

**Getting Started: A Guide for Centering Equity in Financial Sustainability Planning**

*Maximize Federal Funding to Sustain Local Criminal Justice-Behavioral Health**Efforts*

***Planning Guide***

**Updated May 2022**

**The Issue**

Across the country, local communities are coming together to reduce jail populations. Often, these interagency collaboratives focus on reducing the number of people with mental illnesses or substance use disorders in jails by creating early intervention and diversion to community-based care. There are many aspects of sustaining these efforts over time, including strategic communications, leadership, and partnerships. However, given that initiatives often struggle to maintain funding after initial investment, this guide focuses on another important aspect of sustainability—identifying and securing long-term funding.

**How This Guide Can Help**

Your local initiative can use this **Planning Guide** to identify measurable goals and align potential funding to achieve these goals. Designed to prompt structured cross-agency conversations that will support financial sustainability planning with an eye toward addressing inequities in health and justice, the guide contains a variety of exercises with prompts, charts, and yes-or-no questions.

As communities work to plan and implement early diversion, reentry, and other initiatives to reduce the number of people with mental illness and substance use disorders in their jail, many are also thinking about how these same efforts can address racial inequities. Recognizing that Black, Indigenous, and People of Color (BIPOC) communities are often underserved by behavioral health systems yet overrepresented in local jails, addressing systemic inequities is critical to the success of both reducing jail populations and promoting community health.[[1]](#footnote-2) Indeed, Black people are considerably more likely to be incarcerated than White people, and once people of color are incarcerated, they are less likely to be connected to treatment than incarcerated White people.[[2]](#footnote-3)

Addressing these systemic inequities should be a key part of initiatives and reforms that span the criminal justice and behavioral health systems. Intentional efforts to reduce racial disparities can not only increase public safety by promoting trust in these systems, but also prevent the pitfalls of “race neutral” strategies that may even exacerbate existing racial disparities.[[3]](#footnote-4)

Leaders and community-based providers within BIPOC communities have information and ideas about how to address the needs of the community but often lack resources and access to decision-making power. Intentional investments in these communities—ranging from specific racial equity grants to inclusive contracting and procurement processes by local government[[4]](#footnote-5)—can lead to equitable solutions. To this end, this guide includes exercises that encourage you to examine how your sustainability plans for criminal justice-behavioral health initiatives—including interventions, policies, and funding decisions—are informed by and affect BIPOC communities and communities with disproportionate rates of criminal justice contact.

**Planning Guide Organization**

This **Planning Guide** is divided into seven sections:

1. Initiative Overview: Designing a Sustainable and Racially Equitable Initiative
2. Developing a Racially Inclusive Sustainability Committee
3. Prioritizing Strategies to Demonstrate Impact
4. Determining Budget Needs
5. Identifying Existing Resources
6. Maximizing Funding Resources
7. Executive Summary Template

**When to Use the Guide**

This guide can be used during the initial stages of planning a new project or sustaining existing projects. Depending on where you are in your planning/sustaining process, not all of the questions may be applicable. This document is intended to assist in the planning process; therefore, it is meant to be a dynamic document to revisit as you progress through the process. One person is not expected to be able to answer every question. The completion of this guide will most likely involve a collaborative group including executive staff, budget staff, and program staff.

**Additional Resources**

In addition to this **Planning Guide**, *Getting Started: A Guidebook for Centering Equity in Financial Sustainability Planning* also includes an **Investment Calculation Workbook**, a series of worksheets that help you build a three-year funding plan.

Once you know what’s necessary to fund the future of your initiative, use the [*Find a Federal Funding Opportunity*](https://csgjusticecenter.org/resources/funding/federal-opportunities/) online database to pinpoint federal funding sources to support your needs.

Together, these resources comprise [*Financing the Future of Local Initiatives*](https://csgjusticecenter.org/resources/funding/), a set of tools designed to position you to identify funding sources and make the case to potential funders about the relationship between funding requests and anticipated outcomes.

**KEY CONCEPTS**

This guide is rooted in the following concepts: “equity,” “racial equity,” and use of a “racial equity lens.” Note that many community members have multiple social and political identities, suggesting the need for an “intersectional” lens as well (see definition below). For this guide, the definitions of these terms are as follows:

* **EQUITY**: “The fair treatment, access, opportunity, and advancement for all people, while at the same time striving to identify and eliminate barriers that have prevented the full participation of some groups.”[[5]](#footnote-6)
* **RACIAL EQUITY**: “The condition that would be achieved if one’s racial identity no longer predicted, in a statistical sense, how one fares” in society.[[6]](#footnote-7)
* **RACIAL EQUITY LENS**: A lens that sheds light on racial dynamics that shape social, economic, and political structures. Using a racial equity lens means analyzing data and information about race and ethnicity, understanding disparities and the reasons they exist, looking at the structural root causes of problems, and naming race explicitly when talking about problems and solutions.[[7]](#footnote-8)
* **INTERSECTIONALITY**: The interconnected nature of social categorizations such as race, ethnicity, class, sexual orientation, immigration status, and gender as they apply to a given individual or group. This concept is regarded as creating overlapping and interdependent systems of discrimination or disadvantage.[[8]](#footnote-9)

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1. Initiative Overview: Designing a Sustainable and Racially Equitable Initiative

***Section Tips:***

* Clarifying what your jurisdiction seeks to achieve through your initiative will help you identify relevant funding, develop the appropriate sustainability committee, bring the funding to scale, and sustain it over time.
* In this section, you will identify your initiative’s core framework, including its vision, mission, and goals; how the initiative addresses racial equity; and the initiative’s program and policy components. Throughout this guide and the accompanying **Investment Calculation Workbook**, you will reference the goals and program and policy components to complete additional activities.

1. What is the initiative you are aiming to sustain?
2. Does this initiative advance specific policies that could help produce more racially equitable outcomes—e.g., policies that address root causes of disparities or effect systemic change?[[9]](#footnote-10)

☐ Yes *(Briefly describe how the initiative does this and who was involved in the policy review.)*

☐ No *(Consider the impact specific policies could have on the initiative to produce racially equitable outcomes and who might be able to support the process of advancing such policies.)*

1. Are there any geographic areas or communities defined by race, ethnicity, gender identity, sexual orientation, immigration status, or personal experience that your initiative seeks to serve?

Yes *(Briefly describe the communities the initiative seeks to serve.)*

No

1. Is this initiative part of a larger or preexisting effort in your jurisdiction that is designed to respond to people in the criminal justice system who have behavioral health needs? For example, a larger or preexisting effort might include a [Stepping Up](https://stepuptogether.org/) strategy, a plan developed through a justice and mental health or behavioral health task force, or an equity and social justice strategic plan.[[10]](#footnote-11)

Yes *(Describe how the initiative fits into this effort and whether the effort is specifically designed to promote racial equity for the criminal justice system population that has behavioral health needs.)*

No

1. If you answered “yes” to question 4 above, does your initiative leverage resources (money, staff, or in-kind supports such as meeting space) from the larger or preexisting effort?

☐ Yes *(Describe how.)*

☐ No *(Consider whether there are partners that might be interested in supplying resources to support this initiative or how you could work together to achieve a common goal.)*

1. Use the following exercise to document the vision, mission, goals, and program and policy components of the initiative. Later in the guide, you will be prompted to identify a specific set of strategies attached to each goal.

|  |
| --- |
| What is the vision of the initiative (i.e., what are the initiative’s aspirations)? |
| Example: We envision a community where behavioral health treatment is available and accessible to everyone. |
| What is the mission of the initiative (i.e., what are the guiding values and principles of the initiative)? |
| Example: To reduce criminal justice system involvement among people with behavioral health needs and increase care and services for populations that are disproportionately impacted by the criminal justice system. |
| What are the goals of the initiative (i.e., what will the initiative accomplish)? You will use these goals again in Section 3 and attach each of them to a set of strategies that can be used to demonstrate the impact of your initiative. |
| Example: Reduce the number of people with mental illnesses booked into the jail from neighborhoods disproportionately impacted by the criminal justice system. |
| What are the program and policy components that make up your initiative (e.g., crisis intervention team, early appointment of counsel, specialized caseloads, peer mentors, etc.)? Consider how suggestions from community members and components that address racial equity issues, such as community reinvestment, are also incorporated into your initiative. The program and policy components of your initiative should be in service of one or more of the goals you listed above. You will use these program and policy components throughout the Planning Guide and Investment Calculation Workbook. |
| Examples:  1. Develop plans for a community resource center in an underserved part of the jurisdiction where law enforcement can take people in crisis and/or who need behavioral health treatment, housing, or other social service supports as an alternative to taking people to jail or the emergency department.  2. Provide crisis intervention team training to all law enforcement personnel.  3. Determine a set of low-level charges that can be better handled via citation rather than jail booking and train law enforcement on when to cite and release.  4. Increase capacity at mental health urgent care and sobering centers by 50 percent. |

1. Use the following exercise to identify the driving forces and potential impacts for each of your program and policy components. This exercise will help you see whether your program and policy components balance the interests and priorities of government agencies and the community, as well as whether and how each component incorporates a racial equity focus. Refer to this chart as you complete the guide to ensure that financial decisions fulfill the needs of the community. Copy and paste the program and policy components listed in the exercise above to populate the first column in this chart.

|  |  |  |  |
| --- | --- | --- | --- |
| Program/Policy Component | Which Stakeholder/Agency Primarily Informs, Drives, and Implements This Component? | Who Benefits Most from the Program/Policy? | Racial Equity Focus? |
| Example: Develop plans for a community resource center where law enforcement can take people in crisis and/or who need behavioral health treatment, housing, or other social service supports as an alternative to taking people to jail or the emergency department. | Behavioral health agency and community members, in partnership with law enforcement | Community members who have behavioral health needs | Yes *(How?)* The community resource center will reduce avoidable contact with the criminal justice system, with intentional planning to ensure that this diversion opportunity is accessible to BIPOC communities.  No |
| Example: Provide crisis intervention team training to all law enforcement personnel. | Law enforcement | People in contact with law enforcement | Yes *(How?)* The crisis intervention team training will include coverage of antiracist practice.  No |
|  |  |  | Yes *(How?)*  No |
|  |  |  | Yes *(How?)*  No |
|  |  |  | Yes *(How?)*  No |
|  |  |  | Yes *(How?)*  No |

2. Developing a Racially Inclusive Sustainability Committee

***Section Tips:***

* A sustainability committee is a group of people representing various perspectives who are invested in the long-term financial health of the initiative. It is critical for the committee to include impacted populations and diverse voices; absent their involvement, initiatives—and their related budgets—are in danger of reflecting the priorities of government agencies rather than the actual needs of the populations they serve.[[11]](#footnote-12)
* This committee provides strategic oversight of the initiative budget and drives efforts to secure future funding.
* Considering the various roles the committee needs to be successful will help you staff the committee in a meaningful way.
* The sustainability committee could source roles and stakeholders from existing initiative planning and implementation committees, as these members might be strongly positioned to create sustainability plans as a result of their involvement in operating the initiative as a whole.
* Use *Appendix A. Acknowledgment and Signature Page* to capture the sustainability committee’s dedication and efforts.

1. Is a sustainability committee in place?

Yes

No *(Briefly describe your plan to establish a sustainability committee.)*

1. Using the chart below, identify current or potential sustainability committee members and provide a short summary of each member’s intended role or contribution (e.g., public championing, evaluation, grant writing, budgeting, fund development, strategic communications, community perspective, experience with the criminal justice system and/or behavioral health conditions, business networking, government relations, etc.). Representatives from relevant county and/or municipal budget offices should be included in this list.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Member Name | Agency Name  (if applicable) | Email Address | Intended Role/Contribution | Current or Potential Member? |
| Example: Sheriff Jones | Mayfield County Sheriff’s Department | Sheriff@Mayfield.gov | Champion of the program | Current  Potential |
| Example: Jane Doe | National Alliance on Mental Illness | JaneDoe@NAMI.org | Community perspective, experience with behavioral health conditions | Current  Potential |
|  |  |  |  | Current  Potential |
|  |  |  |  | Current  Potential |
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|  |  |  |  | Current  Potential |
|  |  |  |  | Current  Potential |

1. Does/will the racial and ethnic makeup of the committee reflect that of the people who will be served by the initiative?

Yes *(Indicate the racial and ethnic makeup of the committee as compared to the population to be served by the initiative.)*

No *(Describe how you will ensure that the sustainability committee membership reflects the racial and ethnic makeup of the population served going forward and how the committee will ensure those perspectives will be represented.)*

1. How often does/will the sustainability committee meet?
2. Who does/will coordinate the sustainability committee’s meeting schedules, agendas, and logistics?
3. Have committee members received/will they receive a structural racism or racial equity training?

Yes *(List the trainings committee members have received.)*

No *(Consider options for committee members to receive these trainings, such as providing a group training or informing the committee members of training opportunities.)*

1. Are committee meetings and information related to the initiative accessible for committee members, or will they be? For instance, consider the day of the week and time of day meetings are scheduled, the meeting venue, and committee members’ access to reliable internet to obtain relevant online resources.

Yes *(Describe.)*

No *(Consider changes to the meetings and distribution of information to ensure that they are as inclusive as possible.)*

1. How do/will you ensure that community members on the committee are involved in the committee’s decision-making processes?
2. How does/will the sustainability committee share information about its operations with other stakeholders and the public in a way that is accessible to various audiences?
   * 1. Prioritizing Strategies to Demonstrate Impact

***Section Tips:***

* To obtain additional grant funding and advocate for the use of tax dollars, you need to be able to demonstrate that the initiative is making a difference.
  + To do this, it is imperative to identify strategies that demonstrate impact—i.e., discrete efforts that show the initiative’s effectiveness either quantitatively or qualitatively.
  + These strategies should be in service of the goals and program and policy components you listed in Section 1.
  + For example, the national Stepping Up initiative focuses on reducing the number of people with mental illnesses in jail by encouraging counties to implement strategies that will have a measurable impact on at least one of the following four goals:
    - Goal 1: Reduce the number of people with mental illnesses and co-occurring substance use disorders booked into jail.
    - Goal 2: Reduce their average length of stay in jail.
    - Goal 3: Increase their connections to care upon release from jail.
    - Goal 4: Reduce their recidivism rates.[[12]](#footnote-13)
  + You can also use data to understand how your initiative is advancing racial equity.[[13]](#footnote-14) This includes examining who has access to programming offered through the initiative and their outcomes. Begin by disaggregating all data collected by race and ethnicity. Consider further disaggregating by gender identity, sexual orientation, language of choice, and immigration status, if data are available. For instance, explore the lengths of jail stay by severity of charge and racial or ethnic group.[[14]](#footnote-15) If data are not disaggregated by race and ethnicity, form a plan to collect and analyze these data.
  + It is also important to gather information on whether community members are truly benefiting from the initiative. For example, do you have data demonstrating satisfaction with the initiative from program participants, family members, community members, and frontline staff? Is there a clear complaints process to understand why people may be dissatisfied with the initiative?
  + To answer the questions in this section and conduct analyses that demonstrate your initiative’s impact, you may need to collect data from a number of different sources, including government agencies, community members, impacted populations, community-based organizations, and others.
  + For ease in completing this section, copy and paste the goals and program and policy components you identified in Section 1 in the table below, with one goal or component per line. Note that you may have more goals than program or policy components or vice versa.

|  |  |  |  |
| --- | --- | --- | --- |
| **Your Initiative’s Goals** |  | **Your Initiative’s Program and Policy Components** | **Do You Have Data Demonstrating that This Component Impacts Your Goals?** |
| Example: Reduce the number of people with mental illnesses booked into the jail from neighborhoods disproportionately impacted by the criminal justice system. | Example: Provide crisis intervention team training to all law enforcement personnel. | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |

1. For the program and policy components for which you checked “yes” above, insert links to reports or other research that shows these components are effective, such as links to the [Stepping Up Strategy Lab](https://lab.stepuptogether.org/database/results/), studies, etc.
2. For the program and policy components for which you checked “no” above,explain how you will obtain data or set other interim or process measures to demonstrate effectiveness.
3. Use the worksheet below to identify your initiative’s specific strategies to demonstrate impact. To complete this worksheet, you will use the goals and program and policy components identified in Section 1 and listed in the table above.

* To begin, list each of your initiative’s goals in the first column labeled “Goal.”
* Then, consider what strategies you will use to reach each goal, setting specific targets that will allow you to gauge the impact of the initiative. List each strategy individually in the “Strategies to Demonstrate Impact” column, with at least 2–3 strategies per goal. This is a critical step in financial sustainability planning, as it ensures that you are strongly positioned to communicate your initiative’s impact to potential funders.
* For each data-driven strategy you list, identify the program or policy component through which the strategy will be implemented. Add this information in the last column, “Program/Policy Component.” Once complete, cross-reference this table with your initiative’s list of goals and program and policy components (see Section Tips above) to ensure that each goal and program/policy component is tied to a specific data-driven strategy.
* To update this information periodically as your initiative evolves, use *Appendix B: Tracking Goals and Strategies over Time.*
* Refer to the example worksheet below, which uses the Stepping Up goals and related strategies.

| Example Goal | Program/Policy Component (Shorthand) | Example Strategies to Demonstrate Impact |
| --- | --- | --- |
| Goal 1: Reduce the number of people with mental illnesses booked into jail from neighborhoods disproportionately impacted by the criminal justice system. | Community Resource Center Planning | Analyze booking data by race, ethnicity, and geographic location (home address) to identify whether certain groups are booked at higher rates within the local jurisdiction. |
| Crisis Stabilization Unit/Team | Increase crisis services 20 percent by hiring 3 more triage staff from neighborhoods with high rates of crisis calls or arrests related to behavioral health crises. |
| Citation/Arrest Reform | Train 100 law enforcement officers on when to cite and release in precincts that have disproportionately high rates of arrest. |
| Crisis Intervention Team Training | Train 100 law enforcement personnel on crisis intervention and antiracist practice, with a focus on personnel working in neighborhoods with high arrest rates. |
| Goal 2:  Reduce their average length of stay in jail. | Jail Reform | Explore average length of stay data by severity of charges and mental health diagnosis and disaggregate data by race and ethnicity to identify potential disparities. |
| Jail Reform | Train 50 providers and booking staff in structural competency,[[15]](#footnote-16) cultural humility,[[16]](#footnote-17) and antiracist[[17]](#footnote-18) practice. |
| Jail-Based Screening Tool | Screen 90 percent of all people booked into jail by implementing a mental health screening process at booking and training all sworn and non-sworn booking staff to use the screening tool in a culturally valid manner and collect key race and ethnicity demographic data. |
| Pretrial Services | Increase capacity of the pretrial release program 60 percent by hiring 4 case managers from historically marginalized communities overrepresented in the criminal justice system. |
| Goal 3:  Increase their connections to care upon release from jail. | Information Sharing | Develop data infrastructure that can integrate electronic health records into county health records. |
| Outpatient Services (Mental Health and/or Substance Use Disorder) | Enroll 90 percent of eligible people in Medicaid upon release by developing a prerelease enrollment process. |
| Community Partnerships | Identify at least 4 community-based organizations to explore partnerships with to meet the needs of people leaving jail. |
| Training | Hire and train 3 case managers with firsthand criminal justice system contact to work in the jail. |
| Goal 4:  Reduce their recidivism rates. | Jail Reform | Explore recidivism data by race and ethnicity to examine processes and practices that may negatively impact certain groups. |
| Jail Reform | Enroll 90 percent of eligible people in cash assistance, Supplemental Nutrition Assistance Program (SNAP), and other local, state, and federal benefits before release. |
| Housing Navigators | Contract for 2 additional housing case managers and increase permanent supportive housing capacity by 40 percent. |
| Peer Mentors | Hire and train 10 peer mentors. |

Following the example above, identify your initiative’s goals and the strategies you are using to impact them.

| Goal | Program/Policy Component (Shorthand) | Strategies to Demonstrate Impact |
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| Goal 1: |  |  |
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| Goal 8: |  |  |
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1. Use the table below to identify the data points relevant to your initiative and the stakeholders involved in capturing and reporting the data. You will likely need to collect both system-level (e.g., overall prevalence of serious mental illness in the local jail) and individual-level (e.g., jail-based treatment completion) data from various criminal justice partners, behavioral health providers, and community members to demonstrate that your initiative is having an impact on its goals. If you don’t have data to collect yet, consider including process measures that can demonstrate progress. Additionally, consider what financial and operational data points are needed. Note that some data points might require information from multiple stakeholders, and some of these stakeholders might be individuals identified to participate in the sustainability committee.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Data Points | Data Source or Stakeholder(s) | Data Available to Sustainability Committee? | Public or Private Data? | Reporting Frequency |
| Example: Number of law enforcement drop-offs to community resource center | Law enforcement agency | Yes | Private | Quarterly |
| Example: Number of referrals to community resource center by community-based organizations (CBOs) | CBOs | Yes | Private | Ad Hoc |
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1. How are race and ethnicity captured and reported in these sources (e.g., self-report, prompts, etc.)?
2. Do you regularly review data to examine racial inequities?[[18]](#footnote-19)

Yes

No *(Describe potential plans to review these data moving forward.)*

* + 1. Determining Budget Needs

***Section Tips:***

* Use these questions to think through key costs over time before you begin calculations to develop a funding plan.
* These questions are also intended to start a conversation about how much of your budget is invested in communities that are disproportionately impacted by the criminal justice system.
* The questions also touch on critical elements the initiative can promote to build strong relationships with community-based providers.

1. What is the current annual cost of your initiative?
2. Using the chart below, identify the general costs associated with the different program and policy components of your initiative (e.g., staff salaries and benefits, administrative costs, infrastructure, program supplies, etc.) as well as anticipated costs over the next three fiscal years.

As you complete this chart, consider what dollar amount and percentage of your budget supports programs or services designed to advance racial equity, such as what percentage of your budget will be invested directly in communities disproportionately impacted by the criminal justice system (and/or underserved by behavioral health systems). Also consider whether there are expenses required to build additional capacity among community-based organizations to accomplish the initiative’s goals.

* If helpful, list all the program and policy components first (or copy and paste the list in the Section 3 Tips) and then identify their estimated costs.
* Be sure to identify in-kind contributions, as these may be important to track when applying for grants that require a match.
* For reference, add the name of the document/budget you used to determine the costs for each component.
* This activity is a precursor to the **Investment Calculation Workbook**, where you will identify more granular costs associated with each program and policy component.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Program or Policy Component | Current Cost | Estimated FY1 Cost | Estimated FY2 Cost | Estimated FY3 Cost | Cost Reference Document |
| Example: Intensive case managers (2) at the community resource center | $70,000 | $138,000 | $140,000 | $142,000 | Community-Based Organization Crisis Services Budget |
| Example: Increase capacity of the pretrial release program 60 percent by hiring 4 case managers from historically marginalized communities | $80,000 | $160,000 | $164,000 | $168,000 | Pretrial Release Program Budget |
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1. Do you anticipate any growth, decline, or lateral changes in your initiative in upcoming fiscal years (e.g., scaling your initiative to serve more people; adding new, switching out, or removing program components; etc.)? Consider exceptional or unique circumstances that might arise, such as a large one-time donation, an unexpected gap in funding, or an unanticipated crisis, such as COVID-19.

Yes *(Describe.)*

No

* + 1. Identifying Existing Resources

***Section Tips:***

* Filling out this section will support the completion of the **Investment Calculation Workbook** exercises, as these questions help you think ahead about funding streams.
* Use the **Find a Federal Funding Opportunity** database to explore and identify new federal funding opportunities.[[19]](#footnote-20)

1. Does your current funding picture incorporate a mix of funding streams available across criminal justice, health, and other applicable systems?

Yes *(Check the various funding streams currently being used.)*

Public funds (federal, state, local)

Private (individuals, foundations, corporations)

Fee for service

Medicaid

Self-pay

Other:

No *(Describe any plans to diversify funding.)*

1. Fill out the chart below by following these steps:

* List the specific funding sources used to pay for the various components of your initiative (e.g., MacArthur Foundation, Bureau of Justice Assistance’s Justice & Mental Health Collaboration Program [JMHCP], etc.). Include current and future (already awarded) funding sources.
* Complete the remaining columns for each of the funding sources that you listed.
* Note any restriction on funding uses (e.g., funding can only be used for community-based mental health treatment, cannot be used for jail-based services, etc.).
* Identify the relative flexibility of each funding source to inform the creation of a funding matrix later in this guide. The funding matrix will help you decide in what order to apply resources to your overall initiative budget.
* Identify whether and how any of your current funding sources can be used to promote equity; this could be a funding source that either explicitly includes equity-related deliverables or can be used to address inequities within the criminal justice system. Conversely, do any of your funding sources include restrictions that may make them poor matches for parts of your initiative focused on equity (e.g., significant record-keeping requirements, funding open only to organizations of a certain size)?
* Use *Appendix C: Funding Opportunities and Outcomes* to document and track these opportunities over time.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Funding Source | Funding Type | Length of Funding | Funding End Date | Renewable Funding? | Funding Restrictions | Funding Flexibility | Good Source for Equity Work? |
| Example: Federal grant funding, such as Justice Mental Health Collabora-tion Program (JMHCP) | One-Time  Annual  Multi-year | 3 Years | 9/30/2022 | No | Federal Grant Requirements | Low  Medium  High | Yes  No |
|  | One-Time  Annual  Multi-year |  |  |  |  | Low  Medium  High | Yes  No |
|  | One-Time  Annual  Multi-year |  |  |  |  | Low  Medium  High | Yes  No |
|  | One-Time  Annual  Multi-year |  |  |  |  | Low  Medium  High | Yes  No |
|  | One-Time  Annual  Multi-year |  |  |  |  | Low  Medium  High | Yes  No |

1. Will any other funding or resources be used to support the initiative (e.g., leveraging shared staff whose salaries will be paid for by another agency or initiative budget, in-kind contributions from another source, etc.)?

Yes *(Describe the resource and its original source.)*

No

1. Most initiatives experience gaps in funding, such as when there is not enough funding to expand or adapt the initiative as envisioned or when there are lapses in grant cycles. Does your initiative have any known funding gaps?

Yes *(Describe what the gaps are and when they are anticipated to occur. Are they major gaps? Minor gaps? Describe how these gaps will be managed.)*

No

1. Do you have a detailed written description of gaps for which additional funding is needed (e.g., a proposal that includes any needed policy reforms, additional staff, increased health treatment and services, information system updates, training, etc.)?

Yes *(Describe.)*

No

1. To synthesize the investments and funding gaps identified throughout this guide, complete the graphic below with funding sources, other resources that have been leveraged to support the initiative, and funding gaps. Viewing funding information in this manner helps you see what investments you already have so you can consider how to diversify investments as you work to close funding gaps. Below is an example, followed by a fillable graphic.

What’s Next? Build a Three-Year Budget with the Investment Calculation Workbook

The Investment Calculation Workbook will help you design a three-year funding plan, identify ways to maximize funding, and work toward closing funding gaps. This tool provides a mechanism to develop a program budget that cuts across traditional “silos” to facilitate discussion about sustainability.

* Transition from the **Planning Guide** to the **Investment Calculation Workbook.**
  + Your answers from Sections 3, 4, and 5 will be used to complete the workbook.
* Once the workbook is complete, revisit the **Planning Guide** to complete Sections 6 and 7.
  + 1. Maximizing Funding Sources

***Section Tips:***

* Your initiative will ideally make each dollar go as far as possible toward achieving measurable impact. A funding matrixcan help you identify which funding sources to apply first—starting with funding sources that are most restrictive or have very limited and prescriptive uses—so that the more flexible funding sources are prioritized for circumstances when no other funding source is available (e.g*.*, to cover remaining balances after all other funding sources are used; to pay for programs that cannot otherwise be funded through less restrictive funding sources; etc.).

1. In the **Investment Calculation Workbook,** you created a three-year budget, which listed the operating costs of each program or policy component and all the funding sources and amounts you can apply to those operating costs.

To synthesize this information into a short, easy-to-read funding matrix, use the chart below as an example and then complete the blank funding matrix based on your three-year budget from the workbook.

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Program or Policy Component (Shorthand) | Estimated Cost | | Medicaid | MAC /  TCM[[20]](#footnote-21) | SAPT[[21]](#footnote-22) | ESG[[22]](#footnote-23) | Private Grant | JAG[[23]](#footnote-24) | Local GF[[24]](#footnote-25) |
| 1. Jail-Based Screening Tool and Training | FY1 | $25,000 |  |  | x |  |  | x | x |
| FY2 | $0 |  |  |  |  |  |  |  |
| FY3 | $0 |  |  |  |  |  |  |  |
| 2. Pretrial Services: Intake Officers | FY1 | $350,000 |  | x |  |  |  | x | x |
| FY2 | $350,000 |  | x |  |  |  | x | x |
| FY3 | $350,000 |  | x |  |  |  | x | x |
| 3. Housing Navigators | FY1 | $700,000 |  |  |  | x | x |  |  |
| FY2 | $700,000 |  |  |  | x |  | x | x |
| FY3 | $700,000 |  |  |  | x |  | x | x |
| 4. Peer Mentors | FY1 | $450,000 |  |  | x |  | x |  |  |
| FY2 | $800,500 |  | x | x |  |  | x | x |
| FY3 | $1,000,000 |  | x | x |  |  | x | x |
| 5. Outpatient Substance Use Disorder Services | FY1 | $0 |  |  |  |  |  |  |  |
| FY2 | $300,000 | x |  |  |  |  |  | x |
| FY3 | $300,000 | x |  |  |  |  |  | x |

Least Flexible Funding Source  Most Flexible

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Program or Policy Component (Shorthand) | Estimated Cost | | Funding Source | | | | | | | | | | |
|  |  | |  |  |  |  |  |  |  |  |  |  |  |
| 1. | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY2 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY3 | $ |  |  |  |  |  |  |  |  |  |  |  |
| 2. | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY2 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY3 | $ |  |  |  |  |  |  |  |  |  |  |  |
| 3. | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY2 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY3 | $ |  |  |  |  |  |  |  |  |  |  |  |
| 4. | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY2 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY3 | $ |  |  |  |  |  |  |  |  |  |  |  |
| 5 | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY2 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY3 | $ |  |  |  |  |  |  |  |  |  |  |  |
| 6. | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY2 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY3 | $ |  |  |  |  |  |  |  |  |  |  |  |

Least Flexible Funding Source  Most Flexible

* + 1. Executive Summary Template

***Section Tips:***

* The template below synthesizes the information you produced using this guide and its accompanying tools. Once complete, this executive summary can function as a tool for fundraising, stakeholder recruitment, and other strategic opportunities.
* While funders vary in proposal requirements, the information they typically ask for is outlined below to provide a template for initial communication about funding needs for this initiative.
* If helpful, create a new document with this executive summary and include the completed funding matrix from question 32 and the worksheet from question 19 to demonstrate effective use of funding.

1. Use the template below to prepare a summary document that you can share with funders, stakeholders, and others.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Name of Initiative** | | | | | |
|  | | | | | |
| **Detailed Description of Need(s)**  *Refer to Section 1* | | | | | |
|  | | | | | |
| **Investment to Advance Equity** *Refer to Equity-Related Questions throughout the Guide*  *(Refer to questions 2, 3, 10, 15, 16, 21, 22)* | | | | | |
|  | | | | | |
| **Key Local Agency(ies) and Advisor(s)**  *Refer to Section 2* | | | | | |
|  | | | | | |
| **Goals Addressed**  *Refer to Section 3* | | | | | |
| * + [Goal 1]   + [Goal 2]   + [Goal 3]   + [Goal 4]   + [Goal 5]   + [Goal 6]   + [Goal 7]   + [Goal 8] | | | | | |
| **Key Data and Data Sources**  *Refer to Section 3* | | | | | |
|  | | | | | |
| **Budget Estimates**  *Refer to Sections 4 and 5* | | | | | |
|  | **FY1** | | **FY2** | | **FY3** |
| **One-Time Cost(s)** |  | |  | |  |
| **Existing Investment** |  | |  | |  |
| **New Investment** |  | |  | |  |
| **Identified Funding Sources**  *Refer to Section 6* | | | | | |
| Federal Funding Sources | | State Funding Sources | | Local Funding Sources | |
| Private Funding Sources | | Fee-for-Service Funding Sources | | Other Funding Sources | |

***Appendix A. Acknowledgment and Signature******Page***

**Example Sustainability Committee Acknowledgment and Signature Page**

Through a partnership among government agencies and community members, the following people have come together as of *[Date]* to develop a data-driven financial sustainability plan for *[Initiative Name]* in *[Location]*:

|  |  |  |
| --- | --- | --- |
| Name | Affiliation | Signature |
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***Appendix B: Tracking Goals and Strategies over Time***

Your initiative should update the worksheet completed in question 19 every six months to track progress as your initiative evolves. Use the worksheets below to periodically update your initiative’s goals, what strategies are used to have an impact on each goal, and how each strategy fits into the initiative’s program and policy components.

*Update 1: After six months of sustainability planning, update the goals, strategies, and program/policy components.*

|  |  |  |
| --- | --- | --- |
| Goal | Strategies to Demonstrate Impact | Program/Policy Component (Shorthand) |
| Goal 1: |  |  |
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| Goal 2: |  |  |
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| Goal 3: |  |  |
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| Goal 4: |  |  |
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| Goal 6: |  |  |
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| Goal 7: |  |  |
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| Goal 8: |  |  |
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*Update 2: After one year of sustainability planning, update the goals, strategies, and program/policy components.*

|  |  |  |
| --- | --- | --- |
| Goal | Strategies to Demonstrate Impact | Program/Policy Component (Shorthand) |
| Goal 1: |  |  |
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| Goal 2: |  |  |
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| Goal 3: |  |  |
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| Goal 4: |  |  |
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| Goal 7: |  |  |
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| Goal 8: |  |  |
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***Appendix C. Funding Opportunities and Outcomes***

**Funding Pending (Request/Application Submitted)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Funder | Funder Program Area | Amount Requested | Date Submitted | Probability of Receipt  (5 High–1 Low) | Comments |
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**Funding Received**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Funder | Funder Program Area | Amount Awarded | Date Awarded | Spending Start Date | Spending End Date | Renewable? | Comments |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
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**Funding Declined**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Funder | Funder Program Area | Amount Requested | Date Submitted | Date Declined | Decline Reason | Comments |
|  |  |  |  |  |  |  |
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**Potential Funding (Request/Application to Be Submitted)**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Funder | Funder Program Area | Contact | Award Range | Proposal Process (Request for Proposal, Contract, Invitation, etc.) | Proposal Due Date | Comments |
|  |  |  |  |  |  |  |
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1. For more information, see Marc Mauer and Nazgol Ghandnoosh*, Incorporating Racial Equity into Criminal Justice Reform* (Washington, DC: The Sentencing Project, 2014). [↑](#footnote-ref-2)
2. Leah Pope, “Racial Disparities in Mental Health and Criminal Justice,” Think Justice Blog, July 25, 2019, <https://www.vera.org/blog/racial-disparities-in-mental-health-and-criminal-justice>.  [↑](#footnote-ref-3)
3. Mauer and Ghandnoosh, *Incorporating Racial Equity,* 2–3. [↑](#footnote-ref-4)
4. For additional information about inclusive and equitable government contracting and procurement processes, see Tim Lohrentz, *Contracting for Equity: Best Local Government Practices that Advance Racial Equity in Government Contracting and Procurement* (New York: GARE, 2015), https://racialequityalliance.org/wp-content/uploads/2015/12/GARE-Contract\_For\_Equity.pdf. [↑](#footnote-ref-5)
5. Monisha Kapila, Ericka Hines, and Martha Searby, “Why Diversity, Equity, and Inclusion Matter,” Independent Sector,October 6, 2016, accessed June 1, 2021, https://independentsector.org/resource/why-diversity-equity-and-inclusion-matter/. [↑](#footnote-ref-6)
6. “Racial Equity Tools Glossary,” Racial Equity Tools, accessed June 1, 2021, https://www.racialequitytools.org/glossary#racial-equity. [↑](#footnote-ref-7)
7. Grantmakers for Effective Organizations (GEO), *Grantmaking with a Racial Justice Lens* (Washington, DC: GEO, 2017), https://www.geofunders.org/about-us/perspectives/grantmaking-with-a-racial-equity-lens- 10#:~:text=A%20racial%20equity%20lens%20focuses,eliminate%20inequities%20and%20close%20gaps. [↑](#footnote-ref-8)
8. Alisdair Rogers, Noel Castree, and Rob Kitchin, *A Dictionary of Human Geography* (Oxford University Press, 2013), accessed June 1, 2021, https://www.oxfordreference.com/view/10.1093/acref/9780199599868.001.0001/acref-9780199599868-e-975. [↑](#footnote-ref-9)
9. Consider whether this initiative is grounded in a racial equity framework. According to the Government Alliance on Race and Equity (GARE), a racial equity framework “clearly names the history of government and envisions and operationalizes a new role; and utilizes clear and easily understood definitions of racial equity and inequity, implicit and explicit bias, and individual, institutional, and structural racism.” Julie Nelson et al. *Advancing Racial Equity and Transforming Government: A Resource Guide to Put Ideas into Action* (New York: GARE, 2015), <https://www.racialequityalliance.org/resources/advancing-racial-equity-and-transforming-government-a-resource-guide-to-put-ideas-into-action/>. [↑](#footnote-ref-10)
10. Office of Equity and Social Justice, *King County Equity and Social Justice Strategic Plan, 2016–2022* (Seattle: Office of King County Executive Dow Constantine, King County, 2016). [↑](#footnote-ref-11)
11. Given the impact of trauma on many communities, it is worth considering how to ensure that the selected committee is “trauma-informed.” See, for example, National Council for Behavioral Health, *Organizational Self-Assessment: Adoption of Trauma-Informed Care Practice*” (Washington, DC: National Council for Behavioral Health, 2019), https://nhchc.org/wp-content/uploads/2019/08/mhfa-ti-assessment.pdf; University of South Florida, College of Behavioral and Community Sciences, *Creating Trauma-Informed Care Environments: An Organizational Self-Assessment* (Tampa, FL: University of South Florida, 2010), https://www.hca.wa.gov/assets/program/trauma-informed-care-organization-self-assessment-university-south-florida.pdf). [↑](#footnote-ref-12)
12. To learn more about Stepping Up’s key goals, see The Council of State Governments (CSG) Justice Center, *In Focus: Collecting and Analyzing Baseline Data* (New York: CSG Justice Center, 2019), <https://stepuptogether.org/wp-content/uploads/In-Focus_Collecting-and-Analyzing-Baseline-Data.pdf>. [↑](#footnote-ref-13)
13. Actionable Intelligence for Social Policy (AISP), *Centering Racial Equity Throughout Data Integration* (Philadelphia, PA, Actionable Intelligence for Social Policy, 2020), https://www.aisp.upenn.edu/wp-content/uploads/2020/08/AISP-Toolkit\_5.27.20.pdf. [↑](#footnote-ref-14)
14. For more information about racial equity approaches that show impact, see “Racial Equity Alliance Tools & Resources,” Government Alliance on Race and Equity (GARE), accessed June 1, 2021, https://www.racialequityalliance.org/tools-resources/. [↑](#footnote-ref-15)
15. Structural competency is defined as “a professional’s ability to understand how social or economic factors, such as infrastructure and policies, may impact a patient’s clinical presentation and the subsequent patient-provider relationship.” Mental Health Technology Transfer Center Network, *Cultural and Structural Competence: Mental Health Equity* (Atlanta: Mental Health Technology Transfer Center Network, 2020), <https://mhttcnetwork.org/sites/default/files/2020-04/FINAL%20Cultural%20and%20Structural%20Competence.pdf>. [↑](#footnote-ref-16)
16. Cultural humility is defined as “a lifelong process of self-reflection and self-critique whereby the individual not only learns about another’s culture, but starts with an examination of her/his own beliefs and cultural identities.” Katherine A. Yeager, Susan Bauer-Wu, “Cultural Humility: Essential Foundation for Clinical Researchers,” *Applied Nursing Research* 26, no.4 (2013): 251–256, <https://doi.org/10.1016/j.apnr.2013.06.008>. [↑](#footnote-ref-17)
17. Antiracist refers to a person who believes “racial groups are equals and none needs developing” and supports “policy that reduces racial inequity.” MacArthur Foundation’s Safety and Justice Challenge, “The Meaning of Words: Key Concepts for Equity and Justice—Frequently Used Racial Equity and Justice Definitions” (unpublished, not dated), PDF file. [↑](#footnote-ref-18)
18. For more information on racial equity data metrics, refer to Erika Bernabei, *Racial Equity: Getting to Results* (Government Alliance on Race & Equity, 2017), <https://www.racialequityalliance.org/wp-content/uploads/2017/09/GARE_GettingtoEquity_July2017_PUBLISH.pdf>. [↑](#footnote-ref-19)
19. Also see “Racial Justice Grant Resource Center,” Grants Plus, accessed June 1, 2021, <https://grantsplus.com/racial-justice-grants/>. [↑](#footnote-ref-20)
20. Medicaid Administrative Claiming/Targeted Case Management. [↑](#footnote-ref-21)
21. Substance Abuse Prevention and Treatment Block Grant administered by the Substance Abuse and Mental Health Services Administration (U.S. Department of Health and Human Services). [↑](#footnote-ref-22)
22. Emergency Solutions Grants Program administered by the U.S. Department of Housing and Urban Development. [↑](#footnote-ref-23)
23. Edward Byrne Memorial Justice Assistance Grant administered by the Bureau of Justice Assistance (U.S. Department of Justice, Office of Justice Programs). [↑](#footnote-ref-24)
24. Local general fund dollars. [↑](#footnote-ref-25)