RESOLUTION 2018-072  PASSED: JUNE 11, 2018

AUTHORIZING AN AGREEMENT WITH THE NORTHERN ILLINOIS UNIVERSITY DEPARTMENT OF SOCIOLOGY TO DEVELOP THE COMPREHENSIVE STRATEGIC PLAN FOR THE POLICE-MENTAL HEALTH COLLABORATION GRANT PROJECT IN AN AMOUNT NOT TO EXCEED $29,820.

WHEREAS, the City of DeKalb recognizes the need for assistive and preventive mental health services in the community; and

WHEREAS, after receiving a Department of Justice grant in the amount of $75,000 for a Police-Mental Health Collaboration project; and

WHEREAS, the grant project requires and funds $29,820 for the development of a Comprehensive Strategic Plan for mental health response and services to the community;

WHEREAS, the Northern Illinois University Department of Sociology has submitted an acceptable proposal to develop the Comprehensive Strategic Plan in an amount not to exceed $29,820.

NOW, THEREFORE, BE IT RESOLVED BY THE COUNCIL OF THE CITY OF DEKALB, ILLINOIS:

Section 1: The Interim City Manager, or designee thereof, is authorized and directed to complete the agreement with the Northern Illinois University Department of Sociology to develop the Comprehensive Strategic Plan for the Police-Mental Health Collaboration grant project in the amount of $29,820, using available grant funds, subject to such changes as shall be acceptable to the Mayor, with the recommendation of the Interim City Manager.

Section 2: That the City Clerk of the City of DeKalb, Illinois, or designee, be authorized and directed to attest the Mayor’s Signature and shall be effective thereupon.

PASSED BY THE CITY COUNCIL of the City of DeKalb, Illinois, at a Regular meeting thereof held on the 11th day of June, 2018, and approved by me as Mayor on the same day. Passed by an 8-0 roll call vote. Aye: Jacobson, Finucane, Marquardt, Fagan, Noreiko, Verbic, Faivre, Smith. Nay: None.

ATTEST:

RUTH A. SCOTT, Deputy City Clerk
JERRY SMITH, Mayor
INDEPENDENT CONTRACTOR
AGREEMENT FOR SERVICES:

THIS AGREEMENT, by and between the City of DeKalb, hereinafter referred to as the "City" and "The Board of Trustees of Northern Illinois University" hereinafter referred to as the "Contractor", with the City and Contractor agreeing as follows

A. Services:

Contractor agrees to furnish to the City the following services:

See attached Exhibit A

Contractor represents that it possesses the skills and knowledge necessary to provide all such services and understands that the City is relying upon such representation. Contractor further acknowledges that Exhibit A is an integral part of this Agreement and may not be modified except in accordance with a modification to the terms of this Agreement.

B. Term:

Services will be provided as needed and directed by the City beginning on July 1, 2018 and ending September 30, 2018. Services under this agreement may be terminated by either party upon 7 days written notice to the non-terminating party. Upon termination the Contractor shall be compensated for all work performed for the City prior to termination and shall provide to the City all work completed through the date of termination. The City's issuance of a notice of termination shall function as a stop work order, beyond which the Contractor shall not incur any additional costs without the City's express, written permission.

C. Compensation:

Contractor shall receive as compensation for all work and services to be performed herein, an amount based on the fee schedule attached hereto as Exhibit B. All payments will be made according to the Illinois State Prompt Payment Act.

Any payment made to the Contractor shall be as stated in this Agreement. The Contractor shall submit to the City a detailed breakdown and invoice of all charges, including detail of past payments and amounts still remaining due, accurate to the date of the invoice, with each request for payment. Any additions to or deductions from the approved total amount of the contract, and any out of scope work shall require prior, written approval from the City. Any work performed without the City's express, written consent shall be solely at the expense of the Contractor.
D. Changes in Rates of Compensation (and Prevailing Wages):

If the Contractor seeks to impose any change in the fee schedule (whether in terms of hourly fee or lump sum fees), then the Contractor shall provide not less than fifteen days written notice of its intent to change its fee schedule, and any such change in fee schedule shall require the approval of the City. To the extent applicable, the contractor shall further comply the requirements of the Prevailing Wage Act in that all laborers, mechanics and other workers performing work under this Agreement which is subject to the Prevailing Wage Act shall be paid not less than the general prevailing rate of hourly wage as provided for in 820 ILCS 130/1 et seq.

E. Ownership of Records and Documents / Confidential Information:

Contractor agrees to keep and maintain all books and records and other recorded information required to comply with any applicable laws. Contractor agrees to keep such information confidential and not to disclose or disseminate the information to third parties without the consent of the City. Contractor further agrees to keep as confidential any information belonging or relating to the City which is of a confidential nature, including without limitation information which is proprietary, personal, required by law to be confidential, or relates to the business, operations or accounts of the City. This confidentiality shall not apply to material or information, which would otherwise be subject to public disclosure through the freedom of information act or if already previously disclosed by a third party. Contractor acknowledges that the Freedom of Information Act, 5 ILCS 140/1 et seq. (the “Act”) places an obligation on the City to produce certain records that may be in the possession of Contractor. Contractor shall comply with the record retention and documentation requirements of the Local Records Act 50 ILCS 205/1 et seq. and the Act and shall maintain all records relating to this Agreement in compliance with the Local Records Retention Act and the Act (complying in all respects as if the Contractor was, in fact, the City). Contractor shall review its records promptly and produce to the City within five business days of contact from the City the required documents responsive to a request under the Act. If additional time is necessary to comply with the request, the Contractor may request the City to extend the time do so, and the City will, if time and a basis for extension under the Act permits, consider such extensions.

F. Governing Law:

This contract shall be governed and construed in accordance with the laws of the State of Illinois.

G. Independent Contractor:
The Contractor acknowledges that neither it nor its personnel shall be acting as an employee or official representative of the City for purposes of being offered any protection or coverage under City insurance policies other legal purposes under Illinois law. The City shall have no liability for Contractor’s selection of personnel, employees or subcontractors.

Contractor shall have sole control over the manner and means of providing the work and services performed under this agreement. The City’s relationship to the Contractor under this agreement shall be that of an independent contractor. Contractor will not be considered an employee to the City for any purpose. The parties agree that the Contractor is exclusively responsible for the determination of what work is required to complete the tasks outlined in Exhibit A, and for the means and methods of completing such work. The City’s compensation to Contractor shall be limited to that described in Exhibit B, and the City shall not reimburse any expenses, provide any benefits, withhold any employment taxes or otherwise have a financial relationship with Contractor other than payment of the stated compensation. The Contractor shall be solely responsible for withholding of taxes, providing employee benefits, or otherwise complying with applicable laws relating to its employees or contractors.

In the event that the City determines, in its reasonable discretion, that it is reasonable for the City to provide comparable supplies or tools for use by Contractor without compromising Contractor’s performance or deliveries under this Agreement, then in lieu of paying Contractor to provide the same, the City and Contractor agree that Contractor shall then utilize the City’s equipment or supplies according to Contractor’s own determination of their best and appropriate use. Contractor shall be responsible for its own personnel, training, instruction and related matters. Contractor shall be responsible for determining its sequence of performance for required work. Contractor’s work shall be reasonably evaluated by the City based upon the end result of such work. Contractor shall be responsible for any expenses incurred by Contractor in the performance of its work, and shall not be authorized, expressly or impliedly, to obligate the City on any debt, contract or other agreement whatsoever, except as stated in this Agreement. In the event that Contractor is compensated on an hourly basis under the terms of this Agreement, the City and Contractor agree that Contractor’s compensation is usual and customary, based on the terms that Contractor offers its services to the market in general.

H. Certifications:

The Contractor will comply with all areas and certifications under Illinois law.

I. Indemnification:

Subject to applicable limitations and provisions under Illinois law, each party (the
"Indemnifying Party" for purposes of this Section and includes its employees and agents shall indemnify, defend and hold harmless the other party (the "Indemnified Party" for purposes of this Section and includes its employees and agents) from any and all costs, demands, expenses, losses, claims, damages, liabilities, settlements, and judgments; reasonable attorneys' fees and expenses, arising out of: (a) any breach or violation by the Indemnifying Party of any of its certifications, representations, warranties, covenants or agreements herein; (b) any actual or alleged death or injury to any person, damage to any real or personal property, or any other damage or loss claimed, to the extent attributable to the Indemnifying Party; (c) any act, activity or omission of the Indemnifying Party; or (d) any intellectual property (patent, copyright, trade secret, or trademark) infringements or violations of rights of a third party, to the extent attributable to the Indemnifying Party.

J. Insurance, Licensure and Intellectual Property:

The Contractor agrees and warrants that it has procured all licenses, permits or other official permissions required by any applicable law to perform the services contemplated herein, that it will procure all additional licenses, permits or other official permissions hereafter required by law during the term of this Agreement, and that it will keep all such licenses in effect during the term of this Agreement. The Contractor shall provide a copy of any such licenses or permits upon request. All such licensure shall be provided at the Contractor's sole expense. Contractor also warrants that it has complete ownership or authorization/entitlement to any intellectual property, software, images or other such items used in the performance of its work under this Agreement, and that it shall transfer to the City, unrestricted, the ability to modify, amend, publicize or otherwise utilize any intellectual property provided to the City under this Agreement unless the City expressly preapproves in writing a limitation to these provisions.

All drawings, specifications, reports and any other project documents prepared by the Contractor in connection with any or all of the services to be furnished thereunder shall be delivered to the City for the expressed use of the City. The Contractor shall have the right to retain original documents, but shall cause to be delivered to the City such quality of documents so as to assure total reproducibility of the documents delivered. All information, worksheets, reports, design calculations, plans and specifications shall be the sole property of the City unless otherwise specified in the negotiated agreement. The Contractor agrees that basic survey notes and sketches, charts, computations and other data prepared or obtained by the Contractor pursuant to this Agreement shall be made available, upon request, to the City without cost and without restriction or limitation as to their noncommercial use. All field notes, test records, and reports shall be available to the City upon request. Contractor retains unlimited use rights over all project documents described herein.
K. Additional Terms or Modification:

The terms of this agreement shall be further modified as provided on the attached Exhibit A and Exhibit B. Except for those terms included on Exhibit A and Exhibit B, no additional terms are included as a part of this agreement. All prior understandings and agreements between the parties are merged into this agreement, and this agreement may not be modified orally or in any manner other than by an agreement in writing signed by both parties. The City reserves the right by written amendment to make changes in requirements, amount of work, or time schedule adjustments. The Contractor shall negotiate appropriate adjustments acceptable to both parties to accommodate any changes. The City may, at any time by written order, require the Contractor to stop all or part of the services required by this Agreement. Upon receipt of such an order, the Contractor shall immediately comply with its terms and take all steps to minimize the occurrence of costs allocable to the services covered by the order. If the Contractor identifies any costs associated with the suspension of services, such costs must be expressly approved by the City in writing, or they shall be the sole expense of the Contractor.

L. Notices:

All notices required to be given under the terms of this License shall be given mail, addressed to the parties as follows:

For the City: For the Contractor:
City Manager Sponsored Programs Administration
City Hall Northern Illinois University
200 S. Fourth St. 203 Lowden Hall
DeKalb, IL 60115 DeKalb, IL 60115

Either of the parties may designate in writing from time to time substitute addresses or persons in connection with required notices.

M. Subcontractors and Third Parties:

Contractor shall not assign or subcontract for the performance of any obligation under this Agreement, except with the express, written preapproval of the City, which consent may be withheld in the City’s sole and absolute discretion. Should Contractor assign any obligation arising under this Agreement with the consent of the City, the Contractor shall remain to be primarily liable to the City for the performance of the obligation in question, and further shall be liable for ensuring that the subcontractor(s) comply with all obligations arising under this Agreement as if the subcontractor(s) was/were the Contractor itself. Further, should Contractor request to assign the performance of any
obligation arising hereunder to a subcontractor, Contractor expressly provides its consent to the City contracting directly with such proposed subcontractor (or another subcontractor acceptable to the City) for the performance of such work, and to the amendment of this Agreement to reduce the scope and cost accordingly.

Nothing contained in this Agreement, nor the performance of the parties hereunder, is intended to benefit, nor shall it inure to the benefit of any third party.

N. Progress Reports:

Contractor shall report to the City Manager or the designee, and shall submit written progress reports identifying, in detail, the extent of work completed, the percentage of project completion, and project status, accompanying any invoice submitted to the City. Contractor shall also provide additional written or verbal progress reports to the City upon request, at any time, without additional charge. The Contractor shall attend conferences and visit the site of the work as may be outlined in the Request for Proposal and at any reasonable time when requested to do so by the City, at no additional charge.

Agreed to this 18th day of July, 2018.

City of DeKalb

Board of Trustees of Northern Illinois University

Kellie M. Dyslin
Associate Director, Pre-Award Support
Sponsored Programs Administration
Exhibit A:

Description of Work

The ultimate deliverable product to be developed and provided by Northern Illinois University – Department of Sociology is a Comprehensive Strategic Plan in Support of a Department of Justice Mental Health Collaboration Grant.

The Comprehensive Strategic Plan must be completed and submitted to the City of DeKalb on or before September 21, 2018. The City of DeKalb must submit the finalized Comprehensive Strategic Plan to the Department of Justice on or before September 30, 2018.

The Comprehensive Strategic Plan must contain details of the following elements, as provided in the General Description of the Scope of Products and Services in the Request for Proposal:

The Justice-Mental Health Collaboration Program (JMHCP) grant has been awarded to evaluate services, identify inadequately met needs, and to provide data and recommendations on which to base future actions. There are several key components:

1. Identification and description of target populations. For purposes of this study, that population is generally, although not exclusively, defined as persons with mental illness who are in frequent contact with law enforcement personnel;
2. Identification of services currently available to the population, assessment of their effectiveness, and identification of critical gaps in service availability.
3. Assessment of data collection methodologies of mental health service providers;
4. Evaluation of interaction between police, service providers, and members of the target population within the community;
5. Assessment of police procedure, protocols, and training curricula related to providing services to persons with mental illness;
6. Assessment of communication systems and methodologies among service providers, especially regarding HIPAA requirements;
7. Provision of a final Strategic Plan report which includes recommendations for system improvements in the event that additional grant or other support becomes available.
8. Recommendations will address:
   a. Training for police and provider agency staff;
   b. Communications and data collection/analysis;
   c. Improving staff performance;
   d. Effectiveness measures for all action steps;
   e. Potential programming;
f. Other recommendations as may become apparent in the course of the research.

In conjunction with the development of the Strategic Plan, Northern Illinois University-Department of Sociology shall also review the City of DeKalb's application for the Department of Justice Mental Health Collaboration Implementation Grant (the next phase of the grant program) to assess the items requested for funding. The City was required to submit the Implementation Grant application prior to the development of the Strategic Plan, with the understanding from the Department of Justice that the requested items could be altered if deemed necessary as a result of the research conducted in the formulation of the Strategic Plan. Therefore, a subcomponent of the Strategic Plan will be to make recommendations that verify, alter, or eliminate the items requested in the Implementation Grant application.

Northern Illinois University-Department of Sociology and its research team dedicated to this project shall meet regularly with representatives of the DeKalb Police Department, primarily Grant Coordinator Steve Baker and Commander Jason Leverton, and the DeKalb County Community Mental Health Board Executive Director Deanna Cada, to provide updates, make necessary inquiries, and review the development of the Comprehensive Strategic Plan.
Exhibit B:

Fee Schedule

The agreed amount for the completion of this project is $29,820. This will be paid utilizing grant funds. In no case can the amount exceed $29,820.

The City of DeKalb will process a payment to Northern Illinois University in the amount of $15,000 upon receipt of this signed contract.

The City of DeKalb will process a payment to Northern Illinois University in the amount of $14,820 upon receipt of the Comprehensive Strategic Plan in Support of a Department of Justice Mental Health Collaboration Grant that meets the requirements in Exhibit A.
May 18, 2018

Commander Jason Leverton
DeKalb Police Department
City of DeKalb
200 South Fourth Street
DeKalb, IL 60115

Dear Commander Leverton:

Thank you for this opportunity to apply for the “Development of a Comprehensive Strategic Plan in Support of a Department of Justice Mental Health Collaboration Grant.” We feel that we have a team well suited to complete this project. We are requesting $29,820.00 to complete the project.

If we are awarded the grant, the university’s Division of Research and Innovation Partnerships requests the opportunity to negotiate in good faith such terms and conditions contained therein as are found to be unacceptable to NIU. It is always the intention of the University to be reasonable in such negotiations when they are required.

If you have any questions, please do not hesitate in contacting us. We look forward to hearing from you.

Sincerely,

Jack King
College of Liberal Arts and Sciences
Northern Illinois University
DeKalb IL 60115
jackking@niu.edu
815.753.6440

Carol Walther
Northern Illinois University
Department of Sociology
DeKalb, IL 60115
cwalthcr@niu.edu
979.739.7164
Proposal for Development of a Comprehensive Strategic Plan in Support of a Department of Justice Mental Health Collaboration Grant

Jack King
College of Liberal Arts and Sciences
Northern Illinois University
DeKalb IL 60115
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815.753.6440

&

Carol Walther
Northern Illinois University
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DeKalb, IL 60115
cwalther@niu.edu
979.739.7164
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Project Team:

Rodrigo Dominguez-Martinez, MA, was an adjunct instructor teaching introduction to research methods course at Northern Illinois University and is an assistant researcher at the Center for Family Violence & Sexual Assault at Northern Illinois University (NIU). He has worked on several grant-funded research projects including: a meta-analysis of child physical abuse, an evaluation of the Military New Parent Support Program (NPSP) for the Department of Defense, an evaluation of the Lethality Assessment Protocol (LAP) with Yale University, as well as drug court evaluation in Winnebago County. Recent projects include: the research report, "Early Risk Assessment and Disproportionate Minority Contact" for DeKalb County, focus group research with mental health service providers for the Roots to Wellness nonprofit organization in Chicago. His completed graduate-level coursework includes a Sociology of Mental Illness and Violence class.

Raymond Jenkins, MA candidate, is a graduate student in the Sociology Department of NIU and has worked on numerous research projects involving law enforcement. He has experience interviewing officers on various topics and specializes in police-community relations. He has most recently worked on an evaluation of the gender and race neutrality of the Virginia Pretrial Risk Assessment Instrument used by DeKalb Court Services. He has previously interviewed law enforcement officers (both local and county level) on community reactions to police-violence as well as drug court participation and functions and analyzed Crisis Intervention Training.

Jack King, MAPA, is the Director of Student Professional Development for the College of Liberal Arts and Sciences at NIU. He is one of the founding members of the DeKalb County Mental Health Stakeholders coalition. Since 2004 he has served as an outside evaluator and researcher for area Judicial Circuits and local criminal justice projects. Projects include the Lee County Adult Drug Court, Ogle County Adult Drug Court, DeKalb County Drug/DUI and Mental Health Treatment Courts. King and Walther completed the needs assessment evaluation for the DeKalb County Mental Health Court Redploy Illinois Planning Grant and the "Early Risk Assessment and Disproportionate Minority Contact" contract as part of the grant sponsored by the DeKalb County Juvenile Justice Council to assess the Early Risk Assessment Project.

Carol S. Walther, PhD, is an Associate Professor of Sociology at Northern Illinois University. She has worked with and evaluated problem-solving courts and programs, such as Whiteside Drug Court, DeKalb Drug/DUI court, and DeKalb Mental Health court. Carol Walther and Rodrigo Dominguez-Martinez worked on and presented the report to the Juvenile Justice Council. With Raymond Jenkins and three undergraduate students, she supervised an assessment
<table>
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<tr>
<th>General Description</th>
<th>Method</th>
<th>Performed by:</th>
<th>Timeline</th>
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<tr>
<td>1. Identification and description of target populations. For purposes of this study</td>
<td>Literature Review</td>
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<td>July 15</td>
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<td>that population is generally, although not exclusively, defined as persons with</td>
<td>Arrest and Court Records</td>
<td>Raymond Jenkins</td>
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<td>mental illness who are in frequent contact with law enforcement personnel</td>
<td>Demographic Analyses</td>
<td>Carol Walther</td>
<td>July 15</td>
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<td>2. Identification of services currently available to the population, assessment of</td>
<td>Content analysis</td>
<td>Undergraduate Student</td>
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<td>their effectiveness, and identification of critical gaps in service availability.</td>
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<td>3. Assessment of data collection methodologies of mental health service providers;</td>
<td>Online Surveys</td>
<td>Rodrigo Dominguez-Martinez</td>
<td>July 15</td>
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<td>4. Evaluation of interaction between police, service providers, and members of</td>
<td>Semi-structured interviews</td>
<td>Raymond Jenkins</td>
<td>August 15</td>
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<td>the target population within the community.</td>
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<td>Jack King</td>
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of pretrial services. She is well versed in multiple methods and has over twenty publications. She teaches quantitative research methods and senior/graduate student level courses which oversees a research project for each student. Please see Table 1 for outline and summary of key elements of the proposal.

Detailed Proposed Solution

The sequential intercept model is the conceptual framework that has already been utilized with stakeholders in DeKalb County. Please see Appendix A for a diagram of the sequential intercept model.

We propose a multi-methodological approach to the data gathering process relevant to the unique aspects of the specific information necessary to complete the project: (1) an extensive literature review of current evidence based practices in use in other jurisdictions (2) online and paper surveys; (3) interviews, (4) content analysis, (5) demographic analyses, (6) secondary data analysis, and (7) field observations.

An extensive literature review will incorporate other empirically based solutions to the RFP's data collection requirements. For example one solution for police officers could be a Crisis Intervention Team (CIT). CIT units are a group of on-duty, uniformed officers who perform all normal patrol-related services, including routine response to calls for service. However, these officers are also trained in the area of mental illness and are dispatched to certain events involving persons who are known to have a diagnosed mental illness or who are in a volatile emotional crisis (e.g. 40 hours of initial specialized training). CIT programs often require great collaboration with the local mental health system and the availability of around-the-clock, “drop-off” treatment facilities with a no-refusal policy. The program is also designed to ensure commitment to CIT by leadership within the department and unit. From a meta-analysis of solutions used across Illinois and the nation and analyses of the solutions, we can propose best practices for the City of DeKalb and what might work in the City of DeKalb. Rodrigo Dominguez-Martinez, Raymond Jenkins, Jack King and Carol Walther have all performed extensive literature reviews and meta analyses.

Online and paper surveys have the advantages of describing the attitudes and behaviors of a population of people by selecting in a representative way a sample of individuals and soliciting their responses to a set of questions. Furthermore, surveys allow for hypotheses to be tested related to different research questions. Surveys are important for generalizability, comparing to other groups, and sampling. We propose the following groups for surveys: mental health service providers, police, service providers and target population. Carol Walther has conducted survey research.
Our third method proposed are interviews. Interviews advantages are that they allow for in-depth knowledge of a complex topic. Interviews, also, provide more reliable and valid data. Semi-structured interviews with police, service providers, and emergency room practitioners can be the best way to not only touch upon topics of interest for research but also gives opportunity for both groups to voice their own concerns of priority—which leaves opportunity to learn what is important regarding the interactions between the groups in their own words and opinions. This type of research approach gives an opportunity to discover concerns and areas of note that may only be apparent to those who work in the unique capacities of police and service providers. For service providers we propose an online survey to assess their interactions with the target population. We will collect all metrics related to Mental Health First Aid and any Crisis Intervention Training.

Semi-structured interviews there may be some direction given to guide conversation, but the main directive would be on having the participants open up about what they feel are the most important aspects of their interactions with police and service providers.

These interviews will be crucial in identifying current gaps or inefficiencies within policy, protocol, and type of interaction occurring between the groups of concern. Rodrigo Dominguez-Martinez, Raymond Jenkins, Jack King and Carol Walther have all performed semi-structured interviews. Specifically, Raymond Jenkins has interviewed police officers about their attitudes about problem-solving courts in the area. Carol Walther has interviewed professionals involved with the juvenile justice system, and participants in problem-solving courts.

Content analysis is the study of communications, documents, and speech. It is an unobtrusive measure to study communication, either visual, oral or written communications. We propose to utilize content analysis to explore the following categories: assessment of police procedure, protocols, and training curricula related to providing services to persons with mental illness and assessment of communication systems and methodologies among service providers, especially regarding HIPAA requirements. Carol Walther has used content analysis to analyze newspaper articles about hate crimes. Raymond Jenkins and Rodrigo Dominguez-Martinez have conducted a content analysis of protest among NFL players. Jenkins and Dominguez-Martinez are skilled in coding for content analysis.

Demographic analysis allows for researchers to account for the unique populations of the City of DeKalb. We propose examining data from the jail, arrest, Drug/DUI court, and Mental Health court records of those who have a mental health condition upon entering jail, being arrested, and/or the courts. Additionally, we propose a demographic analyses of potentially mentally ill people. A demographic analysis accounts for the population characteristics and then applies different scenarios to the population characteristics. For example, a demographic analysis would account for the percentage of free and reduced lunches (approximately 60% in District 428) and
apply this percentage to the population to calculate an estimate of people with a potential mental illness. This analysis provides a population estimate of mental health conditions in a community. Rodrigo Dominguez-Martinez and Carol Walther conducted demographic analysis about youth involved in the juvenile justice system.

Secondary analysis requires that we gather data from arrest, pretrial, and court services to analyze mental health prevalence in the City of DeKalb. We have already have been cleared to collect data for these analyses. Rodrigo Dominguez-Martinez, Raymond Jenkins, Jack King and Carol Walther have all performed secondary analysis. Rodrigo Dominguez-Martinez used juvenile justice data to determine the relative rate index. Raymond Jenkins performed multilinear and logistic regression on pretrial data to determine the Virginia Pretrial Risk Assessment is valid and reliable. Carol Walther has used secondary data analysis on evaluations of multiple problem-solving courts and programs.

Field observations is the last method that we are proposing for this research. Field observations allows the researcher to focus on a particular environment to understand it better. An ethnography is a study to understand a whole group of people. Rodrigo Dominguez-Martinez, Raymond Jenkins, Jack King and Carol Walther have all performed field observations.

We propose a mixed method approach to the study of mental health and the city of DeKalb. One advantage of a mixed method approach is that it combines both quantitative and qualitative research to produce an overall picture of what is happening. The final results could include both observations and statistical analyses. Researchers are able to use all the tools available to them and collect more comprehensive data. By collecting more comprehensive data, the discussion of implementation of the strategic plan can be more complete.

References
# Timeline

Table 2: Projected Timeline

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<thead>
<tr>
<th>General Description</th>
<th>Timeline</th>
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<tbody>
<tr>
<td>IRB</td>
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</tr>
<tr>
<td>6. Assessment of communication systems and methodologies among service providers, especially regarding HIPAA requirements.</td>
<td>July 31</td>
</tr>
<tr>
<td>Written Report on Progress</td>
<td>August 15</td>
</tr>
<tr>
<td>7. Provision of a final Strategic Plan report which includes recommendations for system improvements in the event that additional grant or other support becomes available.</td>
<td>August 15</td>
</tr>
<tr>
<td>Finalize Report</td>
<td>September 1</td>
</tr>
<tr>
<td>Verbal and Written Report</td>
<td>September 30</td>
</tr>
</tbody>
</table>
### Proposed Cost

#### A. Senior Personnel

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>4031.71</td>
<td>Carol Walther, 0.48 of 1 month summer salary</td>
<td>3,861.30</td>
</tr>
<tr>
<td></td>
<td>4031.71</td>
<td>Carol Walther, academic year salary</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Rodrigo Dominguez, hourly at $15/hour</td>
<td>1,950.00</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>3126.52</td>
<td>Jack King, calendar year salary</td>
<td>1,473.45</td>
</tr>
<tr>
<td>4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Total Senior Personnel</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### B. Other Personnel

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>Postdoctoral or Other (Enter on line below):</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>yearly rate and % effort:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>Undergrad (Enter on line below):</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>2 @ 10 hrs/week @ $10/hour for 13 weeks</td>
<td>2,600.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Grad students:</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1 FT for 3 months @ $1300/month</td>
<td>3,900.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Other Personnel</td>
<td>6,500.00</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total Personnel Salaries</td>
<td>13,784.75</td>
<td>7,157.71</td>
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#### C. Fringe Benefits

<p>| | | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>14.5%</td>
<td>Walther, summer fringe</td>
<td>559.89</td>
</tr>
<tr>
<td></td>
<td>42.0%</td>
<td>Walther, academic year fringe</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>7.65%</td>
<td>Dominguez, hourly fringe</td>
<td>149.18</td>
</tr>
<tr>
<td>3</td>
<td>35.0%</td>
<td>King, calendar year fringe</td>
<td>515.71</td>
</tr>
<tr>
<td>4</td>
<td>14.5%</td>
<td>(extra help and smr salary rate)</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>14.5%</td>
<td>(extra help and smr salary rate)</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>14.5%</td>
<td>(extra help and smr salary rate)</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>50.0%</td>
<td>Postdoc: academic year rate on Benefits Rate sheet</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>7.65%</td>
<td>undergrad fringe</td>
<td>198.30</td>
</tr>
<tr>
<td></td>
<td>Total Fringe</td>
<td>1,423.68</td>
<td>2,787.42</td>
</tr>
<tr>
<td>Item</td>
<td>Domestic</td>
<td>Foreign</td>
<td></td>
</tr>
<tr>
<td>------------------------------</td>
<td>----------</td>
<td>---------</td>
<td></td>
</tr>
<tr>
<td>Total Personnel/Fringe</td>
<td>$15,208.43</td>
<td>$9,945.13</td>
<td></td>
</tr>
<tr>
<td><strong>D. Equipment</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Equipment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>E. Travel</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Domestic</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>local travel for data collection, etc....</td>
<td>600.00</td>
<td></td>
<td></td>
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<tr>
<td>conference travel for 4</td>
<td>2,705.00</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Foreign</td>
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</tr>
<tr>
<td>Total Travel</td>
<td>$3,305.00</td>
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</tr>
<tr>
<td><strong>F. Participant Support</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Total Participant Support</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>G. Other Direct Costs</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. Materials and Supplies</td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Publication costs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Consultant services</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>4. Computer (ADPE) Services</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>5. Subrecipients, list on following lines:</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Sub 1:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sub 2:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Other:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>participant incentives</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>1,000.00</td>
<td></td>
<td></td>
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</tbody>
</table>
Tuition remission: # of students, hrs & hrly rate below:

1 student for the summer @ $357/ch for 6 credit hours

<table>
<thead>
<tr>
<th>Total Other Direct</th>
<th>$1,500.00</th>
<th>$ -</th>
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</table>

H. Total Direct costs

<table>
<thead>
<tr>
<th>Base</th>
<th>If MTDC: exclude tuition and equipment; include first $25K of each Subaward</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>20,013.43</td>
</tr>
</tbody>
</table>

I. Facilities & Administrative Costs

<table>
<thead>
<tr>
<th>49% of MTDC</th>
<th>9,806.58</th>
<th>4,873.11</th>
</tr>
</thead>
</table>

J. Total Direct and F & A Costs

<table>
<thead>
<tr>
<th>29,820.01</th>
<th>14,818.24</th>
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</thead>
</table>

L. Amount of this request

<table>
<thead>
<tr>
<th>$29,820.01</th>
<th>$14,818.24</th>
</tr>
</thead>
</table>

Summary

<table>
<thead>
<tr>
<th>Direct Costs</th>
<th>20,013.43</th>
<th>9,945.13</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-MTDC</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>F&amp;A</td>
<td>9,806.58</td>
<td>4,873.11</td>
</tr>
<tr>
<td>Total</td>
<td>29,820.01</td>
<td>14,818.24</td>
</tr>
</tbody>
</table>

Budget Cap per RFP

<table>
<thead>
<tr>
<th>Amount remaining/(overspent)</th>
<th>(0.01)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct cost amount available/(overspent)</td>
<td>(0.01)</td>
</tr>
</tbody>
</table>
Assets

Carol Walther oversees the Social Science Research and Learning Lab (SSRLL). The SSRLL has digital recorders, transcription machines, twenty-four desktop computers, and seven laptops which have statistical software available to analyze quantitative and qualitative data, such as SPSS, R, STATA, Excel, and HyperResearch. Data are stored on password protected drives. The SSRLL can be used to analyze the data for this project.

In addition to the SSRLL, Jack King is donating his time from the beginning of the project until deadline of September 30, 2018. Carol Walther is donating her time from August 16 until September 30, 2018. This is a total asset of $14,818.24.

References

Early Risk Assessment and Disproportionate Minority Contact assessed youth who have had contact with the juvenile justice system. This contract of $11,605.00 was sponsored by the DeKalb County Juvenile Justice Council. Rodrigo Dominguez-Martinez and Carol Walther analyzed a five year period of youth arrests and court data. Additionally, Carol Walther interviewed juvenile justice system professionals about their attitudes toward the Early Risk Assessment Program. Carol Walther supervised two undergraduate students who interviewed youth and family members participating in the Early Risk Assessment Program.

Contact: Bri Kness
Juvenile Justice Coordinator
815-217-0194
blkness@dekalbcountry.org

Whiteside County Drug Court Evaluation conducted by Carol Walther has assessed the drug court program in Whiteside county. This report has been issued three times and compares eight of ten best practices across the three years. The eight best practices that have been analyzed are target population, historically disadvantaged groups, incentives, sanctions, substance abuse treatment, commencement and termination. The report has been presented to the Whiteside County Drug Team for suggestions of solutions and future directions of the court.

Contact: Kevin Johnson
Director of Court Services
Whiteside County Courthouse
200 East Knox Street
Morrison, IL 61270
kjohnson@whiteside.org
DeKalb Drug Court Evaluation and DeKalb Mental Health Court Evaluation examines best practices of drug court and mental health court. Carol Walther and Jack King have assisted in collecting data for Adult Redeploy Illinois.

Contact: Michael Douglas
Treatment Courts Director
DeKalb County Illinois
Telephone – (815) 895-7224
Cell – (815) 739-2233
mdouglas@dekalbcounty.org

DeKalb Pretrial Project analyzes the reliability and validity of the Virginia Pretrial Risk assessment in regards to gender, race, mental health, and failure to appear in court. We found that in DeKalb county mental health conditions and two or more failures to appear result in rearrests.

Contact: Michael Venditti
DeKalb County Court Services
200 N. Main Street
Sycamore, IL 60178
815-859-7202
mvenditti@dekalbcounty.org

The Lethality Assessment Protocol (LAP) protocol evaluation is a collaborative project between NIU and Yale University. The project involves the collection and coding of domestic violence police reports in Winnebago County. The project also involves conducting in-depth interviews with victims of domestic violence. Training for the project included HIPPA compliance and special human subjects training.

Contact: Julie S. Crouch
1100 W Lincoln Hwy
jscrouch@niu.edu

8. Contact person – Provide the name, phone number, and e-mail address of the individual who will be available to answer questions and/or participate in discussion relative to the proposal.

Jack King &
C: 815.557.3353
O: 815.753.6440
jackking@niu.edu

Carol Walther
C. 979.739.7164
cwalther@niu.edu
Appendix A

THE SEQUENTIAL INTERCEPT MODEL
Advancing Community-Based Solutions for Justice-Involved People with Mental and Substance Use Disorders

The Sequential Intercept Model

Key Issues at Each Intercept

Intercept 0
Mobile crisis outreach teams and co-responders. Behavioral health practitioners who can respond to people experiencing a behavioral health crisis or co-respond to a police encounter.
Emergency Department diversion. Emergency department (ED) diversion can consist of a triage service, embedded mobile crisis, or a peer specialist who provides support to people in crisis.
Police-friendly crisis services. Police officers can bring people in crisis to locations other than jail or the ED, such as stabilization units, walk-in services, or respite.

Intercept 1
Dispatch training. Dispatchers can identify behavioral health crisis situations and pass that information along so that Crisis Intervention Team officers can respond to the call.
Specialized police responses. Police officers can learn how to interact with individuals experiencing a behavioral health crisis and build partnerships between law enforcement and the community.
Interacting with super-utilizers and providing follow-up after the crisis. Police officers, crisis services, and hospitals can reduce super-utilizers of 911 and ED services through specialized responses.

Intercept 2
Screening for mental and substance use disorders. Brief screens can be administered universally by non-clinical staff, jail booking, police stations, courts, and prior to the first court appearance.
Data matching initiatives between the jail and community-based behavioral health providers.
Pretrial supervision and diversion services to reduce episodes of incarceration. Risk-based pretrial services can reduce incarceration of defendants with low risk of criminal behavior failure to appear in court.

Intercept 3
Treatment courts for high-risk/high-need individuals. Treatment courts of specialized dockets can be developed, examples of which include adult drug courts, mental health courts, and veterans treatment courts.
Jail-based programming and health care services. Jail health care providers are constitutionally required to provide behavioral health and medical services to inmates needing treatment.
Collaboration with the Veterans Justice Outreach specialists from the Veterans Health Administration.

Intercept 4
Transition planning by the jail or in-reach provider. Transition planning improves reentry outcomes by organizing services around an individual's needs in advance of release.
Medication and prescription access upon release from jail or prison. Inmates should be provided with a minimum of 90 days of medication at release and have prescriptions in hand upon release.
Warm hand-offs from corrections to providers increase engagement in services. Case managers that pick up an individual up and transport them directly to services will increase positive outcomes.

Intercept 5
Specialized community supervision caseloads of people with mental disorders.
Medication-assisted treatment for substance use disorders. Medication-assisted treatment approaches can reduce relapse episodes and overdoses among individuals returning from detention.
Access to recovery supports, benefits, housing, and competitive employment. Housing and employment are as important to justice-involved individuals as access to behavioral health services. Removing criminal justice-specific barriers to access is critical.
Implementing the Sequential Intercept Model

Crisis Response

- Crisis response models focus on enhancing behavioral health crisis and can divert individuals from the criminal justice system. Crisis response models include:
  - Certified Community Behavioral Health Clinics
  - Crisis Care Teams
  - Crisis Response Centers
  - Mobile Crisis Teams

Police Strategies

- Proactive police response with disadvantaged and vulnerable populations are a unique method of diverting individuals from the criminal justice system. Proactive police response models include:
  - Triad Intervention Teams
  - Homeless Outreach Teams
  -饱和介面 Programs
  - Systemwide Mental Assessment Response Team

Sequential Intercept Model as a Strategic Planning Tool

The Sequential Intercept Model is most effective when used as a community strategic planning tool to assess available resources, determine gaps in services, and plan for community change. These activities are best accomplished by a team of stakeholders that cross over multiple systems, including mental health, substance abuse, law enforcement, health care, courts, and community organizations. These efforts can help ensure that people with lived experiences, family members, and many others. Employing a strategic planning tool community members can use the Sequential Intercept Model to:

1. Develop a comprehensive picture of how people with mental and substance use disorders flow through the criminal justice system by using six distinct areas of the model (Community Services, Law Enforcement, Public Defender and Court). By identifying gaps and missed opportunities, this model can help improve the system.
2. Identify gaps in resources and communicate at each interface for adults with mental and substance use disorders.
3. Devise interventions designed to improve system and service level responses for adults with mental and substance use disorders.

Policy Research Associates

We are a national leader in behavioral health services research and development, and we use our expertise in policy research and development to ensure that policies are effective in improving outcomes for individuals with mental and substance use disorders.

345 Delaware Ave
Dental, NY 12054
p. (518) 495-7415
e. pia@prcc.com
www.prcc.com

History and Impact of the Sequential Intercept Model

The Sequential Intercept Model (SIM) was developed over several years in the early 2000s by Mark Munoz, MD, and Patricia Griffin, PhD, along with Jack T. Bledsoe of Policy Research Associates, Inc. The SIM was designed as a conceptual model to inform community-based responses to the involvement of people with mental and substance use disorders in the criminal justice system.

After years of refinement and testing, several versions of the model emerged. The "first" description of the model was found in the literature before it was first conceptualized by Dr. Swenson of JAMA in 2004 through his leadership of the National Institute of Mental Health-funded Behavioral Health Services Research Initiative (BH-6). The initial SIM model was first published by JAMA in 2005 through its contract to operate the GAIN Center on behalf of the Substance Abuse and Mental Health Services Administration (SAMHSA). The "fiber" and "webbing" versions of the model were formally introduced and reviewed at the 2010 annual meeting of the American Society of Addiction Medicine (ASAM). A full history of the development of the SIM can be found in the book The Sequential Intercept Model and Criminal Justice: Promoting Community Alternatives for Individuals with Serious Mental Illness.

With funding from the National Institute of Mental Health, SAMHSA developed the latest version of the SIM as an applied strategic planning tool to improve system collaborations to reduce involvement in the justice system by people with mental and substance use disorders. Through this grant, JAMA, working with Dr. Griffin and others, produced an interactive, facilitator workshop based on the latest version of the SIM to assist states and counties in determining how people with mental and substance use disorders flow from the community into the criminal justice system and eventually return to the community.

During the mapping process, the community stakeholders are introduced to evidence-based practices and emerging best practices from around the country. The culmination of the mapping process is the creation of a local strategic plan based on the gaps, needs, and priorities identified by community stakeholders.

Since its development, the use of the SIM as a strategic planning tool has grown tremendously. In the 21st Century Health Act, the National Congress of the United States of America identified the SIM as a model for strategic planning and as an approach to reducing the number of individuals with serious mental illness who are involved in the justice system.

Implementing the SIM as a strategic planning tool has been supported by the National Alliance on Mental Illness (NAMI) and the Substance Abuse and Mental Health Services Administration (SAMHSA). The SIM has been adapted and implemented in various forms and settings, including at the national, state, and local levels.

With the advent of the SIM, the SIM continues to increase its utility as a strategic planning tool for communities that want to address the justice involvement of people with mental and substance use disorders.

References:

- "Integrating the Sequential Model for Accountability for Mental and Substance Use Disorders. Integrated Behavioral Services & the Law" 2013.