



Allegheny County Department of Human Services

# Request for Proposals

## Case Management for Law Enforcement Assisted Diversion (LEAD)

**RFP Posting:**

Friday, December 17, 2021

**Deadline for Questions:**

3 p.m. Eastern Time on Friday, February 18, 2022

**Submission Deadline:**

3 p.m. Eastern Time on Friday, February 25, 2022

**Estimated Award Decision/Notification:**

May 2022

Allegheny County Department of Human Services  
One Smithfield Street Pittsburgh, PA 15222

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# Acronyms and Definitions

Unless the context indicates otherwise, the following capitalized words are defined as follows for purposes of this RFP:

1. Agreement: A contract negotiated between Allegheny County and the Successful Proposer to provide the Contract Services
2. Allegheny County: A home rule county and political subdivision of the Commonwealth of Pennsylvania
3. Allegheny County Health Department (ACHD): A department of Allegheny County government whose mission is to protect, promote and preserve the health and well-being of all Allegheny County residents, particularly the most vulnerable
4. Arrest Diversion/Referral: A diversion from arrest that occurs when a LEAD case manager arrives on the scene at the point of arrest and assesses an individual for participation in LEAD
5. Community Leadership Team (CLT): A group led by a community engagement coordinator that is composed of community members most impacted by street-level law enforcement, civil rights groups, neighborhood associations, justice-involved advocacy groups and religious communities; acts as a bridge between law enforcement and the communities they police; and aims to improve communication and provide opportunities for community input
6. Community Referral: A referral of an individual from an authorized member of the community to LEAD staff, who gather information to determine if the person is eligible for LEAD
7. Contract Services: The specific services that the Successful Proposer agrees to provide to the County in response to this RFP as more particularly described in the Scope of Services in the Agreement
8. Cohort: A small group of contiguous municipalities in Allegheny County that have decided to work together to pilot LEAD within its bounds
9. Congress of Neighboring Communities (CONNECT): A nonpartisan initiative that convenes neighboring municipalities in Allegheny County, including the City of Pittsburgh, that share borders, challenges and opportunities. CONNECT is housed in the University of Pittsburgh's Graduate School of Public and International Affairs and provides resources, research, relationships and opportunities to work collaboratively.
10. Crisis Response Stakeholder Group (CRSG): A group of Allegheny County community stakeholders convened in 2020 to focus on improving existing services and piloting new ones to address the overreliance on law enforcement and incarceration for people with human service and behavioral health needs
11. DHS: [Allegheny County] Department of Human Services
12. Harm Reduction: A set of principles and practices recognizing that not all people who use drugs are willing and/or able to stop their use, that not all drug use is chaotic or harmful, that people who use drugs deserve full recognition of their humanity without shame and stigma regardless of their relationship to drug use, and that people who use drugs should have full access to the same health and safety interventions as people who choose not to use drugs.

13. Law Enforcement Assisted Diversion (LEAD): A systems-change, community-based initiative that uses both collective governance and new approaches to direct service. Its goal is to reduce policies and practices that disproportionately criminalize low-income people and people of color who struggle with unmet behavioral health needs, problematic substance use and homelessness.
14. LEAD Support Bureau (LSB): A team of public health and justice system veterans within the Public Defender's Association that provides strategic guidance and technical support to local jurisdictions developing LEAD.
15. Local Policy Coordinating Group (LPCG): A group of elected officials, law enforcement chiefs, magisterial district judges and other identified stakeholders that convenes local Cohort-level decision makers to create policies and procedures for LEAD within their Cohort. The county-level Policy Coordinating Group (PCG) provides oversight and analysis.
16. Operational Work Group (OWG): A group of case managers and supervisors, line-level personnel such as police officers, probation/parole agents, prosecutors, public defenders, service providers, community leadership representatives and others, which is responsible for carrying out the day-to-day operations of LEAD.
17. Participant: An individual participating in the LEAD program who has frequent interactions with the criminal legal system and unmet behavioral health and human service needs.
18. Policy Coordinating Group (PCG): A county-level group composed of county and city government officials and staff, law enforcement, legal system stakeholders, community organizations, foundations and other decision makers, that defines the overarching policies for all Allegheny County LEAD sites. The PCG works to make systemic changes in support of LEAD and to ensure its sustainability.
19. Proposal: A completed Response Form, with specified attachments, submitted in response to this RFP.
20. Proposer: The non-profit organization, for-profit organization or business submitting a Proposal in response to this RFP.
21. Response Form: The Word document in which Proposers respond to requested information about this RFP.
22. RFP: Request for Proposals.
23. Self-Sufficiency Wage: The lowest hourly wage at which an adult in a given region can meet their basic needs without subsidies. The Self-Sufficiency Wage in Allegheny County is determined by the Pittsburgh region's workforce development organization, Partner4Work, and currently is \$15.48 per hour.
24. Social Contact Referral: A referral of an eligible individual from an authorized law enforcement officer or other criminal legal system stakeholder to LEAD outside the context of a potential arrest.
25. Successful Proposer: The Proposer(s) selected by the County to provide the Contract Services.

Other terms shall have the meaning or definition as stated in the RFP.

# The RFP at a Glance

## *Purpose*

The Department of Human Services (DHS), on behalf of Allegheny County, is seeking to identify a provider to pilot a Law Enforcement Assisted Diversion program (LEAD or the LEAD Program) in three small municipal Cohorts within the county. LEAD is a national model that aims to provide in-the-field, long-term, non-coercive, Harm Reduction-based case management services to individuals who regularly encounter the criminal legal system because of unmet behavioral health and human service needs. Research suggests that LEAD can reduce unnecessary criminal legal system involvement for participants, while improving their lives and access to services. The Successful Proposer will collaborate with DHS and its partners to implement a pilot LEAD Program by hiring and supporting four to six full-time LEAD case managers and one to two full-time LEAD case management supervisors and by participating as an active member of all LEAD governance structures.

## *Award Details*

DHS intends to enter into an Agreement with one Successful Proposer to provide the Contract Services for a term of one year with a County option to renew for at least one additional year. DHS expects the contract amount will not exceed \$800,000 in the first year.

## *Who can submit a Proposal*

Non-profit organizations, for-profit organizations and small businesses are eligible to submit a Proposal in response to this RFP. Proposers do not need to have an existing contract with Allegheny County to apply, but they must meet and abide by all of Allegheny County's contractual requirements (see Section 6: Contract Requirements for Successful Proposers) and have the programmatic, financial and staffing capabilities to provide the Contracted Services.

## *What's important to us*

DHS seeks a Successful Proposer that:

- Understands LEAD and the vital role played by case managers within LEAD.
- Can work collaboratively within the LEAD governance structure and with law enforcement, LEAD Participants, DHS, community groups and other stakeholders.
- Can be flexible in adjusting internal processes to meet the unique needs of LEAD and its Participants.
- Can hire and/or reassign case managers who believe in Harm Reduction and are able to work intensively with complex Participants over an extended period.
- Has demonstrated an ability to hire and retain quality staff with diverse identities or staff that reflect the communities they serve.
- Has demonstrated the ability to build trust with communities in which it works.

### ***What we don't want***

DHS is not interested in a partner that:

- Believes people with substance use challenges must practice abstinence.
- Does not want to work collaboratively with law enforcement.
- Believes in coercive and/or punitive approaches to service delivery.

### ***Timeline***

Information Session	Tuesday, January 25 at 2 p.m. Eastern
Deadline for Questions	Friday, February 18 at 3 p.m. Eastern
Deadline for Proposals	Friday, February 25 at 3 p.m. Eastern
Estimated Award Decision/Notification	May 2022

### ***Who we are***

On behalf of Allegheny County, DHS is the issuing department for this RFP. This RFP is the result of a partnership among the Congress of Neighboring Communities (CONNECT), which has provided project management and leadership, and the Allegheny County Health Department (ACHD), which has provided funding and expertise.

DHS is the largest department of Allegheny County government and provides publicly funded services to more than 200,000 people annually, in areas including child welfare, behavioral health, aging, developmental supports, homelessness, and community services.

More information about DHS is available at <http://www.alleghenycounty.us/human-services/index.aspx>

## **Section 1: Why We Are Issuing this RFP**

In many areas of the country, as well as locally in Allegheny County, community members, lawmakers and law enforcement leaders are looking for a different way to respond to people with unmet behavioral health and human service needs. Stakeholders at all levels of the criminal legal system in Allegheny County – from police to probation – have reported feeling overburdened by a high volume of low-level cases. They would like to be able to focus their limited resources on more serious offenses.<sup>1</sup> Many local law enforcement officers report that although they frequently encounter people with unmet behavioral health and human service needs, they do not have the appropriate training, resources or time to connect them to services.<sup>2</sup> Instead of arresting people for low-level crimes driven by human service or behavioral health needs, many police officers

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<sup>1</sup> [Research to Action: A guide for developing LEAD in Allegheny County](#). Written by CONNECT's JoEllen Marsh, MPA and the Allegheny County Health Department's Kat Sutherland, MPM. Funded by Staunton Farm Foundation, Heinz Endowments, Allegheny County Health Department, page 13.

<sup>2</sup> [Research to Action: A guide for developing LEAD in Allegheny County](#), page 13.

would prefer to call on trained experts who can work with individuals to address the root causes of their behaviors.<sup>3</sup>

One strategy to accomplish this is [LEAD](#), a community-based approach first developed in Seattle to address racial disparities in drug policing. LEAD is a system-change initiative that serves individuals who have frequent interactions with the criminal legal system and who have unmet behavioral health and human service needs (henceforth referred to as Participants). It aims to serve those individuals with the greatest needs, who are most frequently arrested and incarcerated. See Appendix A for detailed information about the target population.

LEAD offers an alternative to arrest for criminal law violations that stem from poverty, problematic substance use and mental health needs. Through LEAD, Participants can be diverted at the critical moment of arrest, or proactively referred by other criminal legal system stakeholders and community members, to comprehensive, community-based and long-term case management that is trauma-informed and focused on Harm Reduction. It connects Participants to the help that they want and avoids future, unnecessary criminal legal involvement.

Crucially, LEAD provides police officers an option to help the people they encounter, many of whom have likely been struggling for decades, avoid arrest or jail. Over the short-term, LEAD case managers begin to build relationships with Participants and work to remove barriers to accessing services and supports that can address Participants' immediate needs. Over the long-term, these sustained relationships and other aspects of the LEAD Program have been proven effective in decreasing re-arrest and incarceration rates significantly, especially when compared to the way current systems and structures have failed.<sup>4</sup> By addressing people's behavioral health and human service needs, instead of relying on a continuous cycle of arrests and incarcerations to deter and punish individuals, LEAD's comprehensive case management improves Participants' wellbeing and reduces unnecessary criminal legal system involvement.

LEAD differs from a classic social services program in that it aims to change systems. Its intended outcomes include:

- People with unmet behavioral health needs are consistently routed to care, not jail.
- Agencies adjust their culture, policies and practices to better meet the needs of the people they aim to serve.
- Local governments increase funding to support a robust behavioral health safety net.
- Racial disparities are decreased.

In this way, LEAD is a tool to 1) increase public safety, public health and equity and 2) allow stakeholders at all levels of the criminal legal system to spend their time on more serious crimes.

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<sup>3</sup> [Research to Action: A guide for developing LEAD in Allegheny County](#), page 13.

<sup>4</sup>Collins, Susan E., et al. "Seattle's Law Enforcement Assisted Diversion (LEAD): Program Effects on Recidivism Outcomes." *Evaluation and Program Planning*, vol. 64, 2017, pp. 49–56., doi:10.1016/j.evalprogplan.2017.05.008.

## **1.1 A Collaborative Approach to LEAD**

LEAD is a key element of DHS's effort to build a comprehensive crisis response system in the County (see Appendix B for details). With project management and leadership from CONNECT and with funding and leadership from both DHS and ACHD, LEAD in Allegheny County is a collaboration among many stakeholders.

Additionally, LEAD includes deep involvement from community members, community organizations and advocacy groups, who weigh in and help to shape the way LEAD operates. As a community-driven initiative with a defined organizational structure (see Appendix C), LEAD has the capacity and the promise to bring together community leaders, front-line workers and system-level professionals to change the way that Allegheny County responds to those who frequently come into contact with the criminal legal system.

After first implementing a pilot LEAD Program, DHS is committed to growing the initiative, with any identified adaptations, to encompass and serve the entire County and its residents. The City of Pittsburgh, which is also pursuing implementation of LEAD within City limits, has been coordinating closely with the County and CONNECT.

## **Section 2: What We Are Looking For**

Through this RFP, DHS is seeking a Successful Proposer to pilot LEAD in three municipal Cohorts within the county and to provide in-the-field, long-term, non-coercive, Harm Reduction-based case management services to Participants who are caught in the revolving door of the criminal legal system and who have unmet behavioral health and human service needs.

DHS envisions that the Successful Proposer will employ 4-6 case managers and 1-2 full-time case management supervisors to pilot LEAD in the three Cohorts. Proposers may propose other combinations and numbers of staff. The initial number of case managers and case management supervisors will be negotiated and finalized before an Agreement is signed, and likely will be onboarded on a staggered schedule.

If the pilot LEAD Program is determined to be successful, DHS anticipates expanding into additional municipalities on a regular basis. Such a future expansion will require more case managers, more case management supervisors, and additional positions to handle intake and engagement coordination.

DHS desires a Successful Proposer with experience providing case management services to high-need individuals and that has the trust of the communities that it serves. The Successful Proposer must cultivate and sustain strong working relationships with the community members, first responders (e.g., police) and LEAD stakeholders within the three pilot Cohorts.



## 2.1 Where and with Whom Case Managers Will Work

A key component of LEAD is comprehensive, Harm Reduction-based case management. LEAD case managers will work with Participants who have a multitude of challenges, including substance use, lack of stable housing, lack of health insurance and mental health needs. LEAD Participants may require intensive assistance in many areas of their lives for years.

The LEAD Support Bureau's (LSB) team of public health and justice system veterans from within the Public Defender's Association provides strategic guidance and technical support to local jurisdictions implementing LEAD. LSB writes in their [Core Principles for Successful LEAD Implementation](#), "Real change takes time and patience. LEAD participants...sometimes take months or even years to make major behavior changes. When they do, they almost unanimously say they found the strength to change in part because case managers and officers refused to give up on them, and didn't rely on shaming techniques."

### *Pilot Cohorts and Governance*

Over the last two years, CONNECT has convened leaders from Pittsburgh and neighboring municipalities to discuss how LEAD may be able to help certain individuals with unmet behavioral health and human service needs get support instead of cycling through jail, while also helping to address the region's current opioid crisis. At least 14 municipalities in Allegheny County have passed resolutions stating their intention to pursue LEAD.

The Successful Proposer must pilot LEAD with the three Cohorts below. The three Cohorts of contiguous communities have self-organized to pilot LEAD together and have spent the last year learning about LEAD's core principles and planning with local and national LEAD staff. The three Cohorts, which may be adjusted slightly before the pilot starts, include the following:

- North Cohort: Shaler, Etna and Millvale
- South Cohort: Jefferson Hills, Pleasant Hills, South Park Township, Elizabeth Township, Elizabeth Borough and West Elizabeth Borough
- East Cohort: Swissvale, Forest Hills, Wilkins, Braddock Hills and Churchill

Each municipality within the Cohorts passed resolutions to enact LEAD and created local policy-making groups composed of police chiefs, municipal leaders, elected officials and community members. The Successful Proposer must work alongside the Cohorts and within the larger LEAD governance structure to decide on policies, plan for the LEAD pilot's implementation and sustainability, analyze data and improve the criminal legal system. (See Appendix C for more information on the LEAD governance structure.)

### *Participants and Referral Processes*

Participant eligibility for LEAD will be determined by the Cohorts, with input from County leaders. In other places that have implemented LEAD, Participants have been eligible if they encounter police often for eligible offenses, including drug offenses, prostitution and other nonviolent offenses.

In a preliminary analysis of two years of criminal filings data across the three Cohorts, there were nearly 200 individuals with four or more criminal charges who may represent potential LEAD Participants. These individuals were disproportionately Black compared to the Cohort populations and their charges included drugs/narcotics violations, simple assault, trespassing, larceny and shoplifting offenses.

How Participants are referred to case managers will be determined by each Cohort in conjunction with the Successful Proposer. Referrals may come via any of the following pathways:

- Arrest Diversions/Referrals: At the point of contact with law enforcement, a police officer requests for a LEAD case manager to arrive on scene for a warm hand-off. The LEAD case manager then begins an intake, assesses immediate needs and makes a plan to follow up with the individual to begin to identify goals.
- Social Contact Referrals: A law enforcement officer or other criminal legal system stakeholder refers an eligible person to LEAD outside the context of a potential arrest. Social Contact Referrals allows LEAD stakeholders who already know the people in need of services in their communities who are caught up in the criminal legal system to make a proactive offer of case management to reduce the ongoing cycle of system involvement as it stands. Stakeholders authorized to make Social Contact Referrals generally include police officers, sheriff deputies, prosecutors, defense attorneys, judges, probation officers and parole officers.
- Community Referrals: An authorized member of the community refers an individual to LEAD staff, who gather information to determine if the person is eligible for LEAD. Community referrals allow open access to LEAD without having to rely on the police or criminal legal system stakeholders.

To be accepted into LEAD, individuals referred via Social Contact and Community Referrals must meet the same underlying criteria as people who come in through Arrest Referrals. If an individual is found to be eligible, the Successful Proposer's LEAD case management team must engage the individual to offer LEAD to them. If an individual is found to be ineligible or is not the right fit for LEAD, the Successful Proposer's LEAD case management team must reach out to that individual to offer them access to more appropriate services.

For Social Contact and Community Referrals, the Successful Proposer must aim to not "widen the net." In other words, the Successful Proposer must not accept a referral for LEAD when the referred individual would not have been arrested and could have avoided involvement the criminal legal system.

### **2.3 LEAD Case Management Core Principles, Services and Staff**

The Successful Proposer must employ and supervise 4-6 LEAD case managers who provide long-term, intensive and direct services to a caseload of Participants, which will be capped at 20-25 individuals.

LEAD case management differs dramatically from traditional, office-based case management services. Case management for LEAD is street-based, Participant-driven, long-term, adaptive, non-clinical and based in Harm Reduction. The LSB describes this kind of case management as “[guerilla case management](#).” LEAD case managers are not office-based; instead, they must be in the community, often talking with and traveling to some Participants daily and other Participants weekly, based on each Participant’s individual needs.

Although eventually Allegheny County’s LEAD Program may operate 24/7, this initial pilot will operate during set hours determined by the Cohort and the Successful Proposer, in consultation with DHS. These set hours may include evening or after-hours shifts. During their shifts, LEAD case managers must be on-call to take referrals from officers and must be able to dispatch quickly to referral locations within the Cohorts.

### ***Staffing***

The Successful Proposer must assign LEAD case managers among the three Cohorts. Proposers should propose a combination and number of staff and describe where they will be located and how they will be shared among the Cohorts. The Successful Proposer must involve Cohort stakeholders in the case management hiring process and describe what this involvement will look like in their Proposal.

LEAD case managers and case management supervisors can come from varying educational backgrounds (see below), but should receive the same pay for the same work. The Successful Proposer must offer wages at least as much as the Allegheny County Self-Sufficiency Wage (see Definitions section). If Proposers plan to pay any staff working on the Contract Services a wage below the Self-Sufficiency Wage, they must provide the rationale for this decision in their Proposal. DHS encourages the Successful Proposer to hire staff who have lived experience with the criminal legal system, homelessness, substance use, other behavioral health or human service needs, and/or who live in the communities they will be serving or communities with many of those challenges.

All of the Successful Proposer’s staff must have cultural competency, meaning case managers must promote, respect and utilize approaches that are tailored to serve diverse individuals and communities. Case managers must schedule and personalize meetings with Participants based on their needs, culture, circumstances, learning styles and abilities. All Participants should feel welcomed, well-served and supported regardless of race, ethnicity, sexual orientation, gender identity and expression, intellectual or physical ability, English language proficiency or life experiences.

During hiring, the Successful Proposer must prioritize candidates who align with the mission and values of LEAD. The Successful Proposer’s staff must identify with and enact the [core principles of LEAD case management](#) and must:

- a. Be committed to social and racial justice.
- b. Excel in identifying creative solutions to Participants’ needs.

- c. Have a passion for serving and demonstrate comfort with and the ability to build trusting relationships with individuals who have consistently come into contact with the criminal legal system and who have unmet behavioral health and human service needs.
- d. Have the ability to communicate effectively in high stress situations.
- e. Believe in and practice a Harm Reduction, non-coercive, Participant-driven philosophy.
- f. Use a trauma-informed care perspective.
- g. Have the ability to create collaborative partnerships with police officers, other criminal legal system partners, and community and government stakeholders.

### *Case Managers*

The Successful Proposer's LEAD case managers must provide Participant-tailored, long-term comprehensive case management services that are consistent with LEAD policies. A case manager will collaborate with each Participant to develop, accomplish and periodically update an individualized service plan that addresses the Participant's needs related to food, clothing, housing, health care, health insurance, substance use dependency, physical health, mental health and/or self-change. Updates must reflect the Participant's movement from their initial goals and needs, any new or emerging goals and needs, and their progress towards autonomy.

Case managers should have the following educational backgrounds to help ensure that LEAD case management services may be billable to Medical Assistance in the future:

- A Bachelor's degree from an accredited college with a major in sociology, social welfare, social work, psychology, gerontology, anthropology, other related social sciences, criminal justice, theology, nursing, chemical dependency, counseling or education, OR
- Be a registered nurse, OR
- An Associate degree from an accredited college with a major in sociology, social welfare, social work, psychology, gerontology, anthropology, other related social sciences, criminal justice, theology, nursing, chemical dependency, counseling or education; and one year of direct client experience in a health or human service agency, OR
- A high school diploma or GED, and 12 semester credit hours in sociology, social welfare, psychology, gerontology, anthropology, or other social sciences, criminal justice, theology, chemical dependence, nursing, counseling or education; and two years of experience in public or private human services with one year of direct client contact, OR
- A high school diploma or GED, and five years of experience in public or private human services with two years of direct client contact.

LEAD case managers' direct service, administrative and partnership-related work responsibilities must include:

- a. Completing initial screening and engagement with individuals referred by law enforcement, service providers, community members and others.
- b. Assessing Participants for immediate needs, as well as for housing status, substance use dependency, physical health, mental health, health insurance and other needs.
- c. While on duty, quickly travelling to a Participant's location in a vehicle that either the case manager or the Successful Proposer owns.

- d. Engaging Participants via outreach on the street, at their homes and at service provider facilities to establish a working relationship and offer services.
- e. Helping Participants reach the goals set out in their individualized service plan (e.g., helping them to complete forms and applications; scheduling appointments; accompanying them to appointments).
- f. Transporting Participants, including from police encounters, to the Successful Proposer's office and to appointments.
- g. Helping Participants gain access to funding programs (e.g., Veterans Assistance, Social Security)
- h. Helping Participants find and maintain housing.
- i. Assisting Participants in creating a spending plan and with shopping.
- j. Using ClientView (DHS's IT application for client-level data) to support Participants in staying connected to their current service providers.
- k. Advocating for Participants within the criminal legal system, at court appearances and via written communication, in a manner that advances the LEAD core principles.
- l. Identifying systemic barriers and potential solutions to addressing the needs of Participants and sharing these observations with stakeholders responsible for LEAD.
- m. Developing and maintaining Participant files according to LEAD, County and state requirements.
- n. Developing and maintaining relationships with relevant providers, law enforcement officers, DHS and ACHD staff, LEAD program staff and other community stakeholders who can support Participants.
- o. Regularly communicating with other case managers working on similar diversion initiatives in the County and elsewhere to share lessons learned and collaboratively develop best practices.
- p. Attending meetings for the Operational Work Group (OWG), the group in the LEAD governance structure that is responsible for carrying out the day-to-day operations of LEAD, of the Cohort(s) within which they are working.

Case managers must have a valid driver's license and safe driving record. LEAD case managers must complete training related to LEAD and Harm Reduction case management, which will be provided by the LSB and/or its partners.

### ***LEAD Case Management Supervisor***

The Successful Proposer must employ one to two case management supervisors. It is envisioned that LEAD case management supervisors will not carry a caseload. Their primary role is to support case managers, but they may be available to step in on a case, as needed, on a very temporary basis. The ratio of LEAD case management supervisors to LEAD case managers must be one case management supervisor to five or fewer case managers.

Case management supervisors should have the following educational backgrounds to help ensure that LEAD case management services may be billable to Medical Assistance in the future:

- A Master's degree or above from an accredited college with a major in sociology, social welfare, social work, psychology, gerontology, anthropology, other related social

sciences, criminal justice, theology, nursing, chemical dependency, counseling or education which includes a practicum in a health or human service agency OR

- A Bachelor's degree with a major in sociology, social welfare, social work, psychology, gerontology, anthropology, other related social sciences, criminal justice, theology, nursing, chemical dependency, counseling or education, and two years of direct care experience in public or private health or human services, OR
- Be a registered nurse with three years of direct care experience in public or private health or human services

The Successful Proposer's case management supervisors must be able to accomplish a variety of tasks, including:

- a. Developing and maintaining all Participant files from all case managers, according to LEAD, County and state requirements.
- b. Identifying gaps in and barriers to access to community resources and advocating for systemic changes.
- c. Removing situational roadblocks encountered by case managers.
- d. Developing and maintaining relationships with relevant providers and housing stakeholders, law enforcement officers, DHS and ACHD staff, LEAD program staff, and other community programs and organizations that can support Participants.
- e. Supporting case managers communicating Participant progress at OWG meetings and helping to define, improve and implement policies and procedures.
- f. Communicating policy changes to case managers.

The ideal LEAD case management supervisor will believe in the core principles stated above, be a champion of Harm Reduction practices, motivate their case managers, and have the creativity and problem-solving skills needed to help remove common situational roadblocks faced by their case managers. Case management supervisors with past supervisory experience is preferred. LEAD case management supervisors must complete training related to LEAD and Harm Reduction case management, which will be provided by the LSB and/or its partners.

## **2.4 Participation in LEAD Governance Structure**

LEAD is a community-driven initiative that relies heavily on relationships between stakeholders within Cohorts and across the County that are created within the Policy Coordinating Groups (PCG) at the County Cohort levels and Operational Work Groups (OWG) and Community Leadership Teams (CLT) at the Cohort level. The Successful Proposer must participate in LEAD's collective governance and operations structure. Descriptions of the governance structure are provided in the Appendix C to better explain how LEAD works within a community, and the ways in which case managers and case management supervisors are expected to participate. In addition to working within these governance structures, the Successful Proposer must coordinate with CONNECT's LEAD Program Director.

## 2.5 Data Collection and Reporting

The Successful Proposer must capture data that will be used to monitor and evaluate LEAD. The Successful Proposer must enter, track and share quantitative and qualitative data on their LEAD referrals and Participants with DHS and other partners ideally using Allegheny County's Client Management Information System (CMIS), ClientPath, a new system on the Salesforce platform that will be available to the Successful Proposer at no cost. LEAD case management supervisors must work with DHS, the LEAD Program Director and evaluators from University of Pittsburgh's Graduate School of Public Health to create and refine data collection practices.

The following data represents the type of data we anticipate the Successful Proposer will collect, track and report to DHS, but it is not an exhaustive list. Person-level, identifiable data must be shared with DHS.

- a. Response time to officers when called to an encounter
- b. Number of individuals referred to LEAD, and referral source
- c. Number of individuals enrolled in LEAD (Participants)
- d. Demographics of LEAD Participants
- e. Type of care and services provided to Participants
- f. Tangible goods provided to Participants
- g. Number and type of referrals to services for Participants
- h. Number and type of successful connections to services for Participants
- i. Number of case management appointments attended by Participants
- j. Number of Participants making progress toward self-identified goals
- k. Outcomes for Participants, including housing, income, criminal legal system interactions, health insurance membership and other identified outcomes
- l. Detailed qualitative data on Participants' experiences with LEAD, including successes and barriers

This detailed data must be shared with DHS via a live feed or other agreed-upon method. Reports summarizing de-identified data will be sent to the PCGs, OWGs and funders at least quarterly. Case management staff may be asked to give presentations on these reports to LEAD governance bodies and community groups.

## Section 3: Proposal Requirements and Evaluation Criteria

DHS will evaluate Proposals based upon the evaluation criteria listed below. Proposers must address their qualifications in their Proposal by responding to the requested items or questions in the Response Form. Proposers should download and type their responses directly into the Response Form available on the Active Solicitations webpage at [www.alleghenycounty.us/dhs/solicitations](http://www.alleghenycounty.us/dhs/solicitations). The maximum score that a Proposal can receive is 165 points, as outlined in the following sections.

### ***Organizational Experience (35 points possible)***

- Organizational experience providing case management services to high-need individuals and/or communities with diverse identities (5 points)
- Organizational experience with building trust in the communities within which you work, including at least one letter of support from a community-based organization/individual (10 points)
- Organizational understanding of Harm Reduction, its application in the Proposer's programs and with program participants, and/or commitment for LEAD Participants (15 points)
- Experience implementing an evidence-based program, intervention and/or service to model fidelity (5 points)

### ***Case Manager Qualifications, Hiring and Retention (50 points possible)***

- Fit within the Proposer's administrative structure and staff job descriptions (10 points)
- Experience with hiring individuals of color, individuals with varied educational backgrounds, and individuals with lived experience with the criminal legal system, homelessness, substance use or other behavioral health needs; and a plan to hire staff with these backgrounds and characteristics for LEAD (10 points)
- Strategy for hiring and assessing case managers for their ability and cultural competence to work with Participants (5 points)
- Strategy for including Cohort stakeholders in the case management hiring process (10 points)
- Process for onboarding and training staff (5 points)
- Strategy for retaining LEAD case managers, as well as current case manager retention rates and retention measures (10 points)

### ***Service Delivery and Relationship Building (35 points possible)***

- Plan for timely service delivery within the three pilot Cohorts, including where case managers and case management supervisors will be located (10 points)
- Plan for supervising case managers to ensure quality services are being provided and case managers have the support they need (5 points)
- Approach to building trust between case managers and first responders (e.g., police officers) within the Cohorts (10 points)
- Strategy for creating and maintaining a relationship with Cohort community members (5 points)
- Interest in and capacity to expand beyond the initial LEAD pilot into other geographic areas of Allegheny County, including anticipated challenges (5 points)

### ***Data Collection and Reporting (20 points possible)***

- Data collection and reporting plan, including the details requested in the Response Form (15 points)



- Strategy for balancing: 1) the need to share information about Participants with law enforcement stakeholders and within OWG meetings and 2) the need to maintain Participant privacy and preserve Participant-case manager relationships (5 points)

***Budget (10 points possible)***

- A detailed line-item budget that reflects a realistic estimate of the costs associated with implementing and sustaining a LEAD pilot for the first year, including the details requested in the Response Form (5 points)
- A budget narrative that clearly explains and justifies the line items and assumptions in the proposed budget (5 points)

***Scenarios (15 points possible)***

- Strategy for addressing scenarios listed in the Response Form (5 points each)

## **Section 4: How to Submit a Proposal**

### **4.1 Prepare**

#### **a. Information Session**

- There will be an information session at 2 p.m. Eastern Time on Tuesday, January 25, 2022 via Microsoft Teams. It will include a presentation about the RFP and DHS staff will answer questions from attendees.
- Attendance at the information session is not required in order to submit a Proposal. Everything (video recording, slide deck, transcribed Q&A) shared during the information session will be posted afterwards on the DHS Solicitations webpage.
- Preliminary answers will be provided orally for questions asked during the conference. Final, definitive answers will be posted in writing on the DHS Solicitations webpage.
- Please join the information session by:
  - Calling (267)368-7515 and using Conference ID 714 941 314#
  - Or following this link: [Click here to join the meeting](#)
  - Or copying and pasting this link: [https://teams.microsoft.com/l/meetup-join/19%3ameeting\\_ODkzNDc5ODgtNzIzNC00MDYyLTk4N2ItNTJhZGQwZTBjYTA0%40thread.v2/0?context=%7b%22Tid%22%3a%22e0273d12-e4cb-4eb1-9f70-8bba16fb968d%22%2c%22Oid%22%3a%224c7924c5-3d5a-494b-ba54-242fc5f6db86%22%7d](https://teams.microsoft.com/l/meetup-join/19%3ameeting_ODkzNDc5ODgtNzIzNC00MDYyLTk4N2ItNTJhZGQwZTBjYTA0%40thread.v2/0?context=%7b%22Tid%22%3a%22e0273d12-e4cb-4eb1-9f70-8bba16fb968d%22%2c%22Oid%22%3a%224c7924c5-3d5a-494b-ba54-242fc5f6db86%22%7d)

### **4.2 Submit a Proposal**

- a. Proposers should take time to review and understand the RFP in its entirety including:

- The background (see Section 1: Why We Are Issuing this RFP)
  - The narrative (see Section 2: What We Are Looking For)
  - The requirements (see Section 3: Proposal Requirements and Evaluation Criteria)
  - The evaluation process (see Section 5: How We Will Evaluate Your Proposal)
- b. Proposers must use the Response Form to develop your Proposal. Type your responses to each requested item directly into the Response Form. It is available at our Active Solicitations website with the RFP announcement at [www.alleghenycounty.us/dhs/solicitations](http://www.alleghenycounty.us/dhs/solicitations).
  - c. Proposers must submit a complete Proposal. The Proposal includes the following attachments that are available on our Active Solicitations website:
    - Response Form
    - Minority, Women or Disadvantaged Business Enterprise (MWDBE) and Veteran Owned Small Business (VOSB) documents (see sections 7.1 and 7.2)
    - Allegheny County Vendor Creation Form
    - Audited financial reports or other financial documentation for the last three years
    - Internal Revenue Service Form W-9
  - d. Proposers should not send any attachments other than those listed either above or in the Response Form.
  - e. If a Proposer does not have audited financial reports for the last three years, then the Proposer must submit other financial documentation that attest to the Proposer's financial health of your organization. Tax returns are the preferred alternative. Please note that providing adequate financial documentation is a requirement of contracting with Allegheny County.
  - f. Make sure to complete each section of the Response Form and to stay within any word counts or page limits that may be specified in the Response Form.
  - g. **Proposals must be submitted electronically to [DHSProposals@alleghenycounty.us](mailto:DHSProposals@alleghenycounty.us) no later than 3:00 p.m. Eastern Time on Friday, February 25, 2022 to be considered for review.**
  - h. All Proposals must be submitted before the deadline! If a Proposal is late, it will be rejected and will not be presented to the Evaluation Committee (as described in Section 5 below) for review and scoring.
  - i. Proposers will receive an email acknowledging receipt of their Proposal. If a Proposer does not receive this notification within 48 hours of submitting their Proposal, please contact: [DHSProposals@alleghenycounty.us](mailto:DHSProposals@alleghenycounty.us).

#### 4.3 How to Contact DHS about this RFP

- a. All inquiries and questions must be submitted via email to [DHSProposals@alleghenycounty.us](mailto:DHSProposals@alleghenycounty.us) by 3 p.m. Eastern Time on Friday, February 18, 2022.
- b. All information about the RFP, including answers to questions, changes and clarifications, will be posted at our Active Solicitations website at [www.alleghenycounty.us/dhs/solicitations](http://www.alleghenycounty.us/dhs/solicitations).
- c. Please check this website regularly for answers to questions, additional information or changes to the RFP or the RFP process.

#### **4.4 Other Information**

- a. The issuance of this RFP does not obligate the County to accept any Proposal or enter into an Agreement with any Proposers. The County reserves the right to reject any and all Proposals and not to enter into an Agreement for the Contracted Services.**
- b. Any Agreement originating from this RFP is subject to all the Terms and Conditions specified in Section 6: Contract Requirements for Successful Proposers.
- c. Proposers are responsible for all costs related to the preparation and submission of a Proposal.
- d. Proposals become the property of the County and may become part of any subsequent Agreement between the Proposer and the County.
- e. Successful Proposal(s) will be posted online in the DHS Solicitations Archive after an Agreement has been fully executed by the County and the Successful Proposer(s).

#### **4.5 Pennsylvania's Right-to-Know Law**

Proposers should be aware that all documents and materials submitted in response to this RFP may be subject to requests for access to public records made pursuant to Pennsylvania's Right-To-Know Law (RTKL). Under the RTKL, records in the possession of a public agency like the County are presumed to be public records and the County may have to make documents and materials submitted by the Proposer available to a requestor after an award of an Agreement is made.

If the Proposer includes any information within its Proposal that the Proposer asserts is either a "trade secret" or "confidential proprietary information," as those terms are defined under the RTKL, the Proposer must include with its Proposal a written statement signed by an authorized representative of the Proposer identifying those portions or parts of its Proposal that the Proposer believes constitute a "trade secret" or "confidential proprietary information" and provide contact information to enable DHS to contact the Proposer in the event that the County receives a Right-To-Know request for the Proposal. The Proposer shall have five (5) business days from date of receipt of any notification from the County to provide a written statement signed by an authorized representative of the Proposer explaining why the Proposal or any portion thereof is exempt from disclosure as a trade secret, confidential proprietary information or other legal reason. The County shall consider this statement in either granting or denying a request for public access to the Proposal or any portion thereof. The County will notify the Proposer of its decision whether to grant or deny the request either in whole or in part.

## **Section 5: How We Will Evaluate Your Proposal**

DHS will convene an Evaluation Committee to evaluate Proposals. The Evaluation Committee will assign scores to each Proposal by awarding points based on the evaluation criteria in Section 3: Proposal Requirements and Evaluation Criteria, by using the point scale listed in Section 5.1 b.

## 5.1 Evaluation of Proposals

The evaluation process will consist of the following steps:

- a. DHS will form an Evaluation Committee. The Evaluation Committee will be comprised of evaluators with expertise in the subject matter of this RFP and may include: community members with lived experience, external subject matter experts or provider representative(s), representative(s) from key partners or funders and DHS internal staff.
- b. All Evaluation Committee members will individually review and score each Proposal. Each Evaluation Committee member will award points for each response on a Proposer's Response Form utilizing their personal expertise and best judgment of how the Proposal submitted by that Proposer meets the evaluation criteria in Section 3 using the following scale:
  - 0 – Not addressed in Proposal
  - 1 – Poor
  - 2 – Below expectations
  - 3 – Meets expectations
  - 4 – Exceeds expectations
  - 5 – Outstanding
- c. Each 0-5 score will be multiplied by the appropriate weight for the number of possible points noted after each evaluation criterion in Section 3. For example, for a criterion worth 15 points, the 0-5 score would be multiplied by three. An "Outstanding" response would receive 15 points, while one that "Meets Expectations" would receive nine points.
- d. DHS will tally the average scores of the members of the Evaluation Committee and report a list of average scores to the entire Committee. The Committee will meet, consider the average scores, and arrive at a consensus on which Proposer(s) can best provide the Contract Services in response to the RFP. The Committee will have the discretion to proceed as follows: (i) to recommend to the Director of DHS that a reduced number of Proposals be shortlisted for more extensive review through a formal oral presentation to the Committee; or (ii) to recommend to the Director of DHS that DHS request authorization for the County to enter into an Agreement(s) with the Successful Proposer(s).
- e. As described in c above, DHS, on behalf of the County, shall have the exclusive discretion to shortlist a reduced number of Proposals for more extensive review. In this case, DHS may request that shortlisted Proposers make a formal oral presentation to the Evaluation Committee. Each Committee member will individually score the oral presentation of the shortlisted Proposers using the following criteria and the scale outlined in 5.1b. The maximum score that a shortlisted Proposer's oral presentation can receive is 15 points:
  - Presentation demonstrates Proposer's ability to implement the Contract Services effectively (5 points)
  - Proposer's answers to Evaluation Committee's questions demonstrate Proposer's ability to implement the Contract Services (5 points)
  - Proposer's presentation is thoughtful and professional (5 points)

- f. DHS will tally the average scores of the members of the Evaluation Committee to the shortlisted Proposer formal oral presentations and report a list of average scores to the entire Committee. The Committee will meet, consider the scores, and arrive at a consensus on which Proposer(s) can best provide the Contract Services in response to the RFP.
- g. The Committee will submit its recommendation for award of an Agreement or Agreements to the Director of DHS for approval. The Director will, in turn, submit a request to the County Manager for approval for the County to enter into an Agreement or Agreement with the Successful Proposer(s).
- h. At any time during the evaluation process, DHS may contact a Proposer to discuss any areas of the Proposal needing clarification or further explanation.
- i. As part of determining a Proposer's eligibility to enter into a contract with Allegheny County, all Proposers' financial audits or other documentation will be reviewed by DHS fiscal analysts to ensure a Proposer's financial stability.
- j. The County is under no obligation to award or enter into an Agreement with a Proposer as a result of this RFP. The County reserves the right to reject any and all Proposals.**
- k. All Proposers will be notified of the County's final decision of which Proposer(s) will be awarded an Agreement.
- l. Proposers that are not awarded an Agreement but who are interested in receiving feedback regarding their submission may request a phone call at [DHSProposals@alleghenycounty.us](mailto:DHSProposals@alleghenycounty.us).

## 5.2 Other Requirements

For a Proposal to be eligible for evaluation, it must be:

- a. Received by the due date/time.
- b. Properly formatted and include responses to all requested information.
- c. Complete with all required forms and attachments.

Proposals which do not meet the above requirements will be automatically rejected and will not be presented to the Evaluation Committee.

## Section 6: Contract Requirements for Successful Proposers

In order to enter into an Agreement with the County, Proposers must comply with all contract requirements listed below and all standard terms and conditions contained in a County contract for provision of services to DHS and its offices. Additional details about contracting with Allegheny County are provided in the [DHS Contract Specifications Manual](#), available at [www.alleghenycounty.us/dhs/solicitations](http://www.alleghenycounty.us/dhs/solicitations).

## 6.1 Minority, Women or Disadvantaged Business Enterprise (MWDBE) Requirements

Allegheny County has MWDBE goals of 13% participation for Minority Business Enterprises and 2% participation for Women Business Enterprises and expects that Successful Proposers will make a “good faith effort” in assisting the County in meeting these goals.

- a. All Proposals must include a completed Allegheny County DHS Combined MWDBE Form and supporting documents. The Allegheny County DHS Combined MWDBE Form should be completed as follows:
  - All Proposers must complete Section 1 – Contact Information and attach their MWDBE Diversity Plan (see Section 4 – Sample Diversity Policy).
  - If the Proposer is able to meet the MWDBE contract goals, the Proposer should complete Section 2 – MWDBE Participation Statement. Proposers also must attach the MWDBE certifications of the firms cited in the Participation Statement.
  - If the Proposer would like to request a waiver from participating in the MWDBE contract goals, the Proposer should complete Section 2 – MWDBE Participation Statement and Section 3 – MWDBE Participation Waiver Request Form.
- b. MWDBE forms and resources can be found at [www.alleghenycounty.us/dhs/solicitations](http://www.alleghenycounty.us/dhs/solicitations):
  - [Allegheny County DHS Combined MWDBE Form](#)
  - MWDBE Resources
    - [MWDBE Contract Specifications Manual](#)
    - [MWDBE Guide for DHS Proposers](#)
- c. For more information about MWDBEs, visit the [Allegheny County Department of Equity and Inclusion website](#).

## 6.2 Veteran Owned Small Business (VOSB) Requirement

Allegheny County also has a goal of 5% participation for veteran-owned small businesses (VOSB) in all contracts. The County, therefore, expects that Successful Proposers will make a “good faith effort” in assisting the County in meeting this goal.

- a. A veteran-owned small business is defined by the County as a business having 100 or fewer full-time employees and not less than 51% of which is owned by one or more veterans, or in the case of any publicly owned business, not less than 51% of the stock of which is owned by one or more veterans, and the management and daily business operations of which are controlled by one or more veterans. The VOSB vendor **MUST** provide proof of veteran ownership including percentage and name and address of business.
  - For contracts under \$100,000, VOSB vendors shall be exempt from all bonding requirements.
- b. All Proposals must include either of the following:
  - If the Proposer can meet the VOSB contract goal, a completed VOSB Participation Statement is required. You must also attach a copy of the VOSB vendor(s) DD 214 discharge form(s) cited in the Participation Statement.

- If the Proposer requests a waiver from participating in the VOSB contract goal, a completed VOSB Participation Statement and VOSB Waiver Request are required.
- c. VOSB forms can be found at [www.alleghenycounty.us/dhs/solicitations](http://www.alleghenycounty.us/dhs/solicitations):
  - [VOSB Participation Statement](#)
  - [VOSB Waiver Request](#)

### **6.3 HIPAA Compliance**

DHS is a covered entity under the Health Information Portability and Accountability Act (HIPAA). Therefore, a Successful Proposer must comply with all HIPAA requirements.

### **6.4 Cyber Security**

- a. Successful Proposers must meet the minimum computer specifications that begin on page 14 of the [DHS Contract Specifications Manual](#), available at [www.alleghenycounty.us/dhs/solicitations](http://www.alleghenycounty.us/dhs/solicitations).
- b. All electronic devices must have sufficient security software and settings to minimize the risk of an information breach.
- c. Successful Proposers must also have policies in place to ensure that electronic devices are physically secure when not in use (e.g., locked in a vehicle trunk, password protected).

### **6.5 Equal Employment Opportunity and Non-Discrimination Requirements**

By submitting a Proposal, a Proposer agrees to not discriminate against any employee, applicant for employment, independent contractor, client or any other person on the basis of race, color, religion, national origin or ancestry, sex, gender identity or expression, sexual orientation, disability, marital status, familial status, age (40 or over), or use of a guide or support animal because of blindness, deafness or physical disability.

### **6.6 Language Diversity Requirements**

Successful Proposer(s) must assure resources are secured and/or made available for participants/consumers/clients with limited English proficiency or other communication barriers. Such actions shall include but not be limited to assessing the need for interpreters, evaluating the need for alternate language materials, identifying internal and external resources to meet identified needs, and accessing services contracted by DHS through their assigned contract monitor(s).

### **6.7 New Provider Requirements**

If awarded an Agreement, Successful Proposers who do not have current Allegheny County contracts will be required to complete the DHS New Provider Application.

# Appendix A: Disproportionate Arrests and Incarceration

## *Health and Human Services Disparities*

In Allegheny County and throughout the nation, we often punish individuals for behaviors related to substance use, mental health, poverty and trauma, such as drug use, public drunkenness, disorderly conduct, loitering, panhandling and theft. Though these behaviors reflect health and human service needs, we've given police officers the job of responding to calls for service, patrolling neighborhoods and enforcing laws related to these needs and behaviors. Police stop, cite and arrest the people who break these laws; judges, prosecutors and courts fine, convict and sentence them; jails and prisons incarcerate them. The result is a criminal legal system that disproportionately penalizes individuals with substance use, mental health and human service needs, including intellectual and developmental disabilities, autism, food insecurity, lack of housing and living in poverty.

Individuals across the nation who are arrested or charged are less likely to have health insurance or a high school diploma and more likely to be unemployed, have an income under \$10,000, have mental illness and have a substance use disorder (SUD).<sup>5</sup> The more arrests a person has, the more likely they are to fall within these categories. Locally, those who are frequently arrested, charged or jailed are more likely to use the emergency room, mental health treatment and crisis services, drug and alcohol services, and emergency homeless shelters.<sup>6</sup> Those booked into the jail in any given year are also more likely to be on Medicaid than the rest of the Allegheny County adult population, and more likely to have accessed mental health and SUD services than the national population.<sup>7</sup> Additionally, in 2015, the Bureau of Justice Statistics (BJS) estimated that 3 in 10 jail inmates reported having a cognitive disability, which was the most common reported disability. The BJS noted the rate of reported disability in incarcerated populations was nearly three times the rate of the noninstitutionalized population.<sup>8</sup>

## *Racial Disparities*

For decades, racist laws, policies and practices at the national, state and local level have disadvantaged Black individuals and Black communities in a number of ways. Discriminatory housing practices, paired with de-industrialization, white flight and disinvestment led to many Black people being pushed into poverty, then living in neighborhoods with scarce

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<sup>5</sup> Jones, Alexi, and Wendy Sawyer. *Arrest, Release, Repeat: How Police and Jails Are Misused to Respond to Social Problems*, Prison Policy Initiative, Aug. 2019, [www.prisonpolicy.org/reports/repeatarrests.html](http://www.prisonpolicy.org/reports/repeatarrests.html).

<sup>6</sup> Department of Human Services. *Frequent Utilizers of Services in Allegheny County: Criminal Justice System Involvement*. Forthcoming.

<sup>7</sup> [Program Involvement of Individuals Booked in Allegheny County Jail](#).; Internal Data on adult Health Choices members; Children and adults with disabilities, older adults, and people with low incomes are eligible to receive Medicaid; "Mental Illness Statistics." *National Institute of Mental Health*, U.S. Department of Health and Human Services. [Link](#).

<sup>8</sup> *Disabilities Among Prison and Jail Inmates, 2011-12*. U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics Special Report. December, 2015. NCJ 249151. Retrieved 09/02/2021



resources.<sup>9,10,11</sup> Decades of neglect and racism led to Black families being much more likely to live in high-need communities that have more families living in poverty, more unemployment, more single motherhood, more gun violence and less higher education.<sup>12</sup> As the Vera Institute of Justice reported, these high-need communities – whether they happen to be majority White or majority Black – experience “known drivers of criminal conduct,” that influence individuals who live there. With Black people more likely to live in these high-need neighborhoods, though, they are more exposed to the “structural risk factors that make crime more likely at greater rates than their white counterparts.” It’s important to note that the challenges Black individuals face do not only occur in high-need or Black communities. Research out of Opportunity Insights shows that in 99% of neighborhoods, Black boys earn less in adulthood than White boys who grow up in families with comparable income.<sup>13</sup>

The result of this history, plus past and current police, court and criminal legal system practices, is an extreme overrepresentation of Black individuals in the criminal legal system. While Black Americans account for 13% of the nation’s population, almost a quarter of those arrested are Black.<sup>14</sup> In Allegheny County, where the same percentage of the population is Black, almost half of those who are criminally charged are Black.<sup>15</sup> Once arrested, Black people are more likely to be confined while awaiting trial, more likely to be sentenced to incarceration, and more likely to be sentenced for longer periods.<sup>16</sup> In Allegheny County, Black men make up 65% of the jail population. Black Americans are more likely to be incarcerated than other race groups: one in three Black men can expect to be incarcerated in their own lives, compared to one in 17 White men. Black women are six times more likely than white women to be incarcerated at some point in their lives.

### *Disproportionate Effects of the Criminal Legal System*

The end result, in Allegheny County and nationwide, is that Black individuals, as well as those living in poverty, with SUDs, with mental health needs, or who have other deep human service needs are most often and most negatively affected by the criminal legal system and its consequences. Meanwhile, mental illnesses, SUDs, trauma and poverty can be exacerbated by the experience of imprisonment. Even arrests and short stints in jail can deeply and negatively

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<sup>9</sup> Badger, Emily. “How Redlining’s Racist Effects Lasted for Decades.” *Www.nytimes.com*, 24 Aug. 2017, [www.nytimes.com/2017/08/24/upshot/how-redlinings-racist-effects-lasting-for-decades.html](http://www.nytimes.com/2017/08/24/upshot/how-redlinings-racist-effects-lasting-for-decades.html).

<sup>10</sup> Allegheny County Department of Human Services. “Allegheny County Community Need Index.” *ArcGIS StoryMaps*, ESRI, 25 May 2021, [storymaps.arcgis.com/stories/99526e5b5e544f6d8f41e386bc593110](https://storymaps.arcgis.com/stories/99526e5b5e544f6d8f41e386bc593110).

<sup>11</sup> Elizabeth Hinton, LeShae Henderson, and Cindy Reed. *An Unjust Burden: The Disparate Treatment of Black Americans in the Criminal Justice System*. New York: Vera Institute of Justice, 2018, page 5. [Link](#).

<sup>12</sup> Allegheny County Department of Human Services. “Allegheny County Community Need Index.” *ArcGIS StoryMaps*, ESRI, 25 May 2021, [storymaps.arcgis.com/stories/99526e5b5e544f6d8f41e386bc593110](https://storymaps.arcgis.com/stories/99526e5b5e544f6d8f41e386bc593110).

<sup>13</sup> “Racial Disparities.” *Opportunity Insights*, 7 Nov. 2018, [Link](#).

<sup>14</sup> [Arrest, Release, Repeat: How Police and Jails Are Misused to Respond to Social Problems](#).

<sup>15</sup> Allegheny County Department of Human Services. Internal Criminal Filings Dashboard.

<sup>16</sup> National Research Council. 2014. *The Growth of Incarceration in the United States: Exploring Causes and Consequences*. Washington, DC: The National Academies Press. <https://doi.org/10.17226/18613>, pag2 92-3.

affect a person's life.<sup>17,18,19,20</sup> While their loved ones are in jail, partners, children and communities are deprived of physical, monetary and emotional resources, and are more likely to face economic hardship and be unable to meet basic needs.<sup>21</sup> Those with arrest, conviction, and/or incarceration records face significant barriers in accessing housing, employment, benefits and earnings.<sup>22</sup>

### *The Status Quo isn't Working*

A common belief is that arresting and jailing people will improve public safety and deter individuals from breaking laws.<sup>23</sup> However, for those who have been incarcerated, some studies suggest that imprisonment has no effect on or may actually increase their likelihood to break the law again.<sup>24</sup> Nationally, about half of people released from prison end up returning to prison – as a result of new sentences or probation violations – within three years of their release. In Allegheny County, a third of those booked into the jail were booked into the jail the year prior. In general, studies suggest that the overall crime-reducing effect of incarceration is small.<sup>25</sup>

Of those convicted and serving a sentence in jail in the United States, over half committed non-violent property and public order crimes and another 13% were convicted of drug possession.<sup>26</sup> In the Allegheny County Jail, 27% of those in the jail (convicted or not) were charged with property crimes, 11% for public order offenses and 15% for drug and alcohol offenses. Nearly 40% of jail bookings were for misdemeanors.<sup>27</sup>

As a nation and a county, we are arresting and re-arresting, incarcerating and re-incarcerating individuals with deep human service and behavioral health needs, and disproportionately so with Black residents, often for non-violent property, public order and drug charges. We are in turn making the lives of these individuals and their loved ones worse, while at the same time failing to make our communities safer.

A new approach is needed.

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<sup>17</sup> *Arrest, Release, Repeat: How Police and Jails Are Misused to Respond to Social Problems.*

<sup>18</sup> National Research Council. 2014. *The Growth of Incarceration in the United States: Exploring Causes and Consequences.* Washington, DC: The National Academies Press. <https://doi.org/10.17226/18613>, Chapter 7, 8.

<sup>19</sup> Wagner, Peter. *Incarceration Is Not a Solution to Mental Illness.* Prison Policy Initiative, Apr. 2020, [www.prisonpolicy.org/blog/2000/04/01/massdissent/](http://www.prisonpolicy.org/blog/2000/04/01/massdissent/).

<sup>20</sup> *Overdose Deaths and Jail Incarceration - National Trends and Racial Disparities.* Vera Institute of Justice, Sept. 2020. [Link.](#)

<sup>21</sup> National Research Council. 2014. *The Growth of Incarceration in the United States: Exploring Causes and Consequences.* Washington, DC: The National Academies Press. <https://doi.org/10.17226/18613>, page 278.

<sup>22</sup> National Research Council. 2014. *The Growth of Incarceration in the United States: Exploring Causes and Consequences.* Washington, DC: The National Academies Press. <https://doi.org/10.17226/18613>, page 258-9.

<sup>23</sup> National Research Council. 2014. *The Growth of Incarceration in the United States: Exploring Causes and Consequences.* Washington, DC: The National Academies Press. <https://doi.org/10.17226/18613>, page 2.

<sup>24</sup> National Research Council. 2014. *The Growth of Incarceration in the United States: Exploring Causes and Consequences.* Washington, DC: The National Academies Press. <https://doi.org/10.17226/18613>, page 150.

<sup>25</sup> National Research Council. 2014. *The Growth of Incarceration in the United States: Exploring Causes and Consequences.* Washington, DC: The National Academies Press. <https://doi.org/10.17226/18613>, page 155-6.

<sup>26</sup> Prison Policy Initiative. 2020. *Mass Incarceration: The Whole Pie 2020.* [Link.](#)

<sup>27</sup> Department of Human Services. *High Charge of the Jail Population.* Internal Dashboard.

# Appendix B

## Building a Crisis System

**Allegheny County has a multitude of services designed to help people with behavioral health and other human service needs, including mental health crisis responders, substance use assessment and treatment centers, homeless outreach and housing supports, financial assistance programs and case management for individuals with court involvement. However, these individual programs do not add up to a comprehensive crisis system—a continuum of programs and services that prevent crises, respond with the right intervention, share protocols and performance measures, and consistently link people to follow-up support that attempts to address the root causes of the crisis. Instead, people continue to struggle and law enforcement remains a default responder for individuals and families struggling with unmet behavioral health and human service needs.**

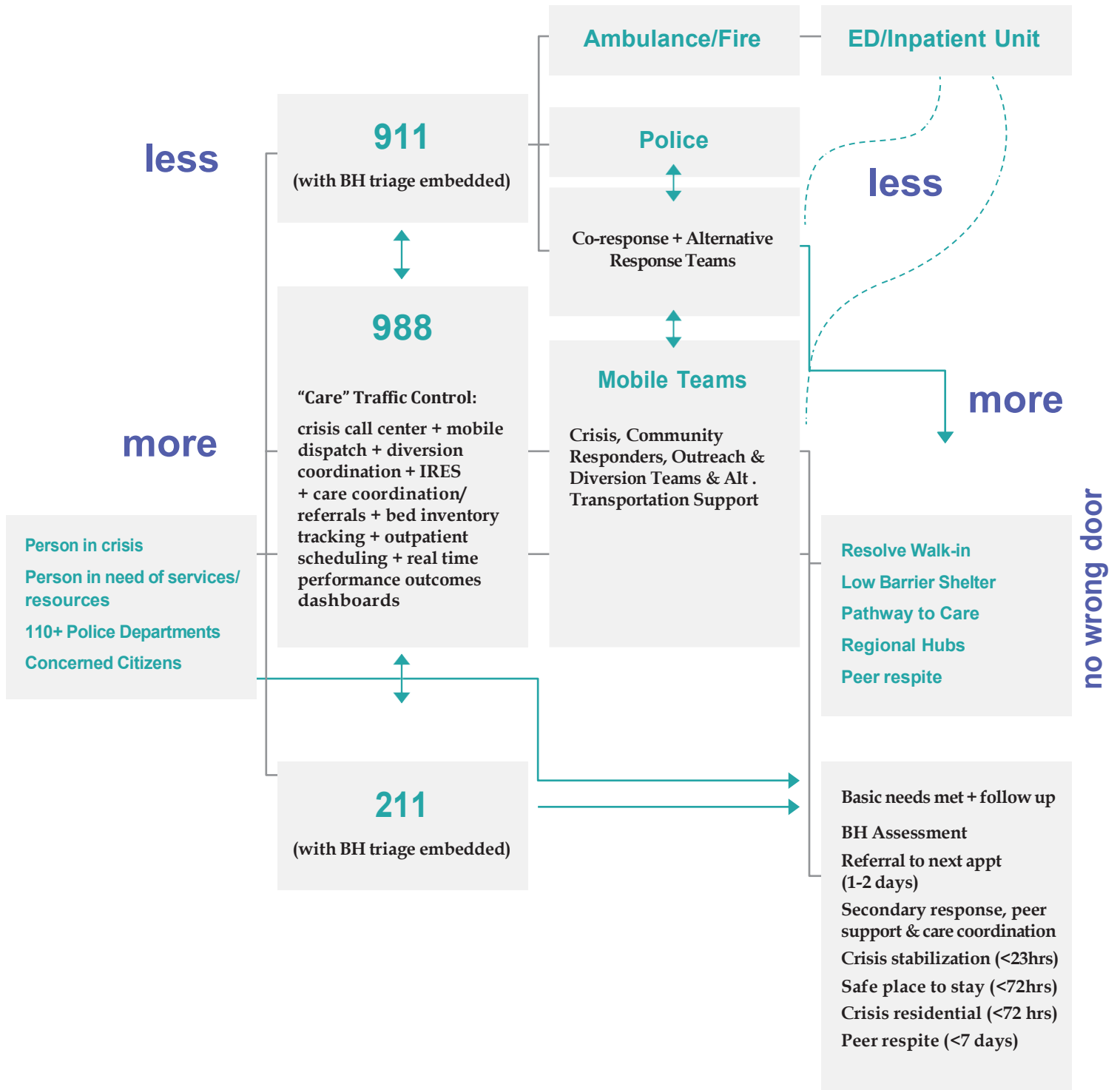
In September 2020, DHS and Allegheny County’s Department of Emergency Services (ACES) convened a [Crisis Response Stakeholder Group \(CRSG\)](#) focused on improving existing services and piloting new ones to address the overreliance on law enforcement and incarceration for people with human service and behavioral health needs. Among the stakeholders included in this effort are law enforcement, local government entities, providers, behavioral health specialists and people with lived experiences in the criminal legal system. As a result of the CRSG process and recommendations for improving the crisis system, the County [envisions an improved crisis system](#) that:

- Leverages the new national mental health crisis line, called 988, that launches in July 2022.
- Equips 911 and law enforcement to send the appropriate responder(s) to behavioral health calls.
- Strives to have “no wrong door,” so people are more likely to get connected to the care they need, regardless of where they call or show up for help.
- Improves access to care by bolstering existing 24/7/365 human services and by adding new services that are available during both traditional and non-traditional hours, in new areas around the county.

In creating this crisis prevention and response system, DHS seeks to ensure that no matter what people need help with, no matter when they need help, they can get the right level of care. We aim for all this work to reduce the use of and interaction with law enforcement, jail, emergency departments and inpatient hospitalization for people with behavioral health and other human service needs, while improving health and human service outcomes for those individuals.

DHS will be releasing several solicitations in 2022 as part of our efforts to improve crisis prevention and response. Information about these opportunities and other improvement strategies we are supporting can be found [here](#). Building a comprehensive system will take time, as well as the commitment of new and existing partners. We look forward to building together.

# Improved Crisis System Vision



# Appendix C: LEAD Governance Structure in Allegheny County

LEAD in Allegheny County will operate on county and local Cohort levels.

**County Level:** At the county level, there will be a Policy Coordinating Group (PCG) that defines the overarching policies for all Allegheny County LEAD Cohorts and works to make systemic changes in support of LEAD. The PCG will be composed of County and city government officials and staff, law enforcement, legal system stakeholders, community organizations, foundations and other decision makers. The LSB says, “Each site’s LEAD Policy Coordinating Group (PCG) serves as the policy-making and stewardship body for its initiative. The PCG is composed of senior members of their respective agencies who are authorized to make decisions on behalf of their offices. Together, the PCG’s members develop the local vision for LEAD; make policy-level decisions for the initiative and within their respective agencies; ensure that sufficient resources are dedicated for the success of the initiative; and review, approve, and modify overarching policies to reflect the site’s intentions, including (but not limited to) participant eligibility criteria, inclusion/exclusion criteria, and diversion-eligible criminal charges and exclusionary criteria (if any). In addition, the PCG is responsible for establishing and stewarding evaluation, communications, and budget plans.”

**Cohort Level:** Within each Cohort, there will be three additional governance and operations structures: a Local Policy Coordinating Group (LPCG), an Operational Work Group (OWG) and a Community Leadership Team (CLT). CONNECT staff will facilitate these Cohort-based structures.

- Local Policy Coordinating Group (LPCG): The LPCG will convene local decision makers to decide how LEAD policies and procedures set by the County PCG will be adapted for implementation within a specific Cohort area. LPCGs consist of elected officials, law enforcement chiefs, magisterial district judges, and others. The Successful Proposer will communicate with the LPCG within each Cohort before hiring/assigning case managers in order to identify qualifications and desired characteristics specific to that Cohort. Ideally, LPCG members will be included in the case manager hiring process.
- Operational Workgroup (OWG): The OWG shall meet at least every other week in each Cohort and is responsible for carrying out the day-to-day operations of LEAD. The OWG’s role is to implement operational protocols consistent with the PCG and LPCG policies. The OWG streamlines operations between all stakeholders and agencies on a daily basis, troubleshooting issues and brainstorming and implementing solutions. It also provides a forum for Participant case review. OWG members include case managers and case management supervisors, line-level personnel such as police officers, probation/parole agents, prosecutors, public defenders, service providers, community leadership representatives and others who act out LEAD processes each day in their work. Case managers will be expected to discuss Participant progress at the biweekly OWG meetings in order to collaboratively address barriers for Participants and improve the program. Case management staff will develop strategies for sharing appropriate levels

of information while maintaining Participant privacy and preserving the Participant-case manager relationship.

- **Community Leadership Team (CLT):** The CLT is a body that represents the community and that is charged with communicating with and connecting to a LEAD Cohort’s larger community, as well as providing input and feedback on LEAD’s implementation. The CLT may include individuals from civil rights groups, neighborhood and business district associations, police oversight boards, drug users and sex worker organizations, justice-involved advocacy groups and religious communities. The CLT is led by a community engagement coordinator who also has a seat on the PCG and OWG. The Successful Proposer and its staff might be asked to present to the CLT on an ad-hoc basis.

### Allegheny County’s LEAD Organizational Structure

