

Example of application funded under the following solicitation:

*Solicitation name: Adult Drug Court Discretionary Grant Program*

Applicant: *New York State Unified Court System (Buffalo, NY)*

**APPLICATION FOR**

		2. DATE SUBMITTED 02/10/2010	APPLICATION IDENTIFIER
1. TYPE OF SUBMISSION Application Non-Construction	3. DATE RECEIVED BY STATE		STATE APPLICATION IDENTIFIER
	4. DATE RECEIVED BY FEDERAL AGENCY		FEDERAL IDENTIFIER
5. APPLICANT INFORMATION			
Legal Name New York State Unified Court System		Organizational Unit Grants and Program Development	
Address (city, state, and zip code) 25 Beaver Street New York, New York 10004-0000		Name and telephone number of the person to be contacted on matters involving this application  Michael Magnani (212) 428-2109	
6. EMPLOYER IDENTIFICATION NUMBER (EIN)		7. TYPE OF APPLICANT State	
8. TYPE OF APPLICATION New		9. NAME OF FEDERAL AGENCY Bureau of Justice Assistance	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE Number: 16.585 CFDA Title: Drug Court Discretionary Grant Program		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT 1. BJA 2010 Drug Court 2. US Department of Justice 3. Fiscal Year April 1, 2010 - March 31, 2011	
12. AREAS AFFECTED BY PROJECT Buffalo City			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICT(S) OF	
Start Date: 10/01/2010	Ending Date: 09/30/2012	a. Applicant NY26	b. Project NY26,NY27,NY28
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$198,068	Program is not covered by E.O. 12372	
b. Applicant	\$0		
c. State	\$66,331		
d. Local	\$0		
e. Other	\$0		
f. Program Income	\$0	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
g. Total	\$264,399	N	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS REQUIRED.			
a. Typed Name of Authorized Representative Ann Pfau		b. Title Chief Administrative Judge	c. Telephone number (212) 428-2710
d. Signature of Authorized Representative		e. Date Signed	

**APPLICANT INFORMATION PAGE:**

- A. The Buffalo City Court is requesting Drug Court Discretionary Grant Program funds in the amount of \$198,068 to enhance an adult drug court to assist non-violent offenders with successful rehabilitation from the use of drugs/alcohol.

In 2009, a collaborative effort, identified as the 'Crossroads' program, under the leadership of Judge McLeod, partnered with the COURTS Program and H.E.A.R.T. (Helping Empower At Risk Teens) Foundation to establish a pilot program involving young adults with the above mentioned alleged crime in addition to extenuating conditions including mental, emotional &/ behavioral challenges, depression, substance abuse, educational deficits and/or anger management challenges. The program is designed to provide a therapeutic environment and offer intervention services consisting of case management, treatment, educational assistance, and community supervision with immediate resources directly in the courtroom. The 'Crossroads' pilot program with its intake, assessment, community supervision and follow up is not currently supported by any county, state or federal funds.

- B. This funding is requested for enhancement to a local city court with a urban population.
- C. Buffalo City Court is not designed as an Empowerment Zone or a Renewal Community by the U.S. Department of Housing and Urban Development.
- D. Buffalo City Court is not collaborating with a Weed and Seed prevention based initiative, Second Chance, or other Office of Justice Programs funded initiative.
- E. Buffalo was the recipient of several Implementation/Enhancement Grants for Drug Court from the Office of Justice Programs. The most recent award was granted to the Buffalo Veteran's Court , Grant # -----,

**Category 2.Enhancement: Statement of the Problem 1.Describe the current operation:** The current Buffalo City Courts has been given national recognition for its innovative process on problem solving courts dealing with criminal proceedings as well as its success in assisting those identified for this designated court process. A direct relationship to Buffalo's success is within the current team of 13, full time elected city court judges involved with the problem solving court designations that have been active since 1996. In 1996, under the leadership and guidance of Judge Robert Russell, the first of these problem solving (treatment) courts was identified and a need for veterans and drug treatment was successfully filled.

In a similar process Judge James McLeod, within his 11 years on the bench, has recognized and focused his attention on the identified need for our community young adults within the legal system. In 2007, alongside the COURTS program Judge McLeod began to gather information specific to the needs of this population within our legal system. The mission of the COURT OUTREACH UNIT: REFERRAL and TREATMENT SERVICES (COURTS) program was designed to intervene in the criminal justice continuum as early as possible for the purpose of identifying, screening and referring offenders to needed treatment. Through treatment and the closely managed, community reintegration process, the COURTS program aimed to break the cycle associated with criminality and re-arrest. Between a three month period the COURTS program data identified 654 young adults (ages 16-19), by legal standards, able to be identified as adults who have been accused of lesser crimes such as stealing, vagrancy, minor drug offenses, non-violent felonies and misdemeanors that had extenuating circumstances in addition to their legal situation.

In 2009, a collaborative effort, identified as the Crossroads program, under the leadership of Judge McLeod, partnered with the COURTS program and Helping Empower At Risk Teens

(HEART) Foundation to establish a pilot program involving young adults with the above mentioned alleged crime in addition to extenuating conditions including mental, emotional &/ behavioral challenges, depression, substance abuse, educational deficits and/or anger management challenges. The program is designed to provide a therapeutic environment and offer intervention services consisting of case management, educational assistance, and community supervision with immediate resources directly in the courtroom.

The Crossroads pilot program with its intake, assessment, community supervision and follow up was not supported by any county, state or federal funds, but the partnerships with the HEART Foundation maintained the process and functioning required for its success.

**Program structure:** Participation in Crossroads is available to young adult offenders during pre-plea. It is voluntary entry or judicial recommendation. Prior to entry of the program, offenders are made aware of the expectations of both themselves and the program with participation. In the event the offender is referred to Grand Jury, must be sentenced at a higher level or continues to participate in criminal activity they are no longer eligible for program participation. All participants are linked with a licensed provider within 48 hours of case transfer and enter into a written contract with the service provider (HEART). Placement, Data collection and Judicial Supervision are all done on site by the COURTS program, while Intake, assessment, community supervision and follow up will be conducted by the HEART Foundation, who has two representatives directly in the courtroom.

**Program length:** It is anticipated that individuals who participate in the proposed enhancement would be involved with the program for 12-18 months. However, per the assessment and recommendation if it is determined that an extended program involvement is necessary or if the

recommended service extends beyond the 12-18 month time frame participants will continue until necessary.

**Target population:** Crossroads participants consist of young adults, ages 16-19 years of age, appearing for allegations of crimes such as stealing, vagrancy, minor drug offenses, non-violent felonies and misdemeanors that have contributed significantly to their current criminal case (excluding crimes of violence, sexual abuse and drug sales).

**Screening and assessment:** The review process for participants will include a formal assessment from the clinical staff of HEART. Following a comprehensive assessment, determinations will be documented and a planned action put into place for the individualized participants. The initial intake and assessment will take approximately 2-4 hours dependent upon the needs of the program participant.

**Service and delivery plan:** Treatment is provided and supervised through accredited and/or licensed counselors and social workers. A continuum of care is available that includes mental health counseling and substance abuse sessions. The treatment plans may change depending on a participant's progress. For instance, changes are based on relapse and clinical issues, participant's mental status, current level of functioning: job, family, community ties, level of use, etc. In addition, HEART Foundation offers culturally diverse services, intervention programs, Job readiness programs, life skills programs, parenting skills, programs that treat women with children, anger management and the Prevention Access Self-Empowerment & Support (PASS) program which has been successful in the use of peers as mentors and sponsors. PASS allows 15-20 participants per 12 month session and has successfully completed over 290 participants in it's' 14 year history. PASS is a NYS prevention program for young adults and their family members experiencing behavioral and emotional challenges in their daily lives. PASS aims to

improve young adults psychosocial, educational, and community outcomes. It utilizes a strength-based<sup>1</sup>, self-efficacy<sup>2</sup> approach to help its participants develop the resources needed to achieve and maintain healthy lifestyles.

**Judicial supervision:** Participants are subject to continuous judicial supervision and monitoring for the entire dispositional period. The frequency of required court appearances gradually decreases based on the participants progress. Initially, court appearances are scheduled more frequently in efforts for the judge to maintain satisfactory progress results on each participant. Appearances allow for ongoing assessment and positive reinforcement or graduated sanctions.

**Drug testing:** Participants undergo observed, scheduled and random urinalysis. The frequency of testing either on-site at the Court house or at the treatment provider (Lab testing) will be determined by the Judge and the service provider. Drug testing will diminishes or increase in frequency over time based on the participant progress.

**Case management:** Two on site case managers (from HEART) are present in the courtroom on a daily basis. This allows for more direct access and detailed information for between the case managers and the program participants. Initial introduction to the servicing agency, explanation of expectations for program participation and overall process occurs immediately between case manager and participant. In addition the Clinical Coordinator performs community supervision and provides the reporting and follow up interactions for each participant. This contributes greatly to the case management efforts.

**Incentives and sanctions:** The incentives for participants in Crossroads range from conditional discharge to dismissal of criminal charges or reduction in the length or intensity of

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<sup>1</sup> **Strength-based approach** Rather than focus on "what's wrong," a strengths-based approach identifies the positive resources and abilities that children and families have. (Center for Effective Collaboration and Practice, <http://cecp.sri.org/interact/expertonline/strengthsba.asp>)

<sup>2</sup> **Self-efficacy** People's beliefs about their capabilities to produce designated levels of performance that exercise influence over events that affect their lives. The beliefs determine how people feel, think, motivate themselves and behave. <http://www.des.emory.edu/mfp/JanEncy.html>)

probation/supervision or court appearances. Additional incentives may be expected by the program based on specific incentives included in the service plan provider's specified program. An example of this is HEART's job readiness program which offers bus pass and inclusion in a local apprenticeship. Sanctions might include warnings from the bench, demotion to earlier program phases, increased drug testing /supervision community service work and graduated periods of detention or jail confinement.

**Treatment and restitution:** Any restitution or community service that is outstanding must be satisfied prior to program completion. Treatment costs are covered by either private insurance (HMO's), funded programs, sliding scales based on income of participants, or Medicaid.

**Program success data:** Crossroads has a capacity of approximately 200-300 participants dependent upon the level of services required. The pilot program has successfully retained approximately 198 participants out of 216 showing approximately 92% retention. We are currently servicing 27% of our 2009 pilot participants as active cases, with over 58% having a successful completion of the program.

**Provide local data, program impact on the community:** Crossroads will be one of few problem solving Courts in Erie County. Since the implementation of problem solving courts in Erie County offenders with extenuating circumstances that may have increased the likeliness of crime have been able to receive assistance instead of jail. This is a direct result of specialized, problem solving courts. Providing the needed mental, emotional and behavioral health services assist our community, not only by healing those that may have been harming communities, but strengthening the residents of our community (those suffering from these challenges). Potential Economic benefits realized through program activities include findings from a 2007 evaluation that showed successful completion of a problem solving court can save \$15,000 annually from



avoiding enrollment or continuation on welfare scrolls. Moreover, returning a participant or having a participant gain employment results in spending \$12,000 yearly in the local economy and at the same time saves taxpayers \$8,000 in cost containment for incarceration, court time, medical care, and treatment services.

The overall program impact on the community is realized with the improved functionality of the participant, once he or she has successfully addressed the challenges to a healthier lifestyle.

**Describe the issue and need that the enhancement grant seeks to address:** The following data gathered from the census and court related database information explains an alarming need for focused attention on young adults within our juvenile justice system, which has fallen exterior to the treatment court.

- 42% of the young adults under the age of 21 in Buffalo live in poverty and nearly a third of our adult population living below poverty line. (Census)
- OCFS reports that over 60% of young adults admitted to the juvenile justice system had identified mental health and substance abuse treatment needs.
- From January 2009 -- December 2009, 3000+ young adults between the ages of 16-19 have been arraigned in Buffalo City Court on misdemeanor charges that have not fallen into the current problem solving treatment court.
- The Crossroads pilot program during January 2009 – December 2009, serviced over 200 young adults between the ages of 16-19 that were arraigned in Buffalo City Court.
- In 2008, Erie County Family Court received 626 original JD Petitions and 372 PINS Petitions for this same age group.

**Evaluation findings to support the request:** Buffalo has the less-than-flattering distinction of being named to Forbes magazine's list of America's Top 10 "Fastest-Dying Cities" with a

population loss of nearly 42,000 since 2000. The U.S. Census Bureau (2005) American Community Survey calls Buffalo the second-poorest big city in the nation. In Buffalo there is a stark contrast, the poverty rate is almost double that of the county at 26.9%. Four high schools in Buffalo —bare the nickname: “dropout factory,” a high school where no more than 60 percent of the students who start as freshmen make it to their senior year. Buffalo's 2007, unemployment rate of 9.2% was twice the national average.

The 2009 court related data depicts an alarming increase in the number of young adults (16-19 years of age) in the Buffalo, NY area that have required juvenile justice intervention. There has been success with the drug treatment court in assisting those with an identified substance abuse challenge, however what of the young adults suffering from the many other conditions of mental, behavioral, emotional health challenges. The identified 3000+ young adults with criminal matters were in addition or excess of those within young adults participating in drug treatment court.

In many of these cases the young adults have multiple surrounding challenges that need to be addressed such as growing up in circumstances that limit the development of their potential, compromise their health, and impair their sense of self. This opens their circumstances up for increased educational deficit, behavioral problems, increased contact with the justice system, and generally restricts their chances for successful lives. The contexts of their everyday lives fail to provide the resources, supports, and opportunities essential to healthy development and reasonable preparation for productive adulthood. Disorganization of the key settings in which poor and minority young people live their daily lives—schools, neighborhoods and single parent families pose a daunting challenge for their successful development. These factors reflect the risk

factors/predictors of the likelihood of contact with the criminal justice system identified by the Office of Juvenile Justice Programs.

Based on our initial findings, a stakeholder planning/advisory committee, under the leadership and guidance of Judge James McLeod, was established and within two months Buffalo developed Crossroads, a pilot judicially driven approach based on the essential elements of Problem Solving Courts. However, while studies on the effectiveness of case management have been linked to improved retention in treatment, social services and even school attendance, the influx of participants in treatment court have surpassed our ability to effectively manage the coordination of services across multiple systems. By enhancing our program with the Crossroads program focused on young adults 16-19 we will be able to address the volume coming into Buffalo City Courts. HEART Foundation's belief in the need for the Crossroads program resulted in full case management and court representation without program funding throughout the 2009 pilot. Through this "In Kind" contribution case management is currently available approximately 10 hours per week. The potential of participants with Crossroads has grown rapidly; in fact almost tripling our initial projected caseload of 100.

**2. Project/Program design and implementation.** This pilot program has a shared emphasis on data analysis, community engagement, crime prevention, and problem solving. The premise is that it was no longer enough just to arrest, process, and adjudicate a young adult offender, but law enforcement officers, prosecutors, judges, and community supervision also needed to try reducing recidivism, improve public confidence in justice, and prevent additional crime down the road. Crossroads will apply the ten key components of drug courts listed. **Key component (1) Court integrate Alcohol and other treatment services with justice system case processing:** At this time, there are no providers targeting at-risk young adults with criminal court cases in a

comprehensive model as proposed here, that includes a case manager on site at Buffalo City Court that works collaboratively with the courts, mental health and substance abuse providers and the schools to provide outreach and supportive services. By bring together justice partners (e.g., judges, prosecutors and attorneys) and reaching out to stakeholders outside the courthouse (e.g., social service mental health and substance abuse treatment providers and schools) this program will improve inter-agency communication, foster new responses including new diversion and sentencing options, improved services in health, education, safety and a greater sense of self and connectedness to resources within the community

**Key component (2) Using a non adversarial approach, prosecution, defense counsel promote public safety while protecting participants due process rights:** The contracted case managers (on site) combined with real time high-quality information—gathered by the community supervision specialist and with the assistance of technology will be acted upon and shared in accordance with confidentiality laws. This will help the Crossroads team make more nuanced and informed decisions about both treatment needs for participants and the risks participants pose to public safety, ensuring they receive an appropriate level of supervision and services.

**Key component (3) Eligible participants are identified early and promptly placed in the program:** A full time case management team will allow us to identify young offenders before they penetrate deeper into the Criminal Justice System, offer them assistance, assess their needs and manage their care. Our intent is to strengthen the local system of identification and continuity of supervision and care for young adult offenders. This process is person-centered with the result of an individualized plan for maintaining the participant's growth and promoting community safety and an increase in the quality of life within our community. The Case Managers will draw from community resources through linkages and referrals to assist the participant with the network of

resources that will help maintain their community status and promote further growth to maximum functional independence.

**Key component(4) Drug Courts provide access to a continuum of alcohol, drug and other related treatment and rehabilitation services**

The HEART Foundation, a local community based organization will be the one stop resource center as an entry and referral point for prevention and intervention services. Through the court based contracted case managers HEART will provide screening, compliance monitoring and mentoring services. Upon referral to HEART, every participant is assessed by an Assessment and Screening Instrument. The assessment and screening instrument will be a scientifically-sound, empirically-based objective assessment tool of risk, protective factors and needs. Collecting critical demographic information on young adults and their families and enhancing case planning. This tool provides a framework to incorporate into practice, the research findings on recidivism, protective factors, and case planning to improve outcomes for high risk young adult. After the initial assessments are completed participants will be delegated to the appropriate services based on their assessment score and or immediate needs. HEART will provide the following evidenced-based programs: Home-based therapy based on the Homebuilders model. This internationally renowned model has been designated a "model family strengthening program" by the United States Office of Juvenile Justice and Delinquency Prevention and the Center for Substance Abuse Prevention. Life Skills Coaches, using Casey Life Skills Model, a well recognized, best practice model for transitional living in 48 states. Family Therapy is effective in treating young adults with Conduct Disorder, Oppositional Defiant Disorder, Disruptive Behavior Disorder, alcohol and other drug abuse disorders. Life Skills Coaches serve as role models and provide the impetus for at-risk young adults to learn new and positive interpersonal skills to replace self-defeating behaviors.

The Life Skills Coach will work with the at-risk young adults to identify community resources to aid in their development and overall well-being. Other community-based programs that will collaborate on this project include, Family Voices Network (FVN), City of Buffalo Public School System, Erie Community College (ECC), and the Family Service Center of Western New York. FVN will provide coordinated, culturally-competent Wraparound Program for young adult experiencing serious emotional, social and/or behavioral challenges. If the participant is in need of a high level of care, the family will receive a care coordinator who will assign high-intensity support services. The Buffalo Public School System will provide two attendance officers to assist in re-enrollment as well as collecting and sharing data on school attendance, grades and behaviors. In addition, they will assist in informing at-risk young adult and their families about available supports within the Buffalo School system. ECC brings 12 years experience working with problem solving courts in addition to the resources of staff to provide GED classes, Pre collegiate Studies, a range of degree/certificate programs and a One Stop Vocational Training Center/Career Resources Center that will provide the range of employment, jobs, career development and placement services to advance career opportunities. Crossroad referrals to ECC will be the 17 and 18 year old participant who have either dropped out of school or expelled. ECC will implement a Crossroad specific GED program at either the college or on site at the court that will be held every morning. Participants in the GED program will have an opportunity for employment in the afternoon with Habitat for Humanity's winterization program. Those who want to continue will be enrolled upon obtaining their GED in the Green Technology campus at ECC. As stable organizations exterior to the Buffalo City Courts the ability for young adults to continue using these services is available even beyond their completion of the Crossroads program.

**Key component (5) Abstinence is measured by frequent substance abuse testing:** Based on the determined need for services and determined frequency of the case manager, judge and community supervision specialist will determine the need for substance abuse testing. Monitoring the participant will occur via the following methods through the court program: hair screening, urine screening and rapid drug testing. In the event that a positive screening is determined notification to the involved parties is required.

**Key component (6) Coordinated Strategy governs court responses to participants compliance:** Using valid, evidence-based risk and needs assessment instruments as described above Crossroads contracted case managers will link participants to individually tailored community-based services (e.g., Literacy programs, GED, job training, drug treatment, safety planning, mental health counseling) where appropriate. In doing so (and by treating participants with dignity and respect), Crossroads can help reduce recidivism, improve community safety and enhance confidence in justice.

**Key component (7) Ongoing judicial interactions with each participant is essential:** Crossroads will send the message that all criminal behavior, even low-level quality-of-life crime, has an impact on community safety and has consequences. Through continuous community supervision on an as determined basis and judicial supervision (bi-weekly) rigorous compliance monitoring with consistency and clear consequences for non-compliance, Crossroads will improve the accountability of participants. By scheduling participants to meet regularly with the Crossroads community supervisor and judge, we will ensure that sanctions—even diversion programs and alternative to incarceration—have real teeth. Crossroads rapid responses will be essential for holding participants accountable: non-compliance will be communicated from the community supervising specialist as soon as it is discovered and the court will make it clear that

sanctions (e.g.: letters of apology; curfew; and increased frequency of reporting, even short-term jail) will be issued in response. Program Incentives focus on verbal praise, opportunities for education and employment

**Key component (8) Monitor and evaluate, measure the achievements of program goal and gauge effectiveness:** The active and ongoing collection and analysis of data—measuring outcomes and process, costs and benefits—are crucial tools for evaluating the effectiveness of operations and encouraging continuous improvement. Public dissemination of this information will be a valuable symbol of public accountability.

**Key component (9) Continuing education promotes effective drug Court planning, implementation, and operations:** Collaborative partners within the Crossroads program will participate in continuing educational workshops and seminars to increase their knowledge of best practices and innovative methods to better service the young adult population.

**Key component (10) Forging Partnerships among public agencies, community based organizations generate local support and enhance court programs:** By bringing together justice partners (e.g. judges, prosecutors, attorneys and court managers) and reaching out to potential stakeholders beyond the courthouse (e.g., social service providers, treatment, school) Crossroads will improve inter-agency communication, encourage greater trust between citizens and government, and foster new responses—including new diversion and sentencing options. Beyond the collaborative efforts as described above, Buffalo City Court throughout the pre and post pilot implementation of Crossroads met with Citizens and neighborhood groups to help identify and prioritize local problems and develop a program based on community concerns and values. The Crossroads team will continue to meet with Block Clubs, community groups and members of the school and social service system on a quarterly basis. 2(1)-Describe the



**Enhancements–** As a result of post pilot evaluation activities conducted by HEART the following program and target population expansions were determined to be needed: (1)Integration of alcohol abuse services within the justice system; (2)Expansion of the target population to include subpopulations with reported gang affiliation/activities; (3) an expansion of immediate direct service providers located directly in the courtroom to engage young offenders; (4)increased provision of community supervision and increased immediate access to clinical services; (5) improved access to treatment and recovery support systems that serve to stabilize and sustain recovery. **2 (2)** Ongoing training will be provided to ensure that drug court practitioners, HEART staff and all judicial stakeholders receive cutting edge information that ensures effective delivery of services and engagement of clients. Evaluation activities of the Crossroads program will be conducted by Recovery Solutions using pre-determined performance measures and evaluation outcomes will be provided to the HEART Foundation and Buffalo City Court. Outcome data and measurements will be reviewed and utilized to ensure relevant quality improvement activities are developed to ensure goals of the project are attained.

**(3)** As a result of this funding, a Community Supervision Specialist and a licensed Mental Health Specialist with proficiency in behavioral health will be located onsite. This expansion allows HEART to serve as an immediate access point increases the ability to serve as a one-stop resource center. It is our position that defragmenting services and locations will increase client access to care and retention in programming that are proven effective interventions.

**(4)Improving the quality and/or intensity of services:**

As a result of this expansion, the quality and intensity of services will be directly improved in the following areas:

1) After programmatic review of the offenders served in the last year it was determined that services should be expanded to include non-violent offenders with reported gang related activities and/or affiliations to preclude escalating behaviors. This subpopulation requires intense monitoring and skill building activities that would be delivered through the already described best practices and interventions.

2) Expanded case management activities will intensify oversight related to court dispositions, program engagement or reengagement activities strengthening client adherence and accountability.

3) Expanding access to non-treatment recovery supportive systems to offenders that will increase the skill/knowledge base of offenders. Through participation in the aforementioned supportive services offered by HEART participants will receive educational and vocational training thereby increasing employment readiness.

4) Expanded access ongoing enhanced mental and behavioral health services. These services will increase the offenders' ability to identify emotions/triggers/behaviors that result in negative outcomes and develop the skill sets to manage their behavioral dysfunctions and/or emotions more appropriately, thereby reducing the risk to the community and themselves

5) Afford non-violent offenders the opportunity to be linked with a community based provider, thereby reducing Buffalo's overall cost of incarceration and reducing the exposure of non-violent offenders to incarceration settings and its potential negative impact

**3. Capabilities/Competencies:** The 8<sup>th</sup> Judicial District implemented its first problem solving court in Buffalo (1995) and since then has developed and sustained 23 others across Western New York. It has overseen grants and been responsible for all activities and has always complied with all operationally and fiscal BJA reporting requirements. Based on the success of other

problem solving initiatives implemented within Buffalo City Court such as The Buffalo Domestic Court, The Buffalo Drug Court, Buffalo Mental Health Court, Buffalo DWI Court and Veterans Treatment Court our judiciary are uniquely positioned to engage a diverse range of people, government agencies, and community organizations in collaborative efforts to improve public safety. The presiding Crossroads Judge has been on the bench for over 13 years and has extensive experience in the criminal courts as well as contributing support to Diversionary programs. The Program Management will reside with the 8th Judicial District Court Program staff to oversee the day to day operation of Crossroads and provide initial engagement with the program participants and the Evaluator (Recovery Solutions) has been involved with 13 prior process evaluations throughout our District.

**Describe the proposed management structure and project staffing:** Buffalo City Court is the lead applicant for this project. This grant will be administered locally by the 8<sup>th</sup> Judicial District who will act as the fiscal agent on behalf of the New York State Unified Court System (UCS) and will be responsible for tracking all drawdown and grant expenditures. The overall Crossroads Team will be led by Hon. James McLeod who presides over this problem Solving Initiative. The Program Manager will be the HEART Foundation, the Community based mental health partner of Crossroads who will also provide supervision to the contracted case managers. The case managers will coordinate individualized service plans with two Buffalo School Attendance Officers that will be assigned to the project “In Kind” by the Buffalo Board of Education.

**Key Stakeholders and their respective roles:** All Resources, activities and roles of each stakeholder have been identified and Memorandums of Understanding are in place.

Key Stakeholders	Commitment of resources , activities and roles
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<b>Judge James McLeod</b>	<ul style="list-style-type: none"> <li>▪ Judicial Leadership for Crossroads</li> <li>▪ Judge for Participants; determining case appropriate actions from a legal standpoint</li> </ul>
<b>Buffalo City Court "CROSSROADS"</b>	<ul style="list-style-type: none"> <li>▪ Provide direction, support and supervision through a judicially driven Problem Solving Court.</li> <li>▪ <i>Continue to build upon the key principles of Problem Solving Courts.</i></li> <li>▪ Encourage community forums for consideration of the cross-systems collaborations between criminal justice ,education and social service agencies</li> <li>▪ Provide administrative support, compiling the Inter-local Agreements; contract management, and grant oversight.</li> <li>▪ Contract with and oversee the Delivery of process and outcome evaluation</li> <li>▪ Responsible for data collection and Information Dissemination</li> </ul>
<b>H.E.A.R.T. (Helping Empowering at Risk Teens)</b>	<ul style="list-style-type: none"> <li>▪ Hire and develop Case Management Team</li> <li>▪ Development of and coordination of "Crossroads" Case management team</li> <li>▪ Intensive case management services</li> <li>▪ Provide Evidence based intervention services</li> <li>▪ Administer the Young adult Assessment and Screening Instrument on all participants</li> <li>▪ Coordination and information exchange with "CROSSROADS"</li> <li>▪ Provide Functional Family Therapy and Provide Life Skill Coaches</li> </ul>
<b>Buffalo School System</b>	<ul style="list-style-type: none"> <li>▪ Provide a dedicated staff person (In Kind) to "Crossroads Team</li> <li>▪ Access to Buffalo School Data via a secure encrypted database. (Permission has been granted by the Board of education)</li> </ul>
<b>Eric Community College</b>	<ul style="list-style-type: none"> <li>• Provide GED Services</li> <li>• Contract Resource Specialist to access, navigate and expedite college entrance</li> <li>• Enroll and Oversee referral in the Habitat to Humanity Internship Program</li> </ul>
<b>Recovery Solutions</b>	<ul style="list-style-type: none"> <li>• Program evaluator for measureable outcomes</li> <li>• Monitor volume of participants and success percentages</li> </ul>

5. **Evaluation Plan:** Crossroads has the willingness and capacity to participate in an evaluation to be managed by the National Institute of Justice and collect all related BJA and other related performance measures. The primary evaluator (Recovery Solutions Inc.) means to collect data

via the Buffalo DMIS-2001. It is a management information system (MIS) built on Access 2003 that was initially designed and customized on site for the Buffalo Problem Solving Courts by program staff with assistance from BJA and American University. It will be customized to provide Crossroads staff a structured means to meet operational, evaluative and measurement of program performance. The process evaluation will assess the effectiveness of program implementation and provide recommendations for improving key components such as the referral, screening and assessment, case management services and community activities. The program outcomes will assist in determining the program's effectiveness in the number of jobs, either retained or created, the percent of essential services either maintained without disruption or the increase of essential services, program completion, number and type of service referrals, retention in treatment, and operational outcomes related to community partnerships and programs. Data obtained from the evaluation will be used to modify program components, procedures, and approaches, and to justify continuation or expansion of the program.

Process Evaluation and Qualitative Methods: Semi-structured interviews will be conducted with key project staff and stakeholders at 6 and 12 month time periods to examine the perceived effectiveness of the different components, and to obtain recommendations for improving the program. Interviews will be also conducted with a sample of program participants to assess levels of satisfaction with services received.

Examining BJA Performance Measures: The evaluation will examine all participants admitted to the program. Key Performance measures in addition to, or in conjunction with, required BJA Measures for categories 1-VIII will include the following: a).The proportion of participants who are rearrested (recidivate) while participating, and within 6-month and 1-year follow-up periods; b).The proportion of participants who successfully complete the program; c).The number of new memoranda of agreements or other compacts formed among local and state government, service agencies, and criminal justice agencies as a result of the project. Utilization of Services, Stakeholder Support, and Service

Coordination: The evaluation will examine referrals for treatment and ancillary services (e.g., health care, housing, employment) and services received, including the type and duration of all case management services, school and employment activity, the service provider, location of services. Dissemination of Findings and Leveraging Community Partnerships to Provide Ongoing Support for the Project: The evaluator will facilitate and monitor dissemination of key evaluation findings, and the final evaluation report will be disseminated to local agencies, collaborative stakeholders and appropriate departments through newsletters, presentations at conferences, training seminars and workshops. **Sustainment:** The New York State Unified Court System has institutionalized problem solving courts and has traditionally supported and continued grant activities upon expiration. In addition the evaluation coordinator and project staff will present findings to the State, the County and the Buffalo School Board. We will meet with these groups to discuss ongoing funding to support diversion and transition activities. For example, we will continue to seek funding through the Buffalo School Board, Erie County Department of Social Services, Housing and Urban Development as well as New York State Office of Mental Health and New York State Office of Alcoholism and Substance Abuse Services. It should be noted that Erie County may fund continuance based on program performance.

## Crossroads Budget Year 1

### A. Personnel

Name/Position	Federal	Non-Federal	Cost
Resource Coordinator I (OCA Employee) Case Manager I	\$0		
<b>Total</b>	<b>\$0</b>	<b>\$20,472</b>	<b>\$20,472</b>

### B. Fringe Benefits

Name/Position	Federal	Non-Federal	Cost
Resource Coordinator I	\$0		
Case Manager I			
(OCA Employee) Fringe Benefit Rate:			
Health Insurance			
Pensions			
Social Security			
Employee Ben. Fund			
Dental Insurance			
<b>Total</b>	<b>\$0</b>	<b>\$7,943</b>	<b>\$7,943</b>

### C. Travel

Purpose of Travel	Location	Item	Federal	Non Federal	Cost
Purpose of Travel: Attend BJA Sponsored Training (Mandatory as per grant requirement)	TBA	Airfare	6 team members x \$275 = <b>\$1,650</b>	<b>\$0</b>	<b>\$1,650</b>
		Lodging	6 team members x 2 nights x \$100 = <b>\$1,200</b>	<b>\$0</b>	<b>\$1,200</b>
		Meals	6 team members x 2 \$32.50 per diem x 2 days = <b>\$390</b>	<b>\$0</b>	<b>\$390</b>
<b>Sub Total</b>			<b>\$3,240</b>	<b>\$0</b>	<b>\$3,240</b>
<b>Total</b>			<b>\$3,240</b>	<b>\$0</b>	<b>\$3,240</b>

### D. Equipment

Item	Federal	Non-Federal	Cost
Office Equipment 2 Desk and 2 Chairs \$1,500 x 2		\$3,000	<b>\$3,000</b>
2 Laptops and 2 Docking Stations \$1,800 x 2	<b>\$3,600</b>	<b>\$0</b>	<b>\$3,600</b>
Alcohol Sensor 2 x \$350	<b>\$700</b>	<b>\$0</b>	<b>\$700</b>
<b>Total</b>	<b>\$4,300</b>	<b>\$3,000</b>	<b>\$7,300</b>

### E. Supplies

Supply Item	Federal	Non-Federal	Cost
Computer Supplies (Toner, Ink, Paper)	<b>\$2,000</b>	<b>\$0</b>	<b>\$2,000</b>
Office Supplies (General)	<b>\$2,000</b>	<b>\$0</b>	<b>\$2,000</b>
Urine Tox Supplies (750 Kits x \$4.00 = \$3,000)	<b>\$3,000</b>	<b>\$0</b>	<b>\$3,000</b>
<b>Total</b>	<b>\$7,000</b>	<b>\$0</b>	<b>\$7,000</b>



**F. Construction**

	Federal	Non-Federal	Cost
NA	\$0	\$0	\$0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**G. Consultants/Contract**

Name of Consultant	Service Provided	Federal	Non-Federal	Cost
Recovery Solutions	Data analysis, Data Collection, Report Requirements, Outcome Based Performance		\$0	
HEART Foundation	Measurments			
Case Manager I (Part Time)				
Case Manager II				
<b>Sub Total</b>		<b>\$82,010</b>	<b>\$0</b>	<b>\$82,010</b>
<b>Total</b>		<b>\$82,010</b>	<b>\$0</b>	<b>\$82,010</b>

**H. Other Costs: No Request****I. Indirect Costs**

Item	Federal	Non-Federal	Cost
\$0	\$0	\$0	\$0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

**J. Budget Summary Year One**

Category	Federal	Non-Federal	Cost
A. Personnel	\$0	\$20,472	\$20,472
B. Fringe Benefits	\$0	\$7,943	\$7,943
C. Travel	\$3,240	\$0	\$3,240
D. Equipment	\$4,300	\$3,000	\$7,300
E. Supplies	\$7,000	\$0	\$7,000
F. Construction	\$0	\$0	\$0
G. Consultants/Contract	\$82,010	\$0	\$82,010
H. Other	\$0	\$0	\$0
I. Indirect Costs	\$0	\$0	\$0
<b>Total Direct Costs</b>	<b>\$96,550</b>	<b>\$31,415</b>	<b>\$127,965</b>

**TOTAL PROJECT COST - YEAR 1**

Federal Request	\$96,550
Non - Federal Amount (Local Match)	\$31,415
<b>Total</b>	<b>\$127,965</b>

## Crossroads Budget Year 2

### A. Personnel

Name/Position	Federal	Non-Federal	Cost
Resource Coordinator I (OCA Employee) Case Manager I	\$0		
<b>Total</b>	<b>\$0</b>	<b>\$24,436</b>	<b>\$24,436</b>

### B. Fringe Benefits

Name/Position	Federal	Non-Federal	Cost
Resource Coordinator I	\$0		
Case Manager I			\$0
			\$0
(OCA Employee) Fringe Benefit Rate:			
Health Insurance			
Pensions			
Social Security			
Employee Ben. Fund			
Dental Insurance			
<b>Total</b>	<b>\$0</b>	<b>\$9,480</b>	<b>\$9,480</b>

### C. Travel

Purpose of Travel	Location	Item	Federal	Non Federal	Cost
Purpose of Travel: Attend BJA Sponsored Training (Mandatory as per grant requirement)	TBA	Airfare	6 team members x \$275 = \$1,650		\$1,650
		Lodging	6 team members x 2 nights x \$100 = \$1,200		\$1,200
		Meals	6 team members x 2 \$32.50 per diem x 2 days = \$390		\$390
<b>Sub Total</b>			<b>\$3,240</b>		<b>\$3,240</b>
<b>Total</b>			<b>\$3,240</b>		<b>\$3,240</b>

### D. Equipment

Item	Federal	Non-Federal	Cost
	\$0	\$0	\$0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

### E. Supplies

Supply Item	Federal	Non-Federal	Cost
Computer Supplies (Toner, Ink, Papers)	\$2,000	\$0	\$2,000
Office Supplies (General)	\$2,000	\$0	\$2,000
Urine Tox Supplies	\$3,000	\$1,000	\$4,000
<b>Total</b>	<b>\$7,000</b>	<b>\$1,000</b>	<b>\$8,000</b>

### F. Construction

	Federal	Non-Federal	Cost
NA	\$0	\$0	\$0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

### G. Consultants/Contract

Name of Consultant	Service Provided	Federal	Non- Federal	Cost
Recovery Solutions	Data analysis, Data Collection, Report			

	Requirements, Outcome Based Performance Measurements		\$0	
HEART Foundation Case Technician				
Case Manager I				
<b>Sub Total</b>		<b>\$91,278</b>	<b>\$0</b>	<b>\$91,278</b>
<b>Total</b>		<b>\$91,278</b>	<b>\$0</b>	<b>\$91,278</b>

H. Other Costs: No Request

I. Indirect Costs

Item	Federal	Non-Federal	Cost
	\$0	\$0	\$0
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

J. Budget Summary Year Two

Category	Federal	Non-Federal	Cost
A. Personnel	\$0	\$24,436	\$24,436
B. Fringe Benefits	\$0	\$9,480	\$9,480
C. Travel	\$3,240	\$0	\$3,240
D. Equipment	\$0	\$0	\$0
E. Supplies	\$7,000	\$1,000	\$8,000
F. Construction	\$0	\$0	\$0
G. Consultants/Contract	\$91,278	\$0	\$91,278
H. Other	\$0	\$0	\$0
I. Indirect Costs	\$0	\$0	\$0
<b>Total Direct Costs</b>	<b>\$101,518</b>	<b>\$34,916</b>	<b>\$136,434</b>

TOTAL PROJECT COST - YEAR 1	
Federal Request	<b>\$101,518</b>
Non - Federal Amount (Local Match)	<b>\$34,916</b>
<b>Total</b>	<b>\$136,434</b>

**Budget Summary** - When you have completed the budget worksheet, transfer the budget worksheet, transfer the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount				
	Year 1			Year 2	
	Federal	Local Match		Federal	Local Match
A. Personnel	\$0	\$20,472		\$0	\$24,436
B. Fringe Benefits	\$0	\$7,943		\$0	\$9,480
C. Travel	\$3,240	\$0		\$3,240	\$0
D. Equipment	\$4,300	\$3,000		\$0	\$0
E. Supplies	\$7,000	\$0		\$7,000	\$1,000
F. Construction	\$0	\$0		\$0	\$0
G. Consultants/ Contracts	\$82,010	\$0		\$91,278	\$0
H. Other	\$0	\$0		\$0	\$0
I. Indirect Costs	\$0	\$0		\$0	\$0
Total Federal Request	\$96,550			\$101,518	
(Local Match)		\$31,415		\$34,916	\$
Total Costs					

## Budget Narrative- Year One

- **PERSONNEL-**

- **FRINGE BENEFITS**

- **TRAVEL-** The expense attributed to this line is for 6 members of the Crossroads team to travel to a BJA sponsored training. **Federal**

- **EQUIPMENT** - The court requests the funds to purchase desks and chairs for the space allotted to the “new” contracted positions. The funds for this item will be the **cash match portion of the grant**. The court also requests funds for 2 laptop computers and corresponding docking stations for utilization by the Crossroads team. Lastly, the court will need a hand held alcohol sensing device to breathalyze participants. All the above would be covered by requested **Federal** funds.

- **SUPPLIES-** The staff assigned to the Crossroads program and its oversight will use general office supplies while they provide supervision and referral services for clients. It is anticipated that the federal request of \$7,000 will cover costs including but not limited

to: fax cartridges, paper, pens, copying, paperclips, staples, binders, case file folders, ink, toner, and lastly instant urine analysis kits. The items will be purchased based on state approved vendors and procurement procedures. **Federal Funds**

- **CONSTRUCTION-** Not Applicable, no funds requested.
- **CONSULTANTS/CONTRACTS -**

**Evaluation-** Recovery Solutions Training & Consulting, Inc.- The Crossroads program will contract with an experienced evaluator (Richard Washousky) to coordinate the performance based outcome reporting and recording. The contract will extend throughout the grant period and findings will be submitted to all related parties. The evaluator will supervise the performance based outcome reporting and recording, with focus on all areas of the proposed enhancement. He will commence involvement during the planning and implementation process and maintain ongoing participation in the Drug Court team throughout the grant period. The final product will include the creation of data instruments, data collections, collection of the data elements not computerized (pulling, reading, and coding), data coding, data cleaning, and analysis in year one.

**Case Management Services -** The court will contract with the HEART Foundation to provide case management services as described.

The HEART Foundation case manager(s) will act as a necessary connector using comprehensive case management services for individuals who have mental health challenges/substance use and who are involved in the criminal justice system. Works in partnership with the individual, the jail, the Courts, the County Attorney, the Public Defender and a wide range of professionals and community based service providers in an effort to minimize the client's involvement with the criminal justice system. The work produced and decisions made affect non-routine operations of the work unit. The



employee applies knowledge to diversified subject matter, requiring some judgment in applying established procedures and guidelines. Duties include:

- Provide case management services; determine eligibility for services; review and evaluate relevant reports.
- Ensure that needed treatment or other services are received and monitor client progress;
- Act as liaison between the treatment community, detention, and Courts;
- Attend court hearings and present evidence or recommendations to the Court; participate in meetings and case conferences with treatment professionals, community services providers and Court personnel;
- Attend and participate in the Crossroads/Court workgroup meetings;
- Assist with the collection and review of mental health service utilization data to determine effectiveness of programs and services, identify trends, and make appropriate recommendations;
- Perform others duties as assigned or required.

Initially, one position will start full-time with the other beginning 3/4 time. In year two both will have been brought on as full time staff members. All costs in this section are **Federal**.

- **OTHER-** Not applicable
- **INDIRECT COSTS-** Not Applicable, no funds requested.

## Budget Narrative- Year Two

- **PERSONNEL-**
- **FRINGE BENEFITS -**
- **TRAVEL-**The expense attributed to this line is for 6 members of the Crossroads team to travel to a BJA sponsored training. **Federal Funds**
- **EQUIPMENT -** Not applicable
- **SUPPLIES-** The staff assigned to the Crossroads program and its oversight will use general office supplies while they provide supervision and referral services for clients. It is anticipated that the federal request of \$7,000 will cover costs including but not limited to: fax cartridges, paper, pens, copying, paperclips, staples, binders, case file folders, ink, toner, and lastly instant urine analysis kits. Also, \$1,000 of **Cash Match** will be used for Urine Toxicology supplies. The items will be purchased based on state approved vendors and procurement procedures. **Federal**

- **CONSTRUCTION-** Not Applicable, no funds requested.

- **CONSULTANTS/CONTRACTS**

**Evaluation-** Recovery Solutions Training & Consulting, Inc.- The Crossroads program will contract with an experienced evaluator (Richard Washousky) to coordinate the performance based outcome reporting and recording. The contract will extend throughout the grant period and findings will be submitted to all related parties. The evaluator will supervise the performance based outcome reporting and recording, with focus on all areas of the proposed enhancement. He will commence involvement during the planning and implementation process and maintain ongoing participation in the Drug Court team throughout the grant period. The final product will include the creation of data instruments, data collections, collection of the data elements not computerized (pulling, reading, and coding), data coding, data cleaning, and analysis in year one.

**Case Management Services** - The court will contract with the HEART Foundation to provide case management services as described.

The HEART Foundation case manager(s) will act as a necessary connector using comprehensive case management services for individuals who have mental health challenges/substance use and who are involved in the criminal justice system. Works in partnership with the individual, the jail, the Courts, the County Attorney, the Public Defender and a wide range of professionals and community based service providers in an effort to minimize the client's involvement with the criminal justice system. The work produced and decisions made affect non-routine operations of the work unit. The employee applies knowledge to diversified subject matter, requiring some judgment in applying established procedures and guidelines. Duties include:

- Provide case management services; determine eligibility for services; review and evaluate relevant reports.
- Ensure that needed treatment or other services are received and monitor client progress;
- Act as liaison between the treatment community, detention, and Courts;
- Attend court hearings and present evidence or recommendations to the Court; participate in meetings and case conferences with treatment professionals, community services providers and Court personnel;
- Attend and participate in the Crossroads/Court workgroup meetings;
- Assist with the collection and review of mental health service utilization data to determine effectiveness of programs and services, identify trends, and make appropriate recommendations;
- Perform others duties as assigned or required.

All costs in this section are **Federal**.

• **OTHER-** Not applicable

• **INDIRECT COSTS-** Not Applicable, no funds requested.