THE MINNESOTA MODEL OF SCHOOL-BASED DIVERSION FOR STUDENTS WITH CO-OCCURRING DISORDERS

IMPLEMENTATION MANUAL

Minnesota Department of Human Services

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Section I
Introduction and Overview

The school-to-prison pipeline issue is a critical national and state public policy concern that requires analysis and solutions for children and their families. The policies and practice that force at-risk students out of the classroom and into the juvenile justice system is having negative consequences, especially for students of color, the poor and those with disabilities. In 2012, Minnesota was one of eight states chosen by the Substance Abuse and Mental Health Services Administration (SAMHSA), and the John D. and Catherine T. MacArthur Foundation to develop a school-based diversion model for students with co-occurring disorders. The vision of Minnesota's Model is hope and support to keep students in school and out of the juvenile justice system by leading and partnering with others to plan, implement, and evaluate an innovative school-based diversion model that ensures access to co-occurring treatment services and also reduces disparities in the juvenile justice system.

The Minnesota Model is designed to assist schools and their partners to become more selective about making referrals to the juvenile justice system and develop school- and community based alternatives for addressing student behavioral incidents. This manual provides a blueprint for shared decision-making, new partnerships, and alternatives that keep students in school and out of the juvenile justice system.

Background

Schools have a responsibility to maintain a safe and structured environment that supports learning and ensures the safety of students and school personnel. However, approaches to school discipline vary, and the effectiveness and fairness of these approaches have been the focus of much recent attention. For example, recent research suggests inconsistent or limited effectiveness of "zero tolerance" disciplinary policies as a means of increasing safety, promoting positive school climate, or reducing suspension and expulsion rates.[i] Furthermore, the use of exclusionary discipline practices such as arrests, expulsions, and out-of-school suspensions, may be ineffective, especially when applied to relatively minor offenses.[ii] Exclusionary discipline removes students from the normal academic experience which can contribute to a number of negative academic and socio-emotional outcomes.[iii] Indeed, students who are arrested at school are three times more likely to drop out than their peers who are not arrested.[iv]

Perhaps the most troubling form of exclusionary discipline is school-based arrest. Although school violence is at its lowest level since 1992, in-school arrests are an increasingly common phenomenon.[v] A report by the American Civil Liberties Union noted that a large proportion of school-based arrests are for "public order offenses" that include such charges as disorderly conduct, breach of peace, and threatening. In addition, a great number of arrests occur for fights, resulting in the filing of assault charges. Many have noted that these behaviors were once addressed almost exclusively through in-school discipline measures as opposed to law enforcement and court involvement. One potential reason for higher school-based arrest rates is the presence of school resource officers (SROs); uniformed police that are employed by local

law enforcement or school districts to maintain order and safety in schools. Some have indicated that SROs are increasingly being used to enforce school rules, which has contributed to an environment in which student behavioral incidents are not just disciplined, but are "criminalized."

The excessive use of exclusionary discipline practices like school-based arrests is called into question further by research indicating its disproportionate application to youth of color, particularly African-American and Hispanic boys.[vi] School discipline has been found to be more punitive and severe for youth of color even when the behaviors are the same and other socio-demographic factors are controlled.[vii] Similar findings have been reported for youth with special education needs, particularly youth with mental health conditions.[viii] In fact, research indicates that approximately 65-70 percent of youth in juvenile detention have a diagnosable behavioral health condition.[ix]

Comprehensive approaches to addressing the issue include changes to state law and policy, advocacy and systems coordination, and implementation of school-based initiatives in schools with the highest arrest rates.[x] School-based practices can be put into place to help schools reduce punitive measures in favor of strategies that are more supportive and restorative in nature. School-based reform efforts also frequently address the underlying mental health and substance abuse needs that exist among youth who are at-risk of juvenile justice involvement. Schools often require better linkages to these community-based resources, particularly crisis response and mental health services, which can be effective alternatives to law enforcement involvement.[xi] Experts call for the enhancement of in-school mental health resources as well as linkages between schools and their community-based network of services and supports for meeting the needs of at-risk students.[xii]

Guiding Principles Supporting School-Based Diversion

Based on a review of the literature and a series of workgroup meetings and discussions among key stakeholder groups, leaders from Hennepin County identified a number of guiding principles that support their commitment to school-based arrest diversion for youth with co-occurring disorders:

- "Zero tolerance" and exclusionary discipline practices (arrest, expulsion, out of school suspension) are not the most effective or beneficial methods for serving the short- or long-term best interests of students with co-occurring disorders. Use of these practices should be minimized whenever it is possible and appropriate to do so.
- Efforts to create positive relationships between students and adults (teachers, administration, school resource officers, etc.) create an umbrella of positive school climate and the opportunity for youth who are at-risk of arrest to de-escalate behavior that places them at risk for arrest.
- Diversion efforts must be supported by appropriate accountability for inappropriate behavior using graduated response frameworks and restorative practices.

- Diversion is a process and there are multiple decision points in the minutes and days following a student behavioral incident in which a student can be diverted from formal processing through the juvenile justice system.
- Diversion efforts are bolstered when school personnel recognize the important role of mental health and substance abuse needs in promoting academic success. School personnel benefit from developing new competencies in recognizing mental health symptoms and de-stigmatizing mental health problems.
- Diversion efforts are strengthened by active student and parent participation from model development to implementation to evaluation.
- Special attention should be given to students who have historically been at the highest risk for arrest, including students with mental health and substance abuse needs, a designation of "Serious Emotional Disturbance" (SED), an IEP or a special education need, and students from racial and ethnic minority backgrounds.
- It is important to enhance schools' capacity to meet student mental health needs by ensuring students have access to a range of culturally and linguistically competent school-based and school-linked mental health and substance abuse services and supports across the continuum of care: prevention, crisis stabilization, screening and assessment, and intervention.
- Diversion efforts must be accompanied by appropriate data collection that supports performance measurement, model fidelity, and outcomes evaluation.

This manual describes a comprehensive approach to implementing a school-based arrest diversion initiative that builds off of existing research and best practices and the guiding principles described above. This diversion initiative is designed to take place for approximately one-and-a-half school years, with some preliminary activities occurring in the spring term of the first school year and remaining activities occurring for the duration of the following school year. A number of stakeholders are engaged in the implementation process. Successful completion of the initiative requires an investment of the time, commitment, and persistence of a dedicated team of individuals who are passionate about helping young people avoid the difficult path of early juvenile justice involvement--a path that too often leads to significant additional adversities and unrealized potential.

Section II of this manual describes a decision-making model that can help school personnel make consistent and rational decisions that reduce the number of youth who are arrested and reduce disparities that too often are related to child characteristics. Section III offers specific implementation steps for implementing a comprehensive school-based diversion model. Section IV offers information about professional development activities that build awareness, knowledge, and skills among school personnel and community members who wish to partner together in diverting students from arrest. Finally, Section V recommends a number of key data elements that can be collected to evaluate the effects of the diversion approach, and how those data can be used for the purposes of performance measurement, model fidelity, and evaluation.

Section II
The Minnesota Model of School-Based Diversion
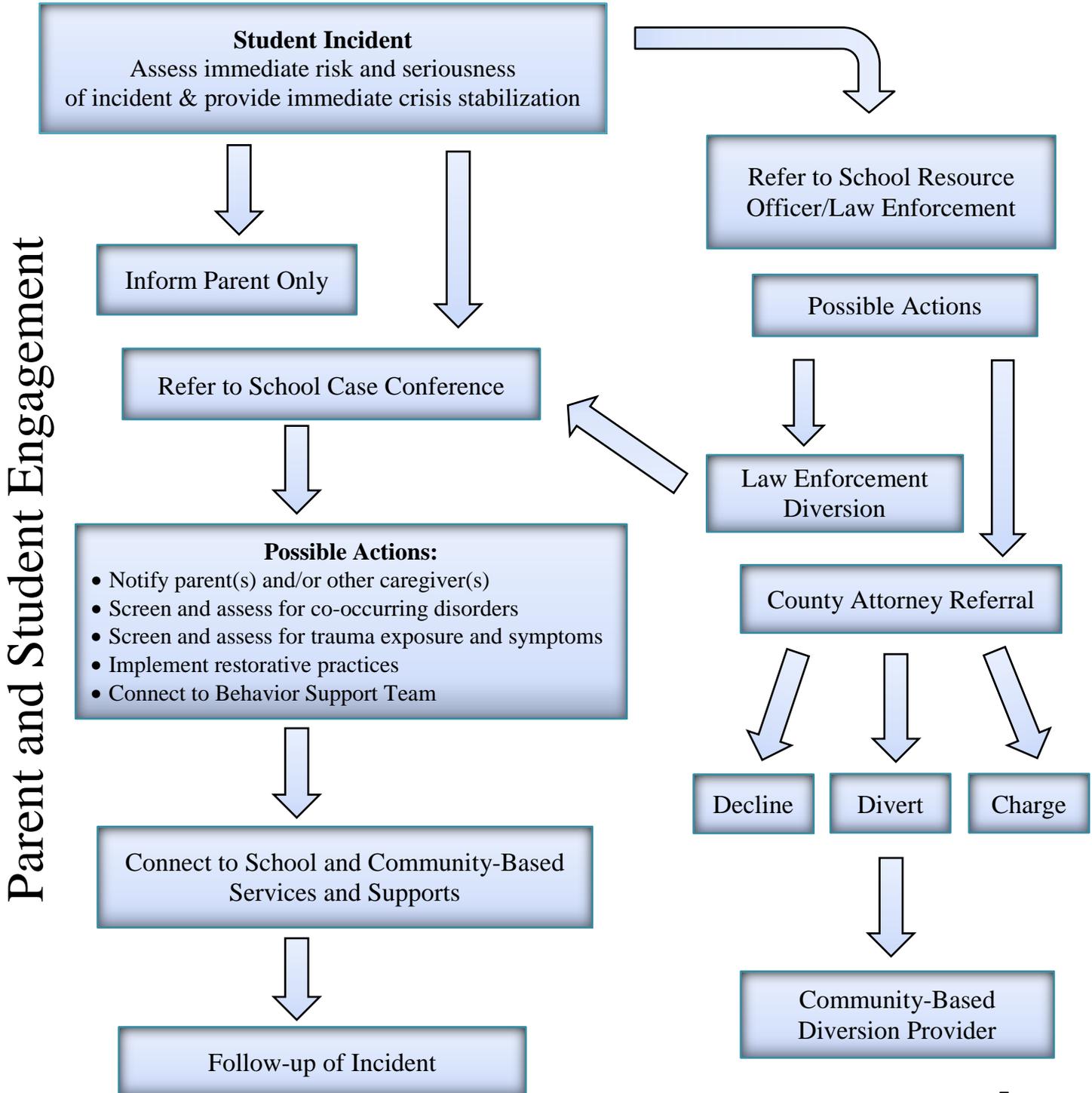
<u>Diversion Decision-Making Model</u>

The model visual (page 7) is the result of collaborative efforts among stakeholders in Hennepin County, Minnesota. Collaborators included state agency staff, school personnel, mental health and substance abuse professionals, parents, students, family advocates, county attorney staff, and others. The model is a practical tool that may be general enough to be applied to any setting; however, it is likely that the model will require some adaptation based on local contexts. In any adaptations of the decision-making model, users are encouraged to ensure that their model reflects the values and principles described in Section I and that it supports the comprehensive approaches described in the remainder of this manual.

<u>Minnesota's Core Team</u>

- Tom Arneson, Managing Attorney of the Hennepin County Attorney's Office, Juvenile Prosecution Division

- Michael Franke, Licensed Psychologist

- Richard Gardell, President and CEO of 180 Degrees

- Jeffrey Hunsberger, Supervisor, Legislative/Communication Section of the Minnesota Department of Human Services, Alcohol and Drug Abuse Division

- Anna McLafferty, Criminal Justice Director of the National Alliance on Mental Illness of Minnesota

- Dr. Charlene Myklebust, Executive Director of Mental Health and Partnerships Intermediate District 287

- Robyn Widley, Supervisor, Interagency Partnerships of the Minnesota Department of Education, Special Education Division

- Bill Wyss, Team Leader and Children's Mental Health Manager of the Minnesota Department of Human Services, Children's Mental Health Division

Minnesota's School-Based Arrest Diversion Decision-Making Model for Students with Co-Occurring Disorders

Parent and Student Engagement

Prevention and Positive School Climate

Student Incident
Assess immediate risk and seriousness
of incident & provide immediate crisis stabilization

Inform Parent Only

Refer to School Case Conference

Possible Actions:
- Notify parent(s) and/or other caregiver(s)
- Screen and assess for co-occurring disorders
- Screen and assess for trauma exposure and symptoms
- Implement restorative practices
- Connect to Behavior Support Team

Connect to School and Community-Based Services and Supports

Follow-up of Incident

Refer to School Resource Officer/Law Enforcement

Possible Actions

Law Enforcement Diversion

County Attorney Referral

Decline

Divert

Charge

Community-Based Diversion Provider

Below is a summary that describes the elements of the visual model presented above. It is the expectation that the core principles of the visual model above can be applied to virtually any school environment, with sufficient flexibility to support reasonable adaptations to the unique environments, needs, and contextual factors of each participating school.

<u>Governance, Decision-Making and Maintaining School Safety</u>

Determining responsibility for disciplinary decision-making is an important consideration in successfully implementing school-based diversion, as is the degree to which buy-in is achieved across multiple decision-makers. Research demonstrates that implementation of school-based prevention programs is supported by a combination of strong leadership and the quality of implementation.[xiii] Key leaders in supporting diversion initiatives include parents, students, school boards, the superintendent's office, the principal and other administrators, SROs, teachers, students, and support staff (e.g., school social workers, school psychologists). Outside the school building, stakeholders in the juvenile justice system (probation officers, juvenile prosecutors, and juvenile court judges) and members of the community-at-large are invested in school discipline efforts as they relate to maintaining a safe and orderly community. Effective and consistent communication and collaboration among all initiative partners is a key ingredient to the success of school-based diversion efforts. Stakeholders should maintain consistent communication with regard to planning, implementing, and evaluating this initiative.

Decision-making and governance become most important in the event of a serious student incident. A serious incident can be described as an incident in which there is significant harm or significant risk of harm to anyone on school grounds and/or a threat to their safety and security. Examples include but are not limited to: fights that involve a weapon; fights that result in serious injury; and threats of mass violence. At the moment these incidents occur, ensuring safety as quickly as possible is the only consideration. Serious incidents should immediately trigger the nearest adult to seek the involvement of an SRO or other law enforcement personnel. When serious incidents occur, immediate decision-making responsibility defers to law enforcement as they seek to maintain safety, security, and order. As the situation stabilizes and safety is ensured, SROs or other law enforcement officials may or may not seek decision-making input or gradually transition decision-making authority to school and non-school personnel for appropriate disciplinary action. This may include consultation with school administrators, teachers, support staff, the student and their family. Serious incidents understandably have the highest risk of resulting in arrest and court referral.

For incidents that do not reach the threshold of a serious incident, and where safety is not an imminent concern, the Minnesota diversion model emphasizes a joint decision-making model that is generally enacted through the School Case Conference Team. This team may be composed of a combination of parents, students, school administrators, SROs, guidance counselors, social workers, school psychologists, and others. Members of the School Case Conference team should be among the most knowledgeable and committed to diversion principles. That is not to suggest that team members will not disagree on disciplinary issues as

multiple perspectives are brought forward to result in the most appropriate response(s) and disposition decision(s).

In many schools there is wide variability among individuals in their attitudes and perspectives toward school discipline and their understanding and commitment to arrest diversion. Like all change efforts, implementing a school-based diversion model and refining implementation of the accompanying decision-making is a process that requires continual assessment, evaluation, reflection, and modification.

Prevention and Positive School Climate

Many Minnesota schools already have in place a number of preventive and supportive resources and initiatives that collectively help to prevent the occurrence of behavioral incidents and create a positive and supportive learning environment and strong relationships between students and adult staff members. Examples of prevention and positive school climate efforts include, but are not limited to the following: Positive Behavioral Interventions & Supports (PBIS); Crisis Intervention Teams (CIT, CIT-Y); Crisis Prevention Intervention (CPI) Non-violent Crisis Intervention; Social & Emotional Learning (SEL); Collaborative Problem Solving (CPS); parent-school-community partnerships; safe school climate efforts; training, and other prevention and health promotion programs. Prevention efforts can also be helpful in identifying students who may be at-risk for juvenile justice involvement. These students should have access to services and supports that meet their individualized needs in an effort to prevent the initiation or escalation of behavior problems that may one day result in arrest and juvenile justice involvement.

Parent and Student Involvement

Parent and student involvement is encouraged at all levels and for all phases of implementation. This includes, but is not limited to: 1) model development, 2) oversight and participation in an Advisory Board, 3) input at the moment of diversion; 4) post-incident case conferencing, 5) participation in informal and formal services and supports; 6) promoting awareness and advocacy; 7) and engaging any reluctant parents of at-risk students.

Student Incident

There are a number of behavioral issues that arise in schools, ranging in seriousness from minor (e.g., disruptive behavior, skipping class, talking back, swearing) to very severe (e.g., violent behavior inflicting serious injury on a student or a school staff member). There is a need to immediately respond in some way to any behavioral incident that occurs in a school. The adults that are nearest the incident at the time it occurs are required to quickly assess the immediate risk and seriousness of the incident in order to make an appropriate decision. As described above, serious incidents can be described as any incident in which there is harm or a serious risk of harm to anyone on school grounds and/or a threat to their safety and security. Examples include but are not limited to: fights that involve a weapon; fights that result in serious injury; and terroristic threats. At the moment these incidents occur, safety is the most important consideration and SROs or law enforcement should be contacted immediately.

Non-serious student incidents may include behaviors such as threatening, bullying, fighting (that does not involve the use of a weapon and does not result in serious injuries), disrespect toward students or staff, disruption of the classroom and school environment, violation of school rules, smoking on school grounds, substance use, damaging school property, trespassing, and other similar incidents. These incidents have resulted in many school-based arrests in schools across the country. A commitment to diversion will result in some (or many) of these incidents leading to alternatives to arrest and approaches that do not result in formal processing through the juvenile courts. These behaviors often can be handled through effective behavior management and de-escalation skills, parent conference, school administrator intervention, detentions, in-school suspensions, access to mental health and substance abuse services and supports, and even law enforcement consultation and support. The school-based diversion model described here seeks to avoid arrest, expulsion, and out-of-school suspension whenever possible.

It is important for school personnel implementing this model to frame behavioral incidents in lay language (e.g., "disruptive behavior," "fighting") rather than criminal language (e.g., "breach of peace," "disorderly conduct"). This helps create a common, accessible, and de-criminalized language for describing adolescent behaviors in a way that can be easily understood by students, parents, school personnel, and law enforcement alike. Each school implementing a diversion model must create and agree on their own list of behaviors and categorizations. Student and parent input can be very helpful in this process. Consultation with law enforcement and/or legal council should be sought to ensure appropriate distinctions are made between serious and non-serious incidents. Schools are encouraged to identify a range of typical school-based behavior problems ahead of time and categorize them into serious and non-serious incident categories. In this process, schools are strongly encouraged to consider that arrest diversion often requires key school personnel to commit to diverting behaviors that may have been "arrest-able" offenses in the past.

Three Responses to Student Incidents

The model depicts three possible responses to student incidents: 1) Inform Parent Only; 2) Refer to School Case Conference or Behavior Support Team; and 3) Refer to School Resource Officer/Law Enforcement.

A response of "inform parent only" recognizes that many minor incidents can be quickly resolved with little formal processing besides notifying parents of the incident and the school's response to the incident. Though not a highly punitive measure, documentation of this response is encouraged for the purposes of program monitoring.

The second response involves referral to a School Case Conference Team. In this response, after a behavioral incident is stabilized, a group of school staff comes together to review the incident and the response, arrange for additional screening and assessment as needed, implement restorative practices, refer to a behavior support team, or make other disposition decisions. The School Case Conference team should be well-versed in diversion principles. This

team should be composed of a diverse group of individuals including parents, students, school administrators, SROs, guidance counselors, social workers, school psychologists, and others. A student's special education needs should be considered by this team; for students involved in special education, the Case Conference Team should review the presence and appropriateness of behavioral interventions documented in their Individualized Education Plan (IEP).

As mentioned above, referral to SRO or law enforcement should occur any time a student incident is deemed to involve a significant risk of harm to self or others and/or a significant threat to the safety and security of students and/or school staff. There are also times when behaviors may not reach this level of risk, but it may be deemed beneficial to seek the consultation or involvement of an SRO or other law enforcement personnel. It is important to note that in the context of implementing a diversion model, not all law enforcement involvement will result in arrest or formal charges being filed. This may be a departure from the training and philosophy of police officers. Schools should work closely with law enforcement before and after incidents occur and they are called in for support. As depicted in the model visual, there may be instances in which law enforcement refers students back to the School Case Conference Team for an appropriate disposition.

Within the model, the two tracks of School Case Conference and School Resource Officer/Law Enforcement Involvement include a number of possible actions that address the behaviors, ensure accountability, provide services and supports, and ensure that diversion takes place whenever possible. Each of these tracks is described in more detail below.

School Case Conference

Non-serious incidents that require action beyond only parent notification are referred to a School Case Conference team. The School Case Conference team should be well-versed in diversion principles. This team should be composed of a diverse group of individuals including parents, students, school administrators, SROs, guidance counselors, social workers, school psychologists, and others. This group can make a number of disposition decisions that may include, but are not limited to, the following:

- *Notify parent(s) and/or caregiver(s).* For all incidents that reach the School Case Conference intervention, parents and/or other caregivers should be notified. Schools may also choose to invite the student and/or their parent(s) to join the School Case Conference Team temporarily, if it is deemed appropriate.
- *Screen and assess for co-occurring disorders and trauma*. Research indicates that youth who are involved with or at-risk of arrest and involvement with juvenile justice have significantly higher rates of mental health conditions than the general population of youth (see Introduction and Overview). In recognition of this, students who are referred to the School Case Conference team should be screened and assessed for mental health, substance abuse, and trauma-exposure and symptoms, by school-based, school-linked, or community-based professionals. Trauma exposure and symptoms are also common among students who are involved, or at risk of being involved, in the juvenile justice

system. Trauma screening is recommended, with further assessment and possible treatment recommended for students that screen positively.

- *Implement restorative practices*. Diversion does not imply lack of accountability for behavior. Schools are increasingly turning to restorative practices to hold students accountable for their behavior in a way that is supportive, inclusive, and educational for everyone involved. Examples of restorative practices include mediation, circles, conferencing, and peer juries. Further explanation of restorative practices is provided in Section III.

For students that are found to have a need for additional mental health or substance use services and supports, the Case Conference Team should refer and connect students to school-based and school-linked services. The framework for expanded school mental health calls for access to a range of in-house and community-based services and supports.[xiv]

Follow-up of Behavioral Incident

The Case Conference team and parents should work together to follow-up after the behavioral incident in order to ensure that appropriate steps were taken and that the student's underlying needs were addressed.

Refer to Law Enforcement/School Resource Officer

SROs or local law enforcement will be called in for serious incidents and may also be consulted when there are questions as to the criminality of the incident, and to help determine appropriate action. The officer will exercise their judgment and discretion to determine whether arrest or diversion is appropriate, often working closely with school staff to determine the appropriate interventions. Once again, it is important that SROs or law enforcement are active participants in the diversion initiative and involved in as many elements of its implementation as feasible. Collaboration between schools and police is critically important to the success of diversion efforts. In the event that a SRO is involved in responding to an incident, and it is ultimately determined that diversion is appropriate, the SRO will refer the incident back to the School Case Conference team for a disposition decision (as depicted by the single-direction arrow in the model visual). Their other option is to arrest the student and refer them to the County Attorney for a disposition decision (see below).

Referrals that are made to the County Attorney may result in a number of disposition decisions, reflecting the guiding principle that diversion is possible at multiple points in the decision-making process. Once again, this suggests that schools and the County Attorney's office work closely together as partners in the diversion initiative. This model specifies three response options for the County Attorney: "Decline," "Divert," or "Charge." It is common procedure for referrals that are "declined" by the County Attorney to be sent back to the law enforcement officer who referred the case. When this occurs, the law enforcement officer should in turn refer the student back to the School Case Conference Team to review the incident and implement an appropriate school-based intervention. On the "divert" option, some (but not all) County Attorney offices have the option to refer to their own contracted

community-based diversion provider for services and supports. Finally, under the "charge" option, if the behavioral incident in question meets legal criteria, and diversion is not an appropriate disposition, then the County Attorney will file charges and the student will be formally processed through the juvenile justice system.

Close communication should be maintained between the school, law enforcement personnel, and the County Attorney to ensure that diversion options are exercised when possible and appropriate. The model visual and description in this section was developed based on current practice in Hennepin County. These partners have agreed to work together to implement the model. Similar partnerships are encouraged in any jurisdiction seeking to implement the diversion initiative described in this manual.

Section III
Implementing a Comprehensive Diversion Initiative

The model visual and description in Section II is only one part of a comprehensive school-based arrest diversion initiative. Simply providing a copy of the model to interested schools is not enough to produce the desired outcomes. There are a number of steps that must also take place for the model to be implemented effectively in a school setting, and a number of related activities that support the achievement of overall diversion goals in schools. These implementation steps are described below.

Although not absolutely necessary, it is highly beneficial and recommended to complete several activities in the school year prior to the planned intervention year, typically between March and the end of the prior school year. These activities are categorized as "Pre-Implementation Phase" below. The extent to which these activities were successfully completed affects the completion of subsequent activities during the Implementation Phase (completed from August through June of the implementation school year).

PRE-IMPLEMENTATION PHASE

Ensure Appropriate Project Coordination

Project coordination is an important consideration for any school-based initiative. Funding for school-based diversion often comes in the form of grants or contracts awarded by federal or state government agencies, foundations, or other public and private funding sources. To implement a diversion initiative, funders often will employ the services of an intermediary organization to work with the target of the initiative, in this case, schools.[xv] Alternatively, funders can directly fund schools to implement the initiative and contract managers for the funding entity oversee achievement of contractual deliverables. Regardless of the model for funding and implementing the plan, a Project Coordinator serves as the lead individual for ensuring that implementation efforts are successful. Ideally, the Project Coordinator will have extensive experience implementing mental health and/or juvenile justice initiatives in school- or community-based settings.

Select Participating School(s)

Advanced planning often is required to select appropriate schools to participate in this initiative. This process takes place in the final months of the school year *prior to* the anticipated implementation school year. Little can be accomplished during the summer months prior to a new school year, and the beginning of a new school year is a busy time for all schools as they train teachers on new curricula and initiatives, install a variety of new programs, and prepare for the arrival of students. If project coordinators begin a discussion about implementing school-based diversion at the beginning of a new school year, this will often result in delays that can last weeks or even months. If problems are encountered and it is discovered that a prospective school may not be a good fit for implementation, then valuable time will have been lost and project coordinators will need to start over from the beginning by selecting a new

school and beginning the process over again, delays that cost weeks if not months. Furthermore, if part of the initiative will include training delivered to teachers and other school staff, professional development slots often are booked during the *prior school year*, so early planning is essential.

At least three factors should be considered when selecting a school for participation in a diversion initiative: 1) Interest 2) Need and 3) Capacity.

➢ **Interest:** This refers to whether a school's key decision-makers have a desire to participate in an arrest diversion initiative and work toward goals of reducing arrests and addressing the unmet need of students with co-occurring disorders. It is important to distinguish the source of interest. Diversion efforts are most effective when interest is expressed by key decision-makers *within the school building*, including administrators, SROs, school social workers, parents, students, and others. Interest on the part of stakeholders outside the school building (e.g., superintendents, school boards, state agencies) may be necessary, but it is not sufficient. Occasionally, schools will be "nominated" by one of these external sources or data will indicate that the initiative be implemented in a school with a particularly high rate of school-based arrests. This may not be enough for successful implementation unless it is accompanied by serious interest among those within the school. Expressing a preliminary understanding and commitment to the guiding principles of diversion is a useful indicator of interest.

➢ **Need:** The concept of "need" refers to the extent to which a school experiences high rates of arrest, either overall or among a particular subset of youth (e.g., those with co-occurring disorders). Need may also refer to prevalence rates of mental health or substance abuse conditions and insufficient access or collaboration with school- or community-based services and supports. Implementing a new model involves a significant investment of often limited time and resources. Investing these resources in schools that do not have initially high rates of arrest may result in a difficulty demonstrating impact. For example, a school that is a willing participant may have had only two arrests the prior school year; thus, it would be unwise to devote intensive resources to a school with this low level of need when those same resources could be devoted to an interested school with 30 arrests in the prior school year. It would be similarly unwise to enhance screening, assessment, and treatment of youth with co-occurring disorders in a school with a well-functioning system already in place.

➢ **Capacity:** Finally, "capacity" refers to the extent to which a school is able to meet the demands of the initiative, especially in terms of committing time and staff to the work; identifying consistent times for meetings and training; collecting data; and completing other activities and deliverables. It may be helpful to identify schools that have existing initiatives or team structures in place that are similar in scope and philosophy to a diversion initiative, and can provide a potential integration point for diversion efforts. For example, many schools may have a team of school and community personnel that meet regularly to discuss the mental health and special education needs of students, or a committee that handles disciplinary actions. These teams can be "re-deployed" to

take on a diversion initiative. If key school staff members are not available or are unwilling to attend meetings or work toward initiative deliverables, then the quality of subsequent implementation is not likely to produce the intended effects. On the other hand, although the presence of related initiatives may be helpful for creating efficiencies, schools with too many new or existing initiatives may have too many existing commitments to successfully implement an intensive arrest diversion initiative.

Engage School and Community Partners

There are a number of school and community partners that must be engaged to support the planning and implementation of school-based diversion. Within the school system, those people include the school board and superintendent; administrators; SROs; social workers; school psychologists; and special education and other classroom teachers. Students are also important stakeholders, as they frequently provide valuable insights into school climate and culture and common behavior problems. They also offer a direct perspective on the most effective ways to engage students, manage crises, and handle disciplinary issues. In addition, parents should be engaged in planning and implementation efforts because they are affected directly by disciplinary actions taken by schools and they know their children best. Family advocates are also valuable partners in diversion efforts and can help engage parents who can contribute to planning and implementation efforts.

Outside the school, partners include representatives from the juvenile justice and treatment communities. Community-based mental health and substance abuse providers must be engaged to ensure that students have access to appropriate screening, assessment, and treatment. In particular, community-based providers with specialization in mobile crisis response, trauma-informed care, and substance abuse assessment and treatment often are key partners. Juvenile justice stakeholders must also be committed to the diversion efforts of participating schools, especially local law enforcement and SROs placed in the participating school. Police must be on board with diversion efforts for the diversion initiative to be successful along with the County Attorney's office, the Juvenile Probation Department, and juvenile court judges. Finally, the evaluator for the diversion initiative should be engaged early in the process to help document and inform implementation.

Identify Workgroup Team Members

Members of the Workgroup Team may be drawn from the school system and community partners listed above. The Workgroup Team is responsible for creating and implementing reforms to school practice and policy that will support and sustain diversion efforts. As such, the Workgroup Team should include one or more representatives from the following stakeholder groups: project coordinator; school administrators; school resource officers or local law enforcement; school social workers and/or psychologists; teachers; students; parents; and family advocates. Outside collaborators may include juvenile probation officers, community-based mental health providers, and county attorneys. This should be a standing team that meets at least every other week throughout the year. Key deliverables (each of which is described below in the Implementation Phase section) include:

1. Establish Memoranda of Understanding (MOU) with local police departments, community-based mental health and substance abuse providers, and other stakeholders
2. Develop and implement a graduated response model
3. Develop and implement restorative practices for school discipline.

Identify Case Conference Team Members

The Case Conference Team's primary role and purpose is to discuss student incidents that require consultation and may be appropriate for diversion. Members of the School Case Conference Team will include many of the same participants as the Workgroup Team, including: project coordinator; school administrators, SROs; school social workers and psychologists; parents; students; and outside partners. Members of the School Case Conference team should be among the most informed and dedicated to arrest diversion principles, since they will be making disposition decisions about specific student incidents. As discussed above, many schools will have existing teams in place with similar membership working on related issues and initiatives. When possible and feasible, it is recommended that the initiative be embedded within an appropriate existing team structure. This should be a standing team that meets throughout the year, usually weekly, but the frequency of meetings will ultimately depend on the number of student incidents that require this level of consultation.

Identify and Schedule Professional Development Time

School professional development days are targeted for teacher and whole-class trainings, and often are filled up for a school year near the end of the *prior school year*. For this reason, if whole class trainings are planned for a diversion initiative, those trainings often must be scheduled on the professional development calendar in the spring of the prior school year. Once dates are set and topics are identified, the project coordinator should work on finding expert trainers for those topics. Section IV offers more information and guidance on the training modules that may require broader participation of school staff, and the training modules that may be better suited to small groups such as the Case Conference and Workgroup Team members.

Conduct a Needs Assessment

The Minnesota model for school-based diversion offers concrete implementation guidelines with a degree of flexibility so that it can be implemented in a variety of school settings and under circumstances that vary from school to school. Flexibility in model implementation helps engage new schools in the initiative and results in an experience that is somewhat tailored to each school and best meets their unique needs. The needs assessment is an important step in determining those unique needs. Ideally, the needs assessment is completed toward the end of the school year prior to the implementation academic year, but if necessary, it can be completed at the beginning of the implementation school year. Needs assessment methods vary, but staff surveys and focus groups often yield valuable information.

It is recommended that the diversion initiative include funding for an evaluator. Generally, evaluation should be budgeted for 5 to 10 percent of total direct costs. The evaluator is responsible for most of the data collection, analysis, and reporting activities for the initiative, including the needs assessment and the evaluation activities described in Section V.

Staff Survey. A staff survey can be an efficient way to gather information about knowledge, skills, and attitudes among school staff, including administrators, teachers, school resource officers, social workers and psychologists, and others. In the case of an arrest diversion initiative, the Project Coordination team may require information on topics that may include: normal adolescent development; approaches to discipline; the use of arrest and expulsion as routine intervention; the role and purpose of having police in schools; mental health and substance abuse treatment; knowledge of school policies and procedures; perceptions of the quality of collaborations with outside providers (mental health, substance abuse). Surveys may also be administered to parents, students, and outside collaborators. See Appendix A for a sample staff survey.

Focus groups. A focus group is another efficient method for collecting a wealth of qualitative information. Focus groups can be conducted with a variety of groups including school staff, students, parents, and outside collaborators. The topic are often very similar to those described above, but focus groups be a useful means for capturing additional information that is difficult to gather in a brief survey. In addition, focus groups can also be used as a venue for sharing and discussing results from the staff survey. See Appendix B for a sample needs assessment protocol.

At the completion of the needs assessment, the evaluator should prepare a report that summarizes the findings and recommendations from surveys and focus groups and how this information will be used in implementation.

IMPLEMENTATION PHASE

Continued implementation of the diversion initiative occurs during the full school year that follows, approximately from August to June. Below are a number of activities that need to occur during that time.

Begin Using the Diversion Decision-Making Model

Section II presents and describes in detail the decision-making model that supports reductions in school-based arrests. It is recommended that participating schools form the School Case Conference Team early in the school year so that they can begin implementing the model right away. This may require review and discussion by these team members in the previous school year or in the days before classes begin.

Establish MOUs and Agreements with Key Partners

Schools must develop a close working relationship with SROs and local law enforcement to reduce school-based arrests. Given the high prevalence of mental health and substance abuse

conditions among youth who are arrested, participating schools also must develop close working relationships with providers of mental health and substance abuse services, both in the school and in the community. Memoranda of understanding (MOUs) between schools and police, and between schools and community-based providers, help ensure that the purpose of the initiative and respective roles and responsibilities are clearly understood by all parties. MOUs may help to address historical conflicts and collaboration difficulties between schools and external partners. MOUs can also help to proactively anticipate and address problems that may arise in collaboration and propose methods and strategies for quickly and effectively preventing and remediating these problems. A sample MOU between a school and a community-based mental health and substance abuse provider is provided in Appendix C.

Implement Screening, Assessment, and Treatment for Mental Health and Substance Abuse Disorders

Students who experience behavioral incidents and are at-risk for arrest may have unmet mental health and substance abuse needs, many of which go unidentified, un-assessed, and un-treated. It is known that students with mental health needs are far more likely to also have a substance abuse disorder compared to rates in the general population.[xvi] Diversion initiatives are most likely to be implemented among high school students where rates of arrest are highest, and so are rates of substance abuse. Research indicates that by age 12, many young people begin using substances. Twenty one percent of adolescents treated for substance abuse problems also have a psychiatric problem. Approximately half of all criminal justice referrals for treatment of any kind involve adolescents with co-occurring disorders.[xvii] Integrated treatment improves outcomes for both disorders and also leads to better housing, employment, educational, and social outcomes.[xviii]

Schools participating in the diversion initiative are encouraged to cultivate multiple partnerships for screening, assessment, and intervention for substance abuse and mental health concerns. Schools often use a variety of service providers including those who are located in-school and providers in community-based settings. The School Case Conference Team meets regularly with these external community partners to identify screening and assessment resources for students and their families. Parents are consulted in order to identify existing service providers and/or treatment histories, and to consent students to assessment and treatment. Following referral, treatment is largely based on screening and assessment results and the student and family's unique needs and strengths.

Screening children and adolescents for co-occurring disorders is a crucial first step identifying possible disorders, ensuring appropriate treatment, and reducing risk for behavioral concerns and juvenile justice involvement. The Global Appraisal of Individual Needs – Short Screener (GAIN-SS) is a tool that screens for both substance abuse and mental health symptoms in a practical, reliable and efficient manner.[xix] It consists of a brief set of questions that are easy for most clients to understand and have been shown to be valid and reliable in identifying symptoms and identifying individuals from diverse populations who are likely to have a mental health and/or substance use disorders. The use of this tool will be a strong benefit to

Minnesota's children and families in that it will assist in the early identification and referral of children and adolescents who suffer from co-occurring disorders.

In addition to standardized measures, mental health and substance abuse providers often have their own intake procedures that are largely driven by history and agency culture, funder requirements and licensing and accreditation standards.   Providers generally obtain information in domains that may include, but are not limited to, the following:

- Identifying Information
- Presenting Crisis/Presenting Problem
- Treatment History
- Current Medical Provider
- Brief Medical History
- Relevant Family History
- Strengths and Needs
- Mental Status
- Risk Factor Screen
- Diagnostic Information
- Clinical Formulation/Diagnostic Impressions
- Summary Recommendations and Disposition

Other goals of the screening and assessment process include the following:

- Discuss primary needs among students and their families who have been referred
- Identify available resources
- Make appropriate referrals
- Follow-up on all service referrals to ensure timely linkage
- Monitor treatment outcomes

The role of mobile crisis services. When available, mobile crisis services can be an important part of front-end diversion efforts in schools. Mobile crisis teams are one of the few mental health treatment resources that are specifically designed to provide rapid access to screening, assessment, and crisis intervention by bringing services out of the office and into the school and community. Ideally, mobile crisis services are available rapidly, preferably in 30 minutes or less after a request for services is made. Common services include crisis stabilization, screening and assessment, brief treatment, and referral and linkage to ongoing services and supports as needed. For students with mental health and substance abuse concerns, this can be part of an effective overall diversion approach. Therefore, participating schools are encouraged to explore close relationships with their local mobile crisis teams to help divert students from arrest, provide crisis stabilization, screen and assess for co-occurring disorders, and link to appropriate interventions.

Review/Revise School Disciplinary Policies and Practices

Graduated response model. Implementing a school-based arrest diversion approach often requires critical examination of existing school disciplinary policies and practices. Many school discipline policies lack specific recommendations corresponding to specific behaviors and may rely too heavily on exclusionary discipline options such as arrest, expulsion, and out-of-school suspension. Existing discipline policies often pay little attention to the role of mental health conditions and the importance of meeting underlying needs in order to reduce behavioral incidents and the risk for juvenile justice involvement.

The visual model and model description described in Section II was developed with the principles of graduated response in mind. A graduated response framework is a structured, progressive, level-based approach to discipline. The approach raises the threshold at which school personnel call police or SROs to intervene in school disciplinary matters. Levels of intervention are developed, beginning with assessment and service provision for any student suspected of having a co-occurring disorder and who may benefit from screening, assessment, and treatment services. Three additional levels of increasingly intensive discipline options follow: classroom-level responses; administrative responses; and law enforcement responses. The goals of a graduated response framework are to: 1) promote a structured and consistent approach for responding to behavior problems; 2) reduce reliance on exclusionary discipline practices including arrest, expulsion, and out-of-school suspension; and 3) promote fair and equitable consequences for problematic behavior and reduce disparities based on race, ethnicity, special education status, or other socio-demographic characteristics that too often are related to harsher disciplinary responses.

The progressive levels of response on which graduated response models are predicated are apparent in the model visual and description in Section II. Many student incidents may be prevented by fostering a positive school and classroom climate that recognizes and rewards positive behavior. Other student incidents are handled appropriately and effectively by teachers and school staff who are well-trained in classroom-level behavior management including such skills as limit setting, verbal warning, redirection, parent-teacher meeting, file review, behavioral contracts, and loss of classroom privileges.

Behaviors with a level of severity or chronicity that exceeds the resources or capacity of school staff are "bumped up" to the second level of administrative response. The School Case Conference Team is the primary entity that coordinates administrative responses, implementing diversion principles and restorative practices whenever possible. Possible options here include verbal or written warnings, after-school or weekend detention, community service, mediation, parent conference, and other options.

When the severity or chronicity of student incidents requires intervention beyond the options at the administrative level, responses are "bumped up" to the third level of law enforcement intervention. **Law enforcement involvement does not imply that an arrest should occur.** Law enforcement officials may work in close partnership with the School Case

Conference Team to add a new element of authority to proceedings, which may be an effective deterrent to students with significant behavior problems. SROs that have built positive relationships with at-risk students may have the influence and the authority to effect change in ways that differ from teachers, administrators, and parents.

Graduated response models can be implemented in a number of ways, but are highly relevant and consistent with arrest diversion efforts. The Workgroup and School Case Conference Team should work together to identify a comprehensive list of problematic behaviors at their school and classify these behaviors into the graduated response categories described above. The School Case Conference Team then uses these recommendations to guide their decision-making process when responding to specific student incidents. This process may be useful to schools as they catalog all available resources, interventions, services, and supports at their disposal for responding to student incidents. Below is an example of a graduated response model that can be adapted to meet the needs of a participating school.

	Level 1 Rules Violations/Disruptive & Offensive Behaviors	**Level 2** Chronic Disruptive & Serious Behaviors	**Level 3** Safety Concerns	**Level 4** Mandatory Referral to School Resource Officer
Types of Behavior	-Disruptive or disorderly behavior -Insubordination/Defiance -Inappropriate attire/Dress code violation -Inappropriate language/profanity -Physical contact/Horseplay -Electronics violation -Tardiness -Cutting teacher's detention -Forgery/Lying -Leaving classroom without permission -Pass violation, unauthorized area -Inappropriate displays of affection -Throwing objects -Other	**-Chronic Level 1 offenses (documented)** -Chronic disruptive behavior (documented) -Gross insubordination -Abusive language directed at Staff (witnessed*) -Chronic tardiness (documented) -Truancy♦ -Cutting office detention -Skipping class -Leaving school grounds -Harassment -Inciting fight (witnessed*) -School bus offenses (documented) -Other	**-Chronic Level 2 offenses (documented)** -Bullying (documented) -Serious fighting, assault and battery -Smoking -Theft/Stealing -Threat, intimidation -Any behavior resulting in injury to others -Sexual offense (consensual) -Vandalism -Other	-Alcohol, drugs -Weapon possession -Assault resulting in injury to others (documented) -Action resulting in lockdown or evacuation of classroom or building -Inciting riot (witnessed*) **-Multiple Level 3 offenses (documented)** -Sexual offense (non-consensual) -Other
Persons Involved in Intervention	**Classroom Intervention** -Teacher -Parent(s)/Guardian(s) -Team Leader (Grade-Level) -Special Education Teacher	**All previous persons involved plus:** -School Administrator -School Social Worker -SBDI Consultation -Support Agencies -SPO -School & Family Resource	**All previous persons involved plus:** -School Resource Officer -Student Assistance Team -EMPS referral	**Law Enforcement Intervention (All previously involved)**
Progressive Intervention Options & Disciplinary Actions	-Verbal warning -Redirection -Parent Contact♦ -Student/Teacher Conference♦ -Parent/Teacher Conference, and other parties (Social Worker, Psychologist, etc.) ♦ **-Consult team members and Support Staff** (Social Worker, Psychologist, et cetera) **-Alternate setting** -File Review♦ **-Mediation** -Behavioral contracts♦ -Behavioral Intervention Plans♦ -Data collection on interventions and their effectiveness♦ -Loss of classroom privileges♦ -Restricted activity♦ -Lunch detention♦ -Teacher detention♦	**All previous level interventions or discipline plus:** -Written warning, letter sent home -Referrals to student support personnel -In-school counseling -Parent/Team conference, and other parties (Social Worker, Psychologist, et cetera) -Mentoring programming -School or community service -Referral to School Attendance Review♦ -Office detention -Loss of school privileges, restrict activity -Behavioral intervention or reflection "time-out"	**All previous level interventions or discipline plus:** -Parent/Administration conference and other parties (Social Worker, Psychologist, et cetera) -Referral to SAT -Referral to substance intervention program -Referral to restitution or community service program -Law enforcement referral to diversionary program -Law enforcement mentoring -Law enforcement ticket or fine **-Outside school suspension** -Possible referral for consideration of expulsion -Possible arrest	**All previous level interventions or discipline plus:** **-Arrest** -Referral for consideration for expulsion

♦Non-certified staff (Not all interventions are appropriate and must therefore have prior administrative approval or instruction)
*Staff must witness documented behaviors

Restorative practices. The Illinois Criminal Justice Information Authority publishes an excellent report for helping schools implement restorative practices.[xx] In that report, the

authors draw several distinctions between punitive and restorative discipline philosophies. A restorative philosophy defines misbehavior as harm done by one party to another and conceptualizes the disciplinary process as one that involves problem-solving and meeting the needs of the offender and the offended. The methods used in restorative justice include a strong emphasis on negotiation, dialogue, restitution, and reconciliation. Restorative practices repair harm and restore relationships, as opposed to simply understanding and enforcing rules. Accountability is defined as understanding one's actions and the harm that was done, taking responsibility, and generating solutions to repair that harm.

Specific restorative practices used in school programs include peacemaking circles, adult-led and peer-led mediation, conferencing, and peer juries. Research demonstrates that the use of restorative practices in schools can result in fewer expulsions, suspensions, and behavioral referrals, and better attendance.[xxi] The Illinois Criminal Justice Information Authority offers several recommendations for implementing restorative programs in schools:

- Gradually install restorative practices as replacements to punitive approaches
- Offer professional development opportunities to teachers and school staff in restorative philosophy and skills
- Contract with highly skilled facilitators to guide implementation
- Use restorative practices for inappropriate behavior and high level conflict
- Support restorative practices with school and statewide policy changes

Participating schools are encouraged to use restorative justice strategies as an important aspect of revising their school disciplinary practices to support diversion.

Implement a Professional Development Curriculum

The awareness, knowledge, and skills of school personnel should be well-aligned with diversion principles in order to support arrest diversion initiatives. To that end, school personnel will benefit from professional development activities. Participants may include any or all of the stakeholders described in this manual: school administrators; school resource officers and/or local law enforcement; school social workers and/or psychologists; teachers; parents; students; family advocates; juvenile probation officers; community-based mental health providers; county attorneys; and others, as deemed appropriate. Section IV provides an overview of a number of diversion-related topics, including the following:

- Understanding and Increasing Empathy for Families with Mental Health Needs
- Effective Collaboration with School-Based and School-Linked Mental Health and Substance Abuse Providers
- Understanding and Partnering with the SROs, Local Law Enforcement, and the Juvenile Justice System
- Strategies for Classroom Behavior Management
- Overview of the Behavioral Health System
- Introduction to The Graduated Response Model

- Normal Adolescent Development & Recognizing Mental Health Symptoms in Youth
- Promoting Positive School Climate and School Connectedness

Plan for Sustainability and Provide Follow-up

Before the end of the school year, project coordinators should work with all relevant stakeholders on sustainability planning. The results of the evaluation (see Section V) provide important information for shaping the discussion of sustainability and follow-up. Data should be reviewed relating to key goals of the initiative, particularly the impact on total number of school-based arrests. Knowledge as to whether the initiative "worked" will help stakeholders decide whether and how the initiative will be continued after active implementation is completed. It is helpful to organize the sustainability planning process around the key "ingredients" of the initiative and how they will maintained or expanded. Those ingredients include the following:

- Implementing the Diversion Decision-Making Model and the Team Structure
- Professional Development Activities
- Revisions to Disciplinary Policies and Practices (e.g., graduated response model, restorative justice practices)
- Enhancing Access to In-School and Community-Based Providers of Mental Health and Substance Abuse Screening, Assessment, and Treatment Services
- The Role and Effectiveness of Data Collection and Evaluation

Section IV: Professional Development

To support diversion practices in schools, there often is a need to train school personnel. Awareness, knowledge, and skills related to arrest diversion and the components of the diversion initiative can help sustain efforts during the implementation year and beyond. The number and type of trainings offered depends on available training time and interest, factors that can be uncovered during the needs assessment. The project coordinator and Workgroup Team should use needs assessment results to identify which trainings are needed. It is recommended that certain training modules are identified as core to implementation in any participating school; however, the training component can be tailored to each school by reserving certain training times for "elective" topics based on identified areas of interest (as long as the topic is clearly related to diverting students from arrest).

An important consideration is determining the appropriate audience for each professional developments topic. This is particularly relevant when there is limited professional development time available. For example, in many schools, classroom teachers are not the "gatekeepers" for referring to community-based mental health and substance abuse assessment and treatment services; thus, this module may only involve a small group of individuals that actually make service referrals. On the other hand teachers often want, and benefit from, training on effective classroom behavior management skills. Below is a table that provides guidance on topics that may be appropriate for all school staff and those that may be better suited for smaller groups of school personnel.

Audience	Primary Goals of Training	Possible Modules
All School Staff: Teachers, Social Workers, Psychologists, Administrators	-Increase understanding, awareness, skills, values, and principles of diversion -Recognize mental health symptoms -Increase empathy -Reduce stigma	-Recognizing Mental Health Symptoms -Effective Classroom Behavior Management -Adolescent Development and Trauma -Promoting Positive School Climate -Multicultural Competence in Schools
School Case Conference and Workgroup Teams	-Reduce school arrests, expulsions, and out-of-school suspensions -Improve collaboration and communication with diversion collaborators -Increase appropriate referral and utilization of mental health and substance abuse services -Improve diversion decision-making -Promote policy and practice changes that support diversion	-Effective Collaboration with Police -Effective Collaboration with Community-Based Providers of Mental Health and Substance Abuse Services -Developing and Implementing a Graduated Response Model -Developing and Implementing Restorative Practices in Schools

Participating schools are encouraged to identify training dates, times, and locations as far in advance as possible. Most schools have a set number of Professional Development (PD) days and topics often are booked for those days well in advance. Schools may wish to use after-

school hours for diversion training; however, there often are significant barriers to engaging school staff in training during after-school hours. This approach generally is not recommended.

<u>Other Training Tips</u>

- Ensure that key personnel consistently attend training opportunities, including those who often make disciplinary decisions (e.g., administrators, school resource officers)
- To encourage training attendance, identify incentives in collaboration with school administrators. Examples may include food and beverages, Continuing Education Units (CEUs), cash stipends, small gifts (e.g., canvas bags, water bottles), classroom supplies, and special in-school privileges (e.g., premium parking spaces). Raffling away gift cards to local stores at each training can also be effective.
- Trainers should be encouraged to use adult learning principles. Purely didactic presentations generally are not well-received. Adult learning principles include the following strategies: emphasize skill development; provide opportunities for practice (e.g., role plays); and provide opportunities for discussion, interaction, and application to participants' actual work.
- When possible, incorporate a "learning community" approach in order to reinforce learning and offer opportunities for reflection post-training.
- Include a diverse group of attendees when possible to generate discussion and reflection. Include parents and students whenever appropriate and address common barriers to parent participation whenever possible (e.g., transportation, child care).
- Ensure training content is tailored to the age group of students in the participating school, and that material is of sufficient rigor to develop new skills among participants.
- Draw trainers from the local community so that schools can engage these individuals after the formal diversion initiative is completed. Use school staff to train their peers when appropriate. Engage local mental health and substance abuse providers as trainers to promote positive working relationships.

<u>Training Modules</u>

Below are a number of possible training modules for a diversion initiative; however, the final training curriculum should be driven by each school's unique needs and interests.

Topic: Understanding and Increasing Empathy for Students with Mental Health Needs

<u>Description</u>: This training module helps participants identify potential warning signs of early-onset mental illnesses in children and adolescents. The goal is to advance mutual understanding and communication between families and school professionals and help school professionals to re-conceptualize problematic behaviors as possible mental health symptoms. Participants will learn to adopt a supportive rather than a punitive mindset that is focused on addressing the unmet needs that often underlie problematic behavior.

Learning Objectives:

1. Recognize signs of early-onset mental illness in children and adolescents as seen at home and at school and the benefits of early intervention and treatment
2. Understand the role of the educator as a trained classroom observer who aids in, but does not make, diagnoses
3. Understand family reactions to mental illnesses and guidelines for helping families, while building a capacity for empathy and understanding.

Presenter: The presenter(s) should be experienced in mental health symptoms and engaging students, parents, and school professionals. A panel that includes a family advocacy professional, one or more parents or students with mental health needs, and an educator can be an effective model for this training.

Audience: All school staff and other diversion stakeholders

Topic: Normal Adolescent Development and Recognizing Mental Health and Substance Abuse Symptoms

Description: This training provides school personnel with critical information for recognizing mental health and substance abuse symptoms among their students. Emphasis is placed on distinguishing typical adolescent behavior from behaviors that may require referral for additional assessment and intervention, while recognizing that most school personnel are not qualified or interested in assigning a clinical diagnosis.

Learning Objectives:

1. Possible causes of mental health and substance abuse problems among youth
2. Principles and domains of adolescent development
3. Recognizing signs of possible mental health and substance abuse difficulties in youth and when to refer for further screening and assessment.

Presenter: Expert in clinical or developmental psychology, preferably as they are manifested in the school environment

Audience: All school personnel

Topic: Overview of Local Mental Health and Substance Abuse Services

Description: This training provides an overview of the local network of mental health and substance abuse services for screening, assessment, and treatment. The purpose of this training is to increase knowledge of local resources and the process for making referrals. Particular emphasis is provided to the role of school personnel in improving youth and family access to these services.

Learning Objectives:

1. Understand the range of mental health and substance abuse services and supports available to youth and their families
2. Understand the issues that affect students with co-occurring needs and their families including levels of care, availability of services, and major initiatives in their community
3. Understand the processes for identifying, referring, and communicating about youth that require screening, assessment, and treatment services.

Presenter: A mental health and substance abuse professional who is knowledgeable about local resources and the range of services and supports available to students and their families.

Audience: School case Conference and Workgroup Team members

Topic: The Values, Principles, and Practices of Juvenile Arrest Diversion

Description: This training provides an overview of the diversion initiative described in this manual. The purpose is to prepare school personnel for the initiative and its underlying values and principles. The training shares data and examples in such areas as exclusionary discipline, zero tolerance, the short- and long-term effects of juvenile justice involvement on youth, and disproportionate minority contact in juvenile justice and other systems.

Learning Objectives:

1. Gain knowledge of research and practical examples related to exclusionary discipline, zero tolerance, juvenile justice involvement, and disproportionate minority contact.
2. Understand the implementation plan for the diversion initiative
3. Understand partners and funders supporting the diversion initiative.

Presenter: The Project Coordinator and/or other diversion stakeholders knowledgeable about diversion and how the plan will be implemented in the school.

Audience: All school personnel

Topic: Introduction to Graduated Response

Description: A graduated response model is a structured, progressive model for school discipline. It is a promising approach to reducing in-school arrests, expulsions, and out-of-school suspensions and evidence indicates that the use of graduated response may reduce racial and ethnic disparities in school discipline. The basic elements of a graduated response model are presented to stimulate discussion on how the model may be used to support diversion efforts.

Learning Objectives:

1. Describe the harmful effects of exclusionary discipline, zero tolerance, disproportionate minority contact and similar discipline practices

2. Describe the graduated response model for school discipline
3. Discuss how graduated response may enhance existing school discipline approaches.

Presenter: Project Coordinator or a representative(s) from the diversion initiative

Audience: School Case Conference and Workgroup Teams

Topic: Partnering with Law Enforcement and the Juvenile Justice System

Description: The goal of this training is to help school personnel become more familiar with the juvenile justice system, charges, key terms, available services, and the role of school staff in juvenile justice diversion and collaboration. The training also provides an overview of the personal and societal implications of early involvement in the juvenile justice system.

Learning Objectives:

1. Understand common charges that lead to juvenile arrest and how cases are processed
2. Gain knowledge of local trends in arrests and other JJ involvements
3. Understand the short- and long-term effects of juvenile justice involvement
4. Understand the role of schools in diversion and collaborating with the JJ system.

Presenter: A representative(s) from the state or local law enforcement or juvenile justice community (e.g., SRO, County Attorney)

Audience: School Case Conference and Workgroup Teams

Topic: Classroom Behavior Management

Description: This training module focuses on equipping school personnel with practical skills for effectively managing classroom behaviors and using various methods to de-escalate and prevent behavioral incidents. Information and skills are presented in a manner that coordinates with the graduated response model and reviews the least and most restrictive forms of behavior management. Emphasis is placed on acquiring and practicing new skills including: environmental modification; reinforcement; extinction; redirection; token economies; group contingencies; positive attention; and others.

Learning Objectives:

1. Increase knowledge of effective classroom behavior management strategies, from least to most restrictive
2. Increase knowledge of verbal and non-verbal methods to prevent and de-escalate incidents
3. Contextualize skills with the overall diversion initiative including the use of graduated response model for school discipline.

Presenter: Expert in behavior management, preferably as applied to school environments

Audience: All school personnel (especially classroom teachers)

Section V: Data Collection and Evaluation

The diversion initiative described in this manual has multiple, related components that necessitate various data collection and evaluation methods. The population targeted for change through participation in the diversion initiative includes students as well as school professionals. These groups have a different set of expected outcomes. Furthermore, outcomes are expected to occur at the levels of the individual (students and school personnel), program, school, and community. Project coordinators and other diversion stakeholders must determine the available resources for data collection and evaluation and may have to make decisions about the aspects of the evaluation that are most critical to demonstrating impact to funders and other stakeholders. It is strongly recommended that a sufficient budget be devoted to contracting with an external evaluator with experience in school- and community-based research and evaluation.

What follows are several suggestions for the data to collect and the evaluation activities that may be undertaken. It is important to note that diversion initiatives can be successfully evaluated in a number of ways, and that evaluation efforts are always driven by the goals and the specific activities that are undertaken, which may vary from school to school.

In this section, we begin by reviewing various kinds of data indicators evaluators may want to collect in order to assess the impact of the initiative. Indicators are categorized into three areas:

1. incident-level indicators
2. school-level indicators
3. school professional indicators. Having these data will allow for a number of designs and methods to be used to evaluate the effectiveness of the initiative.

Following the review of indicators, this section reviews various types of data collection and evaluation activities that may be undertaken. The possibilities are vast, and ultimately the evaluation decision should be made by the stakeholders in the initiative, with guidance from the external evaluator. For the purposes of this manual, data collection and evaluation activities are categorized into three areas:

1. performance measurement
2. fidelity monitoring
3. evaluation.

<u>Data Indicators</u>

In order to conduct performance measurement, fidelity monitoring, and evaluation, there are certain data elements that must be collected. Those indicators will help inform an appropriate evaluation plan that is tailored to the needs and circumstances of each participating school.

Incident Level Indicators

The decision-making model in Section II implies that data collection at the incident level is required to ensure that this aspect of the initiative is leading to the desired outcomes. For each student incident that is considered using this model, the following data indicators will help determine whether and how the model is working as intended.

- *Type of incident*: When possible, standardize this indicator by pre-determining incidents that can be endorsed using check boxes (or a similar approach) that correspond to the most common incident types.
- *Student demographic characteristics*: At minimum, document the name, age, grade, gender, race, ethnicity, and special education status of the student.
- *Incident characteristics*: Name of school personnel making the referral, location of incident, time of incident, brief description of incident, names of all staff and students involved in the incident.
- *Response to Incident*: As depicted in the model, there are three initial responses to each incident that should be documented: inform parent only; refer to School Case Conference Team; and refer to SRO or law enforcement.
  - *School Case Conference Responses*: Options in the model include: notify parent; screen/assess for co-occurring disorders; screen/assess for trauma exposure and symptoms; implement restorative practices; refer to Student Behavior Support Team; and other (for "other," indicate the disposition decision that was made)
    - For disposition decisions of *screening and assessment*, indicate the reason for the referral, the provider, whether the student (and family) engaged in the referred services, scores on the GAIN-SS and other measures, and other information about the outcome of this disposition.
    - For disposition decisions of *restorative practices*, indicate which practices were recommended, whether these practices were completed, and other information about the outcome of this disposition.
  - *SRO/Law Enforcement Responses*: Options include "divert" (back to School Case Conference Team) or "refer to County Attorney."
    - *County Attorney Referral*: Disposition options include: decline, divert, or charge.
      - For dispositions of "decline" indicate reason(s) for decline.
      - For dispositions of "divert" indicate diversion provider.
      - For disposition of "charge" indicate all charges that were filed.

School-Level Indicators

Incident level data is important, but can be labor intensive with respect to data collection, analysis, and reporting activities. Broad school-level indicators can be a more efficient way to assess the overall impact of a diversion initiative and may be of special interest to funders, legislators, and other stakeholders. Examples of school-level indicators that map onto important diversion outcomes include, but are not limited to, the following:

- Total number of school-based arrests
- Total number of expulsions and suspensions
- Number of community-based mental health referrals, to which providers, and for what reason(s) (e.g., substance abuse, mental health, trauma exposure)
- Total number of behavioral incidents
- Overall student attendance (indicator of school inclusion)
- School connectedness among students (indicator of school climate)
- Perceptions of the quality of the school's relationships to key community collaborators including mental health and substance abuse providers, law enforcement, and juvenile justice partners.

In addition, school- and community-level data can help determine the level of need that exists and can contextualize the results of the diversion initiative. Indicators in this area may include the following:

- Total school enrollment
- Demographic characteristics of student population; especially race, ethnicity, and special education status; are important for determining whether disparities exist among those students who are arrested compared to the overall characteristics of the school population.
- Percentage of students receiving free/reduced lunch
- Percentage of students currently involved with the juvenile justice and/or the mental health service systems
- Number of emergency crisis calls for behavioral health (past year)
- Relevant characteristics of teachers and other school professionals
- Percentage of students proficient in reading and math
- Community-level crime and poverty statistics.

School Personnel Indicators

The needs assessment survey (described in Section III with a sample version in Appendix A) is intended to assess knowledge, attitudes, and skills of school personnel. Administering this of measure during the Pre-Implementation phase can provide a baseline measurement. Re-administration at the end of the initiative can help determine whether professional development activities targeted at school personnel had the intended effect on domains of interest. Those domains should correspond closely to the topics addressed in the professional development curriculum (Section IV) and may include the following:

- Empathy and stigma associated with students that have needs related to mental health, substance abuse, and trauma exposure
- Attitudes toward behavioral incidents and the appropriateness of diversion values, principles, and activities
- Knowledge and attitudes toward graduated response and restorative practices
- Knowledge of normal adolescent development and recognizing mental health symptoms

- Knowledge of effective classroom behavior management skills
- Satisfaction with diversion initiative (post-initiative only).

After each training session, school personnel in attendance should complete evaluations to determine whether key learning objectives were achieved, which will help project coordinators determine whether modifications need to be made to the training content or approach to ensure key objectives are achieved. A sample training evaluation is provided in Appendix D.

Performance Measurement

Performance measurement uses data for program monitoring. Activities include:

- Identify a subset of 6-8 key indicators that capture important programmatic outcomes
- Regularly analyze and report these indicators to stakeholders
- Use the findings to modify and improve program implementation "mid-stream" in order to keep the initiative on track to achieving ultimate outcomes.

To implement performance measurement in this diversion initiative, it is recommended that project stakeholders work together to identify key indicators that represent important outcomes and can be collected and analyzed regularly. A "data dashboard" is an emerging strategy for project management and performance measurement. The dashboard is a brief summary of findings that is highly visual and intuitive and can be regularly updated and shared with key stakeholders in a way that generates feedback and quality improvement ideas. The dashboard is intended to be brief, perhaps up to eight indicators. For example, a dashboard for the diversion initiative may include the following indicators:

- Number and type of student incidents
- Total number of school arrests
- Race, ethnicity, and special education status of students involved in incidents and arrests (for the purpose of monitoring disparities)
- Total number of students referred to screening, assessment, and treatment services
- Number and types of school personnel and community members in attendance at trainings, Workgroup Teams, and School Case Conference Team.

Once performance measure indicators are identified, the Workgroup Team may be able to target implementation factors they believe are related to these outcomes in order to continually monitor and improve the initiative.

Fidelity Monitoring

The primary purpose of fidelity monitoring is to ensure that the model is being implemented as intended and that key deliverables are achieved. Fidelity monitoring can occur throughout the initiative so that findings can inform and shape modifications during implementation. In addition, these data can be obtained at the end of the initiative to inform future implementation efforts. Results of fidelity analysis may provide important contextual

information to help stakeholders understand potential reasons that outcomes were (or were not) achieved.

Fidelity monitoring often relies on qualitative data. Key informant interviews and focus groups are common and effective methods of data collection. Project coordinators may wish to develop a list of key deliverables with timeframes and/or deadlines in the following areas:

- Participating school(s) selected
- Needs assessment completed
- Data collection, performance measurement, fidelity monitoring, and evaluation activities implemented
- School Case Conference and Workgroup Team members identified
- Diversion decision-making model implemented
- Trainings completed
- MOUs with police and community-based agencies developed and signed
- School disciplinary policies reviewed
  - Graduated response model incorporated
  - Restorative practices identified and implemented
- Sustainability planning completed.

Other qualitative indicators for fidelity monitoring come in the form of discussion statements or questions for key informant interviews and/or focus groups, which can occur during and/or after implementation.

- What were the barriers and facilitators to program implementation we encountered? Did key stakeholder groups and individuals "buy in" to the diversion initiative?
- Did the Workgroup and School Case Conference Teams work well? Was there sufficient guidance for decision-making? Does the model visual require revisions? Was the model implemented as designed? If adaptations were made, what were they? Were those adaptations successful?
- Did parents have meaningful involvement from planning through implementation and evaluation? Did students have meaningful involvement?
- Were there any "governance" issues? Who had the "power" to make disciplinary and diversion decisions? Did that power structure change as a result of the initiative? If issues were encountered, how were they resolved?
- Were the trainings effective? Were there too many or too few trainings? Were all relevant stakeholder groups represented? What improvements to the training curriculum are needed?
- Were school disciplinary policies revised to incorporate graduated response model elements? Are supportive interventions included in school policies? Are restorative practices included? Do disciplinary policies reflect supports such as mental health and substance abuse screening, assessment, and treatment options?

- Were the mental health and substance abuse services effective? Is there sufficient access to these services? Was there efficient collaboration and communication with these providers?
- Did the evaluation yield the information desired? Were successes and challenges easily identified? Were implementation and outcomes data readily available throughout the year to shape the initiative?
- Were all deliverables achieved? Why/why not?
- What are some helpful tips for continuing and sustaining this initiative?

Evaluation

Formal evaluations are often the most cost- and labor- intensive ways to evaluate school-based initiatives; however, given sufficient resources, rigorous evaluation designs can provide convincing data of effectiveness. Challenges are well-known when it comes to conducting evaluation and research in community-based settings.[xxii] Randomization of students to one or more conditions may be challenging or impossible. The diversion initiative described in this manual is intended to be available school-wide to all students, and restricting access to arrest diversion for randomly selected students is an unethical proposition. Students in other schools without a diversion initiative may appear to present a promising comparison sample, but there may be other initiatives in place in comparison schools and communities that affect the same outcomes of interest.   These and other methodological issues result in difficulty identifying any true "control" group or even an appropriate comparison group, rendering difficult the establishment of causal links between intervention and outcomes.   The design and methods of evaluation research will largely depend on the question under consideration; thus, a mixed methods approach that blends designs, methods, and data types (e.g., quantitative, qualitative) often is an appropriate approach to conducting school-based evaluation and research.

Possible Evaluation Research Approaches

Diversion initiative stakeholders are encouraged to contract with evaluators who have experience in school-based prevention and intervention programs. What follows are a few evaluation ideas and questions as well as design and analysis concepts for consideration.

- Examine court involvement over time between students who exhibit problematic in-school behavior resulting in arrest, versus students who exhibit problematic in-school behavior and are referred for screening, assessment, and treatment of mental health and substance abuse disorders. Follow these students forward in administrative datasets from the time of the index event (i.e., arrest, referral) for an appropriate amount of time (generally 12 months or more) to determine the rate and timing of subsequent behavioral incidents and/or court involvement. Event history analysis (e.g., survival analysis, Cox regression modeling) can be used to examine differences between groups on the rate and timing of subsequent incidents. This type of study usually requires linking data from disparate systems (mental health/substance abuse treatment and juvenile justice). There is a need to statistically control certain variables since groups may differ from one another on important characteristics such as age, gender,

race, ethnicity, special education status, and prior court referrals. Groups within schools can be compared, or a school/community with the diversion initiative can be compared to a school/community without the diversion initiative.

- Compare overall arrest rates in schools or communities with the diversion initiative to schools or communities without a diversion initiative. For example, assume John F. Kennedy High received the diversion initiative in the 2010-2011 school year and a demographically similar school, James K. Polk High School, did not. One could examine school arrest rates for the 2009-2010, 2010-2011, and 2011-2012 school years and compare the magnitude of changes over time. The same approach can be taken for other school-level indicators such as community-based referrals to screening, assessment, and treatment; behavioral incidents; expulsions; suspensions; attendance rates; and other factors (see above, "school-level indicators").
- Using a single sample design of students in diversion school(s) only, evaluators can examine the characteristics that distinguish whether students receive a particular response or disposition option (see above, "Incident Level Indicators"). Of particular interest may be issues of racial, ethnic, or special education disparities. In a multivariate model, evaluators can examine a variety of socio-demographic and incident-level characteristics as predictor variables and a particular response or disposition outcome as the dependent variable. This can help uncover whether students of color and/or students with special education needs have higher risk of undesirable outcomes (e.g., arrest) while statistically controlling for other factors in the model.

Evaluating Disproportionate Minority Contact

The list of school-level indicators above includes the demographic characteristics of students who are processed through the decision-making model, including those who are arrested. Research indicates that boys, African-Americans, Hispanics, and students with disabilities (particularly mental health conditions) may experience harsher discipline when compared to their peers, even when the behaviors and contextual factors are the same.   For example, one study of a large public school district found that African-American students, although they made up only one-third of the student population, accounted for 63% of all arrests.   Students with disabilities were also found to be more highly represented among arrestees compared to their overall representation in the student body population. Schools implementing this diversion initiative are strongly encouraged to monitor these trends in the implementation of their initiative. These efforts can be led by the evaluation team, with results routinely shared with stakeholders during implementation. Below are tips for evaluating for the presence of disproportionate minority contact in school discipline practices.

1. Obtain data on the racial, ethnic, and special education status of the student body of each participating school.
2. Examine arrest rates (and other key disciplinary dispositions such as expulsion and out-of-school suspension), disaggregated by race, ethnicity, and special education status.
3. Compare student body population to arrest characteristics according to each of these three characteristics and examine for clear evidence of disproportionality.

Evaluators may also take this evaluation activity to the next level in order to disentangle the influence of multiple factors on the likelihood of arrest, to determine whether race, ethnicity, and/or disability status is significantly related to arrest or other disciplinary outcomes of interest (e.g., expulsion, out-of-school suspension). Multivariate logistic regression is a statistical procedure that is used to examine the influence of multiple variables on a dichotomous (yes/no) outcome variable. In this instance, predictor variables may include, but are not limited to the following:

- Racial background
- Ethnic background
- Special education status
- Age
- Gender
- Social economic status
- Seriousness of behavioral incident
- Number of prior arrests (or behavioral incidents)
- Other characteristics

The dependent variable in this analysis would be whether the student experienced an arrest (0=no, 1=yes). This multivariate analysis would allow evaluators to examine whether certain factors have a statistically significant relationship to the likelihood of being arrested, when the influence of all other variables in the model are statistically controlled. If race, ethnicity, or special education status emerges as a statistically significant predictor variable in the model, this would constitute evidence of disproportionality connected to that factor(s), above the influence of other factors in the model. This may result in program coordinators working with these schools to develop a plan that addresses the issue, through such activities as training, consultation, technical assistance, or monitoring.

Tips on Data Collection and Evaluation Methods and Procedures

Specific data collection and evaluation methods and procedures will depend largely on the activities of the diversion initiative, the resources available for data collection and evaluation, and other factors. However, evaluators may want to consider the following tips and strategies when planning the evaluation.

- Comparison data is important. At minimum, evaluators should seek to obtain data on key indicators from participating schools from the year prior to implementation. Ideally, evaluators will obtain data on key indicators from similar schools that are not participating in the initiative. To incentivize these comparison schools, evaluators may consider identifying potential future participants as comparison sites, given that these schools will later receive the initiative.
- Adhere to all data confidentiality practices whenever possible including de-identifying datasets (names, addresses, social security numbers, etc.)

- In order to avoid duplication, try to integrate data collection and reporting efforts with existing data collection systems and requirements and leverage existing resources to support evaluation efforts whenever possible.
- Work closely with funders, schools, and communities in order to tailor an evaluation plan that meets their specific needs.
- If school personnel will enter data, ensure they have a "data dictionary" that outlines each variable and provides operational definitions. The evaluator should frequently consult with school staff to ensure accurate data collection.

Reporting

Selected indicators should be summarized, at minimum, in a final report at the end of the initiative. However, it is preferable to review data more regularly in order to make decisions about how to modify the program while in progress and ensure the initiative remains on target to meet its goals. For example, dashboard reports can be viewed on a monthly basis to guide implementation efforts.

Electronic documentation can be developed to support data collection and evaluation effort, depending on available resources. Staff members at Intermediate District 287 in Hennepin County Minnesota have an innovative data collection system that should be considered for widespread dissemination to support school discipline and arrest diversion efforts. School personnel maintain information about all behavioral incidents that occur in their school by carrying tablets and entering data into a customized, web-based spreadsheet. This system allows data to be analyzed for such characteristics as the frequency and location of incidents, students with the highest number of incidents, and the actions taken by staff members. Not every school will have this level of technology but every effort should be made to support good data collection, as this can often be the difference in whether programs and initiatives are discontinued, continued, or expanded.

Appendix A
Needs Assessment Survey

Note: The Minnesota school based diversion initiative coordinators work collaboratively with schools and communities to best address their needs and interests. The following needs assessment survey was created as a means of introducing the project and examining the interest and capacity for learning within the schools. Findings will be used to tailor the initiative to your school's needs.

The following brief survey is meant to assess how your school identifies youth with juvenile justice, behavioral health, and substance abuse needs and how your school connects them with services.

Your answers to this survey and to the needs assessment focus group will be combined with others' responses and reported only in aggregate. Your participation is strictly voluntary and you are free to discontinue participation at any time.

Your Title: _____

Please rate the degree to which you disagree or agree with the following statements:

	1 Strongly Disagree	2 Disagree	3 Neutral	4 Agree	5 Strongly Agree
I know which youth at our school have mental health and substance abuse needs					
I understand *when* it is appropriate to refer a child for mental health and substance abuse services					
I understand *where* it is appropriate to refer a child with mental health and substance abuse needs					
Children in this school who have mental health and substance abuse needs are likely to be referred to the juvenile justice system					
Juvenile justice/detention is the right setting for youth who have mental health and substance abuse needs					
Available services in this community are well-coordinated and well-integrated with our school					

Please continue to the next page

	1 Strongly Disagree	2 Disagree	3 Neutral	4 Agree	5 Strongly Agree
Our school has clear policies and guidelines about *mental health emergencies/crises*					
Our school has clear policies and guidelines about *routine mental health and substance abuse referrals*					
Children in this school who have mental health and substance abuse needs are receiving the right services					
I have a good understanding of the range of services and supports available in this community					
I feel prepared to competently address the role of race, ethnicity, and culture in the school environment					
I am comfortable making a referral for mental health or substance abuse services					
Mental health providers and my school communicate well with one another after a referral for services has been made					
This school collaborates well with law enforcement/SROs when it comes to kids with mental health and substance abuse needs					
I am interested in receiving further training in the following areas, as it relates to juvenile justice, mental health, substance abuse, and students in this school…					
…recognizing mental health needs					
…recognizing substance abuse needs					
…the principles of the Wraparound approach to service delivery					
…a uniform crisis planning approach for my school					
…crisis de-escalation strategies for the classroom					
…effective collaborations with service providers					
…effective collaborations with law enforcement and/or SROs					
…the impact of race, ethnicity, and culture on the school environment					
…engaging parents of youth with mental health needs in educational and other interventions					

Appendix B
Needs Assessment Focus Group Protocol

1.   What are the most common behavioral incidents that occur in this school?

2.   What is the current process or policy for managing a behavioral problem or crisis? What about a mental health or substance abuse need?

3.   How do you distinguish between behavioral problems that can be handled in the school versus behavior that warrants police involvement? Estimate the percentage of students with serious behavior problems that have a mental health or substance abuse need?

4.   How are children with mental health/substance abuse needs currently referred for services?

5.   Following referral, to what extent do in-school providers follow-up with the school? What about community-based providers?

6.   To what extent are police or law enforcement personnel involved in helping manage behavioral incidents? When is this intervention helpful? When is it not helpful?

7.   To what extent are mobile crisis providers involved when a child has a behavioral incident in school? Would more support from mobile crisis be helpful?

8.   In what ways are parents or caregivers involved when a behavioral incident occurs?

9.   What are the current gaps in knowledge or skill development that affect school personnel in managing behavioral incidents? How about mental health or substance abuse issues?

10. To what extent are you knowledgeable about the mental health and substance abuse services that are available to students in your school and community?

11. In what trainings would you like to participate in order to learn more about managing behavioral incidents in the school?

12. To what extent do you support this initiative which aims to reduce the number of students that experience school-based arrests?

Appendix C
Sample Memorandum of Understanding
Community-Based Mental Health and Substance Abuse Provider

This Memorandum of Understanding (MOU) outlines a general agreement between (***School/District***) and (***Community Provider***) for meeting the needs of children with behavioral health concerns, and remains in effect until one or both parties wish to modify or terminate the agreement. The purpose of this MOU is to specify roles and expectations pertaining to the diversion initiative ("initiative") at (***school***). The agreements reached in this MOU are intended to remain in effect only until the end of the initiative.

The primary goal of the initiative is to reduce the number of students with mental health needs that experience in-school arrest, expulsion, or referral to the juvenile justice system. A summary of the initiative deliverables includes:

- Ensure school participation (e.g., organize participation of school; prepare for participation; conduct needs assessment; facilitate MOU development)
- Integrate youth, family, and community participation (e.g., solicit and organize meaningful youth and family participation, engage County Attorney's office)
- Provide training to school staff (e.g., organize and schedule training; develop and ensure delivery of a training curriculum; provide training stipends to school personnel)
- Complete a Graduated Response Model
- Provide data collection, performance measurement, fidelity assessment, and formal evaluation of projects goals and outcomes (e.g., develop databases, analyze results, write reports).

(***School)*** has been selected as the demonstration site and (***Provider Agency***) will be the primary mental health and substance abuse provider agency in the community.

(***Provider***) agrees to:
- Work with the project coordinators, school personnel, and other community stakeholders to accomplish project deliverables.
- Be available to facilitate in-service trainings to educate school staff on mobile crisis assessment, screening and assessment, referral, and treatment practices and effective utilization of these services; maintain consistently positive working relationships with school staff.
- Work with the project coordinators to design and ensure data collection to assess the impact of the diversion initiative for students from (***school***). Specific data elements include:
- Number of referrals from (***school***) to (***provider***)
- Demographic characteristics of referred youth (e.g., age, gender, race/ethnicity, history of juvenile justice involvement, etc.)
- Number/proportion of (school) referrals screened and/or assessment for mental health and/or substance abuse concerns

- Number/proportion of (school) referrals accepted into a treatment program
- Description of services received (e.g., number of visits, location of visits, type of intervention(s) provided)
- Number and type of referrals and linkages to other programs or services (e.g., home-based services, outpatient services, inpatient, juvenile justice)
- Satisfaction with implementation of the initiative and its effects on student outcomes.

[*School*] agrees to:

- Work with the project coordinators and (*provider*) to accomplish project deliverables
- Ensure participation of school personnel in training activities
- Collaborate with (*provider*) to adopt and implement new practices in crisis assessment and referral; adhere to recommendations on the effective utilization of referred services; maintain consistent working relationships with (*provider*) staff.
- Work with the project coordinators to design and ensure data collection to assess the impact of a school-based mental health-juvenile justice diversion initiative.
  o Number and type of behavioral health crisis incidents in the school
  o Number/proportion of behavioral health crises resulting in calls/referrals to law enforcement or juvenile justice
  o Number/proportion of behavioral health crises resulting in calls/referrals to (*provider*) services
  o Satisfaction with implementation of the diversion initiative and its effects on student outcomes.

Appendix D
Sample Training Evaluation

Title of Training: _____Presenter:_____

1.   The content of the training was thorough, useful and appropriate to your level of training/experience:

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

2.   The readings, materials, visual aids and syllabus were clear, useful, helpful and relevant to the topic.

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

3.   The instructor's overall teaching ability was:

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

4.   Overall, I would rate this training as:

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

5.   This training provided information that I believe can improve the quality of services for children and families.

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

6.   This training was worthwhile.

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

7.   This training offered an opportunity for me to share my experiences.

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

8.   I was able to have my questions related to child/adolescent mental health answered.

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

9.   This training should have been shorter

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

10.   This training should have been longer

Unsatisfactory	Fair	Good	Excellent	Outstanding
1	2	3	4	5

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