

## **Connections to Care Proposal – STRIVE International with Union Settlement**

### **Experience and Expertise – STRIVE**

*The history and mission of the organization, and populations served by the organization.*

STRIVE, a leader in workforce development, was founded in East Harlem in 1984 to provide job training and placement services to unemployed individuals. STRIVE's mission is to help people acquire the life-changing skills and attitudes needed to overcome challenging circumstances, find sustained employment, and become valuable contributors to their families, their employers, and their communities. From the outset, STRIVE adopted a rigorous approach to job readiness that focused on the behaviors and life situation of individuals with significant life challenges. Three decades later, STRIVE's training and employment model has proven to be a highly flexible approach that works in diverse locations and cultures.

STRIVE targets men and women from all five boroughs of New York City who face significant barriers to employment. This includes opportunity youth, the formerly incarcerated, recipients of public assistance, non-custodial parents, the homeless, the long-term unemployed, the working poor, and recovering substance abusers. We offer targeted programs for youth, ex-offenders and parents. All of STRIVE's programs are designed to support clients at their point of entry and lead them through training, case management, and other services into a job. The goal is to achieve economic stability through living wage employment.

*Details on the current level of the CBO's performance—including the number served, populations served, impact, the programmatic needs of the population(s) proposed to be served, key outcomes, and different services offered.*

In 2014, STRIVE served a total of 898 unique individuals across its full range of programs, achieving an average 67% job placement rate. STRIVE serves those facing significant barriers to employment, which might include lack of education, skills and work experience; a criminal history; and issues such as homelessness, substance abuse and domestic violence. The demographics of STRIVE clients are summarized in the table below.

Male	Female	Age 24 or under	African-American	Hispanic	Ex-offender	No secondary degree	Received public assistance	Unemployed for more than 1 yr.
58%	42%	38%	67%	25%	38%	87%	51%	32%

STRIVE's approach to preparing the unemployed for work involves a combination of soft skills training and vocational skills training. Participants in STRIVE's flagship program first enroll in STRIVE's signature CORE attitudinal and job readiness program, which is open to individuals above the age of 18. Following CORE, clients progress into one of several skills training regimens, which provide industry recognized certifications in areas including construction, maintenance, and health and office operations. In 2014, 81% of participants completed CORE and 97% completed skills training. (CORE is designed to identify participants who are not fully committed or ready; they are encouraged to come back at a later date.)

STRIVE also offers a parenting program, Strong Fathers, Stronger Families, which includes training on healthy relationships and active parenting, an economic stability workshop and job placement services. All STRIVE clients are supported by the Career Services Department (for

job placement/re-placement), the Supportive Services Department (for case management), and the Retention and Advancement workshop (for ongoing career advancement).

Other STRIVE programs include the East Harlem Talent Network, a local hiring initiative, and three re-entry programs at Rikers Island in partnership with the NYC Department of Correction.

*The CBO's total staff size, as well as the number of direct service staff.*

STRIVE has 42 staff, of which 24 are direct service staff.

*The target population(s) to be served through C2C, and the contracts/programs of the CBO that currently serve them. List the service levels and outcomes for the past three years.*

STRIVE proposes to serve unemployed or underemployed low-income working-age adults ages 18 and over receiving unemployment-related services. This is the population served by STRIVE through its ongoing, on-site programs: CORE job readiness; vocational skills training; and Strong Fathers, Stronger Families. Service levels and outcomes are summarized in the table below. 2014 results are lower than that of 2013 as the result of a strategic decision to complete eight cycles of CORE training in 2014 rather than nine. This allowed STRIVE to focus its resources on launching new strategic projects in support of our mission, including re-entry programs on Rikers Island and the East Harlem Talent Network.

	2014	2013	2012
CORE graduates	241	282	221
Skills training graduates	211	252	184
Fatherhood graduates	258	248	221
Overall job placement	67%	71%	60%

*CBO applicants should not currently have mental health specific services on-site serving the target population. Confirm that the CBO does not have these services.*

STRIVE staff do not have mental health training or expertise, and staff do not offer mental health services. In August, STRIVE launched a small pilot program with Union Settlement, through which Union Settlement provides a licensed social worker (LCSW) on-site one day/week. This pilot is funded on a short-term basis for youth participants only. The promising early results of this pilot were a factor motivating STRIVE and Union Settlement to partner on this proposal.

### **Experience and Expertise – Union Settlement**

*The history and mission of the MHP entity, and its track record in the community proposed to be served, if applicable, and with low-income populations. Describe numbers served over the past three years and the portion of those that are low-income and/or related to the target community. Describe participant outcomes tracked and achieved.*

Union Settlement is an on-the-ground resource for East Harlem residents of all ages, and a passionate advocate for the needs of underserved communities. Since opening its doors in 1895, Union Settlement has brought education, wellness and community-building programs to its neighborhood, empowering New Yorkers with opportunities to better their lives.

Union Settlement serves the residents of East Harlem through a wide array of programs, including Early Childhood Services, Youth Programs, Adult Education, Senior Services, Mental Health, Small Business Development, and Policy and Advocacy. Union Settlement employs over 450 individuals across all of its programs. Many staff members are bilingual and/or are East Harlem residents or natives.

There is a significant need for mental health counseling services in this community. East Harlem has the city's highest rate of hospitalizations due to mental illness. Poverty substantially increases the emotional burdens many of residents shoulder, as do the high rates of violence, substance abuse, child abuse, trauma, mental illness and AIDS and HIV infection.

Union Settlement's Mental Health Services Program, which has been in existence for more than 60 years, addresses these disparities by providing a range of mental health counseling services. Every year, the program keeps families together, minimizes psychiatric hospitalizations, keeps community members out of institutions (including prisons), helps clients maintain sobriety, and literally saves lives. The *Johnson Counseling Center*, Union Settlement's licensed mental health clinic, provides assistance to the residents of East Harlem through individual, family, group and couples therapy, crisis intervention, psychological/psychiatric evaluation, medication management, advocacy and other services. All services except psychological evaluations are available in both English and Spanish.

Each client completes a treatment plan with their therapist, which is approved by the treating psychiatrist. The goals, objectives and interventions are revisited after 90 days by the client and therapist to review progress. Goals, objectives and interventions are updated based on the assessment of progress. Data on clients at risk for hospitalization, emergency room visits and non-adherence to medication are tracked monthly. These data are given to the therapist and treating psychiatrist so interventions can be delivered to address treatment needs.

In 2014 Union Settlement's Mental Health Services served 1,204 individuals. Twenty-one percent of clients are ages 12 and under, with another 18% ages 13 to 20. Approximately 17% are over age 55. In 2013 it served 1,242 individuals, and in 2012 it served 886 individuals. Last year, Union Settlement offered therapeutic groups focused on topics such as: *Women With Depression/Parenting*, *Health Education for People Living with HIV/AIDS* and *People Living with HIV/AIDS Who are Suffering from Depression*. Union Settlement is also providing a group for transitional age youth to assist them in making adaptive life decisions.

*The MHP's experience with the core C2C modalities listed on page 5 and with any additional modalities proposed for C2C. Describe the training and credentials of staff in these areas, the supervision of staff in delivering these interventions, and any other relevant background in these areas.*

Union Settlement regularly screens clients for mental health and substance use conditions. During initial assessment it screens for risk to self or others. During intake staff also use the Modified Simple Screening Instrument for Substance Abuse (MSSI-SA) and the CRAFFT Screening Test to screen for substance use. Staff also screen adults and children for trauma exposure.

Motivational Interviewing is a tool staff use as a part of regular treatment. Therapists have been trained through online and in person training. All therapists and psychiatrists provide Psychoeducation about mental health and mental health treatment as a regular part of our work.

During the initial assessment process, therapists provide diagnoses for each client using the Diagnostic and Statistical Manual (DSM-5). Psychoeducation is an ongoing component of mental health treatment, and a key aspect of early treatment is helping the client understand their diagnosis and the treatment options available to them. Full time therapists receive one hour of individual and one hour of group supervision each week. Therapists also participate in weekly case consultation. Close oversight of their clinical work assures that Union Settlement is providing high quality assessment and treatment.

*The MHP's current level of performance and how it has effectively used data to make significant programmatic changes in operations.*

The terms of many of Union Settlement's grants and contracts require it to operate under a strict monitoring and oversight system, reporting all outcomes to public funders via mandated data collection systems and meeting various governmental guidelines; outcomes regularly exceed requirements. A focal point of its most recent strategic plan is to "create an operating culture that strives for continuous improvement of programs by integrating performance metrics and analysis into all aspects of the agency's activities."

All Mental Health programs demonstrate effectiveness in providing access services to low-income families. The Children's Blended Case Management Program collects enrollment, service provision, and other data weekly. Case Managers track this information on their weekly contact sheets, and the information is entered into the Children's Blended Case Management Software by the Program Coordinator weekly. Staff also document enrollment and graduations data using a census report. The Program Coordinator documents this weekly as participants are enrolled or graduate. Union Settlement routinely uses program feedback and evaluation results to improve its work by reviewing incident reports for patterns and examining trends.

As noted above, data on clients at risk for hospitalization, emergency room visits and non-adherence to medication are tracked monthly. These data are given to the therapist and treating psychiatrist so interventions can be delivered to address treatment needs.

According to Medicaid encounter data, in calendar year 2014 Union Settlement significantly outperformed other behavioral health providers in New York City on important indicators. Of clients who had previously been admitted to the hospital for behavioral health treatment, 16% of Union Settlement clients were readmitted within 45 days, vs. the City-wide rate of 25%. Of all of Union Settlement's clients, 0.91% were hospitalized for behavioral health issues three times or more; across the city, the rate was 1.25%. Of all Union Settlement's clients, 0.16% had three or more behavioral health ER visits in the year; the average rate for all providers in the region was 1.03%.

*The MHP's experience training lay (non-mental health) staff and/or providing technical assistance. Describe any specific experience with the modalities described in this RFP. If the MHP is engaging a TA partner or vendor, describe the experience of the partner or vendor.*

Training for STRIVE staff under Connections to Care (C2C) will be provided by faculty from the Silberman School of Social Work at Hunter College (SSSW). With its expertise and experience in both mental health services (including the selected modalities outlined in the C2C program) and in pedagogical theory and practice, the SSSW is well-positioned to build STRIVE's mental health service delivery and referral capacity and to support Union Settlement in increasing its staff's knowledge and skills in the identified mental health modalities.

Four professors from SSSW who are LCSW's with a collective 83 years of experience in the field will provide training in the core mental health modalities and ongoing coaching and support to front-line staff and supervisors to ensure integration, application, and sustainability of acquired knowledge and skills beyond the life of the grant.

*The configuration of its mental health service professionals, including the number of mental health delivery staff and current capacity for taking on new participants.*

Union Settlement's Mental Health program has a staff of Licensed Social Workers and Psychiatrists, and has been providing services in the East Harlem community for decades. It currently employs 20 full-time and seven part-time licensed Psychotherapists, and three clinical supervisors who provide supervision and direct clinical service. It has one part-time Psychologist and five part-time Psychiatrists. Two Psychotherapists and one Psychologist have served the East Harlem community working with low income families for more than 30 years each. The Mental Health Program is located within NYCHA's James Weldon Johnson housing development in East Harlem.

Union Settlement uses a modified open access system for bringing new clients into care. It has the capacity to take on additional clients.

*The MHP's (and any additional partner/vendor) experience participating in and/or managing collaborations.*

Union Settlement's Mental Health Services program collaborates with other organizations to increase the quality of mental health services to clients and the community. It has participated in research projects over the last two years with NYU and Mount Sinai: one to provide and evaluate a group intervention for transitional age youth and another to help engage Latino families in treatment. It is currently working with Children's Aid Society to share training of new staff in Child Parent Psychotherapy, and works closely with Hunter, NYU and Columbia to provide field placements to their MSW students. Union Settlement works closely with the New York City Department of Education, including operating three satellite mental health clinics in local elementary schools. It also operates a satellite clinic at Settlement Health, and regularly takes referrals for treatment from both Mount Sinai Medical Center and Metropolitan Hospital.

In addition to these collaborations involving the Mental Health Services program, Union Settlement has a wealth of experience both leading and participating in other community-wide and city-wide coalitions and partnerships with partners including Asphalt Green, the Boys' Club of New York, Teachers College, Columbia University and Little Sisters of the Assumption Family Health Service. Union Settlement also is an active participant in a number of umbrella groups, including the Coalition of Behavioral Health Agencies, United Neighborhood Houses, Federation of Protestant Welfare Agencies, Day Care Council, Head Start Sponsoring Board Council, and LiveOn (formerly the Council of Senior Centers and Services).

The third partner in this proposal, SSSW, is also very experienced in managing collaborations. SSSW's Field Education Office maintains relationships with over 500 agencies at any given time, deploying nearly 1200 Master's candidates into agencies in many different types of workplace settings including child welfare, homeless services, mental health, public policy, government and foundations. Between that network, the collaborative work of its faculty with numerous agencies, and a historic record in preparing graduates for leadership roles in NYC

public and nonprofit agencies, SSSW has contributed significantly to the nonprofit and public sector on human service issues in New York City.

*Attach the MHP's mental health license for the facility and the mental health staff that would be engaged in the proposed intervention.*

Licenses can be found in the "Proposal Attachments" section.

### **Organizational Capability**

*Describe and demonstrate the effectiveness of how the applicant currently uses data to support decision-making in existing programs. Demonstrate how the applicant has effectively used data to make significant programmatic changes in operations. Provide two specific examples. Provide any relevant results of prior evaluations or examples of how evaluation findings influenced service delivery. Include any examples of experience with previous external evaluation activities, if any.*

STRIVE senior management is dedicated to promoting a culture of performance management. STRIVE maintains detailed data on every individual who enrolls in its programs, which is used for performance management and program assessment. When outcomes don't meet expectations, STRIVE pinpoints the weak links in the program and is able to make adjustments.

One example of the use of data to make changes is the implementation of subsidized internships as a program norm for all youth participants. STRIVE introduced internships in 2014 for a subset of youth participants in response to data that revealed the difficulty of placing youth in full time jobs after training completion. Initial funding allowed STRIVE to offer an internship to 45% of youth graduates. For those who received an internship in 2014, 75% had a positive outcome (defined as job placement or enrollment in further education). Based on this outcome, STRIVE subsequently sought, and received, funding to offer subsidized internships to all youth in 2015, including from the NYC Center for Economic Opportunity's Work Progress Program.

STRIVE also strengthened services for women after data showed that female clients were underperforming men in program completion, job placement and retention. STRIVE responded by creating the Women's Empowerment Initiative, launched in 2013, which has increased the average wages and job placement rates of women through a combination of intensive supports to remediate barriers women face, highly focused skills training for identified job openings, and strengthened relationships with employers in the healthcare field. Since the launch of the Women's Empowerment Initiative, STRIVE has nearly doubled the percentage of women served in its employment programs, from 23% in 2011 to 42% in 2014.

STRIVE has worked with external evaluators on several occasions, including an ongoing evaluation by researchers at SSSW, one of the partners in this proposal, of the STRIVE for Success program, a re-entry program at Rikers Island funded by the Department of Justice's Second Chance Act.

*Demonstrate the applicant's capability to successfully perform the administrative responsibilities related to the delivery of the proposed services, including fiscal management, data collection, reporting and records management in an efficient, accurate and timely manner.*

STRIVE's leadership and trained staff employ sophisticated data, compliance, program management, and financial management systems that are supported by its IT infrastructure and enhanced by a continual quality assurance process. Fiscal management, data collection, reporting

and records management at STRIVE are supported by dedicated technology and staff, including CFO Hilda Romero, who has nearly 20 years of financial and accounting expertise in the nonprofit and private sectors; a Senior Grant Accountant; a Director of Quality Assurance; and a Performance Analyst. STRIVE currently uses the Efforts to Outcomes (ETO) Social Solutions data collection system, and will be transitioning in 2016 to Community Tech-Knowledge's (CTK) Apricot Database as part of an ongoing effort to improve reporting capacity.

Staff at STRIVE have significant experience managing and reporting on grants to government and private funders of all sizes, including federal grants from the Departments of Health & Human Services, Labor and Justice and from New York City agencies. For this grant, as for all others, STRIVE will monitor and employ controls to ensure compliance with fiscal and administrative policies and procedures as specified in STRIVE's Fiscal Policy Manual, and will track outcomes and submit timely reports.

*Demonstrate technological capacity and data security systems to protect participants' personal identifiable information*

STRIVE takes seriously the responsibility to ensure that clients' personal information is properly handled, and takes the following steps:

- All program staff are trained on proper handling of sensitive information
- Access to personally identifiable information is limited to staff requiring that information to fulfill their duties.
- All data stored in STRIVE's performance management database is encrypted.
- All confidential information is stored on password-protected systems.
- Paper documents containing sensitive information are stored in locked files.
- All staff apply system updates to their operating systems and application software on a regular basis, and have up-to-date anti-virus software running.

*Describe and demonstrate how executives at the applicant's organization will be able to and have the availability to play an effective role in developing, implementing, assessing and overseeing the program.*

STRIVE senior staff, in particular CEO Philip Weinberg and VP of Programs Lakythia Ferby, are committed to this program and will apply their considerable expertise to developing, implementing, assessing and overseeing it. Philip Weinberg, MBA, Chief Executive Officer, has nearly 20 years of experience in leadership roles in government, nonprofits, and the private sector. Prior to joining STRIVE, Mr. Weinberg served as President of the NYC WIB, overseeing the largest local workforce investment area in the nation. His private sector experience includes running two multi-state, multi-site businesses.

Lakythia Ferby came to STRIVE with extensive experience in the workforce development field. Prior to joining STRIVE, she served as Assistant Deputy Commissioner of Employer Partnerships at New York City's Human Resources Administration (HRA), where she oversaw the establishment and growth of employer relationships throughout the city for HRA's welfare-to-work programs. She has held a variety of leadership positions in New York City's workforce development community.

*Describe experience managing collaborations, and recent successful collaborations that have benefitted the applicant's participants. Describe the capability to manage this project.*

STRIVE is involved with multiple collaborations. One recent example is the East Harlem Talent Network (EHTN), a collaboration managed by STRIVE that brings together a broad group of community employers and nonprofit providers to create a unified talent pipeline for local employers and jobseekers in Upper Manhattan. Formed in collaboration with Community Board 11, nonprofits, employers, and other community stakeholders, EHTN is co-chaired by STRIVE and Mount Sinai Health System, East Harlem's largest employer, and currently works with 20 businesses and over 40 CBO's.

Another example is STRIVE's collaboration with the NYC Department of Correction (DOC), Hostos Community College, and training provider Envirolution on Working I.T. Out, a re-entry program providing pre-release services at Rikers Island and post-release services at STRIVE. The program, funded by a U.S. Department of Justice grant to NYC DOC, reached an astonishing 82% community-based reporting rate among graduates in 2015, as well as a training completion rate of 79% and a promising trajectory in job placements and reduction in recidivism. The program's success led to an expanded relationship with DOC, including STRIVE's participation in a new program at Rikers Island called Next Steps.

STRIVE senior management are confident of their ability to manage this collaboration based on experience with other partnerships and existing relationships with the partners discussed here. STRIVE has strong relationships with Union Settlement and SSSW at both the programmatic and senior management levels. As noted, under a new pilot program created at STRIVE, a Union Settlement social worker has been providing services on-site once a week for approximately three months. STRIVE partners with both SSSW and Union Settlement on the East Harlem Community Alliance, a consortium dedicated to revitalizing the local community, and has provided field placements for SSSW students.

*Describe the applicant's experience managing government grants or contracts, if any. Demonstrate that the applicant has the requisite financial strength and resources to handle a project of this scale and scope; and ability to comply with federal requirements.*

In the past five years, STRIVE has received and successfully managed federal grant awards totaling over \$10 million from the U.S. Departments of Labor, Health & Human Services, and Justice. These include the U.S. Dept. of Labor Pathways Out of Poverty Green Jobs Initiative, U.S. Dept. of Labor Face Forward Program, and U. S. Dept. of Justice Second Chance Act Program.

STRIVE has also received and successfully managed grants from city agencies including the NYC Department of Youth and Community Development and Center for Economic Opportunity Work Progress Program, and from the New York State Office of Temporary and Disability Assistance, as well as grants from numerous private foundations. With an annual budget of more than \$5.6 million and a fiscal team of three experienced professionals, a grant of this size would not represent a management challenge.

*Describe whether current financial management systems are in compliance with 2 C.F.R. 200.302(b) and capable of identifying costs by grant, by program year and by budget category, and to differentiate between direct and indirect costs. If not, describe what changes or technical assistance would be required.*



STRIVE's financial management systems are in compliance with 2 C.F.R. 200.302(b). STRIVE uses Fund E-Z, which allows for creation of a chart of accounts divided by revenue source, program and budget category, and allows for multi-year reporting and budgeting.

*If the applicant has received federal awards in the past, summarize expenses or costs disallowed in the last three years and the corrective actions taken.*

STRIVE has not had any expenses or costs disallowed for federal awards in the last three years.

*Demonstrate how the applicant will help leverage additional private or public (non-federal) funding sources for the program.*

STRIVE's Fund Development team has a very successful track record with New York City-focused funders, including the Tiger Foundation, Pinkerton Foundation, Heckscher Foundation for Children, New York Community Trust and New York Women's Foundation, among others. STRIVE has also been awarded grants from leading national funders, such as the W.K. Kellogg, Annie E. Casey, Starbucks and Fidelity Charitable foundations. The team is confident in its abilities to leverage the C2C grant to engage new and existing funders that might be interested in this innovative and important project. STRIVE's Board of Directors has also proven to be a significant fundraising engine and is committed to supporting this initiative.

In addition, STRIVE has been working with a fundraising consultant, Constellation Advancement, to develop a major gifts program. This is an area that STRIVE has not previously pursued aggressively and its expansion should allow access to new, unrestricted sources of funding. Finally, both SSSW and Union Settlement have significant experience and success in raising private funds and are committed to actively supporting the fundraising efforts for C2C.

### **Proposed Program Approach**

*An overall summary of the proposed approach for implementing Connections to Care*

STRIVE is extremely enthusiastic about this opportunity to implement mental health training and services, which would fulfill a goal senior management has been pursuing for some time. STRIVE staff are well aware that the issues leading to difficulty finding and retaining employment – e.g., extreme poverty, substance abuse, justice system involvement, homelessness, domestic violence – are very often linked to mental health needs. STRIVE has pulled together a highly experienced group of partners to pursue the opportunity to meet this need: a leading workforce provider, a leading community-based provider of mental health services and the oldest and largest public school of social work in New York.

STRIVE will partner with Union Settlement as its Mental Health Provider, and with Silberman School of Social Work at Hunter College (SSSW) to provide staff training and technical assistance. As described in more detail below, expert faculty from SSSW will train STRIVE direct service staff and supervisors on the four core mental health interventions, and will provide ongoing support throughout the grant period.

Union Settlement staff will consult on the training curriculum, with particular attention to the screening tool created for use at STRIVE. In addition, an LCSW from Union Settlement will provide mental health services on-site at STRIVE two days a week. This will include one-on-one services as well as psychoeducation provided in a group setting as part of STRIVE's CORE job readiness program. Crucially, the on-site social worker will be available to coach and support STRIVE staff in implementing the mental health interventions for which they've been

trained. STRIVE clients requiring more intensive services will be referred to Union Settlement by the on-site social worker. Having a warm referral from someone they are familiar with should make it easier to ensure that clients follow through with the appointment.

STRIVE senior management, in particular VP of Programs Lakythia Ferby, will oversee the project from development through implementation. STRIVE management and staff are eager for mental health training, which will increase their ability to help clients complete the STRIVE training program and find and keep a job.

*A description of the target population to be served and how this aligns with the definition of 'low-income community' on page 6.*

STRIVE will serve unemployed or underemployed low-income working-age adults ages 18 and over receiving employment-related services. As a workforce development agency, this is STRIVE's core audience. Intake data show that 91% of STRIVE clients are unemployed, with 52% having been unemployed for six months or more, and 31% unemployed for at least a year. More than half receive public assistance.

STRIVE, Union Settlement and SSSW are all located in East Harlem, where 38% of residents live below the poverty line. American Community Survey data show that East Harlem is one of New York City's poorest immigrant neighborhoods, with substandard housing, poor health conditions and an unemployment rate nearly twice the national average. Residents are primarily Latino (45%) or African-American (35%) from low-income households; 44% of households survive on less than \$25,000 per year, and 82% of students are eligible for free/reduced lunch. East Harlem ranks among the top five neighborhoods citywide for juvenile arrests, teen pregnancy, child abuse and neglect. Almost 450 children in East Harlem are in foster care—nearly a quarter of all Manhattan cases. Educational limitations in East Harlem are severe: 11% of residents have less than a ninth grade education, 26% of adults did not graduate from high school, only 31% have a four-year college degree and 20% of residents do not speak English "very well." Only 26% of third through eighth graders meet state math standards, with 24% meeting English standards.

*The mental health service needs of your participants as identified through quantitative data collected by your organization and/or qualitative data that illustrates the need for this intervention at the CBO.*

STRIVE serves those facing substantial obstacles to employment, which often include extreme poverty, homelessness, involvement in the criminal justice system, substance abuse and other issues. In its 30 years of operation, STRIVE staff have observed that many participants are experiencing mental health issues that impede their ability to achieve success. Case management and exercises in training workshops often uncover trauma and the need for mental health intervention. Intake data shows that on average, 21% of clients have been homeless within the past year, 38% are ex-offenders and 16% of female participants – and 8% overall – have experienced domestic violence. These observations led to the current pilot program with Union Settlement, in which an LCSW provides services on-site once a week.

*A description of need for mental health capacity-building among staff proposed to be trained through C2C. Because this initiative is designed to bring mental health services into settings where they are not currently available, the CBO applicant should have limited experience*

*delivering mental health services. CBO applicants also should not currently have mental health specific services on-site serving the target population.*

STRIVE staff do not have experience or training in delivering mental health services. Many staff members are onetime clients, which is valuable in working with current clients but does not leave them well-trained to deal with mental health issues.

*Roles of CBO, MHP, and any other partners and how the two (or more) organizations will partner together. Describe the proposed relationship between the CBO and the MHP. How will CBO staff be trained, coached, and mentored in an ongoing continuous manner by the MHP and how will TA be delivered? Describe the strategy for implementation and the frequency of contact.*

Connections to Care at STRIVE will entail a partnership between STRIVE and Union Settlement (the MHP), with SSSW providing training and technical assistance.

STRIVE's role will be to manage the project, including ensuring that all direct service staff and supervisors are trained in the four core mental health interventions and that clients benefit from this staff training and from the presence of an on-site LCSW from Union Settlement. This will include monitoring the project's impact and making needed adjustments.

Union Settlement will work with the training consultant, SSSW, to develop the training curriculum and screening tool. Union Settlement will also provide an LCSW on-site at STRIVE two days a week to provide direct services, and will take referrals of STRIVE clients requiring more intensive services. Union Settlement staff will provide regular group psychoeducation to STRIVE clients during training to help them identify triggers and manage stress. Union Settlement staff will also provide ongoing coaching and support to STRIVE staff in delivering mental health interventions, including sitting in on weekly case conferences.

Faculty from SSSW, all LCSWs, will deliver the training to STRIVE staff on the four core mental health interventions. The initial training will take place weekly over eight weeks, and will be followed up with ongoing support, including quarterly "Lunch & Learn" sessions and refresher sessions and more advanced training in future years.

*A description of how the program and the partnership will be managed, and how the CBO/MHP management will interact.*

STRIVE Vice President of Programs Lakythia Ferby will manage the program and partnership. She will hold bi-weekly meetings with the on-site LCSW from Union Settlement, and will have periodic, scheduled calls with Linda Embry, Union Settlement's Director of Mental Health Services. Ms. Ferby will also coordinate with the SSSW faculty conducting the trainings to relay any feedback and assess progress. STRIVE CEO Phil Weinberg will also have periodic, scheduled check-ins with Union Settlement's Executive Director, David Nocenti. STRIVE and Union Settlement have collaborated on other projects, enjoy a very positive working relationship, and anticipate a productive and harmonious partnership.

*Details on the proposed plan that include:*

- *The number of participants to be served by C2C.*
- *The service location and the geographic area to be served by C2C.*
- *Estimates of the target population sizes and rationale for the estimates.*

The training will directly benefit approximately 625 STRIVE clients per year, including 525 receiving ongoing services at STRIVE's headquarters and an additional 100 receiving services at Rikers Island. Of the clients receiving services at STRIVE, an estimated 250 will participate in CORE and vocational skills training, and 275 will be part of the Strong Fathers, Stronger Families program. STRIVE clients come from all areas of New York City, and are served at STRIVE's East Harlem headquarters, at 240 East 123rd Street.

All STRIVE clients fit into the target population of unemployed or underemployed low-income working-age adults ages 18 and over receiving workforce development services. Our rationale for our estimates of clients served is based on STRIVE's 2015 data and plans for 2016.

*The program services into which C2C will be integrated. Include those programs' funding sources and start/end dates.*

C2C will be integrated into all STRIVE training programs operated on-site at STRIVE. This includes the following:

CORE Attitudinal and Job Readiness Training: This workshop helps individuals develop the habits and behaviors required to find and keep work. While CORE tends to have a moderate rate of attrition (20%), those who complete CORE have a high likelihood of completing industry-recognized credentials that increase their employability and wage earning potential.

Occupational Skills Training: After completing CORE, graduates continue on to one of several skills training programs in construction, maintenance or health and office operations. STRIVE's skills training programs are designed in partnership with employers to ensure that they meet employer needs and sufficiently prepare clients with industry-recognized credentials and skills. Retention rates in the skills training program average 85% with some cohorts achieving 100%.

CORE and skills training are STRIVE's primary programs and as such are supported by numerous government and private funders, including the NYC Department of Youth and Community Development, New York State Office of Temporary and Disability Assistance, Tiger Foundation, Pinkerton Foundation and New York Community Trust. These programs run year-round.

Strong Fathers, Stronger Families: The STRIVE Fatherhood Program consists of a 3-week curriculum centered on three fundamental lessons: economic stability, responsible parenting, and healthy relationships. Implementing an integrated suite of STRIVE workforce development services, the program aims to help fathers and mothers increase the stability and economic success needed to create strong relationships with their children. This program is funded by the US Department of Health & Human Services under a subgrant from SEEDCO, which was recently renewed for five years.

Next Steps: STRIVE partners with the NYC Department of Correction (DOC) on a program at Rikers Island called Next Steps, which began in July 2015 and is funded by DOC. While the participants in this program will not be on-site at STRIVE, staff working in the program will participate in the mental health training, which will benefit staff and clients.

*The strategies the CBO will use to engage participants in these services. How will the CBO recruit participants as they newly enroll at the CBO? How will the CBO enroll existing participants?*

Recruitment will begin at intake, with new screening tools added to STRIVE's existing client intake process. Participants will be further engaged during CORE training when the on-site social worker does weekly sessions on managing stress and other mental health-related topics. In addition to providing valuable information, these sessions will enable STRIVE clients to get to know the social worker. Clients who would benefit from one-on-one sessions with the social worker will be escorted to her office by STRIVE staff.

*The strategies the CBO will use to retain participants in these services and follow-up with participants if they stop attending the CBO. How will the CBO maintain contact with participants to keep them engaged in services and in the research study?*

Client retention in C2C services, including the group work integrated into CORE and one-on-one sessions if needed, will be a condition of continuing the STRIVE program and progressing into vocational skills training and job placement, which is the main goal for most participants. In addition to the incentive of attaining employment, STRIVE provides monetary incentives for program completion. STRIVE's Retention & Advancement team keeps in touch with program graduates through special events, workshops on topics such as financial literacy and career advancement, and monetary incentives provided for proof of employment.

STRIVE case managers attempt to maintain contact with participants who stop attending before program completion, and will continue to do so. In some cases such participants return for a later session of CORE once they have worked through whatever barriers they were facing.

*A clear explanation of how the core package of services will be implemented (if additional services are being proposed, provide a justification of their evidence from a peer reviewed journal of a randomized control study or quasi-experimental study); the fit between these services and their anticipated use with the needs of participants targeted; justification for any proposed adaptations to the core package or additional evidence based services.*

STRIVE will manage the overall project, while Union Settlement will provide mental health services on-site to STRIVE clients, will assist in developing screening tools, and will provide ongoing coaching and support to STRIVE staff. Faculty from SSSW will provide training to STRIVE staff in the four mental health interventions, and will develop screening tools appropriate to STRIVE's clients in collaboration with Union Settlement. The model envisioned is as follows:

**Screening:** SSSW faculty and Union Settlement will collaborate to develop screening tools for STRIVE staff. SSSW faculty will train STRIVE staff to use the screening and set protocols for next steps based upon outcomes from the tools. STRIVE staff will administer the screening tools during one-on-one intake meetings with clients entering its programs. As appropriate, STRIVE staff will refer participants to the onsite Union Settlement social worker for an assessment. The social worker will conduct follow-up sessions post referral if needed and will determine if a referral to Union Settlement for comprehensive mental health services is warranted.

**Training:** In addition to the screening training referenced above, SSSW faculty will train STRIVE staff in motivational interviewing, mental health first aid and psychoeducation. SSSW faculty will deliver two-hour modules on each of the core mental health interventions. The modules will have both a didactic and experiential component and will focus on helping staff acquire and apply mental health knowledge and skills. The modules will be presented in a sequence which mirrors staff interaction with clients and will build on each other and reinforce

specific information. For example, Motivational Interviewing will be introduced in the first module as a way of instilling hope and galvanizing participant motivation to foster engagement, and will then be discussed and practiced in much greater depth in a subsequent module devoted entirely to Motivational Interviewing.

The modules to be offered will include the following: Pre-Engagement and Engagement; Assessment; Assessing for Suicidality/homicidality; Motivational Interviewing (broken out into separate modules on Conceptual Framework, Foundational Skills, and Exploring Values and Goals); Psychoeducation; and Mental Health First Aid. Modules will be offered once a week over eight weeks, with staff able to contact instructors by email, phone or on-line discussion for support. Participants will be given specific assignments after each session in an effort to help them integrate module content. SSSW faculty will provide “booster sessions” and opportunities for case consultation on a quarterly basis through ongoing “lunch and learn” sessions throughout the grant period.

Special sessions will be held with specific staff as needed. For example, supervisors will receive additional training on how to support their staff’s learning and integration of the material in their practice, assessing when additional support is needed, and in promoting self-care among staff. Staff in the re-entry program will receive training on involvement of family, and psychoeducation around the biological, psychological and social impact of incarceration on the entire family system.

All course content and additional materials such as handouts and links to further resources will be available to staff on a dedicated educational site. This site will have discussion board capability so staff members and instructors can pose questions and interact with each other between sessions.

STRIVE has little staff turnover, allowing for deepening of learning throughout the life of this project. In year two SSSW will offer advanced modules on Motivational Interviewing and Psychoeducation, as well as additional training modules to be developed at STRIVE’s request. Any new staff that are hired will be offered a supervised review of the training material to ensure their basic understanding and capacity to apply the core mental health modalities.

**Psychoeducation:** STRIVE staff will receive psychoeducation training from SSSW faculty. In addition, the on-site Union Settlement social worker will provide group psychoeducation to STRIVE participants. This will have the added benefit of familiarizing clients with the LCSW, making it easier for STRIVE staff to refer clients to Union Settlement when needed.

**Ongoing coaching:** Union Settlement staff will provide coaching to STRIVE staff during case conferences. STRIVE staff will discuss how they used the mental health techniques and Union Settlement staff will provide advice and make recommendations to SSSW if they feel refresher trainings are necessary. In addition, SSSW faculty will provide quarterly education sessions to STRIVE staff to ensure that they retain all that they’ve learned, that they are using the most current techniques and to answer any questions.

*The number of front-line staff at the CBO that the CBO anticipates training and supporting in implementing mental health services through this initiative and their roles within the organization. Provide the ratio of the direct service staff that will participate to the service population size.*

Thirty-four STRIVE staff will be trained, 10 supervisors (including the VP of Programs, who oversees all other direct service staff) and 24 front-line staff. In addition, three staff from Union Settlement will participate in the training. This will enable the Union Settlement staff, particularly the on-site social worker, to use the same language for concepts that STRIVE staff will be learning. The Union Settlement therapist will provide examples from practice of the concepts being taught as appropriate. The roles of participating STRIVE staff are as follows:

<b>CORE</b>	<b>Youth</b>	<b>Re-entry</b>	<b>Fatherhood</b>	<b>Employment &amp; Retention</b>	<b>Local Hiring</b>
3 supervisors (including VP Programs); 5 front-line staff	1 supervisor; 3 front-line staff	1 supervisor; 6 front-line staff	1 supervisor; 3 front-line staff	3 supervisors; 6 front-line staff	1 supervisor; 1 front-line staff
Serve adults 18+	Serve young adults 18-24	Serve adults 18+ on Rikers Island	Serve non-custodial parents age 18+, 80% male	Work across teams to develop jobs, refer participants to jobs, help them retain employment	Connect jobseekers from the community with local employers
Ratio of staff to service population: 1:35	Ratio: 1:30	Ratio: 1:14	Ratio: 1:69	Ratio: 1:75	Ratio 1:50

STRIVE anticipates serving approximately 250/year individuals through its CORE and vocational skills training programs, of whom about half will be youth aged 18-24. The grant for the Fatherhood program was recently renewed and the contract is still being finalized, but STRIVE expects to serve approximately 275/year in this program. The re-entry staff will serve another 100 individuals on Rikers Island; while these individuals will not have exposure to services provided by Union Settlement at STRIVE, the staff working with them will be trained by SSSW. In addition, staff from the East Harlem Talent Network, the local hiring initiative managed by STRIVE, will be trained. While they do not work with clients on a continuous basis, the training will be helpful to them in working with job applicants.

#### *Staffing:*

*Overall, how does the CBO propose to staff this project to effectively enable direct service staff to take on these new tasks on top of their existing programmatic responsibilities? What additional staff will be needed by the CBO to support implementation of this program?*

STRIVE is anticipating that staff duties will shift as a result of implementing C2C. This is viewed as a positive development in that it will strengthen services. Because STRIVE case

managers will be spending more time with clients as a result of the new mental health interventions, we propose adding one case manager position.

*Identify key staff that will manage the program (include resumes as attachments) including point of contact for data and evaluation. Describe any experience the CBO staff has currently with research and evaluation and in delivering any of the mental health modalities proposed, if any. Please note: staff are expected to have limited experience in delivering the mental health modalities in their current role.*

Lakythia Ferby, STRIVE VP of Programs, will manage the program. CFO Hilda Romero will be the point of contact for data and evaluation, supported by STRIVE's Performance Analyst, Tish Edwards, who has an extensive background in data collection and reporting and performance analysis. STRIVE staff have no experience delivering the mental health modalities included in C2C.

*Experience and background of all key staff members, demonstrating that they comply with staff experience requirements laid out in Section III.B. The experience of managers selected to launch and lead the project.*

STRIVE staff have significant experience and expertise delivering high-quality programming for a population of low-income individuals receiving workforce development services. Philip Weinberg, STRIVE CEO since 2011, has held leadership positions with educational and human services organizations in Chicago, Philadelphia and New York City, as well as private sector positions. Immediately prior to joining STRIVE, he served as President of the New York City Workforce Investment Board. Lakythia Ferby, STRIVE VP of Programs since 2013, has extensive experience in the workforce development field; prior to joining STRIVE, she served as Assistant Deputy Commissioner of Employer Partnerships at New York City's Human Resources Administration (HRA), where she oversaw the establishment and growth of employer relationships throughout the city for HRA's welfare-to-work programs.

Union Settlement Executive Director David Nocenti has been Executive Director of Union Settlement since 2009. He has served as a top advisor to three Governors, including as Counsel to Governors David Paterson and Eliot Spitzer as well as Assistant Counsel and First Assistant Counsel to Governor Mario Cuomo from 1990 to 1994. Linda Embry, Union Settlement Director of Mental Health Services, has been at Union Settlement since 2011 and previously directed mental health, child welfare and juvenile justice programs in New York and California. She is an adjunct lecturer at Columbia University School of Social Work.

*Demonstrated senior level commitment and staff level buy-in and skills to integrate mental health services into the existing service framework. Describe and demonstrate how executives at the CBO will play an effective role in developing, implementing, and overseeing the program.*

STRIVE's senior management is deeply committed to integrating mental health services into its existing service framework. VP of Programs Lakythia Ferby has been seeking to integrate mental health services into STRIVE's existing service framework for some time. She worked with STRIVE's Development team to obtain funding for the current pilot project in which a Union Settlement social worker is on-site once a week to work with youth aged 18-24. She has been seeking ways to expand this pilot and to train STRIVE staff in mental health interventions.

Ms. Ferby will manage the C2C program, including working with Union Settlement and SSSW to design and implement the training curriculum, ensuring that staff integrate the new tools into



their interactions with clients, meeting with the on-site social worker at least once every two weeks and using evaluation data to monitor the program and make needed changes. STRIVE CEO Phil Weinberg is also highly invested in the goal of providing mental health training, and will play a high-level role in overseeing the program.

Both Ms. Ferby and Mr. Weinberg have successfully launched and integrated new programs at STRIVE, including new youth, re-entry and community hiring initiatives.

*Attach C2C organizational chart, resumes and/or job qualifications for all managerial and any other key staff, and staffing plan for the partnership.*

*Attach letter(s) of support from the MHP and, if applicable, any other partners.*

C2C organizational chart, resumes, staffing plan and letters of agreement/support can be found in the “Proposal Attachments” section.

*Where will participants receive mental health services on-site at the CBO? How will confidentiality be ensured?*

STRIVE will use a private conference room in its headquarters to enable participants to receive services on-site with confidentiality ensured. STRIVE staff follow procedures designed to ensure client confidentiality, and will continue to do so.

*How will the CBO and MHP handle emergencies or cases where participants reveal something reportable (e.g., suicidal/homicidal intent, child abuse or neglect, elder abuse or neglect)?*

One deliverable early in the project will be a protocol developed by STRIVE and Union Settlement to deal with emergencies. STRIVE staff receives training in dealing with these types of situations, e.g., referring a client to a domestic violence shelter.

*What mental health services will be provided on-site and what services will be delivered at the MHP location? How closely located are the CBO and MHP and how will participants be supported in making the transition in the case of external referrals? How will CBO participants be supported and encouraged to engage in off-site care if needed? How will the CBO enhance current referral protocols and management systems to make this connection to off-site care more successful? In the case of external referrals, how will data be shared between the CBO and MHP while ensuring compliance with HIPPA?*

Mental health services that can be effectively delivered in weekly one-on-one sessions with an LCSW will be delivered on-site at STRIVE. Clients requiring more intensive interventions will be referred to Union Settlement. Both organizations are located in East Harlem and their offices are roughly a mile apart, with city bus routes running between them.

All referrals will be a warm referral by the on-site social worker, who will be familiar to clients from the group psychoeducation sessions she will lead during CORE training. If possible she will personally work with clients referred to Union Settlement; if she cannot take on the client, she will personally introduce them to a colleague. STRIVE staff will escort clients referred to Union Settlement to their first appointment, and will follow up with these clients to reinforce the importance of continuing services.

To ensure compliance with HIPPA, STRIVE and Union Settlement have agreed in their Partnership Agreement to share information for the purposes of referrals and tracking. In addition, Union Settlement will ask clients to sign a release of information at the time that the

referral is made, allowing the clinic to confirm to the STRIVE that the client has attended the first appointment.

*Anticipated impact and strategy for measuring and achieving the following goals:*

*Goals and rationale for improvement in ongoing performance areas. What specific programmatic measures in the areas specifically focused on the sub-population(s) that the CBO plans to work with does the CBO anticipate improvement in through the addition of these services?*

By addressing mental health issues that often serve as barriers to success, the program will improve all key workforce outcomes. STRIVE anticipates improvement in program completion, job placement and job retention.

*Goals and rationale for mental health service access and improvement. How will the CBO define success of this initiative both in terms of quantitative goals and in terms of increased organizational capacity?*

STRIVE will define success in terms of program completion, job placement and job retention. To measure the impact on organizational capacity, STRIVE will work with SSSW faculty to develop surveys for staff (described in more detail below) to determine the impact of the training on their ability to help clients address mental health issues.

*Goals and rationale for improved outcomes for the service population. Although the evaluator will measure impact on participant mental health outcomes across sites, CBOs individually should monitor a small number of feasible outcome measures as part of program performance-management.*

As noted, STRIVE will track program completion and employment outcomes. STRIVE will also track results of the new mental health screenings that will be conducted with all participants at intake, including referrals to outside services (primarily Union Settlement), and client attendance at these services.

*Describe how the partnership will make use of performance data in programmatic decisions.*

STRIVE, Union Settlement and SSSW will hold regular C2C planning meetings to review data, with an eye towards performance enhancements and modifications, e.g., adding more frequent trainings, calling on the on-site social worker for additional support in case conferences, adjusting how referrals offsite are handled. STRIVE maintains detailed data on every individual who enrolls in its program, which is used for performance management and program assessment.

*Describe how participant and front-line staff feedback will be utilized to improve the service delivery and program implementation.*

SSSW faculty will develop surveys for staff to measure the impact of C2C. Modules will be evaluated for usefulness and relevance. In addition, staff will be asked to complete instruments assessing knowledge and skills in each of the areas covered. Finally, staff participating in the training modules would be asked to complete an instrument assessing their sense of confidence in their capacity to apply specific skills before and after the training. The results of these evaluations will be used to make any needed modifications to the program.

Participants will also be surveyed to gauge their impressions of the services provided by the on-site social worker, and of the STRIVE staff's ability to help them deal with anxiety, depression and other mental health issues.

*Include a feasible work plan/timeline for program start-up and implementation that includes clear outlines for how service delivery will occur. Identify any potential challenges or barriers to implementation and suggest potential strategies for avoiding or overcoming them.*

Our anticipated timeline is as follows:

Connections to Care Program Timeline							
Project Task / Month	Year 1			Year 2	Year 3	Year 4	Year 5
	Months 1-2	Months 3-4	Months 5-12				
Development of Curriculum & Screening Tool							
STRIVE Staff Training							
STRIVE Staff Implement New Screening Tool							
On-site Social Worker Provides 1-on-1 Services							
On-site Social Worker Provides Group Psychoeducation to STRIVE Clients							
On-site Social Worker Provides Support & Coaching to Staff on an Ongoing Basis							
Silberman Faculty Provide Quarterly "Booster Sessions"							
Silberman Faculty Provide Advanced Training							

Challenges to implementation might include reluctance on the part of STRIVE's clients to meet with the on-site social worker, as a result of perceived stigma around mental health services. STRIVE will seek to avoid this problem by integrating the social worker into STRIVE programming to provide psychoeducation, thus ensuring that clients are familiar and comfortable with her.

*Describe the activities the partnership will undertake to support evaluation activities (including designating staff as points of contact for evaluators, collecting data, etc.).*

STRIVE already collects data on all participants in order to track program outcomes, and will expand this data collection as needed for C2C. The point of contact will be CFO Hilda Romero, supported by Performance Analyst Tish Edwards. Given STRIVE's high level of experience in reporting to city, state and federal funders, as well as private foundations, we do not anticipate any difficulties.

*Does your organization serve members of the target population who will not be reached by C2C (for example at another service site location) that could potentially serve as a comparison group, or does your proposal reach all of the population served by your organization? If proposing to serve a subset of the target population, please describe the projected numbers of C2C participants and the projected numbers of non-C2C participants during the grant period.*

*Indicate whether the non-C2C participants could potentially serve as a comparison group for the evaluation, or why not.*

Because the majority of STRIVE clients will be reached by C2C, it is not anticipated that STRIVE will have a valid comparison group.