



2021 Request for Proposals

INDIANA DEPARTMENT OF CORRECTION

COMMUNITY CORRECTIONS DIVISION

DESCRIPTION

This guide is intended for applicants of the Community Corrections and Justice Reinvestment Grant Funding administered by the Indiana Department of Correction.



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Availability and Duration of Funding

This is a one-time solicitation, offering support for a maximum period of 12 months beginning January 1, 2021 and ending December 31, 2021. Applicants awarded may begin charging expenditures to the grant award beginning January 1, 2021 in accordance with an Advisory Board Approved Budget.

The Funding availability is subject to the Indiana state budget appropriation outlined under House Enrolled Act 1001, effective July 1, 2019.

All awards are subject to the availability of appropriated funds and to any modifications or additional requirements that may be imposed by law.

Purpose of Grant

AUTHORITY: [IC 11-12](#)

For the purposes of encouraging counties to develop a coordinated local corrections-criminal justice system and providing effective alternatives to imprisonment at the state level, the Department of Correction (IDOC) Commissioner shall make grants to counties for:

The establishment and operation of:

- Community Corrections Programs
- Court supervised recidivism reduction programs (problem solving courts), as defined by [IC 33-23-16](#)

Support funding to:

- Probation Departments
- Pre-Trial Diversion Programs
- Jail Treatment Programs

The state awarded funds may be used for one or more of the following purposes:

- Assisting a county in defraying the expenses of incarceration;
- Funding mental health, addiction, and cognitive behavior treatment programs for incarcerated persons within the confines of the county jail, that are not otherwise covered by HIP 2.0, Medicaid, and (or) Recovery Works;
- Funding mental health, addiction, and cognitive behavior treatment programs for persons who are on probation, are supervised by a community corrections program, or are participating in a pre-trial diversion program offered by a prosecuting attorney;
- Funding work release and other components of community corrections programs;
- Providing funding to a county for probation officer's and community correction officer salaries;
- Technology based programs, including an electronic monitoring program;
- Grants may also be considered to fund alternative sentencing projects for persons with mental illness, intellectual disabilities, developmental disabilities, and addictive disorders. Programs for addictive disorders may include:
 - Addiction counseling;
 - Inpatient detoxification; and



- Medication-assisted treatment, including a federal Food and Drug Administration approved long acting, non-addictive medication for the treatment of opioid or alcohol dependence.

Note: Grants awarded must focus on funding evidence-based programs, including programs that utilize cognitive behavioral interventions and have a primary goal of reforming offenders by working in a collaborative manner with local criminal justice agencies.

Target Population by Grant Entity

Grant funds are intended to benefit these specific populations served by eligible entities. All definitions for the entities below are found in Appendix I.

Community Corrections

Established under the authority of [IC 11-12](#), administered by the Community Corrections Advisory Board, and must meet the guidelines and standards established by the Indiana Department of Correction

- Post-conviction felony offenders that are moderate to high risk, as identified by the Indiana Risk Assessment System (IRAS), placed as an alternative to prison

Probation

Established under the authority of [IC 35-38-2](#), meets any established criteria for funding under the Indiana Office of Court Services (IOCS), and funding is recommended and approved by the Community Corrections Advisory Board

- Post-conviction felony offenders that are moderate to high risk, as identified by the Indiana Risk Assessment System (IRAS), placed in the program as an alternative sentence

Prosecutor's Diversion

Must meet the guidelines and standards of the Indiana Prosecuting Attorney Council (IPAC), and funding is recommended and approved by the Community Corrections Advisory Board

- Pre-conviction individuals, who meet the criteria set forth under [IC 33-39-1-8](#) and IPAC's Guidelines, for whom prosecution of charges are withheld upon voluntarily agreeing to meet the conditions of the program

Court Recidivism Reduction Programs (Problem Solving Courts)

Established under the authority of [IC 33-23-16](#), must be certified by the IOCS, meet any criteria set forth by IOCS, and funding is recommended and approved by the Community Corrections Advisory Board

- Post-conviction felony offenders that are moderate to high risk, as identified by the Indiana Risk Assessment System (IRAS), placed as a condition of Probation or Community Corrections with a high need in cognitive interventions, mental health, or addiction stability as part of their case plan

Jail Treatment

Must meet any criteria established by the Department of Mental Health and Addiction Guidelines, and funding is recommended and approved by the Community Corrections Advisory Board

- Post-conviction felons or pre-conviction felons have been assessed with an actuarial assessment tool that demonstrate a moderate to high need for mental health and (or) addiction treatment



services, and have entered into a voluntary, formal agreement for treatment during their jail incarceration.

Pre-Trial Services

Under the authority of Trial Rule 26, must be certified by the IOCS, meet all standards and guidelines established under IOCS, and funding is recommended and approved by the Community Corrections Advisory Board

- Voluntary participants charged, but not convicted, of Level 6 and above felony who have been assessed by the IRAS Pre-Trial Risk Assessment Tool. *Participants who voluntarily agree to participate in programs or services should be assessed with an alternative actuarial assessment tool to ensure there is a moderate to high need for participation in the program or service.*

Funding Consideration and Prioritization

Grant funding will be reviewed on an annual basis. A prior funding award is not guaranteed to continue operations. Applying for funding and approval from the Community Corrections Advisory Board does not guarantee a funding award from Indiana Department of Correction. Each grant funded entity is subject to compliance with reporting and performance requirements outlined by the Indiana Department of Correction.

The Indiana Department of Correction will award grants with review and consideration of the following:

- Funding availability
- Allocations and county share of their percentage of funding
- Continued support of operations with consideration of prior awards under this grant
- Prioritization and recommendation of the Community Corrections Advisory Board
- Collaboration with local criminal justice partners
- Target population and supporting data including, but not limited to:
 - *Participant Risk Data from the Indiana Office of Court Services*
 - *Census and population of the county*
 - *County Offender Admissions to the Department of Correction*
- Capacity to comply with meeting guidelines, standards, data collection, and report submissions under this grant
- Demonstrated need to serve the target population as outlined in the Problem Statement
 - *See Appendix III*
- Indiana Office of Court Services recommendations for funding Probation, Problem Solving Courts, and Pre-Trial Services
- Department of Mental Health and Addiction recommendations for funding Jail Treatment Programs and programs for addictive disorders
- Indiana Prosecuting Attorney's Council recommendations for funding Prosecutor's Diversion Programs

Priority is given to those applicants who:

- Demonstrate collaboration between the local Community Corrections Advisory Board and criminal justice service programs that reduce recidivism



- Provide alternative sentences for people with mental illness, addictive disorders, intellectual disabilities, developmental disabilities, and Autism Spectrum Disorder
- Demonstrate diversion from incarceration (including, but not limited to use of graduated sanctions to reduce jail overcrowding, prison admissions, and revocations)
- Hold the capacity to support the implementation the Supervised Release System (SRS)

Grantee Requirements

Entities receiving grant funding must have the capacity to implement and sustain the following:

Community Corrections Advisory Board

Eligible entities may only apply after the establishment of a Community Corrections Advisory Board under [IC 11-12-2-2](#).

- The Advisory Board will be required to provide by laws, member rosters, annual meeting schedules, and meeting minutes to the IDOC Community Corrections Division.
- The Advisory Board must approve and prioritize each entity's funding request prior to submission of the grant application to the Indiana Department of Correction. The prioritization of funding must be listed in the required letter of support that accompanies this application.
- At the close of each grant cycle, the Advisory Board must provide IDOC an evaluation of the effectiveness of programs, recommendations for improvement, modification, or discontinuance of these programs. Any entities or programs that were recommended to discontinue are not eligible under this application and must be listed in the letter of support that accompanies this application.

Community Corrections Plan

Each eligible entity seeking grant funding must meet the definitions outlined in Appendix I.

Note: *This IDOC Grant Application and its required policies serve as the Community Correction Plan.*

Submitted applications must include:

- A description of each program for which financial aid is sought
- The purpose, objective, administrative structure, staffing, and duration of the program
- A method to evaluate each component of the program to determine the overall use of department approved best-practices for the program
- The program's total operating budget, including all other sources of anticipated income
- The location and description of facilities that will be used in the program
- The amount of community involvement and client participation in the program;
- The manner in which counties that jointly apply for financial aid under this chapter will operate a coordinated community corrections program
- A plan of collaboration among the probation department, the community corrections program, and any other local criminal justice agency that receives funding from the department for the provision of community supervision for adult offenders. Counties are encouraged to include the courts, prosecuting attorneys, public defenders, and sheriffs when addressing the needs of the local criminal justice population.



County Community Supervision Collaboration Plan

The community supervision Collaboration Plan must be submitted to the department and the Indiana Office of Court Services annually and must include:

- A description of the evidence-based services provided to felony offenders by the community corrections program, the probation department, and other criminal justice agencies.
- The manner in which the community corrections program, the probation department, and other criminal justice agencies intend to reduce the duplication of services to offenders under community supervision.
- The manner in which the community corrections program, the probation department, and other criminal justice agencies intend to coordinate operations and collaborate on the supervision of adult felony offenders.
- The eligibility criteria established for community-based services provided to adult felony offenders;
- The criteria for using the community corrections program as an intermediate sanction for an offender's violation of probation conditions.
- A description of how financial aid from the department, program fees, problem solving court user fees, and probation user fees will be used to provide services to adult felony offenders; and
- Documentary evidence of compliance with:
 - Indiana Department of Correction rules, standards, and guidelines established for Community Corrections Programs
 - Indiana Judicial Conference of Indiana Standards for Probation Departments, Problem-Solving Courts, and Pre-Trial Services
 - Prosecuting Attorneys Council of Indiana Diversion and Deferral Guidelines for Prosecutor Diversion Programs
 - Indiana Jail Standards and Division of Mental Health and Addiction standards for Jail Treatment Programs.

Data Requirements

Each entity must have the capacity to support the implementation the Supervised Release System (SRS).

Note: *Prioritization of funding is not affected by current SRS implementation.*

AUTHORITY: [IC 11-12-2](#)

Each entity receiving state grant funding will collect and maintain required data required by the Indiana Department of Correction. Data will be collected and evaluated to show compliance with the community corrections plan, IDOC contract, and for purposes under the agency's quality assurance policy. Agencies will be required to submit data, with assistance from the Indiana Department of Correction if needed, in a specified format by specific deadline dates.

AUTHORITY: [IC 33-38-9.5-2](#)

Programs must collect specific data to send to the Justice Reinvestment Advisory Council for the purposes of an annual report. This data includes:

- The total number of participants, categorized by level of most serious offense, who were served by the grant funded entity



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- The percentage of participants, categorized by level of most serious offense, who completed a treatment program, service, or level of supervision
- The percentage of participants, categorized by level of most serious offense, who were discharged from a treatment program or service, or level or supervision
- The percentage of participants, categorized by level of most serious offense, who:
 - completed a funded treatment program, service, or level of supervision
 - were subsequently committed to the Department of Correction within 24 months after completing the funded treatment program service, or level of supervision
- The percentage of participants categorized by level of most serious offense, who were:
 - discharged from a funded treatment program, service, or level of supervision; and were subsequently committed to the Department of Correction within 24 months after completing the funded treatment program service, or level of supervision
- The total number of participants who:
 - completed a funded treatment program service, or level or supervision; and were legally employed.
- Any additional information requested by the Department that is relevant to the funding of the eligible entities.

Note: *Data requirements are subject to change.*

Community Corrections entities will be required to provide the following data to the Indiana Department of Correction:

- Quarterly Data submitted through SRS based on the IDOC *Community Corrections Data Resource Manual*
- Monthly Population Snapshot Questionnaire established by the Community Corrections Division
- Performance Measures that include baseline data and two progress updates at the mid-point and year-end
- Annual Evaluation by the Community Corrections Board

Probation, Problem-Solving Courts, Jail Treatment Programs, Prosecutor's Diversion, and Pre-Trial Services will be required to provide the following data to the Indiana Department of Correction:

- Quarterly Data collected and submitted in the manner prescribed by the Community Corrections Division based on the HEA1006 Data Resource Manual*
- Monthly Population Snapshot Questionnaire established by the Community Corrections Division
- Performance Measures that include baseline data and two progress updates at the mid-point and year-end
- Annual Evaluation by the Community Corrections Board

Note: * Refers to the name of the resource manual from the 2020 grant cycle. The name and version of the manual is subject to change and will be outlined in the corresponding data procedural bulletin.



Evidence-Based Practices

Eligible entities must provide pre-trial and post-incarceration professional services and guidance that increase opportunities for successful reintegration of adults upon release from prisons and jails into local communities by utilizing research-informed best-practices.

Each eligible entity must meet the criteria outlined in Appendix II.

Policies, Procedures, & Documents

Eligible entities must follow all policies and procedures outlined in the Community Corrections Procedural Manual which can be found here: <https://www.in.gov/idoc/2824.htm>.

Eligible entities are required to have policies, procedures, and documents for their agency as outlined in Appendix II.

Funding Restrictions

Requirements and restrictions on the expenditure of grant funds, where given, must be adhered to by the applicant. The following funding restrictions are applicable to grant funds awarded by Indiana Department of Correction.

The Indiana Department of Correction grant funding awards may not pay for:

- Any staff not designated for an awarded entity's operations.
- Capital construction, renovation, remodeling, or land acquisition ([IC 11-12-2-8](#)).
- Vehicles
- Firearms, ammunition, or tactical equipment
- Staff clothing and (or) uniforms
- Lobbying, political contributions, honoraria, or bonuses
- Personal entertainment, personal calls, or alcohol
- Any other purpose that was not outlined or approved in the grant application

Additionally, the following requirements apply to entities where other funds (i.e. county general, local, state, or federal grants) are appropriated for specific criminal justice purposes:

- Funds may not be used to supplant or replace in whole or part current federal, state, or local funding support that may be associated with the administration or operation of an entity
- Funds may not be used to duplicate programs or services for clients residing in, or being released to, the same locality. Each applicant must describe the extent and type of services provided by each program in the Collaboration Plan to ensure that funds are not being used to duplicate services in one geographical area.
- The Community Corrections and Justice Reinvestment Grant funding may be used to supplement or expand existing funds for programs

Supplanting vs. Supplementing Funding Example:

County A's Prosecutor's Office has an established Prosecutor's Diversion Program funded with \$50,000 in county funds. The funding covers salary, payroll taxes & fringe benefits and some training costs for a part-time coordinator. County A's Prosecutor's Office would like to apply for a \$70,000 grant from



IDOC's Community Corrections and Justice Reinvestment funding for Prosecutor's Diversion Programs to operate their established Prosecutor's Diversion program.

Supplanting: County A's Prosecutor's Office would be supplanting if they used the \$70,000 grant to replace, the \$50,000 that the county currently appropriates for the Prosecutor's Diversion Program, and then use that \$50,000 for a different purpose for other than the Prosecutor's Diversion Program.

Supplementing: County A's Prosecutor's Office would not be supplanting if they used the \$70,000 grant to enhance the programming provided with the \$50,000 in county funds. The Prosecutor's Diversion program would now have a \$120,000 budget and would be able to add additional staff for the program services or increase the capacity of the program.

Grant Application Procedures

Grant Application Submission:

Eligible applicants must complete the 2021 Grant Application (Community Corrections Plan) and submit it via Intelligrants no later than **7/17/2020**.

Grant Application Accompanying Documents

Each entity applying must provide the following documents as a part of their grant application:

- Current county Collaboration Plan
- A letter of support & funding prioritization from the local Community Corrections Advisory Board
- A letter of support from the County Commissioners
- A list of current Advisory Board Members

Note: *The application and supporting documentation must be submitted electronically via Intelligrants. Applications submitted in any other format will not be accepted. Failure to fully complete the application process as described above and (or) late submissions may result in application being rejected for the award period.*

Grant Application Scoring and Review Process

The Indiana Department of Correction will score applications on the following:

- Quality and thoroughness of the application, including but not limited to:
 - Adherence to instructions
 - Timeliness of submission
 - Completeness of application
 - Professionalism of application
- The capacity to meet grant guidelines, standards, and requirements including but not limited to:
 - Compliance during prior grant cycles and use of prior grant awards
 - Having an effective system for data collection and measurement
 - Having Continuous Quality Improvement processes
 - The ability to use research-informed and evidence-based practices
- The demonstrated need as outlined in the Entity Proposal, including but not limited to:



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- Problems identified are locally relevant
 - *See Appendix IV*
- Continued support of operations with consideration of prior awards under this grant
- Access to treatment, services, and programs
- Description of caseload sizes & staff to participant ratios
- Estimated participants to be served
- Proposed use of evidence-based practices
- Fiscal support including but not limited to:
 - Amount of grant funding used to support operations and sustain operations
 - The applying entity's full operating budget
 - Prior use of the funding including amount of unused funds, change requests, and audits
 - Complete and thorough justifications provided for all funding requests

Note: *The Department does not administer or monitor the budgets for Probation, Problem Solving Courts, or Pre-Trial Services. However, a full operating budget is collected from each entity with all funding sources that contribute to its operations to calculate the grant support needed.*

- The target population and supporting data including but not limited to:
 - Target Population fits the eligibility criteria as outlined within this grant announcement
 - Risk Assessment Data from the Indiana Office of Court Services
 - Census and population of the county
 - Data submitted during prior award periods
- Performance Measures and Outcomes including but not limited to:
 - Performance Measures submissions
 - Annual Advisory Board Evaluation & recommendations
 - Grant Contract Compliance
 - Admissions to the Department of Correction
 - Certifications, evaluations, supporting data, and recommendations from stakeholders of the entities requesting supported funds
- Collaboration with local criminal justice partners including but not limited to:
 - Prioritization and recommendation of the Community Corrections Advisory Board
 - Recommendation and support of the County Commissioners
 - Evidence of collaboration among all grant funded entities within the county
 - Ensuring that programs and services are not duplicated by multiple criminal justice agencies

The grant application will be reviewed and scored by IDOC Program Directors. The Program Directors will contact grantees for any missing information or request clarification of the proposal if needed.

During the recommendation process, IDOC will collaborate and review applications with:

- The Indiana Office of Court Services for Probation, Problem Solving Courts, and Pre-Trial Services entities
- The Department of Mental Health and Addiction for Jail Treatment entities
- Indiana Prosecuting Attorney's Council for Prosecutor's Diversion entities



Applicants that have questions concerning the approval or disapproval of their proposals may submit a request for reconsideration in writing and an amended application, within fifteen (15) days after being informed of its grant award.

Once the application review process is completed, grant funding award recommendations will be presented to the Justice Reinvestment Advisory Council (JRAC) as a public document. The Council will provide additional input and guidance on grant funding award recommendations. Awarded amounts recommended by JRAC will then be taken to the Indiana Department of Correction's Commissioner for final approval.

Grant Award Announcements

Following the Commissioner's approval of final grant award recommendations, the Community Corrections Advisory Board and the awarded entities will receive an *Intent to Award Letter* from the Indiana Department of Correction.

- The award letter will include instructions for any entity who needs to make changes to their budget based on the award amount.
- Awarded grant entities will be directed to the Grant Procedural Manual for instructions, requirements, and conditions of the grant award.
- Once the revised budget is submitted, each awarded entity will receive a contract under the administration of the Community Corrections Advisory Board and approved by the county fiscal body.

Counties receiving awards must agree to the grant award terms and conditions as outlined in the Grant Contract Agreement.

Note: Applicants not chosen for awards will receive written notification from the Indiana Department of Correction.

Grant Technical Assistance

For assistance with the application procedures or the implementation of evidence-based practices, please refer to your regional Program Director according to the [Division Contact Page](#) on our website.



Appendix I

Eligible Entities Defined

Community Corrections Program

Community Corrections is a community-based supervision agency established under a Community Corrections Advisory Board (local board of criminal justice stakeholders) for the primary purpose of providing sentencing alternatives for moderate to high risk felony offenders in lieu of incarceration. A community corrections program focuses on changing participant's behavior and recidivism reduction strategies. An advisory board appoints a Community Corrections Director to oversee the program and administers the funding, programs, fees, structure, eligibility, and rules (known as the Community Corrections Plan). A Community Corrections sentence is an executed term of placement, however, eligibility and participation in a Community Corrections program is established by the Advisory Board that includes referrals from Probation, Problem Solving Courts, Parole, etc.

Community Corrections programs provide a graduated intensity of supervision and monitoring while providing targeted case management that is more intensive than typical probation or parole supervision. Its levels of supervision include day reporting, 24-hour electronic monitoring, and residential centers where its participants have restricted access to the community.

Community Corrections serves an important role in diversion and rehabilitation through transitional programming and serves as an intermediate sanction for Parole, Probation, Courts, and other community-based supervision or programs.

- Community Corrections as defined by [IC 11-12-1-1](#) :
 - A community based program that provides preventive services, services to offenders, services to persons charged with a crime or an act of delinquency, services to persons diverted from the criminal or delinquency process, services to persons sentenced to imprisonment, or services to victims of crime or delinquency, and is operated under a community corrections plan of a county and funded at least in part by the state subsidy provided in [IC 11-12-2](#).
- Community Corrections consists of the following levels of supervision as outlined under [IC 35-38-2.6-2](#):
 - Residential and work release program
 - Electronic monitoring (home detention) program
 - Day treatment, or day reporting program

As part of the overall Community Corrections program, treatment and services may be provided that address the following under [IC 11-12-1-2.5](#):

- Educational programs
- Mental health treatment
- Drug or alcohol abuse treatment including:
 - Addiction counseling
 - Inpatient detoxification



- Medication assisted treatment, including a federal Food and Drug Administration approved long acting, non-addictive medication for the treatment of opioid or alcohol dependence
 - Housing services

Community Corrections user fees are established and administered by the Community Corrections Advisory Board. A fee schedule is required under the Community Corrections Plan and is approved by the Department of Correction. All program fees under its levels of supervision, including home detention fees, are deposited into a Community Corrections Project Income account. The expenditures of the user fees are administered by the Community Corrections Advisory Board and are to only be used for Community Corrections programs.

Note: All programs, treatment, and services provided under a community corrections program must use evidence-based services, programs, and practices that are proven to reduce the risk for recidivism.

Probation

Probation refers to a suspended court ordered term of supervision where the probationer remains under the jurisdiction of the judiciary. The Probation Department is overseen by a Chief Probation Officer who is appointed under the Judicial Conference and serves as a member of the Community Corrections Advisory Board.

Probation serves as an alternative to jail and targets low to moderate risk misdemeanants and felony offenders who are not eligible for Community Corrections under conditions set forth under [IC 35-38-2](#). Probation supervision terms include payment of fees, random drug screens, and check ins. A term of probation may include referrals to treatment and programming based on responsivity and identified criminogenic needs. These are characteristics, traits, or issues that research has demonstrated a correlation to recidivism. If a probation does not meet the conditions, the probation officer may file a violation with the court. Sanctions can be anything from continuing probation, adding additional time to the length of probation, imposing new requirements of probation like a term of home detention, or revoking probation and sentencing the person to some or all backup time in jail or on community corrections.

The Judicial Conference administers the probations standards and guidelines for probation officers and the supervision practices for probation. The employees of a Probation Department are the employees of the trial courts that they serve and follow the salary schedule set by the Indiana Judicial Conference.

Probation fees are set forth under [IC 35-38-2](#) and listed in the *Indiana Trial Court Fee Manual*. Under [IC 35-38-2-1\(f\)](#) Probation User Fees are collected by the county clerk and transferred to the county treasurer who deposits all funds collected into the county *Supplemental Adult Probation Services Fund* and are administered by the fiscal body of the county for operations and personnel.

Prosecutor's Diversion

An alternative to prosecution where the Prosecutor and the Defendant enter into a written agreement on terms of compliance that if met, dismiss the charges. The Indiana Prosecutor Attorney Council oversees the guidelines for diversion standards. [IC 33-39-1-8](#) outlines the conditions when prosecution may be withheld.



The diversion service and terms of contract are established by the elected Prosecuting Attorney. These diversion agreements typically apply to non-violent misdemeanor cases where the Defendant has little to no previous criminal history or may have a treatment or service need that provides the defendant with the opportunity to rehabilitate. Requirements may include an educational program, community services, treatment referral or a term of compliance. It provides an opportunity to save judicial resources while providing service needs and accountability. If the Defendant successfully completes the agreement, the pending criminal charges are dismissed, and the person avoids a criminal conviction.

All fees for participation in the agreement are established by the elected Prosecuting Attorney and are collected by the County Clerk and deposited into the city town fund under [IC 33-37-4-1](#). The county's fiscal body administers the funds collected under this service. The elected Prosecuting Attorney shall not receive any salary appropriation from diversion or deferral funds.

Jail Treatment

Jail Treatment refers to a broad range of services aimed at providing evidenced based treatment for cognitive restricting, mental health treatment, and substance abuse treatment through a certified in-house counselor or contract with their local treatment provider. These services offer short-term stability and access to treatment while an individual is housed in jail, waiting on trial or serving a sanctioned sentence until they are able to be placed into full time care for treatment or on a community supervision program where they are monitored with the continuation of care.

Court Recidivism Reduction Programs (Problem Solving Courts)

Problem Solving Courts are certified court programs under the authority of [IC 33-23-16](#). These programs provide an immediate and highly structured judicial intervention for high need offenders that could not be adequately addressed in traditional courts.

They include the following as defined by [IC 33-23-16](#):

- drug court
- mental health court;
- family dependency drug court;
- community court;
- reentry court;
- domestic violence court;
- veterans' court; or
- any other court certified as a problem-solving court by the Indiana Office of Court Services

The Judicial Conference includes a Problem-Solving Committee who administers the standards and rules for operating a problem-solving court. The Indiana Office of Court Services oversees adherence to these standards as part of their certification process. Outcomes and data are collected through the Indiana Supreme Court's Technology division.

Placement into a problem-solving court is outlined under [IC 33-23-16-13](#) and includes post-conviction referrals for conditions of probation, community corrections, community transition program, parole, etc. In addition, individuals may be placed into a problem-solving court for deferred prosecution.



The services are conducted by a team outlined in the Problem-Solving Court rules and include a screening assessment, supervision, service coordination, treatment, education, and rehabilitation. Fees for a problem-solving court are set forth under [IC 33-23-16-23](#) and are listed in the *Indiana Trial Court Fee Manual*. The User Fees are collected by the county clerk and transferred to the county treasurer who deposits all funds collected into the *County User Fee Fund* under [IC 33-37-8](#). The county's fiscal body administers the funds collected under this service and are to only be used for problem solving court services.

Pre-Trial Services

A certified organization under the administration of the Indiana Office of Court Services that strive to achieve the "3 Ms"- maximizing public safety, maximizing court appearance, and maximizing pretrial release. Pretrial Services perform three primary program functions:

- Collecting and analyzing defendant information for use by the court in assessing risk
- Making recommendations to the court concerning bail, bonds, and conditions of release to address risk
- Monitoring and supervising defendants who are released from secure custody during the pre-trial phase in order to manage their risk.

The organization is overseen by the Pre-Trial Services Coordinator who is designated by the supervising Judge with authority of [IC 35-31.5-2-121.5](#). A defendant is placed into pre-trial services in order to maximize releases for low risk offenders awaiting trial in the jail. The pre-trial services coordinator and staff provide a pre-trial risk assessment, pre-trial services reports, pre-trial supervision, pre-trial compliance monitoring, and performance measurement of arrestees and pre-trial defendants to the Indiana Office of Court Services.

Fees for pre-trial services are set forth under [IC 33-39-1-8](#) and are listed in the *Indiana Trial Court Fee Manual*. The User Fees are collected by the County Clerk and 50% of the fees are transferred into the county's supplemental adult probation services fund and 50% into the public defender services fund under [IC 33-40-3-1](#). The fiscal body of the county shall appropriate money from the county supplemental adult probation services fund for pre-trial services.



Appendix II

Evidence Based Practices

The Integrated Model: Each eligible entity must agree to utilize the integrated model when implementing evidence-based practices. This model includes the following components:

- **Evidence-Based Principles:** Each entity is responsible for researching the best practices standards and performance indicators for its target population prior to submission of the grant application. Please refer to the Appendix IV of this document for *recommendations*.
- **Organizational Development:** Each entity has established a climate and culture for the implementation of Evidence-Based Practices. This includes elements such as: mission, vision, strategic plan/logic model, leadership, communication/training, and policies/practices that all support Evidence-Based Practices.
- **Collaboration:** County/Regional collaboration with the Advisory Board and additional stakeholders that have discussed funding priorities, reducing duplication of services, the implementation of Evidence-Based Decision Making as the mechanism to address the local criminal justice system, and the commitment to recidivism reduction.



Each entity is required to follow the framework of Evidence-Based Practices through the following:

- **Program Assessment:** Systematically reviewing available evidence on the effectiveness of interventions and programs.
- **Budget Development:** Incorporating evidence of program effectiveness into budget and policy decisions, requesting funding for programs that deliver a high return on investment of public funds as a priority.
- **Implementation Oversight:** Ensuring that programs are effectively delivered to their intended design, including internal, referral, and contractual funded organizations.
- **Outcome Monitoring:** Routinely measuring and reporting outcome data to determine whether interventions are achieving desired results.
- **Targeted Evaluation:** Conducting evaluations of newly implemented programs and untested programs to ensure that they warrant continued funding.
- **Caseload Standards:** The best available evidence does not specifically define an optimal caseload size due to multiple variables across jurisdictions. However, some concepts appear consistently across the research. For example, caseloads can be grouped into several broad categories based on key criteria such as risk of re-offending, offense type, and criminogenic needs. Also, generally speaking, low risk/need cases require little to no active supervision while higher risk/intensity cases require much more time, resources, and support from the officer/program. Overall, agencies should utilize differential supervision procedures and avoid a “one size fits all” supervision standard.



Required Entity Policies

Each grant funded entity is expected to have the following documents and policies/procedures on file. All policies/procedures should have Advisory Board approval and be reviewed annually by the grantee.

- Use of Indiana Risk Assessment System (IRAS) *(not applicable to Jail Treatment Programs)*
- Participant Supervision Eligibility Criteria *(not applicable to Jail Treatment Programs)*
 - This should include criteria for placement into an entity's supervision or program as well as exclusionary criteria for a participant to participate in a program
- Participant Program, Treatment, and Services Eligibility Criteria
 - This should describe the eligibility requirements for all internal, contractual, and referral programs, Interventions, services, and treatment. Exclusionary criteria should also be included.
- Contractual Services & Treatment Providers
 - Contractual organizations must have a written agreement that verifies that it will provide evidence-based programs and services, data, and be evaluated by the contracted entity.

Note: Private non-profit organizations may receive grant funds only through contract of an awarded entity. Contractual organizations are subject to the standards of the eligible entity and must be reviewed on an annual basis by the entity who provided the contractual funding.

- Case Management
 - Use of validated actuarial assessments, case planning, & program referrals should be included
- Differential Supervision
 - This should include contact standards based on the participants risk level
- Participant Rules and Standards
- Alcohol and Drug Testing
- Participant Incentives
- Graduated Sanctions
 - This should describe the progressive form of discipline that will occur prior to the removal of a participant in a program. The progressive consequences for non-compliance must be predictive, risk-based, and consistent.
- Performance Measurements
 - Statistical data collection procedures and performance measurement tracking and evaluation should be included.
 - Each awarded entity must have a plan and practice for quality assurance standards for all data submitted to the Indiana Department of Correction.
- Fiscal Management
 - This should include cash handling procedures for participant fee collection, establishment and use of an accounting system, and compliance with all applicable requirements of the Indiana State Board of Accounts
- Fixed Asset Tracking & Management (grant funded items)
- Participant Program Fees



- This should include a documented fee schedule for services provided by the entity.
- Staff Training Requirements
 - This should include initial training requirements and annual training requirements
- Transfer of Clients (*not applicable to Jail Treatment Programs*)
- Field Supervision (if applicable) to include, but not limited to:
 - Home Visits and Searches
 - Field Contacts
 - Documentation of Visits
- Any Additional Required County Policies

If a county policy does not exist for the following topics, the entity must create their own policy:

- Firearms (if applicable)
- Sexual Harassment
- Emergency Operations
- Cash Handling Procedures including, but not limited to:
 - Staff Permitted to Receive Cash Payments
 - Receipts and Deposits
 - Quality Assurance

Required Entity Documents

In addition to the policies outlined above, each entity is expected to have the following documents on file at their respective site location:

- Advisory Board Meeting Dates
- Advisory Board Members List (including contact information and term expiration dates)
- Advisory Board By-Laws (Community Corrections entities only)
- Annual Employee Performance Reports
- Entity Mission and Vision Statements
- Entity/Program Strategic Plan
- Fixed Assets Inventory List (items purchased with grant funds)
- Forensic Diversion Plan (Community Corrections entities only)
- Job Descriptions of All Positions
- Memorandum of Understanding for Each Outside Treatment Provider & Contractual Service Provider (current)
- Staffing Inventory List/Organization Chart



Appendix III

Problem Statement Tips

The grant application asks you to create a Problem Statement which should describe the current problem and the population that will be addressed in the grant proposal (the what). The target population must be clearly identified (the who). The problem statement should convey the reason the problem is important (the why) and who is affected by the problem (the where and the when). The statement should also include objective and specific statistics documenting the problem or need for assistance.

What is a Problem Statement?

A brief description of an issue to be addressed or a concern to be resolved. The main purpose of a problem statement is to identify and explain an existing problem and/or gap in services.

Defining the Problem

Before the problem statement can be crafted, the problem must be defined. One helpful way of doing this, especially for those creating a problem statement for the first time, is a method known as the "5 Why's". Each "Why" question should be answered with a more specific answer than the one prior. The goal of this method is to identify the root problem by drilling down with "why" questions.

Example: *The problem is: The vehicle will not start.*

1. *Why? – The battery is dead. (First why)*
2. *Why? – The alternator is not functioning. (Second why)*
3. *Why? – The alternator belt has broken. (Third why)*
4. *Why? – The alternator belt was well beyond its useful service life and not replaced. (Fourth why)*
5. *Why? – The vehicle was not maintained according to the recommended service schedule. (Fifth why, a root cause)*

Writing the Problem Statement

The problem statement should be designed to answer the 5 'W's - Who, What, Where, When and Why. A suggested method for exploring the 5 'W's is via a matrix (see the table below). The matrix can then be used to assist in writing a detailed problem statement. The information needed to complete the matrix can be found through historical entity/ program data, high-level operation examinations, reviewing staff and/or participant feedback, etc.



The Problem Statement Matrix	
What is the problem?	The program has a 50% recidivism rate among participants. Evidence-based practices have not been implemented within local criminal justice supervising agencies.
Who is experiencing the problem?	Supervising agencies, participants, community taxpayers, family members of participants, and victims of crime
Where is the problem occurring?	Within the County
When does the problem occur?	Daily over the past 3 years
Why does the problem occur?	The program lacks funding to properly implement evidence-based practices

Example: "Among the participants served by the program over the past 3 years, 50% are reconvicted of a new crime and sentenced to supervision within the community."



Appendix IV

Helpful Resources

Description	Resource
Caseload Standards	Caseload Standards for Probation and Parole Effective Case Management Policy Reforms Can Strengthen Community Supervision Dosage: Knowing When and How Much
Collaboration	Collaborative Justice Resource Center
Community Corrections	Policy Framework to Strengthen Community Corrections Implementing Evidence-Based Practices in Community Corrections
Evidence-Based Decision-Making Framework	NIC's Framework for Evidence-Based Decision Making
Integrated Model	Using an integrated model to implement Evidence-Based Practices in Corrections
Jail Treatment	Virginia's Residential Treatment Performance Measurement Guide Matching Offenders for Treatment Preventing Crime with CBT
Pre-Trial Services	A Framework for Pre-Trial Justice Creating an Effective Pre-Trial Program Toolkit Pre-Trial Services Starter Kit Indiana Office of Court Services - Pre-Trial Release Resources
Probation	Indiana Probation Standards Virginia's Probation Performance Measurement Guides
Problem Solving Courts	Performance measurement for Problem Solving Courts
Prosecutor's Diversion	Measuring for Results: Outcome and Performance Measures for Pre-Trial Diversion Field IPAC Diversion and Deferral Guidelines NASPA Diversion Standards

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