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**Getting Started: A Guidebook for Sustainability and Scaling**

***Planning Guide***

Across the country, local communities are developing initiatives to reduce the number of people in jails who have mental illnesses and co-occurring substance use disorders. There are many aspects of sustaining these efforts over time, including strategic communications, leadership, and partnerships. But given that initiatives often struggle to maintain funding after an initial investment—whether it be from a government agency or a private foundation—this guide, part of *Getting Started: A Guidebook for Sustainability and Scaling*, explores how to plan for financial sustainability.

Your local initiative can use this **Planning Guide** to identify measurable goals and align potential funding to achieve these goals. Designed to prompt structured cross-agency conversations that will support sustainability planning, the guide contains a variety of exercises with prompts, charts, and yes-or-no questions. This is intended to serve as a step-by-step guide to foster discussion and help you work through key decisions and sustainability considerations.

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

1. Initiative Overview
2. Developing a Sustainability Committee
3. Prioritizing Data-Driven Strategies
4. Determining Budget Needs
5. Identifying Existing Resources
6. Maximizing Funding Resources
7. Executive Summary Template

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

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

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

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1. Initiative Overview

***Section Tips:***

* Clarifying what your jurisdiction seeks to achieve through your initiative will help you identify relevant funding, bring the funding to scale, and sustain it over time.
* In this section, you will identify the core framework of your initiative: its vision, mission, goals, and the program and policy components that make up your initiative. Throughout this guide and the accompanying **Investment Calculation Workbook**, you will reference the goals and program and policy components to complete additional activities.
* In Section 3 of this guide, you will define data-driven strategies to reach your goals and identify which program or policy component each data-driven strategy falls under.

1. What is the initiative you are aiming to sustain?
2. Use the following exercise to document the vision, mission, goals, and program and policy components of the initiative. Later in the guide, you will be prompted to identify a specific set of data-driven strategies attached to each goal.

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| What is the vision of the initiative? (I.e., what are the initiative’s aspirations?) |
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| What is the mission of the initiative? (I.e., what are the guiding values and principles of the initiative?) |
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| What are the goals of the initiative? (I.e., what will the initiative accomplish?) You will use these goals again in Section 3 and attach each of them to a set of data-driven strategies that can be used to demonstrate the impact of your initiative. |
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| What are the program and policy components that make up your initiative (e.g., crisis intervention team, early appointment of counsel, specialized caseloads, peer mentors, etc.)? The program and policy components of your initiative should be in service of one or more of the goals you listed above. You will use these program and policy components throughout the Planning Guide and Investment Calculation Workbook. |
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1. Is this initiative part of a larger or pre-existing effort in your jurisdiction that is designed to respond to people who have behavioral health needs and are in the criminal justice system? For example, a larger or pre-existing effort might include a [Stepping Up](https://stepuptogether.org/) strategy or a plan developed through a justice and mental health or behavioral health task force.

Yes (*Describe how the initiative fits into this strategy.*)

No (*Describe why this initiative was established, what problem it responds to, and what data you have to support the need for this initiative.)*

1. If you answered “yes” to question 3 above, does your initiative leverage resources (money, staff, or in-kind supports such as meeting space) from the larger or pre-existing effort?

Yes (*Describe how.*)

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

1. Developing a Sustainability Committee

***Section Tips:***

* A sustainability committee is a group of people representing various agencies (government or community-based) that are invested in the long-term financial health of the initiative.
* This committee provides strategic oversight of the initiative budget and drives efforts to secure future funding.
* Considering the various roles the committee needs to be successful will help you staff the committee in a meaningful way.
* The sustainability committee could source roles and stakeholders from existing initiative planning and implementation committees, as these members might be strongly positioned to create sustainability plans as a result of their involvement in operating the initiative as a whole.
* Use *Appendix A. Acknowledgment and Signature Page* to capture the sustainability committee’s dedication and efforts.

1. Is a sustainability committee in place?

Yes

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

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

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| Member Name | Agency Name  (if applicable) | Email Address | Intended Role/Contribution |
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1. How often does/will the sustainability committee meet?
2. Who does/will coordinate the sustainability committee’s meeting schedules, agendas, and logistics?
3. Are there other stakeholders who would not be part of a sustainability committee but could serve as allies in your sustainability planning efforts?

Yes (*List those stakeholders.*)

No

1. How does/will the sustainability committee keep stakeholders engaged and informed about the financial health and needs of the initiative?
2. Prioritizing Data-Driven Strategies

***Section Tips:***

* To obtain additional grant funding and advocate for the use of tax dollars, you need to be able to demonstrate the impact of the initiative.
  + To do this, it is imperative to identify data-driven strategies that allow you to gauge the impact of the initiative on key programmatic and operational metrics.
  + Data-driven strategies should be tied to the goals and program and policy components you listed in Section 1.
  + For example, the national Stepping Up initiative focuses on reducing the number of people with mental illnesses in jail by encouraging counties to implement data-driven strategies that will have a measurable impact on at least one of the following four goals:
    - Goal 1: Reduce the number of people with mental illnesses and co-occurring substance use disorders booked into jail.
    - Goal 2: Reduce their average length of stay in jail.
    - Goal 3: Increase their connections to care upon release from jail.
    - Goal 4: Reduce their recidivism rates.[[1]](#footnote-1)
  + For ease in completing this section, copy and paste the goals and program and policy components you identified in Section 1 in the table below, with one goal or component per line. Note that you may have more goals than program or policy components or vice versa.

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| **Your Initiative’s Goals** |  | **Your Initiative’s Program and Policy Components** |
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1. Do you have data demonstrating that the programs and policy components listed above are effective in impacting your goals?

Yes *(Insert links to reports or other publicly available data that show these components are effective, such as links to the* [*Stepping Up Strategy Lab*](https://lab.stepuptogether.org/database/results/)*, presentations, etc.)*

No (*Explain how you will obtain data or set other interim or process measures to demonstrate effectiveness.)*

1. Use the worksheet below to identify your initiative’s specific data-driven strategies. To complete this worksheet, you will use the goals and program and policy components identified in Section 1 and listed in the table above.

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

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| Example Goal | Example Data-Driven Strategies to Demonstrate Impact | Program/Policy Component |
| Goal 1:  Reduce the number of people with mental illnesses and co-occurring substance use disorders booked into jail. | Increase crisis services 20% by hiring 3 more triage staff. | Crisis Intervention Team (CIT) |
| Train 100 law enforcement personnel on crisis intervention. | CIT |
| Determine 5 low-level charges that can be better handled via citation rather than jail booking, and train 100 law enforcement officers on when to cite and release. | Arrest Reform |
| Increase capacity at mental health urgent care and sobering centers by 50%. | Outpatient Substance Use Disorder (SUD) Services |
| Goal 2:  Reduce their average length of stay in jail. | Screen 90% of all people booked into jail by implementing a mental health screening process at booking and training all sworn and non-sworn booking staff to use the screening tool. | Jail-Based Screening Tool and Training |
| Increase capacity of the pretrial release program 60% by hiring 4 case managers. | Pretrial Services |
| Train 5 additional specialized mental health public defenders. | Specialized Caseloads |
| Goal 3:  Increase their connections to care upon release from jail. | Hire and train 3 case managers to work in the jail. | Jail-Based Screening Tool and Training |
| Develop data infrastructure that can integrate electronic health records into county health records. | Outpatient SUD Services |
| Hire a full-time clinician at the day reporting center. | Outpatient SUD Services |
| Enroll 90% of eligible people in Medicaid upon release by developing a process to enroll before their release from jail. | Outpatient SUD Services |
| Goal 4:  Reduce their recidivism rates. | Train five additional specialized mental health probation officers. | Specialized Caseloads |
| Contract for two additional housing case managers and increase permanent supportive housing capacity by 40 percent. | Housing Navigators |
| Contract for six additional residential substance use disorder treatment beds. | Outpatient SUD Services |
| Hire and train 10 peer mentors. | Peer Mentors |

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

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| Goal | Data-Driven Strategies to Demonstrate Impact | Program/Policy Component |
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| Goal 3: |  |  |
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1. Use the table below to identify the data points relevant to your initiative and the stakeholders involved in capturing and reporting the data. You will likely need to collect both system-level (e.g., overall prevalence of serious mental illness in the local jail) and individual-level (e.g., jail-based treatment completion) data from various criminal justice partners and behavioral health providers to demonstrate that your initiative is having an impact on its goals. If you don’t have data to collect yet, consider including process measures that demonstrate progress. Additionally, consider what financial and operational data points are needed. Note that some data points might require information from multiple stakeholders, and some of these stakeholders might be individuals identified to participate in the sustainability committee.

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| Data Points | Data Source or Stakeholder(s) | Data Available to Sustainability Committee? | Public or Private Data? | Reporting Frequency |
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1. Determining Budget Needs

***Section Tips:***

* Use these questions to think through key costs over time before you begin calculations to develop a funding plan.

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

* If helpful, list all of the program and policy components first (or copy and paste the list in the Section 3 Tips) and then identify their estimated costs.
* For reference, add in the name of the document/budget you used to determine the costs for each component.
* This activity is a precursor to the **Investment Calculation Workbook**, where you will identify more granular costs associated with each program and policy component.

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| Program or Policy Component | Current Cost | Estimated FY1 Cost | Estimated FY2 Cost | Estimated FY3 Cost | Cost Reference Document |
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| Total Costs |  |  |  |  |  |

1. Did you list any program or policy components above that were not matched to a data-driven strategy in question 12?

Yes (*Describe how you plan to measure the impact of this component. If there are process metrics that can be used to assess progress, add them to the worksheet in question 12.)*

No

1. Do you anticipate any growth, decline, or lateral changes in your initiative in upcoming fiscal years (e.g., scaling your initiative to serve more participations; adding new, switching out, or removing program components; etc.)? Consider exceptional or unique circumstances that might arise, such as a large one-time donation, an unexpected gap in funding, or an unanticipated crisis, such as COVID-19.

Yes (*Describe.*)

No

1. Identifying Existing Resources

***Section Tips:***

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

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

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

*Public funds (federal, state, local)*

*Private (individuals, foundations, corporations)*

*Fee for service*

*Medicaid*

*Self-pay*

*Planned giving*

*Other:*

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

1. Fill out the chart below through a series of steps:

* List the specific funding sources used to pay for the various components of your initiative (e.g., MacArthur Foundation, Bureau of Justice Assistance Justice & Mental Health Collaboration Program [JMHCP], etc.). Include current and future (already awarded) funding sources.
* Complete the remaining columns for each of the funding sources that you listed.
* Note any restriction on funding uses (e.g., funding can only be used for community-based mental health treatment, cannot be used for jail-based services, etc.).
* Identify the relative flexibility of each funding source to inform the creation of a funding matrix later in this guide. The funding matrix will help you decide in what order to apply resources to your overall initiative budget.
* Use *Appendix C: Funding Opportunities and Outcomes* to document and track these opportunities over time.

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| --- | --- | --- | --- | --- | --- | --- |
| Funding Source | Funding Type | Length of Funding | Funding End Date | Renewable Funding? | Funding Restrictions | Funding Flexibility |
|  | One-Time  Annual  Multi-Year |  |  |  |  | Low  Medium  High |
|  | One-Time  Annual  Multi-Year |  |  |  |  | Low  Medium  High |
|  | One-Time  Annual  Multi-Year |  |  |  |  | Low  Medium  High |
|  | One-Time  Annual  Multi-Year |  |  |  |  | Low  Medium  High |
|  | One-Time  Annual  Multi-Year |  |  |  |  | Low  Medium  High |
|  | One-Time  Annual  Multi-Year |  |  |  |  | Low  Medium  High |

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

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

No

1. Most initiatives experience gaps in funding, such as when there is not enough funding to expand or adapt the initiative as envisioned, or when there are lapses in grant cycles. Does your initiative have any known funding gaps? Describe how these gaps will be managed.
2. Do you have a detailed written description of gaps for which additional funding is needed (e.g., a proposal that includes any needed policy reforms, additional staff, increased health treatment and services, information system updates, training, etc.)?

Yes (*Describe.*)

No

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

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

The Investment Calculation Workbook will help you design a three-year funding plan, identify ways to maximize funding, and work toward closing funding gaps.

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

1. Maximizing Funding Sources

***Section Tips:***

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

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

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

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| Program or Policy Component | Estimated Cost | | Medicaid | MAC /  TCM[[2]](#footnote-2) | SAPT[[3]](#footnote-3) | ESG[[4]](#footnote-4) | Private Grant | JAG[[5]](#footnote-5) | Local GF[[6]](#footnote-6) |
| 1. Jail-Based Screening Tool and Training | FY1 | $25,000 |  |  | x |  |  | x | x |
| FY2 | $0 |  |  |  |  |  |  |  |
| FY3 | $0 |  |  |  |  |  |  |  |
| 2. Pretrial Services: Intake Officers | FY1 | $350,000 |  | x |  |  |  | x | x |
| FY2 | $350,000 |  | x |  |  |  | x | x |
| FY3 | $350,000 |  | x |  |  |  | x | x |
| 3. Housing Navigators | FY1 | $700,000 |  |  |  | x | x |  |  |
| FY2 | $700,000 |  |  |  | x |  | x | x |
| FY3 | $700,000 |  |  |  | x |  | x | x |
| 4. Peer Mentors | FY1 | $450,000 |  |  | x |  | x |  |  |
| FY2 | $800,500 |  | x | x |  |  | x | x |
| FY3 | $1,000,000 |  | x | x |  |  | x | x |
| 5. Outpatient SUD Services | FY1 | $0 |  |  |  |  |  |  |  |
| FY2 | $300,000 | x |  |  |  |  |  | x |
| FY3 | $300,000 | x |  |  |  |  |  | x |

Least Flexible Funding Source  Most Flexible

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| Program or Policy Component | Estimated Cost | | Funding Source | | | | | | | | | | |
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| 1. | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
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| FY3 | $ |  |  |  |  |  |  |  |  |  |  |  |
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| FY2 | $ |  |  |  |  |  |  |  |  |  |  |  |
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| 3. | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
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| 4. | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
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| 5 | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY2 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY3 | $ |  |  |  |  |  |  |  |  |  |  |  |
| 6. | FY1 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY2 | $ |  |  |  |  |  |  |  |  |  |  |  |
| FY3 | $ |  |  |  |  |  |  |  |  |  |  |  |

Least Flexible Funding Source  Most Flexible

1. Executive Summary Template

***Section Tips:***

* The template below synthesizes the information you produced using this guide and its accompanying tools. Once complete, this executive summary can function as a tool for fundraising, stakeholder recruitment, and other strategic opportunities.
* While funders vary in proposal requirements, the information they typically ask for is outlined below to provide a template for initial communication about funding needs for this initiative.
* If helpful, create a new document with this executive summary and include the completed funding matrix from question 24 and the worksheet from question 12 to demonstrate effective use of funding.

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

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

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

***Example Sustainability Committee Acknowledgment and Signature Page***

Through a cross-agency partnership, the following people have come together as of *[Date]* to develop a data-driven sustainability plan for *[Initiative Name]* in *[Location]*:

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| Name | Agency | Signature |
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***Appendix B: Tracking Goals and Strategies Over Time***

Your initiative should update the worksheet completed in question 12 every six months in order to track progress as your initiative evolves. Use the worksheets below to periodically update your initiative’s goals, what data-driven strategies are used to have an impact on each goal, and how each strategy fits into the initiative’s program and policy components.

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

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| Goal | Data-Driven Strategies to Demonstrate Impact | Program/Policy Component |
| Goal 1: |  |  |
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| Goal 2: |  |  |
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*Update 2: After one year of sustainability planning, update the goals, strategies, and program/policy components.*

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| Goal | Data-Driven Strategies to Demonstrate Impact | Program/Policy Component |
| Goal 1: |  |  |
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| Goal 2: |  |  |
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| Goal 4: |  |  |
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| Goal 5: |  |  |
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| Goal 6: |  |  |
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| Goal 7: |  |  |
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| Goal 8: |  |  |
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***Appendix C. Funding Opportunities and Outcomes***

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

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

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

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

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| --- | --- | --- | --- | --- | --- | --- |
| Funder | Funder Program Area | Contact | Award Range | Proposal Process (Request for Proposal, Contract, Invitation, etc.) | Proposal Due Date | Comments |
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1. To learn more about Stepping Up’s key goals, see The Council of State Governments (CSG) Justice Center, *In Focus: Collecting and Analyzing Baseline Data* (New York: CSG Justice Center, 2019), <https://stepuptogether.org/wp-content/uploads/In-Focus_Collecting-and-Analyzing-Baseline-Data.pdf>. [↑](#footnote-ref-1)
2. Medicaid Administrative Claiming/Targeted Case Management [↑](#footnote-ref-2)
3. Substance Abuse Prevention and Treatment Block Grant administered by the Substance Abuse and Mental Health Services Administration (U.S. Department of Health and Human Services) [↑](#footnote-ref-3)
4. Emergency Solutions Grants Program administered by the U.S. Department of Housing and Urban Development [↑](#footnote-ref-4)
5. Edward Byrne Memorial Justice Assistance Grant administered by the Bureau of Justice Assistance (U.S. Department of Justice, Office of Justice Programs) [↑](#footnote-ref-5)
6. Local general fund dollars [↑](#footnote-ref-6)