution is deferred have their charges dropped pending successful completion of their treatment plans, and clients diverted through summary probation are convicted with probation and a treatment plan as opposed to incarceration in jail. For more information, contact (602) 381-8999.

(5) Tulsa County, Oklahoma Parkside Jail Diversion Program – Postbooking Diversion

The Parkside Jail Diversion Program is a postbooking program for nonviolent seriously mentally ill offenders in the David L. Moss Criminal Justice Center. The program was inaugurated in January 2000 and served 300 clients in its first year of operation. Most clients spent 1 to 2 days in the jail prior to being diverted, and mental health treatment services began prior to a client's court date. Approximately half of the persons referred to the program had been arrested at least twice in the previous 12 months, and approximately two-thirds of clients in the program had been in contact with the mental health system at the time of arrest. For more information, contact (918) 588-8839.

(6) State of Maryland "Phoenix Project" - Postbooking Diversion for Women and Children

The "Phoenix Project" springs from a highly successful postbooking program that focuses on dually diagnosed women and their children. Female consumers are diverted, prearrest, by police and the Mobile Mental Health Crisis Team, giving the women the option to access secure crisis housing and transitional housing that can accommodate them and their children. This program includes a formal interagency agreement linking local service organizations, regular interagency meetings, formal training for police, a Mobile Crisis Unit with a 24-hour response capacity, an integrated intensive mental illness/substance abuse disorder outpatient treatment program, case management services with a 20:1 client to staff case load, and transitional housing. For more information, contact (410) 724-3238.

(7) Connecticut Department of Mental Health and Addiction Services' Criminal Justice Diversion Program – Postbooking Diversion

The Criminal Justice Diversion Program, which has been operating since 1995, employs a postbooking diversion model for nonviolent misdemeanor and lower-level felony offenders. The program also provides jail-based treatment for mentally ill offenders who are not eligible for diversion. Diversion teams operate out of six mental health centers in the State, covering nine courts, and consist of several clinicians who develop treatment plans for offenders eligible for diversion. These individualized treatment plans are then presented to the judge at arraignment, with possible outcomes being diversion to community-based services, diversion to hospitalization, or incarceration. Potential candidates for diversion are identified each day through the arraignment lists, which are cross-referenced with the state's mental health client information system, and through recommendations from court, law enforcement, or corrections staff. The diversion team provides the court with information on whether or not the diversion client is attending treatment, but remains separated from the court system because the program is operated through local mental health centers. For more information, contact (860) 418-6788.

(8) Project Link of Monroe County, New York – Postbooking Diversion

Project Link was developed by the Department of Psychiatry at the University of Rochester in 1995 to reduce the incarceration and hospitalization of severely mentally ill persons in Monroe County, NY. Project Link provides a postbooking diversion program for persons with a severe mental

illness and a history of involvement with the criminal justice system. Case managers work with court, jail, and community corrections staff in developing dispositions for clients into Project Link and in maintaining treatment compliance. Treatment services provided through the program include case managers available 24 hours a day, housing, a mobile treatment team for highly impaired clients, and a treatment residence. In an evaluation of the 46 clients admitted to the program over a 1-year period in 1997 and 1998, it was found that mean number of days spent in jail per month dropped from 9.1 to 2.1 per client and the average monthly jail costs for the sample dropped from $30,908 to $7,235. For more information, contact (716) 275-0300 ext. 2237.

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