

## CENTER FOR EMPLOYMENT OPPORTUNITIES (CEO)

### 2015 Connections to Care (C2C) Proposal | Mayor's Fund to Advance New York City

#### B. EXPERIENCE AND EXPERTISE

##### Center for Employment Opportunities (CEO) - Lead Applicant CBO

###### *a. History, Mission and Population Served*

The Center for Employment Opportunities (CEO) is a 501(c)(3) non-profit organization providing immediate and comprehensive employment services exclusively to men and women returning home from incarceration. CEO seeks to improve the wellbeing of individuals coming home from prison as well as the cities and neighborhoods to which they return. What began as a demonstration project of the Vera Institute of Justice in the 1970s has become the leading employment reentry organization in the country. Since becoming an independent nonprofit in 1996, CEO has secured over 18,000 job placements for formerly incarcerated individuals with hundreds of businesses in their communities. In 2009, the organization began to replicate its program model outside of New York City, first in Upstate New York; California, and Oklahoma and most recently, Pennsylvania. Thus far, CEO has scaled its program to 11 jurisdictions, doubling the number of people served over the last five years.

CEO targets its services to individuals who face the highest risk of returning to prison and have the greatest need for employment services. All participants arrive at CEO unemployed and in need of immediate income to achieve stability for themselves and their families. They often arrive lacking the knowledge and experience to navigate the labor market. Last year, roughly half of all CEO participants had not completed High School or a GED. Approximately 30% had no prior work experience. In addition to low educational attainment and limited work history, common challenges include lack of occupational skills and minimal family and community supports. Compounding these challenges, they also face the stigma of a conviction as they attempt to reintegrate into the workforce. Connecting participants to the workforce is critical to their long-term success, especially given their relative youth; last year 45% were 25 years old or younger. The impact of a criminal conviction falls disproportionately to economically disadvantaged communities-- in NYC, a majority of CEO participants come from neighborhoods where poverty rates hover around 25-30%, far exceeding state and national averages.

###### *b. CEO Program Model, Outcomes and Impact*

Upon enrollment, participants begin CEO's comprehensive four-phase employment model designed to engage participants under community supervision with a combination of behavioral and skill-building interventions:

*Life Skills Education:* The CEO program begins with a customized five-day Life Skills Education class in which we prepare individuals to enter or reenter the workforce. In FY15, 2,177 participants enrolled in Life Skills Education. The weeklong class emphasizes basic work skills, best practices in filling out job applications and how to answer questions about criminal conviction in interviews. During the week, CEO staff also assists each participant in assembling all necessary work documents (e.g. state ID, I-9 compliance, etc.)

*Transitional Work:* Immediately upon graduation from Life Skills Education, every participant is eligible for paid employment on a CEO transitional work crew. The crews provide maintenance, repair and grounds-keeping services for state or local agencies and businesses. Each crew has 5-7 slots and is fully supervised by a CEO staff member whose role is to balance meeting the customer's daily work orders with teaching participants basic work skills and competencies. Participants are permitted to work up to four days per week, and receive a daily paycheck and supervisor feedback at the end of each shift. More than just the income and work experience, the program serves as a

stabilizing force, offering structure and routine at a time when participants' lives are often in a state of tremendous flux. Last year, 2,066 participants worked in transitional jobs. CEO supports these work crews through service agreements which contribute revenue that pays for a significant portion of the transitional jobs program.

*Job Coaching and Job Placement:* Concurrent with transitional work, participants work with CEO's job coaches and job developers to secure permanent, full-time jobs in their communities. Job coaches work with participants to help them become "Job Start Ready" through such activities as interview preparation. Once a participant is ready to be employed outside of CEO, they begin meeting with Business Account Managers (BAMs), who leverage the transitional work experience to market participants to permanent employers. CEO participants stay on transitional jobs for an average of two months before being placed in a full-time job. As placements are made, work crew positions are backfilled with new participants entering the program. 863 participants secured full-time placements last year, with an average hourly wage of \$10.43.

*Job Retention, Support and Follow-Up Services:* Participants receive Retention Services from CEO for a full year after job placement. Retention services include: workplace counseling, crisis management, job re-placement in case of job loss, financial counseling and career planning support. An incentive-based program, *Rapid Rewards*, provides monthly payments to participants who attain retention milestones. This monthly incentive motivates participants' success and also provides a forum for contact. Of participants who found full-time placements in FY14, 59.6% retained the job for at least 180 days and 50.4% retained their job for at least a full year.

#### ***c. Staff Size and Composition***

Organization-wide, CEO employs 228 staff members, including 193 direct service staff.

#### ***d. C2C Service Population, Existing Contracts, Past Service Levels and Outcomes***

Through the C2C initiative, CEO will serve out of school, out of work young adults (ages 18-24) and unemployed or underemployed low-income working-age adults, ages 18+ receiving employment-related services. These target populations encompass CEO's entire program population of unemployed individuals, ages 18 and above, with past criminal convictions.

The past three years of CEO's service levels, including total enrollment, transitional job (TJ) placements, number of participants placed in full-time unsubsidized jobs and the percentage of those placed who met 180-day and 365-day retention milestones, are detailed below.

	Enrollment	TJ Placements	Full-Time Placements	180-Day Retention	365-Day Retention
FY 2015	2178	2066	863	N/A*	N/A*
FY 2014	2177	2075	764	59.6%	47.5%
FY 2013	2172	2001	746	58.8%	50.4%

\*The FY15 cohort is not yet eligible for 180-day and 365-day retention milestones.

#### ***e. CBO Experience Delivering Mental Health Services***

CEO does not currently have mental-health specific services on-site for participants, but all vocational staff are trained in Motivational Interviewing (MI) as a case management tool for

improving participants' employment outcomes. CEO uses this technique with participants throughout its employment reentry program to help them build and sustain their own reasons to stay engaged and to overcome problems and stumbling blocks as they arise.

### **The Center for Alternative Sentencing and Employment Services (CASES) - MHP**

#### ***a. History, Mission and Track Record in Community Proposed to be Served***

The Center for Alternative Sentencing and Employment Services (CASES) was formed in 1989 through the merger of two long-established alternative sanction programs created by the Vera Institute of Justice. Over the past 26 years, CASES has evolved into a multi-service agency that provides a range of alternative-to-incarceration (ATI) programs, neighborhood-based services and State-licensed mental health services. The organization's mission is to increase public safety through innovative services that reduce crime and incarceration, improve behavioral health, promote recovery and rehabilitation and create opportunities for success in the community. Relevant CASES' experience/expertise includes:

- Creating and operating the Nathaniel Assertive Community Treatment (ACT) program, NYC's first ATI for adults with serious mental illness otherwise prison-bound as the result of felony convictions—Nathaniel ACT is a national model for helping these high-risk individuals to remain safely in the community, succeed in treatment, and avoid further criminal involvement. The program is State-licensed and Medicaid-reimbursable and continuously serves an active census of 68 clients.
- Manhattan Link: Link helps more than 300 adults with serious mental illness transition from Rikers Island to the community each year, providing case management including linkages to community-based treatment and support services.
- Manhattan Court-based Intervention and Resource Team (CIRT): CIRT provides community alternatives for individuals detained at Rikers who have received mental health treatment in the jail and face prolonged detention/incarceration. Like the projected C2C population, CIRT participants tend to have substance use disorders (SUDs) and co-occurring bipolar, depressive, anxiety, and trauma/stress-related disorders.

Building on the success of its two ACT programs, in 2014 CASES opened the Nathaniel Clinic in Central Harlem to provide treatment across the continuum of mental health needs from serious mental illness to less complex mental health treatment needs. Clinic services include integrated treatment for co-occurring substance use, primary health care and legal services. In its first year, the clinic has engaged nearly 250 clients, almost all of whom have previous or current justice involvement, including clients referred by Parole and Probation officers.

CASES Adult Behavioral Health (ABH) programs including the Nathaniel Clinic annually serve more than 4,000 participants, with approximately 40% with some history of homelessness, 25% with no high school/equivalency diploma, most unemployed, and more than 75% with SUDs—almost all are low income. Its most intensive treatment program, Nathaniel ACT, has helped participants (adults with serious mental illness and felony convictions) to achieve the following recent outcomes: 82% reduction in psychiatric ER visits; 72% reduction in multiple psychiatric hospitalizations; and 61% reduction in homelessness. Among those successfully completing the program, 93% have no new criminal arrest within two years of graduating.

#### ***b. Experience with C2C Modalities and Relevant Staff Credentials***

- Screening: In 2007, CASES trained all its criminal justice staff working in NY County Criminal Court arraignments to administer the *Brief Jail Mental Health Screen* and to refer individuals flagged via this screening to a CASES clinician for further assessment. The training for non-clinician staff

included didactic seminars about the tools, supervised practical sessions for the staff to observe clinical staff administering the tools, direct observation by the clinician of non-clinical staff to confirm competence and periodic booster training sessions to ensure the reliability of the administration process. Also, in its Treatment Readiness Program, CASES has trained non-clinical staff to administer standardized mental health screening tools, including the *Patient Health Questionnaire-9* (PHQ-9) depression screen and *Texas Christian University Drug Screen* (TCUDS), and to engage participants in their self-administration.

- **Motivational Interviewing (MI)**: All CASES staff complete regular MI training by Dr. Andrew Hamid, an expert at the Columbia University School of Social Work. Supervisors ensure program staff across disciplines, including administrative staff that interface with participants have optimal competence in using MI practices in their work. Program supervisors help staff integrate MI into their routine work practice through ongoing reinforcement during individual staff supervision sessions, review of program progress notes and service plans, and in staff meetings.
- **Mental Health First Aid (MHFA)**: Multiple staff in CASES' ABH programs (including an LCSW supervisor, LMSW and Peer Specialist) recently completed a train-the-trainer program in MHFA administered by NYC DOHMH. The MHFA trainers will be rolling out MHFA to CASES' non-clinical staff and our criminal justice referral sources. CASES has also previously trained non-clinical program staff in Youth Mental Health First Aid.
- **Psychoeducation**: CASES has 15 years experience providing psychoeducation for clients and families in multiple programs, with emphases including wellness self-management, educating family about mental illness and the interplay of mental illness and justice involvement. CASES offers these services for clients and family in its Nathaniel Clinic, two State-licensed ACT teams, in-home family therapy program for youth on probation, alternative-to-detention program for Family Court-involved youth and adult justice alternative and reentry programs.

#### ***c. MHP Performance and Data-Informed Program Improvements***

CASES is a data-driven agency with robust analysis and reporting infrastructure including a seven-member Strategic Planning and Analysis Unit and a Salesforce database highly customized to support and track case management services. In recent years CASES used data to develop new programming within its ATIs in NY County Criminal Court for chronic misdemeanants with behavioral health needs. From 2010-2011, data from these programs indicated an extremely low number of women. To address these system-level and programmatic concerns, CASES worked with the Criminal Justice Agency (CJA) to identify the number of Criminal Court-involved women likely ATI-eligible while simultaneously developing gender-specific ATI service tracks.

#### ***d. Experience Training Lay Staff in C2C Modalities and Technical Assistance***

CASES has extensive experience training non-clinical, criminal justice staff in understanding mental illness and accessing treatment for clients including: 1) Many years of twice-annual training for Parole officers in screening, assessment and linkage to treatment while operating a parole restoration program for technical violators; 2) As a member of NYC Department of Probation Mental Health Steering Committee, planning the implementation of best practices for probation officers to properly screen, assess, refer for assessment, make appropriate referrals and supervise clients with mental illness; and 3) Ongoing technical assistance to family members, non-clinical, criminal justice staff onsite at jails, probation offices, and agencies in jurisdictions nationwide and presentations at conferences on screening, assessment and evidence-based treatment for justice-involved individuals with mental illness, in collaboration with the Council of State Government's Justice Center and the SAMHSA GAINS Center for Behavioral Health and Justice Transformation.

#### ***e. Configuration of MHP Service Professionals and Capacity for New Clients***

The CASES social worker implementing C2C services at CEO will be staffed from the Nathaniel Clinic, at which CASES will provide outpatient mental health services for appropriate CEO participants referred via C2C protocols. Nathaniel Clinic staff includes a director (LCSW), full-time adult psychiatrist, part-time child and adolescent psychiatrist, full- and part-time licensed social workers, nurse practitioner and nurses, CASAC and peer wellness coach. The clinic has the capacity to admit up to 400 new clients annually and can accommodate appropriate C2C clients.

#### ***f. Experience Managing and Participating in Collaborations***

In its Daytime Custody ATI for Criminal Court-involved men, CASES collaborates with the NYC Department of Correction (DOC). DTC services are provided onsite at a DOC facility, and CASES and DOC have developed a shared culture supported by cross-training in each agency's protocols and service approach. This collaboration has proven very successful, with DTC participants consistently achieving a high rate of ATI completion—nearly 80% among a population evaluated by CJA to be at a high risk of failure to fulfill ATI obligations.

- CASES youth programs collaborate with Youth Represent (YR), a nonprofit providing legal services to help young people address the ancillary consequences of justice-involvement (including for education, employment, and housing). YR staff participate in CASES youth program orientations and provide ongoing workshops.
- CASES was one of 60 organizations nationwide to be awarded a Primary-Behavioral Health Care Integration grant by SAMHSA. With the support of this grant, CASES will collaborate with the Institute of Family Health—one of NY's largest nonprofit health centers serving low-income populations—to provide integrated primary health care at the Nathaniel Clinic (to which CEO participants referred via C2C would have access).

### **C. ORGANIZATIONAL CAPABILITY**

#### **1. CEO Program Management (lead applicant CBO)**

##### ***a. Effective use of data to support decision-making in existing programs***

To ensure the highest quality of services is delivered when most appropriate, CEO submits itself to a rigorous discipline of data collection and performance management. CEO's extensive data-tracking process is supported by an in-house adaptation of Salesforce.com's online customer relationship management (CRM) database. Real-time, immediate access to this data is shared across the organization which enables staff to accurately determine whether the program model is working as expected, adjust its approach as needed, and assess whether it has achieved the desired impact in the communities it serves.

As participants are enrolled in the program, a profile for them is created in Salesforce.com. CEO staff collect extensive data on participant demographics and all individual events in the program (e.g. transitional work site attendance, assessments, interview feedback, etc.) as they occur. Additionally, CEO staff document all participant and employer contact, activities and outcomes. This information allows CEO to chart progress against job placement goals in real time. All participant- and program-related data is aggregated and displayed on a set of dashboards that deliver real time feedback on progress towards outcomes. Furthermore, Salesforce.com allows CEO to create customized reports and dashboards based on the needs of a project, allowing managers to track performance simultaneously for multiple projects.

CEO holds itself to the highest standard of outcome verification and reporting. As full-time job placement is the primary objective, CEO has an independent Employment Verification Unit (EVU) - separate from job developers - charged with verifying all placements. Only those participants that the EVU has independently verified as employed via paystub, written confirmation by a parole

officer or direct contact with an employer are “counted” as working. CEO does not accept self-reported employment status to count toward outcomes.

#### ***b. Use of Data and Evaluation to Inform Programmatic Changes in Operations***

CEO has a proven track record of rigorously collecting program data and feeding that data back to program managers using its customized Salesforce.com platform. CEO management and staff continually monitor performance, analyzing outcomes and intermediate metrics to ensure services are responsive to both client needs and industry hiring trends. If the team begins to fall behind goal, staff discuss challenges and identify potential solutions in real time.

In one example, CEO used participants’ transitional work attendance data to identify usage trends and increase program dosage to encourage progress at critical points. Internal data has shown that a majority of CEO participants achieve unsubsidized job placements within 20-25 days of beginning work on a subsidized CEO work crew. By monitoring participants’ transitional work history in Salesforce, the job development team can use this as a benchmark to identify those falling behind their peers in securing full-time employment. To provide additional support to these individuals and encourage their transition to unsubsidized employment, CEO has instituted a policy of extending a second job development appointment each week after a participant reaches 40 days of transitional work, ensuring they receive the additional one-on-one support needed to make the transition.

CEO also has a track record of using external evaluation results to inform the optimization and realignment of service delivery. In recent years, CEO has identified several strategies to enhance the program experience for young adults ages 18-25. This focus was prompted by findings from a three-year randomized control trial by researchers at MDRC, which confirmed that CEO created statistically significant reductions in all measures of recidivism (arrest, conviction and incarceration), with particular efficacy among those deemed “high risk” for returning to prison, including young adults. Over the past year, CEO has examined its practices and policies to identify strategies to enhance young adult engagement.

#### ***c. Administrative Capability***

CEO has routinely proven its capacity to successfully manage the administrative responsibilities of high-standard programs. CEO’s reputation as a performance-based organization helped to build a relationship with the Edna McConnell Clark Foundation, leading to CEO’s first SIF grant in 2011. Additionally, CEO is one of the few programs in the country that has been selected to participate in a Pay for Success (PFS) contract, having been selected as the sole provider in a \$13.5 million four-year program to reduce recidivism in New York State. Working with the Aspen Institute, CEO identified three “keys to success” that have led the organization to high performance: 1) a senior leadership team relentlessly committed to understanding program impact; 2) a performance-based culture centered on achieving CEO’s theory of change through data analysis and course corrections; and 3) relationships with funders willing to provide grants to build organizational capacity.

#### ***d. Technological Capacity and Data Security Systems***

CEO’s Learning and Evaluation team, which consists of three full-time staff members, is responsible for managing our customized Salesforce.com database, which encompasses securing participants’ personal data. To protect prioritized confidential data, CEO has restricted internal Salesforce access to participants’ social security numbers. Additionally, CEO’s Network Administrator provides employees with encryption guidance when SSNs or other sensitive information needs to be sent via email.

#### ***e. Executive Role in Developing, Implementing, Assessing and Overseeing Program***

Overall program supervision will be conducted by Le'Ann Duran-Mitchell, Executive Director of CEO NYC. Ms. Duran-Mitchell is responsible for all key outcomes for the New York City operation; oversight of all organizational partnerships; government relations; strategy; and funding. For the last 12 years, she worked with states and communities to improve public safety and reduce corrections spending, most recently at the Council of State Government's Justice Center. Ms. Duran-Mitchell has extensive experience building the capacity of government and nonprofit agencies to provide evidence-based reentry services and to implement proven- effective correctional practices. Her depth of experience will not only serve well in managing the C2C partnership with CASES; it also demonstrates her ability to play an effective role in developing and assessing the program model to ensure fidelity and facilitate evaluation.

Implementation and operational oversight of the proposed services will be provided by the Deputy Executive Director of CEO NYC Mary Bedeau. Ms. Bedeau is responsible for monitoring program services and contractual outcomes on a range of CEO NYC projects and partnerships. These include participant referrals, life skills completion, job placement and job retention rates. Ms. Bedeau oversees all CEO vocational and outreach staff. She communicates, both directly and through her outreach team, with New York City Community Supervision Bureaus about CEO services and the progress of clients referred. In the C2C project, she will communicate with partners from CASES on specific participant needs, program operations and progress to goals.

#### ***f. Experience Managing Collaborations and Capability to Manage the Project***

CEO partners with a range of government agencies and nonprofit organizations to provide services in support of participants as they work toward permanent employment and to advocate on behalf of its client population. The New York State Department of Corrections and Community Supervision (DOCCS) provides referrals and case management, and mandates substance use treatment for many CEO participants. CEO has a longstanding contract with DOCCS that partially supports our efforts to serve people on parole supervision. New York State Office of Temporary and Disability Assistance (OTDA) and Single Stop USA are two key partners that CEO engages to ensure all CEO participants have the survival supports (e.g. food, health care) they need upon release. Housing Works, another basic needs provider to which CEO refers participants, has an extensive network of housing resources dedicated to anyone getting started on their search for a safe and stable home. Common Justice is a victim service and alternative-to-incarceration program based on restorative justice principles. CEO partners with Common Justice to help refine services to be more inclusive in providing a victim-aware approach. In addition, CEO is a member of the Alternatives to Incarceration (ATI)/Reentry Coalition in New York, which works to advocate to the public, New York City and New York State around issues concerning individuals involved with the criminal justice system. CEO is also a member of the New York City Employment and Training Coalition (NYCETC), a community of practice for workforce development agencies.

## **2. Fiscal Capability**

### ***a. Experience Managing Government Grants and Contracts***

CEO has substantial experience in managing performance-based contracts and government grants across a range of jurisdictions and authorities. As a recent Social Innovation Fund award recipient, CEO also has an extensive track record of meeting the fiscal and administrative requirements of federal grants.

### ***b. Current Financial Management Systems and 2 C.F.R.200.302(b) Compliance***

CEO's financial system is in compliance with 2 C.F.R.200.302(b). The accounting system is set up to: a) identify and record all of CEO's transactions; b) describe the transactions in enough detail to

allow classification by budget category and direct/indirect cost for financial reporting; and, c) indicate the time period in which transactions occurred in order to record them in the proper period. CEO has a computerized financial accounting system using Blackbaud Financial Edge software. When CEO gets a new funding source, it assigns the grant a new fund number so that all transactions can be recorded and reported. A full listing of fiscal policies can be found in *CEO Fiscal Policies and Procedures Manual*, attached.

***c. Financial Strength and Ability to Comply with Federal Requirements***

As CEO has grown, the organization has prioritized building the institutional and financial capacity to handle complex, large-scale projects. CEO's previous SIF awards required stringent fiscal and accounting procedures, all of which have undergone federal A-133 audits. This experience will ensure that CEO is capable of addressing all federal audit requirements for C2C. CEO has consistently been assessed as "low-risk" for non-compliance by our SIF grantors during regular internal audits. This includes thorough documentation of participant demographics, strong fiscal oversight and a management team that is fully committed to supporting all project staff and progress to outcomes. Because CEO has replicated its proven model with fidelity in each locale, the organization has also been awarded federal grant funds through HUD's Community Development Block Grant (CDBG) program in several locales, year after year, and has maintained compliance with HUD requirements throughout.

***d. Expenses/Costs Disallowed on Past Federal Grants & Corrective Actions***

In 2013, an audit was conducted by the Office of the Inspector General (OIG) for a Social Innovation Fund (SIF) grant received by CEO, awarded through the Edna McConnell Clark Foundation (EMCF). During the review, it was discovered two ineligible employees were charged and worked under the SIF grant. Guidelines outlining ineligibility to work under the SIF grant were provided by the Corporation for National and Community Service (CNCS). CEO removed the employees from working on the grant on January 11, 2013, shortly prior to the site visit by OIG. As a result of this oversight, on February 12, 2013, \$3,882 in EMCF match costs and \$18,057 in CEO match costs were disallowed.

CEO management agreed with the condition that two staff members were ineligible to work on the grant. As part of its plan for corrective action, the Fiscal Department at CEO was required to gain sign-off from the Director of Compliance before allocating any employee to the contract. In addition, the Director of Compliance reviewed expenses charged to the grant prior to submission to the portal. CEO management also agreed with the recommendation that ineligible employees be removed from the grant on the day of that determination.

**3. Leveraged Funding**

***a. Capacity to Leverage and Raise Non-Federal Match Funds***

CEO has a strong record of raising unrestricted funding, which currently accounts for 50% of our annual budget. CEO will apply a mix of unrestricted private and non-federal public funds to meet the 1:1 match requirement of this project. Since the wind-down of CEO's previous SIF awards, the organization has been highly successful in raising funds to fill the gap while securing new grants for program expansion.

**D. PROPOSED PROGRAM APPROACH**

***a. Summary of Proposed Approach for C2C Implementation***

Through Connections to Care (C2C), CEO will partner with CASES to provide people with criminal convictions with increased access to mental health treatment by building the knowledge and capacity



of CEO's front-line staff and embedding a CASES licensed social worker at CEO's program headquarters. The on-site social worker will introduce available services and oversee the self-administration of the mental health and substance use screenings during the first step of the CEO program: Life Skills Education. From these initial screenings, the social worker will follow up with individual participants for one-to-one, private assessment of mental health needs and compose a care plan. The CASES social worker will also provide Mental Health First Aid training to CEO front-line staff and will also offer MHFA training sessions open to participants each quarter or more frequently, depending on demand. Since CEO already has on-staff MI trainers, CEO's trainer will continue to train incoming staff in MI, but will work with CASES to monitor implementation of MI and MHFA principles among front-line staff.

***b. Target Population and Alignment to C2C 'Low-Income Community' Classification***

CEO's intervention is geared to two C2C target populations: (1) out of school, out of work young adults (18-24 years old) and (2) low-income, working-age adults ages 18+ receiving employment-related services. All CEO participants are recently released from incarceration and unemployed at the time of enrollment, earning no income. Participants are referred to CEO by a supervising parole officer, who has determined through validated risk and needs assessments that the individual has an urgent need for employment assistance. A majority of formerly incarcerated individuals face the prospect of long-term unemployment upon release from prison; recent research findings revealed that a year after release, 60% of formerly incarcerated people remain unemployed. Moreover, these men and women are concentrated in a relatively small number of neighborhoods that experience high rates of poverty according to CEO's analysis of internal client records against US Census data.

***c. Mental Health Service Needs of CEO Participants***

Every year, 700 individuals with serious mental illness are released from the New York State criminal justice system, 300-350 of whom return to NYC. Almost half of the target population will not have received any treatment for their health and/or substance use conditions while in prison. According to a national study by the Urban Institute Justice Policy Center (UIJPC), only 6 in 10 prisoners with mental health conditions receive treatment in prison-- a rate that will drop to less than 5 in 10 within ten months of release. Only one half of prisoners with substance use problems receive treatment services while incarcerated. Each year approximately 122 CEO participants have parole conditions to receive mental health treatment.

Despite the significant role that family and social supports play in helping recently released prisoners re-establish a life in the community, those with mental illness often lack these networks. According to the same UIJPC study, prisoners with mental illness typically receive lower levels of family support compared to returning prisoners without mental health conditions.

CEO participants primarily reside in the Bronx and Brooklyn, with a large concentration in the Bushwick and Brownsville neighborhoods. 7.1% of Bronx and 6.1% of Brooklyn residents report serious psychological distress, compared to 5.5% in NYC overall. Some of the most common self-reported health problems among Brooklyn residents are depression or anxiety, reported by 22.2% of residents. Access to services is limited for these individuals because there are not enough providers or programs to meet demand. Services are also not accessed because residents have many other pressing needs such as putting food on the table, paying bills, obtaining and maintaining employment and staying safe in a violent neighborhood. This is compounded by other environmental stressors; the stressors in Brownsville are particularly acute, with the second highest incarceration rate in the city and the highest rate of exposure to violent injury assault. Timely and effective specialized mental health services for people under parole, as proposed by CEO and

CASES, is associated with the reduced likelihood of return to prison when combined with more contacts with outpatient clinical support.

***d. Need for Mental Health Capacity-Building among CBO Staff to be Trained***

Through staff feedback on existing Motivational Interviewing training and empirical evidence of its results, CEO knows MI has facilitated greater engagement of participants, resulting in improved performance across the organization. However, without access to mental-health experts, front-line staff have limited resources for assisting participants with more specific or acute mental health needs. The addition of an LCSW to the CEO office, along with MHFA and renewed MI coaching/training, will greatly increase staff capacity to address emergent needs on a case-by-case basis. Furthermore, participants' mental health needs frequently only become apparent to CEO staff when they perform poorly on a CEO transitional job site or face difficulty keeping a full-time job placement. C2C would provide for screenings at the first stage of the CEO program, helping clients recognize and receive the mental health services they need at the beginning of their reentry process.

***e. Roles and Relationship of Partners and Frequency of Contact***

CEO and CASES are the primary partners for Connections to Care. In this partnership, CASES will provide a licensed social worker with expertise in treating CEO's justice-involved client population who will be on-site at CEO's headquarters one day each week. After screening people who enter CEO's program, the social worker will conduct private one-on-one assessment, engagement and care planning as needed and refer clients to appropriate mental health services based on the findings.

Embedding a social worker into CEO's program will ensure collaboration with front-line staff to create a continuum of care and facilitate case conferencing with CEO's job coaches. All of CEO's front line staff and managers will be trained in Motivational Interviewing and Mental Health First Aid. CEO's primary responsibility-with CASES' support-will be to increase the capacity of front-line staff to understand and recognize signs of mental health needs and substance use. CEO staff will be responsible for consulting with CASES' licensed social worker about participants whose behavioral health needs may be creating barriers to employment. Job coaches will identify individuals to discuss during case conferences as well as refer to the social worker for further assessment.

***Technical Assistance Delivery.***

CASES will provide ongoing technical assistance to CEO by conducting weekly observations of front-line staff interactions with participants and will communicate with CEO's management team during monthly project calls (or more frequently as needed to make immediate course corrections) and will provide suggestions in order to continuously improve the use of Motivational Interviewing and the skills acquired during the Mental Health First Aid training.

***Training and Skills Coaching Plan.***

- *MHFA for CEO Staff.* The onsite LCSW with backup from other CASES trained staff will conduct four Mental Health First Aid trainings for CEO staff during the first year of Connections to Care. The trainings will be conducted in groups of 20, training CEO NYC staff. In years two through five of the project, CASES will host annual MHFA trainings for any new staff who have joined the team.
- *MHFA for CEO Participants.* CASES' graduate interns will host quarterly MHFA trainings for CEO participants and their families. CEO will market these events to participants at parole offices, during CEO's Life Skills Education class and during job coaching sessions.
- *Motivational Interviewing.* CEO currently trains all staff in Motivational Interviewing using an on-staff trainer who receives support and coaching from a consultant. CEO will continue to conduct

Motivational Interviewing training for new staff, refresher sessions for current staff and training for managers who provide on-going coaching to front-line staff.

- *Coaching and Mentoring.* The CASES social worker will conduct weekly observations of front-line staff and will provide coaching to both staff and their managers on how to improve the use of the skills they gained during training.
- *Training on Screenings.* The LCSW will train CEO staff on the role and purpose of screening and how results inform the need for assessment and diagnosis. She will train staff in: administration and scoring of the K-6 and MSSSI-SA; the role of professional judgment; communicating screening results to participants; and the reliability, validity and sensitivity of the screening tools.

#### ***f. Program Management, CBO/MHP Partnership and Interactions***

The Executive Director of CEO NYC will co-host monthly conference calls with the Clinical Director from CASES. During each call, key program staff from both organizations will participate, including CASES' on-site social worker and the program management team for CEO. The following agenda items will be discussed: 1) project status against the proposed timeline, 2) implementation issues identified by front-line staff and managers, 3) progress to outcome goals, and 4) course corrections required to stay on track. CEO's program management team will host an orientation for all staff involved in the C2C project in order to clarify expectations, identify the operational pathways for connecting individuals to care and establish a culture of continuous feedback between front-line staff and management in order to quickly address emerging implementation issues.

#### ***g. Details on the Proposed Plan***

##### ***i. Number of Participants***

CEO NYC would include all newly-enrolled participants in mental health screening through C2C, expecting to screen roughly 2,000 participants a year.

##### ***ii. Service Location and Geographic Area***

This C2C program will take place at CEO NYC's office at 50 Broadway in Manhattan, a central location accessible to all participants residing across New York City's five boroughs.

##### ***iii. Target Population Estimates***

In 2013, CEO conducted an internal survey of clients on their physical and mental health, recognizing the impact of these factors on employment. Findings showed that 20% of participants reported suffering from one or more mental health-related condition. Given that CEO's client population is reflective of the broader population of individuals in the criminal justice system, this extrapolates to approximately 1,280 individuals with mental health needs annually released from the criminal justice system to NYC communities. Those with severe mental health conditions represent a smaller proportion; as noted above, data from the Center for Urban Community Services shows about 300-350 of those released (approximately 5%) to NYC have serious mental health issues.

##### ***iv. Existing Program Services and Associated Funding***

CEO will integrate C2C throughout its proven employment reentry program. Support for CEO's core program is driven by a variety of state and city agencies, as well as foundations. These include grants, earned revenue from CEO's transitional jobs enterprise, and private contributions from: NYS Department of Corrections and Community Supervision (DOCCS); Division of Criminal Justice Services (DCJS); NYC Council; NYC Criminal Justice Coordinator; NYC Housing Authority; NYC Human Resources Administration; Robin Hood Foundation; Tiger Foundation; Clark Foundation, and Gimbel Foundation among other sources.

##### ***v. Engagement Strategies***

Self-administered mental health and substance use screening tools will be built into the Life Skills Education class, which all newly-enrolled CEO participants complete before moving onto other stages of the program. A CASES licensed social worker will assist the Life Skills Instructor in proctoring the screenings and will give participants an overview of the mental health services available for them at CEO and CASES, including help navigating other external programs. The social worker may also be assisted by a second year social work intern who will be trained to introduce, explain and oversee the group self-administration screening process. The stated service goal of 2,000 participants a year includes only new participants who will receive the full suite of new services; existing participants will also be encouraged to attend the quarterly MHFA training.

*vi. Retention and Follow-Up Strategies*

To ensure participants remain engaged in CEO's program as well as the research study, CEO will conduct program implementation meetings to review the status of all participants screened and develop a case-by-case engagement strategy among key staff. For participants in the pre-placement phase of the program, CEO's Client Engagement Specialist will monitor attendance to ensure participants transition smoothly from enrollment and Life Skills Education, to the subsequent phases of transitional employment, coaching and job development services. For participants in the post-placement phase, CEO will adhere to the same protocols for follow-up as in its core program: offering monthly field visits and/or consultations from a CEO Retention Specialist (RS) to help resolve any challenges in sustaining employment. RSs will apply the skills they learn in MI and MHFA training to help participants recognize their own treatment needs and reconnect to the CASES social worker for assistance.

All individuals that have been assessed as needing treatment services but have not yet engaged in services will receive follow-up outreach from CASES' social worker and intern, who will also escort participants to services in order to facilitate treatment engagement. Outreach protocols will include telephone reminders, mailing outreach and reminder letters/cards, offering face-to-face appointments at mutually agreed locations and at times that do not interfere with work schedules. Home visits may also be offered to re-engage participants in services. The social worker will have regular contact with treatment providers serving participants and will partake in case conferences with providers, when warranted by the status and response to treatment.

*vii. Core Package of Services and Anticipated Use*

To enhance the impact of its program on employment outcomes and to better serve participants for whom mental health needs may present a barrier to employment, CEO will incorporate the C2C program into its existing program model, providing a template for other workforce development agencies serving vulnerable populations and for those providing services tailored specifically to formerly incarcerated people. The CASES Nathaniel Clinic Licensed Clinical Social Worker (LCSW) will be embedded one day per week on-site at CEO to respond to positive screening results from the universal administration of the K-6 and MSSSI-SA. Using her extensive experience in Motivational Interviewing, the LCSW will use MI techniques during the private assessment and engagement session with CEO participants who have positive screening results, indicating the need for the assessment of mental health and/or substance use intervention needs. During the assessment and engagement session, the LCSW will explain the results of the screen, complete a mental health assessment to confirm the existence of mental health and/or substance use and establish the immediate treatment, psychosocial and support needs associated with assessment findings. The LCSW will use Motivational Interviewing techniques during the session as a way of engaging participants in discussing the findings of the screening and assessment. The interview will also

include a brief intervention to ask participants their views and present options for pursuing a plan for engagement with a treatment provider, if warranted.

On-site screening, assessment and engagement services will address the reality that most individuals with substance use disorders and mental health needs do not seek treatment and must be encouraged to engage. In a national survey, reasons given for not seeking mental health treatment included inability to afford care (44%), believing the problem could be handled without care (32%), not knowing where to go for care (21%), and not having the time to go for care (15%).

The LCSW's familiarity with the extensive range of mental health and substance use treatment programs in the city, and her ability to make referrals on behalf of CEO participants informed by their clinical status, will prepare the receiving provider to be responsive and the participant to understand the nature of the services that will be delivered, reducing barriers to care.

While some participants are likely to accept the treatment recommendations following their first contact with the LCSW, her weekly presence will provide regular opportunities for the LCSW to have face-to-face or telephone check-ins and deliver brief private intervention sessions to motivate participants who are ambivalent about the suggested recommendations. Even in single encounters of 15 minutes or less, Motivational Interviewing performs significantly, with the majority of research demonstrating lasting effects using this method. The LCSW will also be available to directly consult and coach CEO case management and job coaching staff about how they can follow up assessment findings and encourage participant to engage in previously provided recommendations.

The social worker will also deliver psychoeducation to achieve improved treatment outcomes for the participant through interventions that help alleviate the concerns, lack of understanding about mental illness and associated suffering of significant others/family members. The psychoeducation will assist significant others/family members in their efforts to support their loved ones. The social worker's initial assessment will explore the dynamics and history of the familial and other social relationships to determine the participant's interpersonal and social skills. When the LCSW determines family support is necessary for the initial treatment recommendation to be successful and with the participant's consent, she will reach out to significant others/family members. The LCSW will explore with family members/significant others how cultural and family background affects decisions about mental health services and will explain 1) practical facts about mental health symptoms, treatment and causes; 2) how family and friends can support treatment engagement, progress and recovery; and 3) the need for social support and how the use of community resources can help the recovery process.

For the small number of participants who are identified with serious mental illness including psychotic disorders, the social worker will also support family members/significant others to gain access to local chapters of NAMI that exist throughout the City including NAMI's no-cost Family-to-Family 12-session educational program for family and friends of people living with mental illness.

*viii. Number of Front-Line Staff and Ratio to Service Population Size*

CEO will train 83 front-line staff and 11 managers resulting in a total of 94 staff trained.

The ratio of front-line staff to participants is 1:24.

***h. Staffing***

*i. Assumption of New Tasks by Frontline Staff*

Though case management obligations may intensify as a result of C2C program implementation, CEO staff responsibilities are expected to remain constant, given the additional staff resources from CASES (i.e. embedded social worker and interns). Added responsibilities are also offset by the positive impact anticipated on participant engagement and programmatic outcomes. Though

training and coaching in Mental Health First Aid represents an additional time commitment, it also adds to staff's client engagement 'toolkit,' enabling them to address participant needs more effectively and to identify underlying barriers to client disengagement or underperformance.

*ii. Key Staff and Experience with Mental Health Modalities/Research and Evaluation*

Key staff who will manage the C2C program include: Le'Ann Duran-Mitchell, Executive Director, CEO NYC; Mary Bedeau, Deputy Executive Director, CEO NYC; Jessica Centeno, Director of Workforce Development; Cynthia Brackett, Manager of Job Coaching; Terrence Mason, Director of Participant Onboarding and Orientation; Wayne Francis, Director of Crew Works; and Keren Abina-Sotomayor, Director of Learning and Evaluation. None of the key staff have experience identifying mental health issues or providing care.

CEO has submitted its program to rigorous research and evaluation to assess impact on various dimensions. In 2004, CEO participated in an independent 3-year random assignment research study -- conducted by MDRC and sponsored by the US Department of Health and Human Services -- the findings of which were released in 2012. The study confirmed CEO's significant impact on recidivism, and to a lesser extent, employment outcomes. In December 2013, CEO launched a Pay for Success (PFS) deal, a four-year project serving 2,000 high-risk men recently released from prison and returning home to New York City and Rochester, NY, with New York State. Built into this deal is a second random-assignment evaluation testing the impact of CEO's program on recidivism and employment. CEO's executive leadership, as well as its Learning and Evaluation team, are deeply committed to this project, partnering with a range of stakeholders to ensure data collection needs are met and that progress to goals are continuously monitored.

*iii. Professional Experience and Background of Key Staff*

Le'Ann Duran-Mitchell, Executive Director of CEO NYC, has extensive experience in the criminal justice and reentry fields. Prior to joining CEO, Le'Ann has served in leading roles at the Council of State Government's Justice Center, the National Reentry Resource Center, and Office of Offender Reentry for the Michigan Department of Corrections; Michigan Prisoner Reentry Initiative.

Mary Bedeau, Deputy Executive Director of CEO NYC, has 21 years experience at youth development within the employment and training field. Mary began her career in workforce development at Vocational Foundation Inc in 1998. Prior to her current position, she was the Director for Replication Services for the WAY Program for Children's Village in Dobbs Ferry, New York. Previously, she successfully managed a long-term follow-up and sustained labor-force management program for disadvantaged youths that earned a PepNet award.

Jessica Centeno, Director of Workforce Development, has been with CEO for seven years. She began her CEO career as a job developer, securing over 90 job placements for formerly incarcerated individuals before her promotion to Director in 2010. In her current role, Jessica manages CEO's job coaching and business relations units, ensuring the department meets contractual outcomes.

Cynthia Brackett, Manager of Job Coaching, has worked with formerly incarcerated individuals since joining CEO in 2010. Cynthia is responsible for training newly hired job coaches, as well as providing ongoing support for training in Conflict Management, Motivational Interviewing and Case Management. Additionally, she reviews and tracks job coaching data to ensure contractual outcomes and yearly organizational goals are met, implementing corrective action plans when needed.

Terrence Mason, Director of Onboarding and Orientation, has an extensive 15-year history at CEO. In his current role, Terrence oversees participant enrollment and Life Skills Education. Terrence also

serves as the main contact for CEO's partnership with Single Stop, which has allowed CEO to integrate Single Stop's Benefits Enrollment Network into the onboarding process.

Wayne Francis, Director of Crew Works, came to CEO in 2015 with 20 years of supervisory, program management, workforce development, strategic planning and team culture/diversity experience. Most recently, Wayne was the Managing Director for Strategy and Operations at Teach for America and served as the Interim Executive Director of the Boys & Girls Club of Harlem.

Keren Abina-Sotomayor, Director of Learning and Evaluation, has 16 years of experience in research and evaluation in a wide range of fields. Keren has overseen CEO's Salesforce performance management system since joining the organization in March 2015. For the previous five years, she served as Senior Director for Program Planning, Evaluation and Program Improvement at FECS, where she managed program evaluation and data analysis.

*iv. Senior Level Commitment and Staff Buy-In*

The Executive Director for CEO NYC will lead the C2C project for CEO. Although CEO does not have experience providing participants direct access to care, CEO staff have long recognized the value mental health support and treatment has for stabilizing participants in the reentry process and reducing barriers to employment. Demonstrating staff buy-in and commitment to this effort, CEO's front-line staff have actively requested additional skills training to improve the quality of their interactions with participants, and have expressed a desire to offer participants a more meaningful link to partner agencies than a phone-based referral can provide.

*v. Executive Role in Developing, Implementing and Overseeing the C2C Program at CEO*

The Executive Director of CEO NYC will host monthly planning and implementation calls with the lead project staff from CEO and CASES. During each call the project partners will prepare for upcoming staff trainings, review project performance indicators (number of screenings completed, number of referrals made, etc.) and receive a report from CASES and CEO managers on the status of the quality assurance monitoring and coaching of front-line staff following Motivational Interviewing and Mental Health First Aid trainings. The Deputy Executive Director will oversee the day-to-day operations of the initiative and will include an update on implementation activities as part of her weekly performance monitoring report.

***i. Location, Frequency & Confidentiality of Services Delivered at CEO***

The C2C social worker will proctor the self-administered mental health screenings in the Life Skills Education classroom. Life Skills is a 5-day class, lasting six hours each day. One hour of each Life Skills course will be facilitated by the social worker and devoted to increasing participants' awareness of mental health and substance use as well as conducting two self-administered screenings, the Modified Simple Screening Instrument for Substance Abuse (MSSI-SA) and the K6 Screening Scale. Participants will take the screenings individually on electronic tablets, up to 10 at a time, with assistance from the social worker as needed.

Results of the digital screenings will be integrated into CEO's case management system, Salesforce, with appropriate privacy restrictions as part of the client's record to inform care planning. CEO will provide a private interview room for one-to-one meetings between the social worker and participants, ensuring that they can review screening results and discuss care plans in confidentiality.

***j. CBO/MHP Emergency Protocols and Cases Involving Reportable Information***

All professionals working in the CASES clinic, as well as the CASES social worker who will be on-site at CEO, are mandated reporters and are required to report suspected child abuse to the New

York State Central Register of Child Abuse and Maltreatment. Per CASES policy, all personnel, including volunteers, who may become aware of incidents of child abuse or neglect in the course of their work are trained in detection of abuse and neglect and in the steps necessary to comply with this reporting policy. Additionally, CEO is required by their contract with DOCCS to report any individuals who might be a threat to themselves or others. CEO staff have received training on how to report any incident or foreseeable emergency to DOCCS and managers are responsible for ensuring this occurs without exception.

### ***k. Services Offered On-Site vs. Off-Site Referrals and External Engagement***

Mental health screenings and MHFA will be provided at CEO's downtown Manhattan office. The on-site licensed social worker will also provide participants with more detailed one-on-one mental health assessments and care plans as elected. CASES will deliver treatment of specific mental health needs and interventions (e.g. psychiatric care) at its Nathaniel Clinic location at 2090 Adam Clayton Powell, Jr. Blvd. at 125th St. in Harlem. The C2C social worker will facilitate this transition. Working one day a week at CEO and four days a week at the CASES clinic, the C2C social worker will provide consistency for participants, helping address their needs at either end of the transition process. Since CEO clients come from across the city, the social worker will also help connect to clinics or mental health providers in their communities and will prioritize referral relationships with providers in the Bronx and Brooklyn, where a large share of CEO participants reside.

If chosen to participate in the C2C program, CEO will update security protocols to be HIPPA compliant, including signing business associate agreements with Google Apps and Salesforce to ensure the privacy of the data running through these platforms. Furthermore, CEO's Learning and Evaluation team will ensure that all personal health information (PHI) in the Salesforce database is available only to the relevant staff by managing security settings. CASES already has a HIPPA-compliant Salesforce system. To ensure continued compliance, CEO and CASES will provide their respective staffs with full and constant training on HIPPA practices.

In the case of external referrals to CASES or another mental health provider, CEO and CASES will first obtain and process an Authorization for Release of Information Form OMH 11(4-03) signed by the participant for each agency. CEO will make all reasonable efforts to ensure that the minimum amount of PHI necessary to fulfill the intended purpose is used or disclosed.

### ***l. Anticipated Impact and Strategy***

#### ***i. Goals and Rationale for Improvement in Ongoing Performance Areas.***

#### ***Performance Measure: Number of screenings conducted.***

***Goal:*** 10,000 screenings over five years.

***Monitoring Plan:*** CEO will track the number of screenings conducted each month to ensure the organization manages to its annual screening goals.

- Year 1: 181 screenings each month resulting in 2,000 screenings in year one.
- Years 2-5: To be determined based on Year 1 baseline data.

#### ***Performance Measure: Percentage of CEO staff trained.***

***Goal:*** 100% of CEO staff trained in Motivational Interviewing and Mental Health First Aid.

***Monitoring Plan:*** CEO will track training attendance in order to ensure 100% of CEO front-line staff are trained in Motivational Interviewing and Mental Health First Aid.

#### ***Performance Measure: Increase in participant job placements.***

***Goal:*** CEO will aim to achieve a 5% increase in unsubsidized job placements due to increased behavioral health stability.



*Monitoring Plan:* CEO currently expects to achieve 980 job placements each year based on 2,000 annual program enrollments. CEO will follow its current placement monitoring protocol (e.g. only counting placements if they can be independently verified through a paystub, an employer verification letter, or by a parole officer) and will track outcomes to determine whether placements increase 5% to at least 1,029 each year.

*ii. Goals and Rationale for Mental Health Service Access and Improvement.*

CEO has set a goal of screening 2,000 participants each year and has established a clear connection to care by embedding an on-site social worker from CASES to link participants who screen as likely to need support or treatment to appropriate care. CEO does not currently screen for mental health issues or substance use disorders, making it difficult to project the number of people who will need care or the number of people who will access care as a result of this project. Of recent CEO participants, approximately 10% had indications within their Parole service plan of previous mental health treatment. Based on this rate, CEO and CASES project the following performance goals with the expectation that we will use Year 1 of the project to determine a baseline for the following measures and goals in Years 2-5.

***Performance Measure: Number of participants screened as likely to need care who receive follow-up contact from the CASES social worker.***

*Goal:* 180

*Monitoring Plan:* CASES and CEO will jointly track how many people screen as likely to need care. We project that approximately 10% (200) of the 2,000 participants to be screened will flag as likely to need care, and that the CASES social worker will follow up with at least 90% (180). The CASES social worker will document all contact with CEO participants, allowing CEO and CASES to track the proportion of people who need care and receive a follow-up contact.

***Performance Measure: Number referred for assessment/treatment post-screening.***

*Goal:* 90

*Monitoring Plan:* We project that approximately 40-50% of participants will be referred for further assessment and/or treatment following screening in Life Skills Education class. CASES will report on all CEO participants who are referred for further assessment. CASES will also prepare a report on the number of people referred who actually access treatment.

***Performance Measure: Number of participants referred to CASES' social worker by job coaches or other front line staff and receive follow-up contact.***

*Goal:* 40

*Monitoring Plan:* We project that some clients who do not screen as likely to need treatment immediately following assessment will be later referred to the LCSW by CEO's job coaches or other front-line staff. We are tentatively projecting that 3-5 clients per month will be referred to the CASES LCSW via this path, with the LCSW following up with at least 90% of these clients. CEO staff will document all referrals to the CASES' social worker and as noted above the CASES social worker will document all contact with CEO participants in order develop a baseline and a goal for the number of referrals made and the proportion of clients receiving follow-up.

*iii. Goals and Rationale for Improved Outcomes for the Service Population.*

As noted above, CEO will aim to achieve a 5% increase in the number of job placements due to increased behavioral health stability. CEO will also monitor the *time to placement* to determine if improved mental health outcomes result in participants acquiring employment earlier in the program, as well as *job retention rates* to assess whether these interventions have an effect on sustained workforce engagement and advancement. CEO will also compare the employment outcomes of

participants who: 1) were screened in need of care, 2) participated in a MHFA training, 3) received a follow-up contact from the CASES social worker, and 4) were referred to CASES for additional assessment and/or treatment. Tracking and comparing these metrics will provide critical insight into the link between access to care and employment outcomes.

***m. Utilizing Performance Data in Partnership***

CEO has a track record of implementing data-driven programmatic decisions. CEO management and staff continually monitor performance, specifically focusing on key indicators of success: program enrollment, job placement, average placement wages and job retention rates at 6- and 12-months post-placement. CEO also tracks a range of other metrics to measure participant engagement and to assess implementation of the program, ensuring effective service delivery. All participant and program-related data is aggregated and displayed on a set of dashboards in our Salesforce data management system. CEO will customize Salesforce dashboards to monitor C2C performance outcomes and discuss the efficacy of underlying protocols. In regular meetings, CEO and CASES will use this data to discuss challenges and identify potential solutions related to program delivery, the results of which will be analyzed in subsequent meetings.

***n. Utilizing Feedback***

CEO recently began an initiative to collect participant feedback as an added layer of data for program assessment and performance management. Through this ‘Constituent Voice’ initiative, CEO systematically collects participant satisfaction data at key program intervals via SMS surveys and holds in-person focus groups with participants. This practice will extend to the C2C program. By routinely sharing feedback results with participants and responding to their concerns as we implement C2C, CEO will create a strong culture of communication and trust. CEO also regularly holds information and feedback sessions with front-line staff and managers, which are used to share key lessons from participant feedback and allow front-line staff to contribute their own feedback. CEO has already begun using feedback mechanisms to improve program operations.

***o. Timeline and Work Plan for Program Start-Up and Implementation***

Each month, the project leadership team will talk to discuss timeline, implementation issues, performance measures and course corrections required to stay on track.

**Month 1. Schedule Motivational Interviewing and Mental Health First Aid trainings.**

- *Motivational Interviewing.* CEO currently trains all staff in Motivational Interviewing. All staff hired after the C2C project begins will be trained by CEO’s MI trainer as part of onboarding.
- *Mental Health First Aid.* CASES will train all CEO NYC staff in Mental Health First Aid. The first training will be provided to key C2C staff within the first month of the project. All CEO staff will be trained within the first nine months of the project start date. Ongoing trainings will be held as needed for new staff.
- *Mental Health and Substance Use Disorder Screenings.* CASES will also train CEO’s Life Skills Instructors on the two screenings that will be self-administered during CEO’s five-day Life Skills course. Although the social worker will be proctoring the administration of the screenings during the class, it will be important for instructors to understand the screenings and be able to answer any questions that may arise throughout the Life Skills class.
- *Project Team Orientation.* The C2C management team from CASES and CEO will host an orientation for all staff involved in the project to ensure expectations are clear and to outline how front-line staff will interact with CASES’ on-site social worker.

**Month 2. Begin Mental Health Screenings during Life Skills Education.**

- Starting in Month 2, the CASES social worker will begin spending one day each week at CEO's NYC headquarters. During that work day, the social worker will have three core responsibilities: 1) Proctor the administration of two screening instruments during Life Skills for all new CEO participants. CEO hosts three LSE classes each day and the social worker will spend an hour with each class providing education on mental health awareness and substance use and facilitating the screenings. 2) Conduct care planning with interested participants in need of further mental health or substance use care. 3) Coach CEO front-line staff in the use of Mental Health First Aid and Motivational Interviewing skills.
- CEO's Outreach Specialists, who work in each parole bureau, will begin marketing the availability of Mental Health First Aid training to people under parole supervision. Job coaches will also promote the offering of the MHFA training to current CEO participants.

### **Month 3. Mental Health First Aid training for CEO participants.**

- The first MHFA training for participants will be offered during Month 3 of the project. MHFA training will be offered quarterly.

### **PROJECT IMPLEMENTATION ACTIVITIES.**

***Weekly Activities.*** Screening for mental health and substance use disorders. Providing a basic education in mental health and substance use awareness. Coaching CEO staff in the use of Motivational Interviewing and Mental Health First Aid. Case conferences between the CASES' social worker and CEO job coaches. One-on-one care planning sessions between CEO participants and CASES' on-site social worker resulting in referrals for care as needed.

***-Monthly Activities.*** Project leadership calls with CEO NYC's Executive Director, CASES' Clinic Director and key members of the project team. Reviewing project performance metrics.

***-Quarterly Activities.*** Training CEO staff, CEO participants and participants' families in MHFA.

***-Annual Activities.*** Training all new hires in Motivational Interviewing and MHFA.

### **CHALLENGES AND SOLUTIONS.**

***-Using technology to administer screenings.*** Although CEO currently uses smartphone and tablet-based technology to engage participants, CEO has not used this approach to administer clinical screenings. CEO will monitor the use of this technology to ensure it is enhancing participants' access to screenings and will develop alternative methods to conduct the screenings if the tablet interface is interfering with the participant experience.

***-Coaching front-line staff to use MI and MHFA skills.*** The current project plan tasks CASES' social worker with providing weekly coaching to CEO front-line staff. Front-line staff may require more coaching or may have questions on days when the social worker is not on-site. If more coaching is needed, the project leadership team will identify solutions such as providing additional training for CEO managers to strengthen their coaching abilities, providing front-line staff with on-demand phone access to CASES clinicians, etc.

#### ***p. Activities the Partnership will Undertake to Support Evaluation Activities***

CEO will continue to use Salesforce to monitor a variety of metrics as described above. In addition to our normal program outcomes, C2C performance indicators will include: number of mental health screenings, referrals to the on-site CASES social worker and externally to CASES' Nathaniel Clinic and other appropriate community providers, completed referrals to CASES' Nathaniel Clinic and other providers, and staff/participants trained in MHFA. Le'Ann Duran-Mitchell, Executive Director of CEO NYC, and Keren Abina-Sotomayor, CEO's Director of Learning and Evaluation, along with their counterparts at CASES will serve as points of contact for C2C evaluators.

***q. Total Service Population and Potential Comparison Group Composition and Size***

While this proposal is limited to CEO's New York City flagship program site, CEO also serves a similar population of unemployed, justice-involved adults ages 18+ at ten smaller service sites across the country: Albany, Binghamton and Rochester in Upstate New York; Oakland, San Bernardino and San Diego in California; Oklahoma City and Tulsa in Oklahoma; and Philadelphia in Pennsylvania. Taken together, the total client population outside of CEO's NYC office is approximately 2,000. CEO keeps extensive data on client demographics and outcomes using the same Salesforce platform across all sites, which could facilitate comparisons.