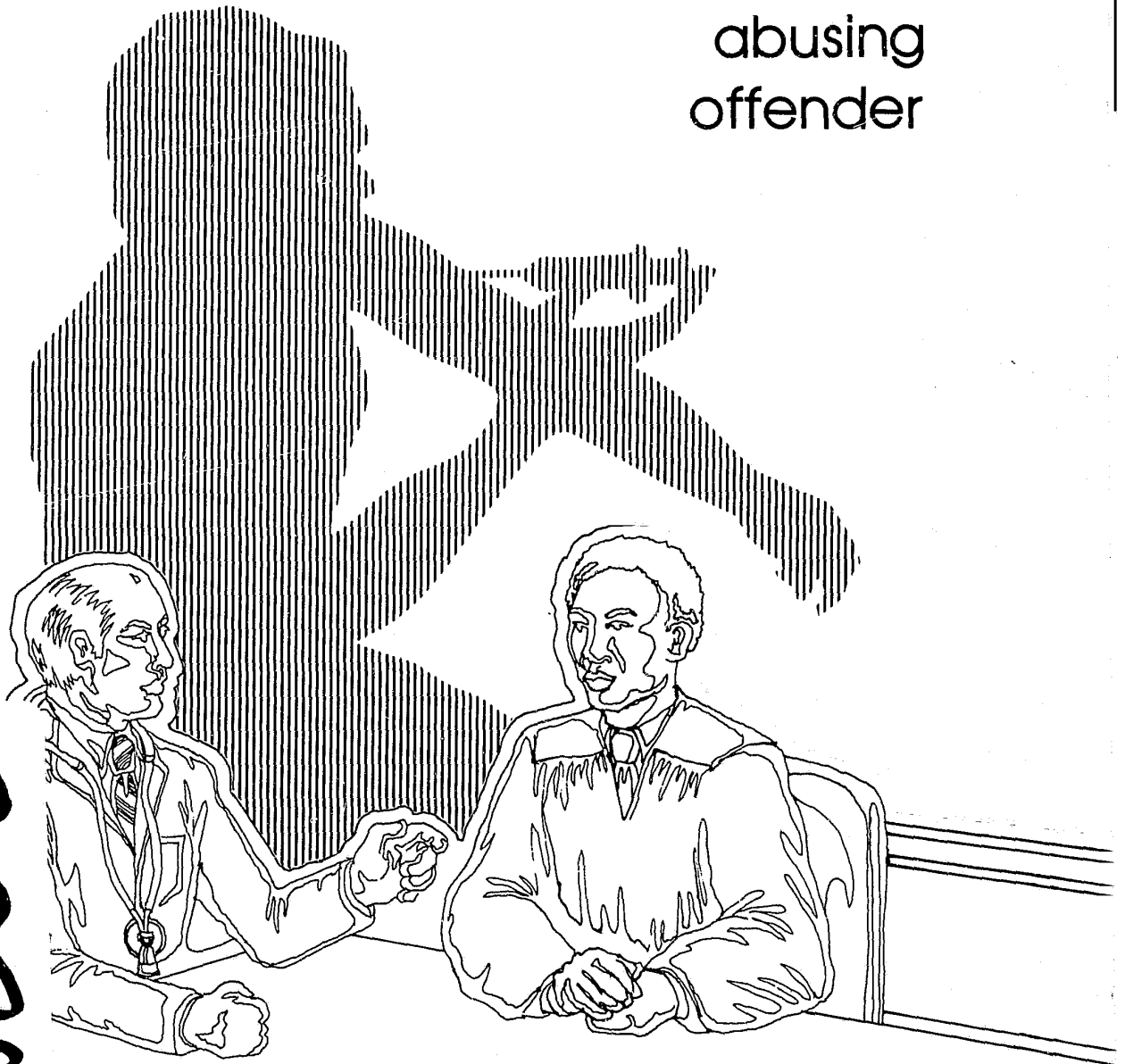


TASC:

An approach for dealing with
the substance
abusing
offender



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ment Assistance Administration
Department of Justice, Washington D.C., 20531

TASC: AN APPROACH FOR DEALING WITH THE
SUBSTANCE ABUSING OFFENDER

NCJRS

JUN 26 1980

ACQUISITIONS

GUIDELINES FOR THE DEVELOPMENT OF A
TREATMENT ALTERNATIVES TO STREET CRIME
PROJECT

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Prepared by

The National Association of State Drug
Abuse Program Coordinators, Inc.
1612 K Street, N.W., Suite 900
Washington, D.C. 20006

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PREFACE

The following pages are designed to inform interested readers about one approach that has been tested, demonstrated, and evaluated in over 50 cities and counties across the United States since 1972 in dealing with drug and alcohol abusing offenders.

While this publication will focus on what the Treatment Alternatives to Street Crime (TASC) approach entails and what the benefits of such an approach are, it is equally important for the reader of this publication to be aware of what TASC is not. It is not, for example, a revolutionary approach using radical or exotic techniques. The TASC concept is actually based upon the traditional "carrot and stick" philosophy both in recruiting and retaining clients in treatment, using a common sense and rational method of operation. Implementing TASC often entails simply formalizing or systematizing informal or ad hoc procedures already in existence.

TASC is also not a miraculous idea whose successful implementation will rid a community forever of illicit drug abuse or drug and alcohol related crime. It is, in fact, designed primarily for the seriously involved substance abuser who often has a history of criminal activity and presents one of the highest risk categories in terms of successful completion of the entire rehabilitative process. Nonetheless, evaluations of this approach have indicated that significant reductions in illicit drug use and criminal activity can be maintained for these high risk offenders while they participate in TASC monitored treatment. And for about half of all clients, their entry into treatment through TASC will mark the first time these substance abusing offenders will have ever been involved in substance abuse treatment.

Finally, TASC is not the answer to the complex issue of reducing illicit drug use or related crime. It is simply one important approach to be used in a community's broader substance abuse prevention and law enforcement strategy.

It is, however, perhaps the most difficult approach in that the personalities, prejudices, and philosophies of individuals from two different social systems, health care delivery and criminal justice, must be molded into one carefully orchestrated and comprehensive operational effort. Herein lies the final challenge to those who wish to implement the TASC approach. The model has already been tested and proven. The ultimate factor to the successful operation of a TASC project will be the quality of those who plan, develop, and work toward the implementation of the ideas presented in this publication, rather than the quality of the pages that follow.

Peter L. Regner
Chief, Offender Services Branch
Corrections Division
Office of Criminal Justice Programs
Law Enforcement Assistance Administration

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The contents of this TASC Guideline Manual truly represent the joint effort of many contributors. Portions of the Manual were written by Milton Cloud, Richard V. Pryor, Daniel Beardsley, James C. Weissman, Andrew M. Mecca, and myself. The same group served as reviewers of various drafts, along with Rayburn F. Hesse, Larry Kreiss, David N. Speights, Gayle Symonds, and Richard A. Eckert. Mr. Eckert also performed a major rewrite of several segments originated by the above writers and assisted in editing.

Thanks are also due to LEAA's Audio Visual Communications Division, Graphic Services Branch for their design of the cover, to Peter L. Regner and Mary Stuart of LEAA for their many suggestions, and to the real experts on TASC: the project directors and staff of some forty individual TASC projects, whose collective experience is hopefully reflected in these pages.

The final editing and decisions on content were mine, so any errors or inaccuracies are my responsibility. For all that is right in the Manual, I'll gladly settle for a share of the credit with those mentioned above.

Robert B. Stites
Project Director
National Association of State
Drug Abuse Program Coordinators

INTRODUCTION

This manual is offered as a guide and resource for use by communities desiring to implement drug abuse control efforts which utilize and coordinate resources of both the criminal justice and health care systems in arriving at a comprehensive response to drug and drug-related crime. It describes Treatment Alternatives to Street Crime (TASC) as originally designed by the Special Action Office on Drug Abuse Prevention (SAODAP) and modified by the Law Enforcement Assistance Administration (LEAA). The major focus of the manual is upon development of a TASC project suitable for funding through an LEAA discretionary grant. A secondary purpose of the manual, however, is to assist communities in developing TASC-like programs for dealing with substance abusing offenders that could be supported by other funding resources if LEAA support is not sought or not available.

The manual is divided into eight chapters plus six appendices. The first chapter provides the background and history of the TASC concept, describing the factors which brought it into being, its evolution since its inception in 1971-72, the basic functions TASC is expected to perform and its impacts and benefits as it interacts with the criminal justice and treatment systems and the communities it serves.

The second and third chapters describe the planning and application processes a potential TASC community should go through in developing a project and preparing a grant application. Chapter two suggests how a community may define its drug abuse problem in terms of costs to the community and relationships between existing systems working with drug abuse clients, identify key community resources which should be involved in the development and implementation of a TASC project, and organize these resources into a TASC development group. It then discusses how the identified problems and resources may be assessed to articulate specific needs. Chapter three goes through the step by step development of a TASC response. It discusses methods of providing essential TASC functions, establishing criteria for eligibility and participation, and variations in project staffing patterns.

Chapter four discusses the implementation and operation of a TASC project. Such items as the establishment and maintenance of communications with key agencies and the utility of an advisory board; the hiring and deployment of staff; procurement of space, utilities, equipment and supplies; staff training; formalization of operating procedures; and public information activities.

Chapter five focuses on the management and evaluation of a TASC project. Alternative management structures and decision-making processes are described, as are the development of information systems necessary

to provide management with the information it needs to effectively administer the program and meet the reporting and information needs of Federal, State and local agencies. Project evaluation is stressed, including alternatives available for selecting an evaluator, developing an evaluation design, implementing the evaluation, and using the information developed to initiate indicated program modifications.

The sixth chapter considers alternative methods of institutionalizing the functions of TASC when the availability of Federal money ceases. Examples and strategies are described which may be adapted by a community to meet the particular needs and environment of a specific TASC project.

The seventh chapter discusses optional inclusions within the TASC framework. This chapter deals with inclusion of alcoholics and alcohol abusers as well as illicit drug users, special requirements of treatment, and LEAA guidelines which apply to alcohol abusers in TASC. It will also discuss the use of ancillary community resources to enrich the TASC effort and provide TASC clients with job training, job development, and other social and emotional skills necessary to effective rehabilitation.

Chapter eight details the application process for obtaining LEAA financial support for a TASC project. The format of the grant application, submission requirements, and review process are explained. Also discussed are grant adjustment processes and LEAA reporting requirements.

Finally, a series of appendices is included. Checklists useful in planning and developing a TASC project, submitting a grant application, and implementing the project are provided, along with a sample application. A guide to confidentiality requirements is included, along with sample forms useful in operating a project and reporting to State and Federal agencies. Other appendices contain a sample solicitation for evaluation proposals and sample job descriptions for TASC staff.

We hope this manual is useful to the reader and invite comments which would allow additional materials to be developed or provided to individuals and organizations interested in this subject matter. The publication of this manual is part of a program of technical assistance currently being offered by LEAA to potential and existing TASC projects, and readers are invited to make specific requests for additional technical assistance of their local LEAA representative.

CHAPTER I

THE TASC CONCEPT

SUBCHAPTER A. BACKGROUND AND HISTORY OF TASC

Drug dependence has been a problem of increasing severity in the United States, especially during the most recent decade. Depending upon the particular use patterns chosen by an individual and the activity which brought this use to public attention, drug dependence has been variously considered socially acceptable, a physical or mental illness, or criminal behavior at different times in history. Society's response has been in accord with the perception: either nothing was done, the individual received treatment to "cure" the addiction or disease, or the individual was processed through the criminal justice system and punished for the undesired behavior.

During the 1960's and early 1970's, treatment approaches to the growing problem evolved erratically. Use of the traditional psychiatric or medical model was coupled in some instances with court-enforced civil commitment of addicts. At the same time two outgrowths of the counter-cultural movement influenced the treatment of drug problems. Self-help communities of ex-addicts developed methods of confrontation and support to help each other overcome addiction, and free clinics provided early intervention and emergency care to individuals who were experiencing problems from drug use and could not or would not seek help through regular medical channels. The late '60's also saw development of chemotherapy, principally the use of the synthetic opiate methadone to maintain or detoxify heroin addicts. None of these were perceived as being entirely successful in achieving the "cures" desired by society, although they were viewed as performing vital and necessary functions.

The criminal justice system, on the other hand, was no more successful in dealing with the problems of drug abuse and was becoming an increasingly costly method of dealing with the problem. There were indications that increasing amounts of property crimes were attributable to drug abusing offenders. Drug users of all types, from individuals addicted to narcotics through occasional marijuana users, were apprehended, tried, sentenced to prison, jail, or probation, and eventually returned to the community, often to resume the drug using behavior which had resulted in their involvement with the criminal justice system. The sheer volume of drug users being processed through the system was creating additional burdens on law enforcement officers, judges, prosecutors, and personnel and facilities throughout the system. In addition, penal institutions were exposing individuals with relatively slight criminal involvement to hardened criminals, becoming, in the eyes of many policy-makers, "colleges for crime."

Personnel in the two systems developed perspectives consonant with the roles of their institutions in working with the drug abuser. Workers in the treatment system tended to view the drug dependent individual as a social casualty who must be helped toward rehabilitation through the development of personal behavior patterns which would allow needs to be met within socially acceptable lifestyles. Interventions were concerned with improving a drug dependent individual's self image and destroying negative labels such as those occasioned by criminal punishment and the stigma of involvement in the criminal justice system. Many treatment workers were suspicious of criminal justice personnel and feared that any cooperation with that system would be viewed with alarm by their clients.

Stereotypical members of the criminal justice system, on the other hand, viewed the drug abuser as a criminal whose drug usage represented a direct disregard or even flaunting of legal mandates laid down by society. The involvement of many addicts in other crimes, stealing large amounts of property to support their drug using behavior, reinforced this view. Any deviation from traditional correctional methods of dealing with these criminals was considered coddling, and the proponents of any treatment alternatives were looked upon with suspicion.

By the summer of 1971, as the escalating use of drugs drew increasing national attention, the Special Action Office for Drug Abuse Prevention (SAODAP) was created by Executive Order, and later formalized when the Congress unanimously adopted Public Law 92-255 the following spring. One of the concerns of the public and the government was the interrelationship between drug dependence and property crime, which was apparent to most observers regardless of their view of drug abuse itself as illness or crime. Therefore, SAODAP was given authority over criminal justice as well as treatment policies and charged with coordinating all drug abuse treatment and prevention activities.

In focusing on the crime-drug abuse relationships, SAODAP was concerned with the addiction-arrest-release-readdiction-rearrest cycle typical of most opiate abusers. It also found that an insufficient number of treatment openings, compounded by uncertainty among criminal justice officials about treatment modalities and programs, made treatment referrals difficult when that was perceived as an appropriate disposition. Sometimes inadequate treatment and frequently poor accountability by treatment programs exacerbated the problem. It was in these circumstances that SAODAP conceived, in the autumn of 1971, the Treatment Alternatives to Street Crime (TASC) Program to break the addiction-arrest cycle, decrease tensions in jails resulting from individuals suffering withdrawal syndrome, reduce recidivism resulting from opiate addiction, and assist addicts in becoming self-sufficient and law-abiding citizens. Development of the concept continued within SAODAP, and in the spring of 1972, although SAODAP retained policy control, the Law Enforcement Assistance Administration (LEAA) was designated as the implementing agency to reinforce the criminal justice nature of the program. The initial pilot project became operational in August, 1972, in Wilmington, Delaware.

The original TASC model was designed for a narrowly-defined target group; opiate addicts charged with criminal offenses. The approach was to identify all addicts arrested and booked into the city detention facility by means of screening interviews and mass urine screens, arrange for pretrial diversion of those meeting eligibility criteria, provide diagnosis and referral to appropriate treatment, and monitor the client's progress in treatment according to pre-determined objective criteria. The TASC project also provided financial support for treatment programs to supplement existing capacities.

After the first three projects, funded by LEAA, became operational in late 1972, eight more projects were funded by the National Institute of Mental Health (NIMH) in June, 1973. Shortly thereafter, SAODAP, LEAA, and NIMH agreed that LEAA would assume responsibility for monitoring and funding all future TASC projects, but NIMH would monitor and fund the treatment components. The NIMH responsibilities have subsequently been assumed by the National Institute on Drug Abuse (NIDA) along with other NIMH drug abuse activities.

In the months that followed, the evolution of TASC followed changing perception of needs. Early TASC projects found that many arrestees identified as in need of treatment services had to be rejected because extensive criminal and addiction histories made them unlikely candidates for diversion. Pretrial intake was therefore broadened to include both pretrial diversion and pretrial intervention. Post-trial entry was permitted for the first time in September, 1973. Two months later, client eligibility was expanded to include polydrug abusers, because of a concern expressed by several local judges that the program needlessly discriminated against persons dependent upon drugs of abuse other than opiates. During the same period some operational methods were changed also. To reduce client loss before placement in treatment, projects were required to escort clients from court to intake and from intake to treatment. When studies showed screeners' interviews and observations to be generally as effective in identifying drug abusers as urine screening, the mass urine screen was reduced from a requirement to a local option in June, 1974.

In September, 1975, two more options were added: local projects could include juvenile offenders in addition to concentrating on adults, and permission was given to cooperate with outside-funded resources to identify and serve individuals whose primary drug of abuse was alcohol. The latter development was further expanded in January, 1977, when guidelines were established for the optional inclusion of alcoholics and alcohol abusers in any TASC project.

Today the national goals of TASC are to reduce drug related crime and criminal recidivism among substance abusing offenders by providing mechanisms for referral of appropriate offenders to community-based treatment programs.

The evolution of TASC will undoubtedly continue with some current policies being modified and new ones adopted. However, the present requirements, discussed in the next section, allow a wide range of flexibility to adapt TASC to needs of local criminal justice and treatment systems, and of the community at large. With this flexibility, acceptance of the TASC concept is not dependent upon subscription to any extreme views of "treat all drug-abusing offenders," or "punish all drug-abusing offenders." The central principle is that some offenders can be rehabilitated (or habilitated) by existing treatment methods as a substitute for or supplement to punishment. Defining which offenders and what approaches and methods can be systematically used to implement that concept can be left primarily to local community standards.

SUBCHAPTER B . BASIC DESIGN

1. Project Eligibility.

There are three basic eligibility criteria for LEAA consideration for a TASC discretionary grant: a population center (city, county, judicial district, etc.) of at least 200,000 inhabitants; the presence of a significant drug-related crime problem; and the availability of adequate community-based treatment capacity. The rationale for these requirements is quite simple. Because there are certain minimum costs incurred by any project in providing the TASC functions, a population base of under 200,000 generally would not provide a large enough number of TASC clients to make the project cost efficient. The primary goals of TASC are focused upon drug-related crime, therefore it should be obvious that there can be no significant impact if there is no significant problem. As TASC grants can no longer be used to expand treatment capacities and NIDA cannot respond to all demands for treatment expansion, LEAA has agreed with NIDA that it will not stimulate local needs for treatment by initiating TASC projects where treatment capacities are inadequate. As these requirements and the programmatic requirements that follow could be modified in the future it is recommended that interested communities contact the national TASC program office of LEAA for any changes.

2. General Requirements

Consistently through more than five years of development and operation, TASC has been designed to provide treatment alternatives to more conventional processing through the criminal justice system. In meeting the needs of the criminal justice system, the treatment system and the client, a number of functions have been identified which should be addressed in the design of any TASC project. These basic functions of TASC are:

- to identify drug abusers entering the criminal justice system with potential for effective treatment,
- to facilitate the release for treatment of eligible offenders,

- to assess the treatment needs and characteristics of each eligible offender,
- to escort eligible offenders from court to intake center and from intake center to treatment program,
- to refer individuals to appropriate treatment programs, and
- to monitor the progress of TASC clients during the treatment process.

These functions will be discussed at greater length and methods suggested for performing them in Chapter III, Subchapter B. Other program requirements are discussed in the following paragraphs.

Participation in TASC is on a voluntary basis only. TASC is not intended as a civil commitment or similar compulsory measure. It may be argued with some merit that a degree of coercion is involved if the alternative for the offender is remaining in custody but the choice, however limited, should be the offender's. In reality, TASC is not an "easy way out;" many pretrial participants would be eligible for some other form of pretrial release without the obligations they undertake in TASC and the supervision that TASC provides; and the benefits they receive from TASC are dependent upon individual performance.

Objective eligibility criteria must be determined in advance. These criteria will be decided upon locally, but should be defined in terms understood by all concerned agencies, and should be reasonably expected to impact upon serious crime and other local needs.

Results of screening interview and screening urinalysis (if any) may not be used against the prospective client for prosecution purposes. This is not only a logical means to obtain candid responses to interview questions, it is also a requirement of Federal confidentiality regulations. It is important to good working relationships that this be agreed upon by all concerned at the outset.

Each client should be escorted from the court or other point of release to the TASC intake center and from there to the treatment center. The time period between release from custody and commencement of treatment often presents the greatest risk of client loss, which can be eliminated by providing an escort.

Monitored and randomly scheduled urine specimens must be collected and analyzed at least once each week for all TASC clients in treatment. Screening urinalysis must be distinguished from weekly urine monitoring: the former is optional, the latter is mandatory.

A case tracking system should continually monitor the progress of each TASC client to ensure adherence to locally determined objective success/failure criteria. As with eligibility criteria, decisions on success/failure criteria will be made locally. Both the criteria and the tracking system to apply them should be designed for objectivity and evenhanded application.

TASC client dropouts and failures must be promptly reported to the criminal justice system. Provisions should be made for the reporting mechanism and for the prompt apprehension and return of absconding clients.

3. Local Options.

Many local options are implicit in the above requirements. Methods of performing the basic functions are matters for local discretion, as are the criteria for who enters TASC, who continues in TASC, and who is successfully or unsuccessfully terminated from TASC. Local options also extend to questions of where TASC will intervene in the criminal justice system and what benefits the clients will receive: Will the project be exclusively pretrial or also be used as a sentencing alternative? Will clients be diverted (and charges dismissed) or treated while awaiting trial? Many similar questions on project approach can be decided locally.

There are additional options regarding program content. Although LEAA considers TASC as a program primarily for adult offenders, local officials may decide to include juveniles as well, where practical. Similarly, the inclusion of alcoholic or alcohol abusing offenders in TASC eligibility is a local option, so long as equal or greater thrust is given to abusers of other drugs. Within limits, TASC projects can also provide some job development services or access vocational training opportunities by means of support services staff. These optional program elements will be discussed further in Chapter VII.

SUBCHAPTER C. IMPACTS AND BENEFITS

The acceptance and support given to development and implementation of a local TASC project will depend to a large degree on the impacts and benefits which local decision-makers anticipate such a program will have on criminal justice, treatment, and the community as a whole. In developing the particular combination of program components necessary to implement and administer a project to meet specific local goals, it is essential to gain broad support from participating elements. This can be aided by an examination of the specific impacts and benefits to be expected by the criminal justice system and its constituent parts, the treatment system, and the general community.

1. Criminal Justice

A general benefit to the criminal justice system which may be expected from implementation of a TASC project is the development of an

added alternative to traditional approaches. TASC projects are frequently able to reduce the man-hours of processing time in the criminal justice system for individual offenders by accepting some of the classification and supervisory responsibility normally borne by criminal justice system officials. More difficult to accurately measure is the reduction of future caseloads to the extent that recidivism is reduced. Some of the specific impacts and the system components benefitting are:

- Jail overcrowding is eased by expediting pretrial release of some offenders otherwise detained longer. (Sheriff, Corrections Department)
- Jail medical crises are reduced by early identification of arrestees who may need assistance in drug withdrawal. (Sheriff, Corrections Department)
- Professional and objective client assessment and treatment referral recommendations are provided. (Court, Probation, Parole)
- Pretrial supervision is provided for all persons released and entering TASC. (Sheriff, Court, Police)
- Option of pretrial diversion of some offenders is available, reducing trial caseloads. (Prosecutor, Court)
- Periodic progress reports are made on all clients and immediate notice given of client non-compliance with success/failure criteria. (Court, Prosecutor, Probation, Parole)
- Additional option is offered in plea bargaining process. (Prosecutor, Defense Counsel)
- Pretrial treatment "track record" is provided for use in presentence investigation, sentence recommendations. (Probation, Prosecutor, Defense Counsel, Court)
- Sentencing alternative to incarceration is offered. (Court)
- Probation and parole officers are assisted with their caseloads by TASC monitoring treatment progress and reporting to them on a regular basis. (Probation, Parole)

2. Treatment.

TASC benefits the treatment system generally by serving as a buffer or neutral link between treatment programs and criminal justice agencies, reducing friction and the polarization of attitudes. More specific impacts are:

- All criminal justice related activities of clients (identifica-

tion, recruitment, referral, court appearances) are handled by TASC, allowing treatment counselors to give more time to therapeutic processes.

- Inappropriate referrals from criminal justice officials untrained in substance abuse treatment are reduced.
- Basic social history and substance abuse history (or more) are provided on all new referrals, reducing the treatment program's own intake processing time.
- Flow of clients referred by TASC helps programs maintain client census at a higher level and reduces census fluctuations.
- Client retention rates are increased through criminal justice sanctions.
- Client and treatment program access to ancillary or support services are often improved.
- Client-counselor relationship is improved by use of objective success/failure criteria monitored by a third party.
- Third party monitoring improves the treatment program's credibility within the criminal justice system and the community.

3. Community.

All of the listed impacts upon the criminal justice and treatment systems are of benefit to the local government and general community. Additional impacts are:

- TASC promotes harmony between criminal justice and treatment agencies by emphasizing common interests rather than differences.
- Community resources are marshalled for a more effective attack on drug-related crime.
- Costs of processing and maintaining substance abusing offenders are reduced.
- Costs of property crime committed by treated offenders are reduced.

CHAPTER II

INITIAL PLANNING

Once a decision is made to explore the applicability of the TASC model to a particular community, an adequate planning process must be begun. As with all planning processes, the initial step is problem definition. Resource identification, specification of gaps and needs, formulation of goals, and development of an action plan follow.

The TASC planning process is unusually complex due to the systems interface nature of the program. The problem must be defined from the perspectives of both the treatment and criminal justice systems and data must be collected from elements of both systems. It is important to identify, collect and analyze data which reflect upon the nature of the drug abuse problem and its relationship to crime in the target community. An understanding of both data systems and the substantive features of the criminal justice and treatment systems is essential in undertaking this process. It is also necessary to identify and involve key personnel and agencies working on the problems of drug abuse in both systems. Skill in community organization must also be employed in considering TASC design and implementation.

At an early stage in the planning process leading to an application for LEAA funding of a TASC project, contact should be made with the State Planning Agency for Criminal Justice (SPA), the Single State Agency for Drug Abuse Prevention (SSA), their sub-state regional counterparts, and the LEAA national TASC program office. These agencies may provide assistance in planning and, on the criminal justice side, will be directly involved in the application review process.

Planning requires careful organization, a sound theoretical frame of reference, and completeness in execution. Although the customs and specialized needs of any single community may be unique, the goal of this chapter is to outline a generic planning process which has proven to be valid in existing TASC communities.

SUBCHAPTER A. PROBLEM DEFINITION

In too many instances a TASC planning effort is approached as a necessary evil required by the grant application process. Many of the decisions on the nature and scope of the problem and the desired programmatic response have already been made before planning commences, and the process is used to justify these decisions and develop a formal grant application. On other occasions, staff and data resources are limited, and as grant submission deadlines approach, scientific rigor is sacrificed for administrative expediency. While decisions reached under such circumstances may produce quality programs, the element of chance is reduced by following the entire planning process with integrity in examining the nature of the problem and designing the best possible response to the problem which is feasible within the selected community.

The first step in the planning process should be to examine the impact of the drug abuse problem on the local criminal justice system in terms of its current magnitude and costs. Data must be generated and subjected to knowledgeable scrutiny. Qualitative impressions of "the problem" must be translated into quantitative estimates measuring a wide range of factors.

In examining this impact, planners must identify and quantify the extent of drug abuse in the area to be served and specifically within the criminal justice offender population. They must also determine the current procedures for processing those offenders and the costs of this processing. Simply stated, the critical questions are, "How many and what kinds of drug abusers enter the various components of the criminal justice system?" and, "What dispositions do these offenders receive?" The answers to these queries reveal the nature and extent of the need for a TASC project and represent the first step in program planning.

Some data sources for both criminal justice and treatment information are fairly standard. Substate regional planning mechanisms for criminal justice and drug abuse are nearly universal and regional/local planners may serve as a primary source of information.

Criminal justice data collection is usually quite complex. For the most part, the three major branches of the criminal justice system, i.e., law enforcement, the courts, and corrections, operate autonomous data systems. Police collect arrest information, the courts count cases, and corrections identifies offender locations. Data collection efforts tend to be segmental and discontinuous, limited to a particular agency or stage of criminal processing.

When such is the case, the planning task becomes more complicated. Police statistics often contain the number of specific drug offenses which are committed, but fail to indicate the number of individuals committing these offenses. Even when reports indicate the number of offenders, there is seldom any information on the number of drug dependent offenders arrested for property crimes, prostitution, and a wide variety of other offenses frequently committed by such individuals. In most criminal justice information systems, even if such offense data are available, it is difficult to discern the disposition of offenses. Some jurisdictions are implementing data systems to track offenders through the criminal justice process. Where such systems are operational, and some indication of the offender's drug dependent status is entered into the data system, the TASC planning effort is greatly facilitated.

Another type of information needed to effectively plan a TASC project is gained through an assessment of the community treatment capacity. A TASC effort requires the availability of sufficient treatment slots to accommodate drug abuse offenders expected to be referred from the criminal justice system. Basic treatment resource information is often available from health care planning and funding agencies as well as through recognized treatment programs within the community and the SSA.

Treatment data for federally-funded programs and some others are centralized in an integrated data system known as Client Oriented Data Acquisition Process (CODAP). CODAP data should be verified with local treatment agencies for accuracy and currency.

In addition to discussing treatment availability with representatives of drug abuse, alcohol abuse, and mental health programs, planners may investigate a wide range of "alternatives" programs including manpower programs, first-offender projects, and community service organizations. Some of these organizations may already be affiliated with elements of the criminal justice system, giving a local TASC effort even more flexibility.

In the ideal system, not only are offender and treatment data readily available, but cost/benefit information has also been developed. Some planning agencies attempt to rigorously analyze cost implications of the various systems within their area of responsibility. For instance, drug abuse funding agencies can readily ascertain actual treatment costs of existing programs. Criminal justice agencies are less apt to have reliable cost figures available, although the costs of arresting, adjudicating, and supervising or incarcerating offenders are available in some jurisdictions. Where accessible, cost/benefit data should be used.

One of the most direct methods of measuring the extent and nature of substance abuse, as well as previous treatment experience, among the offender population is the use of a jail or arrest survey. Some of the early TASC projects conducted extensive jail population studies with planning funds from the High Impact Crime Cities program. Since TASC progressed from its early demonstration phase, planning grants are no longer available but similar studies can be made at modest cost.

With the permission and cooperation of the Sheriff or other official in charge of a "lock-up" or detention facility, an arrest survey could be conducted during the booking process for a period of 15 to 30 days. All arrestees, or if the volume is too great, a substantial random sample, can be interviewed briefly for limited demographic information, offense charged, criminal history, and substance abuse history. Frequently, volunteer interviewers can be obtained by arrangement with nearby universities or colleges, preferably from schools for health professions or social services; in other cities it may be possible to borrow staff members from treatment programs. Care must be taken to protect the anonymity of respondents, with the express approval of criminal justice officials. A sample arrest survey instrument is included in Appendix D.

SUBCHAPTER B. IDENTIFYING AND INVOLVING KEY ACTORS

Descriptive data documenting the need for a TASC project should be used to organize and solidify community support for development of the project. Broad-based support must be elicited from the principal actors within the treatment and criminal justice systems. Furthermore, there must be support from the elected officials who ultimately must approve grant applications and provide the needed local share of funds.

This aspect of TASC planning requires a practical knowledge of community organizing techniques. The TASC planner must be able to identify the key actors and enlist their support for a TASC project. The process of identifying these actors is not difficult. The principal persons to approach are the criminal justice, treatment, and general governmental decision-makers of the community. There must be sufficient consensus in support of TASC among this group to permit development of a formal grant application. As the effectiveness of a TASC operation depends upon the genuine cooperation of many agencies, opposition by a key agency may be fatal.

A generalized list of these "key actors" should include the following persons or agencies:

1. Elected officials representing general governmental bodies (county commissioners, mayors, city councilmen, etc.)
2. Police chiefs
3. Prosecutor
4. Judges (particularly presiding or chief judges)
5. Court administrators
6. Public Defender
7. Sheriff or correctional administrators
8. Probation and parole administrators
9. Criminal justice planning bodies (local, regional, and State), including appointed advisory boards
10. Substance abuse planning bodies (local, regional, and State), including advisory boards
11. Substance abuse treatment programs
12. Other health care and treatment agencies
13. Community social planning agencies
14. Alternatives programs, such as pretrial release, first-offender, manpower, vocation rehabilitation, etc., programs
15. Local bar association

Quite obviously, the garnering of support of some of these agencies is more critical than of other agencies. Perhaps the best method of approaching the mobilization of support is first to identify the actors and agencies without whose support a TASC project could not

effectively operate. This functional approach clarifies the chief decision-makers whose support is needed and sets forth an action strategy for the TASC planner.

On the criminal justice side, the most important actors are the prosecutor, presiding judge(s), public defender, chief probation/parole officer, and sheriff or local corrections director. Failure to secure endorsement of these figures could be an insurmountable obstacle to the development of a TASC grant application. When possible, support should also be secured from the other criminal justice actors and agencies delineated above.

With respect to the treatment sector, active support must be secured from an appropriate range of treatment resources. The support must be real in terms of an affirmative commitment to accept TASC clients and participate in the TASC process. As mentioned earlier, the TASC planner should consider all available treatment resources, including non-traditional "alternatives" programs. Participation should also be elicited from agencies with responsibility for planning and funding the activities of criminal justice and treatment agencies. General governmental agencies should also be invited to have their representatives participate in the planning process.

The formula for successfully involving these key actors and agencies is simple and straightforward: Involve them as early in the planning process as possible and engage their active participation in developing the project design.

The choice of modus operandi for achieving this objective differs from community to community. In some communities TASC planners have used existing criminal justice/substance abuse task forces or similar bodies. Planners in other communities have started with local criminal justice and drug abuse advisory boards, while a third option has been to convene all of the critical actors for the exclusive purpose of discussing the development of a TASC proposal, followed by the formation of a staff-level working group to design the project.

What is critical in any case is the identification and maintenance of an "open" planning process between all involved agencies. One agency or person should emerge as the lead agency and serve as facilitator for the planning process. At an early point, the lead agency must poll the other involved actors and agencies to determine their wishes regarding development of a TASC project. Thereafter, all participants must be given continuing input into the TASC planning through constant dialogue if their commitment is to be maintained. The lead agency should be prepared to commit sufficient staff time to the planning and application processes.

Again, the actual methodology of achieving that collaborative, interactive planning goal may vary. Some TASC planners have successfully used the large group process, frequently convening all involved agencies to planning meetings during which the project design is

developed. Other planners prefer less frequent large group meetings with more emphasis on small working group or one-to-one meetings between the lead agency and the individual actors and agencies. Proponents may also wish to consider organizing the planning effort in such a fashion that participants may continue to meet and function as an advisory board to the project as plans are implemented.

Selection of the particular planning strategy depends upon local variables such as the operative political structure, dominant personalities, and organization of the criminal justice and treatment systems. The important element to be observed, however, is openness and flexibility within the planning process. Development of the proposal and project design should be conceptualized as a multi-party negotiation process among the various agencies. For example, the specification of criteria for eligibility and for success or failure must be negotiated between criminal justice and treatment agencies who may well have widely divergent opinions regarding such criteria.

The goal of this process is to organize the criminal justice, treatment, and general governmental communities in support of the TASC concept and to translate that support into development of and commitment to a written project proposal. Adherence to general planning and community organization principles, coupled with an adequate understanding of the internal dynamics of the involved systems, should provide the necessary means to achieve that goal.

SUBCHAPTER C. ASSESSMENT OF NEEDS

Inevitably, the interactive planning process will lead to a re-examination and redefinition of the initial problem statement. The disparate interests and perspectives involved in the planning process will identify weaknesses and gaps in the data base. Prior to preparation of the formal grant application, it will be necessary to resolve these deficiencies and to quantify, as completely as possible, the expectations participants have for TASC in relation to the problem statement.

Applying the methodology described earlier, the TASC planner will consider the adequacy of the data base in regard to specification of the number and types of drug abusers entering the criminal justice system, the nature of the dispositional outcomes afforded those offenders, and the extent and nature of treatment capacity for potential TASC clients. If insufficient data are available in any of these areas, the planner must generate additional data to refine the problem statement, to the extent feasible.

The rationale for this is twofold. First, the grant review process requires a reasonable degree of clarity and precision. Problem statements of a loose, qualitative or subjective thrust are poor justification for obtaining a TASC grant. The second and equally important reason is effective program planning. Irrespective of funding factors, a TASC planning group should seek to assure that the program

design is based on actual community needs and will function as described in the grant application. Inaccurate projections will only hinder the project as it is being implemented.

Generation of additional data is facilitated by the availability of a committed interactive planning or advisory body. The individual members of the TASC planning group will not only identify deficiencies and gaps but are also in a position to remedy these problems by returning to their agencies and collecting and analyzing the needed data. For example, if the initial problem statement does not satisfactorily describe drug offender sentencing patterns, the presiding judge and court administrator may obtain such data.

The need for quantifying problem definition data cannot be overstated. For instance, if client caseloads during the first year of operation are estimated poorly, the repercussions could be immense. Staffing patterns will be inadequate, the various units of the project will not operate efficiently, and the project may fail as a viable and credible operation.

To avoid this possibility, the TASC planner shall be prepared to describe the number and types of drug abusers entering each stage of the criminal justice process, i.e., arrest, prosecution, pretrial diversion, community supervision, and incarceration, and to describe the current practices for processing those offenders. From this data base, the planner can reasonably project the number of potential TASC clients for each point of intervention in the criminal justice process and for the project as a whole. The offender estimates, as correlated with the points of intervention, must be cross-referenced to the available treatment placements.

Completion of this process in a rigorous manner ensures efficient and effective program planning. Although some of the requisite data may not be available for technical reasons, most of it can be obtained. The TASC planning group can collect and analyze these data, using the total community as a resource for this task. Commitments to this endeavor will result in a satisfactory assessment of needs and will permit formulation of the action plan to address those needs.

CHAPTER III

PLANNING THE TASC RESPONSE

Having identified and refined the interrelated needs of the criminal justice-substance abuse systems, it is well to keep in mind a few limitations while designing the TASC response. These limitations fall into three categories: legal, policy, and practical.

Legal concerns arise because TASC clients are persons accused (or convicted) of crimes. The very "health problem" being treated is itself criminal behavior in most jurisdictions. The legal status or liberty of TASC clients may thus be directly and adversely affected if their rights are not protected.

Policy restraints may be imposed by funding or oversight agencies, usually to maximize the impact of available resources on the narrowly defined problem area of a grant program and to avoid duplication of efforts and conflicts caused by overlapping with other grant programs. Practical limitations differ widely from jurisdiction to jurisdiction, but generally involve limited resources and restraints indicated by local community attitudes and standards.

Specific examples of all three categories will be mentioned in the following paragraphs. At this point it is sufficient to recognize that TASC may not be able to address all problems of substance abuse related crime.

SUBCHAPTER A. GOALS AND OBJECTIVES

Establishing goals and objectives for a TASC program must be a continuing process of formulating and revising as planning moves forward. As recognized in the previous chapter, the entire planning process must be a fluid one, with each added ingredient triggering a review for compatibility with earlier ingredients and modification of any elements as needed. The first step in goal setting is to review the identified needs and establish tentative priorities among them, purely from the perspective of need: Which are the greatest problems to the criminal justice system? To the substance abuse treatment network? To the community? To the substance abuser? Some typical problems (not in priority order) are:

- Overcrowded jail with large numbers of pre-trial detainees.
- Poor appearance record of substance abusing defendants released on bail.
- No release on own recognizance (ROR) program, or exclusion of substance abusers from such a program.
- Resumption of criminal activity by drug abusers while on bail or ROR

- Judges, prosecutors, etc., lack confidence in local treatment programs, or lack knowledge of treatment approaches.
- Large court backlog of criminal cases awaiting trial.
- Many treatment programs competing in criminal justice outreach efforts.
- Rehabilitated substance abusers can't get jobs because of criminal records or drug histories.
- Large probation caseloads prevent probation officers from giving sufficient personal attention to known substance abusers.
- High incidence of heroin addiction (or alcoholism, or barbiturate dependence, etc.)
- Inadequate variety of treatment modalities.
- Inadequate treatment program capacities.

After tentatively ranking the needs, responses to meet such needs must be considered from two perspectives: 1) costs, and 2) opportunities for greatest impact.

While the grantsman is always attuned to monetary cost, it must be stressed that social and political costs of programs should be given equal (or greater) weight. For an example not dependent upon the involvement of substance abusers, assume an overcrowded jail and heavy court backlog: Both could be ameliorated at a monetary saving by reducing the police force and/or making fewer arrests for non-violent crime, but the social cost of such a policy includes a probable increase in property crimes, and political costs for officials supporting such a plan would likely be great.

Consideration of the opportunities for impact is more complex. It involves weighing the cost factors required to meet a specific need and balancing the greatest needs against the optimum allocation of limited resources. A high priority need may require such expensive means that several lower priority but still important needs could be met at the same cost. Thus, the overall impact could be greater by concentrating resources on the lesser priorities. Conversely, the high cost of meeting the higher priority must be justified if it would have greater overall impact or would provide a base for meeting additional needs at small incremental costs.

Some of the identified and ranked needs cannot be met through a TASC project alone. For example, TASC is not likely to make a major reduction in an area's total crime rate or its incidence of substance abuse for the simple reason that the project will deal with a few hundred persons of the thousands involved in these activities. Nor

will a TASC project have a direct effect in increasing treatment capacities and improving the variety of treatment choices, but it could indirectly affect these by use of non-traditional treatment resources.

In specifying goals and objectives, it is necessary to have a concise definition of each term and to understand the differences in how they are used. Goals denote the qualitative ends that are being sought, e.g., reduction in a jailed population, while objectives denote the quantitative steps toward achieving those ends, e.g., referral of x number of drug dependent offenders from the jail to a participating treatment facility within y hours of arrest. After the problem has been defined, key individuals and resources have been identified and needs and attainability factors assessed, this information must be synthesized into a statement of goals sought. Objectives must then be quantified by realistically considering their relevance to the stated goals, the resources available or to become available, and obstacles to be overcome in achieving each objective.

Goals established must, of course, be consonant with the national TASC goals (see Chapter I, Subchapter A) of LEAA in order to qualify for the grant program. Within national goals, and at least as important for the success of any TASC effort, local impact must be considered. The principal purpose of the TASC program is to assist in solving local problems and, as LEAA funding is for a relatively short period of time, to demonstrate the value of TASC locally. The success and continued existence of a TASC project depends upon its articulation of, and measured response to, the local problems it seeks to address.

SUBCHAPTER B. TASC FUNCTIONS

Essential operational functions of TASC are identification, court liaison, escort, assessment, referral, and monitoring. Many approaches to providing these functions have been used by TASC projects, affected by such variables as project size, local criminal justice procedure, existing outside resources, and geographic characteristics. The purpose of each function and some of the methods that may be used are discussed below. Although each of these functions is described separately, each is dependent upon the performance of all other activities. It should be obvious that without effective identification, for example, there would be too few clients entering the TASC process for other functions to be effective; it is equally true that unless other functions are being carried out as expected, screeners will be ineffective in "recruiting" clients.

1. Identification.

The purposes of this step are to identify substance abusers entering the criminal justice system, inform them of the TASC program's benefits and requirements, and preliminarily determine eligibility. This is most effectively done in a brief interview as soon as possible after the individual has been arrested and booked into a detention facility. In highly populated jurisdictions, screening units may cover a central detention facility 24 hours per day, 7 days per week. In

smaller jurisdictions or those with several decentralized facilities, it is more cost efficient to provide screening coverage for shorter hours and use back-up mechanisms such as checking arrest or booking records, interviewing at first court appearance, or other alternatives, to pick up those missed at the earlier point. If there is an existing pretrial release (PTR) agency, bail project, or similar program that routinely interviews all or most arrestees, it has proven effective to provide substance abuse training for that screening staff and supplement them by assigning one or two TASC staff to assist in handling the increased workload (slightly longer interview, usually more interviewees), so that TASC screening can be incorporated into normal PTR screening. For such joint PTR-TASC screening to succeed, full cooperation of both projects is needed.

In addition to interview questions and answers, with verification of key points, the trained screener observes the arrestee's appearance and conduct, and in some projects obtains a urine sample to be tested for the presence of drugs. (Most projects today use a urine test to confirm the screener's identification, either in all cases identified as drug dependent or in borderline cases; some projects have completely dropped urine tests as a means of identification.) Since the initial TASC contact with an arrestee usually occurs shortly after arrest and often before an attorney has been consulted or the arrestee has appeared in court, the screeners must take care that no rights are violated. The arrestee should not be coerced into participating in the interview, should be informed that he need not answer, and should also be told the information given to the screener is confidential under Federal law, cannot be disclosed without written consent or as provided in that law, and cannot be used for prosecution or criminal investigation purposes.

2. Court Liaison.

The functions of this step are to gather necessary information on eligible persons who volunteer for TASC participation, provide this information (with the offender's voluntary consent) to the judge or others in the decision-making process, and to facilitate the individual's release from custody for referral to treatment. All needed information may be obtainable from the screener, or information obtained in that manner may need to be supplemented or verified. With the potential client's consent, information bearing upon eligibility is given to the judge, prosecuting attorney, and/or defense attorney. Court liaison staff may or may not be present in court, but even if present should not advocate for or against the client. They merely present objective information to those who do advocate or make decisions about release. If approved by the court, the client may be released on personal recognizance, supervised release, or conditioned bond (any of the foregoing preferably conditioned upon TASC participation), or on straight cash bond. Following release from custody, a client's prosecution may be deferred with an agreement that charges will be dismissed upon successful completion of treatment; prosecution may be delayed to allow time for treatment but with no promise of dismissal;

or the criminal process may move at its normal pace with the client given an opportunity for treatment while awaiting trial or other disposition.

While the primary emphasis in TASC is upon pretrial entry, post-conviction entry is also acceptable in most projects. This may occur as a TASC supervised condition of probation imposed by the sentencing judge (or TASC condition of parole imposed by the parole authority) or as a referral to TASC from the probation or parole officer charged with the client's supervision. Frequently, TASC clients in good standing whose charges are adjudicated before treatment is completed are sentenced to TASC conditioned probation to complete treatment.

In any of the above cases the court liaison staff usually has responsibility for transmitting eligibility information to a presentence investigation agency or directly to the court, probation or parole authority. Although the term "court liaison staff" has been used frequently in this section, the function can be performed in several ways. There may be one or more staff assigned only to those duties, or the responsibilities may be performed by screeners, trackers, or assistant project director in addition to their other duties, depending upon the demands of the workload.

3. Escort.

This step serves to expedite TASC pre-treatment processing of a client and to reduce client loss before treatment. Early TASC projects and some similar programs found that a significant number of clients who volunteered for treatment and were released with the condition that they appear at an intake center at a specified time failed to keep their appointments on time or, in some cases, to appear at all. Since irresponsibility is often a characteristic of drug abusers that is generally dealt with in a treatment program, it is unrealistic to insist on totally responsible behavior as a precondition to treatment. Thus TASC projects are required to routinely escort newly released clients from court or jail to the intake location and, upon referral, to the treatment center for the client's first treatment appointment. This is sometimes done by staff assigned primarily to escort duties, but more often is an additional duty of court liaison or screening staff (to intake) and/or monitoring staff (to treatment).

4. Assessment.

Here the client's treatment, rehabilitation, and related needs, and his amenability to treatment are assessed in order to verify program eligibility and recommend the most appropriate treatment approach and modality. In various TASC projects this function may be called diagnosis, client evaluation, or simply intake, but the term assessment is more generically descriptive of the function as practiced.

The assessment staff usually completes social, criminal, and substance abuse histories, obtains records of previous treatment, administers and interprets needed tests, and summarizes this information in an inventory of the client's needs and characteristics sufficient to suggest a treatment modality. The depth of assessment will vary greatly among TASC projects depending upon uses to which the information and conclusions developed are put.

In designing this function, planners should consider the extent and nature of available treatment resources, information needs of treatment programs at the time of admission, and the time required to obtain the necessary information. It is important that there be no unnecessary delay in commencing treatment, so emphasis should be placed upon a speedy determination of the indicated treatment modality -- at least on a temporary basis -- with more thorough assessment completed after treatment has begun if additional information is needed.

In a very few TASC projects, the assessment staff prepares a treatment plan that is followed by the treatment programs. It generally appears more appropriate, however, for the treatment provider to have responsibility for preparing the treatment plan in consultation with TASC.

Assessment activities may be organized in a variety of fashions. Where there is an existing central intake unit (CIU) or similar agency functioning, arrangements should be made for the CIU to handle TASC assessments with supplemental staff, if needed, furnished by TASC. When a CIU is not available, most TASC's use one or more assessment workers, with support from professional psychologists, psychiatrists, or physicians on a part-time or fee per case basis as needed. A few projects include a full-time psychologist; at the other extreme, a few have no full-time assessment workers but provide for this function through use of specially trained screeners or multi-purpose case workers.

5. Referral.

When assessment has been completed, this function arranges for a client's entry into treatment, seeing that the client and necessary records or documents arrive at the selected treatment center. Tied closely to the assessment function, referral is primarily concerned with matching a client's assessed needs with the appropriate organization and program. The referral staff needs to know the admission criteria and procedures of treatment and ancillary service providers, the availability of treatment openings, and treatment approaches and regimes of providers.

This function is usually performed by the assessment staff or by client monitors. For resources to be used effectively, referral must be well coordinated if more than one staff member is independently making referral decisions.

6. Monitoring.

Probably nothing does more to establish the credibility of TASC, or drug abuse treatment, than regular, accurate, objective monitoring of TASC clients. The monitoring (or tracking) functions are to measure the client's progress by pre-established objective criteria and to make periodic reports of client performance and immediate reports of failures to responsible criminal justice officials.

The monitoring staff makes periodic contact with clients and treatment counselors in carrying out this activity. Weekly visits are usual or, if circumstances make that impractical, weekly telephone calls and face to face visits at least monthly take place. This component also receives periodic urine monitoring results (random weekly urine drug screen assays are required for each drug abuser, although other measures of sobriety may be used for alcohol abusers); immediate notice of client failure; periodic written progress reports from treatment agencies (a brief monthly report, perhaps a more detailed report less frequently); and maintains files documenting client progress.

The monitor also has responsibility for recommending client transfers between treatment programs when necessary. It should be stressed that where post-conviction or post-incarceration clients participate in TASC, the monitor does not replace but rather supplements the probation or parole officer's supervision. In essence, the monitor is a link between the treatment and criminal justice agencies, and must avoid the temptation to become either another treatment counselor or another probation officer.

TASC projects usually employ a minimum of two monitors (or "trackers") with primary duties in that area, or they may use several multi-purpose caseworkers who combine monitoring with other responsibilities. The number of monitors depends upon the number of "static" TASC clients, the number of treatment programs involved, and the distances or traffic conditions between sites.

SUBCHAPTER C. STANDARDS.

TASC project planners need to incorporate in their project design reasonable objective criteria for entry into, continuation in, and termination from the program. The need for objectivity is both programmatic and legal. TASC staff, criminal justice officials, treatment program staff, and clients need to have a mutual understanding and acceptance of what makes a person eligible or ineligible for entrance, what is expected of the client for treatment to continue, and what behavior will lead to favorable or unfavorable termination. Without objective criteria, a great deal of time and effort can be wasted by subjective decisions which ignore past actions or future requirements. Furthermore, TASC efforts cannot be focused on desired goals and objectives if decisions are inconsistent.

Legally, it must be remembered that clients or would-be clients are persons accused or convicted of crime; exclusion from TASC or unfavorable termination from the program could result in a loss of freedom or other legal sanctions. Therefore, legal rights to "due process of law" and "equal protection of the law" are applicable. Generally, "due process" requires that procedures be fair and that other substantive legal rights not be infringed; "equal protection" requires that any distinctions or classifications be reasonable and related to the benefit or penalty concerned. In practice this means that the standards must be drawn in a manner related to the functions and objectives of the project, leaving little room for arbitrary or subjective application.

It is worth noting that at least one state's highest court has ruled that defendants could not be excluded from consideration for a pretrial intervention program solely because of the offense charged, and that persons denied admission to such programs have a right to know the reason(s) for their exclusion and to have an informal hearing with respect to that decision. It is doubtful that other states will soon follow the holding on broad eligibility, but many states have or are likely to take similar positions regarding the need for hearings.

1. Eligibility Criteria.

There is a temptation to draft eligibility criteria broadly or vaguely in order to give a large number of arrestees consideration for admission, even though all cannot be accepted, or to give a criminal justice official greater selectivity in approving or vetoing clients. This not only runs afoul of legal rights; it requires screeners, court liaison, and others to spend time and energy on cases that are rejected when this could be avoided. For example, with unclear criteria, screeners and assessment workers might spend hours processing an accused armed robber when the criminal justice system would not consider pretrial release of such an offender to TASC. Realistic standards should consider the project's objectives, treatment availability (both type and amount), rehabilitation potential, risks to the individual and community, and benefits to the client. On the last point, it is quite reasonable to require higher standards of eligibility for clients whose charges will be dismissed upon completion of treatment than for clients who eventually will have to stand trial.

Usual eligibility criteria have standards of inclusion and exclusion. The major inclusive criteria are current criminal justice involvement and current substance abuse. Exclusive criteria concern the type of offense, previous criminal or behavioral history, age of offender, nature of substance abuse (drug used, frequency, history), and previous treatment history. Assuming a full range of treatment resources is available, a sample of general eligibility criteria might be:

- (1) Currently charged with or convicted of a felony or misdemeanor offense, excluding

- (a) Persons arrested or detained on an out-of-county or Federal warrant.
 - (b) Persons charged with violent offenses (murder, aggravated assault, rape, robbery with bodily harm),
 - (c) Persons charged with sale or distribution of controlled substances, except convenience sale of small amounts.
- (2) Currently regular use of or dependence upon opiates, polydrugs, or mixed drugs, as evidenced by at least two of the following:
- (a) Self-admission.
 - (b) Symptoms observed by screener.
 - (c) Positive urine drug screen.
 - (d) Record of previous treatment.
 - (e) Statement of family member, employer, arresting officer, or significant other.
- (3) No previous convictions for violent offenses.
- (4) No previous TASC failure within 12 months.
- (5) At least 18 years of age, or 16-17 years of age and charged as an adult offender.

Additional criteria for eligibility for diversion (including dismissal of charges) might be:

- (6) No previous felony conviction, and no more than one previous misdemeanor conviction.
- (7) No other charges currently pending.
- (8) No history of violent behavior.

At the other end of the scale, certain requirements might be relaxed for admission as a condition of probation or parole; for example, current or previous convictions of violent offenses might be deleted if the offender is eligible for probation or parole regardless of the offense.

It must be stressed that the foregoing are samples only. Perhaps more than any other aspect of TASC planning, eligibility criteria require participation by all sectors of the local criminal justice and treatment systems: judges, prosecutor, public and private defenders, sheriff, probation and parole, treatment programs, and other service providers.

2. Success/Failure Criteria.

These standards serve a dual purpose: they provide criteria for measuring progress required to remain in the program and sequential criteria for successful completion. As a corollary, they define unsatisfactory progress and criteria for termination. The criteria should be measurable, be related to project goals and objectives, and should reflect the consensus of criminal justice and treatment system expectations of client performance. Sample criteria consistent with goals of reducing drug abuse and criminal recidivism among those admitted to TASC are:

- (1) Regular attendance at the assigned treatment program, defined as:
 - (a) No unexcused absence from a residential program for more than 12 hours.
 - (b) No more than one consecutive unexcused absence from an outpatient program appointment; no more than three appointments missed in the first 30 days of treatment; no more than two appointments missed in any 60 day period thereafter.
- (2) Satisfactory weekly urine drug screen results, defined as:
 - (a) No more than two urines tested positive for non-prescribed drugs in the first 30 days of treatment.
 - (b) No more than one urine tested positive in any 30 day period before last two months of planned treatment.
 - (c) No urines tested positive in last two months of treatment.
- (3) Avoidance of criminal behavior.
 - (a) No conviction for a new offense committed after entering TASC.
 - (b) No arrest resulting in detention for a new offense.
 - (c) Arrests not resulting in detention will cause an automatic review and possible termination.
- (4) A client will be deemed to have successfully completed treatment when:
 - (a) He/she has completed the usual requirements for successful completion of the treatment program and has completed the mandated period of diversion, probation, or other criminal justice referral to TASC; or

- (b) He/she has completed the period of criminal justice referral and has made satisfactory progress in treatment for at least nine months and has agreed to remain in treatment without formal TASC supervision.

It should be noted that, although the success criteria need to be objective, they need not be rigid. There should be sufficient flexibility to allow the client to be progressively more successful as a result of treatment, rather than require a complete change of behavior upon commencing treatment. There can also be room for some flexibility in application of the criteria; such as a "trouble alert" system, or convening an informal hearing to deal with an infraction. Such a forum could also be used for termination hearings to satisfy "due process" requirements.

SUBCHAPTER D. DIVISION OF LABOR

In discussing operational functions of TASC, several references were made to alternative methods of performing such functions. This section is concerned with piecing together some of those alternatives to provide line functions and management in a manner that maximizes utilization of staff and other resources. A few of the variables that need to be considered in organizing and staffing a TASC project are: size (population and area) of the jurisdiction to be served, volume of arrestees, volume of anticipated TASC clients, structure and procedures of the criminal justice system, organization or coordination of the treatment system, existence and procedures of agencies providing some TASC-like services (e.g., release on own recognizance (ROR), pretrial release (PTR), central intake unit (CIU) etc.) and the nature of the organization which will operate the TASC project.

To illustrate the application of these variables on the staffing configuration, consider a hypothetical major city with a high volume of arrests, bond hearings within 24 hours, projection of 600+ clients per year, no ROR, PTR, or CIU, and no central authority over a wide variety of treatment programs. The staffing pattern might look like this:

Project Director	Intake & Assessment Supervisor
Deputy Project Director	Psychologist
Executive Secretary	2 Intake and Assessment Workers
6 Screeners	Tracking Supervisor
2 Court Liaison Workers	6 Trackers
Support Services Coordinator	Tracking Clerk
2 Secretaries	Escort-Driver

This staff of 27 obviously represents a high personnel budget and is used as an extreme example that would be difficult to justify in many, if any, cities.

The first three positions are an administrative unit responsible for project management, general supervision, community relations, etc. (if the TASC project is a free-standing entity, as distinguished from a part of a larger agency, a bookkeeper or other fiscal staff may be needed as well). The screening unit is predicated upon around-the-clock, seven day screening: this would require 21 eight hour shifts to have one screener on duty at all times, and a minimum of six screeners would be needed to provide for days off due to vacations, sickness, and holidays. The screeners would have time for brief interviews and some verification contacts. One court liaison worker would probably be needed almost full-time at bond hearings, the second would do criminal record checks, other verifications, upper court appearances, contacts with the prosecuting attorney, etc.

The intake unit of four persons would do needs assessments, intake interviews, arrange for and/or administer needed tests, and arrange treatment placements coordinated by the supervisor. The tracking unit would be responsible for all monitoring, the trackers carrying case-loads, the supervisor and clerk making routine telephone contacts with treatment programs, receiving exception reports (reports of absences, dirty urines, or other exceptions from normal progress), maintaining tracking records, and assuring that reports to criminal justice agencies are ready when needed. The support services coordinator, in cooperation with intake and tracking, would arrange for client placement in non-traditional treatment agencies as a supplement to or substitute for traditional drug treatment, arrange educational, vocational, or training opportunities, and maintain liaison with ancillary service agencies. The secretarial staff and escort-driver positions should be self-explanatory.

In the above illustration there is a distinct division of responsibility among the several units with the client moving from unit to unit as he/she proceeds through the TASC system. In a small project there can still be division of responsibility, but with considerable overlap. A city or county of more moderate size with fewer arrests and a projection of about 300 clients per year, but similar in other respects to the first hypothetical might use this staff pattern:

- Project Director
- Deputy Director/Court Liaison
- 3 Screeners
- Intake and Referral Coordinator
- 3 Trackers
- Support Services Coordinator
- 2 Secretaries

In this example, screening is a one-shift activity, but the hours may well vary from normal TASC office hours: screeners may work at the booking point from 4 p.m. to midnight to cover the heaviest arrest period, or perhaps from 6 a.m. to 2 p.m. in order to conduct interviews of overnight arrestees before a 9 a.m. bond hearing, then interview "walk-ins" or probation referrals and assist with intakes for the remainder of the shift. Whatever the schedule, the shift begins with a

check of the booking log to identify new arrivals since the previous day. It is also assumed here that screeners will have sufficient time and physical facilities to conduct a more lengthy interview of apparent eligibles who are interested in TASC, thus they can perform part of the intake process as well. The deputy director doubles as court liaison in this example, and may also escort clients from the bond hearing to intake. The intake and referral coordinator completes the client assessment and arranges treatment placement, and trackers escort clients to treatment as well as having monitoring responsibilities.

Both of the foregoing examples use an essentially "vertical" structure in which clients or prospective clients move through different staff members during the processing steps. A more "horizontal" approach can also be used, fitting the hypothetical circumstances of the moderate size city:

- Project Director
- Deputy Director/Court Liaison
- 3 Screeners
- Case Management Supervisor
- 4 Case Managers
- 2 Secretaries

The screening and court activity proceed in a similar fashion to the previous illustration, except that the screeners may do less, if any, of the intake function. The case managers perform client assessments, intake interviews, and then arrange for treatment placement as coordinated by the supervisor, arrange for ancillary services, and monitor a client's progress. Thus, during the "TASC life" of most clients, primary contact would be with one screener and one case manager. Planning and coordination of case managers' activities by the case management supervisor is important to maintain a consistent level of client services.

Many variations of these sample staffing patterns are possible, and several need mention here. In those jurisdictions where a ROR or PTR program already interviews all or most arrestees, TASC should not duplicate this screening but should negotiate with the existing program to collect and share information, providing such training and supplemental staff as may be needed. This usually involves adding questions to the ROR interview and raising the level of expertise in dealing with substance abusers; in all such joint efforts full cooperation of the leadership and staffs of TASC and ROR is essential. Similarly, an existing CIU should be used as much as possible for intake, assessment, and referral, with supplemental staff or services from TASC if needed. A TASC project concentrating most of its services in a core city, but also serving two or three smaller adjacent areas within the same judicial district, might combine vertical and horizontal structures: vertical division of responsibility in the core city with multi-purpose workers assigned to the smaller areas.

Another variant results from the size of the projects. With a smaller number of screenings, assessments, and clients placed in treatment, the number of staff members needed to perform these functions would be reduced, or some staff would perform combined functions. In either case, the total number of staff is reduced and cross-training for other duties on a regular or substitute basis becomes a necessity.

SUBCHAPTER E. CLIENT INFORMATION

More will be said in Chapter V, Subchapter B of this Manual about information needs and information systems. In considering planning, the primary concern is how information requirements and restraints affect the design of a TASC project as a response to locally identified needs. Information requirements are derived from three sources: internal TASC project information needs, reporting requirements of the local criminal justice system, and reporting requirements of LEAA or other funding sources. The collection and storage of client information is made more difficult by the need to observe confidentiality requirements (see Appendix C), to protect the legal rights of clients, and to build and maintain good rapport between TASC staff and clients.

The relationship between client information requirements and project design can best be seen by viewing the needs along a continuum. What do you need to know:

1. To determine TASC eligibility (or exclude ineligible)?
2. To effect release to TASC?
3. To assess client treatment needs?
4. To gain admission to treatment programs?
5. To ascertain treatment progress (or lack of progress)?
6. To report progress?
7. To report failure?
8. To ascertain completion of treatment?
9. To report completion of treatment?
10. To measure post-treatment impact?
11. To compile statistical reports?

It will be noted that 1 through 10 involve information needed for client management, and although 11 is more in the nature of project management information, it does concern client data that can be collected along with the other client information.

The aggregate of information collected for purposes 1 through 11 will generally differ little among TASC projects (with a few additions or deletions resulting from local law and custom). The point at which a specific item is needed may vary widely, however, because sequential information needs usually involve external communications as well as internal TASC processes. Thus it is necessary to broadly define, by interchange with the external agencies, the types and amounts of information needed at each point. These information needs can then be considered with other factors to determine the manner in which TASC functions will be performed. For example, TASC screeners are primarily concerned with identification of potential clients, which can be accomplished by collecting information for purpose 1. In a given situation, however, the length of time before bail hearing, the physical facilities for interviewing, the number of possible clients to be seen, or simply the similarity or dissimilarity of information needed, might make it practical to also seek purpose 2 information during the screening interview or might suggest that a second interview be done elsewhere. Similar consideration may be given to screener activity in gaining information for purposes 3 or 4, etc.

The most pervasive restraints on collecting, handling, storing, and disclosing client information are the Federal laws on confidentiality of alcohol and drug abuse patient records. (Some States also have confidentiality laws and in those States, generally, whichever provision is more restrictive is given effect.) It is not intended to deal comprehensively with confidentiality issues in this section, but it is appropriate at this time to mention a few points that affect project design.

The first and most important consideration which impacts on project design is that all client information collected for TASC purposes becomes part of "confidential patient records" within the meaning of the Federal law, including information obtained for the purpose of determining eligibility (screening and intake interviews), diagnosis (assessment), or to facilitate counseling, treatment, or rehabilitation. The client or prospective client cannot effectively waive confidentiality (even if there is an attempted "waiver," a person disclosing such information may be subject to penalties if the disclosure contravenes the statute or regulations), but there are adequate provisions in the law to release information with the client's consent that will generally meet TASC needs. It should be noted by all concerned, however, that authorized disclosures may be used only for the purposes intended and may not be used to initiate or substantiate criminal charges against a client nor to conduct any investigation of that client. Special rules apply to criminal justice referrals whose release from confinement, disposition of criminal proceedings, probation, or parole is granted on a condition of participation in treatment. TASC is generally more able to meet its obligations to criminal justice agencies (without violating its obligations to the client) if such conditions are made a formal part of the referral to TASC.

The confidentiality regulations prescribe minimum requirements for written consents to release information which vary somewhat depending on the client's legal status, and in certain changes of legal status, new consents must be obtained. It is the obligation of TASC to securely store confidential records and to assure that any authorized disclosure is clearly marked to prohibit redisclosure.

The rights of persons accused of crimes have been alluded to earlier in a general manner in discussing "due process" and "equal protection" considerations. Among the substantive rights that are pertinent to TASC activity are rights against self-incrimination and unreasonable search and seizure, the right to counsel, the right to a speedy trial, and the presumption of innocence until found guilty in a court of law. TASC staff are not expected to be experts in all the fine legal points involved in these principles, so the project design should safeguard against infringement. The first TASC contact with an arrestee will frequently precede consultation with an attorney, so it should be explicitly stated in initiating all screening interviews that the interview is voluntary and may be halted by the arrestee at any time. More importantly, the information obtained must not be disclosed without written consent. It is essential that the arrestee be informed of that fact, and an understanding must be formalized in advance with judges, prosecutors, and other criminal justice officials that TASC staff will not be asked to violate that commitment. Such an understanding will help to avoid future misunderstandings between TASC and criminal justice officials, and will encourage more candid responses from arrestees when interviewed. Participation in TASC may require that a client waive speedy trial or other rights, so the process should allow persons who volunteer to participate in TASC before consulting an attorney a reasonable period of time to reconsider after they have had an opportunity to discuss the matter with counsel.

The best way to assure good rapport with a client or potential client is to exhibit the same candor and openness that you hope to elicit in response. To do this, TASC procedures and rules should be as clear and objective as possible, and every effort should be made to inform the client of obligations to TASC, the treatment program, and the criminal justice system, and of obligations which TASC affiliated agencies have to the client and to each other. The client should also be informed of the benefits that can and cannot be expected. Needless to say, the same kind of openness among the agencies and officials that will necessarily be involved in TASC operations, during the planning process as well as the operational stage, will avoid future misunderstandings about the flow of client information.

CHAPTER IV

IMPLEMENTATION AND OPERATION

There is no good demarcation between "planning" and "implementation," nor between the latter and "operation." In the case of a grant-funded project an arbitrary distinction can be made that planning involves activities prior to the grant award and implementation covers post-award action. A similar arbitrary line can be drawn between implementation and operation of a TASC project at the point where it begins processing clients.

In reality, however, the later stages of planning can be considered the beginning of implementation, and vice versa. The inclusion of certain material in this chapter instead of the previous chapters is not intended to mean that there is or should be a break in the activities leading toward the provision of services by a TASC project. Although many of these activities as a practical matter must await the availability of funds, it is strongly recommended that the TASC "planners" continue with as much preparatory activity as feasible.

Without being completely arbitrary, it is almost impossible to make an implementation vs. operation distinction regarding many of the activities discussed in this chapter. Most of them continue to a greater or lesser degree throughout the lifetime of a TASC project.

SUBCHAPTER A. INTERAGENCY COMMUNICATIONS

In implementing a TASC project, it is necessary from the outset to maintain a high level of appreciation for the interdependence of TASC and its three primary consumers: the criminal justice system, the drug treatment system, and the individual offender in need of treatment services. For TASC to work effectively, structure and substance must be given to communication and cooperation links between TASC and each consumer.

In some communities a forum of criminal justice agencies and personnel, (e.g., a formal coordinating committee, a criminal justice planning body, or an association of corrections or pretrial workers) will already be in existence. Where such a forum exists, TASC management personnel should become active members. If such a group does not exist, it may be in the interest of the TASC project to initiate a structure which can, at a minimum, serve to coordinate TASC activities with the other agencies. It could also provide a vehicle for improving interagency communication and coordination for the benefit of all parties.

In many areas drug treatment programs have some communication and cooperation arrangements, if only on an irregular or infrequent basis. If there are meetings among these programs, TASC may use

that forum to show the benefits it can offer them by demonstrating its effectiveness in the completion of intake work-ups, court liaison services and the identification of new clients. By participating in meetings of treatment agencies, TASC management can learn the needs, problems and strengths of these programs and discuss the project's needs and methods of fulfilling monitoring requirements, processing clients, arranging referrals. This type of coordination may lead to the development of unified intake approaches and forms, and a consistent approach to the criminal justice system. If there are no such meetings or they occur infrequently, TASC might again be the catalyst to improve communications by convening a meeting directed toward TASC-treatment issues.

An effectively operating TASC project should also have an advisory board, composed of representatives of TASC's consumer agencies and the community they serve, to aid the project in its development, operation and institutionalization. If the agency operating TASC already has an advisory body with appropriate membership, and that body or a subgroup is able and willing to provide TASC with the specialized attention and help it needs, it may well fill this advisory function. If an advisory body must be created, 12 to 15 of the individuals participating in planning for TASC or otherwise instrumental in developing the grant application or generating the necessary letters of support should be considered. While the majority of an advisory body's membership will normally represent criminal justice and treatment agencies, it is important to gain participation from general government, news media, educators, and others who may provide advice and support. Strong identification with and support of the project should not be a prerequisite for membership; the principal criterion should be a common interest in the goals of TASC.

In facilitating effective communication between TASC and the agencies with which it must continually interact, a high degree of knowledge of the programs, goals, and personnel of cooperating agencies is desirable if not mandatory. Personal visits should be paid by TASC management and/or staff to all relevant units in both the criminal justice and treatment systems to learn how TASC may aid them in pursuit of their objectives and to make them fully conscious of TASC and its capabilities. Orientation workshops for TASC staff and the staffs of cooperating agencies can promote mutual understanding and open lines of communication. Both management and line staffs should be constantly communicating to work out mutually supportive policies and operational procedures, and mutual decisions reached should be reduced to writing and circulated among the participating agencies. New policies and procedures developed by this means should be circulated for comment and field tested for a trial period, perhaps 60 to 90 days, before being established as permanent program components.

SUBCHAPTER B. HIRING STAFF

Chronologically one of the first tasks which must be accomplished in implementing a TASC project is hiring a competent staff capable of

meeting the full range of needs facing the project. While it is unlikely that individuals with TASC experience in the positions for which they are to be hired or with dual backgrounds in criminal justice and drug treatment will be readily available, it is advisable that the top staff collectively have experience in both fields. A project's management staff should have experience in such basic management skills as administration, finance, personnel, and technical writing to some degree, and should have some familiarity with procedures of the sponsoring agency; supervisory staff should have some experience in personnel supervision. Screening and monitoring staff could in part be drawn from the ranks of treatment and criminal justice agencies in the community being served. (It is advisable that no more than one TASC staff member be hired from any one program.) TASC projects may employ a mixture of professional and paraprofessional personnel, depending upon their individual program design and the pool of available job applicants. Recent college graduates who may be trained by the project to meet the particular needs of TASC also merit consideration. "Street-wise" paraprofessionals, including but not limited to ex-addicts and ex-offenders, have been found by some projects to make effective screeners; but take care to assure in advance that their prior records will not bar access to the jail nor impair credibility with criminal justice personnel.

The mechanics of hiring staff will vary greatly depending in part upon whether TASC operates within a governmental agency, within a non-governmental large organization, or as a separate non-profit entity. Where TASC is part of a government agency, hiring practices will generally have to comply with civil service requirements unless there is provision for personal service contracts or exemptions from the merit system in the case of new grant positions. Attention will have to be given even before award of a grant to create new job descriptions and job titles or to modify existing specifications, whether strict merit system rules or exemptions apply, in order to reduce hiring delays while assuring that individuals hired meet the specific needs of TASC.

Where TASC is part of a larger non-profit corporation there is usually greater flexibility in hiring practices, but parent corporation procedures will have to be followed. As a separate non-profit corporation, TASC would have the greatest measure of flexibility but would have the additional burden of developing hiring and personnel policies. In either case the project is subject to minimal employment constraints applicable to all federally funded programs.

Sample job descriptions adaptable to most projects have been included in Appendix F.

Personnel hiring priorities of a TASC project will be determined primarily by the stage of development of the project. As the project is implemented, the project director and a secretary will usually be the first individuals hired, with the remainder of the management and

supervisory staff brought on board shortly thereafter. This group will need to complete program design, operating procedures and development of forms. A full complement of screeners should be on staff by the time the project begins to refer clients, but monitoring staff should be hired as client load increases and will usually not reach full strength until the project nears its maximum static capacity.

SUBCHAPTER C. PROCUREMENT

Among the early duties of the project director will be to procure the space, utilities, office furniture, telephone service, equipment and supplies necessary to operate a TASC program. When considering facilities available for operation of the project, it is important to review space and equipment already controlled by the parent agency operating TASC, as institutionalization of the project is often facilitated if proximity to the fostering agency can be assured from the inception of the project. At the same time, the location of criminal justice and treatment facilities served by the project and the availability of public transportation and parking should also be factors in selecting the site of operations.

Space and equipment needs of a TASC project vary widely, depending upon the specific program structure and relationships with collaborating agencies. In some TASC projects, screeners have desks in the jail or courthouse, and in a few, trackers may be housed in treatment facilities. In other situations, personnel share desks, phones and other facilities based on differences in the shifts they work or on the split between field time and office time.

Some thought also should be given to the need for major pieces of equipment well in advance of the time they are required. Operations should not be delayed as a result of slow equipment delivery. If requisitioning and purchasing or bidding is a lengthy process, it is often possible to arrange with the supplier when an order is placed to loan equipment to the project until the equipment that has been ordered arrives. Renting equipment from a supplier with rent payments to be applied against the equipment's purchase price is an alternative method of achieving the same end. A source of supply for some projects is acquisition of surplus equipment from local government offices. Once received, any equipment purchased with grant funds should be labelled and identified.

SUBCHAPTER D. TRAINING

For maximum effectiveness to be achieved by a TASC project, the staff must be fully trained to fulfill its responsibilities. The project director or another member of the management staff should therefore be given the specific responsibility of identifying staff training needs and arranging for appropriate training to take place.

Training is especially important during the initiation of a program, but should be a continuing concern throughout the project's life.

It is oriented toward the development of skills needed to perform specific activities or functions; it is not interchangeable with general education or theoretical grounding. As staff members are hired, an effort should be made to conduct an assessment of their abilities and skill development needs, and training experiences to meet such needs should be scheduled at the earliest opportunity. In assessing training needs it is important to consider not only the skills needed for a primary job assignment, but also the skills that may be developed through cross-training for secondary assignments as back-up for other staff.

Training resources vary widely depending upon a project's training needs and location. As this manual is written, a National TASC Training Center is in operation to provide initial training for project managers, supervisors, and line staff. A National Training System, operated under National Institute on Drug Abuse (NIDA) contracts, provides a wide variety of training formats and materials designed to meet the majority of drug treatment training needs. This system and additional state or local programs may be accessed through the single state agency for drug abuse prevention (SSA). Similarly, some criminal justice training opportunities may be accessed through the state criminal justice planning agency (SPA). Local organizations often offer training programs directed toward agencies affiliated with TASC, and TASC staff members are usually welcome at such training events if arrangements are made in advance. Some training may also be provided through a national TASC technical assistance contract or other LEAA technical assistance resources. Finally, each TASC project has a number of internal resources, in the form of its own staff members, who can be used for training other personnel of TASC and collaborating agencies as well as providing on the job training to incoming staff members.

SUBCHAPTER E. INITIATING EVALUATION PROCESS

Evaluation will be discussed in more detail in Chapter V. It is mentioned here because in order for evaluation to be an effective management tool of value to local, state, and Federal administrators, an evaluation design should be built into a project from its inception. It is therefore deemed essential that project management initiate as early as practical the evaluation of the project.

The project evaluator should be involved in development of forms, operating procedures, and data collection procedures to the extent that these efforts will generate input for any evaluation. If the project objectives are not stated clearly and measurably, the evaluator should also be given an opportunity to suggest restatement of the objectives in a manner which will facilitate measurement of objectives.

For grant monies to be used in the evaluation, LEAA bidding procedures, as well as State and sub-state requirements, must be adhered to. This means that a Request for Proposals (RFP) should be prepared early in the project implementation, with circulation of the RFP to

prospective evaluators and a close off of bids taking place as quickly as feasible. The RFP (see Appendix E for a sample) should specify the scope of work to be performed, minimum qualifications of the bidder, how bidders will be judged, and reporting requirements. It is suggested that the RFP contain a provision specifying the evaluator's role in developing forms, operating procedures, and data collection procedures. Any special evaluation requirements of the project should be thought out in detail during the planning and application processes and spelled out in the RFP and the resulting contract for evaluation.

SUBCHAPTER F. FORMALIZING OPERATING PROCEDURES

TASC credibility in the eyes of consumer agencies, TASC personnel and clients is to a large degree dependent upon the consistency of TASC functions. Formalization of operating procedures and data collection systems should therefore be achieved at the earliest possible date, making full use of the TASC evaluator as suggested above.

While many TASC clients and operatives will openly dislike any apparently excessive paperwork that becomes a part of the project, certain types and amounts of data are essential for accountability and the effective pursuit of programmatic objectives. The design of processes and forms which assure the collection of necessary data while minimizing duplication and the flow of paper becomes a central task of project managers.

Several techniques have been found especially useful in building TASC data collection and distribution systems. One is the use of forms which concisely describe the information required, providing boxes which may be checked or blanks to be completed with an appropriate response or filled with descriptive information. These forms may precede or accompany a client through activities and processes of the project, with dates and/or numbers entered at designated intervals to identify and control the flow of data. Data collected may be reviewed or verified as needed, but any unnecessary duplication in the collection of data should be avoided.

Another useful technique is to color code forms used in differing TASC functions. For example, screening and intake forms might be pink, treatment and/or tracking forms blue, and criminal justice related documents green. When multiple copies of a form are required, it may be possible to utilize chemically treated copying sets which do not require carbon paper and allow each function of TASC a copy color coded to its files.

In order to protect client confidentiality client numbers should be used on some forms instead of names. When such is the case, a secure cross reference of names and numbers needs to be maintained at a central point.

It is also advisable to pilot test and evaluate all forms before

reproducing or using them on a wide scale. This testing and evaluation will provide management with an added opportunity to reduce duplication and superfluous data, simplify forms and processes, and insure maximum confidentiality of client information. It is strongly urged that new projects begin operations with mimeographed or electrostatically reproduced forms, delaying printing of forms until after 60 to 90 days of use.

A final technique useful in the formalization of operations and processes is a Procedures Manual which describes in detail the procedures followed by the project, choices available to program personnel and clients, and decision points at which such choices may be exercised. The manual should also describe TASC relationships with collaborating agencies and requirements of Federal, State and local oversight agencies. In addition to giving incoming personnel and staff of cooperating agencies a helpful overview of TASC functions, by specifying what is to be done at what point in the functioning of TASC, a manual may be invaluable in maintaining consistent paper processes. The process of developing a procedures manual is itself useful to new TASC projects; by anticipating events or problems that may occur and thinking through appropriate responses, the severity of problems is reduced when they do occur. To be fully useful, a procedures manual should be in a format which allows for continuous updating. A standard loose-leaf format is recommended.

In formalizing procedures, important ingredients are the arrangements and agreements with other agencies. It is recommended that these agreements be written, not only to make them a matter of record but to promote understanding and consistency of application. The agreements should describe in some detail services and functions to be provided by each collaborating agency in pursuing the objectives of TASC. Treatment program agreements, for example, should state the services they are expected to provide to the client and to TASC and should also specify the services TASC is to provide to the treatment program and the client. They should also address the nature, types, and frequency of reports and other communications between TASC and treatment. TASC management should not attempt to dictate the terms of such agreements, but rather to develop them through dialogue with each agency, striving for a standard format only after basic understandings have been reached.

SUBCHAPTER G. PUBLIC INFORMATION PLANNING

It is appropriate that this chapter begin and end with discussions of aspects of communication; a major factor in the successful implementation and operation of a TASC project is how well it communicates. Subchapter A dealt with a project's communications with consumer agencies, which is generally conceded to be necessary. There is less agreement on the degree of visibility a TASC project should seek with respect to the general public and the news media.

To some extent the visibility of a TASC project will flow from the personalities, talents, and abilities of its staff, as molded by the needs

and attitudes of local decision-makers upon which the project's funding and utilization must ultimately depend. In any case, the role of public information in supporting and institutionalizing a TASC project is important enough to require careful planning.

In planning the formulation and release of information on TASC processes and accomplishments to the news media and the community, it is of utmost importance that the needs and attitudes of local decision-makers be ascertained and reflected. Wherever possible, local officials should be given full credit for any role they play in TASC accomplishment, and their general support of TASC should be gratefully acknowledged.

Preparation of press releases and other media-oriented materials is greatly facilitated by securing the assistance of local news media representatives. If a member of the media has not been included on the TASC advisory board, an effort should be made to develop a relationship with at least one local newspaper or radio/TV journalist. Even if a decision is made to maintain low visibility in the community, such a relationship may well be invaluable in assuring the factual handling of any TASC-related incidents by local media.

It is not likely that the news media will spontaneously initiate coverage of TASC. A TASC project becomes news only if someone makes a public statement about it (which may be pro or con) or an event occurs that involves TASC. Events that breed negative reports (e.g., problems at a treatment program, arrest of a TASC client, etc.) seem to bring themselves to the attention of the media, but TASC project managers may have to call attention to favorable events, such as commencing operations, receiving a second-year grant, receiving a good evaluation report, visits by dignitaries, or achieving major milestones.

Project managers should not think only in terms of the general print media and commercial electronic media. Stories about TASC can be carried in newsletters published by local civic, veterans, and professional groups as well as weekly and daily newspapers. Public radio and television stations and public access channels on cable television systems may also be available.

In addition to seeking direct media coverage, it is desirable to cultivate local elected officials who may champion TASC and its objectives with local policy-makers. In the institutionalization and post-grant funding of the project, such champions can be decisive. Care must be taken, however, to avoid the identification of TASC with one political figure only; just as TASC could benefit from the good fortunes of that individual, it could be negatively affected by his ill fortune at the polls, as well.

CHAPTER V

MANAGEMENT AND EVALUATION

The functions of TASC management decision-making and local program evaluation should be intertwined. The manager should begin project operation with a clear sense of the national goals and local objectives which TASC aspires to meet. The project creates a flow of data for purposes of both client and project management. The local evaluator assesses performance in relation to those goals and objectives in a regular and timely fashion, using TASC-generated and independently gathered information. Then, in response to evaluation studies, program modifications can be made which will strengthen operation in furtherance of the original goals. Without broad and reliable data and its evaluation, management decisions can be based only on intuition.

SUBCHAPTER A. MANAGEMENT DECISION-MAKING

Two basic approaches can be used in the management and administration of a TASC project: active or passive management. Active management assumes, for example, that:

- TASC should try to change organizational or environmental constraints upon its operations.
- TASC management should actively supervise project staff.
- Project evaluation is needed so that project operations can be improved.
- TASC should actively recruit clients for referral to treatment and rehabilitation.

Conversely, passive management assumes that:

- TASC must work within existing organizational and environmental constraints.
- TASC staff will work best if left alone to do their jobs.
- Evaluation is needed to satisfy funding sources.
- TASC should offer a treatment option to potential clients, but leave acceptance or rejection of the option entirely to them, or TASC should not make direct contact with potential clients initially but should wait for other agencies to refer them.

In reality, TASC projects generally use an approach somewhere between the two extremes, in some activities being more active, in

others more passive, frequently influenced by external factors. One of these factors influencing the administrative structure of a project is the organizational location of the project. If a TASC project is created as an independent organization, its structure may logically follow personnel and functional alternatives discussed in Chapter III. If however, the project is located within a previously existing agency such as a probation department, health department, district attorney or public defender's office, or private non-profit corporation, the administrative structure will largely be determined by existing administrative and reporting relationships within the parent agency.

The influences of the personnel system within which a project operates are quite similar. If, for example, the job classification within which a supervisor is placed specifies the duties that are expected of that classification, a project's flexibility in formalizing its administrative structure is thereby limited. This illustrates the importance of paying careful attention to project needs in creating and modifying job descriptions.

The specific design of a project's administrative structure should take into account each of these and other factors, and be coordinated closely with the development of formalized operating procedures. In general, however, the processes suggested below involve basic administrative elements contained in all TASC programs. Specific functions, positions and job titles of necessity vary from project to project.

The administrative structure adopted will heavily influence internal decision-making processes used by a project as will the personalities in the project and the job functions assigned. Some general principles found useful in maximizing the use of internal resources in the pursuit of project objectives include: (1) Staff directly affected by a decision, as well as staff with relevant experience and expertise, should be involved in reaching the decision whenever practical. (2) Staff should be provided with sufficient information to support any role they are asked to play in the decision-making process. (3) Staff members should be given authority necessary to facilitate application of TASC policies in areas for which they have responsibility. (4) A variety of decision-making strategies should be considered in dealing with issues facing the project including staff meetings with open agendas and the creation of task forces and committees. Delegation of responsibility should also be used to maximize the involvement of staff resources. Experiences of TASC projects have shown that serious morale and operational problems may occur if staff are not given opportunities to share problems, attitudes, and concerns.

In considering the role of evaluation in management, two caveats must be noted immediately. TASC projects' designs, administrative arrangements, and objectives vary widely, thus details of evaluation

implementation are not described here and must be left to local programs. Also, it is recognized that evaluation is limited and cannot be expected to answer all management questions. Obviously, evaluations cannot tell the project director who to hire, how to handle interpersonal relations with criminal justice and treatment officials, or how to motivate his staff. Evaluation, like the computer, is a tool which can be best used when its limitations are understood.

Within that constraint, however, at least five major areas of management decision making are subject to observation by an evaluator. In each area evaluation analysis, if applied, can lead to more precise and constructive decisions.

1. Screening, court liaison, and tracking unit functions must be efficient if the project is to meet its objectives. Evaluation of screening can identify the percentage of eligible arrestees being screened, and by charge, drug and criminal history, and other characteristics. Court liaison evaluation entails analysis of the profiles of clients who do and do not get referred to TASC/treatment. Evaluation of tracking can perform such functions as compare TASC and treatment records for accuracy and assess the kinds of TASC clients who leave treatment before successful completion. Evaluations like these of TASC function may support procedures changes.

2. As with TASC functions, personnel efficiency can be monitored. Screening, court, and tracking workers can be compared against absolute standards and with each other. Following evaluation of the data it may become apparent, for instance, that one screener is able to refer a far higher percentage of arrestees than another; that conclusion should precipitate a need for further managerial study. Personnel evaluation in this sense should be approached with caution and consideration. Staff need to be informed of any current evaluation processes. Evaluation results are better used for setting operational standards than as justifications for termination or reprimand, unless that course is clearly called for.

3. A good evaluation will solicit opinions of TASC from diverse external sources, such as criminal justice agencies, treatment programs, and other community officials. Common threads in perspective from these sources provide a useful index to community perception of the project. Results of this assessment may lead the TASC Director to form an Advisory Board to broaden support, publish a newsletter to expand dissemination about the program, cool down or heat up his or her style of interaction with community officials, or take no new action.

4. A TASC project must do more than successfully refer or divert arrestees-abusers into treatment. The process has to be cost-effective as well. At least two considerations may apply here. Enough clients must enter TASC to justify the initial expenditure on the

grant. Also, for final evaluation and later needs of institutionalization (see Chapter VI), cost ratios must be established on the basis of the number of clients who successfully complete TASC. Evaluation results which show significant deviation above the costs indicated by national norms are cause for concern.

5. While certain definitions of success are absolute, most TASC measures are relative to results in other programs. Evaluation can compare program operations between cities of comparable size with comparable TASC funding, or compare TASC operations with alternative dispositions for similar offenders. This continuous analysis is particularly useful in providing a timely comment on progress without having to wait for year-end conclusions - which may be too late.

Because local evaluation design depends on local need and interest, management issues other than those listed above could as easily be addressed through the evaluation process. The only universal suggestion is that evaluation be designed so as to most helpfully inform TASC management in crucial areas of decision.

SUBCHAPTER B. MANAGEMENT INFORMATION SYSTEM

A Management Information System (MIS) is a vital component of any organization dealing with a variety of individuals, agencies or issues. Such a system provides managers and leaders in the organization with a continuing picture of what is happening within the organization and, in some cases, of external events which affect the organization so that decisions may be made with the maximum amount of pertinent information.

Given the size and resources of most TASC projects, elaborate MIS designs are not realistic. At a minimum, however, a system must be designed which will facilitate informed internal decision-making and client management and at the same time provide funding and participating agencies with the full range of information they require.

1. Internal and External Information Needs.

Several types of information are universally useful in building and maintaining an effective TASC project. Information useful to project directors and supervisors in managing the flow of clients and making decisions designed to improve the effectiveness of the program includes: (a) sufficient information to make decisions regarding clients at critical points in their movement through the criminal justice and treatment systems; (b) data indicating the workload and performance of individual staff members and functional units; (c) data concerning project costs and other financial information; and (d) data on client characteristics and assessed needs as well as the capacity of treatment programs to meet those needs. The cited information requirements, and many others that could be added, must deal with generalities for purposes of this manual. The amount of

information and the sophistication of each data type will necessarily vary from project to project depending upon design and operating methods of each.

Much of the information needed by external sources may be generated through the same instruments used to glean information needed internally and will only need to be presented in a slightly different manner. External agencies will need to know the status of all clients who have been referred to the program, the number who have succeeded or failed and, where possible, reasons for success or failure, demographic information on clients, and a responsible picture of the project's financial operations. Briefly put, participating agencies and other TASC consumers constantly want to know what the project is doing for them, and funding agencies want to know how much TASC is costing them and what they are getting for their money.

2. Information Flow Design.

In building MIS procedures, the information needs of all external agencies and internal staff should be assessed and systems should be designed which meet these information needs with a minimum of duplication and paper work. In addition to requesting participating and oversight agencies to specify their information needs, project management should work with staff to determine information needs of all project personnel and solicit views on alternative methods of collecting needed data. These needs should be reviewed periodically to ensure that sufficient, but not excess, data is being collected.

When designing forms and data gathering procedures, it is highly desirable to provide space for specific comments by staff members to give added depth to data collected. If, for example, information from a client is difficult to obtain or is of suspect validity (as when a client is under the influence of a drug during screening interview), that opinion and the reason for it should be noted, so it can be taken into consideration when evaluating later data that may conflict.

Once data has been collected, the MIS must insure that it is recorded, aggregated, synthesized, and analyzed as quickly and accurately as possible. In pursuit of this goal, it is often desirable to assign one individual the responsibility of receiving all data forms, following up on staff comments, and tabulating the data. The more intermediaries that handle data between the time it is collected and the time recorded and organized, the more likely distortions will occur.

After the data has been recorded and organized, procedures must exist to insure that it will be transmitted as needed to all users. The system should be able to access specific data needs out of the aggregate information collected for swift and accurate transmission. If resource limitations will not allow all data users to obtain needed

information on a timely basis, or its collection will negatively impact upon other components of the program, limitations and problems must be quickly identified and efforts made to renegotiate information needs in light of resource limitations and program impacts.

SUBCHAPTER C. EVALUATION

The dictionary meaning of "evaluation" is "to find the value of," implying the measurement of one thing in terms of another or a fixed standard. An evaluation of TASC should not consist of a report merely reciting or summarizing what the project has done over a period of time, but should "find the value" of it in terms acceptable to the audience the evaluation serves. That audience consists of members of the criminal justice and treatment systems that TASC directly serves, representatives of LEAA and the providers of local matching funds, key local government officials and other potential funding sources, and the general community. But first and foremost, an evaluation should serve project management by providing objective feedback on project accomplishments and progress toward objectives, which can be used in making management decisions and project modifications.

1. Selecting an Evaluation Contractor.

The ideal evaluator should have a number of qualifications. First, the evaluator should possess skills, time and resources necessary to compile an accurate analysis of project activities. Second, and closely related to the first, the evaluator must be believable -- must have credibility -- to the evaluation audience. Third, the evaluator and the proposed evaluation must be affordable, both in terms of financial cost and in terms of program impact. An elaboration of these generalized criteria should enable projects to construct specific standards for judging and selecting an evaluator suitable for them.

In considering an evaluator's skills, time and resources, specific needs of the local TASC project will have to be taken into account. All projects will want an evaluator who has present knowledge or the ability to quickly gain an understanding of the local systems in which TASC operates as well as the goals and objectives of the TASC project. A key indicator of an evaluator's abilities and resources is past performance. Have programs similar to TASC been evaluated in such a manner that the needs of oversight and other interested organizations were met? Does the evaluator have the time to devote to this evaluation to assure a quality product? (In considering this question, it is desirable to use a locally based evaluator whenever possible, both to minimize the amount of available time which will be spent in travel and to maximize accessibility of the evaluators.) Skills, as evidenced by past employment and education, as well as other evaluation experience, should also be considered.

Many of these factors will also influence the credibility of the evaluator. Consumers will be more likely to believe the conclusions of an evaluator if past evaluations have won the acceptance of the consumers' peers. In addition, an evaluator must be able to communicate in language understandable and acceptable to interested individuals and agencies. If an evaluator's contract proposal or previous work products are unintelligible because of an overuse of academic jargon or street jargon, caution should be exercised. On the other hand, evaluators should exhibit a knowledge of the special vocabularies used in the cooperating systems.

Finally, the evaluator must be affordable. If the evaluator, the design, or ancillary costs to the program are too expensive, staff and collaborating agencies may begrudge evaluations costs, and other tangible or intangible aspects of the project, including morale, are likely to suffer.

The above considerations are only meant to be illustrative. They should be included, with any specific needs of a local project and a realistic analysis of limitations of available contractors, in selecting an individual or firm that most completely meets the needs of the particular TASC project.

2. Developing an Evaluation Design.

The evaluation design should flow logically from goals and objectives established in the planning process and included in the grant application. The process of developing specific operating procedures may sharpen the focus of those objectives, as will development of the evaluation design and methodology in collaboration with the evaluation contractor. In some instances, objectives may need to be modified in order to be more measurable or more realistic.

The evaluation should include both "process evaluation," measurement of progress toward performance goals, and "outcome evaluation," measurement of progress toward impact goals. The former would measure, for example, the number of clients processed at various stages in relation to objectives, the knowledge of, and attitude toward TASC among criminal justice, treatment, and community groups, etc. Outcome evaluation would measure the effect or impact of TASC activity upon clientele, the consumer systems, and the community.

Client treatment outcome is difficult to measure in a 15-month project that will be placing clients in treatment only during the final 12 months, and generally for treatment of several months duration. There simply will be too few clients completing treatment by the end of the grant period for a significant sample. Change in client behavior during TASC participation can be measured, however, by comparing a client's drug-taking, criminal activity, job or school attendance, family life, etc., while in TASC to a similar time period

before TASC, if adequate pre-TASC data is available. Impacts in terms of reducing court or probation caseloads can also be measured. During a second year continuation grant period, a client outcome and follow-up study, perhaps using an appropriate comparison group, should be included in the evaluation design.

"Cost benefit" studies may also be included, but please note that there are two words to that phrase. Cost analysis alone is of little value in an evaluation; it needs to be related to benefits either in terms of goals accomplished or costs averted as a result of project activities. Accurate cost benefit studies are generally effective in justifying TASC to those who must approve future budgets.

3. Implementing the Evaluation.

A major concern in implementation of the evaluation is the source of evaluation data. Much of the needed raw data can be supplied by the internal TASC management information and client information systems. This emphasizes the desirability of early consultation with the evaluation contractor on developing data collection instruments and procedures in order to optimize the availability of evaluation data from that source.

The evaluator will also need to collect data from other sources in order to validate (or invalidate) the TASC data as well as to supplement it. The same caution should apply here as in the design of internal information systems: collect what is needed but avoid over-collection or redundancy. An evaluator can quickly wear out his welcome among cooperating agencies by asking for too much and collecting interesting information that is useless for evaluative purposes.

An effort should be made by both TASC management and the contractor to inform the staff of TASC and cooperating agencies about what the evaluator is and will be doing. It is important that these personnel do not perceive the evaluator as a monitor who is "checking up" on them, but rather as an objective observer whose findings can result in project improvement.

4. Interim Reports - Frequency and Content.

The frequency and content of interim reports should be specified in the RFP for the evaluation study. These reports should be at least quarterly to facilitate the feedback discussed above and provide TASC management with information needed to make timely operating and modification decisions. Regular reports also provide a continuing control mechanism to assure the quality and timeliness of evaluation processes. They provide TASC staff and consumers with an opportunity to review the evaluation in progress to insure that their information needs are being met. Emerging needs should be defined and included as they appear.

5. Final Report.

The outline of the final report should also be specified in the RFP and should be negotiated in detail before the evaluation commences. The report should be designed to meet the specific needs of agencies overseeing and collaborating with the specific TASC project being evaluated, and should be prepared in as simple and inexpensive a format as will meet these needs. The evaluation must always be a reflection of the project being evaluated, and should not distort that project or become an end in itself. To assure that the final report meets the specifications, it is advisable to require submission in draft form for discussion prior to publication of the final report.

6. Note on Minimum Evaluation Criteria.

Whatever the format and particular issues chosen by the local TASC project for its evaluation, certain goals and objectives must necessarily be addressed. Nationally established TASC goals should command the attention of the evaluator. Minimum local objectives should include the following:

- Basic assessments of cost.
- Format for and solicitation of perspectives on TASC by external community officials.
- Analysis of client referral sources, preferably as compared with the universe of available clients by referral source.
- Analysis of data on acceptance and rejection of TASC clients by courts.
- Analysis of successful and unsuccessful TASC clients.

As yet, no format has been developed on the federal level for examining performance relative to the above objectives; hence more specific evaluation design is left to local projects.

SUBCHAPTER D. PROGRAM REVIEW AND MODIFICATION

A primary function of management information system and evaluation process is to provide project management with information necessary to continually review and upgrade project operations. Procedures must be developed at an early stage in project activity to insure that information is reviewed as soon as it becomes available, and mechanisms should be put in place to facilitate program modifications indicated by this information.

1. Review of MIS and Evaluation Data.

An early chore of TASC management should be to arrange for appropriate review of all information produced by the project's MIS and evaluation components. Members of the management team at a minimum, and preferably line staff as well, should review incoming data for information needed for decision-making as well as indications that modification of various activities might be useful. Data might best be circulated to designated reviewers as it becomes available and discussed at regularly scheduled meetings, with reviewers encouraged to respond individually as well as through the group process. Advisory boards and cooperating agencies should also be kept abreast of information on project operations.

The following questions should be considered in analyzing the usefulness and impact of the data: (a) Does it indicate whether or not specific activities are taking place? (b) Does it determine if an operation is meeting present standards? (c) Does it demonstrate the efficiency of the activity? (d) Does it indicate if activities produce specific objectives set for them? (e) Does it describe changes in clients or consumer systems?

A review of the data may indicate the existence of problems of three basic types: the data itself may be incorrect, inexact, or incomplete; there may be a weakness in internal TASC processes; or there could be a problem of TASC relationship with other agencies. At times further review may be required to determine which one or more of these types is at the core of a problem. All types must be dealt with but obviously different methods must be used in addressing and correcting them.

2. Formulation of Program Modifications.

During the life of any program, the need for modifications may occur. In the case of a TASC project, information obtained from the MIS and reports from the project evaluator may show that some TASC function is not being carried out as effectively as desired. Furthermore, changes in demands placed upon TASC consumers or other elements of the surrounding environment may encourage a shift in project objectives or operating procedures. When the need for a program modification becomes apparent, a structured process for formulating that modification should be available.

Many modifications constantly take place on a casual and informal basis and need only be considered as an illustration of the decision-making process. Intra-staff arrangements for one person to cover commitments of another when schedules go awry or illness occurs frequently can be made without requiring decisions by supervisors.

When a modification is likely to affect operating procedures related to the pursuit of project objectives, however, or when modifications involve collaborating agencies or a large number of project staff or clients, a process should exist for making sure that all affected individuals know what needs to be changed, have an opportunity to contribute to the decision, and are fully informed about the decision once a modification has been agreed upon. An example drawn from the experience of TASC efforts may prove illustrative.

A continuing problem in some TASC projects is maintenance of necessary release of information forms signed by clients as the clients progress through the TASC system. As a result of feedback from the MIS system, the project evaluator, or the staff of TASC or collaborating agencies, it is learned that "stale" or expired release of information forms are on file. It may be necessary to adjust procedures for obtaining current releases. As quickly as possible, it is useful to contact those individuals who collect and process release of information forms as well as those responsible for disclosure of client information authorized by the releases. These individuals should be asked to comment on the problem from their perspective and offer their suggestions as to how the problem might be solved. As a result it may be decided that a useful modification would be to install a "tickler" system which would require automatic review of release of information forms by specific staff members at each step in the TASC process, as well as by the record custodian at established time intervals. After a prearranged test period, participants in the process could be invited to comment on the effectiveness of the modified system in correcting the original problem.

3. Initiating Program Changes.

Minor program changes which do not significantly alter project objectives or involve transfer of funds across budget categories have been covered in the preceding paragraphs. When a major program modification is considered, the advisory board and all collaborating agencies should be included in the decision-making process. For a description of adjustments to a LEAA grant that will be required when major program modification or budget transfers are required, please see Subchapter E of Chapter VIII.

CHAPTER VI

INSTITUTIONALIZING TASC

Institutionalizing TASC is an ultimate goal of all TASC projects, and should be considered and anticipated from the very inception of the planning process. It is an expectation of LEAA in the funding process that a successful TASC effort will increase the utilization of treatment facilities for accused criminal offenders, interrupting the cycle of drug use, arrest, release, drug use, etc., and thus reduce this population's drug abuse and resulting multiple negative impacts on the criminal justice system. To the extent that these goals are achieved, TASC can be demonstrated to be a cost-effective method of positively intervening in the drug abuse-crime problem, which deserves financial support from the community it serves.

Institutionalization is the process to accomplish the goal of achieving non-federal funding support. It is the movement from LEAA discretionary funds to total assumption of costs on a permanent and local level (city, county, or State). Most institutionalized TASC projects have not made this move in a single step but have received some LEAA block grant funds through their State Planning Agency or NIDA formula grant funds through their Single State Agency. State-controlled grants of federal funds reflect only partial institutionalization; the final goal is local assumption.

SUBCHAPTER A. STRATEGY DEVELOPMENT

It is important to develop a long-range strategy for institutionalization. This strategy really should begin with the first meeting to explore applying for a TASC grant. It should be considered in determining the local operating agency, the source of local matching funds, and the development of planning and advisory groups. Project evaluation design should include plans for obtaining information which can be useful in justifying institutionalization.

Projects which are operated by or are part of established units of local government or in a close relationship with such units may have better opportunities for becoming institutionalized. Sponsoring agencies that have stable budgets from general funds have more direct access to the funds necessary for institutionalization than do agencies that are dependent upon grants for substantially all of their funds. Frequently they can include TASC funds in their general budget requests without requiring any special appropriations by state or local legislative bodies. Advisory board members can be chosen with consideration of the relationship of members to sponsoring and funding agencies, in addition to consideration of representation of agencies necessary to immediate TASC operation.

SUBCHAPTER B. TASC MODIFICATION

Several TASC projects, as they became institutionalized or continued evolution after institutionalization, have modified the character of the local project. The modifications include expansion or contraction of the geographic area served; expansion or contraction of the services provided with accompanying redefinition of eligibility; or revision of the manner of performing TASC functions.

Changes in geographic jurisdiction need little explanation. City-wide projects might become county-wide, multi-county, or even state-wide; conversely, a county-wide project might be reduced to a single city, balancing priority of needs with available sources and amounts of funds. Projects may expand services (or merge with related projects) to provide pretrial release, intervention, or diversion services to offenders in need of services other than substance abuse treatment. Services may also include some of the optional elements discussed in Chapter VII. Again, services or eligibility might be contracted as a result of budgetary constraints or to increase project efficiency.

Revising or altering the project structure or performance of TASC functions could result from experience gained in two years of LEAA-funded operation. Indeed, good management of a TASC project may require modifications, and possible grant adjustments, during the period of LEAA funding; the evolution can continue as TASC adapts to the local environment and as it matures and becomes more established in the local system. For example, the amount of staff time devoted to identification of potential clients may be reduced as TASC becomes well-known, resulting in self-identification by arrestees or identification to TASC by police or correctional officers. Increasing experience with the courts may reduce the time TASC staff need to spend in court or the manner in which progress reports are made to criminal justice agencies. These and similar adjustments could result in reallocation of staff responsibilities or in reducing the overall staff size.

SUBCHAPTER C. IMPLEMENTING THE STRATEGY

1. Planning Processes

Early in the existence of the local TASC project, efforts should be made through the normal state and sub-state planning process to insure that TASC is included in both the State Planning Agency's annual Criminal Justice Plan and the Single State Agency's annual Drug Abuse Prevention Plan. It might also be included in the plans of local agencies (e.g., probation or corrections department) for future needs and services. Treatment "umbrella agencies" or coordinating committees could include funding priorities for all or part of TASC activities in their plans.

All TASC staff should become aware of the institutionalization strategy and their roles in accomplishing it. The same is true of advisory board members. Some of the latter will make or respond to requests for funds while others may recommend approaches to funding sources, or make personal appeals to these sources.

2. Governmental Processes

At the local level TASC institutionalization is related to the governmental decision-making process and needs to be pursued within the city and county general governments, and concurrently with autonomous court structures. Continuous efforts should be made to raise TASC visibility among elected officials, public administrators, judges, prosecuting attorneys, and department heads or senior staff of probation, corrections, health and mental health departments.

The most successful method for keeping TASC visible is the distribution of periodic reports of TASC accomplishments and cost benefits among these decision makers, reminding them of the dividends resulting from the TASC investment, and indispensibility of TASC as a part of the local criminal justice and health care systems.

CHAPTER VII

OPTIONAL TASC PROGRAM ELEMENTS

The first six chapters of this manual have dealt primarily with basic TASC program elements with only occasional reference to optional elements. To be sure, there has been a great deal of emphasis on variable methods, approaches, or structures that make TASC readily adaptable to meeting local needs, but generally these have related to pre-trial and post-trial referral of drug abusers to treatment resources. This chapter will suggest additional program elements that may be included in TASC at the option of local planners and officials. Some of the optional elements may be included within the LEAA grant; others would have to be supported by other funding sources outside of the LEAA share or local matching share of the grant.

SUBCHAPTER A. INCLUSION OF ALCOHOLIC OR ALCOHOL ABUSING OFFENDERS

Several studies have shown a high correlation between alcohol abuse or dependence and serious crimes. Included in these are studies showing significant numbers of correctional inmates who were under the influence of, or had been using, alcohol at the time of commission of the crimes of which they were convicted. Concurrent with these findings was the growth of two phenomena. One is the increasing incidence of cross-dependence on two or more drugs: a person who was first identified as opiate-dependent might on the next contact be dependent upon barbiturates, making identification of any "primary drug of abuse" meaningless. The second phenomenon is a trend toward treatment of "substance abuse," differentiating approaches used in treating dependence upon various substances, but generally treating the individual, considering the particular substance as a symptom of the problem.

It is therefore consistent with the TASC concept to expand eligibility to offenders whose criminal behavior is closely related to abuse of or dependence upon alcohol alone or in combination with other drugs. With some limitations, planners of a new TASC project may follow the same general planning methods for a drug/alcohol abuse TASC as for a drug TASC. The problem definition process must assess the potential intake volume of alcohol abusing offenders and of drug abusing offenders, and must ascertain the availability of treatment for alcohol abusers. The former can be addressed in an arrest survey as discussed in Chapter II. The latter is of particular concern because experience has shown some alcohol treatment programs to be more reluctant in sharing client information with TASC than the vast majority of drug treatment programs. It is advisable to include alcohol treatment programs and their funding or coordinating agencies in the TASC planning process at an early date.

2. LEAA Guidelines

Specific guidelines for including alcohol abusing offenders in TASC have been adopted by LEAA. Many of these are similar to standard TASC requirements but are repeated for emphasis. The guidelines and some comments or explanations follow.

- a. Eligibility criteria must be developed based upon input from local criminal justice and alcohol treatment representatives, but must exclude:
 - (1) The public inebriate - individuals arrested on charges of public inebriation or on charges based upon inebriation, such as disorderly conduct, loitering, etc.
 - (2) The drinking driver - individuals charged with a vehicle related offense linked to the consumption of alcohol.
- b. Statements given to TASC screening personnel may not be used for or against the prosecution of the prospective TASC client.
- c. Participation in TASC will be on a voluntary basis only.
- d. Escort services will be provided for each client from the court to the TASC intake center and from there to the appropriate treatment facility.
- e. Each client must be continuously monitored to insure that the client is abiding by the terms of his/her referral.
- f. Each project must develop objective success/failure criteria (e.g., missed counseling sessions, rearrest, sobriety) which must be communicated to each client.
- g. Provisions should be made for the prompt notification of all client failures to the appropriate criminal justice agency.
- h. Urinalysis will not be required for alcohol abusing clients.
- i. The application must indicate measures that will be used to verify serious alcohol involvement of prospective clients (e.g., verification by "significant others," arrest history, Michigan Alcohol Screening Test, etc.).
- j. All projects should maintain separate data on drug and alcohol clients in terms of client entry, failures, rearrests, successes, etc. for self-assessment purposes.

- k. Documentataion of alcohol treatment availability and support, including letters of support from each treatment program to be used for TASC clients, must be included in the application.

Guideline (a) is similar to the general TASC requirement for objective eligibility criteria. The distinction is the mandatory exclusion of public inebriates and drinking drivers. Public inebriation is excluded because it is not the kind of serious street crime TASC is aimed at, and in about half of the states has been decriminalized. Where it is still a crime, offenders are generally discharged with a small fine, or no penalty, after spending a night in the "drunk tank." Drunk driving, although a more serious concern, is also not the kind of (property) crime that TASC should be concerned with; there are also federally supported Alcohol Safety Action Programs (ASAP) or similar programs to deal with this class of offender.

Guidelines (b) through (g) are almost verbatim repetitions of TASC requirements. It should be noted in connection with (f) and (h) that although weekly urine monitoring is not required for monitoring of alcohol abusers, if sobriety is a criterion, standards and methods for measuring sobriety must be established.

Guideline (i) is similar to the need for methods to identify drug abusing TASC eligibles. Item (j) requires that separate data be kept on drug and alcohol abusing clients for internal management purposes although this is not currently required to be reported to LEAA in quarterly statistical reports (except the number of primary alcohol abusers at entry). Finally, (k) matches the requirement regarding drug treatment availability.

SUBCHAPTER B. VOCATIONAL ASSISTANCE

1. Job Training Opportunities

A few early TASC projects included substantial vocational assistance program elements. Although policy changes have made programs on that scale impossible (with LEAA funds), projects may direct clients to training opportunities in other community agencies. Several existing projects handle this activity through a support services coordinator, others through trackers (case managers), or treatment coordinators. Frequently, TASC has better "establishment" credibility with sponsoring agencies of vocational training programs than do drug treatment programs. By keeping abreast of training availability and needs of clients, TASC can directly serve both the client and his/her primary treatment program.

2. Job Development

Similar to activities in accessing job training opportunities, some TASC projects have been instrumental in developing employment opportunities for their clients. This requires that the support services coordinator (or other assigned staff member) be attuned to the needs of both potential employers and potential employees in order to avoid mismatches that are pre-ordained to failure. Aside from this ability, the principal ingredient for success is a lot of "leg work," contacting and re-contacting employers.

SUBCHAPTER C. SEPARATE-FUNDED OPTIONS

1. Referrals to Community Agencies

In addition to TASC-eligible offenders that a project may refer to non-drug-specific treatment agencies (e.g., mental health centers or family service programs) as a supplement to or substitute for traditional treatment, TASC often encounters non-eligibles whom they refer to such agencies but do not accept as TASC clients. With additional staff supplied by volunteers or supported by other funding, TASC can actively seek to identify, refer, and monitor persons in need of such services who are not drug or alcohol abusers. It must be stressed that such added staff cannot be paid with LEAA grant funds, nor with the required local matching funds.

2. Preventive Education Programs

TASC programs faced with the dilemma of stretching eligibility criteria or rejecting drug experimenters or "lightweights" charged with minor offenses, may provide a middle route through separately funded education programs. Except for a very few dysfunctional marijuana users, users of that drug are low priority treatment candidates and are seldom involved in "drug-driven" street crime. Some communities hesitate to incarcerate such persons or to release them without any services in fear that they will get more heavily involved in drug abuse. TASC, with volunteers or supplemental funds, can fill this need for servicing these marginal offenders by referring them to preventive education sessions and monitoring attendance as required by the courts.

3. Volunteer Service Programs

Not to be confused with the use of volunteer staff in TASC or extensions thereof, at least one TASC project has, with county funds, become a referral agent for minor offenders (usually youthful) to whom the court offers an alternative of a period of volunteer service to community service programs in lieu of further criminal processing. Community programs make their volunteer "openings" known to TASC which places offenders referred by the court, and reports back to the court on compliance or non-compliance by the offender.

4. Legal Assistance Programs

A few TASC projects have arranged with local law schools for volunteer advanced law students to assist TASC clients with legal problems of a civil law nature. In addition to their criminal law involvement, many TASC clients have problems such as indebtedness, marital problems, child custody, etc. Law students, working under the supervision of one or more practicing attorneys, can define the legal issues and either advise the TASC clients or refer them to other available resources.

CHAPTER VIII

THE APPLICATION PROCESS

Once the local community has adopted the general concept of TASC and initiated the planning process outlined in Chapters II and III, the stage is set to begin the formal application process itself. Obviously, some of the application process will precede and, indeed, trigger some of the planning steps previously discussed. Precise chronological sequencing of all the steps in these two processes should not be expected. What is important in the end is that the formal application reflect a well-developed, well-planned statement of goals, objectives, and approach which logically flows from an identification of the community's problems, resources and needs with respect to drug abuse and criminal justice.

This section is designed to aid the community desiring to initiate a TASC project in the process of acquiring financial aid from LEAA. As policies and regulations governing TASC grants change from time to time, potential applicants are encouraged to contact the Drug and Alcohol Abuse Program Desk at the national office of LEAA for information on current policies. As this manual goes to press, the policy of LEAA is to review TASC applications in two competitive review cycles each fiscal year. For example, in Fiscal Year 1978 review cycles were set with submission deadlines of February 1st and June 1st. Availability of funds and submission deadlines may vary from year to year.

SUBCHAPTER A. DETERMINING THE APPLICANT AGENCY

1. Applicant Agency

The planning process will have identified the principal actors and agencies that must be involved in the successful operation of any TASC project. Before any application can be submitted, however, a decision must be made as to which public or private non-profit agency can most appropriately and feasibly serve as the legal applicant for the project. This sponsoring agency generally will be the one to assume the direct operating responsibility of the project and will be held accountable for compliance with all grant conditions and commitments.

In TASC projects to date, the sponsoring agencies have included probation departments, prosecutor's offices, courts, public health or mental health departments or agencies, Single State Agencies for drug abuse prevention, multi-purpose public or private non-profit comprehensive substance abuse treatment agencies, public or private pre-trial release agencies, community social service agencies, and local general purpose governments, such as cities or counties. Usually, where a general purpose government serves as the applicant agency a subdivision thereof serves as the operating agency.

Criteria for selecting the applicant-operating agency should include: (1) a satisfactory degree of credibility with the courts, police, prosecutor, public defender, and treatment components; (2) the capability to take on a fully staffed project and be assured that its management and pursuit of TASC objectives will be compatible with the agency's existing functions and procedures; and (3) the capability to provide high quality executive leadership to administer TASC.

2. Responsibility for Grant Application Preparation

Fixing responsibility for writing the grant application should be an early decision of the preliminary planning group. The person or agency responsible for writing the application should be the same as -- or very close to -- the lead agency or coordinator of the pre-application planning and negotiating process. Ideally, the application writer should be a part of the identified applicant agency, but often an agency with capability for operation of a project does not have the man-hours or the differing skills needed to write a grant application. There must, however, be close cooperation and frequent consultation between the writer and the formal applicant, above and beyond the continuing interaction of the entire planning group. Although the exact amount of time to prepare an application will vary with the complexity of the local plan, it must be anticipated that a considerable amount of man-days will have to be devoted to this effort.

3. Pre-submission Consultation

Applicants must consult with their State Criminal Justice Planning Agency (SPA) before making application for discretionary funds to LEAA. As discussed in the planning process (Chapter II), initial contact should be made soon after, if not before, a decision to seek a TASC grant. Applicants should review the most recent Comprehensive State Criminal Justice Plan prepared by the SPA and request a conference with the SPA to discuss the proposed project. Such a conference should include not only the applicant and the SPA, but also representatives of the sub-state regional or local planning unit.

Although it is not a part of the LEAA review process, applicants for TASC projects are also advised to make early contact with the Single State Agency for Drug Abuse Prevention (SSA) and its sub-state unit. Because of the TASC need for sufficient community-based treatment supported by non-TASC funding and for cooperation of treatment agencies, the SSA's regulatory and/or funding authority over treatment can supply significant support to TASC. The current Comprehensive State Plan for Drug Abuse Prevention should be reviewed by the applicant.

SUBCHAPTER B. APPLICATION FORMAT

1. Grant Application Content and Organization

For all TASC applications the proper form to be used is: Standard

Form 424 (10-75), which consists of four (4) pages, together with LEAA Form 4000/3 (Re. 5-76), Attachment to SF-424, which consists of eight (8) pages.

While these forms have reasonably explicit instructions for their completion, some sections do require greater attention in order to adhere more faithfully to the needs of LEAA administrators. For other sections, explicit instructions contained in internal LEAA manuals (especially "Guide for Discretionary Grant Programs," M 4500.1F, and "Procedures for Administration of Categorical Grants," HB 4500.21) contain additional information guiding the application and review process.

In general, the program narrative should logically articulate the results of the planning process detailed in Chapters II and III. The instructions contained within form 4000/3 (Rev. 5-76) are compatible with and responsive to that process, but may require that material be set forth in a sequence differing from the planning process. Reference should be made frequently during this Subchapter to the sample TASC grant application in Appendix B of this manual.

a. Application Facesheet

SF-424 (10-75) is a standard facesheet now used for a large number of Federal grant applications and for most LEAA categorical grant applications. It is important that the accompanying instructions (pages 3 and 4 of the form) be carefully followed, and it is crucial that all items in "Section II - Certification" be properly completed in the formal application. Without these certifications (22b, 23a, 23b, and 23c), the formal LEAA review process and timetable cannot be initiated.

The following items on SF-424 should be noted:

Item 1: "Application" would be checked when completing this form as a formal grant application. However, SF-424 may also be used to notify the state-wide (and area-wide if applicable) "A-95" clearinghouse of the applicant's intent to apply for Federal funds if the clearinghouse does not prescribe a different form. The A-95 review requirement (defined in OMB circular No. A-95) will be discussed more fully in Subchapter C below. It is mentioned here only to point out multiple uses of SF-424 and to alert the potential applicant of the need to initiate this process at an early date.

Item 6: Federal Catalog Number and Title. For all LEAA discretionary grants, the number is "16.501," and the title, in the case of TASC grants, is "Discretionary Funds - Part E" or, simply "DF-Part E."

Item 7: Title and Description should read in substance, "T.A.S.C. (Treatment Alternatives to Street Crime). A project for identifying, referring to treatment, and monitoring appropriate substance-abusing arrestees or offenders within the criminal justice system." This statement may be

modified to more closely reflect any specific emphasis of an applicant's own project.

Item 8: Type of Applicant refers to the State agency, local government unit or department, or non-profit organization which will implement the project whether as direct grantee or subgrantee of an SPA.

Item 11: Estimated number of Persons Benefiting. This should indicate the population of the jurisdiction that the project will serve (as stated in Item 10).

Item 13: Proposed Funding. It should be unnecessary to state the obvious but experience requires that it be stressed that the figures shown here must be consistent with "Part III - Budget Information" of Form 4000/3 (pages 3-5). The sum of lines b,c,d, and e of this item (the non-federal share), excluding any "in-kind" contributions, should equal at least ten percent (10%) of line f; or, stated conversely, line a (the federal share) should not exceed ninety percent (90%) of line f. In the case of continuation grant applications, a lower federal share would apply.

Item 16: Project Start Date. The LEAA Program Office should be consulted in estimating the time from submission to probable grant award. The date should indicate when the applicant/operating agency will be ready to proceed with the implementation phase of the project, not the date that it will begin to receive clients.

Item 17: Project Duration. First year TASC funding is authorized for a period not to exceed 15 months. Fifteen months should thus be entered in this item.

Item 18: Estimated Date to be Submitted to Federal Agency. This date should be consistent with (on or before) the submission deadline of the funding cycle(s) established by LEAA for the specific fiscal year. In many cases Item 18 will be the identical date indicated in Item 2b.

Item 20: Federal Agency. This should indicate LEAA, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

Item 23: Certifying Representative. The signature shown must be that of an individual authorized to enter into binding commitments on behalf of the applicant or implementing agency. This will normally be the chief executive officer of the agency or governmental unit involved.

Section III of page 1 of this form (items 24 through 38) should be left blank by the applicant, as it is to be completed by the Federal agency processing the grant application, in this case, LEAA.

b. Project Approval Information: Page 1 Form 4000/3. All items on this form must be checked "yes" or "no." Generally, item 3 should be checked "yes," items 6 through 10, "no," items 1,2,4, and 5 will vary according to state or local practice. Comments with reference to item 3 should be included after consultation with the appropriate clearing-house(s) as indicated in the instructions on page 2 of this form.

c. Budget Information: Pages 3-6, Form 4000/3. The budget tables (lines 1 through 23) of this form should be supplemented by a detailed budget and budget narrative.

Only line 1 and line 5 of the budget table's Section A - Budget Summary - should be filled out in TASC project applications. Line 1, Column (a) should read "DF-Part E" indicating that this is an LEAA Discretionary Fund project applying for funds authorized under Part E of the enabling legislation as amended. Again, in Column (b), applicants should enter the applicable Catalog number: "16.501." The accompanying instructions (page 4 of Form 4000/3) for the remainder of Section A are self-explanatory, as are the instructions for Section B - Budget Categories. It should be noted, however, that the funding period covered by this budget is usually 15 months for initial TASC grants, not one year as indicated in the instructions.

In Section B, TASC applicants need only complete columns (1) and (5), entering "DF-E" at the head of column (1). Most TASC programs will not generate income, so in most cases line 7 will be left blank. In Section C - Non-Federal Resources, please note that the non-Federal share for TASC projects must be in cash (no "in-kind" match is acceptable) and must represent at least 10% of the total project cost for the requested initial grant period as reflected previously in line 5, column (g) and line 6k, column (5).

In Section D - Forecasted Cash Needs, projects are urged to keep in mind start-up requirements and whether or not they are on a 12-month (second year) or 15-month (first year) budget. For first year applications utilizing a 15-month budget to facilitate a gradual start-up phase, the "1st quarter" in this section may actually include this "start-up" quarter and run approximately 50% larger than the successive quarters, because of early expenditures to purchase equipment and supplies and some other front-end costs.

In Section E, applicants should enter their total Federal share estimate for the second year in column (b). Note that, unlike some other LEAA programs, normal TASC discretionary grant funding is only available for two successive grant periods.

General instructions for the Budget Narrative are found on page 6 of Form 4000/3. The purpose of the Budget Narrative is to relate budgeted items to project activities and to provide justification and explanations

for those items, including criteria and data used to compute the estimates for each category. The following information, taken largely from Appendix 5 of LEAA Manual M-4500.1F, is provided to assist applicants in developing the budget narrative.

Personnel Category. List each position by title (and name of employee, if available), show annual salary rate and percentage of time to be devoted to the project by the employee. If all personnel are not to be employed for the full grant period, indicate the time to be employed. Compensation paid for employees engaged in Federally assisted activities must be consistent with that paid for similar work in other activities of the applicant.

Fringe Benefits Category. Indicate each type of benefit included, the percentage rate or cost of each, and the total cost allowable to employees assigned to the project.

Travel Category. Itemize travel expenses of project personnel by purpose (e.g., National TASC Conference attendance, National TASC Training Center, other required meetings, local travel, etc.). Identify the tentative location of all training sessions, conferences or other meetings. Applicants should consult such references as the Official Airline Guide and the Hotel and Motel Redbook in projecting travel costs to obtain competitive rates. Out of state travel should be broken down to show "per diem" (room and board), airfare, and other miscellaneous costs (registration fees, taxis, etc.) for each person involved.

TASC projects should include sufficient funds to cover two (2) trips a year of three (3) days each for two (2) persons each to Washington, D.C. and (1) trip the first year for all project management, supervisors and professional staff for three (3) days to Cincinnati, Ohio to attend the National TASC Training Center. One of the Washington trips will be construed as covering the Annual National TASC Conference which moves to a different local TASC site each year. The other Washington trip may be used to consult with LEAA program officials or for appropriate staff to attend relevant conferences.

Equipment. List each type of equipment to be purchased or rented with unit or monthly costs. If an automobile for TASC operations is included, make sure that "local travel" is restricted accordingly. Projects should carefully weigh the relative advantages of vehicle ownership, rental, and local common carrier usage and select the most effective mode or combination of modes. In listing equipment, avoid using brand names.

Supplies. List items within this category by major type (office supplies, training materials, research forms, postage) and show basis for computation. Provide unit or monthly estimates.

Contractual Category. State the selection basis for any contract or sub-contract or prospective contract or sub-contract, (including consultation services and equipment). In TASC projects, contractual services are most likely to include such items as urinalysis (mandatory for weekly monitoring of all drug-abusing TASC clients and optional for initial screening) where that service is not handled in-house by TASC, accounting services, psychological/psychiatric back-up consultation for special cases (usually not exceeding the equivalent of examinations for 15% of the project's total of referred clients), and an independent project evaluation (not to exceed \$15,000 per grant period). LEAA guidelines require that procurements be made on a competitive basis with limited exceptions. If it is proposed that any contractual services (or equipment) be procured by negotiation with a single source, justification must be included.

If individuals are to be reimbursed for personal services on a fee basis, list by name or type of consultant or service the proposed fee (by day, week or hour) and the amount of time to be devoted to such services. The rate of compensation for consultants (evaluation, professional service, or other) may not normally exceed \$135 per day, calculated on an eight hour day at \$16.88 per hour; no consultant should be paid in excess of his or her present rate of compensation or in excess of normal rates for such services in that particular field.

Construction Category. Not applicable to TASC projects. Minor remodeling or renovation costs should be shown under "other."

Other Category. Include under "other" such items as rent, telephone, janitorial or security services, minor remodeling requirements, printing, and insurance. List items by major type with basis of computation shown. For example, provide square footage and cost per square foot for rent; provide local and long distance telephone charges separately.

Indirect Cost Category. LEAA may accept any indirect cost rate previously approved for an applicant by a Federal agency. Applicants should enclose a copy of the approved rate agreement or indicate the date the rate was approved and the Federal agency that approved the rate. In lieu of submitting actual indirect cost proposals, flat amounts not in excess of ten percent of direct labor costs (including fringe benefits) or five percent of total direct cost may be claimed. If this method is used, the applicant must justify the requested amount. Where flat rates are used in lieu of actual indirect cost, the applicant may not also charge expenses normally included in overhead pools, e.g., accounting services, legal services, building occupancy and maintenance, etc., as direct costs. Applicants are encouraged to absorb maximum indirect cost as a means for broader and more concentrated application of Federal funds to direct project activities.

Program Income. If applicable, provide a detailed estimate of the amount of program income to be generated during the grant period and its proposed application (to reduce the costs of the project or to increase the scope of the project). Also, describe the source of program income, listing the rental rates to be obtained, sale prices of publications supported by grant funds, and registration fees charged for particular programs.

Matching Funds. Describe the source and amount of matching funds. Again, please note that matching funds for all TASC projects must be in cash (not in-kind) and must represent at least 10% of total project cost. Note also, however, that this local cash match need not be expended "up-front" but may be contributed at any time during the grant period -- as long as the commitment to apply such monies is firm and binding.

d. Program Narrative.

The general instructions for completing the program narrative are contained in Form 4000/3, page 7. This section expands upon those instructions for purposes of a TASC application. The sample application in Appendix B includes an outline which is suggested as a means of further specifying an appropriate format for this part. The program narrative should detail objectives and describe processes and criteria used in pursuing these objectives as developed through the planning process described in Chapters II and III of this Manual.

(1) Objectives and Need for Assistance

This section of the application should summarize the general purposes of the project and define in some detail the problems that are to be addressed or solved. The problems TASC deals with may be broadly stated as drug abuse, criminal activity, and the relationship between the two. Therefore, the application should include data and analysis of local drug abuse, local crime, surveys or analysis of the correlation between drug abuse and crime, and a description of any interrelationship problems among local agencies concerned with criminal justice and those concerned with drug abuse.

The applicant must be cautioned to avoid the temptation to attempt to overwhelm the funding agency with a mass of data on drug abuse and crime. Frequently, inclusion of large amounts of statistics tends to obscure the more salient points that would clearly demonstrate need. The more telling approach is to use care in selecting and editing the most relevant data and couple it with a well-reasoned analysis.

After the problem definition, this section should include an inventory or definition of existing resources in the criminal justice system and the drug treatment system that may impact upon the problems. The criminal

justice description should review step-by-step the standard criminal justice procedures in the jurisdiction, from arrest through incarceration or other sentencing options, specifying the normal time elapsing from each step to the next and the court or official having responsibility for each process. The applicant should also include brief descriptions of any relevant existing alternative programs in the local criminal justice system.

Drug abuse treatment resource descriptions should include a brief description of each treatment and rehabilitation program that will be utilized, including programs that are not exclusively for drug abusers if they are willing to accept drug referrals. The description should indicate the environment, modality of treatment offered, capacity, and any restrictive admission requirements. The treatment resources should be summarized in a table showing for each program and environment/modality: the static capacity (number of persons that may be enrolled and receiving treatment at any given time), the dynamic capacity (number of persons that may be treated annually, i.e., static capacity multiplied by the client turnover rate per year), average or current client population, and the available capacity (static capacity minus average or current population). The total available capacity should be sufficient to treat the expected TASC static capacity. Similar, but separate, descriptions and a summary of alcohol abuse treatment resources should be included if applicable.

Finally, the Objectives and Needs section should include a clear statement of goals and objectives. As defined in Chapter III, goals are the qualitative ends that are sought in response to the identified problems. Objectives are the quantitative steps toward achieving the goals. These should include both process or performance objectives (e.g., number of persons to be screened, assessed, etc.) and impact or outcome objectives (e.g., number or percentage of clients who will not be rearrested during a stated time period).

(2) Results or Benefits Expected

This section should describe the target population, that is, the persons expected to benefit directly from the project; the direct benefits anticipated for the target population; and the indirect benefits anticipated, i.e., benefits to the criminal justice and treatment systems, and to the public or the community at large.

(3) Approach

This section is the heart of the TASC grant application and the basic design of the project. The potential for a successful project is enhanced by joint planning and acceptance of as much detail as possible in the design of the approach and therefore no detail should be spared in writing this section.

The applicant should begin by setting forth the points at which TASC will intervene in the criminal justice process, both in terms of the procedural stages and of the legal status or disposition the client will receive. This should include, either at this point or elsewhere in the

Approach section, detailed description of the intervention methods to be used at both pre-trial and post-trial points.

The procedures for performing the essential TASC functions should be stated in a detailed narrative. Identification procedures should spell out where screening activity will take place, during what hours, what days, by how many personnel, using what methods, etc., and should indicate what relationship, if any, there will be between TASC screeners and interviewers for other programs or activities. Similar detail should be provided describing the court liaison, escort, assessment, referral, and monitoring functions. The following statements must be included at appropriate points in the narrative, or as assurances at the end of the description of TASC procedures.

- Participation in TASC is on a voluntary basis only.
- Results of initial urinalysis (if used) and interview will not be used for or against the prospective TASC client in any prosecution.
- Monitored and randomly scheduled urine specimens will be collected and analyzed at least once each week for all drug abusing TASC clients in treatment.
- Escort service will be provided for each client from the court to the TASC intake center and from the intake center to the treatment facility.
- A tracking system will be established to constantly monitor the progress of each TASC client to ensure that the client is abiding by the terms of referral.
- Provision will be made for the immediate notification and prompt return to the criminal justice system of those clients who fail to meet TASC conditions.

Objective and realistic eligibility criteria and success/failure criteria acceptable to essential officials and agencies must be stated in this section. As indicated in Chapter III of this manual, these standards may allow for some flexibility in application to individual cases but may not be so loosely constructed that they invite inequality or inconsistency on termination decisions, nor should they be so complex that they defy mutual understanding or interpretation.

The project structure and organization should be described, both as to the internal structure of TASC and the project's relationship to the local government structure. If TASC is to be part of a governmental agency, indicate where it fits into the local government; if a non-profit

corporation, what relationships it has to local government. Organization charts or tables are useful aids to understanding both the internal and external structures. Provision should be made for an advisory council that is broadly representative of criminal justice agencies, treatment programs or health care agencies, and the community. If the applicant/operating agency has an existing governing board or advisory board that includes such representation, that board could serve a dual function; if it does not have a broadly representative membership, a separate board should be created. Position descriptions for all TASC staff should include education and/or experience qualifications and description of duties that are consistent with the proposed salary levels.

This section must include a grant implementation plan which incorporates a work plan and timetable of events into a detailed narrative form. The plan should indicate implementation steps, operating activities, milestones, and a timetable for review of project progress. The major steps which are necessary to carry the grant to its completion and goal achievement must be enumerated in a step-by-step process. If a particular step will take longer than two months to complete, it should then be divided into sub-steps so progress can be measured.

The grant implementation plan consists of two sections - the start-up plan and program operation plan. The start-up plan should cover, at the minimum, the following five activities, with target times for starting and completing each step of each activity, expressed in terms of months or days after grant award:

- Personnel Recruitment/Hiring
- Space, Major Equipment and Services
- Preparatory Program Steps
- Establishment of Administrative Controls
- Anticipated Start-up Delays

The program operation plan should include the tasks involved in accomplishment of its objectives once services have begun. Milestones for review of project operations should be identified, with performance targets set forth for each milestone. It is recommended that both plans be summarized in a milestone chart similar to that included in Appendix B.

If the application provides for a project evaluation, the narrative must include a description of the proposed evaluation design and the methods to be used in selecting an evaluation contractor. The applicant should refer to Chapter V, Subchapter C, and also to Appendix E (sample Request for Proposals for Evaluation Contract) for suggestions of elements to be included in the evaluation.

Concluding this section of the program narrative, the application should discuss potential sources of funding for local assumption of costs of the TASC project after the discretionary grant periods expire. While

no firm commitment is required at this point, some indication of the prospects for eventual institutionalization of TASC within the local jurisdiction should be stated.

(4) Geographic Location

A brief description of the area to be served should be included, describing population characteristics and distribution, topography, etc. Maps, charts, or other graphic aids should be attached.

(5) Letters of Endorsement

Specific letters of endorsement of the application from key officials must be included in the application. These should not merely be vague or general endorsements of the TASC concept, but should reflect a familiarity with the specific proposal being submitted and endorsement of that proposal. Letters should be obtained from:

- Presiding Judge(s)
- Prosecutor
- Public Defender
- Police Chief/Sheriff
- Chief Probation Officer
- Corrections Director (if applicable)
- Chief Parole Officer (if applicable)
- Single State Agency for Drug Abuse Prevention
- Local Umbrella Treatment Agency

As general advice, applicants are urged to be as concise as possible. If the pre-application planning process has been carefully pursued, the actual composition of the application itself should not be difficult.

(6) Assurances

All grant assurances (see Form 4000/3, page 8) should be reviewed carefully as they define the obligations of grantees and their subgrantees and express commitments that have binding contractual effect when the award is accepted by the grantee.

SUBCHAPTER C. SUBMISSION AND REVIEW PROCESS

1. A-95 Notification and Review

In compliance with the Intergovernmental Cooperation Act and OMB Circular No. A-95, an applicant should as early as possible submit a Notification of Intent to the designated State and (if applicable) areawide clearinghouses. Briefly, the procedure upon submission of this notice is that the State clearinghouse notifies State agencies which might have programs affected by the proposed project, including where appropriate, environmental agencies, and State agencies responsible for enforcing or furthering

the objectives of civil rights laws. The areawide clearinghouse notifies local governments and agencies whose interests might be affected by the proposed project including, where appropriate, local and regional environmental agencies and public agencies responsible for civil rights laws. State agencies, local governments, or others to whom notifications have been sent inform the appropriate clearinghouse of any problems they may have with the proposed project.

The clearinghouse may sign-off on the project, if there are not problems; or, if there are problems or questions raised about the project, the clearinghouse may arrange conferences with the applicant to discuss such questions or issues. After questions or issues have been resolved, the clearinghouse may sign-off on the application; or if issues remain, the applicant and clearinghouse (and any State or local interest) cooperate in developing the application to resolve the issues and strengthen the project.

If issues remain by the end of the 30-day notification period, the clearinghouse should inform the applicant that it will want to review the completed application, unless the issues are resolved prior to its completion. If the clearinghouse has requested a copy of the completed application for information, when supportive comments have already been provided to the applicant, or for review and comment, when issues have not been resolved, the applicant will supply a copy of the completed application to the clearinghouse. The applicant may submit the TASC application to LEAA at the same time it is submitted to the clearinghouse. LEAA processing may then proceed concurrent with the A-95, but the grant will not be awarded until the A-95 process is complete.

All comments received from clearinghouses must accompany the application submitted to the funding agency. The funding agency considers the application and attached comments and informs clearinghouses of action taken. Where a project which a clearinghouse has recommended against is funded, the action notice is accompanied by an explanation to the clearinghouse as to why its recommendations were not accepted.

2. LEAA Submission and Processing.

After consultation with the SPA and compliance with the A-95 procedure, formal submission of the application is made to LEAA. The original (which must include an original signature) and two copies of the application are sent to the Grant and Contract Management Division, Law Enforcement Assistance Administration, 633 Indiana Avenue, N.W., Washington, D.C. 20531, and at the same time one copy (more if the SPA requests) is sent to the SPA for review and comment. The application may be submitted at any time up to the submission deadline for a review cycle, but all applications received for a cycle will be officially logged in on the deadline date.

The SPA has thirty days from the receipt of the application to comment to LEAA. It is not required to provide certification at this time although it may if it wishes. It should, however, provide LEAA with its comments regarding the desirability and feasibility of the proposed project. If no comments are received within 30 days, LEAA will assume that the SPA has no major objections to the proposed project.

After the application is logged in by Grant and Contract Management Division (GCMD), one copy is forwarded by GCMD to the TASC program office and one copy is forwarded to the LEAA Financial Management and Grant Administration Branch (FMGAB). The latter performs a fiscal review of the application and prepares a fiscal review memorandum which is sent to the program manager.

The program manager convenes a Program Review Panel as soon as possible, usually about two to three weeks after the submission deadline. The panel consists of the TASC program manager as non-voting chairman and three government members; there may also be a non-government member who serves as expert consultant, preparing a programmatic review memorandum which may be shared with other panelists but not meeting with the government members. The program panel reviews all applications received, scores them in accordance with a pre-established point scale, ranks all applications in priority order, and recommends approval, approval with conditions, or disapproval.

After completion of action by the Program Review Panel, the program manager notifies the applicant of the results of this step and may request additional information or other response to deficiencies noted during the peer review or fiscal review processes. The program manager then prepares a grant manager's memorandum which is forwarded with the program panel recommendation to the Grant/Contract Review Board (GCRB) of LEAA's Office of Criminal Justice Programs (OCJP) if the Federal share of the proposed grant is not more than \$300,000. If the proposed grant exceeds \$300,000, the memorandum and recommendation goes to a higher-level Grant/Contract Action Board (GCAB). The respective Board may then approve, approve with special conditions, or reject the grant, or may return it to the program office for further information. Final action (approval, with or without conditions, or rejection) must be taken by LEAA within 90 days of the cycle submission deadline.

Applicants will be notified of approval or disapproval of their applications. If the application is disapproved, the notification will contain specific reasons for disapproval.

Most grants will be made to SPAs, which will in turn subgrant to the applicant. If the award is made to the SPA, it must certify that it is willing to administer the grant and that:

- (a) The proposed project is not inconsistent with the oversight goals and general thrust of the State Comprehensive Plan;
- (b) Block grant allocations to the beneficiary agency, unit of government, or region will not be reduced by virtue of the discretionary award; and
- (c) The SPA will assist the subgrantee to obtain incorporation of the project's costs in State or local budgets, if the project is successful.

If the SPA declines to accept the award, LEAA may award the grant directly to the applicant, but only after consulting with the SPA.

SUBCHAPTER D. AWARD PROCESS

If a grant application is approved by LEAA, the grantee (i.e., the SPA) will receive a formal statement of award which will indicate the amount and type of grant and any special conditions attached (see below). The SPA will then notify the subgrantee (applicant) of the award. Payment of LEAA funds for TASC will be through a letter of credit procedure now in existence with SPA's or on a Treasury check-issued basis.

Frequently, LEAA will approve an application subject to "special conditions." These special conditions are to be negotiated and included in the terms of an award, with notice and opportunity for discussion provided to applicants. Such conditions may:

- a. Set forth specific grant administration policies;
- b. Set forth LEAA regulations (e.g., written approval of changes);
- c. Seek additional project information or detail;
- d. Establish special reporting requirements; and/or
- e. Provide for LEAA approval of critical project elements such as key staff, evaluation designs, dissemination of manuscripts, contracts, etc.

SUBCHAPTER E. GRANT ADJUSTMENTS

Many TASC projects have experienced conditions which may warrant a substantial change in the scope of objectives of the local TASC project and thus an "adjustment" to the approved application. A revision would not be required for changes in expenditures among items within any one of the direct cost budget categories, which a subgrantee may make without prior approval. Subgrantees also have authority to transfer between direct

cost budget categories the cumulative amount of 5% of the total grant budget or \$10,000, whichever is greater. Furthermore, upward revisions of provisional indirect cost rates which cause expenditures of grant funds in excess of the amount obligated by LEAA must normally be absorbed by the subgrantee.

The SPA has authority to approve requests of its subgrantees for:

- (1) Transfers between direct cost categories of any cumulative amount exceeding 5% of the total grant budget or \$10,000.
- (2) Extension of discretionary grants up to three months beyond the original grant period (without additional funds), if the total (extended) grant period does not exceed 24 months.
- (3) Minor deviations necessary to assure efficient administration, but not including departures which changes the scope or objectives of the approved project.

Prior written approval of LEAA national office is required for major project changes such as:

- (1) Change in objective or scope of work;
- (2) Change in project site;
- (3) Change in project period (beyond the authority delegated to the SPA);
- (4) Change which increases or decreases the total cost of the project;
- (5) Transfer of the grant to another grantee or subgrantee;
- (6) Transfer of any principal activity of the grant to another organization.

1. Submission and Review Process

All required revisions must be forwarded for prior approval through the SPA to LEAA at least 90 days in advance if the prospective change is known that far in advance, otherwise immediately upon determining that the change is required. Requests for extension or change of the grant period must be made at least 90 days before the scheduled grant expiration.

Such requests for changes must be submitted utilizing the Standard Form 424 (10-75) with Form 4000/3 attached, and in accordance with instructions given in Part IV-5b of Form 4000/3 (Rev. 5-76), page 7.

SUBCHAPTER F. LEAA REPORTING REQUIREMENTS

An LEAA funded TASC project's principal formal reporting requirements are quarterly financial, narrative, and statistical reports to LEAA and the SPA. Projects should additionally provide participating agencies and the local community with a continuing flow of information necessary to meet the needs of agencies and build community support for TASC.

The Quarterly Financial Status Reports are required to be submitted to the LEAA Office of the Comptroller through the SPA within 45 days after the end of each calendar quarter. The narrative Categorical Grant Progress Report is submitted to the State Planning Agency, with a concurrent copy to the national TASC program office, within 30 days after the end of each calendar quarter. The TASC Quarterly Statistical Report must be submitted to the TASC program office within 30 days after the close of the quarter. Monthly telephone reports of some statistics are also required to be made to the program office.

The primary function of quarterly reports is to describe to LEAA the status of the project: what funds have been expended, what progress has been realized in pursuing its goals, any problems that have been encountered and how these problems have been dealt with, and specific tasks to be accomplished during the upcoming quarter. Statistical requirements include information on both a quarterly and cumulative basis concerning the number of clients referred to TASC, entry status, and current status. As some of these reporting requirements change from time to time, projects are encouraged to contact LEAA whenever questions arise.

Reporting mechanisms for informing local agencies may include quarterly LEAA reports but should also communicate information to meet specific needs of the community and collaborating agencies. Generally, criminal justice agencies will require periodic reports on the status of any clients they have referred. In addition, a newsletter or statistical summary is often helpful to give TASC consumers a general overview of what is happening.

APPENDIX A

CHECK LISTS

1. Planning and Community Involvement

1. Identify conveners.
2. Set meeting date for initial presentation.
3. Identify key officials.*
4. Select place and time of meeting.
5. Send letters of invitation.
6. Arrange for coffee and necessary audiovisuals.
7. Confirm attendance of each key official or representative by phone call 2-3 days prior to meeting.
8. Prepare any necessary hand-out materials.
9. Define purpose and expectations of meeting.

If decision is to apply for grant...

- * Elected officials representing general governmental bodies
(county commissioners, mayors, city councilmen, etc.)
Police chiefs
Prosecutor
Judges (particularly presiding or chief judges)
Court administrators
Public Defender
Sheriff or correctional administrators
Probation and parole administrators
Criminal justice planning bodies (local, regional, and State),
including advisory boards
State, regional, and local drug abuse authorities
State, regional and local alcoholism authorities
Substance abuse treatment programs
Other health care and treatment agencies
Community social planning agencies
Alternatives programs, such as pretrial release, first-offender,
manpower, vocational rehabilitation, etc., programs
Local bar association

II. Project Planning

1. Meet with SPA and/or regional planning unit
 - a) Inform of intent to apply
 - b) Obtain M4500 manual
 - c) Identify dates of decision in processing
 - d) Identify A-95 clearinghouses
2. Identify lead agency/operating agency.
3. Gather data on
 - a) Arrests, offenses, etc. (police reports)
 - b) Drug abuse (SSA plan, other studies)
 - c) Drug treatment capacity (SSA/umbrella agency)
 - d) Crime-drug studies (SSA, SPA, arrest survey)
 - e) Court process (Court administrator/Judges)
4. Meet with criminal justice system personnel
 - a) Identify their needs
 - b) Express expectations from TASC
5. Meet with treatment personnel
 - a) Identify their needs
 - b) Express expectations from TASC
6. Develop small criminal justice and treatment committee
 - a) Define eligibility criteria
 - b) Define success/failure criteria
 - c) Negotiate differences

III. Grant Preparation

1. Prepare first draft
 - a) Follow the format of sample application (Appendix B)
 - b) Share draft with criminal justice and treatment committee
 - c) Send copy of draft to technical assistance contractor and LEAA program office (Make sure that fact sheet is clearly marked "Draft.")
2. Meet individually with key officials to share and explain content of draft --
 - a) Be brief
 - b) Leave copy if requested
 - c) Provide cut off date for comments
 - d) Request letter of support, discuss content
3. Submit "Notice of Intent" to A-95 clearinghouses
4. Rewrite draft incorporating comments as applicable
 - a) Share with criminal justice and treatment committee
 - b) Prepare brief summary
 - c) Send summary to key local officials - offering complete draft if desired and asking for letters of support - give deadline
5. Submit application:

LEAA, Washington, D.C. - original and 2 copies
SPA - 1 copy (more if SPA procedure requires)
A-95 clearinghouses - 1 copy to statewide, 1 copy to areawide
Technical assistance contractor - unofficial copy

IV. Implementation

1. Activate advisory board.
2. Initiate hiring of project director, other staff.
3. Rent or obtain office space.
4. Order equipment and supplies.
5. Initiate negotiations for agreements with other agencies.
6. Initiate contract procurement for urinalysis services and project evaluation.
7. Develop detailed operating procedures - review with other agencies.
8. Develop forms.
9. Hire all initial staff.
10. Orient staff to local systems.
11. Train staff.
12. Prepare procedures manual.
13. Duplicate (mimeograph, photocopy) forms.
14. Publicize beginning of operations.
15. Commence processing of clients.

APPENDIX B

SAMPLE APPLICATION FORM

OMB Approval No. 29-RO218

FEDERAL ASSISTANCE		2. APPLICANT'S APPLICATION	a. NUMBER 23-78	3. STATE APPLICATION IDENTIFIER	a. NUMBER 7823 0102
1. TYPE OF ACTION <input type="checkbox"/> PREAPPLICATION <input checked="" type="checkbox"/> APPLICATION <input type="checkbox"/> NOTIFICATION OF INTENT (Opt.) <input type="checkbox"/> REPORT OF FEDERAL ACTION <small>(Mark appropriate box)</small>		b. DATE 19 78-5-30	b. DATE Year month day ASSIGNED 19 78-3-15		
4. LEGAL APPLICANT/RECIPIENT		5. FEDERAL EMPLOYER IDENTIFICATION NO. 23-2716948		6. PRO. GRAM (From Federal Catalog)	
a. Applicant Name : County of Camelot b. Organization Unit : Department of Substance Abuse Services c. Street/P.O. Box : 780 Guinevere Street d. City : Camelot e. County : Camelot f. State : New Britain g. ZIP Code : 00000 h. Contact Person (Name & telephone No.) : Lance Galahad (101) 555-4321		b. TITLE Discretionary Funds - Part E			
7. TITLE AND DESCRIPTION OF APPLICANT'S PROJECT		8. TYPE OF APPLICANT/RECIPIENT		9. TYPE OF ASSISTANCE	
Camelot T.A.S.C. (Treatment Alternatives to Street Crime). A project for identifying, referring to treatment, and monitoring appropriate substance-abusing arrestees or offenders within the criminal justice system.		A-State B-Interstate C-Substate D-District E-City F-School District G-Special Purpose District H-Community Action Agency I-Higher Educational Institution J-Indian Tribe K-Other (Specify): Enter appropriate letter D		A-Basic Grant B-Supplemental Grant C-Loan D-Insurance E-Other Enter appropriate letter(s) A	
10. AREA OF PROJECT IMPACT (Names of cities, counties, States, etc.) Camelot County		11. ESTIMATED NUMBER OF PERSONS BENEFITING 350,000		12. TYPE OF APPLICATION A-New B-Renewal C-Revision D-Continuation E-Augmentation Enter appropriate letter A	
13. PROPOSED FUNDING		14. CONGRESSIONAL DISTRICTS OF:		15. TYPE OF CHANGE (For 15c or 15e) A-Increase Dollars B-Decrease Dollars C-Increase Duration D-Decrease Duration E-Cancellation Enter appropriate letter(s) A	
a. FEDERAL \$ 233,412 .00 b. APPLICANT 21,600 .00 c. STATE 5,000 .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$ 260,012 .00		a. APPLICANT 3rd b. PROJECT 3rd 16. PROJECT START DATE Year month day 19 78-10-1 17. PROJECT DURATION 15 Months 18. ESTIMATED DATE TO BE SUBMITTED TO FEDERAL AGENCY Year month day 19 78 - 6 - 1		19. EXISTING FEDERAL IDENTIFICATION NUMBER	
20. FEDERAL AGENCY TO RECEIVE REQUEST (Name, City, State, ZIP code) LEAA, 633 Indiana Ave., N.W., Washington, D.C. 20531				21. REMARKS ADDED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
22. THE APPLICANT CERTIFIES THAT		23. CERTIFYING REPRESENTATIVE			
a. To the best of my knowledge and belief, data in this preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.		b. If required by OMB Circular A-95 this application was submitted, pursuant to instructions therein, to appropriate clearinghouses and all responses are attached: spouse <input type="checkbox"/> No response attached <input checked="" type="checkbox"/> (1) N.B. State Planning Division <input type="checkbox"/> (2) Western Area Planning Council <input checked="" type="checkbox"/> (3) <input type="checkbox"/>			
23. CERTIFYING REPRESENTATIVE Arthur T. King, Chairman Camelot County Commissioners		b. SIGNATURE <i>Arthur T. King</i>		c. DATE SIGNED Year month day 19 78 - 5 - 30	
24. AGENCY NAME		25. APPLICATION RECEIVED		26. ORGANIZATIONAL UNIT	
27. ADMINISTRATIVE OFFICE		28. FEDERAL APPLICATION IDENTIFICATION		29. ADDRESS	
30. FEDERAL GRANT IDENTIFICATION		31. ACTION TAKEN		32. FUNDING	
<input type="checkbox"/> a. AWARDED <input type="checkbox"/> b. REJECTED <input type="checkbox"/> c. RETURNED FOR AMENDMENT <input type="checkbox"/> d. DEFERRED <input type="checkbox"/> e. WITHDRAWN		a. FEDERAL \$.00 b. APPLICANT .00 c. STATE .00 d. LOCAL .00 e. OTHER .00 f. TOTAL \$.00		33. ACTION DATE Year month day 19 34. STARTING DATE Year month day 19 35. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number) 36. ENDING DATE Year month day 19 37. REMARKS ADDED <input type="checkbox"/> Yes <input type="checkbox"/> No	
38. FEDERAL AGENCY A-95 ACTION		a. In taking above action, any comments received from clearinghouses were considered. If agency response is due under provisions of Part 1, OMB Circular A-95, it has been or is being made.			
		b. FEDERAL AGENCY A-95 OFFICIAL (Name and telephone no.)			

SECTION IV-REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

GENERAL INSTRUCTIONS

This is a multi-purpose standard form. First, it will be used by applicants as a required facesheet for pre-applications and applications submitted in accordance with Federal Management Circular 74-7. Second, it will be used by Federal agencies to report to Clearinghouses on major actions taken on applications reviewed by clearinghouses in accordance with OMB Circular A-95. Third, it will be used by Federal agencies to notify States of grants-in-aid awarded in accordance with Treasury Circular 1082. Fourth, it may be used, on an optional basis, as a notification of intent from applicants to clearinghouses, as an early initial notice that Federal assistance is to be applied for (clearinghouse procedures will govern).

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I. If an item is not applicable, write "NA". If additional space is needed, insert an asterisk "*", and use the remarks section on the back of the form. An explanation follows for each item:

- | Item | Item |
|---|--|
| <p>1. Mark appropriate box. Pre-application and application guidance is in FMC 74-7 and Federal agency program instructions. Notification of intent guidance is in Circular A-95 and procedures from clearinghouse. Applicant will not use "Report of Federal Action" box.</p> <p>2a. Applicant's own control number, if desired.</p> <p>2b. Date Section I is prepared.</p> <p>3a. Number assigned by State clearinghouse, or if delegated by State, by areawide clearinghouse. All requests to Federal agencies <i>must</i> contain this identifier if the program is covered by Circular A-95 and required by applicable State/areawide clearinghouse procedures. If in doubt, consult your clearinghouse.</p> <p>3b. Date applicant notified of clearinghouse identifier.</p> <p>4a-4h. Legal name of applicant/recipient, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of person who can provide further information about this request.</p> <p>5. Employer identification number of applicant as assigned by Internal Revenue Service.</p> <p>6a. Use Catalog of Federal Domestic Assistance number assigned to program under which assistance is requested. If more than one program (e.g., joint-funding) write "multiple" and explain in remarks. If unknown, cite Public Law or U.S. Code.</p> <p>6b. Program title from Federal Catalog. Abbreviate if necessary.</p> <p>7. Brief title and appropriate description of project. For notification of intent, continue in remarks section if necessary to convey proper description.</p> <p>8. Mostly self-explanatory. "City" includes town, township or other municipality.</p> <p>9. Check the type(s) of assistance requested. The definitions of the terms are:</p> <p style="margin-left: 20px;">A. Basic Grant. An original request for Federal funds. This would not include any contribution provided under a supplemental grant.</p> <p style="margin-left: 20px;">B. Supplemental Grant. A request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).</p> <p style="margin-left: 20px;">C. Loan. Self explanatory.</p> | <p>D. Insurance. Self explanatory.</p> <p>E. Other. Explain on remarks page.</p> <p>10. Governmental unit where significant and meaningful impact could be observed. List only largest unit or units affected, such as State, county, or city. If entire unit affected, list it rather than subunits.</p> <p>11. Estimated number of persons directly benefiting from project.</p> <p>12. Use appropriate code letter. Definitions are:</p> <p style="margin-left: 20px;">A. New. A submittal for the first time for a new project.</p> <p style="margin-left: 20px;">B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.</p> <p style="margin-left: 20px;">C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).</p> <p style="margin-left: 20px;">D. Continuation. An extension for an additional funding/budget period for a project the agency initially agreed to fund for a definite number of years.</p> <p style="margin-left: 20px;">E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.</p> <p>13. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of the change. For decreases enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 13a, amount requested from Federal Government; 13b, amount applicant will contribute; 13c, amount from State, if applicant is not a State; 13d, amount from local government, if applicant is not a local government; 13e, amount from any other sources, explain in remarks.</p> <p>14a. Self explanatory.</p> <p>14b. The district(s) where most of actual work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."</p> <p>15. Complete only for revisions (item 12c), or augmentations (item 12e).</p> |

- | Item | |
|------|--|
| 16. | Approximate date project expected to begin (usually associated with estimated date of availability of funding). |
| 17. | Estimated number of months to complete project after Federal funds are available. |
| 18. | Estimated date preapplication/application will be submitted to Federal agency if this project requires clearinghouse review. If review not required, this date would usually be same as date in item 2b. |

- | Item | |
|------|--|
| 19. | Existing Federal identification number if this is not a new request and directly relates to a previous Federal action. Otherwise write "NA". |
| 20. | Indicate Federal agency to which this request is addressed. Street address not required, but do use ZIP. |
| 21. | Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached. |

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete items 23a, 23b, and 23c. If clearinghouse review is required, item 22b must be fully completed. An explanation follows for each item:

- | Item | | Item | |
|------|---|-------|---|
| 22b. | List clearinghouses to which submitted and show in appropriate blocks the status of their responses. For more than three clearinghouses, continue in remarks section. All written comments submitted by or through clearinghouses must be attached. | 23b. | Self explanatory. |
| 23a. | Name and title of authorized representative of legal applicant. | 23c. | Self explanatory. |
| | | Note: | Applicant completes only Sections I and II. Section III is completed by Federal agencies. |

FEDERAL AGENCY PROCEDURES FOR SECTION III

If applicant-supplied information in Sections I and II needs no updating or adjustment to fit the final Federal action, the Federal agency will complete Section III only. An explanation for each item follows:

- | Item | | Item | |
|------|--|------|---|
| 24. | Executive department or independent agency having program administration responsibility. | 35. | Name and telephone no. of agency person who can provide more information regarding this assistance. |
| 25. | Self explanatory. | 36. | Date after which funds will no longer be available. |
| 26. | Primary organizational unit below department level having direct program management responsibility. | 37. | Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks. |
| 27. | Office directly monitoring the program. | 38. | For use with A-95 action notices only. Name and telephone of person who can assure that appropriate A-95 action has been taken—If same as person shown in item 35, write "same". If not applicable, write "NA". |
| 28. | Use to identify non-award actions where Federal grant identifier in item 30 is not applicable or will not suffice. | | |
| 29. | Complete address of administering office shown in item 26. | | |
| 30. | Use to identify award actions where different from Federal application identifier in item 28. | | |
| 31. | Self explanatory. Use remarks section to amplify where appropriate. | | |
| 32. | Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in remarks. For multiple program funding, use totals and show program breakouts in remarks. Item definitions: 32a, amount awarded by Federal Government; 32b, amount applicant will contribute; 32c, amount from State, if applicant is not a State; 32d, amount from local government if applicant is not a local government; 32e, amount from any other sources, explain in remarks. | | |
| 33. | Date action was taken on this request. | | |
| 34. | Date funds will become available. | | |

Federal Agency Procedures—special considerations

- A. *Treasury Circular 1082 compliance.* Federal agency will assure proper completion of Sections I and III. If Section I is being completed by Federal agency, all applicable items must be filled in. Addresses of State Information Reception Agencies (SCIRA's) are provided by Treasury Department to each agency. This form replaces SF 240, which will no longer be used.
- B. *OMB Circular A-95 compliance.* Federal agency will assure proper completion of Sections I, II, and III. This form is required for notifying all reviewing clearinghouses of major actions on all programs reviewed under A-95. Addresses of State and areawide clearinghouses are provided by OMB to each agency. Substantive differences between applicant's request and/or clearinghouse recommendations, and the project as finally awarded will be explained in A-95 notifications to clearinghouses.
- C. *Special note.* In most, but not all States, the A-95 State clearinghouse and the (TC 1082) SCIRA are the same office. In such cases, the A-95 award notice to the State clearinghouse will fulfill the TC 1082 award notice requirement to the State SCIRA. Duplicate notification should be avoided.

PART II

FORM APPROVED
OMB NO. 43-RO528

PROJECT APPROVAL INFORMATION

Item 1.

Does this assistance request require State, local,
regional, or other priority rating?☐ Yes ☒ No

Name of Governing Body _____

Priority Rating _____

Item 2.

Does this assistance request require State, or local
advisory, educational or health clearances?☐ Yes ☒ No (Attach Documentation)Name of Agency or
Board _____

Item 3.

Does this assistance request require clearinghouse
review in accordance with OMB Circular A-95?☒ Yes ☐ No

(Attach Comments)

Item 4.

Does this assistance request require State, local,
regional or other planning approval?☐ Yes ☒ No

Name of Approving Agency _____

Date _____

Item 5.

Is the proposed project covered by an approved compre-
hensive plan?☒ Yes ☐ NoCheck one: State ☒Local ☐Regional ☐Location of Plan State Div. of Criminal Justice

Item 6.

Will the assistance requested serve a Federal
installation?☐ Yes ☒ No

Name of Federal Installation _____

Federal Population benefiting from Project _____

Item 7.

Will the assistance requested be on Federal land or
installation?☐ Yes ☒ No

Name of Federal Installation _____

Location of Federal Land _____

Percent of Project _____

Item 8.

Will the assistance requested have an impact or effect
on the environment?☐ Yes ☒ NoSee instructions for additional information to be
provided.

Item 9.

Will the assistance requested cause the displacement
of individuals, families, businesses, or farms?☐ Yes ☒ No

Number of:

Individuals _____

Families _____

Businesses _____

Farms _____

Item 10.

Is there other related assistance on this project previous,
pending, or anticipated?☐ Yes ☒ NoSee instructions for additional information to be
provided.

INSTRUCTIONS

PART II

Negative answers will not require an explanation unless the Federal agency requests more information at a later date. Provide supplementary data for all "Yes" answers in the space provided in accordance with the following instructions:

Item 1 — Provide the name of the governing body establishing the priority system and the priority rating assigned to this project.

Item 2 — Provide the name of the agency or board which issued the clearance and attach the documentation of status or approval.

Item 3 — Attach the clearinghouse comments for the application in accordance with the instructions contained in Office of Management and Budget Circular No. A-95. If comments were submitted previously with a preapplication, do not submit them again but any additional comments received from the clearinghouse should be submitted with this application.

Item 4 — Furnish the name of the approving agency and the approval date.

Item 5 — Show whether the approved comprehensive plan is State, local or regional, or if none of these, explain the

scope of the plan. Give the location where the approved plan is available for examination and state whether this project is in conformance with the plan.

Item 6 — Show the population residing or working on the Federal installation who will benefit from this project.

Item 7 — Show the percentage of the project work that will be conducted on federally-owned or leased land. Give the name of the Federal installation and its location.

Item 8 — Describe briefly the possible beneficial and harmful impact on the environment of the proposed project. If an adverse environmental impact is anticipated, explain what action will be taken to minimize the impact. Federal agencies will provide separate instructions if additional data is needed.

Item 9 — State the number of individuals, families, businesses, or farms this project will displace. Federal agencies will provide separate instructions if additional data is needed.

Item 10 — Show the Federal Domestic Assistance Catalog number, the program name, the type of assistance, the status and the amount of each project where there is related previous, pending or anticipated assistance. Use additional sheets, if needed.

No grant may be awarded unless a completed application form has been received.
(Sec. 501, P.L. 93-83)

CONTINUED

1 OF 2

PART III - BUDGET INFORMATION

SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. DF-Part E	16.501	\$	\$	\$ 233,412	\$ 26,600	\$ 260,012
2.						
3.						
4.						
5. TOTALS		\$	\$	\$ 233,412	\$ 26,600	\$ 260,012

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	- Grant Program, Function or Activity				Total (5)
	(1) DF-E	(2)	(3)	(4)	
a. Personnel	\$ 146,200	\$	\$	\$	\$ 146,200
b. Fringe Benefits	19,810				19,810
c. Travel	6,485				6,485
d. Equipment	10,200				10,200
e. Supplies	2,300				2,300
f. Contractual	41,250				41,250
g. Construction	-				-
h. Other	19,490				19,490
i. Total Direct Charges	245,735				245,735
j. Indirect Charges	14,277				14,277
k. TOTALS	\$ 260,012	\$	\$	\$	\$ 260,012
7. Program Income	\$	\$	\$	\$	\$

INSTRUCTIONS

PART III

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may not require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary

Lines 1-4, Columns (a) and (b).

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to *multiple* programs where *none* of the programs *require* a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For *new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For *continuing grant program applications*, submit these forms before the end of each funding period as required by

the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period *only* if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For *supplemental grants and changes to existing grants*, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should *not* equal the sum of amounts in Columns (e) and (f).

Line 5 – Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h – Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i – Show the totals of Lines 6a to 6h in each column.

Line 6j – Show the amount of indirect cost. Refer to FMC 74-4.

Line 6k – Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 – Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

SECTION C – NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8. DF - Part E	\$ 21,600	\$ 5,000	\$	\$ 26,600
9.				
10.				
11.				
12. TOTALS	\$	\$	\$	\$

SECTION D – FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 233,412	\$ 58,353	58,353	\$ 58,353	\$ 58,353
14. Non-Federal	26,600	6,650	6,650	6,650	6,650
15. TOTAL	\$ 260,012	\$ 65,003	\$ 65,003	\$ 65,003	\$ 65,003

SECTION E – BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16. DF - Part E	\$ 210,000	\$	\$	\$
17.				
18.				
19.				
20. TOTALS	\$ 210,000	\$	\$	\$

SECTION F – OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks:

INSTRUCTIONS

PART III (continued)

Section C. Source of Non-Federal Resources

Line 8-11 — Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet. (See Attachment F, FMC 74-7.

Column (a) — Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) — Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, FMC 74-7.

Column (c) — Enter the State contribution if the applicant is *not* a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) — Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) — Enter totals of Columns (b), (c), and (d).

Line 12 — Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 — Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 — Enter the amount of cash from all other sources needed by quarter during the first year.

LEAA Instructions

Applicants must provide on a separate sheet(s) a budget narrative which will detail by budget category, the federal and nonfederal (in-kind and cash) share. The grantee cash contribution should be identified as to its source, i.e., funds appropriated by a state or local unit of government or donation from a private source. The narrative should relate the items budgeted to project activities and should provide a justification and explanation for the budgeted items including the criteria and data used to arrive at the estimates for each budget category.

Line 15 — Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 — Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuing grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This Section need not be completed for amendments, changes, or supplements to funds for the current year of existing grants.

If more than four lines are needed to list the program titles submit additional schedules as necessary.

Line 20 — Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F — Other Budget Information.

Line 21 — Use this space to explain amounts for individual direct object cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 — Enter the type of indirect rate (provisional, pre-determined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 — Provide any other explanations required herein or any other comments deemed necessary.

INSTRUCTIONS

PART IV PROGRAM NARRATIVE

Prepare the program narrative statement in accordance with the following instructions for all new grant programs. Requests for continuation or refunding and changes on an approved project should respond to item 5b only. Requests for supplemental assistance should respond to question 5c only.

1. OBJECTIVES AND NEED FOR THIS ASSISTANCE.

Pinpoint any relevant physical, economic, social, financial, institutional, or other problems requiring a solution. Demonstrate the need for assistance and state the principal and subordinate objectives of the project. Supporting documentation or other testimonies from concerned interests other than the applicant may be used. Any relevant data based on planning studies should be included or footnoted.

2. RESULTS OR BENEFITS EXPECTED.

Identify results and benefits to be derived. For example, when applying for a grant to establish a neighborhood health center provide a description of who will occupy the facility, how the facility will be used, and how the facility will benefit the general public.

3. APPROACH.

- a. Outline a plan of action pertaining to the scope and detail of how the proposed work will be accomplished for each grant program, function or activity, provided in the budget. Cite factors which might accelerate or decelerate the work and your reason for taking this approach as opposed to others. Describe any unusual features of the project such as design or technological innovations, reductions in cost or time, or extraordinary social and community involvement.
- b. Provide for each grant program, function or activity, quantitative monthly or quarterly projections of the accomplishments to be achieved in such terms as the number of jobs created; the number of people served; and the number of patients treated. When accomplishments cannot be quantified by activity or function, list them in chronological order to show the schedule of accomplishments and their target dates.

- c. Identify the kinds of data to be collected and maintained and discuss the criteria to be used to evaluate the results and successes of the project. Explain the methodology that will be used to determine if the needs identified and discussed are being met and if the results and benefits identified in item 2 are being achieved.
- d. List organizations, cooperators, consultants, or other key individuals who will work on the project along with a short description of the nature of their effort or contribution.

4. GEOGRAPHIC LOCATION.

Give a precise location of the project or area to be served by the proposed project. Maps or other graphic aids may be attached.

5. IF APPLICABLE, PROVIDE THE FOLLOWING INFORMATION:

- a. For research or demonstration assistance requests, present a biographical sketch of the program director with the following information; name, address, phone number, background, and other qualifying experience for the project. Also, list the name, training and background for other key personnel engaged in the project.
- b. Discuss accomplishments to date and list in chronological order a schedule of accomplishments, progress or milestones anticipated with the new funding request. If there have been significant changes in the project objectives, location approach, or time delays, explain and justify. For other requests for changes or amendments, explain the reason for the change(s). If the scope or objectives have changed or an extension of time is necessary, explain the circumstances and justify. If the total budget has been exceeded, or if individual budget items have changed more than the prescribed limits contained in Attachment K to FMC 74-7, explain and justify the change and its effect on the project.
- c. For supplemental assistance requests, explain the reason for the request and justify the need for additional funding.

PART V
ASSURANCES

The Applicant hereby assures and certifies that he will comply with the regulations, policies, guidelines, and requirements, including OMB Circular No. A-95 and FMCs 74-4 and 74-7, as they relate to the application, acceptance and use of Federal funds for this federally assisted project. Also the Applicant assures and certifies with respect to the grant that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and in accordance with Title VI of that Act, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance and will immediately take any measures necessary to effectuate this agreement.
- 3a. It will comply with the provisions of 28 C.F.R. 42.101 et seq. prohibiting discrimination based on race, color or national origin by or through its contractual arrangements. If the grantee is an institution or a governmental agency, office or unit then this assurance of nondiscrimination by race, color or national origin extends to discrimination anywhere in the institution or governmental agency, office, or unit.
- 3b. If the grantee is a unit of state or local government, state planning agency or law enforcement agency, it will comply with Title VII of the Civil Rights Act of 1964, as amended, and 28 C.F.R. 42.201 et seq. prohibiting discrimination in employment practices based on race, color, creed, sex or national origin. Additionally, it will obtain assurances from all subgrantees, contractors and subcontractors that they will not discriminate in employment practices based on race, color, creed, sex or national origin.
- 3c. It will comply with and will insure compliance by its subgrantees and contractors with Title I of the Crime Control Act of 1973, Title VI of the Civil Rights Act of 1964 and all requirements imposed by or pursuant to regulations of the Department of Justice (28 C.F.R. Part 42) such that no person, on the basis of race, color, sex or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded by LEAA.
4. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
5. It will comply with the provisions of the Hatch Act which limit the political activity of employees.
6. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
7. It will give the grantor agency or the Comptroller General through any authorized representative the access to and the right to examine all records, books, papers, or documents related to the grant.
8. It will comply with all requirements imposed by the Federal grantor agency concerning special requirements of law, program requirements, and other administrative requirements approved in accordance with FMC 74-7.
9. It will comply with the provision of 28 CFR Part 20 regulating the privacy and security of criminal history information systems.
10. All published material and written reports submitted under this grant or in conjunction with the third party agreements under this grant will be originally developed material unless otherwise specifically provided for in the grant document. Material not originally developed included in reports will have the source identified either in the body of the report or in a footnote, whether the material is in a verbatim or extensive paraphrase format. All published material and written reports shall give notice that funds were provided under an LEAA grant.
11. Requests for proposal or invitations for bid issued by the grantee or a subgrantee to implement the grant or subgrant project will provide notice to prospective bidders that the LEAA organizational conflict of interest provision is applicable in that contractors that develop or draft specifications, requirements, statements of work and/or RFP's for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement.

Detailed Budget

a. Personnel

<u>Position</u>	<u>% Time</u>	<u>No. of Months</u>	<u>Annual Rate</u>	<u>Total Salary</u>
Project Director	100	15	18,000	22,500
Deputy Director/Court Liaison	100	14	15,000	17,500
Screeners	100	13	10,200	11,050
Screeners	100	13	10,200	11,050
Screeners	100	13	10,200	11,050
Intake Coordinator	100	14	13,800	16,100
Tracker	100	13	10,200	11,050
Tracker	100	11	10,200	9,350
Tracker	100	6	10,200	5,100
Support Services Coordinator	100	13	12,000	13,000
Secretary II	100	15	9,000	11,250
Secretary I	100	12	7,200	7,200
				<u>146,200</u>

b. Fringe Benefits

FICA	6.05%
Unemployment & Disability Insurance	2.5 %
County Pension Plan	2.0 %
Health Insurance	<u>3.0 %</u>
	13.55% of \$146,200 = 19,810

c. Travel

Local travel: 15,000 miles (ave. 1200 miles/month for 12 months operation + 200 miles/month during 3 month start-up) @15.5¢ = 2,325.

Out of state travel:

2 trips x 2 staff x 3 days to Washington, D.C.

Air fare 4 @ \$260 = 1,040

Per diem 12 @ \$35 = 420

1,460.

10 professional staff to National TASC Training Center, Cincinnati, Ohio for 3 days

Air fare 10 @ \$165 = 1,650

Per diem 30 @ \$35 = 1,050

2,700.

Total out of state

4,160.

Total travel

6,485.

d. Equipment

10 Desks @ 200	2,000	
2 Secretarial desks @ 250.	500	
10 Office chairs @ 75.	750	
2 Secretarial chairs @ 60.	120	
1 Conference table @ 150.	150	
10 Conference chairs @ 60.	600	
15 Side chairs (offices, waiting ares) @ 40.	600	
4 Locking file cabinets @ 120.	480	
2 Typewriters @ 500.	1,000	
1 Calculator @ 250.	250	
1 Electrostatic copier - rental @ 250 per month	<u>3,750</u>	
		10,200

e. Supplies

General office supplies	2,000	
Postage @ \$20 per month	<u>300</u>	
		2,300

f. Contractual

Urine assays: 7,800 samples (150 average per week for 52 weeks) @ \$2.50	19,500	
Psychological Consultant Services: 50 days @ \$135.	6,750	
Project Evaluation	<u>15,000</u>	
		41,250

g. Construction - Not applicable

h. Other

Office space rental: 1800 sq. ft. @ \$6 per sq. ft. per year (including utilities & janitorial services) for 15 months	13,500	
Telephone service: 10 instruments, 5 lines installed	750	
local service @ \$100 per month for 14 months	1,400	
long distance calls @ \$60/month for 14 months	840	
Printing	1,000	
Insurance: personal liability	<u>2,000</u>	
		<u>19,490</u>

i. Total Direct Charges 245,735

j. Indirect Charges

Approved rate: 8.6% of salaries and fringe benefits (see attached rate agreement)	14,277
	<hr/>

k. <u>Total</u>	260,012
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Budget Narrative

a. Personnel

Position descriptions for each of the eight titles appear at the end of this application. The positions have been budgeted for a gradual phase-in of staff during the three month implementation period of the grant, and in the case of the trackers as client caseloads increase. All staff will be employed full-time for the TASC project by the County Department of Substance Abuse Services. As special project grant employees, TASC staff will be excluded from county merit system competitive test requirements and from the system job security provisions but will be required to meet educational and experience qualifications equivalent to existing titles with similar salary ranges.

b. Fringe Benefits.

As county employees, TASC project staff will receive the same fringe benefits accorded to all employees. The county contribution to the costs of these benefits totals 13.55% as shown in the above detailed budget.

c. Travel.

As no vehicle will be provided for the TASC project, staff will be reimbursed for local mileage at the rate of 15.5 cents per mile, as established for all county employees. It is estimated that the 3 trackers and the support services coordinator will average a total of 200 miles per month. During the implementation period 200 miles per month is estimated for local travel.

Out of state travel funds are budgeted for the project director and one staff member to attend the annual National TASC Conference. As the site of the conference will be determined only a few months before it is held, the national TASC program office advises that new projects should include costs for travel to Washington, D.C. The second trip to D.C. is for the purpose of consulting with LEAA, or to attend other national meetings as approved by LEAA. Funds are also budgeted for all 10 professional staff to attend a 3-day training program at the National TASC Training Center, located at the Cincinnati TASC.

d. Equipment

The equipment listed should be self-explanatory. Estimated unit costs are based upon current office equipment catalogues, as provided to the county purchasing officer.

e. Supplies

The cost of office supplies is estimated at an initial cost of \$600, and replenishment of consumables at a cost of \$100 per month in succeeding months. Postage has been estimated for a high volume of correspondence with criminal justice and treatment agencies, as well as normal program mailing requirements.

f. Contractual

Urine drug screen assays will be utilized as one of the measures of client performance. Random weekly urine samples will be collected and analyzed for each client in treatment. Because TASC will start with a zero base, building up to a total (dynamic capacity) of 35 treatment referrals, it is expected that the peak static capacity will be approximately 250 as a result of successful or unsuccessful terminations, and that the number of clients in treatment will average 150 for the 52 week period. Samples will be tested for the presence of opiates, methadone, cocaine, barbiturates and amphetamines, and results will be reported to TASC within 72 hours. The contract will be awarded in accordance with the county's competitive bidding procedures, to a licensed laboratory utilizing an immunoassay or other acceptable system.

Psychological consulting services will be provided by the Camelot Community Mental Health Center, primarily for the purpose of performing psychologic testing and evaluation of selected clients and reviewing assessments and referral decisions made by TASC staff. Prior to commencing TASC operations, consultants from CCMHC will also assist in training staff.

A contract for project evaluation will be awarded through competitive bidding procedures, to evaluate both project performance and impact. Bidders will be asked to propose the specific methodology to be used in conducting the evaluation, described in more detail later in this application. Cost of data collection and analysis, including 3 interim quarterly reports and a final report, is estimated as 100 man-days @ \$125. plus \$2500. clerical costs, supplies, and overhead.

h. Other

Office space required is computed at 150 sq. ft. per staff member. An average cost of \$6 per square foot per annum was quoted by real estate brokers handling properties in the Court House area in downtown Camelot.

Telephone installation and basic (local) service costs are based on quotes from the local telephone company. Long distance costs are estimated for calls to the state capital, LEAA offices, out of town treatment programs and support service programs, and other TASC projects.

Printing costs are estimated for the printing of forms for operational and administrative purposes, and brochures describing TASC to potential clients and criminal justice personnel.

Comprehensive personal liability insurance coverage will be carried for all TASC staff while performing their assigned duties or related activities. The figure budgeted is based upon premium estimates of local insurance brokers.

k. Indirect Charges

Indirect costs are established at the rate of 8.6% of personnel and fringe benefit costs by an agreement between the County of Camelot and the U.S. Department of Labor, dated September 15, 1977. A copy of the agreement is attached to this narrative.

Matching Funds

Cash match for the TASC project will be provided from two sources. The sum of \$5,000 has been allocated by the State Division of Substance Abuse Control from its state appropriations for the fiscal year beginning July 1, 1978, for the partial support of Camelot TASC, contingent only upon the award of federal funds by LEAA as requested in this application. (See attached letter of support.) The amount of \$21,600 is included in the Camelot County budget allocation to the Department of Substance Abuse Services in the 1978-79 fiscal year, and approval by the County Commissioners is expected. This total of \$26,600 exceeds the 10% match requirement.

Part IV
Program Narrative

I. Objectives and Need for Assistance

(Briefly summarize the project and state its general purposes.)

A. Problem Definition

(1) Studies of local drug problem.

(Present or summarize surveys or estimates of the incidence and prevalence of abuse of various drugs in the community, including supporting data.)

(2) Studies of local crime.

(Present or summarize arrest data, showing, if possible, the number of persons arrested for drug offenses (by drug and charge), property crimes by charge, and crimes against persons, also by charge, together with disposition statistics.)

(3) Local crime/drug relationship

(Present surveys of the correlation of drug abuse and crime, such as arrest surveys, or estimates of local officials with supporting data.)

B. Resource Definition

(1) Standard criminal justice procedures.

(Briefly describe the steps of the normal criminal process, including average time lapse between steps.)

(a) Arrest

(b) Booking at City-County Jail

(c) Complaint - formal charge filed by Prosecutor

(d) Initial Appearance (Felony) - Municipal Court reads charge to defendant, advises on rights, sets bond amount, schedules preliminary hearing.

(e) Preliminary Hearing (Felony) - Municipal Court hears evidence to determine probable cause - if no probable cause is found, charge is dismissed or reduced; if probable cause is found, case is bound over to Superior Court.

- (f) Indictment or Information (Felony) - Prosecutor presents evidence to grand jury which issues "no bill" or a "true bill" of indictment. (In some cases, Prosecutor may file a bill of information in lieu of indictment.)
- (g) Arraignment (Felony) - defendant enters plea in Superior Court - date for trial (not guilty plea) or sentencing (guilty plea) is scheduled.
- (h) Trial (Felony) - Superior Court with or without jury (at defendant's option.)
- (i) Sentencing (Felony) - Superior Court may sentence to incarceration, probation, fine, or combination.

or...

- (d) Initial Appearance (Misdemeanor) - Municipal Court reads charge to defendant, advises on rights, sets bond amount, accepts plea: if plea is not guilty, schedules trial (see i); if plea is guilty, schedules sentencing (see j).
- (e) Trial (Misdemeanor) - Municipal Court
- (f) Sentencing (Misdemeanor) - Municipal Court may sentence to county jail for up to one year, probation, fine, or combination.

(2) Criminal justice alternatives

(Describe, as applicable:)

- (a) ROR Program
- (b) Pretrial intervention programs
- (c) Probation
- (d) Work release programs
- (e) In-jail rehabilitation programs
- (f) Other existing alternative programs

(3) Substance abuse treatment and rehabilitation programs.

(Give name, location, and brief (one paragraph) description of each treatment program, including environment (inpatient, residential outpatient), modality, capacity, and clientele priorities or restrictions (e.g., ethnic groups, veterans, females, etc.). Summarize treatment resources in a chart showing average utilization and available capacity, such as:)

<u>Program</u>	<u>Environment Modality</u>	<u>Static Capacity</u>	<u>Dynamic Capacity</u>	<u>Average Client Population</u>	<u>Available Capacity</u>
Roundtable	R-Detox.	2	50	1	1
	R-Drug Free	25	75	21	4
Excalibur	O-Meth.M.	75	150	62	13
	O-Drug Free	50	100	41	9
VA Hospital	I-Detox.	10	170	6	4
	I-Drug Free	10	30	8	2
	O-Drug Free	50	100	35	15
....
					<u>140</u>

(If applicable, include a separate chart showing alcohol treatment resources.)

C. Goals and Objectives

- (1) Goals of national TASC program
- (2) Local project goals
- (3) Objectives

(Goals should be qualitative ends sought, related to identified problems. Objectives should be quantified steps toward achieving those ends, and should include both performance and impact objectives. Anticipated dynamic TASC clientele should be stated.)

2. Results or Benefits Expected

A. Target population.

(Describe the persons expected to benefit directly from the project.)

B. Direct benefits expected.

(Describe the anticipated benefits to the target population.)

C. Indirect benefits expected.

(Describe the anticipated benefits to the criminal justice system, treatment system, and the general public.)

3. Approach.

A. Points of intervention.

(Indicate the points in the criminal justice system at which TASC will intervene, and describe here or in B. (below) how the intervention will be accomplished.)

B. TASC Procedures.

(Describe in detail how each of the TASC functions will be performed: identification, court liaison, escort, assessment, referral, and monitoring. This description must include the following statements at appropriate points in the narrative:)

- (1) Participation in TASC is on a voluntary basis only.
- (2) Results of initial urinalysis (if used) and interview will not be used for or against the prospective TASC client in any prosecution.
- (3) Monitored and randomly scheduled urine specimens will be collected and analyzed at least once each week for all drug abusing TASC clients in treatment.
- (4) Escort service will be provided for each client from the court to the TASC intake center and from the intake center to the treatment facility.
- (5) A tracking system will be established to constantly monitor the progress of each TASC client to ensure that the client is abiding by the terms of referral.
- (6) Provision will be made for the apprehension and prompt return to the criminal justice system of those clients who fail to meet TASC conditions.

C. Eligibility criteria.

(State objective criteria for acceptance into TASC.)

D. Success/failure criteria.

(State objective criteria for continuing in TASC, successful termination, and unsuccessful termination.)

E. Project structure and organization.

(1) TASC Structure

(Describe internal structure of the TASC project - include organization chart.)

(2) Relationship to governmental structure

(Describe how project fits into government structure, who project director reports to, etc. - include organization chart, if applicable.)

(3) Advisory Council

(Describe membership of advisory council, its functions and processes.)

(4) Position descriptions

(For each staff job title, describe responsibilities, supervisor, abilities needed, education and/or experience required.)

F. Implementation Plan

(Indicate implementation steps, operating activities, milestones, and timetable for review of progress. This narrative should detail the major steps and sub-steps to be taken for both the start-up phase and operational phase. A milestone chart summarizing this section may also be presented, such as the following:

Timetable of Implementation and Accomplishments

	Months														
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
<u>Staff selection</u>															
Director	x														
Deputy Director		x													
Screeners			x												
Screeners			x												
Screeners			x												
Intake Coordinator		x													
Tracker			x												
Tracker					x										
Tracker										x					
Support Services Coord.			x												
Secretary II	x														
Secretary I				x											
<u>Management</u>															
Acquire office space	x														
Order equipment & supplies	x														
Establish operating policies & procedures (in consultation with Solicitor, public defender, police chiefs, judges, & magistrates)	x														
Design forms		x													
Order printing of brochures		x													
Order printing of forms						x									
Make agreements with treatment programs		x	x												
Staff training at NTTC			x												

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Conduct orientation work-shops for:															
Correction officers			x												
Police officers				x	x										
Probation & Parole Agents			x												
Award contract for urinalysis services			x												
Review policies and progress						x									
<u>Evaluation</u>															
Prepare contract specifications	x														
Receive and review proposals		x													
Award contract			x												
Approve design & instruments					x										
Receive interim reports							x			x			x		
Receive final report															x
<u>Operations</u>															
Screening in county jail				x	x	x	x	x	x	x	x	x	x	x	x
Intake processing & referral				x	x	x	x	x	x	x	x	x	x	x	x
Refer 10 clients per month				x											
Refer 20 clients per month					x	x	x								
Refer 35 clients per month								x	x	x	x	x	x	x	x

G. Project Evaluation

(Describe generally the evaluation design for the project (details and methodology can be supplied during the contracting process), which should include "performance assessments" and "impact assessments." As a 15 month project will not produce a significant number of treatment completions, impact will need to be measured in terms such as "status change," cost benefit, and attitudinal changes.)

H. Assumption of costs.

(Discuss potential sources of funding from local or state resources after discretionary grants expire, and what steps will be taken to obtain such funds.)

4. Geographic Location

(Briefly describe the area to be served, including population, characteristics and distribution, topography, etc. Maps or charts may also be included.)

5. Letters of Endorsement

Presiding Judge(s)
Prosecutor
Public Defender
Police Chief
Sheriff
Corrections Director
Chief Probation Officer
Chief Parole Officer
Pretrial Service Agency Director
Single State Agency for Drug Abuse Prevention
State Alcoholism Authority
Local Umbrella Treatment Agency
Individual Drug and/or Alcohol Abuse Treatment Agencies

APPENDIX C

FEDERAL CONFIDENTIALITY REGULATIONS AND TASC*

By Robert B. Stites, J.D.
and James C. Weissman, J.D.

I. INTRODUCTION

On August 1, 1975, a new Part 2 of Subchapter A of Chapter I Title 42 of the Code of Federal Regulations became effective, specifying regulations for the protection of the confidentiality of alcohol and drug abuse patient records. The scope of the regulations is comprehensive; patient records are defined broadly and the regulations are applied to all functions associated with service delivery to alcohol and drug abusers and related activities pertaining to the administration of justice.

These regulations were adopted following a series of proposed rulemakings authorized by Section 408 of the Drug Abuse Office and Treatment Act (P.L. 92-255), as amended by Section 303 of the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act Amendments (P.L. 93-282), 21 U.S.C. 1175; and by Section 333 of the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act (P.L. 91-616), as amended by the Comprehensive Alcohol Abuse Act Amendments (P.L. 93-282), 42 U.S.C. 4582. All references in this article to "the confidentiality regulations" apply to those final regulations which appeared in the Federal Register on July 1, 1975 (40 F.R. 27802).

II. SCOPE OF COVERAGE

Section 2.12 of the confidentiality regulations declares that the regulations apply to "records of the identity, diagnosis, prognosis, or treatment of any patient which are maintained in connection with the performance of any alcohol abuse or drug abuse prevention function" supported in part or in its entirety by direct federal funding, licensed in some manner by the federal government, supported in part or its entirety by indirect federal funding (e.g., revenue sharing), or assisted by an Internal Revenue Service tax-exempt status.

The terms "diagnosis" and "treatment" include interviewing, counseling, and related activities aimed at or incidental to the diagnosis, treatment, or rehabilitation of an alcohol or drug abuser.

* Adapted from an earlier paper, "The Criminal Justice Practitioner's Guide to the New Federal Alcohol and Drug Abuse Confidentiality Regulations," appearing in 40 (2) Federal Probation 11-20 (1976).

The term "patient" is broadly defined as an individual who has applied for or received diagnosis or treatment for drug or alcohol abuse, and specifically includes "any individual who, after arrest on a criminal charge, is interviewed and/or tested in connection with drug or alcohol abuse preliminary to a determination as to eligibility to participate in a treatment or rehabilitation program." A broad definition is also applied to the term "records" to include any information, whether recorded or not, relating to a patient, received in connection with covered activity. These provisions make it clear that nearly all information derived from TASC activities involving screening, assessing, referring, or monitoring treatment of alcohol or drug abusers are subject to the confidentiality regulations.

The general rules regarding the disclosure of patient records are also sweeping in their scope. Section 2.13 of the regulations states that "Records to which this part applies shall be confidential and may be disclosed only as authorized by this part, and may not otherwise be divulged in any civil, criminal, administrative, or legislative proceeding conducted by any Federal, State, or local authority, whether such proceeding is commenced before or after the effective date of this part." This comprehensive prohibition upon unauthorized disclosure applies "irrespective of whether the person seeking disclosure already has the information sought, has other means of obtaining it, enjoys official status, has obtained a subpoena, or asserts any other justification or basis for disclosure not expressly authorized under this part."

These general rules also provide specific guidance in regard to areas which have proven troublesome in applying previous rules. The regulations specify that the prohibition of unauthorized disclosures applies to all information concerning patients, including their attendance, physical whereabouts, or status as patient. The prohibition explicitly includes implicit or negative disclosures, e.g., the disclosure that a person answering a particular description, name, or other identification, is not or has not been attending a program. The rationale for this ban is that a course of action giving negative responses when the subject of inquiry is not a patient, followed by a refusal to respond would imply that the refusal was equivalent to a positive response. Furthermore, the presence of any inpatient in a medical facility or a resident in a residential facility may be divulged only with written consent or if done in such a way as not to indicate the alcohol or drug abuse treatment status of the patient. In previous years, uncertainty has existed regarding the divulgence of these patient-oriented data, particularly with respect to the not infrequent requests from law enforcement and criminal justice personnel in some communities.

The general rules clarify an allied issue which has aroused controversy among criminal justice professionals. If a patient commits or threatens to commit a crime on the program premises or against program personnel, the regulations do not affect the desire or obligation of program personnel in reporting the incident to law enforcement officials. In the first instance, however, the report should not identify the suspect as a patient and the program should activate the

regulations' "good cause" court order provisions discussed below which permit limited patient information disclosure in accordance with the identified need.

This provision, § 2.13(d), is unclear and contradictory in its charge. Its applicability is limited to crimes committed on the program premises or against program personnel; crimes allegedly committed by patients under other circumstances are subject to the "good cause" court order provisions discussed in Section VI of this article. The § 2.13(d) provision, on the one hand, encourages program personnel to report crimes on the premises or against personnel but suggests, in a limiting fashion, that "In any such situation, immediate consideration should be given to seeking an order under Subpart E of this part to permit the disclosure of such limited information about the patient as may be necessary under the circumstances."

This limitation is unrealistic. Investigation of a crime by a law enforcement official involves the collection of all pertinent data concerning commission of the offense and the suspected offender. A law enforcement official who opts to terminate his investigation in order to seek a Subpart E "good cause" court order might be subject to departmental reprimand if the alleged offense involved violence and a continuing threat of harm. In terms of legal analogy, the "hot pursuit" doctrine permits suspension of the normally required search and seizure warrant procedures in specified emergency situations. Surely, a similar factually exigent circumstance should permit suspension of the ordinary Subpart E requirements.

Three types of communications are excluded from the meaning of "disclosure" as used in the regulations. The most significant exclusion is communications "within a program between or among personnel having a need for such information in connection with their duties." The others are communications with a qualified service organization when needed to perform services to the program, and communications containing neither patient identifying information nor identifying numbers. This section is somewhat confusing regarding the communications "within a program," especially where there are several components of the same program. "Program" is defined as "an individual or organization furnishing diagnosis, treatment, or referral for alcohol abuse or drug abuse." It would appear therefore that the exclusion applies to at least those communications between or among personnel of diagnostic, treatment, or referral components, but may not apply to communications between those components and administrative or other non-direct service elements of the same umbrella.

III. PENALTIES

Unauthorized disclosure of patient records subjects the disclosing person to criminal sanctions. A first offense may be punished by a fine of not more than \$500 and subsequent offenses may result in fines of no more than \$5,000. Reports of violations may be made to the United States Attorney for the judicial district in which the violation

is alleged to have occurred or to appropriate federal agencies in the event of alleged violation by a federal grantee, contractor, or licensee. No particular agency has been assigned the responsibility for insuring compliance with the regulations; the burden for enforcement rests upon aggrieved parties and interested observers.

IV. AUTHORIZED DISCLOSURES

The statutes and regulations permit disclosure without a patient's consent in certain extremely limited situations. Disclosure to medical personnel is authorized to meet a bona fide medical emergency. Records may be disclosed to qualified personnel for purposes of scientific research, audits, or evaluations, provided that no resulting reports identify any individual patient. If good cause is shown, a court of competent jurisdiction may by appropriate order authorize disclosures without consent.

Generally disclosures of patient records require written consent, and even then may be made only to limited persons or for limited purposes. The rules for the requirements which must be incorporated into the consent agreement are set forth in Section 2.31 of the confidentiality regulations; the consent must be in writing and specify:

- (1) The name of the program which is to make the disclosure.
- (2) The name or title of the person or organization to which disclosure is to be made.
- (3) The name of the patient.
- (4) The purpose or need for the disclosure.
- (5) The extent or nature of information to be disclosed.
- (6) A statement that the consent is subject to revocation at any time and specification of the date, event, or condition upon which it expires without revocation. (But see below regarding a criminal justice referred patient.).
- (7) The date the consent is signed.
- (8) The signature of the patient (and guardian where applicable).

The general provision relating to written consents specifies that a consent shall have a duration no longer than reasonably necessary to effectuate the purpose for which it is given, but there is a special duration limitation clause for criminal justice referrals.

As indicated above, there are special rules applicable to criminal justice system referrals. These rules, found in § 2.39, apply only where participation in a treatment program is made a formal condition of (1) release from confinement, (2) the disposition or status of any pending criminal proceedings, or (3) the execution or suspension of sentence already imposed. Informal treatment referrals by the judiciary or by probation or parole officials do not activate this section. If treatment participation has been made a formal supervisory condition by a criminal justice agency, the individual patient may consent to unrestricted communication between his treatment program and certain criminal justice officials maintaining supervisory jurisdiction over his case. Courts, parole boards, and probation or parole officers constitute the range of permissible patient information recipients under this provision for unrestricted communication. This provision does not include referrals by police and prosecutors and in general, the regulations fail to adequately address any non-judicial pre-arrest or pre-trial diversion of drug abusers.

In addition to the permissive consent to unrestricted communication, there are two major distinctions in the written consents to disclosure in the case of criminal justice referrals: the duration of such consents and the right of the patient to revoke consent. The duration of consent under this section is sixty days or until there is a substantial change in the patient's criminal justice status, whichever occurs later. For purposes of this section, a substantial change in status occurs if the person at the time he/she gives consent has been --

- (1) Arrested but not charged, when he/she is formally charged or unconditionally released from arrest;
- (2) Formally charged, when the charges have been dismissed with prejudice or trial has commenced;
- (3) Brought to trial, when acquitted or sentenced;
- (4) Sentenced, when the sentence has been completed.

The revocation of consent conditions differ for the criminal justice referred patient. Unlike the self-referred client, the criminal justice patient is unable to unilaterally revoke the consent until there has been a formal termination of the conditions of release.

One of the shortcomings of § 2.39 is its failure to explicitly include all forms of criminal justice patient orders pertaining to alcohol and drug abuse services. The omission of police, prosecutorial, and other non-judicial diversion treatment referrals was mentioned above. Another related area of importance which escaped the attention of the drafters is the formal criminal justice ordered alcohol and drug abuse evaluation. In some cases a court or other criminal justice agency orders a potential TASC client to undergo comprehensive alcohol or drug abuse diagnosis and evaluation prior to a dispositional decision by the

criminal justice agency. Finally, § 2.39 does not apply to the frequent informal criminal justice diagnosis and treatment referrals where the referral is by a judge, probation officer, or parole officer and is only of a suggestive nature and not a formal condition of release from confinement, disposition or status of any pending criminal proceedings, or the execution or suspension of sentence already imposed. In any of these events, the patient may voluntarily consent to release of his diagnostic or treatment information but would retain the right to revoke at any time and could not consent to unrestricted communication.

No mention is made in § 2.39 of the applicability of the section to juveniles. The regulations do, in § 2.15, make explicit provision for 'minor' patients (a person under 18 years of age or under the age prescribed by state law for the passing of minority). Unless state law expressly authorizes treatment without parental consent, the minor and his parent or legal guardian must both sign the consent to release of patient information. Where treatment without parental consent statutes exist, only the consent of the minor must be obtained. There is no indication that these rules are not to be applied to § 2.39 referrals in the routine manner otherwise prescribed.

The existence of a bona fide attorney-client relationship permits disclosure of patient information without the complex requirements otherwise required for a consent to the release of treatment information. A written application by the patient to the treatment program endorsed by the attorney will authorize release to the attorney of any information in the patient's records. However, information disclosed in that manner may not be redisclosed by the attorney. Third parties seeking access to the information must request the data from the treatment program directly.

This attorney-client provision (§2.35) is an anomaly, partially suspending the routinely required elements for consensual disclosures. The purpose of this relaxation of the rules is to assure that the attorney, with his client's consent, has available any information needed as a basis for advice and counsel. The redisclosure limitation specified in §2.35 insures that this channel of release will be restricted to the attorney and not used for related secondary purposes.

In circumstances not specifically provided for in the regulations, a catch-all provision (§2.40) permits disclosures for the benefit of a patient, with the patient's consent in the form required by §2.31, but requires the exercise of discretion by the director (or his designee) of the program making the disclosure. The program director must determine that there is no suggestion in the written consent or the surrounding circumstances that consent was not given voluntarily and without coercion, and that making the disclosure will not be harmful to the patient, will not substantially harm the patient-program relationship, nor harm the program's capacity to provide services.

V. PROHIBITION ON REDISCLOSURE

A critical provision pertaining to all authorized disclosures and particularly affecting disclosures to criminal justice and non-treatment agencies is the Section 2.32 prohibition on redisclosure. That section requires that authorized written disclosures be accompanied by a written statement substantially as follows:

"This information has been disclosed to you from records whose confidentiality is protected by Federal Law. Federal regulations (42 CFR Part 2) prohibit you from making any further disclosure of it without the specific written consent of the person to whom it pertains, or as otherwise permitted by such regulations. A general authorization for the release of medical or other information is NOT sufficient for this purpose."

Oral disclosures may be accompanied or followed by such a notice but are not mandatorily covered by this section.

The purpose of this provision is to restrict disclosure to the purpose specified in the patient's consent to release of information. Redisclosures may not be effected without a specific release intended for that purpose and the regulations thus encourage direct requests to the treatment programs rather than to the agency to whom the information at issue was disclosed in the first instance. Oral disclosures are specifically excluded from the redisclosure requirements. The drafters stated that the rarity of oral disclosures except to recipients having continuing relationships with the program, preclude the necessity for inclusion of oral disclosures within the redisclosure prohibition.

In the case of "criminal justice referrals," §2.39(d) further provides that the recipients of disclosures regarding such clients may use such information only in connection with their official duties with respect to that client. The information may not be used or made available for general investigative purposes or in unrelated proceedings or for unrelated purposes. Thus, information properly disclosed by a TASC project or a treatment program to a criminal justice agency for purposes of reporting on treatment progress or reporting violations of conditions of release may be used only in connection with the immediate case and not for an investigation or prosecution of new or unrelated charges. It seems equally clear that where a criminal justice agency, such as a probation department, has responsibility for operation of a TASC project or for directly providing treatment, patient information must be compartmentalized within the TASC or treatment unit and not be made generally available within other components of the agency or department.

A more hazardous problem is the conflict between "open records" laws and the intent of §2.32 and 2.39(d). In some jurisdictions,

probation officer files are public records subject to citizen examination upon request. If a treatment record is made part of a probation file via a written consent for a specific purpose, a question arises as to later use of those data in arguably "unrelated" legal proceedings, e.g., a parole investigation by a separate correctional agency. The most reasonable response is that federal law, i.e., the confidentiality regulations, supersedes state law unless the state law is more protective of patient privacy and must thus be regarded as controlling. Therefore, the treatment record in the example should be excluded from the file made available to the public.

VI. "GOOD CAUSE" COURT ORDERS

Subpart E of the regulations (§§2.61 through 2.67) presents the guidelines for implementation of the "good cause" court order provision originally specified in Section 408 of the Drug Abuse Office and Treatment Act of 1972. Under procedures delineated in subpart E, a court of competent jurisdiction may order the limited divulgence of patient information upon a showing that the public interest and need for disclosure outweigh the potential injury to the patient, to the physician-patient relationship, and to the integrity of the treatment process.

A distinction must be made between the court order discussed in this section and a subpoena or similar legal process to compel testimony or production of documents. A person served with a subpoena must appear as directed but the issuance of a subpoena does not satisfy the requirements of Subpart E. therefore there should be no disclosure of patient information unless and until a "good cause" order is issued. The "good cause" order, by itself, merely operates to relieve the strict application of the general rule prohibiting disclosures; the order permits, but does not require, disclosure unless there is also a valid subpoena or other compulsory process.

Subpart E is limited to the disclosure of objective data, e.g., enrollment, attendance, and discharge information. From the enactment of the 1972 Act to the drafting of the 1975 regulations, no "good cause" court order had ever been requested concerning confidential oral communications between a patient and counselor, leading the drafters of the regulations to exclude intangible subjective information from the scope of subpart E.

Detailed procedures and criteria are required for the implementation of the "good cause" court order provisions. Safeguards must be undertaken in the first instance to protect the patient's identity. Notice must be given to both the patient and the program and all hearings are to be held in the judge's chambers unless an open hearing is requested by the patient or the court determines that an open hearing is consistent with the public interest. Alternatives less drastic than disclosure must first be considered, and disclosure must be limited to the minimum extent and audience necessary to achieve the objective of the court order.

With regard to law enforcement activities, the "good cause" court order procedure may permit disclosure of patient information for purposes of investigation and prosecution of patients, or investigation and prosecution of programs or their personnel acting in an official capacity. The procedure also allows limited use of police undercover agents and informants in treatment programs to effectuate law enforcement objectives regarding program activities, personnel, and patients.

Investigative, law enforcement, and prosecutorial agencies may apply for a court order permitting disclosure of patient records necessary to the conduct of an investigation or the prosecution of an individual who is, or who is believed to be, a present or former patient in a treatment program. However, a court may not authorize disclosure unless certain specific criteria are met. The crime involved must be an "extremely serious" crime against the person, or one alleged to have been committed on the program premises or against program personnel, there must be a reasonable likelihood that the patient records will disclose material information, there must be no other practical way of obtaining the information or evidence, and the public interest in disclosure must outweigh the potential adverse consequences to the program-patient relationship in the program affected and in all similarly situated programs and the ability of treatment programs in general to attract and retain patients. Various procedural requirements, e.g., notice to the program, must be observed and the disclosure must be limited to the narrowest disclosure necessary to achieve the objective of the court order, both in terms of the amount of information disclosed and persons authorized to receive it.

Application may also be made by an administrative, regulatory, supervisory, investigative, or law enforcement agency for a "good cause" court order permitting disclosure of records or placing an undercover agent or informant in a program if there is reason to believe that a program or any of its staff are engaged in serious criminal misconduct. Again, restrictive procedural and substantive requirements constrain the scope of this investigatory technique. Only patient information directly related to the purpose of the court order may be utilized by an undercover agent or informant, and the order may be granted for an initial period of only sixty days.

Briefly, the "good cause" court order provisions permit disclosures of patient information and use of undercover agents and informants under limited circumstances indicative of criminal activity on the part of patients or program staff. To encourage treatment program participation, the regulations protect patient records at the expense of flatly prohibiting disclosure of patient information material to crimes not categorized as "extremely serious" crimes against persons or crimes committed on program premises or against program personnel. Investigation of program staff by means of patient record disclosure procedures and employment of undercover agents may be initiated under less restricted circumstance.

Issuance of "good cause" court orders is not limited to investigation or prosecution of patients or programs, however. Often the purpose of seeking such an order is in connection with civil litigation, e.g., where documentation of existing or former drug dependency is a relevant issue in a divorce or custody case. Other instances occur when the patient is not a principle, but is a witness in either a civil or criminal case and has given consent to disclose information to an attorney for one party; a court may decide that justice requires similar disclosure to the opposing party.

VII. SECURITY PRECAUTIONS AND PROCEDURES

The regulations require appropriate precautions for the physical security of confidential patient records, including the institution of adequate policies and procedures. The records should be kept in a secure room, locked file cabinet, or safe. Policies and procedures to safeguard the information should cover both the handling of external requests for patient information and controlling access by project staff members. The project director or a single staff member designated by the director should be responsible for processing requests for information, and the same or another staff member should be designated to maintain physical custody of the records and accountability for any records removed from the secure area.

A TASC project cannot perform its essential monitoring function if it cannot obtain factual information from clients and treatment programs and make periodic reports to appropriate criminal justice agencies. The project's policies and procedures must therefore include a reminder system to assure that consents to release information are kept current for active TASC clients. This is of special importance in the cases of "criminal justice referrals" whose consents terminate in the event of change in legal status, but the system should include other clients as well. Procedures should also attempt to avoid or minimize inadvertent disclosures by keeping copies of patient information to the minimum required for efficient operation, avoiding client "sign-in" sheets or shielding prior signatures, safeguarding against use of client names on bulletin boards or wall calendars, limiting accumulation of client files or identifying information on staff desks, and generally raising the confidentiality consciousness of all staff.

VIII. SAMPLE FORMS

A TASC Project needs to receive and disclose patient information in three distinct legal circumstances: during a period of diagnostic evaluation or assessment when the subject patient has not yet been "referred" or become a client; after the subject has become a "criminal justice referral;" or after the subject has become a client without formal condition (here denominated as a "self referral"). For purpose of clarity, separate sample forms are offered here for each of those circumstances. Although multiple purpose forms are possible, it is suggested that both clients and staff members can better understand

the intent and content of the form if it excludes contradictory statements. It should be noted that these sample forms are both "input" and "output" releases, authorizing TASC to receive information from a treatment program and to disclose information to indicated recipients. Some practitioners prefer separate input and output forms, but there is no inherent conflict between the two and the combined form puts the client and treatment program on notice that TASC is receiving the information for the purpose of redisclosure.

The sample "diagnostic evaluation" form contains the eight points required by §2.31 (Section IV, above) and is otherwise similar to the "self referral" form except in two respects: there is less need for flexibility in recipients, purpose, nature of information, and duration of consent; and there is greater likelihood of TASC needing to receive information from more than one treatment program. As it is necessary to have the potential client sign a separate form for each treatment program or other source of information, efficiency can be enhanced by including all of the constant terms in the printed form. Please note that the sample form contains sample terms only. The "extent and nature of information" will usually be constant within a local project but may differ from the suggested items. Similarly, the duration of consent should cover the usual period of time from arrest to referral to TASC and placement in treatment; in a given jurisdiction that might be 15 days, 60 days, or somewhere in between.

The sample "criminal justice referral" form also contains the required eight points, but also authorizes unrestricted communication, limits the right to revoke, and carries termination provisions related to legal status. Although not required by the regulations, the form also recites the benefit (conditional release) that makes the client a "criminal justice referral." It was noted in Section IV, above, that the consent to unrestricted communication is permissive so a narrower, more specific "extent and nature" term should be substituted where less than unrestricted communication is needed. The "extent and nature" term must be specific if the recipients are other than the court or parole board granting conditional release, or probation or parole officer.

The sample "self referral" form is the basic consent form adaptable for all circumstances other than "criminal justice referral" clients. When completed, all of the required eight points of §2.31 are included. Care should be taken in filling in the blanks of this form (and the others) to authorize the necessary recipients and scope of information to be released, but to avoid making the authorization any broader than needed. If the consent to release is broader than regulations permit, it may be as valueless as one that is too narrow.

All of these sample forms require that a revocation of consent be made in writing. The regulations do not require written revocation, but such a limitation in the consent itself should be binding and should prevent disputes over whether or when consent was revoked. Some practitioners go a step further and include in the consent form

a form of revocation that must be substantially followed in order to revoke; if this is done, care must be used in the wording of the form of revocation and its placement on the consent form in order to avoid conflict or confusion.

The forms are samples only; they can and should be modified to meet the needs of each project and its environment. Some projects prefer a "multiple choice" form to the "fill in the blanks" style offered here. If a form offers a choice of terms to be selected by marking a box or line, it is strongly urged that the client initial the box or line rather than utilizing a check-mark or x, which could be inserted by anyone at any time. In the final analysis, no form can substitute for sound procedures and a staff well-trained in confidentiality fundamentals.

CONSENT TO RELEASE
CONFIDENTIAL INFORMATION

Diagnostic Evaluation

I, _____, understand that I am under consideration for release from custody on my own recognizance or conditional release and referral to treatment for drug use. I hereby consent to release of the information specified below by _____ to Treatment Alternatives to Street Crime (TASC), and by TASC to the _____ Court, my defense attorney and the prosecuting attorney for the purposes of substantiating my need for treatment and selecting an appropriate treatment program and modality.

The extent and nature of information to be disclosed are: dates of previous drug abuse treatment, diagnostic information, progress during treatment, and reasons for termination of treatment.

This consent is given voluntarily for the above-stated purposes and will expire thirty (30) days after the date signed, or upon the Court's decision to grant or deny my release for treatment, whichever first occurs. This consent may be revoked by me in writing at any time except to the extent that action has been taken in reliance hereon.

(Date Signed)

(Client's Signature)

(Witness)

(Parent or Guardian's Signature
if Client is a Minor)

CONSENT TO RELEASE OF
CONFIDENTIAL INFORMATION

Criminal Justice Referral

I, _____, understand that I have been released from confinement or _____ conditioned upon my participation in a treatment program designated by Treatment Alternatives to Street Crime (TASC), and that my treatment records are confidential and cannot be disclosed except as authorized by this or any other release signed by me or as provided by law. I hereby consent to release of the information specified below by _____ to TASC, and by either the
(Treatment Program Name)
named program or TASC to _____
(Person or Organization to Receive Information)
substantiating my participation and progress in treatment and _____.

The extent and nature of information to be disclosed are:
unrestricted communication with the person named above as authorized to receive information.

My legal status at the time of signing this release is _____
(Arrested, Charged, On Trial, Sentenced). This consent to release information will expire sixty (60) days after the date signed, or _____, whichever is later. This consent may not be revoked by me unless there is a formal and effective termination of my conditional release, probation, or parole, but may thereafter be revoked by me in writing at any time.

(Date Signed)

(Client's Signature)

(Witness)

(Parent or Guardian's Signature
if Client is a Minor)

CONSENT TO RELEASE OF
CONFIDENTIAL INFORMATION

Self Referral

I, _____, have volunteered without any official condition to participate in a treatment program designated by Treatment Alternatives to Street Crime (TASC). I understand that my treatment records are confidential and cannot be disclosed except as authorized by this or any other release signed by me or as provided by law. I hereby consent to release of the information specified below by _____ to TASC, and
(Treatment Program Name)
by either the named program or TASC to _____
(Person or Organization to
Receive Information) for the purpose(s) of _____.

The extent and nature of information to be disclosed are _____.

This consent is subject to revocation by me in writing at any time except to the extent that action has been taken in reliance hereon, and unless sooner revoked, will expire on _____ or
(Date)
upon _____.
(Event or Condition)

(Date Signed)

(Client's Signature)

(Witness)

(Parent or Guardian's Signature
if Client is a Minor)

Appendix D
Sample Forms

Arrest Survey Form	D-2
Screening Interview Form	D-3
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Referral Report Form	D-11
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Contract Agreement Between Client and TASC	D-13
Client Control Card	D-14
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Daily Attendance Report Form	D-16
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Monthly Progress Report Form	D-19
Alert Form	D-20
Client Progress Report Letter	D-21
Termination Report Form	D-22
Letter of Agreement	D-23
Quarterly Statistical Report	D-27

ARREST SURVEY

1. Name _____		2. Booking No. _____																																														
3. Booking Date _____ Time _____		4. Interview Date _____ Time _____																																														
5. Sex Male _____ Female _____		6. Ethnicity White _____ Black _____ Hispanic _____ Other _____																																														
7. Marital Status Single _____ Married _____ Separated _____ Divorced _____ Widowed _____																																																
8. Date of Birth Month _____ Year _____		9. Residence ZIP Code _____																																														
10. Present Charge(s) _____																																																
11. Employment Employed _____ Unemp. _____ Student _____		12. Usual Occupation _____																																														
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 15%;">13. Have you ever used</th> <th style="width: 15%;">14. Do you now use</th> <th style="width: 15%;">15. How frequently</th> <th style="width: 15%;">16. Year of 1st use</th> </tr> </thead> <tbody> <tr><td>Alcohol</td><td></td><td></td><td></td><td></td></tr> <tr><td>Amphetamines</td><td></td><td></td><td></td><td></td></tr> <tr><td>Barbiturates</td><td></td><td></td><td></td><td></td></tr> <tr><td>Cocaine</td><td></td><td></td><td></td><td></td></tr> <tr><td>Heroin/Opiates</td><td></td><td></td><td></td><td></td></tr> <tr><td>Marijuana/Hash</td><td></td><td></td><td></td><td></td></tr> <tr><td>Psychedelics</td><td></td><td></td><td></td><td></td></tr> <tr><td>Tranquilizers</td><td></td><td></td><td></td><td></td></tr> </tbody> </table>					13. Have you ever used	14. Do you now use	15. How frequently	16. Year of 1st use	Alcohol					Amphetamines					Barbiturates					Cocaine					Heroin/Opiates					Marijuana/Hash					Psychedelics					Tranquilizers				
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<div style="display: flex; justify-content: space-between;"> <div> <p>Frequency: 0 - Not now used</p> <p>1 - Once per month</p> <p>2 - Once per week</p> </div> <div> <p>3 - Two or three times per week</p> <p>4 - More than 3 times per week</p> <p>5 - Daily</p> </div> </div>																																																
17. Prior Arrests (no.) _____		18. Prior Convictions (no.) Misdemeanors _____ Felonies _____																																														
19. Probation /Parole Status Never _____ Not now _____ Mun. Ct. Prob. _____ Sup. Ct. Prob. _____ Out of State Prob. _____ () Federal Prob. _____ State Parole _____ Out of State Parole _____ () Fed. Parole _____																																																
20. Are you currently in treatment for alcohol or drug abuse? Yes _____ No _____ If yes, type _____ Location _____																																																
21. Previous treatment: _____ Number of times _____ Type _____ Location _____																																																
22. If you were offered an opportunity to go into treatment at this time, would you be interested? Definitely interested _____ Somewhat interested _____ Unsure _____ Not interested _____ Not applicable _____																																																
23. Type of treatment desired _____																																																

CONFIDENTIAL PATIENT INFORMATION
Any unauthorized disclosure is a
Federal criminal offense.

CAMELOT TASC
SCREENING INTERVIEW
(Determination of Eligibility)

1. Name		2. TASC No.	
3. Address		4. How long?	Verified ____
5. Date of Birth __/__/__	6. Sex Male ____ Female ____		By
7. Ethnicity White ____ Black ____ Hispanic ____ Other ____			
8. Where Interviewed Jail ____ Court ____ TASC Office ____ Other ____			9. Date & Time
10. Have you ever used alcohol or drugs? Yes ____ No ____			
11. Last time used		12. What substance	13. How much
	14. Have you ever used	15. Do you now use	16. How frequently
Alcohol			
Amphetamines			
Barbiturates			
Cocaine			
Heroin/Opiates			
Marijuana/Hash			
Psychedelics			
Tranquilizers			
Frequency: 0 Not now used 3 Two or three times per week 1 Once per month 4 More than 3 times per week 2 Once per week 5 Daily			
18. Current or past alcohol or drug treatment Type Location Dates			Verified ____ By
19. Previous TASC Experience Yes ____ Dates No ____		20. Screening Urinalysis Pos. ____ for Neg. ____ No sample ____.	
21. Offense(s) charged			Verified ____ By
22. Probation/Parole Status None ____ Mun. Ct. Prob. ____ Sup. Ct. Prob. ____ Federal Prob. ____ Other Prob. ____ Parole ____ Federal Parole ____			Verified ____ By
23. Probation/Parole officer			
24. Prior convictions			Verified ____ By
25. Other charges pending			Verified ____ By
26. Employer	27. How long?		Verified ____
28. Employer's Address			By
29. Occupation			
30. Volunteer for TASC? Yes ____ No ____ Undecided ____		31. Volunteer's Signature	
32. Screener's comments			
33. Screener			

CONFIDENTIAL PATIENT INFORMATION
Any unauthorized disclosure is a
Federal Criminal Offense.

CAMELOT
TREATMENT ALTERNATIVES TO STREET CRIME

NEEDS ASSESSMENT INTERVIEW

TASC # _____ Date _____
Name _____ Maiden _____ Phone _____
Address _____ City _____ State _____ Zip Code _____
How Long There _____
Previous _____ City _____ State _____ Zip Code _____
How Long There _____
Race ()-White ()-Black ()-Hispanic ()-Other Sex: ()-Male ()-Female
Age _____ Date of Birth _____ S.S.# _____ Ht _____ Wt _____
Color of Hair _____ Color of Eyes _____ Referral Source _____

1. EMPLOYMENT HISTORY

1.A. Are you currently employed?

()-Yes, Full-time ()-Yes, Part-time ()-Unemployed ()-Housewife
If YES:

Current Employer _____ Address _____
Phone _____ Type of work or position _____
Supervisor _____ Date Started _____ Salary _____
Hours/week _____

B. Are you a student? ()-Yes ()-No ()-Full-time ()-Part-time
Number of credits _____ School _____ Major _____

C. Can you verify your employment and/or student status? ()-Yes ()-No
Source of verification _____

D. Education: Highest grade completed _____ G.E.D. _____

2. Beginning with most recent, what full-time jobs have you had in the past?

Employer	Started	Terminated	Position	Wages	Reason for Leaving
----------	---------	------------	----------	-------	--------------------

3. What is the longest time you ever worked at one job? _____

4. Do you have an occupation - something you've been trained in?
()-Yes ()-No

5. What skills do you have? _____

6.A. What type of job do you most desire? _____

B. What other jobs would you accept? _____

C. What minimal wage is acceptable to you? _____

7. Training Programs:

NAME _____

Name _____	Address _____	Dates _____
Training _____	Completed ()-Yes ()-No, Reason for Leaving _____	
Name _____	Address _____	Dates _____
Training _____	Completed ()-Yes ()-No, Reason for Leaving _____	
Name _____	Address _____	Dates _____
Training _____	Completed ()-Yes ()-No, Reason for Leaving _____	

II. FINANCES

8. Self earned net _____ ()-Per week ()-Per month
9. Social Security _____/month
10. Pension _____/month
11. Welfare _____/month
Case workers name _____ Phone _____ Type of assistance _____
Food Stamps: Pay _____ Receive _____ Card # _____
12. Unemployment Benefits _____/week
13. Veteran's Benefits _____/month
14. Medical card ()-Yes ()-No Card # _____
Health Insurance ()-Yes ()-No Insurer _____
Medicare ()-Yes ()-No
15. Gross income _____/month
16. Support payments: Pay _____ Receive _____
Are you supporting your children or anyone else financially? ()-Yes ()-No
If yes, how many are you supporting? _____
If not your children, who? _____
17. Rent and utilities _____
18. Other major financial expenses (medical, debts, etc.)
What _____ How much _____

III. MILITARY RECORD

19. Are you a veteran of the armed forces? ()-Yes ()-No
Are you in the Reserves? ()-Yes ()-No
What branch of the service are/were you in? _____
Dates: From _____ to _____
20. Type of discharge:
()-Honorable ()-Undesirable ()-General ()-Dishonorable
Discharge # _____
If undesirable or dishonorable, was it due to:
Alcohol use? _____ Drug use? _____

NAME _____

21. Did you use drugs or alcohol before you went into the service?
()-Yes ()-No Alcohol _____ Drugs _____
22. Did you start using drugs or alcohol while in the service?
()-Yes ()-No Which ones? _____
() Marijuana () Barbiturates () Heroin, other opiates
() Hash () Tranquilizers () Cocaine
() Hallucinogens () Amphetamines () Methadone

IV. PERSONAL HISTORY

23. Current Marital Status:
() Single (Never married) () Widowed () Separated
() Divorced () Married () Other: _____
24. How many times have you been legally married? _____
25. Living with:
() No one () With father only () With Children (Minors)
() With spouse () With mother only () With adult children
() With relative(s) () With friends () Institutional
() With both parents () With spouse & children () Other: _____
- Number of people living with _____
26. Total number of children: A) At home _____ B) Out of home _____
27. Describe your relationship with the people whom you are living with and/or family. _____
28. Who is your next of kin? _____ Relation _____ Phone _____
29. Who is your closest friend? _____ Phone _____
30. In case of emergency, who should be notified?
Name _____ Relation _____ Phone _____

V. FAMILY HISTORY

31. Is your father living? ()-Yes ()-No Mother? ()-Yes ()-No
32. What is your father's name? _____
Is or was your father using drugs? ()-Yes ()-No
33. What is your mother's maiden name? _____
Is or was your mother using drugs? ()-Yes ()-No
34. Did your mother or father ever drink heavily? ()-Yes ()-No
Father, how often? _____ Mother, how often? _____
35. Are your parents: ()-Married ()-Separated ()-Divorced

NAME _____

36. What was the last grade your father and mother completed in school?
Father _____ Mother _____

37. Father's occupation _____ Mother's occupation _____

VI. MEDICAL HISTORY

38. Are you currently under a doctor's care for reasons other than drug or alcohol use? ()-Yes ()-No

Doctor's name _____
Address _____
Reason _____
Last date you saw him _____
Medication _____

39. When was your last physical? _____ Where? _____

40. Have you ever been in a psychiatric hospital or ward for reasons other than alcohol or drug use? ()-Yes ()-No

Hospital _____	Date _____	Reason _____
Hospital _____	Date _____	Reason _____
Hospital _____	Date _____	Reason _____

41. Have you ever had any other type of formal counseling or therapy with a private psychologist or psychiatrist? ()-Yes ()-No

Name _____	Date _____	Reason _____
Name _____	Date _____	Reason _____
Name _____	Date _____	Reason _____

42. Do you have any additional problems in regard to:

() Food _____
() Clothing _____
() Housing _____
() Health _____
() Vocational adjustment _____
() Family adjustment _____
() Personal adjustment _____

43. What means of transportation are available to you? (Specify) _____

44. Do you have a driver's license? ()-Yes ()-No

VII. LEGAL HISTORY

45. () None () Pre-trial release to TASC () ROR () Diversion in
() Bail amount () Work release lieu of prosecution
() On probation; Officer _____ Phone _____ TASC Condition _____
Agency _____ Charge _____ Frequency of report _____
() On parole; Officer _____ Phone _____ TASC Condition _____
Agency _____ Charge _____ Frequency of report _____
() Other: _____

NAME _____

46. Cases Pending Court Date Status Attorney

47. Beginning with the most recent, what convictions have you had in the past?

Charge	Amount of Time Served	Year	Where	Prior to Drug Use
				()-Yes ()-No
				()-Yes ()-No
				()-Yes ()-No

48. Summary of Previous Convictions

Felonies against people # _____

Drug related charges # _____

Felonies against property # _____

Alcohol related charges # _____

Misdemeanors # _____

VIII. SUBSTANCE ABUSE

49.	Have you ever used	Do you now use	How frequently	Year of first use
-----	--------------------	----------------	----------------	-------------------

Alcohol

Amphetamines

Barbiturates

Cocaine

Heroin/Opiates

Marijuana/Hash

Psychedelics

Tranquilizers

Frequency:	0 - Not now used	3 - Two or three times per week
	1 - Once per month	4 - More than 3 times per week
	2 - Once per week	5 - Daily

IX. ALCOHOL HISTORY

50. What is your usual alcoholic drink? _____

51. When did you have your last drink? Date _____ Time _____

52. What is your most frequent drinking place?

Own place _____ Bar _____ No one place _____

Friend's place _____ Street _____ Other _____

53. Do you usually drink... Alone _____ No set group _____
With some small group _____ No set style _____

54. Have you ever had... Blackouts _____ Convulsions _____ DT's _____

NAME _____

Describe your behavior while drinking: _____

55. Have you ever been in a hospital or program for alcoholic treatment?
()-Yes ()-No

Hospital or program Counselor/Doctor Type of Treatment Outcome Dates

56. How was your past treatment funded? _____

57. Are you presently a member of A.A.? ()-Yes ()-No Sponsor: _____

58. What is the longest period of time you have stopped using alcohol....

A. On your own without the help of any program or hospital? Date _____

B. With the help of a program? Date _____

C. How long did you remain alcohol-free after leaving a program?

Length _____ Program _____

D. Do you frequently come into contact with people who use alcohol?

()-Yes ()-No

59. Initial assessment of stage of alcohol use:

____ Early (alcohol required for pleasure)

____ Middle (surreptitious drinking, defensive)

____ Late (life oriented around alcohol)

____ Non-alcoholic

X. DRUG HISTORY

60. Have you ever been in a hospital or program for drug treatment?

Hospital or program Counselor/Doctor Type of Treatment Outcome Dates

61. Are there any other persons who can verify that you have used opiates for the last two years? ()-Yes ()-No

Name

Relationship

Phone

62. What is the longest period of time you have stopped using drugs...

A. On your own without the help of any program or hospital? Date _____

B. With the help of a program? Date _____

C. How long did you remain drug-free after leaving a program?

Length _____ Program _____

63. A. Do you frequently come into contact with people who use drugs?
 ()-Yes ()-No
 B. Do you consider yourself part of the drug sub-culture? ()-Yes ()-No

XI. CLIENTS PREFERENCE OF TREATMENT MODALITY

64. What forms of treatment would you prefer?

Drug	Alcohol
() Methadone maintenance	() Antabuse
() Ambulatory detoxification	() Detox
() Hospital detoxification	() Out-patient counseling
() Drug-free/Out-patient	() Alcoholics Anonymous
() In-patient V.A.	() Therapeutic community
() Therapeutic community	() Modified residential
() Modified residential	() Other
() Other	

65. What is client's motivation toward treatment?
 () Highly motivated
 () Slightly motivated
 () Not motivated

XII. ASSESSMENT INTERVIEWER'S COMMENTS

XIII. REFERRAL RECOMMENDATION

Interviewer

CAMELOT TASC
REFERRAL REPORT

To: (Treatment Program)

Date:

From: (TASC Staff Person)

The following persons were accepted as TASC clients today and referred to your program for treatment as indicated:

Name	TASC #	Treatment Recommendation	Date 1st Apptmt.	Next Ct. Date
1.				
2.				
3.				
4.				

Copies of intake information, TASC Client Contract, and Release of Confidential Information for each of these clients are attached. If any of the above clients fails to appear for his or her first appointment or is found inadmissible to your program, please notify TASC by telephone at once. Otherwise, please acknowledge admission in the usual manner.

This information has been disclosed to you from records whose confidentiality is protected by Federal law. Federal regulations (42 CFR Part 2) prohibit you from making any further disclosure of it without the specific written consent of the person(s) to whom it pertains, or as otherwise permitted by such regulations. A general authorization for the release of medical or other information is NOT sufficient for this purpose.

CAMELOT TASC
ADMISSION REPORT

To: Director, Camelot TASC

Date:

From: (Treatment Program)

The following persons referred by TASC have been admitted to this program during the past week:

Name	TASC #	Date Admitted	Counselor Assigned	Treatment Attached	Plan Due
1.					
2.					
3.					
4.					

Progress of each of these individuals in treatment will be reported at the end of this month.

This information has been disclosed to you from records whose confidentiality is protected by Federal law. Federal regulations (42 CFR Part 2) prohibit you from making any further disclosure of it without the specific written consent of the person(s) to whom it pertains, or as otherwise permitted by such regulations. A general authorization for the release of medical or other information is NOT sufficient for this purpose.

CONTRACT AGREEMENT
BETWEEN CLIENT AND TASC

I, _____, do hereby request and authorize the Treatment Alternatives to Street Crime Program, to recommend me for referral to drug treatment.

If accepted into TASC, I understand that my successful participation in the program (as determined by TASC and the appropriate criminal justice official) for a minimum period of _____ months, may result in suspension of further criminal justice proceedings against me or in my being placed on conditional probation.

I understand that my treatment progress will be monitored by TASC and reported monthly to _____ and that my continued participation in TASC will be contingent upon the following conditions:

- (1) Entering drug abuse treatment immediately following my release from detention;
- (2) Remaining in TASC continuously for at least _____ months;
- (3) Maintenance of satisfactory progress as determined by
 - (a) attendance at all scheduled treatment,
 - (b) weekly urinalysis results;
- (4) Observance of all rules and regulations of the treatment program facility to which I am assigned;
- (5) Observance of all local, state and federal criminal statutes.

Any violation of the above conditions may result in my dismissal from the program. If I am dismissed from the program prior to satisfactory completion, my case will revert to normal criminal processing.

I also agree to notify TASC if:

- (1) I change my address or phone number;
- (2) I obtain a lawyer;
- (3) I am rearrested or receive a court date from my lawyer, the criminal justice system, or any other reliable source.

I fully understand the contents of this agreement and I hereby execute it of my own free will. No threat or promise of any kind has been made to me by any employee or representative of TASC or the City (County) of _____ in connection with this agreement, except as stated herein.

Signature of Witness

Signature of Client

Title

Date

Accepted for TASC:

Project Director

Date

CLIENT CONTROL CARD

NAME - Last, First, MI		TASC #		Year of Birth	Sex	Race/Ethnic	Ref. Source	Orig. Status	No. Prior Treatment Legal	Opiate	Alc. Only	No. Prior Convictions	No. Prior Arrests	Employment	Education Grade Comp.	Support Services	Termination	Tracker	ZIP Code	Entry Date																				
ADDRESS																																								
<table border="1"> <thead> <tr> <th>Treatment Program</th> <th>In</th> <th>Out</th> <th>Reason</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>				Treatment Program	In	Out	Reason																	<p>Charge at Entry _____ Disp. _____</p> <p>New Arrest for _____ on _____</p> <p>New Conviction for _____ on _____</p> <p>Support Services rec'd:</p>																
Treatment Program	In	Out	Reason																																					
Termination Date _____																																								
Comments:																																								

CLIENT FILE FACE SHEET

NAME _____ DOB _____ TASC # _____

ADDRESS _____ PHONE _____

DATE ENTERED TASC _____ TRACKER _____

ATTORNEY _____ PHONE _____

PROBATION/PAROLE OFFICER _____

CHARGE(S) :

_____	Disposition _____
_____	_____
_____	_____

LEGAL STATUS:

	<u>Next Court Date</u>	<u>Hearing Type</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____

TREATMENT STATUS:

Program _____	Date Ref. _____	Modality _____
Counselor _____	Disposition _____	Date _____
Program _____	Date Ref. _____	Modality _____
Counselor _____	Disposition _____	Date _____
Program _____	Date Ref. _____	Modality _____
Counselor _____	Disposition _____	Date _____

COMMENTS:

CONFIDENTIAL PATIENT INFORMATION
Any unauthorized disclosure
is a Federal criminal offense.

DAILY ATTENDANCE REPORT

Client: _____ Program: _____

TASC #: _____

DATE	PRESENT	ABSENT	EXC. ABS.	EXPLANATION

CONFIDENTIAL PATIENT INFORMATION
Any unauthorized disclosure is a
Federal criminal offense.

URINALYSIS RECORD

Name _____ TASC # _____

DATE	METHA- DONE	MORP- HINE	QUIN- INE	AMPH.	BARB.	COCA- INE	OTHER	OTHER	COMMENT

TASC TRACKER'S MONTHLY CONTROL SHEET

MONTH 197

[illegible]

CODE :

I - Individual Counseling
G - Group Counseling
M - Medication
U - Urinalysis

C - Court Appearance
E - Education Class
J - Job Interview
/ - Kept Appointment
O (in red) - Missed Appointment

CAMELOT TASC
MONTHLY PROGRESS REPORT

Client's Name _____ Report Date _____
Program _____ For Period _____ to _____
Counselor _____ Environment/Modality _____

ATTENDANCE:

Appointments Scheduled: No. _____ Dates _____

Unexcused Absences: No. _____ Dates _____

URINALYSIS:

No. of Tests Scheduled _____ Dates of Samples _____

<u>Drugs Tested</u>	<u>Dates of Positives</u>	<u>Prescribed Medication(s):</u>
____ Amphetamine	_____	_____
____ Barbiturate	_____	_____
____ Cocaine	_____	_____
____ Methadone	_____	_____
____ Morphine/Heroin	_____	_____
____ Other	_____	_____

EMPLOYMENT:

Full Time _____ Part Time _____: _____ hours per week

Employer _____

MODIFICATIONS OF TREATMENT PLAN:

APPOINTMENTS SCHEDULED FOR COMING MONTH (DATES):

COUNSELOR'S COMMENTS:

This information has been disclosed to you from records whose confidentiality is protected by Federal law. Federal regulations (42 CFR Part 2) prohibit you from making any further disclosure of it without the specific written consent of the person to whom it pertains, or as otherwise permitted by such regulations. A general authorization for the release of medical or other information is NOT sufficient for this purpose.

CAMELOT TASC

ALERT FORM

Name of Client _____ Date _____

Treatment Program _____

CURRENT PROBLEM:

Client's performance in treatment has been inadequate in that

RECOMMENDATION:

That client remain in treatment with a warning that termination will result if

ACTION REQUIRED:

TASC Monitor

TASC Director

(Note:
Copies of this Alert should be sent to the Client, Treatment Program,
and appropriate Criminal Justice Agency.)

This information has been disclosed to you from records whose confidentiality is protected by Federal law. Federal regulations (42 CFR Part 2) prohibit you from making any further disclosure of it without the specific written consent of the person to whom it pertains, or as otherwise permitted by such regulations. A general authorization for the release of medical or other information is NOT sufficient for this purpose.

CAMELOT TASC
859 Guinevere Street
Camelot, N.B. 00000

March 1, 1979

Mr. John Jones
Camelot County Probation Department
County Office Building
Camelot, N.B. 00000

Re: William Johnson
TASC Admission Jan. 16, 1979

Dear Mr. Jones:

The above named TASC client has continued his satisfactory progress in drug abuse treatment through the month of February, 1979. Mr. Johnson entered the Outpatient Drug-Free treatment program of Excalibur on January 16, 1979, and continues to be enrolled in that program.

During the month of February, nine counselling sessions were scheduled for Mr. Johnson and his attendance met the requirements of TASC. Four urine samples were collected and tested for the presence of drug metabolites with satisfactory results.

Mr. Johnson has enrolled in an Automobile Body Work class at the Camelot Vocational School and is scheduled to begin his classes in late March. He will continue his counseling at Excalibur during the month of March as well.

Sincerely,

TASC Monitor

TASC Director

(Note: It is suggested that individually-typed letters, rather than pre-printed form letters, be used for periodic progress reports to criminal justice agencies, insofar as TASC caseloads permit.)

This information has been disclosed to you from records whose confidentiality is protected by Federal law. Federal regulations (42 CFR Part 2) prohibit you from making any further disclosure of it without the specific written consent of the person to whom it pertains, or as otherwise permitted by such regulations. A general authorization for the release of medical or other information is NOT sufficient for this purpose.

CAMELOT TASC

TERMINATION REPORT

Client _____ Date of Report _____

Treatment Program _____

Legal Status _____

Date of Termination _____

The above client has been terminated from TASC because:

___ Unexcused Absences on

___ Urinalysis positive for _____ on

___ Alcohol Abuse on

___ Arrest for _____ on

___ Conviction on charge of _____ on

___ Inadequate participation in treatment:

___ Hospitalization for _____ on

___ Incarceration for _____ on

___ Death on

___ Other:

Comments:

TASC Director

This information has been disclosed to you from records whose confidentiality is protected by Federal law. Federal regulations (42 CFR Part 2) prohibit you from making any further disclosure of it without the specific written consent of the person to whom it pertains, or as otherwise permitted by such regulations. A general authorization for the release of medical or other information is NOT sufficient for this purpose.

COUNTY OF CAMELOT

DEPARTMENT OF SUBSTANCE ABUSE SERVICES
TREATMENT ALTERNATIVES TO STREET CRIME

LETTER OF AGREEMENT
with
Roundtable, Inc.

When duly signed this letter constitutes an agreement between the Camelot County Department of Substance Abuse Services, Treatment Alternatives to Street Crime Program, herein referred to as "TASC", and Roundtable, Inc. herein referred to as the "Treatment Service Unit" or "TSU".

- I. The Treatment Service Unit agrees that as long as it has treatment vacancies available it will accept clients who qualify for its treatment referred by TASC.
- II. The Treatment Service Unit shall provide the necessary materials, facilities, services and qualified personnel to furnish treatment and rehabilitation to alcohol/drug dependent persons in accordance with the following:

Insert in the basic letter of agreement a brief description of the treatment service unit. (The insert can also be photocopied and used in a TASC resource book for staff use in making referrals.) The description should include:

1. The name, mailing address, location(s) (if different from mailing address), and telephone number of the TSU.
 2. The type(s) of service the TSU will provide.
 3. The TSU's hours of operation.
 4. The physical environment of the TSU.
 5. The TSU's criteria or requirements for admission.
 6. The person(s) to be contacted in making a referral to the TSU.
 7. The procedures to be followed in making a referral.
 8. Fees or costs of services expected to be paid by clients (if applicable).
- III. TASC shall provide the necessary materials, facilities, services, and qualified personnel to furnish identification, needs assessment, referral, and monitoring of alcohol and drug abusing persons in accordance with the following:

Name and location: TREATMENT ALTERNATIVES TO STREET CRIME
859 Guinevere St., Camelot
(corner of 9th and Guinevere)
555-7639

The purposes of TASC are:

- A. To identify substance dependent individuals within the Criminal Justice System at the earliest possible stage.
- B. To make recommendations to the judiciary concerning the individual's appropriateness for treatment.
- C. To facilitate the individual's entry to the treatment system.
- D. To monitor each individual's progress through treatment and report to the judiciary as appropriate.

Services:

A potential TASC client after release from custody will receive a complete needs assessment interview and then be referred to the appropriate treatment modality; copies of interview and assessment records will be provided to the TSU. The Tracker will then monitor the client's treatment progress and make periodic reports to the cognizant criminal justice agency in regard to the individual's progress.

TASC is responsible for assuring that the client will receive continuity of treatment through the use of case conferences with the treatment program involved. TASC will also assure a client's continuance in the treatment program through close client supervision and representation in court when necessary.

Hours:

7:00 a.m. - 5:00 p.m. Monday - Friday. Initial interviewing is carried on throughout the evening hours at the City/County Jail.

Physical Environment:

Brick Building, 3rd floor, 2 suites consisting of 8 offices, one meeting room/library and 2 waiting rooms.

Criteria for Admission:

All prospective TASC clients must have some criminal justice involvement, excluding violent offense charges. All pretrial clients must volunteer for the TASC Program and live within Camelot County. Individuals will be accepted only if they are dependent upon or in danger of becoming dependent upon alcohol or drugs.

Post-trial clients may be accepted upon the request of a probation and/or parole officer. All prospective clients must be aware of their obligations to TASC and agree to abide by these obligations.

Termination of Clients:

Successful termination is the completion of the treatment program which has led to the individual's abstinence or control of substance use. Terminations are decided upon by the treatment counselor, the client, TASC Tracker, and the probation/parole officer involved, if appropriate.

Termination from a treatment program does not necessarily result in a successful termination. Some clients may need a re-evaluation and further treatment.

Unsuccessful termination may be the result of the client's failure to report to TASC or the assigned treatment program for intake. Clients may also be terminated for lack of attendance, incarceration, the commission of violent crime, or upon the final disposition of his criminal charges.

Relationship with Court and Other Agencies:

TASC has formal ties with both the Municipal Court and the Superior Court and the State Adult Parole Authority. Post-trial clients may receive probation conditional upon entering TASC. Clients may also be directly referred by probation officers and judges to TASC for evaluation and referral to treatment programs. Referrals from attorneys and treatment programs themselves are also accepted.

Almost daily communication is maintained between treatment programs and Case Managers in regard to clients.

How to Make A Referral:

Any individual who may be dependent upon or in danger of becoming dependent upon a substance and is involved in any manner with the Criminal Justice System may be referred to TASC for an evaluation and referral to an appropriate treatment program. To refer a client, call the TASC office (555-7639) and tell the secretary that you would like to make a referral. An appointment will be scheduled for the client to see an Intake Worker. The Intake Coordinator will then have the responsibility of communicating back to the referral agency concerning the findings of his evaluation.

IV. TASC and the TSU agree to promptly communicate in writing to one another any substantial changes in their services as described above.

V. Reporting Procedures: The TSU will notify TASC immediately if client absconds or fails to appear. TASC will call the TSU once a week to confirm client attendance. TASC will send to the TSU on or before the 20th of each month a Monthly Report Form for each client; the TSU Counselor will complete the report and return it to TASC by the 30th of the month. TASC Trackers will discuss each client with the client's TSU Counselor at least once each month and will directly contact clients as necessary. It can be anticipated that occasions might arise where a client is causing problems for the TSU and thus demonstrating indicators of failure. In these situations, the following alternatives can be utilized:

1. A REINFORCEMENT by the TASC Tracker of the TSU position with an emphasis on "the reality of a client's situation."
2. A RE-EVALUATION of the client's needs and responsiveness to treatment.

3. A RE-REFERRAL to a new treatment program.

In situations where termination of a TASC client from treatment is warranted, the TSU will discuss (when possible) the incident with the TASC Tracker and then document the incident by completing a Critical Incident Report, prior to the decision to terminate the client.

VI. TASC and the TSU promise to fully discuss and put in writing specified allegations of any breach in this agreement prior to taking any action as outlined in the following sanctions:

1. Breach of this agreement by TASC may result in the referral of the TSU to accept subsequent TASC referred clients and the termination of the TSU's responsibility to provide the services listed in Section II.
2. Breach of this agreement by the TSU may result in TASC's refusal to refer future TASC clients to the TSU and the removal of TASC clients from the TSU to other clinics.

Dated this _____ day of _____ 1978

Treatment Alternatives to Street Crime

By: _____ Title: _____

Roundtable, Inc.

By: _____ Title: _____

TASC QUARTERLY STATISTICAL REPORT

Project: _____

Date: _____

	CURRENT QUARTER	TOTAL SINCE INCEPTION
A. CLIENT INTAKE: *		
Number of clients formally referred to and/or officially admitted to your project	_____	_____*
a. on a pre-trial basis	_____	_____
b. as a condition of post-trial process	_____	_____
c. direct referral from probation	_____	_____
d. direct referral from parole	_____	_____
e. other (self-referral, police referral, etc.)	_____	_____
B. CLIENT STATUS: *		
1. Number of clients active at the end of the quarter	_____*	XXXXXX
a. active in intake/detox process	_____	XXXXXX
b. active in drug free treatment	_____	XXXXXX
c. active in chemotherapy treatment	_____	XXXXXX
d. active in jail treatment	_____	XXXXXX
e. active client, but not in above (job training, only urine surveil- lance, etc.)	_____	XXXXXX
2. Number of clients who have success- fully completed TASC program require- ments	_____	_____*
3. Number of clients who have dropped out against advice or failed TASC requirements resulting in termina- tion (for reasons other than rearrest)	_____	_____*
4. Number of clients who, despite temporary successful participation, were not able or required to complete TASC requirements (e.g., charges dropped, client incarcerated, client died, client allowed to change juris- diction, etc.)	_____	_____*

5. Number of clients arrested on new charges (other than vehicle related) while in TASC project

a. Number of above who are terminated because of arrest

_____ *

6. Number of arrested TASC clients actually convicted

C. CLIENT PROFILES: **

1. Percentage of clients referred on deferred prosecution status

_____ %

2. Percentage of clients receiving drug treatment for the first time through TASC

_____ %

3. Percentage of clients involved in opiate abuse (either alone or in addition to other drugs)

_____ %

4. Percentage of clients charged with felony offense leading to TASC referral

_____ %

5. Percentage of clients in your project who are first time offenders

_____ %

6. Percentage of clients with at least four arrests prior to that which led to TASC referral

_____ %

7. Percentage of clients whose sole drug abuse is alcohol

_____ %

* TASC formula: $A1 = B1, B2, 3, 4$, and 5a. -- please check formula before submitting report.

** These should be cumulative percentages based on all clients.

APPENDIX E

REQUEST FOR PROPOSALS To Conduct An Evaluation of the Camelot TASC Project

Part A - Instruction to Offerer

The following instruction provides guidance in the preparation of proposals. Its purpose is to establish the acceptable minimum requirements for the format and content of proposals in order to 1) assure the proposals are complete and contain all the essential information required by the Camelot TASC Project, and 2) assure a degree of uniformity in presentation which will facilitate appraisal and evaluation of proposals by this office.

Section I. General Instructions

- A. There will not be a pre-proposal conference.
- B. Hand-delivered or mailed proposals must be delivered to the Camelot County Purchasing Department, Camelot, New Britain 00000.
- C. Six (6) copies of each proposal must be submitted to this office at or before 10:00 a.m. November 17, 1978.
- D. Late proposals:
 - 1. A proposal received at the office designated in this Request for Proposals after 10:00 a.m. November 17, 1978 will not be considered unless it is received before award is made and meets at least one of the following conditions:
 - a) it is sent by registered or certified mail and it is determined by this office that late receipt was due solely to delay in the mails, for which the offerer was not responsible;
 - b) it is determined by this office that the late receipt was due solely to mishandling by this office after its arrival;
 - c) it offers significant cost or technical advantages to the Camelot TASC Project.
 - 2. Offerers using certified mail are cautioned to obtain a receipt for certified mail showing a legible, dated postmark, and to retain such receipt as evidence that a proposal was mailed in a timely manner.

3. The time of mailing of late proposals shall be deemed to be the last minute of the date shown on the postmark on the registered mail receipt or registered mail wrapper or on the receipt for certified mail unless the offerer furnishes evidence from the post office station which establishes an earlier time.
- E. Telegraphic offers are not acceptable.
- F. Each proposal must be bound as a single document containing two (2) sections: a technical proposal and a cost proposal. The proposal shall also provide the following information:
1. Name, title, address, telephone number, and area code of the individual(s) who may be contacted during the period of proposal evaluation for prompt negotiation upon award of a contract;
 2. Name, title, address, telephone number and area code of the individual(s) with authority to negotiate and contractually bind the offerer.
- G. After submission of proposals and closing thereof, no information will be furnished until award has been made.
- H. Offerers may, at their discretion, submit alternate proposals or proposals which offer to provide services or develop plan components beyond those described in the scope of work, providing:
1. they are separate from the requested proposal and identified as alternatives or additional work beyond what has been requested;
 2. they are separately priced and costed;
 3. they accompany a proposal which is submitted to accomplish only work requested in the Request for Proposals;
 4. the rationale for submission of such an alternative or additional work proposal is fully explained in the preface to such an additional proposal and an explanation of how such alternatives or additional work will improve the overall quality of the work being contracted for.
- I. The Camelot County Commissioners reserve the right to make an award without further discussion of the proposals submitted. It is understood that all proposals will become part of the official file of this office without obligation to the Board of Commissioners or the Camelot TASC Project.

- J. The offerer's proposal must disclose his technical approach in as much detail as possible; including, but not limited to, the requirements specified in the technical proposal instruction section herein. In addition, the requirements of the cost proposal instruction section herein must be complied with.
- K. The offerer shall specifically stipulate that the proposal is predicated upon his acceptance of all terms and conditions contained in the Request for Proposals.
- L. A complete, concise, and effective proposal is desired. Elaborate presentations which are not required to accomplish this end are not desired.
- M. Award will be made to the organization whose proposal is determined to be most advantageous to the Camelot TASC Project after considering technical qualifications and other factors. The Camelot County Commissioners reserve the right to reject any and all proposals received and, at any time after the closing date, to conduct negotiations to the extent deemed necessary and appropriate.
- N. In the event a proposal contains information which the offerer does not wish disclosed for any purpose other than to evaluate the proposal, he shall clearly mark each page which contains such information with a legend which indicates his wish to limit distribution of such information.

Section II. Technical Proposal Instructions

- A. Each technical proposal shall consist of four chapters:
 - 1. Nature of Assignment - a discussion of the offerer's understanding of the problem and the nature of the assignment;
 - 2. Technical Approach - an outline of the offerer's technical approach to the work, including the delineation of tasks and a time outline for the completion of the tasks;
 - 3. Organizational Capabilities - an indication of the offerer's ability to perform the tasks described in Part B, including experience in related areas and familiarity with the problem;
 - 4. Professional Staff - a description of the offerer's anticipated staffing pattern for the project, including resumes of staff to be assigned and responsibilities of each assigned staff member. Only resumes for those professionals who will be available for assignment to the project should be included.

Section III. Cost Proposal Instructions

- A. The contract will be let on a fixed-cost basis. All proposals shall be submitted on this basis, indicating direct costs, overhead, fee, and other cost breakdowns as are necessary to clearly define the nature of the costs.
- B. Where specific work tasks are to be performed by subcontract, it is important that the proposed subcontractor and such tasks and functions be identified in the proposal. Detailed pricing of subcontracted work tasks and functions in the same manner as though being performed by the offerer is required.
- C. Payment will be made on a percentage of completion basis, based upon timely receipt of scheduled reports. Reports are expected as follows:

First quarter interim report - April 20, 1979

Second quarter interim report - July 20, 1979

Third quarter interim report - October 19, 1979

Final evaluation report - December 20, 1979

Part B - Contract Provisions, including scope of work

Purpose:

The Camelot TASC Project functions as an identification, referral, and monitoring agency for drug involved arrestees in Camelot County. The purpose of the project is to demonstrate that substance abusers can be transferred from the criminal justice to the treatment system without endangering the community, and with better cost and recidivism benefits. A programmatic evaluation must be conducted to assess these and other assumptions. This evaluation must be sub-contracted to an agent independent of criminal justice, treatment, or supportive service agencies directly involved in the TASC process.

Scope of Work

Because of the nature of the TASC Project processes and goals, evaluation is seen at two levels: performance evaluation and impact evaluation. During the first year of program operation, the period of the contract here being considered, emphasis should be upon the former, but the contractor should also address impact evaluation to the extent that it can be measured during that period and also for the purpose of defining appropriate data for a more complete impact evaluation during the second

project year. The following considerations should be addressed:

A. Performance Evaluation

1. Effectiveness of identification. Are potentially eligible TASC clients being identified?
2. Effectiveness of court liaison. Are eligible TASC clients released from criminal justice and referred to treatment?
3. Effectiveness of client assessment and referral. Are clients being promptly assessed and referred to appropriate treatment agencies?
4. Effectiveness of monitoring. Does TASC carefully and accurately monitor client progress in treatment?
5. Personnel efficiency. Are staff efficiently used?
6. Perception of TASC. How is TASC perceived by officials or staff of criminal justice agencies, treatment programs, community agencies?
7. Cost-effectiveness of TASC. How do the costs and benefits of TASC compare with routine criminal justice process or other alternatives? How does Camelot TASC compare with similar TASC projects in terms of costs and results?

B. Impact Evaluation

1. Analysis of successful completions versus client dropouts or failures.
2. Analysis of client characteristics related to treatment outcome.
3. Comparison of treatment modalities in relation to client attainment of successful TASC completion.
4. Comparison of TASC vs. non-TASC disposition in relation to criminal recidivism rates.
5. Comparison of TASC vs. non-TASC disposition in relation to drug use patterns.

The offerer may suggest other considerations appropriate for the proposed evaluation.

Reporting and Other Considerations

1. Proposals should be based on fixed price contract.
Offerer should bid only on services to be provided for that cost.

2. Proposals should include full methodology for conducting evaluation as requested above.
3. Reports are expected as follows: quarterly interim reports - April 20, 1979; July 20, 1979; and October 19, 1979; final evaluation report - December 20, 1979.
4. In addition, evaluation briefings made directly by the evaluator to the TASC Director will be expected every three weeks for four months, beginning with issuance of this contract; and thereafter, briefings will be expected at least once every six weeks.
5. The County of Camelot reserves the right to negotiate other details related to this evaluation as deemed necessary.

APPENDIX F

POSITION DESCRIPTIONS

TASC PROJECT DIRECTOR

Position Description: Under the general supervision of the Director of the County Department of Substance Abuse Services, the TASC Project Director is responsible for overall administration and management of the TASC project.

Major Duties:

1. Responsibility for assuring project achievement of stated goals and objectives and for meeting all project requirements, including reports to appropriate agencies.
2. Responsibility for development of the interface relationship between the criminal justice and treatment systems.
3. Management liaison with the criminal justice system, the treatment system, and the community, including the TASC Advisory Council.
4. Responsibility for project planning and development, including institutionalization of TASC.
5. Development of project policy and procedures.
6. Management of project budget and fiscal affairs.
7. Supervision of project staff, with hiring and termination authority.
8. Liaison with community, city and other local, state and Federal agencies.
9. Responsibility for assuring the project is properly evaluated in order to ascertain its effectiveness and impact.

Minimum Qualifications:

1. Graduation from an accredited college or university with a Master's degree in a behavioral, health, or social sciences or criminal justice field with at least two years related experience, at least one year of which is administration; experience should include both criminal justice and either behavioral, health or social science.
2. Additional work experience may be substituted for the Master's degree on a year for year basis, with a minimum education of a Bachelor's degree.

DEPUTY DIRECTOR/COURT LIAISON

Position Description: Under the supervision of the Project Director, the Deputy Director/Court Liaison is responsible for assisting the Project Director in the administration and management of the project, for assuming the duties of the Project Director in his/her absence, and for coordinating project activities with the courts.

Major Duties:

1. Responsibility for assisting the Project Director in developing project policies, procedures, and planning.
2. Responsibility for developing project report data for the Project Director.
3. Responsibility for staff development and training for all project staff.
4. Supervision and management of project screening and court liaison functions and personnel.
5. Coordination of project activities with the courts, including judges, prosecutors, defense attorneys, public defenders, probation and parole officers and law enforcement officials.
6. Representation of TASC project in court, including facilitation of client's release to TASC and reporting client status and progress to the court.
7. Responsibility for assuring clients are escorted from court to intake.
8. Other duties as assigned by the Project Director.

Minimum Qualifications:

1. Graduation from an accredited college or university with a Bachelor's degree in behavioral, health, or social sciences or criminal justice, with two years related experience, at least one year of which is in the criminal justice field.
2. Up to one year of post graduate education in a criminal justice field may be substituted for one-half year of criminal justice experience.

INTAKE COORDINATOR

Position Description: Under the supervision of the Project Director, the Intake Coordinator is responsible for the intake and tracking project functions and for supervising tracking personnel and the Support Services Coordinator.

Major Duties:

1. Coordination of the project's intake process.
2. Development and maintenance of TASC relationship with treatment programs under the guidance of the Project Director.
3. Interviewing TASC clients in order to assess their treatment, rehabilitation and related needs and their amenability to treatment; completing client social, criminal, substance abuse and treatment histories; administering and interpreting needed tests.
4. Consultation with tracking staff and other TASC staff in making most appropriate treatment referral; arranging for TASC clients' entry into treatment, including forwarding necessary records or documents.
5. Establishment of client record system.
6. Supervision of tracking function and personnel.
7. Other duties as assigned by the Project Director.

Minimum Qualifications:

1. Graduation from an accredited college or university with a Master's degree in a behavioral or social science field with one years related supervisory experience and two years diagnostic or therapeutic experience with alcohol or drug abusers, or other persons experiencing behavioral/social problems.
2. Additional work experience may be substituted for the Master's degree on a year for year basis, with a minimum education of a Bachelor's degree.

SCREENER

Position Description: Under the supervision of the Deputy Director, the TASC Project Screener is responsible for identification and initial interviewing of prospective TASC clients. The screener must be able to establish rapport with prospective clients quickly and assess client eligibility for TASC.

Major Duties:

1. Conducting initial interview of all arrestees in lockup who are potential TASC clients by virtue of charge or other indicator information in order to preliminarily determine client eligibility.
2. Explanation of the TASC program and requirements and TASC client responsibilities to potential clients.
3. Obtaining a urine specimen from all arrestees who volunteer for TASC.

4. Verification of all client information and presentation of this information to the Deputy Director/Court Liaison.
5. Other duties as assigned by the Deputy Director.

Minimum Qualifications:

1. Graduation from an accredited college or university with a Bachelor's degree in a behavioral, health, or social sciences field and two years experience in a related field which should include at least one year experience in the alcohol and/or drug abuse field.
2. An equivalent combination of education and experience may be substituted.

TRACKER

Position Description: Under the supervision of the Intake Coordinator, the Tracker is responsible for monitoring and reporting client progress in treatment.

Major Duties:

1. Consulting with the Intake Coordinator in making the most appropriate treatment referral; assisting in arranging for client entry into treatment.
2. Escorting clients from intake to initial treatment episode.
3. Contacting clients and treatment program counselors weekly in order to monitor client progress in treatment.
4. Receiving from treatment programs the results of client weekly random urine surveillance and written monthly progress reports on each TASC client.
5. Preparing written monthly report to appropriate criminal justice officials on progress of each client in treatment and on urinalysis results; providing immediate notice of client failure or dropout to appropriate criminal justice officials, followed by a written notice.
6. Recommending client transfer between treatment programs when necessary.
7. Other duties as assigned by the Intake Coordinator.

Minimum Qualifications:

1. Graduation from an accredited college or university with a Bachelor's degree in either a behavioral, health, or social sciences or criminal justice field and two years related experience.

2. An equivalent combination of education and experience may be substituted.

SUPPORT SERVICES COORDINATOR

Position Description: Under the supervision of the Intake Coordinator, the Support Services Coordinator is responsible for assisting TASC clients in obtaining educational, vocational rehabilitation, vocational counseling and training, job development and placement, housing, and legal services as appropriate from community agencies.

Major Duties:

1. Developing and maintaining linkages with community agencies providing supportive services.
2. Consulting with the Intake Coordinator and Trackers to determine TASC clients' needs for supportive services.
3. Assisting TASC clients in obtaining such supportive services.
4. Developing employment opportunities, directly when necessary, including liaison with community employers.
5. Other duties as assigned by the Intake Coordinator.

Minimum Qualifications:

1. Graduation from an accredited college or university with a Bachelor's degree in a behavioral or social sciences field and two years related experience.
2. An equivalent combination of education and experience may be substituted.

SECRETARY

Position Description: Under the supervision of the Project Director, the Secretary is responsible for all project clerical work and reception duties.

Major Duties:

1. Typing project correspondence and reports.
2. Answering the telephone and receiving visitors.
3. Establishing and maintaining project and client files.
4. Monitoring and ordering project office supplies.
5. Other duties as assigned by the Project Director.

Minimum Qualifications:

1. Graduation from an accredited high school with two years secretarial experience or graduation from a state certified business school with one year secretarial experience.
2. Ability to type 60 words per minute accurately.
3. Ability to operate dictation and copying equipment.

CASE MANAGER

Position Description: Under the supervision of the Case Supervisor, the Case Manager is responsible for client intake, assessment, and referral, and for monitoring and reporting client progress in treatment.

Major Duties:

1. Interviewing clients in order to assess their treatment, rehabilitation and related needs and their amenability to treatment; completing social, criminal, substance abuse and treatment histories; administering and interpreting needed tests.
2. Determining most appropriate treatment referral; arranging for the client's entry into treatment, including forwarding necessary records or documents, and escorting the client from intake to initial treatment episode.
3. Contacting clients and treatment program counselors weekly in order to monitor client progress in treatment.
4. Receiving from treatment programs the results of client weekly random urine surveillance and written monthly progress reports on each client.
5. Preparing written monthly report to appropriate criminal justice officials on progress of each client in treatment and on urinalysis results; providing immediate notice of client failure or dropout to appropriate criminal justice officials, followed by a written notice.
6. Recommending client transfer between treatment programs when necessary.
7. Other duties as assigned by the Case Supervisor.

Minimum Qualifications:

1. Graduation from an accredited college or university with a Bachelor's degree in a behavioral or social science field and two years diagnostic or therapeutic experience with clients experiencing behavioral/social problems.
2. An equivalent combination of education and experience may be substituted.

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