Sequential Intercept Model (SIM)

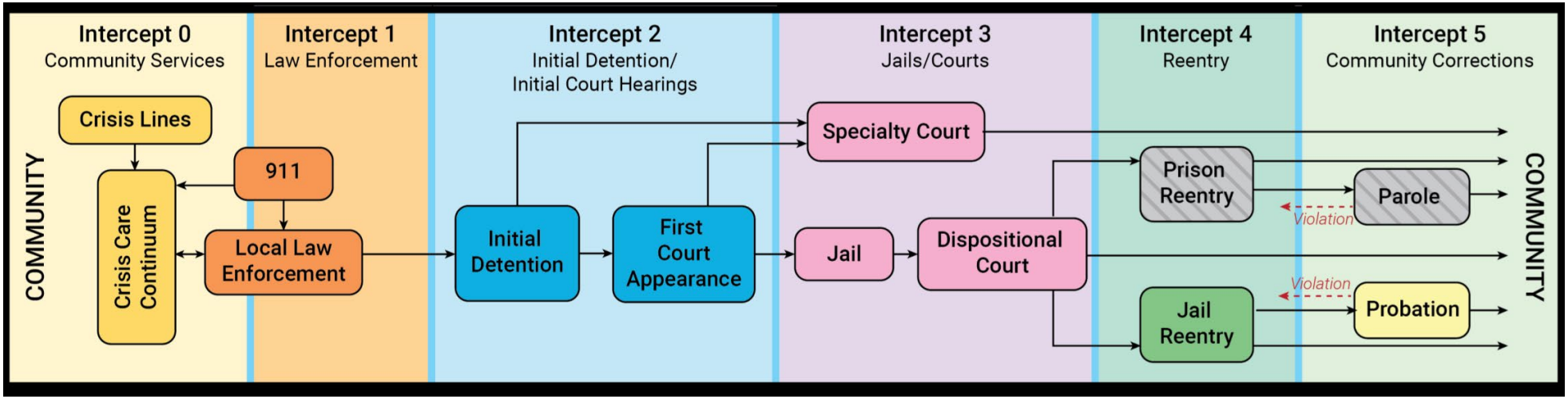
[Excerpts from Data Collection Across the Sequential Intercept Model: Essential Measures, SAMHSA]

The Sequential Intercept Model (SIM) was introduced in the early 2000s with the goal of helping communities understand and improve the interactions between criminal justice systems and people with mental and substance use disorders.

The SIM is used to identify community resources and help plan for additional resources for people with mental and substance use disorders at each phase of interaction with the justice system, beginning with Intercept 0 (crisis response) and ending with Intercept 5 (community corrections).

The SIM can help leaders and staff more effectively collaborate to divert people with mental and substance use disorders away from the justice system and into treatment.

During the many SIM mapping workshops over the years, it has become clear that tracking and understanding data across the intercepts is a critical part of developing a robust continuum of behavioral health services and reducing justice system involvement of people with mental and substance use disorders. While stakeholders may agree that local system improvements are needed, challenges may exist in identifying, gathering, analyzing, and applying data to inform those changes.



INTERCEPT 0: Crisis Care and First Response Continuum

Intercept 0 involves interventions for people with mental and substance use disorders prior to formal involvement with the criminal justice system. The critical components of this intercept include the local continuum of crisis care services and resources that reduce reliance on emergency response,

hospitalizations, and law enforcement to serve people in crisis or with low-acuity mental health needs. In jurisdictions where very few resources exist, law enforcement may be involved in Intercept 0 diversion efforts in a *parens patriae,* or "guardian," capacity, providing first responder services.

INTERCEPT 1: Law Enforcement Calls and Responses

At Intercept 1, law enforcement and other emergency service providers respond to people with mental and substance use disorders who are in crisis in the community. In many jurisdictions, when a person in crisis exhibits illegal behavior, law enforcement officers have the discretion to place the person under arrest or to divert them to treatment or services. Effective diversion at Intercept 1 is supported by trainings, programming, and policies that integrate behavioral health care and law enforcement to enable and promote the diversion of people with mental illness away from arrest and a subsequent jail stay and into community-based services.

INTERCEPT 2: Intake, Booking, and Bond Setting/Review

At Intercept 2, individuals who have been arrested will go through the intake and booking process and will have an initial hearing presided over by a judicial official. Important elements of this intercept include the identification of people with mental and substance use disorders being processed and booked in the jail, placement of people with mental and substance use disorders into community-based treatment after intake or booking at the jail, and availability of specialized mental health caseloads through pretrial service agencies.

INTERCEPT 3: Courts and Incarceration in Jail or Prison

At Intercept 3, individuals with mental or substance use disorders who have not yet been diverted at previous intercepts may be held in pretrial detention while awaiting disposition of their criminal cases. This intercept centers around diversion of individuals from the jail or prison into programs or services that allow criminal charges to be resolved while also addressing the defendant's mental and substance use disorder needs. The intercept also involves jail- and prison-based programming that supports defendants in a trauma-informed, evidence-based manner during their incarceration.

INTERCEPT 4: Reentry

At Intercept 4, individuals transition from detention or incarceration in a jail or prison back to the community. This intercept requires transition planning with specific considerations to ensure people with mental and substance use disorders can access and utilize medication and psychosocial treatment, housing, healthcare coverage, and services from the moment of release and throughout their reentry back into the community

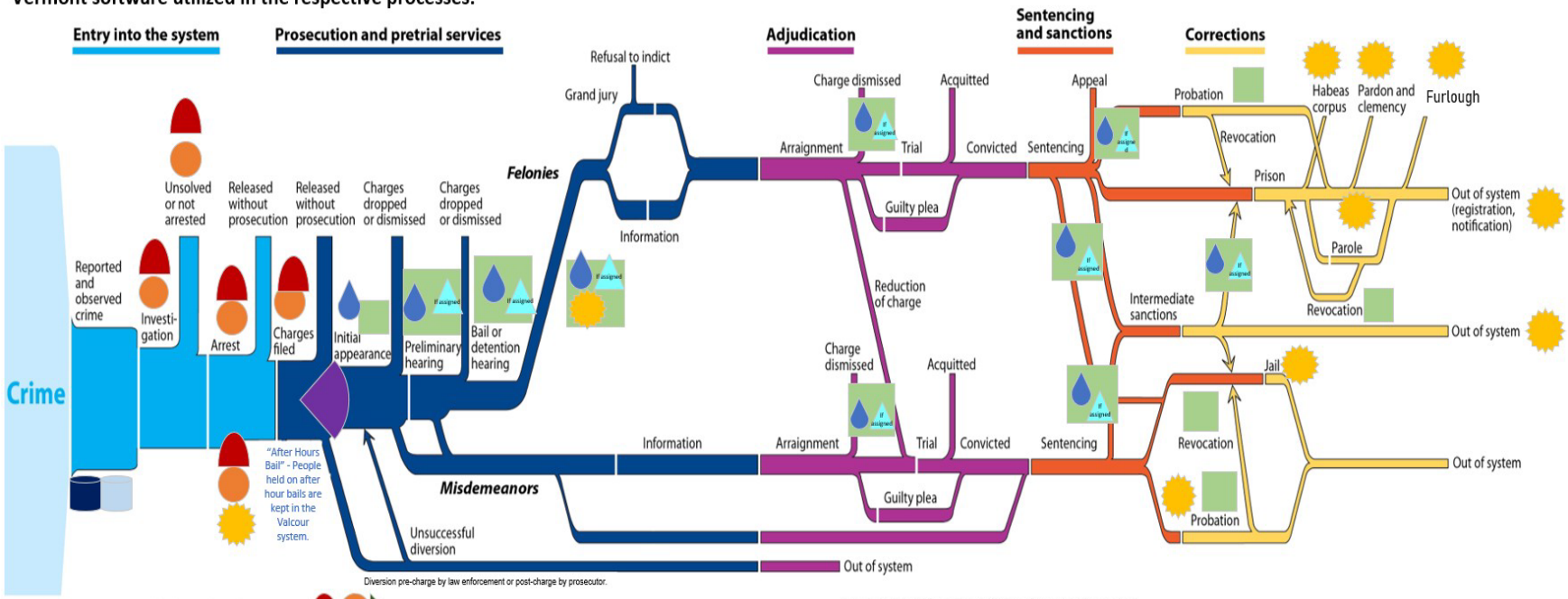
INTERCEPT 5: Community Corrections

At Intercept 5, community corrections (also called probation and parole) provide essential community-based supervision, to individuals released to the community. People with mental and substance use disorders may be at risk for probation or parole violations and benefit from added support at this intercept. Use of validated assessment tools, staff training on mental health and substance use disorders, and responsive services, such as specialized caseloads, are vital to reducing unnecessary violations, decreasing criminal re-offense, and improving behavioral health outcomes, through enhanced connections to services and coordination of behavioral health treatment and criminal justice supervision goals.

[Vermont's National Criminal Justice Reform Project (2022)]

What is the sequence of events in the criminal justice system?

An approximate flow of the criminal justice system overlayed with the Vermont software utilized in the respective processes.



Note: This chart gives a simplified view of caseflow through the criminal justice system. Procedures vary among jurisdictions. The weights of the lines are not intended to show actual size of caseloads.

Source: Adapted from *The challenge of crime in a free society*. President's Commission on Law Enforcement and Administration of Justice, 1967. This revision, a result of the Symposium on the 30th Anniversary of the President's Commission, was prepared by the Bureau of Justice Statistics in 1997.

Additional edits made to reflect the State of Vermont more accurately

GOAL OF THIS DOCUMENT:

The goal of this document is to reflect the general flow of the criminal justice system alongside the software that the State of Vermont uses to process the data created and maintained in the process. Each shape/color represents an individual system used to enter, maintain, and process data by the various stakeholders engaged throughout the process. Aside from VJISS helping to automate the passage of data from Law Enforcement to the Courts and pre-trial stakeholders, most all other data transitions are expected to be done manually at this time. A data integration of these nearly siloed repositories would create an expected recovery of hours and help foster better data integrity across our systems. The outcome would be far more insightful data reporting for all stakeholders to leverage for future change and continuous improvement initiatives.

KEY:

System *– Agency/Stakeholder*
Valcour – Law Enforcement
Odyssey – Courts
MS Excel – Attorney General
JustWare DG – Defender General
JustWare SA – States Attorney
JailTracker – Department of Corrections
Vermont Warrant Database – Warrants issued for Law Enforcement
Criminal History Database – Historical Criminal Records
Vermont Justice Information Sharing System – VJISS, e-ticketing through to the Courts and a system of automation for data sharing between Law Enforcement and the Courts
Spillman – Specific Law Enforcement agencies still use this legacy system and it houses historical data

SYMBOL AND COLOR KEY:

Where the circle is larger, that system is the "parent" system of record. Other systems reflect the same information

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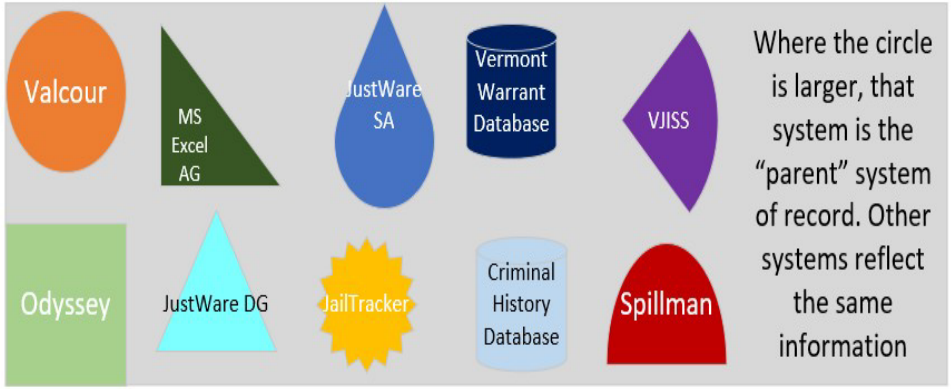
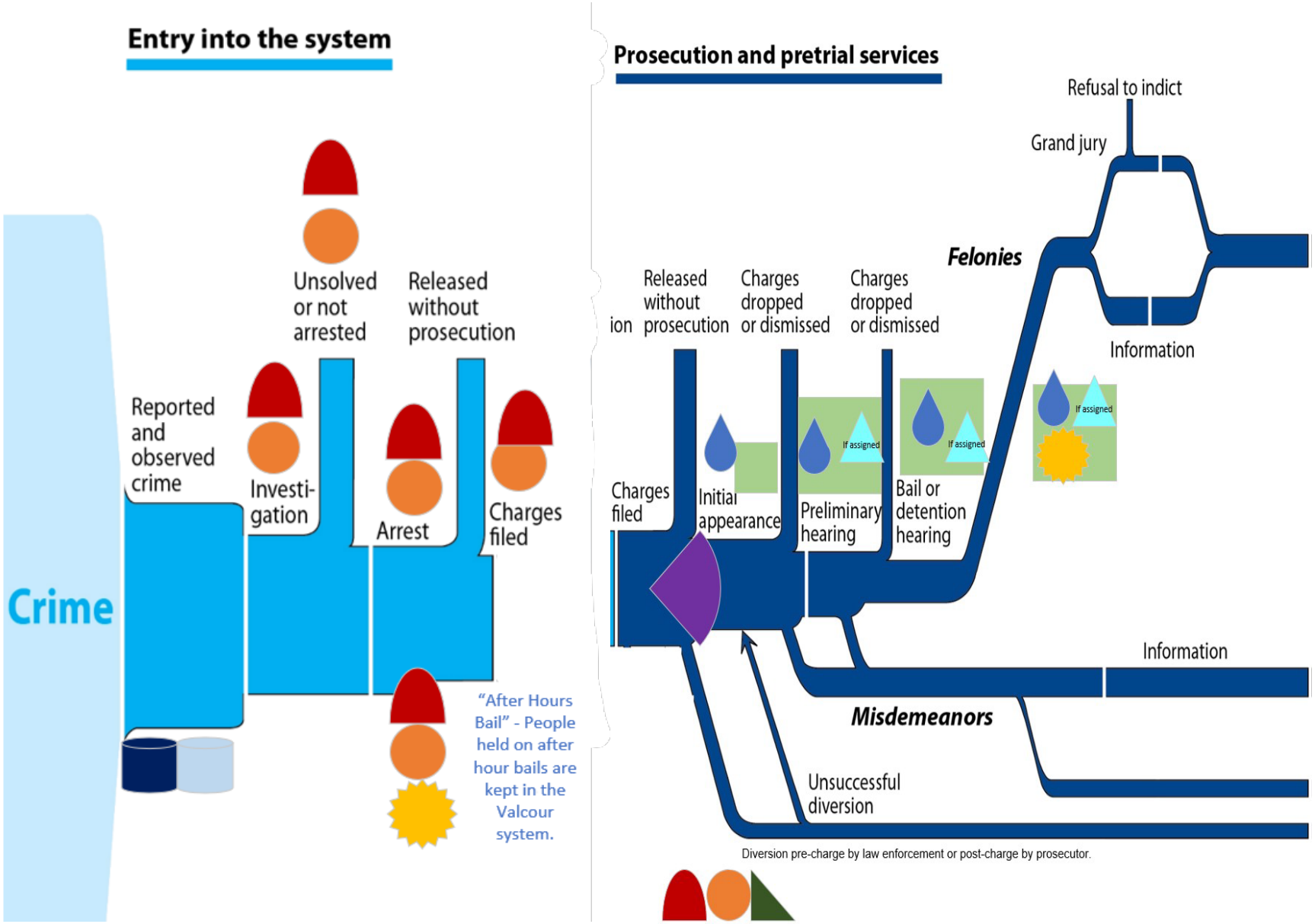
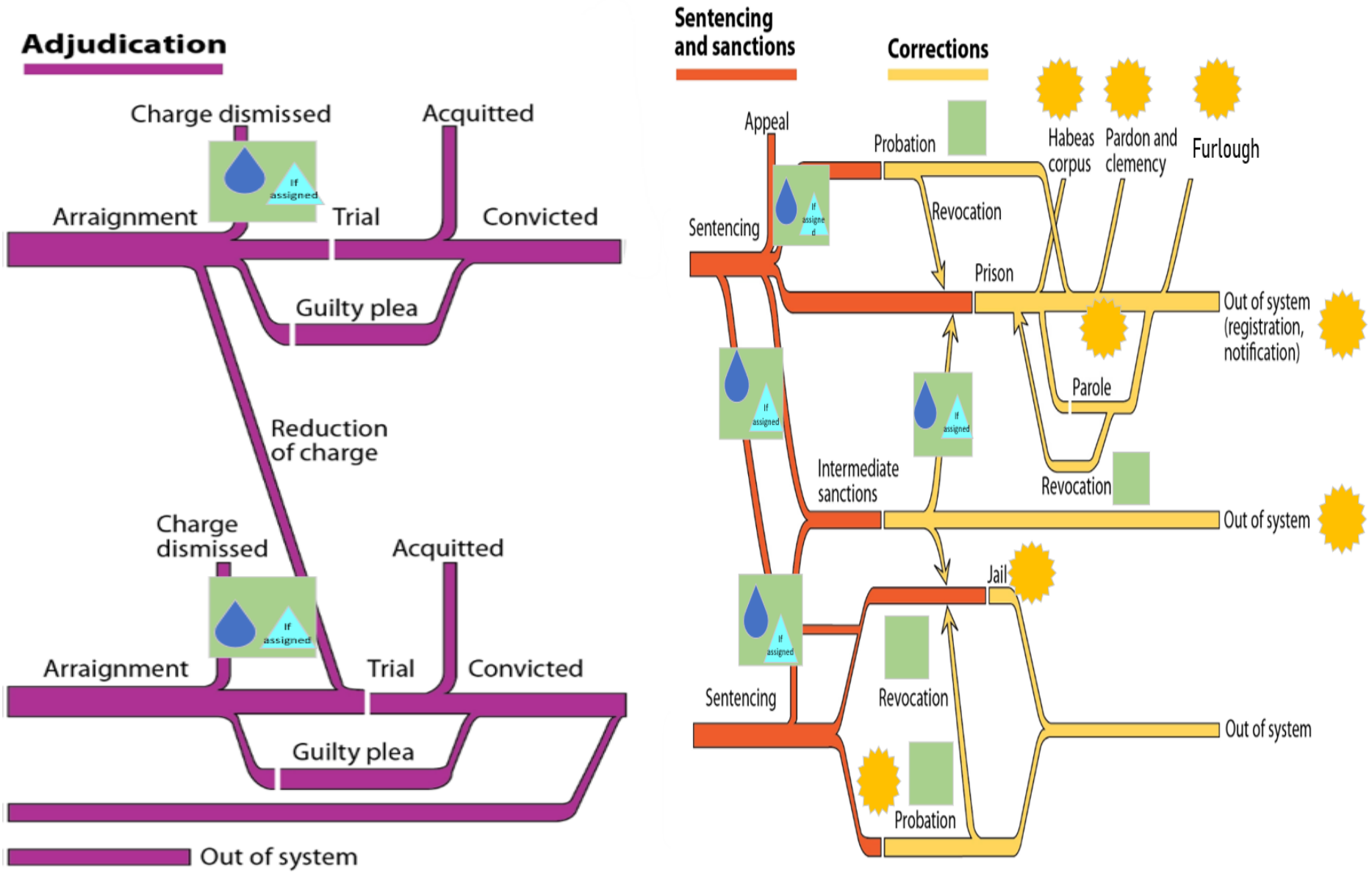



Entry into the system
Crime
Reported and observed crime
Unsolved or not arrested
Investi-gation
Released without prosecution
Arrest
Charges filed
"After Hours Bail" - People held on after hour bails are kept in the Valcour system.
Prosecution and pretrial services
Refusal to indict
Grand jury
Felonies
Information
ion
Released without prosecution
Charges dropped or dismissed
Charges dropped or dismissed
If assigned
If assigned
If assigned
Charges filed
Initial appearance
Preliminary hearing
Bail or detention hearing
Information
Misdemeanors
Unsuccessful diversion
Diversion pre-charge by law enforcement or post-charge by prosecutor.


Adjudication
Charge dismissed
Acquitted
If assigned
Arraignment
Trial
Convicted
Guilty plea
Reduction of charge
Charge dismissed
Acquitted
If assigned
Arraignment
Trial
Convicted
Guilty plea
Out of system
Sentencing and sanctions
Corrections
Appeal
Probation
Habeas corpus
Pardon and clemency
Furlough
If assigned
Sentencing
Revocation
Prison
Out of system (registration, notification)
If assigned
If assigned
Parole
Intermediate sanctions
Revocation
Out of system
Jail
If assigned
Sentencing
Revocation
Out of system
Probation