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# A model program.

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Re-examining, Re-imagining  
and Re-designing the  
Approach to Recidivism  
Reduction in California



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A proposal to the California Department  
of Corrections and Rehabilitation to create  
the California Leadership Academy for  
young adult male offenders age 18 to 25  
sentenced to state prison.

Prepared by Campbell Consulting

REDUCING  
PRISON  
IN  
CALIFORNIA



April 2016

**A MODEL PROGRAM**

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# **Re-examining, Re-imagining and Re-designing the Approach to Recidivism Reduction in California**

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## **A Proposal to Create a California Leadership Academy for Young Adult Offenders**

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A proposal to the California Department of Corrections and Rehabilitation to create the California Leadership Academy for young adult male offenders age 18 to 25 sentenced to state prison.

## Contents

Introduction .....	4
Summary of Recommendations .....	8
<b>RECOMMENDATION 1:</b> Separate 18 to 25-year-old offenders in the pilot project from the rest of the adult inmate population in separate facilities .....	13
Neurological Development .....	13
More Harm Than Good .....	15
<b>RECOMMENDATION 2:</b> Division of Juvenile Justice should administer CLA and it should be staffed with a combination of state and private non-profit employees .....	16
Division of Juvenile Justice: A Better Fit .....	16
Public Private Partnership .....	17
Staff Requirements .....	17
<b>RECOMMENDATION 3:</b> Implement a six-year pilot project at two locations—one each in Northern and Southern California—to test the California Leadership Academy model ...	19
Pilot Project Locations and Size .....	19
Eligibility .....	20
Moderate-Risk and High-Risk Offenders .....	21
Application Process .....	22
<b>RECOMMENDATION 4:</b> Create an environment that is a tool for introducing, encouraging, and reinforcing new behaviors .....	23
The Physical Space .....	24
Milieu Management .....	25
<b>RECOMMENDATION 5:</b> Create a three-phase program that effectively supports participants' reentry to community .....	28
Residential Phase .....	28
Transition Phase .....	32
Reentry Phase .....	32
<b>RECOMMENDATION 6:</b> Implement a comprehensive behavioral health model that combines treatment, education, and job training tailored to the developmental needs of the target population .....	38
Treatment Content .....	39
Education and Vocational Training .....	43

Wellness Activities.....	47
Strategies to Reinforce Behavior Change .....	47
Reinforcement System .....	48
Motivating and Measuring Progress .....	50
Safety and Security.....	51
<b>RECOMMENDATION 7: Pursue public-private partnerships to fund pilot project.....</b>	<b>52</b>
Design/Construction Costs and Financing.....	52
Annual Costs.....	53
Staffing the Pilot Project Campuses .....	54
State Personnel.....	55
Supplemental Funding Opportunities.....	55
<b>RECOMMENDATION 8: Conduct outcome evaluation and cost-benefit analysis of pilot project.....</b>	<b>56</b>
Cost-Benefit Analysis .....	56
Outcome Measures .....	56
Quality Assurance.....	58
Conclusion.....	60
 <b>APPENDICES</b>	
Appendix A: Meet Our Experts	
Appendix B: Designing Solutions	
Appendix C: Stakeholder Feedback	
Appendix D: The Relevance of Brain Development	
Appendix E: Choosing the Pilot Project Locations and Designing the Sites	
Appendix F: Young Women and the California Leadership Academy	
Appendix G: Target Population and Special Needs Categories	
Appendix H: The Missouri Youth Services Institute (MYSI) Approach	
Appendix I: The Forward-Focused Model/Young Offender Treatment Program	
Appendix J: Cognitive-Behavioral Therapy in the California Leadership Academy	
Appendix K: Educational Excellence in the California Leadership Academy	
Appendix L: Reinforcing Skill Development	
Appendix M: Risk Review Board	
Appendix N: Motivating and Measuring Progress	
Appendix O: Individualized Treatment	

Appendix P: Construction Timeline and Costs

Appendix Q: Budget and Staffing

Appendix R: Criminal Justice Cost-Benefit Model

Appendix S: Methods of Assuring Program Fidelity

Appendix T: Sustaining Change

## Introduction

The California Department of Corrections and Rehabilitation (CDCR) contracted with Campbell Consulting in July 2015 to design the California Leadership Academy, a program for reducing recidivism among 18 to 25-year-old male inmates in the state's adult prison system. The following report presents our recommendations. Nationally recognized experts in corrections, juvenile delinquency, behavioral science, and education developed the recommended treatment model, contributed to this report, and served as project advisors. (See Appendix A, "Meet Our Experts," for their background.)

In addition, we enlisted the services of a human-centered design firm to meet with young men who have first-hand experience with the California corrections system. While we relied heavily on experts to develop the California Leadership Academy, we also wanted to hear from the population this program is designed to impact. The knowledge and perspective we gained from these young men was invaluable in shaping our recommendations. (See Appendix B, "Designing Solutions," for other public sector projects the firm has worked on.)

We briefed several groups prior to this report's release to hear their views on our recommendations. These groups represent a broad spectrum of interests in corrections and criminal justice, including probation and parole officers, district attorneys, public officials, community service organizations, crime victims, and prisoners. While many expressed general support for the modern approach we're proposing, some raised concerns. (See Appendix C for details on their feedback.)

We believe certain design principles should guide the development of a program serving young adult offenders. For some model elements, there are several program options. For others, failure to abide by a single design principle may compromise the ability to achieve desired outcomes. While we are confident that this proposal, if implemented as designed, will result in recidivism reductions, we believe it also will provide much-needed information to all communities grappling with the challenge of how best to help young adult offenders transition into young men who make positive contributions in our communities.

Young adults in the criminal justice system are distinct developmentally from younger and older offenders, are often repeat offenders, and are involved in a disproportionate amount of serious, violent crimes.<sup>1</sup> There is a small but growing body of research about this population. Developing a model for how to best serve this population relies on our understanding of the physical, emotional, and moral development of human beings. It also relies on our knowledge of what works to help offenders stop committing crimes.

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<sup>1</sup> The Council of State Governments Justice Center, *Reducing Recidivism and Improving Other Outcomes for Young Adults in the Juvenile and Adult Criminal Justice Systems* New York: The Council of State Governments Justice Center, 2015.

This model fundamentally differs from traditional correctional approaches. By purposeful and consistent application of behavioral and learning principles, the model supports the development of new skills and behaviors that these young men have not had the opportunity to develop. The program is intentional and designed for the developmental stage of this age group. Each intervention is specifically designed to promote aspects of development that without a conducive environment may never be attained. It is a strength-based model built on a foundation of acceptance and respect.

The approach to skill development is rooted in the positive human development model. Developing new skills and taking on new roles works best when the program offers positive experiences helping others and providing leadership opportunities for participants. Learning opportunities are linked with the development of affirming relationships with prosocial adults and experiences. The starting point for skill building is discovering and building on the strengths of the young man, not his limitations.<sup>2</sup>

Offenders age 18 to 25 have the highest rate of recidivism of any other age group. In California, 61 percent of inmates in this age range return to prison within three years of their release. They're trapped in a vicious cycle of crime that strains our criminal justice system, drives up incarceration costs, and burdens community programs providing mental health, medical care, and social services. Reducing their recidivism rate, even by modest levels, will produce significant economic benefits throughout our criminal justice, social service, and health care systems.

**Offenders age 18 to 25 have the highest rate of recidivism of any other age group.**

There's another reason to target this population. Thanks to scientific advances, we now understand that certain brain functions, such as executive thinking, are not fully developed until the mid-20s. That means young people age 18 to 25 are more like teenagers than adults in terms of how they make decisions and subsequently how they often behave. From a corrections standpoint, that presents a golden opportunity to impact their development. With the right intervention—focused on behavioral health, education, and preparing the individual for release back into the community—we can lower recidivism rates. As such, we can effectively use the time in which these young men

<sup>2</sup> The tenets of positive youth development are outlined in *Positive Youth Justice: Framing Interventions Using the Concepts of Positive Youth Development* by Jeffrey A. Butts, Gordon Bazemore, Aundra Saa Meroe (accessed at <https://jeffreybutts.files.wordpress.com/2010/04/pyj2010.pdf>). The role of positive interventions and support in behavior management is described in *The Desktop Guide to Quality Practice for Working with Youth in Confinement*, National Institute of Corrections, Ch. 14 by Michele Deitch. The Oregon Youth Authority that serves youth up to age 21 has developed a Positive Human Development Framework that incorporates tenets of positive youth development and extends concepts to staff as well as integrates CBT and extensive use of analytics for performance management. This proposal assumes positive human development as a foundation.



are incarcerated to intentionally promote prosocial healthy development—development that may otherwise not be possible without an effective climate.

The program is designed to reduce risk by both developing attributes that protect all of us from engaging in antisocial behaviors and by developing attributes that contribute to successful lives. Unfortunately, typical prison environments do not provide opportunities for young men to effectively develop protective factors and other attributes that can help them thrive during incarceration as well as throughout their lives. This is because doing so requires a comprehensive approach that includes: a conducive setting (i.e., milieu, behavioral management system) in which to grow, comprehensive therapeutic treatment that effectively addresses clinical needs, education, vocational support and employment, and effective reentry planning and activities. Moreover, it requires a staggered approach that mirrors early adult development, and provides the necessary time and transitions to promote long-term success. It also requires continuous opportunities in a safe environment to develop and practice new skills and acquire the attributes needed to succeed in the community. This is precisely what the California Leadership Academy is designed to accomplish. The CLA provides a comprehensive approach to effectively address highly complex issues related to young male offenders while offering them opportunities for healthy and successful lives following incarceration.

Juvenile courts and corrections systems established over a century ago grew out of an awareness that juveniles act differently than adults and are more vulnerable than adults in many ways. Age 18 was set as the dividing line between juvenile court jurisdiction and adult courts and corrections systems, a line most states continue to use. Today, however, we know that the adolescent brain is still developing well into the 20s, making the dividing line of age 18 inconsistent with current knowledge. As such, we can no longer justify 18 as

### Guiding Principles

The program we're recommending for young adult offenders in California:

- Is founded on, guided by, and contributes to evidence and research;
- Adheres to the risk-needs-responsivity principles of offender assessment and treatment;
- Uses a positive human development approach based on current knowledge of young people's maturation;
- Promotes a "culture of connection" that teaches how to live connected to others while incarcerated and eventually out in the community;
- Focuses on developing independence, initiative, and self-control;
- Emphasizes civic responsibility;
- Sets high standards and expectations;
- Builds a culture in which peer accountability and teamwork are used to create a safe environment for everyone in the program;
- Always ensures procedural legitimacy and respect for human dignity matters in terms of outcomes; and
- Follows rigorous and validated standards for program evaluation.

the age of majority. In fact, some states are moving to raise the age when an adolescent must be sent to juvenile court, not adult courts and corrections systems.<sup>3</sup>

The California Leadership Academy, described in this report, is founded on principles that are well researched and practices that are evidence-based and evidence-informed. In addition, the pilot project we're proposing will add new evidence to further our understanding of what strategies are most effective to break the cycle of crime and incarceration. While evidence-based practices are gaining public attention nationwide, most correctional systems, including California's, generally lag in adopting them.

Young adult offenders coming into the California Leadership Academy have developed behaviors and habits that get them into trouble with the law. (Thought, feeling, and behavior are more artifacts of habit than we might think and are shaped in large part by environment.) We have lost many opportunities to constructively shape the behavior of this population, but with this age group we still have a small window for change. This is one of the last and best windows to help shape the still malleable young person. Our recommended program is designed to help them develop new behaviors and habits that reduce their chances of coming into conflict with the law. We expect to see real and measurable effects, including reductions in recidivism and institutional misconduct, and increases in prosocial behavior.

Educational and employment success should also be measurably increased as a result of the California Leadership Academy's emphasis in this area. Research makes clear that quality educational programming in juvenile and adult correctional facilities reduces recidivism and increases one's chances in life following incarceration.<sup>4</sup> Unfortunately, in California, only five percent of the nearly 19,000 incarcerated young adults are working toward a high school diploma or GED, while only 15 percent already have their diploma or GED.<sup>5</sup>

Change cannot happen without a catalyst. In this case, the catalyst is the *Anti-Recidivism Coalition* (Los Angeles), whose advocacy for a special program aimed at young adults in prison inspired this project and informed its sponsors. The Legislature's support in the form of a planning grant, authorized as part of the 2014-2015 State Budget, encouraged CDCR to explore these concepts further and chart the path forward, culminating in the eight recommendations that follow.

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<sup>3</sup> Connecticut Governor Dannel Malloy has proposed raising the age of juvenile court jurisdiction through age 20, and creating a separate process for handling cases for defendants and offenders between 21 and 25. If enacted, Connecticut would become the first U.S. state to raise the age of juvenile court jurisdiction above 18.

<sup>4</sup> See Davis, L. M., et al. (2013). *Evaluating the Effectiveness of Correctional Education: A Meta-Analysis of Programs that Provide Education to Incarcerated Adults*. RAND Corporation; U.S. Department of Justice, Bureau of Justice Assistance. [http://www.rand.org/content/dam/rand/pubs/research\\_reports/RR200/RR266/RAND\\_RR266.pdf](http://www.rand.org/content/dam/rand/pubs/research_reports/RR200/RR266/RAND_RR266.pdf). See also Natsuaki, Ge & Wenk, (2008) *Continuity and Changes in the Developmental Trajectories of Criminal Career: Examining the Roles of Timing in the First Arrest and High School Graduation*. J. Youth Adolescence. <http://link.springer.com/article/10.1007/s10964-006-9156-0> - page-2.

<sup>5</sup> Figures provided by the California Department of Corrections and Rehabilitation, December 2015.

## Summary of Recommendations

Given this project's primary purpose—reducing recidivism among 18 to 25-year-old offenders—we chose to follow principles and methods that have been well researched, tested, and proven to work. However, we also chose to look well beyond the objective of reducing recidivism toward providing a unique opportunity for these young men to attain successful long-term life outcomes—an objective rarely met within the criminal justice system.

With that as our charge, we designed the California Leadership Academy (CLA) to house young male adult offenders in secure facilities separate from the adult prisons. These specially designed facilities look less like a correctional institution and more like a college campus. We recommend starting with a pilot project of two "campuses," one each in Northern and Southern California. Each pilot location will accommodate 256 young men once they're admitted to the program. Groups of 16 young men share living space in dorm-like quarters and spend most of their time together as a unit.

Small groups and a more campus-like setting are essential elements of the treatment program, which involves developing prosocial behaviors to replace antisocial behaviors associated with criminality and to mitigate against the development of future criminal behavior. This requires a setting that encourages these young adults to practice new behaviors among peers and staff—and receive positive reinforcement for it—and where interactions can be closely monitored and shaped by staff and peers. Placing these young men in small living units helps combat institutionalization, promotes group cohesion (and thus group norms), and creates opportunities for residents to safely explore and investigate new behaviors and activities. For many of these young men, this will be their first experience bonding around prosocial behaviors with adults and peers. Small groups are used to give them the experience of non-criminal peer support while a trauma-informed environment will provide additional essential support—addressing the trauma backgrounds that so many offenders have.<sup>6 7 8</sup>

The facility design and layout also provides a secure and safe environment for residents, staff, and community members. In addition to cameras located throughout the campus, sightlines allow staff to monitor residents at all times. There is little incentive for violence because it leads to immediate loss of privileges. Uniformed personnel provide security at the campus perimeter and respond to security incidents that cannot be handled through other staff interventions.

Education and job training are major elements of the CLA. Virtually all the young adults coming into it lack either a high school diploma or college credential. To make up this

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<sup>6</sup> Hunter, J. A. (2010). Prolonged exposure treatment of chronic PTSD in juvenile sex offenders: Toward the development of a typology. *Child Youth Care Forum*, 39, 367-384.

<sup>7</sup> Abram, et al., (2004). Posttraumatic stress disorder and trauma in youth in juvenile detention. *Archives of General Psychiatry*, 61(4), 403-410.

<sup>8</sup> Matheson, F. I. (2012). Implications of trauma among male and female offenders. *International Journal of Environmental Research and Public Health*, 9(1), 97-99.

academic deficit, the CLA offers a high-quality, relevant, and engaging curriculum leading to a diploma, GED, community college degree, or transfer eligibility to a four-year university, as well as technical job training. The CLA's education component uses state-of-the-art technology and teaching approaches tailored to the target population. It provides them an opportunity to experience different professions and helps them to understand that these are very real possibilities for themselves.

We recommend placing the pilot project under the administration of the Division of Juvenile Justice (DJJ). The law may classify offenders in this age group as adults but developmentally they are considered to be in the late stages of adolescence. DJJ has experience implementing a behavioral health model and understands the elements of the program, and as such, provides the necessary infrastructure to effectively implement it. Administrative placement under DJJ also allows the state to offset some of the costs of CLA's education component by taking advantage of Pell grants that young people in juvenile facilities are eligible for but not young people in adult facilities.<sup>9</sup>

The proposed program requires 18 months to three years to complete, and consists of three phases. How long a participant spends in each phase depends on his progress. During Phase 1, the residential phase (typically up to two years), young men remain on the CLA campus while they participate in educational and therapeutic activities. In Phase 2, the transition phase (up to six months), young men live on campus but are allowed to leave during the day for work or school while they continue receiving supportive services. In Phase 3, the reentry phase (a minimum of six months), young men live either in a supportive arrangement of their own choosing or in community-based housing while they work or attend college.

During the reentry period, CLA participants must spend free time with their established peer and treatment support group team. They also receive ongoing support in the form of mentoring and counseling. Because the first 12 months of reentry pose significant risk to program participants, consideration must be given to ensuring sufficient time is given to Phase 3 to effectively address and reduce any barriers that may negatively impact long-term reintegration and success. Consistent with best practices, six months constitutes a minimum length of time in Phase 3, while participants may be in Phase 3 for up to one year.

These incremental steps expose CLA participants to higher-risk situations while they're still under the guidance of program staff. This approach recognizes and embraces failure along the way, but minimizes the risk of severe failures. We know this is a better strategy for managing the transition from confinement to freedom than the conventional approach, where one day an offender is in prison and the next day he's out. In fact,

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<sup>9</sup> In the future the state might consider classifying program participants as youthful offenders and successful program completion could result in being "adjudicated" rather than "convicted" of a crime. This is important because a felony conviction can create reentry barriers, including barriers related to housing, employment, and education, as well as bar youth from fully participating in the rewards of citizenry, like voting. Conversely, "adjudication" does not create this barrier to becoming a contributing member of the community.

promoting effective transitions from confinement to reintegration has been the catalyst for reentry planning. And, what we know now is that any type of additional support provided as a part of reentry planning may be beneficial.<sup>10</sup>

To apply for one of CLA's limited openings, male offenders sentenced to one of the state's adult prisons must meet the eligibility criteria:

- 18 to 25-years-old,
- 18 months to five years remaining on their sentence, and
- scheduled release date on or before their 26<sup>th</sup> birthday.<sup>11</sup>

Persons with severe mental illness,<sup>12</sup> psychopaths,<sup>13</sup> and persons with significant cognitive impairment will be evaluated on a case-by-case basis to determine if they would benefit from the pilot project, or if they are more appropriately excluded until after the pilot concludes. Sex offenders will be excluded during the pilot phase, as young adult sex offenders generally have a low-risk of recidivism. The pilot is designed for a moderate/high-risk population.<sup>14</sup>

At the project's conclusion and for several years thereafter, CDCR will measure the outcomes using a cost-benefit model developed by the Pew-MacArthur Results First Initiative, a project of The Pew Charitable Trusts and the John D. and Catherine T. MacArthur Foundation. This data collection and evaluation will track recidivism rates for program participants compared to rates for a control group, as well as provide data for calculating the economic benefits from crime reduction.

National research on the benefits and costs of recidivism reduction programs shows significant economic benefits from their successful implementation. Using sophisticated cost-benefit modeling tools, it's possible to project the monetary value of each percentage point reduction in recidivism. These benefits come from costs throughout the criminal justice system, including victim-related expenses, which are avoided as the result of fewer crimes.

However, while reducing recidivism is the primary objective of any criminal justice intervention, the proposed program is designed to go well beyond reducing recidivism. The

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<sup>10</sup> Wright, B. J., Zhang, F. X., Farabee, D., & Braatz, R. (2013). Prisoner reentry research from 2000-2010: Results of a narrative review. *Criminal Justice Review*, 39(1), 37-57.

<sup>11</sup> The first participants will be inmates drawn from the existing prison population who meet these requirements and who have demonstrated in prison their ability to participate and provide leadership in formal and informal programs and activities. The program will start with this group of participants and future participants will come only from new admissions to prison.

<sup>12</sup> The program does not provide the type of services needed to stabilize severely mentally ill people and the program content and expectations may exceed their capacity. A brief psychopathy assessment will be provided in screening to identify this small but highly problematic population.

<sup>13</sup> Once the California Leadership Academy is established, this population can be introduced in modest numbers.

<sup>14</sup> We recommend sex offenders be included if the California Leadership Academy continues after the pilot phase.

CLA is designed to turn the existing criminal justice system on its head, so that instead of incarceration serving as the single greatest factor for recidivism, this program *leverages* incarceration to address these young men's clinical treatment needs, promote healthy development, and help them adapt to a new lifestyle, while attaining essential concrete goals including education, employment, and expanded social support.

In terms of financing the pilot project, we recommend a combination of public and private funds. We estimate the annual operating costs at approximately \$119,000 per person if state personnel operate CLA, or \$104,000 per person if a private non-profit operates it.<sup>15</sup> In either case, the amount is more than the per-person cost for housing California's adult inmates (\$70,000 in FY 2015-16) but well below what the state pays for youthful offenders in its juvenile system (\$255,000 in FY 2015-16). We believe the CLA will demonstrate that this investment is worth making given the significant financial returns it bears.

To pay construction costs for the two pilot campuses, which will be sited on state-owned land, we're recommending a public-private partnership known as a "lease-leaseback" arrangement. This involves the state leasing the land for 20-30 years to a private developer for a nominal sum; the developer would construct the facility using private funds, and then lease the facility back to the state. At the end of the lease term, the state would own the structures outright. This approach has two advantages: it spreads out costs to the state without additional financing expenses, and it allows the facilities to be built faster.

For the CLA's therapeutic, education, and job-training positions, we're recommending contracting with one or more private non-profits with experience in the delivery of developmentally appropriate behavioral health programs for this target population. We recommend using state personnel to provide perimeter security and manage a limited number of rooms for holding young men whose behavior warrants temporary separation from their living unit.

If the pilot project campuses demonstrate the positive results we expect, this report can serve as a guide for making them permanent and potentially extending CLA statewide. Recommendation 7 discusses costs and financing for the state to consider if it decides to continue the program.

Each of the eight recommendations is well founded and geared towards the long-term success and sustainability of the program—both of which are critical factors to any new program development and implementation. The rationale behind each recommendation is summarized in Figure 1.

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<sup>15</sup> The cost estimate is based on state employee salaries at a reduced fringe benefit rate. A private non-profit would most likely be able to hire employees for lower salaries and thus see greater cost savings.

**Figure 1: Snapshot of Recommendations and Rationale**

Recommendation	Rationale
1. Separate 18 to 25-year-old offenders from adult prisoners.	18 to 25-year-olds are considered adolescents particularly with regard to brain development and, therefore, should not be housed with adult prisoners.
2. Situate the program within the right system.	To ensure the most effective infrastructure to treat 18 to 25-year-olds, the program should be administered by the juvenile justice system.
3. Effectively pilot the program.	To effectively evaluate the program, it must be implemented for a sufficient length of time.
4. Use the right physical design for the program.	Consistent with the innovative program design and to effectively support the needs of participants, the physical environment should foster small community living.
5. Employ a transitional model that effectively supports reentry.	A three-phase residential model that progressively increases freedom and responsibility as participants succeed is critical to successful reentry.
6. Implement a comprehensive model to promote long-term success.	To address young offenders' complex needs, the program must address core treatment needs and provide an effective treatment milieu, education, and vocational development.
7. Pursue public-private funding.	Diversified funding will ensure the program is fiscally viable while garnering a broad base of stakeholders for long-term sustainability.
8. Evaluate the program.	A program must be rigorously evaluated to fully understand its impact. An outcomes evaluation and a cost-benefit analysis will be essential during the pilot period and throughout the life of the program.

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## Recommendation 1:

### **Separate 18 to 25-year-old offenders in the pilot project from the rest of the adult inmate population in separate facilities.**

#### NEUROLOGICAL DEVELOPMENT

Young people age 18 to 25 are literally still developing neurologically<sup>16</sup> and, as a result, in other areas of human development. Beliefs, feelings, and behaviors have not become rigidly habitual,<sup>17</sup> making young people in this age range more malleable than older adults, although less so than children.

Abundant research by behavioral scientists points to the fact that juveniles and young adults are fundamentally different from older adults in how they process information and make decisions. The prefrontal cortex—the part of the brain responsible for cognitive processing and impulse control—does not fully develop until the early- to mid-20s. As a result, young people are naturally impetuous and do not weigh the consequences of their behavior. They lack decision-making skills, are more emotional than older adults, vulnerable to stress and peer pressure, and prone to react without thinking.

However, it is precisely because the brains of these young men are in fact still developing that provide us with the opportunity to intervene in the most meaningful way with them at this time in their development. As such, intervening with this age group allows us an essential opportunity to promote healthy brain development and thus influence positive growth and development well into the future. In addition, intervening in a comprehensive manner that includes addressing behavioral health needs, providing an environment in which young men can flourish, and addressing concrete needs, intentionally promotes healthy development. Moreover, because of the likelihood of traumatic histories among

#### Key Features

- This age group is in the process of brain development that is a continuation of the developmental process and should be treated as adolescents, not adults.
- Housing young adult offenders with seasoned adult criminals does more harm than good.

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<sup>16</sup> Semrud-Clikeman M & Ellison PAT. *Child Neuropsychology*. Springer, New York. 2009.

<sup>17</sup> de Wit S, van de Vijver I, Ridderinkhof KR. Impaired acquisition of goal-directed action in healthy aging. *Cogn Affect Behav Neurosci* 14:647-658 (2014).

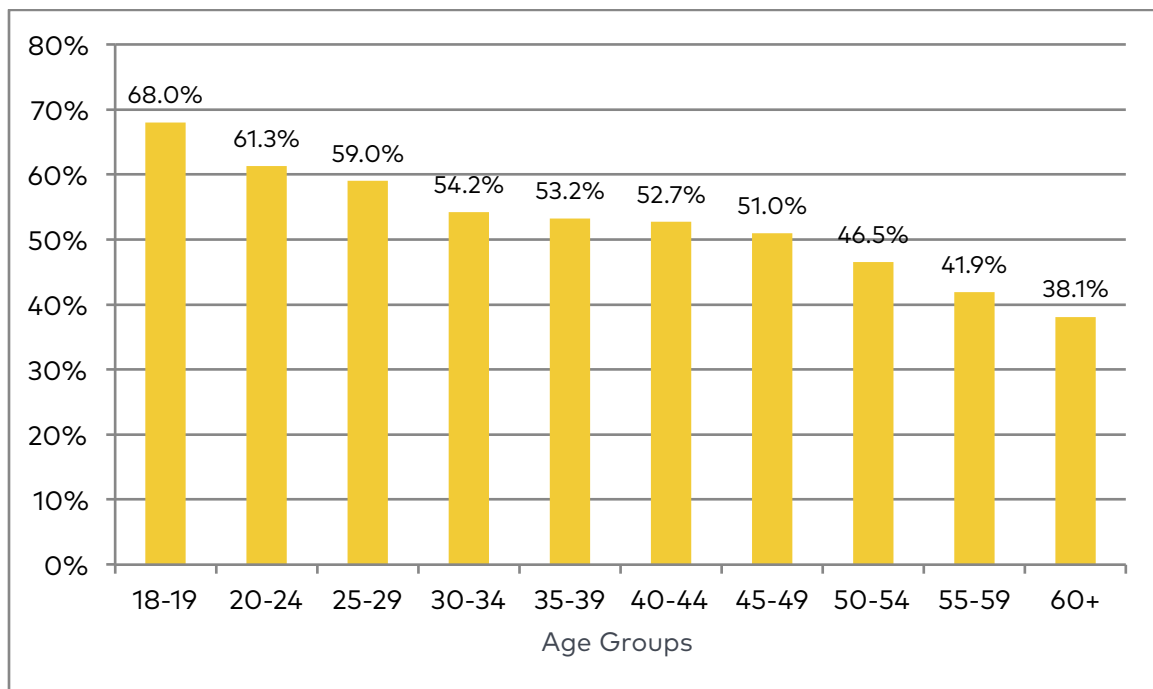


this population (approximately 90 percent), providing a trauma-informed environment and specialized treatment of trauma may be the only chance these young men have to effectively resolve issues related to trauma before firmly entering adulthood.

Personality is relatively set by young adulthood, but young adults in general are more flexible and more capable of learning and changing behavior than older adults,<sup>18</sup> consistent with what we know about biological development. Thus, addressing habitual patterns is best done as early as possible, which is why the proposed program also emphasizes skill acquisition and learning.

See Appendix D, "The Relevance of Brain Development," for more discussion of this topic.

**Figure 2: Recidivism by Age Group in California Adult Prisons**



Source: CDCR 2014 Outcome Evaluation Report July 2015.

<sup>18</sup> de Wit S, van de Vijver I, Ridderinkhof KR. Impaired acquisition of goal-directed action in healthy aging. *Cogn Affect Behav Neurosci* 14:647-658 (2014).

### **MORE HARM THAN GOOD**

Every year in California, thousands of young men and women, including many juvenile offenders charged as adults, are locked up in California prisons. Most of these young inmates receive no substantive rehabilitation programming. Instead, existing programs often focus on their shortcomings and failings, not their strengths and potential. A large body of research over the past 15 years clearly shows that young people in these facilities are often further harmed and not helped.<sup>19</sup> One of the greatest risk factors for recidivism is incarceration. A review of research over the past two decades has found that incarceration of juveniles with adults fails to meet their developmental and criminogenic needs, placing them at greater risk. After being released, most of them re-offend and return to prison. For young men placed in a prison, the threat is compounded because they are so highly impressionable and often easily fall prey to the antisocial attitudes fostered in a prison environment.

In addition to the cost consequences of their high recidivism rates, outcomes for young people serving time in adult facilities are poor. Statistics show they are more likely to commit suicide and five times more likely to be sexually abused or raped, and 34 percent more likely to commit new crimes than youth who remain in the juvenile system.<sup>20</sup>

In short, for most young offenders placement in adult facilities does more harm than good and works against their capacity to change, particularly when given appropriate treatment and educational opportunities like those offered in the California Leadership Academy.

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<sup>19</sup> Lambie, I., & Randall, I., (2013). The impact of incarceration on juvenile offenders. *Clinical Psychology Review*, 33(3), 448-459.

<sup>20</sup> Report of the Attorney General's National Task Force on Children Exposed to Violence. 2012. Washington, DC: Office of Juvenile Justice and Delinquency Prevention.

## Recommendation 2:

### **The Division of Juvenile Justice should administer CLA and it should be staffed with a combination of state and private non-profit employees.**

#### **DIVISION OF JUVENILE JUSTICE: A BETTER FIT**

Although this report presents a new approach for treating certain young offenders in California, it's based on a premise that's not new at all. The "diminished culpability" of juveniles has set them apart from adults in our criminal justice system for more than a century, dating back to the first juvenile courts.

Today, in light of what we know about the developmental differences of "emerging adults," it stands to reason that our correctional policies for this age group should align more with how we treat juveniles, with a strong emphasis on interventions and therapies designed to change the behaviors that led to incarceration. The Division of Juvenile Justice (DJJ) is in a better position to administer a developmentally appropriate rehabilitation and education program than the adult prison system.

#### **Key Features**

- DJJ jurisdiction aligns with target population's developmental needs.
- DJJ's infrastructure, experience, and knowledge aligns best with CLA.
- Staffing treatment and education functions with private non-profit employees allows flexibility to take an innovative approach.
- Using state employees to staff security functions ensures public safety concerns are met.

There is another important reason for DJJ to administer CLA. It may allow the state to offset some of the program's education costs by making its participants eligible for Pell grants, which are available to students in juvenile facilities but not adult facilities.<sup>21</sup> In addition, we recommend giving enhanced good time for completion of treatment programs and certain milestone achievements for CLA participants. DJJ has experience with level systems that can increase rewards for goal achievement.

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<sup>21</sup> This likely will require a waiver by the federal government.

## **PUBLIC PRIVATE PARTNERSHIP**

We believe the most effective way to ensure CLA is implemented successfully and receives the necessary oversight is to combine the best of the public and private sectors. This innovative collaboration builds on the strengths of both sectors.

We recommend an advisory board for the program composed of members from state and local government prisons, probation and parole, as well as the community. Community members should include treatment experts, community youth advocates, private sector business leaders, education experts, members of faith communities, and neighbors. This group should provide guidance during program development, implementation, and evaluation. It should be tasked with providing regular feedback to the non-profit provider(s) and DJJ.

The proposal for a California Leadership Academy is based on a behavioral health model and personnel who are specially trained in these fields. By contrast, employees trained in and accustomed to the traditional, punitive model would not meet the program's requirements. For these reasons, we recommend contracting with a private non-profit entity to deliver CLA's treatment, education, and job-training services.<sup>22</sup>

At the same time, addressing safety and security needs requires the expertise of state employees experienced in this area. Their security role in this program aligns more with DJJ's approach than their current role in adult prisons. At CLA, they ensure perimeter security but also are part of the treatment team. As discussed below, they need special training to work in this program. Similarly, county probation and state parole staff involved with reentry will need specialized training and flexibility to use the model's behavioral management tools rather than their standard probation and parole practices.

## **STAFF REQUIREMENTS**

Personnel who interact with CLA participants use positive reinforcement, motivational interviewing, modeling behavior, and other approaches associated with positive human development, a cornerstone of the proposed program.<sup>23</sup> Adherence to CLA's protocols is essential to its success and the validity of its outcome measures. Program administrators must commit to these protocols and model desired behavior with staff and students. In addition, staff should be trained in trauma-informed care, as a current best practice and to reduce the need for negative intervention (i.e., restraint).

All personnel must share the same view of CLA's purpose and vision, and understand and support its treatment philosophy. For instance, state corrections staff is generally

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<sup>22</sup> This is not to say it's impossible to create a state-staffed model in the future. The challenge of retraining staff would extend the time needed to assess the model, thus increasing the project's cost.

<sup>23</sup> The Oregon Youth Authority model focuses on both staff and youth development. Its Positive Human Development focus ensures that the culture that supports youth and staff results in the supportive relationships needed to establish a safe and empowering environment where learning can take place.

accustomed to minimizing interactions with inmates. At CLA, interaction is maximized and collaboration is encouraged. While program staff must maintain boundaries (through observance of their roles), interaction with participants is the expectation, not the exception.

The process of behavior change involves all CLA personnel to some degree, not just the private non-profit staff involved in treatment, education, and job training. For instance, the function of security staff is primarily to provide external controls. However, in interactions with CLA participants, security personnel need to employ the same behavioral approaches as other staff and only engage in use of force in emergencies or when safety and security demand immediate containment of a situation. Even when responding to a crisis, security staff should be trained to use methods (to the maximum extent possible) that reinforce the new behavior skills the participant is learning.

Maintenance, food service, and support staff also should be trained in CLA's behavioral methods. These staff are often key role models and will serve in teaching capacities as they help to train young men in various aspects of the CLA program services.

### Recommendation 3:

## Implement a six-year pilot project at two locations—one each in Northern and Southern California—to test the California Leadership Academy model.

#### PILOT PROJECT LOCATIONS AND SIZE

After reviewing the options, we chose to locate the pilot project's campuses at the former Norwalk juvenile facility, in L.A. County, and on land near the Stockton juvenile facility in San Joaquin County. Both sites have the advantage of being located on state-owned land with existing perimeter security, as well as offering employment opportunities nearby for participants transitioning back to the community. (See Appendix E, "Choosing the Pilot Project Locations and Designing the Sites," for the pros and cons of the sites considered.)

Each of the two campuses will house 256 participants at a time. This population size works best during the pilot project for two reasons. A smaller population yields insufficient data for statistical analysis. A larger population hampers staff efforts to provide individualized assessment, treatment, and services. It also creates additional challenges to recruit and train staff, and maintain program fidelity.<sup>24</sup>

To ensure effective implementation, we strongly recommend a 12-month staggered implementation plan, meaning that CLA will be at full capacity in one year. It should start with 64 participants (four living units). We anticipate hand picking the initial 64 participants for each site. These young men will work with staff in the initial startup and serve as mentors and facilitators to new participants. While these young men will come from adult prisons, they will be selected based on their ability to demonstrate the

#### Key Features

- Two facilities, in L.A. and Stockton, will each house 256 participants.
- Participants spend 18 months to three years in the CLA program.
- Eligibility is limited to 18 to 25-year-old males with 18 months to five years remaining on their sentence and a scheduled release date before their 26th birthday.

<sup>24</sup> A widely cited model for juvenile offenders in Missouri houses no more than 50 youth in each of its 32 residential corrections programs. The Annie E. Casey Foundation. (2010). The Missouri Model/Reinventing the Practice of Rehabilitating Youthful Offenders/Summary Report. Baltimore, MD: Richard A. Mendel. Retrieved from [www.aecf.org](http://www.aecf.org).

prosocial behaviors required for program completion and for a desire and ability to help other participants succeed.

Beginning at month three, and every seven weeks following, 32 participants will be added and two new units opened, resulting in all units reaching full capacity at one year.<sup>25</sup> This allows for all staff to be properly trained and acclimated to the CLA program, dealing with any unforeseen challenges prior to reaching full capacity, and ensures that a growing cadre of seasoned staff is available to support the opening of new units.

## ELIGIBILITY

The directive for this project targeted young male offenders, age 18 to 25, for the simple reason that males comprise the overwhelming majority (96 percent) of this age group in the state's adult prisons.<sup>26</sup> (See sidebar titled "Characteristics of the Target Population.") However, we recommend extending eligibility to female offenders after the pilot phase concludes. (See Appendix F, "Including Female Offenders in the California Leadership Academy," for a discussion of the necessary program modifications.)

Sex offenders are also excluded from the pilot project, but we recommend this population be included in CLA's expansion phase, with appropriate program modifications. This is consistent with the growing body of research that continues to demonstrate that youthful sex offenders are least likely to recidivate, and have the lowest level of recidivism of youthful offenders.<sup>27 28 29</sup>

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<sup>25</sup> It may take slightly longer than one year for the Stockton facility to reach full capacity depending on the flow of new admissions in Northern California.

<sup>26</sup> According to CDCR data, between 11/30/14 and 11/30/15, there were approximately 2,564 offenders admitted to its adult prisons who met the CLA criteria, an average of 214 admissions per month.

<sup>27</sup> Carpentier, J., & Proulx, J. (2011). Correlates of recidivism among adolescents who have sexually offended. *Sexual Abuse: A Journal of Research and Treatment*, 23, 434-455.

<sup>28</sup> Calleja, N. G. (2015). Juvenile sex offenders and non-sex offenders: A comparison of recidivism and risk. *Journal of Addictions and Offender Counseling*, 36, 2-12.

<sup>29</sup> In fact, the recidivism rates of youthful sex offenders typically are below 20 percent, whereas recidivism rates for youthful non-sex offenders range from 40 percent to 85 percent. Benda, B. B., Corwyn, R. F., & Toombs, N. J. (2001). Recidivism among adolescent serious offenders: Prediction of entry into the correctional system for adults. *Criminal Justice and Behavior*, 28, 588-613. Taylor, J., Kemper, T. S., Loney, B. R., & Kistner, J. A., (2009). Recidivism in subgroups of severe male juvenile offenders. *Psychology, Crime, & Law*, 15, 395-408. Trulson, C. R., Marquart, J. W., Mullings, J. L., & Caeti, T. J. (2005). In between adolescence and adulthood: Recidivism outcomes of a cohort of state delinquents. *Youth Violence and Juvenile Justice*, 3, 355-387. In addition, the results of several studies have found that while youthful sex offenders are at low risk of sexual recidivism, they are at increased risk of non-sexual recidivism following incarceration. While caution must be used in interpreting these correlations, the findings suggest that youthful sex offenders are more vulnerable to the negative iatrogenic effects of incarceration, particularly when labeled and isolated with other sex offenders. It also suggests that the current punitive and restrictive approaches to sex offenders are not only unnecessary but may be counterproductive.

### Characteristics of the Target Population

As of August 1, 2015, there were 19,324 offenders age 18 to 25 incarcerated in CDCR's Division of Adult Institutions. Of that number:

- 96.0% are male
- 5.6% are 18 to 19-years-old
- 94.4% are 20 to 25-years-old
- 72.1% are serving a determinate sentence
- 18.3% are second strikers
- 6.8% are serving a life term with the possibility of parole
- 1% are serving a life term without the possibility of parole
- 23 offenders are third strikers
- Two offenders are condemned

Source: California Dept. of Corrections and Rehabilitation, Office of Research

To be eligible for CLA, a male applicant must have 18 months to five years remaining on his sentence in adult prison (which also includes youth transferred from a Division of Juvenile Justice facility to an adult prison) and an expected release date prior to his 26th birthday. The CLA program lasts 18 months to three years. That's how much time we estimate participants need to acclimate and engage in the program and achieve real, life-altering behavioral change. It also provides sufficient time for most participants to complete their GED, a community college degree, and/or job training leading to post-release employment.

We do not expect many participants to go through the CLA program in the minimum time. However, we do not recommend admitting offenders with sentences exceeding five years because they need to be able to "graduate" from the program in a reasonable period of time.

Persons with significant cognitive impairments and/or severe mental illness, including psychopathy, will be evaluated for admission on a case-by-case basis. These populations have special needs and are unlikely to benefit from the program's approach.

See Appendix G, "Target Population and Special Needs Categories," for further discussion.

### MODERATE-RISK AND HIGH-RISK OFFENDERS

We recommend targeting moderate-risk and high-risk offenders for the pilot project. "Risk" refers to the likelihood of committing crime after release from prison, which is



assessed using a standardized evaluation of criminogenic factors.<sup>30</sup> Using this yardstick, CLA's population will consist of repeat offenders and persons with recurrent institutional misconduct.

Research shows that delivering correctional rehabilitative services to low-risk individuals may actually increase their risk of re-offending.<sup>31</sup> In addition, numerous studies have shown that program effectiveness for the moderate/high-risk groups may be undermined by mixing them with low-risk offenders. That said, a young man who has been convicted and is being sent to adult prison should be eligible for this program, even if low-risk, in the attempt to prevent the negative effects of incarceration in adult institutions. If CLA extends past the pilot phase, and a program for low-risk offenders is desired, these individuals should be housed separately from the moderate/high-risk population, and the intervention, supervision, and aftercare strategies should be less intensive and ideally delivered in the community.

### **APPLICATION PROCESS**

The program is voluntary, so young men need to apply for admission.<sup>32</sup> Applicants who don't meet the eligibility criteria will not be considered. Admissions are based on random selection.<sup>33</sup> Otherwise-eligible applicants who are not selected are placed on a list for future consideration as slots become available.

Why would a young man apply? One incentive to apply could be the possibility of a reduced sentence. The selection criteria require that an applicant have 18 months to five years remaining on his sentence. Participation in the CLA program typically lasts up to three years. Depending on an individual's progress in meeting CLA's program goals, it's possible he could be released to parole or post-release community supervision (PRCS) earlier than he would due to good-time reductions.<sup>34</sup>

Existing law allows an inmate to request resentencing. California Penal Code, Section 1170(d)(1), allows the paroling authority to recommend re-sentencing. This process, while complex, offers an opportunity for the sentencing court to review the progress an offender has made and consider changes in the original convictions.

Another possible incentive, which requires legislative changes that we would highly recommend, would be to allow participants who do well in the program to request a court

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<sup>30</sup> A variety of static risk assessment tools are available for this purpose. It doesn't matter which particular tool is used as long as it's well validated with good sensitivity and specificity, and is not overly complex.

<sup>31</sup> Rice ME, Harris GT, Cormier CA. An evaluation of maximum security therapeutic community for psychopaths and other mentally disordered offenders. *Law & Human Behavior* 16(4):399-412 (1992).

<sup>32</sup> The first 64 participants will be drawn from the existing inmate population.

<sup>33</sup> With the exception of the first smaller group of participants mentioned in footnote 11.

<sup>34</sup> A current ballot measure—Initiative Number 15-0121 Criminal Sentences. Juvenile Criminal Proceedings and Sentencing—would provide the CDCR Secretary flexibility to increase good time for successful completion of a program like the CLA or components of it. If the Initiative is not put into law, we suggest a request for change in statute allowing the Secretary of CDCR to award enhanced good time credits for participation in this program.

hearing to convert their “conviction” to an “adjudication.” The impact of this is not insignificant. A young person with a felony conviction is barred from many privileges of citizenship, such as voting. They must always declare their felony conviction on job applications, which will bar them from many jobs. Conversely, a young person with an adjudication is eligible to vote and will not have to declare his criminal record on job applications.

Other incentives include the desire to be in a safe environment and free from the pressure to join a gang as well as relief from the boredom of the prison environment that CLA's education and training opportunities offer. More significantly, it ensures that young men whose brains are continuing to develop are not neglected but instead receive essential stimulation.

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## Recommendation 4:

### **Create an environment that is a tool for introducing, encouraging, and reinforcing new behaviors.**

The California Leadership Academy requires a facility design that supports its program goals. That means the premises must provide experiences and opportunities to learn that are as similar to a normal prosocial community environment as possible—not a prison.

It also requires a layout that promotes interaction among small groups. Bonding, interaction, and accountability to peers are key elements of the rehabilitation strategy, which a typical correctional setting does not support.

Similarly, all staff must model with each other and the program participants the behaviors they are trying to teach. The program participants must be physically safe as well as psychologically safe. Staff has to understand the impact of history on these young men, why they have engaged in certain behaviors, and build on the strengths that each individual presents. Managing the milieu

#### **Key Features**

- Each 256-bed campus has 16-person dorms.
- Non-institutional setting supports CLA's treatment strategy.
- Facility design includes kitchens, laundry, and amenities that allow residents to learn critical life skills.
- Design allows families and community members to visit and prepare meals and enjoy activities so CLA participants can learn how to have healthy fun that doesn't involve criminal activity.

so that all interactions build on the strengths of a young man and help him to internalize desired behavior is a critical aspect of creating a learning environment for program participants.

### THE PHYSICAL SPACE

The physical premises must support a young man to develop agency. The space must allow program participants to have a degree of ownership over their living space. Young people must have choice to learn to make better decisions. Small choices like where a desk is situated in a room are important decision experiences for participants. Similarly, the physical space needs to support the development of emotional regulation. The environment must provide options for interaction that allow a young man to remove himself from or join a group depending on how interaction impacts his emotions. Finally, the space must reflect what a positive, supportive home and/or work space looks like. Many of these young men have no idea what a comforting and supportive environment looks like so they have no desire to strive for it.

“The way a space looks and feels provides immediate cues to the cultural values and expectations of a place, while helping to instill them.”

—*Sustaining Change*,  
By IDEO, April 2016

Whether fostering prosocial interaction or creating desire for a new lifestyle, this non-institutional setting prepares participants for needed life skills like walking into a classroom and feeling comfortable, interviewing for a job, preparing a meal, or doing their own laundry.

For each of the 256-bed pilot campuses, we’re recommending a design with living units similar to dorm rooms that accommodate groups of 16 participants. There are a few secure rooms so that behavior problems can be managed on campus without having to expel a program participant.

The small group spends most of its time together in therapy sessions, classes, and other structured activities. Participants support and reinforce the norms and behaviors that each person is trying to learn. In addition, all groups are working each week on one skill that everyone practices for the week.<sup>35</sup> The layout forces interaction with peers and staff—many of whom they would not engage with in the community due to gang

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<sup>35</sup> DJJ created “Skill of the Week” (SOTW) where staff and youth share facilitation of a skill included in the therapy curriculum. It provides opportunities for staff and peers who may not know in detail what a student is working on for his behavioral goals but can still find ways to positively reinforce his behavior if he practices the SOTW.

involvement or their limited experience with people who are different from them—which offers constant opportunity to practice new skills and behaviors they’re learning. Even though the layout provides sightlines so staff can see participants at all times, each unit begins to regulate its own behavior through feedback within the group.

Classrooms and other learning spaces reflect this positive, interactive culture too. Instead of drab walls with out-of-date posters, these areas feature art created by CLA participants and their awards. The grounds and open spaces display artworks by them as well. In addition, providing cross training to educational staff in both the comprehensive behavioral model and in trauma-informed care will ensure continuity between the educational and treatment settings. As such, better treatment outcomes may be realized as a result of coherence across environments, and continued reinforcement of key principles.

The layout and design also support institutional security. Each campus is surrounded by a secure perimeter staffed by state correctional officers, who also are available to respond to security incidents that cannot be handled through other staff interventions.

Appendix E, “Choosing the Pilot Project Locations and Designing the Sites,” includes schematics of the campus layouts. In addition, Appendix T, “Sustaining Change,” by IDEO, provides renderings and descriptions of possible designs on pp. 63–73.

## **MILIEU MANAGEMENT**

Underpinning the treatment and behavioral approaches is the structure, values, and nature of interpersonal interactions, or “milieu,” that give the program its energy. The physical design of the facility is vitally important in that it must provide for small living groups that function as a home base for support and allow for the close monitoring and development of prosocial interactions rather than large impersonal institutions that allow individuals to hide or escape detection when they mistreat others. Having a milieu that supports a sense of belonging and cooperation is essential to supporting the process of behavioral change.<sup>36</sup>

There are several excellent models to create a milieu that supports a young man’s journey of self-discovery and learning. The first step in this process is educating the staff to understand how to work with young men to support desired behavior change. This often requires letting go of preconceived notions about parenting, how young men learn best, what motivates others to change, and how to lead strength-based change. For most corrections organizations, this requires a complete cultural transformation.

For example, for decades corrections staff have been taught to keep distance from offenders, focus on violations of institutional rules, and in many cases constantly remind the offenders of their law violations and perceived failures as people. Helping staff to

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<sup>36</sup> This concept is well described in the literature of Therapeutic Communities and related approaches. Pearce S & Pickard H. How therapeutic communities work: specific factors related to positive outcome. *Int J Social Psychiat* 59(7):636-645 (2012).

understand that focusing only on the negative does not help a young man access and build on the strengths he has is a steep mountain to climb. DJJ has spent the last decade attempting to transform its culture from one that relied on not punishing youth for wrongdoing to reinforcing positive changes as a strategy for behavior change.

What they know well is that the way staff interacts with youth is the key to either building desired skills or reinforcing undesired skills. In short, it's not enough to send people to skill building classes and expect change in their behavior if the interaction with staff in all daily living functions undermines the very skills they are being taught in treatment, education, vocational, and recreational classes. The staff and the physical environment must support the skill building being taught. All aspects of the organizational culture have to use the same strategy of building on strengths and using positive reinforcement to shape behavior change.

A program well known for supporting this type of cultural change in juvenile institutions is the Missouri Youth Services Institute (MYSI). MYSI works with institutions through an intensive coaching model to develop "a humane and nurturing environment." ("The Missouri Model for Young Offenders," p. 1. For additional background on MYSI's beliefs and approach, see Appendix H.) MYSI staff work side by side with staff in the program to assist them in learning how to use the tenets of positive youth development to create a milieu that supports treatment goals. Their approach recognizes that classroom training is not sufficient to make cultural change. Coaching by skilled facilitators is also needed. A simple overview that captures the type of culture MYSI builds through its training and coaching process is illustrated in the accompanying box.

### Dignified and Undignified Behavior

#### DIGNITY

Trust  
Listening  
Dialogue  
Empathy  
A good word  
Consideration  
Offering assistance  
Decency

#### LACK OF DIGNITY

Humiliation  
Scorn  
Condescension  
Ignoring  
Shouting  
Undermining other's confidence  
Blaming  
Moralizing

Source: Missouri Youth Services Institute

The behavior management model elements such as the reinforcement and level systems, discussed in Recommendation 6, are other tools that are used to manage the milieu. In addition, there is an innovative new model entitled *The Trauma-Informed Effective Reinforcement System* (TIER). While originally developed for girls, it has been successfully adapted for and implemented with young men (see Appendix F). Finally, given the expected backgrounds and history of most program participants, the milieu should be designed to be a trauma-informed environment based on the five core values of safety, trustworthiness, choice, collaboration, and empowerment. The environment provides ongoing opportunity to effectively address traumatic pasts while further enhancing the milieu.

Having a defined "milieu management approach" is critical to ensure that participants know they're in a safe, controlled environment under the watchful eye of counselors and therapists. It provides a risk-free setting to practice new prosocial behaviors and to share thoughts, with little or no incentive to act out.

## Recommendation 5:

### Create a three-phase program that effectively supports participants' reentry to community.

The California Leadership Academy consists of three phases:

1. Residential (typically up to two years)—Participant remains on campus at all times with varying degrees of restriction.
2. Transition (up to six months)—Participant lives on campus but is allowed to leave during the day for off-campus work or school.
3. Reentry (minimum of six months)—Participant lives and works (or attends college) in the community.

#### RESIDENTIAL PHASE

Having a clearly articulated conceptual model for the treatment program is an essential element of CLA. Several options are available but the key is a defined model that can be replicated. Similarly, using a validated and well-researched assessment tool, a case management process that can be shared across disciplines, and a method to ensure quality assurance are all essential elements.

#### Key Features

- CLA consists of three phases: residential, transition, and reentry.
- Positive role models of men who have successfully reentered society pair with participants through all three phases.
- Local employers are key to helping CLA participants find employment.
- Local service organizations, with public and foundation support, provide reentry housing.
- Young men leave residential phase with a support team to help them with the challenges of reentry.

One example of such a treatment program is the Forward-Focused Model. This example demonstrates treatment that is empirically guided, developmentally informed, comprehensive, and consistent with CLA's major principles, objectives, and design. Under this model, participants begin the program with orientation and assessment, which on average lasts 30 days while staff assesses their strengths and developmental needs. The initial assessment is founded on the assessment used by CDCR: the Texas Christian University instruments.<sup>37</sup> An individual interview by case workers determines if additional

<sup>37</sup> California's Youthful Offender Program, established by SB 1276, allows for the screening of offenders up to 22 years of age entering CDCR for eligibility to have their custody level reduced.

assessments for specialized needs are required. It includes a comprehensive evaluation of criminogenic risks and needs. This process identifies risk factors that research shows have a high correlation to committing crime, such as anti-social thinking, aggressive behavior and/or little involvement in non-criminal leisure activities. (See Figure 3, "Criminogenic Needs," for a list of risk factors associated with criminal behavior.) The assessment also identifies past traumas in the participant's life—for young offenders, witnessing violence or being abused are common—as well as barriers that would interfere with treatment, such as substance abuse, lack of motivation, or cognitive impairment.

Participants also undergo academic assessment to determine their placement in CLA's school. In addition to reviewing past school performance, the education staff gives participants a chance to demonstrate academic strengths (and for staff to identify weaknesses) through a series of short, personalized workshops during their orientation. Participants share their hopes and dreams for the future as part of this process, and receive help from their counselor in selecting coursework that aligns with their strengths, skills, interests, and academic needs. (See "Spotlight on Marc" for a hypothetical example of someone going through this non-standardized educational assessment.)

All the information gathered during orientation and assessment is used to develop an initial case plan within 30 days of a participant entering the program. This individualized plan—updated as needed—identifies treatment needs and the strategies that will be used to treat those needs.<sup>38</sup>

During the first month, participants receive individual and group sessions to engage them in the program and develop relationships with staff and mentors to ensure that all initial needs are identified and incorporated into their case plan. While individual interventions may continue as needed beyond the first month, family counseling and support is initiated during the second month. Family counseling and support provides an opportunity to bring supportive individuals into the intervention process while building additional support for participants during and after their time in the program.<sup>39</sup>

There's a strong emphasis on garnering support from family, friends, partners, and/or other individuals as a critical part of the treatment process. In some cases, rebuilding stable family connections can help ensure a successful return to the community; in others, distance from family will be key to successful reentry. The program's goal is to engage at least one supportive individual (e.g., neighbor, former coach) for each participant. Emphasis is also placed on providing mentors who are young men who have returned from prison to the community and do not engage in criminal activity and can model how

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This unit uses the TCI assessments. They are highly skilled at screening this population. We recommend expanding this unit to screen offenders up to 24.5 years of age.

<sup>38</sup> We recommend using a modern electronic database to track and update case management plans. All staff members who rely on these plans to deliver effective and appropriate services need access to new information, progress notes, etc. when it's added. Everyone on the team should be working from the same plan.

<sup>39</sup> For some young men, family will not be supportive or may present criminogenic risk. Staff will work with these young men to develop a "chosen family" of community members that can be of support.



to be successful. Family therapy provides another option for community engagement. The program offers a range of activities to encourage their participation. In addition, specially trained probation or parole coaches meet and work with participants during the residential phase.

**Figure 3: Criminogenic Needs**

Criminogenic Need Factor	Risk	Strategy to Address
History of antisocial behavior	Early and continuing involvement in a number and variety of antisocial acts and a variety of settings	Build noncriminal alternative behavior in risky situations.
Antisocial personality pattern	Adventurous pleasure seeking, weak self-control, restlessly aggressive	Build problem-solving skills, anger management and coping skills
Antisocial cognition	Attitudes, values, beliefs, and rationalizations supportive of crime; cognitive emotional states of anger, resentment, and defiance	Reduce antisocial cognition, recognize risky thinking and feeling, build up alternative less risky thinking and feeling, adopt a reframe and/or anticriminal identity
Antisocial associates	Close association with criminal others and relative isolation from anticriminal others; immediate social support for crime	Reduce association with criminal others, enhance association with anticriminal others
Family and/or marital	Two key elements are nurturance and/or caring and monitoring and/or supervision	Reduce conflict, build positive relationships, enhance monitoring and supervision
School and/or work	Low levels of performance and satisfaction in school and/or work	Enhance performance, rewards, and satisfactions
Leisure and/or recreation	Low levels of involvement and satisfaction in anticriminal leisure pursuits	Enhance involvement, rewards, and satisfactions
Substance abuse	Abuse of alcohol and/or other drugs	Reduce substance abuse, reduce the personal and interpersonal supports for substance-oriented behavior, enhance alternatives to drug abuse

*Adapted from Andrews, Bonta and Wormith (2006), The Recent Past and Near Future of Risk and/or Need Assessment.*

### Spotlight on Marc: School Climate Sets Welcoming Tone

(This hypothetical scenario highlights the key role that school climate will play in a young person's life in the CLA program, particularly during the critical first few months.)

Marc is 19. He was charged as an adult for stealing a car while armed when he was 17. He dropped out of school when he was 14. He reads at fifth-grade level. He was physically abused and taken advantage of while in adult prison.

During his first month on the Stockton campus, Marc has numerous opportunities for self-discovery. He participates in small, personalized workshops with his orientation counselor to help him and the school staff uncover his strengths and opportunities for growth. He explores the theme of self, is given the chance to write short poems and mini-essays, and creates collages designed to help him feel comfortable expressing himself. Through a series of short, engaging modules, he demonstrates his knowledge of math concepts. In one module, he and his counselor answer a series of prompts using an interactive SMART Board where he can work out problems and think aloud. Later, he gets to construct a small "home" in the maker-space using cardboard and other basic materials, an activity that engages his creativity and imagination and lets him use his math skills (measurement, geometry, ratio/proportion).

Through this process, Marc starts to unearth some of the trauma-related scars that staff will work to heal. Marc sketches out a timeline of critical events in his upbringing, identifying people and events that have shaped him. He "designs" this timeline and identification process in a medium he's comfortable with, choosing among graffiti boards, a clay and pottery studio, and digital/animation software.

Next, Marc transitions into his core rotation. He experiences success, early and often. He learns he doesn't have to wait until the end of a semester to see how he's doing. Instead, he earns badges for meeting weekly academic goals and demonstrating key skills in the Design Studios. The badges stack up and help him stay focused. He meets a tutor from a technology company who explains that his company gives employees pay raises and rewards for increasing their skills, and they get badges in new technology and programming languages.

A few months into the program, Marc is asked to co-host a live radio show his Design Studio is sponsoring, based on his enthusiasm and the effort he's put forth in the sound engineering course. All along, Marc meets with his reading tutor at the end of the school day—he knows he still has a ways to go to pass the reading portion of his GED, but he's not quitting. So far he's read some great books, including Sherman Alexie's "The Absolutely True Diary of a Part-time Indian," a number of Walter Dean Myer's books, and is working on "A Place to Stand" by Jimmy Santiago Baca. He's excited about the read-a-thon coming up and plans to help his pod bring home the trophy for most books read in the month.

Reentry activities and planning begin the day of entrance into Phase 1. Participants immediately begin working with their counselor to set goals for their life after release. As part of this process, participants learn about their own risks for criminal behavior and how the resources available in the program and the community can help them deal with

those risks. Reentry plans are revisited at multiple points to ensure clinical treatment and other activities are moving participants toward their goals.

In our treatment program example, participants progress from the Orientation Stage to Stage One of the Forward-Focused Model and begin to participate in each of the other treatment components (see Recommendation 6).

### **TRANSITION PHASE**

In the Transition phase, participants begin the process of reentering community life.<sup>40</sup> They're allowed to work in an off-campus job, which may be part or full time, attend college classes, or volunteer on a service project by day and return to campus each evening.<sup>41</sup> If working, their pay is deposited into a trust account, a portion of which goes to victim restitution (if any). Another portion is saved for future rent and other reentry needs. Counselors are in close communication with employers to monitor participants' status and progress.

Participants still receive the full range of treatment and services on campus while they're in this transition phase.<sup>42</sup> Counselors continue to work with them and encourage them to continue their education, including online courses.

The transition phase allows participants to become familiar with workplace or school campus environments so they are not overwhelmed or discouraged by what to them can be daunting and confusing places. In addition, vocational training they received during the preceding residential phase will enable many participants to qualify for apprenticeship programs leading to full-time employment.

This phase of the program not only allows participants to meet work and school requirements but in many senses provides a normal experience of meeting a schedule, addressing transportation needs, and experiencing frustration when processes go wrong or there are interpersonal situations. In short, it provides an opportunity to experience the normal challenges of an adult schedule.

### **REENTRY PHASE**

For the last phase of the California Leadership Academy, participants live in the community to work and/or attend college.<sup>43</sup> Each participant's individualized and detailed reentry plan is finalized well before he leaves the CLA campus. This plan, which he's developed with input from a counselor, probation or parole coach, and supportive family

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<sup>40</sup> This proposal is not intended to change any provisions affecting victim notification requirements. To alleviate any concerns, we suggest CDCR review the relevant provisions to ensure appropriate requirements are met.

<sup>41</sup> Adult inmates are eligible to work or go to school in the community under California Penal Code 1170.05.

<sup>42</sup> This includes good time for program participation and meeting behavioral targets.

<sup>43</sup> California Penal Code 1170.05 also authorizes this arrangement.

or other supportive contact, describes where he will live and with whom, as well as specific steps he will take to find employment and stay out of trouble.

As part of this process, participants have access to a range of mentoring programs, based on their individual needs. In some cases, mentors will be affiliated with their future employer; in other cases, mentors may be affiliated with a non-profit or support program. Mentors will often include program graduates who understand the challenges of reentry. (See "Spotlight on James" for a hypothetical example of a participant preparing for reentry.)

Perhaps the most important design principle in this phase is the concept of consistent relationships. A dominant theme of the young men interviewed by IDEO was the abandonment they experienced throughout their lives. We replicate the personal abandonment in the criminal justice system by having one professional hand off the "client" to the next. For reentry to work, the young men in CLA need a team that stays with them not just through the residential phase like the best institutions but through all program phases.

To do this cost effectively, we propose building on the supervision systems we have—probation and parole—and engaging ex-offenders and community members to team with CLA participants from the residential phase through the reentry phase. Consistent with prior recommendations, this mentor team must use a positive human development approach to interaction and coach and model more than teach. We have included three reentry coordinators in our proposal to assist CLA graduates and their reentry teams.

### **The Reentry Team**

Just like we use social support to change behaviors like diet and addiction, the young men we spoke to indicated the most powerful motivator for them is seeing other guys "make it." When they see someone who is happy with their new crime-free life, it helps them to keep making progress. Besides having ex-offenders as staff members and attending lectures and activities with ex-offenders, each participant will have a mentor of his choosing who will begin to work with him in the residential phase of the program and, most importantly, spend time with him during reentry. This is a key member of his reentry team.

Another consistent theme from interviews with current inmates and ex-offenders is that going home is often not an option.<sup>44</sup> Many of them fear that family, friends, and the gang will pull them back into a life of crime. Unfortunately current law sends incarcerated persons back to their county of origin when released.<sup>45</sup> We strongly recommend either overrides or a change in law so CLA graduates are not sent back to a detrimental

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<sup>44</sup> While these themes come from the IDEO research, the experts we worked with agree on the importance of social support from someone who has been incarcerated and the sometimes detrimental influences of their former lives.

<sup>45</sup> County of origin does not necessarily mean the last location someone lived but can merely be where a crime occurred.

environment, particularly since doing so may compromise, if not erase, any gains otherwise made by participation in the first and second phases of the program.

Another key social support network is housing in a program that is willing to use the CLA principles. There are several existing housing options that could provide services, or the state could contract for new services. In those areas with a big enough population, we recommend CLA graduates spend six months living in a supportive housing model similar to one operated by the Anti-Recidivism Coalition (ARC) in Los Angeles. The ARC's reentry housing uses apartment-style residences that could easily translate into group settings. This model involves partnering with local service organizations using funds from a variety of sources, including county probation grants, state parole programs, and charitable foundations. Program participants also contribute a portion of their earnings toward rent if they're employed.

### **Probation and Parole Coaches**

Probation and parole services will be a bit different than those typically delivered to probationers and parolees today. In fact, probation and parole officers are considered coaches and reentry liaisons—working collaboratively with young men and residential staff to fully support young men as they reenter the community. Coaches will participate in training with residential staff so they fully understand the young man's developmental needs and can become fully acclimated to the aim and goals of the program. As such, seasoned probation and parole coaches will require varying degrees of "un-learning" previous methods of working with offenders while they develop new skills to more effectively support the long-term success of program participants. To accomplish this, coaches will be trained in motivational interviewing and will use a reinforcement and level system that guides them in how to positively reinforce behavior.<sup>46</sup>

We recommend two options for probation and parole services. Ideally, the community housing would include only CLA participants. For those counties with a large enough population, if interested, probation could provide a housing option for their probationers and/or for both probationers and parolees. While this would happen in only a handful of jurisdictions, our research indicates some probation departments like the idea of serving the entire population.<sup>47</sup>

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<sup>46</sup> Two probation departments, Los Angeles and Sacramento, have agreed to pilot this approach as has the Paroles Division of CDCR. The methods proposed align with the supervision strategies all of these agencies are implementing.

<sup>47</sup> The Sacramento Probation Department has expressed a willingness of serving both probationers and parolees from the Sacramento County CLA population on a pilot basis providing incremental funds are available for the pilot. The incremental amount is not expected to be highly significant.

## Spotlight on James: Community Support

(This hypothetical scenario highlights the broad range of support a CLA participant will receive as he prepares for reentry to the community.)

James is 25. He was incarcerated for eight years before he came to CLA, when he was 22. When he arrived, he had no high school credits that could be located or verified.

Now James is within three months of completing the CLA program and leaving campus. Over the last few months, he's been preparing intensively to transition back to the community. He's earned his GED and completed a number of college courses for credit.

About six months prior to his release, James started taking a class on finance and business planning. The course culminates with James presenting a business plan on how to start and sustain a landscape architecture company—his chosen career goal. James designed his business plan with the support of a mentor who is the CEO of a local sustainable gardening company. In two weeks, James will present the plan for a peer review and a team of local business leaders who volunteer to sit on these panels.

James' plan and its delivery will not be a typical flat PowerPoint presentation. Instead, the plan will include a portfolio of virtual designs in print, videos, and miniature 3-D designs. It will include financial models and marketing strategies using social media, along with renderings of samples from actual work he's been doing in the community as part of his pre-release opportunities, as well as projects he completed on the campus grounds. CLA enables students to have a significant hand in the ongoing aesthetic and design of the campus space.

James is working diligently to make connections and set up his support network for when he leaves the campus. He knows it's unlikely he can start his landscape architectural company immediately upon his release, so he's focusing on developing and strengthening his support network. His lead supporter in this endeavor is his mentor, Juan, who has agreed to bring James on board at his firm as an apprentice when he's released.

James knows it's important for him to be healthy, grounded, and prepared to make good decisions when he returns to the community. He's been participating in transition groups on a regular basis and has a team of peers from the Anti-Recidivism Coalition with whom he will continue to meet weekly when he's released. He will live in a dorm-style apartment for his first 12 months, surrounded by prosocial peers who all are working, continuing to learn, saving money, developing solid credit, and re-establishing themselves in the community.

In other counties, parole may have a large enough population to provide CLA-only housing and/or want to serve the combined probation and parole population. We also recognize that given the size of the state and its geographic diversity there may be times when it's in a graduate's best interest to move to a part of the state without a CLA-only reentry residence.

An essential aspect of CLA is embracing failure. Nowhere is the potential risk more clear than at the transition to the community. Even here, failure must be embraced. This is why the partnership between parole and probation is essential to long-term success. Staff must design monitoring to best mitigate the risk and minimize the chances of a severe failure while still allowing for opportunities to learn from failure.

The move to reentry housing offers the first chance to see how a program participant handles significant change. This is the period when an offender is most vulnerable to failure. The early connection with his probation or parole coach and mentor support system while in the residential phase is one key protective factor to prevent serious failure. The development of relationships with people who support the participant's prosocial values and behaviors prior to reentry is a way to help buffer the participant from failure and to build resilience when challenges arise. Unlike current prison settings, returning to the campus for groups and support will be allowed when and if staff and a participant deem it necessary or desirable.

The Board of Community Colleges has agreed to support the CLA; its community colleges in the LA and Stockton areas have agreed to partner on college courses for CLA participants. To help with job placement and community reentry, CLA should seek partnerships with workforce development agencies and local employers as well as non-profit organizations and individuals.<sup>48</sup> These resources can help prepare participants while they're still on campus by conducting workshops, mock job and college admissions interviews, and participating in panels as part of presentations and demonstrations put on by CLA participants.

Studies have shown that steady employment and stable family relationships strongly correlate with reduced recidivism.<sup>49 50</sup> Program participants will be placed in reentry housing that's closest to their family or other connections if they are supportive of a non-criminal lifestyle and activities, and staff will continue to provide individual and family counseling to address family issues that could jeopardize a successful return to the community.

The second and third phases of the CLA program represent the highest-risk transitions but also provide very powerful learning opportunities. A participant who is allowed back

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<sup>48</sup> Preliminary discussions on such partnerships have been well received but it's too early to start a dialogue until CLA is funded.

<sup>49</sup> Wright, B. J., Zhang, F. X., Farabee, D., & Braatz, R. (2013). Prisoner reentry research from 2000-2010: Results of a narrative review. *Criminal Justice Review*, 39(1), 37-57.

<sup>50</sup> Panuccio, E.A., Christian, J., Martinez, D. J., & Sullivan, M. L. (2012). Social support, motivation, and the process of juvenile reentry: An exploratory analysis of desistance. *Journal of Offender Rehabilitation*, 51, 135-160.

into the community has status, freedom, and access to a host of powerful rewards—some constructive, some dangerous. A participant who is unsuccessful loses a good deal. Perhaps most important, all the program participants get to see that hard work pays off and that failure is right around the corner, demonstrating the need for serious effort. Seeing participants graduate from the residential phase also gives the others hope, while seeing them return gives the others pause.<sup>51</sup> Both perspectives strengthen the program's general reinforcements and sanctions by making outcomes real rather than a remote possibility. Better that they experience this within the program where there is supervision and support than trying to manage difficult transitions by themselves.

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<sup>51</sup> Young men who are struggling in the reentry phase can be brought back into the residential facility for a period of stabilization.



## Recommendation 6:

### **Implement a comprehensive behavioral health model that combines treatment, education, and job training tailored to the developmental needs of the target population.**

The proposed program follows the principles of positive human development, a concept that focuses on developing young people's potential by teaching them prosocial behaviors and positively reinforcing use of those behaviors.

This approach takes into account the neurological and developmental differences of this age cohort by using clinical treatment methods suited to their learning style. The emphasis is on positive development, not simply suppressing problem behavior.

Specific types of learning help to reshape patterns and habits of feeling, thinking, and behaving that may otherwise become deeply entrenched, especially as the adolescent brain reaches full maturity. A foundational principle of the CLA model is the notion that thinking and behavior are malleable and able to change over time.

Unlike the current "moral accountability model" that assumes individuals need to simply "choose" better behaviors and will do so to avoid punishment, the behavioral health model uses effective change strategies that rely on positive reinforcers that are more powerful than those that bond people to negative (in this case criminal) behavior.<sup>52</sup>

#### **Key Features**

- The behavioral health model is developmentally sensitive and uses behavioral shaping to help participants change behavior.
- Moves from a "moral accountability punitive model" where progress is measured in terms of the absence of antisocial behavior to the presence of prosocial behavior.
- Recognizes that punishing people to reduce criminal behavior at best weakly promotes behavioral change.
- Desired behavior change takes place when participants desire and strive to get reinforcement for positive change.
- All program components adhere to behavioral health principles and apply consistent reinforcement in support of desired change.

<sup>52</sup> e.g., Heyvaert, M., Sanaen, L., Campbell, J. M., Maes, B., & Onghena, J. (2014). Efficacy of behavioral interventions for reducing problem behaviors in persons with autism: An updated quantitative synthesis of single subject research. *Research in Developmental Disabilities*, 35, 2463-2476. For example, public health has long known that behavior change does not come through fear

<sup>53</sup> This is particularly true for justice system-involved young men, who often have a history of only getting anyone's attention by being punished, so the threat of punishment is not an effective change strategy.

These principles are built into all aspects of the program. This approach guides the daily interactions between the staff and participants, among staff members and, as they progress, participant interactions with one other and with family and community members.

At the center of the comprehensive behavioral health model is a core treatment program, such as the Forward-Focused Model, described further below and in Appendix I. The core program is surrounded by the treatment environment (i.e., milieu), behaviorally based level and reward systems, and motivational approaches that support and complement the treatment, as illustrated in Figure 4.

### TREATMENT CONTENT

The core treatment program must be a comprehensive, empirically guided model that is developmentally informed and that intentionally promotes positive/prosocial development. Moreover, the core treatment model must address the myriad needs of young adult offenders that often serve as barriers to long-term success, including substance abuse, trauma, and support network development.

One example of this type of program is the Forward-Focused Model (FFM). Rooted in cognitive-behavioral therapy (CBT), it's an evidence-based approach that has been used successfully across settings, and has been used widely throughout the juvenile and adult criminal justice systems to reduce recidivism.<sup>54</sup> The principles of CBT are straightforward:

- Thinking affects behavior.
- Distorted, unproductive irrational thinking causes irrational and unproductive behavior.
- Thinking can be influenced and changed.
- We can change how we feel and behave by changing what we think.<sup>55</sup>
- Self-monitoring is necessary for behavior change.

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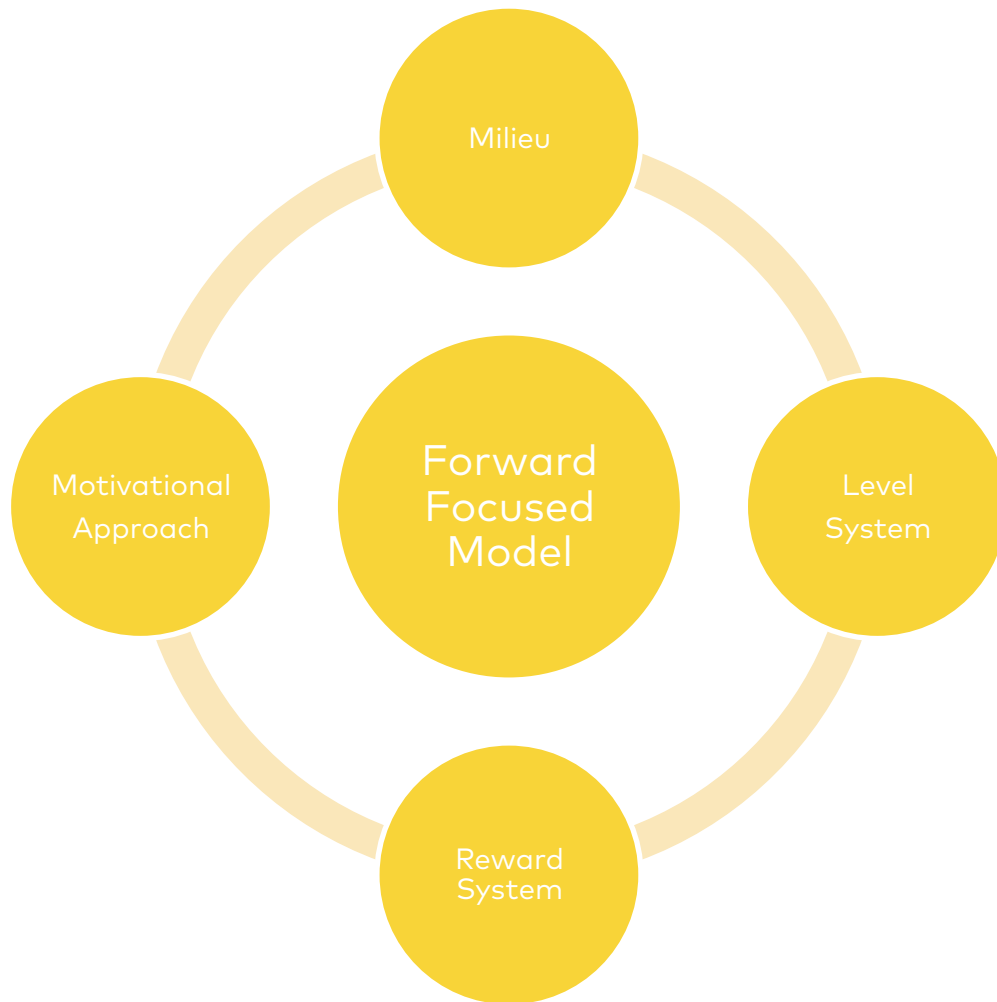
but moving toward a positive outcome. Changing fundamental behaviors such as sexual activities, eating, drinking, etc. are approached not through an attempt to scare people but by showing the benefit of positive change and through the use of support networks.

<sup>53</sup> DiClemente, CC (2003). *Addiction and change: How addictions develop and addicted people recover*. Guilford Press: NY.

<sup>54</sup> Milkman H & Wanberg K, Cognitive- Behavioral Treatment: A Review and Discussion for Correction Professionals, Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2007. Lipsey MW, "The Primary Factors That Characterize Effective Interventions With Juvenile Offenders: A meta-analytic overview," *Victims and Offenders* 4 (2009): 124-147. Landenberger NA, & Lipsey M, "The Positive Effects of Cognitive-behavioral Programs for Offenders: A Meta-analysis of Factors Associated With Effective Treatment," *Journal of Experimental Criminology*, 1 (2005): 451-476.

<sup>55</sup> Lowenkamp, C.T., Training Presentation (2004), University of Cincinnati Corrections Institute, Division of Criminal Justice, University of Cincinnati.

**Figure 4: Comprehensive Behavioral Health Treatment Model**



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For more discussion of CBT, see Appendix J, "Cognitive-Behavioral Therapy in the California Leadership Academy."

To effectively address the developmental needs of CLA participants, the treatment program must use modified CBT strategies to be consistent with the adolescent brain. Participants need the opportunity to fully mature and reach their full capacity—something that may not otherwise be possible in a traditional incarceration or home setting.

All components of the FFM are developmentally sensitive and designed to promote positive adolescent development. The model focuses on personal growth, with activities that help develop intra- and interpersonal skills. In addition, participants are introduced to concepts and activities that help them recognize attitudes, values,

beliefs, and rationalizations that support a criminal lifestyle while learning new strategies to overcome potential challenges and promote healthy life outcomes. They are encouraged to complete specific treatment tasks using creative mediums of their choosing (e.g., construction/building, poetry, music, and drawing) after having been introduced to a range of new mediums.

Unlike other treatment models comprised solely of stage work, the FFM is comprised of 11 treatment components that reinforce one another—only one of which is stage work. Also, unlike juvenile justice programs that primarily emphasize environment or milieu, the FFM promotes its own milieu using motivational and team approaches, while also working within a behavior management milieu. The FFM includes its own embedded quality assurance plan and outcomes evaluation. As such, a comprehensive behavioral health model such as the FFM has a highly effective degree of coherence, with core concepts continuously reinforced.

Building upon the data gathered during the initial assessment by validated assessment instruments,<sup>56</sup> a comprehensive case conceptualization is developed for each participant, and is used to guide the treatment plan. This ensures that any treatment needs are identified early and addressed during treatment. For instance, participants with trauma symptoms, substance use disorders, and/or serious aggressive behaviors take part in specialized, evidence-based treatment groups to address the specific issues (e.g., Trauma-Focused Cognitive Behavioral Therapy, Cannabis Youth Treatment, and Aggression Interruption Therapy) while all participants receive group treatment in the areas of affective/moods management, restorative justice, creative expression, and life skill development.<sup>57</sup>

Hobbies (i.e., serious fun activities) are a key part of the FFM, based on findings that a lack of meaningful activities can lead to criminal behaviors. However, hobbies are also critical to focus on because the young men we interviewed indicated they have had limited opportunities to develop hobbies or be introduced to various methods of serious play or enjoyable activities. Consequently, participants need to be introduced to a variety of new activities, encouraging them to select and engage in new hobbies so that upon completing the program they may have developed several new fulfilling activities. These activities may be crucial during the reentry process and in promoting long-term success. Program participants are also exposed to new ways to play and work through the education and vocational programs.

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<sup>56</sup> Examples of assessments that will complement the TCU and COMPAS include: AUDIT, DAST, SASSI, Trauma Symptom Inventory.

<sup>57</sup> Staff and participant facilitators must be trained in the delivery of three additional treatment groups that address the issues of aggression, substance abuse and trauma. Examples are provided for cost estimates. There are other evidence-based curricula that could be substituted. For aggression, (Aggression Interruption Therapy, AIT); substance abuse, (Covington, S., Griffin, D., & Dauer, R. 2011. *Helping Men Recover: A Program for Treating Addiction* (cj version) San Francisco: Jossey-Bass; and trauma. (Covington, S. & Rodriguez, R. 2016. *Exploring Trauma: A Brief Intervention for Men*. Center City, MN: Hazelden).

Individual and/or family therapy is designed to address individual treatment needs as well as any family/support-related issues that may impact a successful reentry. Because intimate relationships and/or other non-family members may be primary support persons to the participant, the term "support" is used to signify any supportive individual invested in the participant's treatment. This also implies that family members who are not fully invested in the participant's success will not be invited to participate in the treatment process.

Family/Support Forums are provided bi-monthly in the residential facility to provide a venue for family/support individuals to come together, learn about the various aspects of the program, and discuss issues related to justice system involvement. These forums serve to expand the social support network of each participant, thus directly addressing the key barrier of a lack of social support that most offenders face.

Using the example of the Forward-Focused Model, the CLA's treatment stages would consist of the following, beginning with Orientation:

<b>Orientation</b>	Orientation and Assessment
<b>One</b>	Autobiography
<b>Two</b>	Responsibility and Accountability
<b>Three</b>	Attachment, Loss, and Early Connections
<b>Four</b>	Behavior Patterns and Restorative Justice
<b>Five</b>	Effective Decision-Making
<b>Six</b>	Reentry Planning
<b>Seven</b>	Moving On

The stages allow participants to progress at their own pace, with completion of the previous stage required before moving into the next stage. The sequential stages reflect the significant issues that impact young offenders, from early development and life occurrences to understanding and achieving responsibility and resolving losses, to developing healthy behavior and thinking patterns, reentry planning and, finally, to closure and fully preparing for movement from a residential setting towards increased independence. Cognitive-behavioral therapy is reinforced throughout the stage work as participants complete specific activities individually and in group. For instance, during Stage 2, participants must identify a specific behavioral goal to work on and then receive feedback from peers and staff regarding any associated behavior change.

New behavioral goals are initially identified in the residential phase and then continuously identified and monitored through transition and reentry. The same occurs with interpersonal goal development. The treatment milieu further reinforces behavior change and interpersonal development at the same time the other core treatment components also continuously reinforce one another.

Weekly groups are dedicated to stage work and provide opportunities for participants to apply what they have learned during treatment. A prescribed set of experiential exercises are incorporated into the stage groups to promote further learning and new skill

acquisition. Experiential exercises are especially important to address the developmental needs of adolescents, particularly as they promote active engagement in learning.

In addition, because positive behavioral change must be demonstrated in order to progress, the stages are tied to the CLA's level system. Stages 1–3 are associated with lower levels, stages 4–5 are associated with middle levels, and stages 6–7 are tied to the highest levels. This means participants who are unable to achieve a sufficient level and thus demonstrate sufficient behavior change may not progress to the next stage. Similarly, participants may not progress from the residential phase to the transition phase if they're unable to sustain the highest level for a given period of time despite having completed the stage work.

In the FFM example, Bibliotherapy and Movie Therapy are implemented throughout treatment model, and provide two new venues by which to engage participants and promote new growth. Rooted in CBT, Bibliotherapy relies on books while Movie Therapy relies on film to therapeutically engage and teach participants, often using autobiographical stories by which participants may connect. Because film and reading can excite and stimulate parts of the brain that would not otherwise be stimulated by didactic interventions, these media can be especially powerful to young people.

Finally, the reentry component of the FFM begins during initial treatment planning and continues throughout the FFM. The type of specific reentry activities implemented in the FFM would further complement and better prepare CLA participants for reentry planning that occurs following the residential phase.

## **EDUCATION AND VOCATIONAL TRAINING**

For participants to reduce their chances of re-offending and become self-sufficient, it's essential they complete their education. A comprehensive study published in 2014 by the RAND Corporation found correctional education programs dramatically effective at reducing recidivism for incarcerated adults.<sup>58</sup>

The California Leadership Academy offers a range of accredited educational opportunities, from GED preparation to a full high school curriculum and diploma, as well as opportunities to earn college credits towards associate and bachelor's degrees. The CLA has enlisted the California Community College system as a partner; a process is under way to designate the Norwalk and Stockton pilot facilities as satellite campuses.

We anticipate most participants dually enrolling in high school and college within six months of entering CLA, and to remain dually enrolled until they earn their high school diploma or GED. Nearly all the costs of attending California Community College will be

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<sup>58</sup> Davis, Lois M., Jennifer L. Steele, Robert Bozick, Malcolm Williams, Susan Turner, Jeremy N. V. Miles, Jessica Saunders and Paul S. Steinberg. *How Effective Is Correctional Education, and Where Do We Go from Here? The Results of a Comprehensive Evaluation*. Santa Monica, CA: RAND Corporation, 2014. [http://www.rand.org/pubs/research\\_reports/RR564.html](http://www.rand.org/pubs/research_reports/RR564.html).

covered by a combination of the California Board of Governors Fee Waiver and Pell Grants.

The California Board of Governors Fee Waiver permits waivers of enrollment fees for eligible students at any community college. Eligible students must only show financial need, which most, if not all, participants in this program will demonstrate. Students must meet minimum academic progress standards to maintain eligibility; CLA will work to ensure they meet this target. With respect to Pell Grants, eligibility is contingent on CLA being placed under the Division of Juvenile Justice, rather than be considered an adult correctional facility.

Young men enter and depart CLA on a staggered basis throughout the year, unlike traditional schools where most students start in September. They come in with a wide range of academic skill levels, psycho-social challenges, and work and life experiences. Their age at entry ranges from 18 to 25. The approach to education must reflect the reality of this diverse and ever-changing student body.

"Going to school" in CLA likely is a completely different experience than what these young men experienced in their past, from the positive culture to the engaging, hands-on, design-focused curriculum. The environment and curriculum are tailored to encourage participation, not only in the course work but also in school programming and governance. Family and community input enrich the program's academic and job-training resources. (See "Spotlight on Kenny" for a hypothetical example of CLA school life.)

The program's education model follows the same "positive human development" approach as CLA's behavioral health component. It does so by fostering strong relationships among teachers and students, highlighting student achievements, and celebrating their successes. It also sets high standards while including students in shaping their educational choices.

As part of the strategy to provide a relevant, engaging curriculum, the program integrates academics and job training. Whether a student is pursuing a high school diploma, GED, or taking traditional college courses, the program's four "design studios" offer career and technical training in a wide range of creative and industrial arts. Coursework in the studios aligns with high school graduation requirements, industry certification, and community college courses. However, the most appealing aspect for students is the hands-on, collaborative, project-based work in which they create sculptures, metal works, websites, videos, music, and other tangible and digital products.

Students also can take a wide range of college courses in the humanities, social sciences, and hard sciences. These courses are taught in a variety of formats: online, in person by a community college professor coming to the campus, and in a hybrid environment, where students from CLA enroll in a course that is also open to students from the community. The course is shared live using video conferencing tools so students can interact and communicate with other academic peers.

Daily school life and the curriculum also address real challenges the students face. Class reading and discussions confront issues that are relevant to these students, including issues related to race, justice, and opportunity.

Technology use and access is integral to life in CLA, particularly for the students' education. Each participant is issued a Chromebook, which he takes to classes and back to his pod. Students work, collaborate, and submit most assignments using Google Apps for Education, and access online and hybrid college courses using the Chromebook as their portal. The campus has secure, wireless connectivity. Classrooms and design studios are equipped for live video conferencing to allow students and teachers to participate in classes and discussions with other students in college courses, and enable outside experts and volunteers to participate in presentations and workshops even if they cannot make it to campus.

School extends beyond the classroom walls and the traditional 8 am to 3 pm timeframe. The program places a strong emphasis on community partnerships, volunteers, and contracted services to support healthy, successful transitions for participants when they return home. Teachers work closely with therapeutic staff to foster the culture of connection and collaboration the students experience throughout CLA.

See Appendix K, "Educational Excellence in the California Leadership Academy," for details.



### Spotlight on Kenny: Adjusting to Life as a CLA Student

(This hypothetical scenario offers a glimpse into how a young man's first 12 to 18 months might look in the CLA school.)

Kenny is 21. He was arrested, pled guilty to participating in a significant drug sale, and was sentenced at age 19 to five years in prison. He was active in sports and describes himself as a good student through the 10th grade, but he stopped going in 11th grade.

After a few months at CLA, Kenny still isn't sure what he wants to do when he's released. He's adamant he wants to get his high school diploma or GED, start taking college courses, and then "figure out what I really want to do from there." Kenny spends half his time working with a small group of students who are working toward passing the GED, supported by a studio coach. He and his classmates access online coursework using tools such as Core Skills Mastery, Khan Academy, and Tuva Labs.

Kenny has a tutor, Raymond, who also supports him as he works toward his GED. Raymond reviews Kenny's progress each day from 4-7 pm, accessing his work through a secure online connection; Kenny can leave Raymond messages and post questions to him as well. Later in the evening, Kenny and his tutor have a synchronous online tutorial and check-in.

Kenny also participates in school-wide initiatives and competitions, designed to increase student engagement, build successes, and develop a sense of teamwork and support. These include a read-a-thon, an "It's Academic"-style competition, a speech contest, and a spoken word and poetry contest.

In the afternoon, Kenny moves away from courses directly focused on the GED and toward those that increase his exposure to academic and career options and offer him chances to connect with others. Along with some peers, he takes a college-level course he's chosen on Russian Literature. Although he sits in a class with just a few students, he's "in class" using video conferencing with Bard College students in NYC.

Kenny's also interested in sculpture and metalworking. He's taking a community college class in metalworking design, which will earn him college credit and industry pre-certification upon completion. Three days a week he works with a local artist who comes to campus. Kenny and some other students will present their work at an exhibition over the weekend, so he will be working late preparing for it. He's invited his mom and Raymond to attend. He and his classmates also invited representatives from the metalworkers union and local art museums.

During this time, Kenny is taking stock of the support he'll need to be successful. He's also starting to develop a short mini-course he and three friends want to use for a multi-media class they hope to teach to local middle-schoolers on Saturdays at a nearby community center (once Kenny has permission to take supervised off-campus trips).

## **WELLNESS ACTIVITIES**

The structured nature of CLA includes time for recreation, including intramural leagues for team and individual sports, personal fitness courses, various clubs, and movies. A key task of the program is to change a participant's perspective on how to have fun.

In addition to maintaining participants' well-being, these activities promote healthy, positive lifestyle choices. They also help these young people build on their talents, strengths, and interests to develop cognitive, social, and emotional skills. They learn how to contribute to a group, practice leadership, work as a team, and resolve conflict in a healthy manner.

Equally important, these outlets provide participants with a much-needed opportunity to relearn how to have fun in a manner that doesn't lead them back into trouble. They're at a developmental stage where in one form or another they need to engage in "fun" activities, which prior to their incarceration involved illegal or risky behaviors. The CLA exposes them to healthier, prosocial choices they likely never experienced in their past.

Given that a large part of the education program centers around the campus design studios, some participants will find a creative outlet there and spend extra time working on design projects, ranging from the visual arts and digital engineering to metal-working and fabrication. Using these new skills, they can participate in such activities as creating and managing content for campus podcasts and social media campaigns. Others will become interested in poetry, spoken word, or music, which supplement their "regular" school day.

The CLA program is designed around structure and interaction for most of the young men's daily life. However, there are limited times when no activities are scheduled. Some participants may choose to spend this "down" time reading, playing music, writing letters, or journaling.

## **STRATEGIES TO REINFORCE BEHAVIOR CHANGE**

A key aspect of this program is the culture of connection it fosters. The CLA young men learn to live connected and accountable to other people, starting with the small group of 16 peers in their living unit. At all times, staff model the behaviors they're teaching program participants and use positive reinforcement to encourage them when they behave appropriately in a challenging situation, whether it's in the living unit, the classroom, or anywhere else.

Unlike traditional correctional settings where camaraderie among peers is not encouraged, this program carefully and continuously maintains a milieu that encourages and relies on peer support and influence. For example, advancing through the program requires a participant to engage positively with other participants and staff, and this success is celebrated. At the same time, staff remains vigilant for signs of scapegoating, exclusion, and development of unofficial power structures, and takes prompt measures to

prevent these occurrences from undermining participants' sense of belongingness and safety.

As with learning any skill, new behaviors require practice. The skills learned during treatment will need to be practiced in groups, used frequently in daily interactions with peers and staff, and repeatedly coached. To be successful, staff must create an environment that encourages participants to continuously apply behaviors and consistently reinforce their efforts.

## **REINFORCEMENT SYSTEM**

The program recognizes that transitions are inherently periods of elevated risk. Participants go through several critical transitions, including entry into the program, receiving new privileges (especially when they expose the participant to unfamiliar settings or participants from other units), work and school furloughs (with its access to the community), and moving from the campus into the community.

When a participant in the CLA reaches these points of transition, the staff and the program services stay with him. This support is consistent across critical boundaries to the maximum extent possible. At the very least, participants are introduced to the next step in the program and the staff they will work with prior to the actual move or advancement in privileges.

Practicing newly learned behaviors in novel and challenging environments improves the participants' chances of generalizing what they learn. It tests their readiness to be placed in more risky environments and, when they fail, provides important feedback about where treatment needs to focus.

This entails a specific and intentional embracing of risk—and failure. However, granting privileges and lifting restrictions incrementally to reward and support new behaviors and skills only slightly increases the risk at each step, which is preferable to the current corrections approach where one day a young offender is under complete control of others and the next day he's at complete liberty.

Implicit in this approach is the expectation that progress will not be linear. Participants will progress in "fits and starts." They will fail along the way. This is why we built into the program an incremental and graded exposure to risk, to limit the chances for disastrous failure.

Structured reinforcement and level systems are used in tandem with the discrete stages of a treatment model such as the FFM example. While the latter focuses on progress in therapeutic treatment, the reinforcement and level systems focus on reinforcing and measuring behavior change. The reinforcement system provides daily, weekly, and monthly rewards while the level system measures progress over longer periods of time. Essential to modifying behaviors, reinforcement and level systems are behaviorally based

interventions that are widely used across treatment settings. In fact, it is well known that programs with a strong behavioral component can lead to behavior change.<sup>59</sup>

Positive reinforcement is a CLA mantra, whether it's for the chronically late young man who makes it to treatment on time; the struggling student who gets a passing grade; or the violence-prone bully who walks away when a fellow participant taunts him. Small successes are commended as well as major milestones. Research has shown greater success, particularly with a young adult population, when positive reinforcement outweighs negative reinforcement.<sup>60 61</sup> Celebration of small successes is a more effective method to shape behavior than relying primarily on punishment or rewarding lack of negative behaviors, though these have value as well when administered in the right proportion and are formally included in the reinforcement and level systems.

See Appendix L, "Reinforcing Skill Development," for a detailed discussion of the behavioral principles this approach is based on, and for examples of the incentives youth can earn on a daily and weekly basis for demonstrating desired behavior or skills and how units earn monthly incentives for limiting their negative behavior.

Another method for reinforcing desired behavior is the "Level System," which is used not only to motivate participants but also to measure their progress and progressively expose them to risk. Moving up through the levels grants more privileges and fewer restrictions, giving these young men incentive to engage in the program. Advancing to higher levels also challenges participants by exposing them to riskier situations that place them in a position to fail, which the program expects and embraces. Only through incremental exposure to new challenges can these young men test and stretch their limits, learning to apply their new skills under more difficult and stressful conditions.

For routine advances in the Level System that don't represent a high-risk transition, the treatment team makes the decision. But when it comes to advancements such as access to campus areas and activities where staff monitoring is not continuous or may be minimal (e.g., Level 4), working outside the secure perimeter (Transition Phase), moving to a program setting in the community (Reentry Phase), or exiting from a structured program setting, decisions are made by a Risk Review Board, described in Appendix M.

Participants play a role in this process. A participant who is asking to advance (or has been recommended for advancement by staff) may be reviewed by a group of fellow

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<sup>59</sup> Johnson MH, George P, Armstrong MI, Lyman DJ, Dougherty RN, Daniels AS, Ghose SS, Delpin-Rittmon ME. Behavioral management for children and adolescents: assessing the evidence. *Psychiatric Services in Advance*, December 17, 2013. PAUL GL & LENTZ RJ: Psychosocial treatment of chronic mental patients: milieu versus social-learning programs. Cambridge, MA: Harvard University Press, 1977. Antony MM & Roemer E (2003). Behavior therapy. In AS Gurman & SB Messer (Eds.), *Essential psychotherapies* (2nd ed., pp. 182-223). New York: Guilford. Bellack AS & Hersen, M. *Dictionary of Behavior Therapy Techniques*, pp. 14. New York: Pergamon, 1985.

<sup>60</sup> Lipsey, M. (2009). The primary factors that characterize effective interventions with juvenile offenders: A meta-analytic overview. *Victims and Offenders*, 4, 127-147.

<sup>61</sup> Thakker, J., Ward, T., & Tiddmarsh, P. (2007). A reevaluation of relapse prevention with adolescents who sexually offend: A good lives model. In H. E. Barbaree & W. L. Marshall (Eds.). *The juvenile sex offender*. New York: The Guilford Press.

participants, who give feedback to the requesting individual on each of the Level System domains. This feedback is one element of the treatment team's decision process and also provides a teaching and community-building opportunity. For advancement at key stages, formal support of the living unit is required prior to review by the Risk Review Board.

If a participant hasn't made any progress after a period of about six months, consideration should be given to removing him from CLA to make way for another eligible offender who is more likely to benefit.

See Appendix N, "Motivating and Measuring Progress," for further discussion of this topic.

### **MOTIVATING AND MEASURING PROGRESS**

Whether it's losing weight, getting a job, developing interpersonal skills, desisting from criminal behavior, or overcoming addiction, one can apply the Stages of Change model,<sup>62</sup> also known as the transtheoretical model. The five-stage model is used to assess an individual's readiness for behavioral change and provides a collaborative, step-by-step process for setting and achieving goals. The stages, progressing from pre-contemplation to maintenance, have been widely applied across such disparate areas as tobacco cessation, weight loss, substance addiction, and criminal justice.<sup>63</sup>

Three features make the Stages of Change process particularly valuable in this program. First, it's easy to identify the stage for any particular habit or pattern of behavior. Second, the intervention strategies at each stage are easy to grasp and engage in, even for staff unfamiliar with psychological interventions. Third, and most important, it gets its force from the participant's own desires and goals. (Appendix N discusses this model in detail.)

When using this process in the CLA, staff's challenge is to motivate young men by identifying goals staff and the young men can agree to pursue. Young men are more invested in achieving goals, and taking the necessary steps, if those goals are their own. Their intrinsic motivation also strengthens the reinforcement provided by the staff because the young men are emotionally invested in making progress towards their goals and can join in the celebration of the small steps along the way.

For instance, participants may have antisocial goals but in most cases also have prosocial goals. A general goal such as "getting out of prison" or "not coming back to prison" usually suffices to start the process. As a participant works towards these general goals, barriers to achieving them emerge. For instance, assaultive behavior may interfere with release.

The participant may desire to get out of prison and yet be in "pre-contemplation" with regard to desisting from assaults. The work may then shift to creating ambivalence with regard to this behavior in light of the goal to get out of prison. Moving into the

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<sup>62</sup> Prochaska, J. & DiClemente, C. C., (1983). Stages and processes of self-change in smoking: toward an integrative model of change. *Journal of Consulting and Clinical Psychology*, 5, 390–395.

<sup>63</sup> DiClemente, CC (2003). *Addiction and change: How addictions develop and addicted people recover*. Guilford Press: NY.

"preparation" stage (figuring out a plan to address the behavior) can then lead the participant to recognize that assaulting people is not the problem; the problem is the need to secure gang or peer group validation. Achieving this validation then becomes the focus of creating ambivalence: *What are the pros and cons of gang involvement in light of my desire to get out of prison?*

Going through the steps of the Stages of Change model often leads to the discovery of more fundamental problems that then become the focus of intervention. As this process unfolds, the participant's case plan becomes more and more specific. (See Appendix O, "Individualized Treatment," for further discussion of this topic.)

The most challenging work occurs at the "pre-contemplation" and "contemplation" stages. However, once participants are on board with change, even though they may slip back, the work becomes fairly straightforward as staff and participant interests begin to align on more prosocial goals and actions.

#### **SAFETY AND SECURITY**

Safety and security are embedded within the overall CLA framework. In fact, the program depends on participants knowing they are in a safe environment. Rather than controlling negative behavior with the threat of punishment, the goal is for young men to develop and engage in acceptable behavior because they see it as the means to achieve their own goals.

The program has no tolerance for groupings based on gang, ethnicity, or crime types. While some participants may self-sort, the goal is to eliminate this. Young men who engage in violence are managed through the system of privileges and sanctions, described earlier in this report. Violent individuals have limited interaction with other participants until they can be re-integrated without threat of violence. Put differently, there is virtually no tolerance for violence in that it leads to immediate loss of privileges which must then be earned back.

Young men who commit acts such as assault with serious injury, major contraband violations (primarily drugs and weapons), or victimize vulnerable participants are separated from their unit, and then re-integrated if they show they can change their behavior.

For young men who act out violently, the campus includes separate rooms staffed by state correctional officers. These rooms are only for temporary separation and cool down. Young men who are unable to stop their aggressive behavior and require longer separation from peers may be removed from the program. Such instances are decided on a case-by-case basis.

## Recommendation 7:

### **Pursue public-private partnerships to fund the pilot project.**

#### **DESIGN/CONSTRUCTION COSTS AND FINANCING**

We retained Vanir Construction Management, Inc. to prepare a preliminary design and layout for each facility. Based on the preliminary design, we estimate design and construction of the Norwalk facility will cost \$63.4 million. For the Stockton facility, we estimate these costs will be \$61.0 million. The combined total for both campuses is estimated to be \$124.4 million.

Appendix P provides a breakdown of these costs for each location along with a timeline showing how long construction would take. The total duration of design and construction, including time for required environmental impact assessment, is estimated to be 24 months.

#### **Key Features**

- Construction of two pilot campuses is estimated to cost \$124.4 million.
- With leaseback financing, the state's estimated annual payment would be \$7.8 – \$9.6 million, depending on lease term.
- Annual operating cost for both campuses is estimated at \$53.4 – \$60.9 million.
- Budget includes 249 employees per campus.

We shared Vanir's preliminary design with the design firm IDEO, which offered ideas and guiding principles for enhancements to use physical space as a tool for introducing, encouraging, and reinforcing new behaviors and mindsets. (See Appendix T.) The guiding principles include more personalization of living space, a more home-like setting, increased public interaction, and greater flexibility to support different kinds of group activities. We believe these concepts and ideas could be adopted with minimal impact to the overall cost of construction. They should be incorporated into the final design of the facilities providing they are feasible and without compromising the safety and security of the facility.

We recommend a "build to suit" leaseback arrangement to finance design and construction of the two pilot campuses. This financing mechanism has been used successfully in other sectors such as office buildings, schools, and prison facilities. It works by having the state lease land it owns to a developer for a nominal sum; the developer designs and builds the project and leases it back to the state for a period of 20 or 30

years (or any term the parties agree to). At the end of the payment period, the state owns the structures outright. The advantage to the state is that the developer assumes the risk, and the state defers a commitment to own the facilities until the pilot project has proven successful.

Based on information from Barclay's Bank, the state's estimated annual lease payments using a lease-leaseback arrangement would be as follows, depending on the term of the lease.

	Construction	30-Year Lease	20-Year Lease
<b>Norwalk campus</b>	\$63.4 million	\$4.0 million	\$4.9 million
<b>Stockton campus</b>	\$61.0 million	\$3.8 million	\$4.7 million

#### ANNUAL COSTS

Once the campuses are built and the program is up and running, we estimate the two will cost a combined \$60.9 million annually if state personnel are used to staff the entire program. Of that amount, \$54.5 million is for personnel.

That annual cost estimate falls from \$60.9 million to \$53.4 million if a private non-profit entity staffs all positions except for security. Of that \$53.4 million, \$47 million is personnel costs. The difference results from assuming a private non-profit organization would apply a lower fringe benefit rate for its employees compared to state employees.

We used current state civil service classifications whenever possible to calculate salaries for the proposed positions. For those functions where we cannot identify appropriate state classifications, we estimated the salary range based on the positions' qualification requirements. However, assuming the state contracts with a non-profit entity to operate the campuses during the pilot project, as we recommend, the non-profit entity's salaries likely will be lower than state salaries. We have no objective means to quantify the variance, so for budgeting purposes we assumed the non-profit entity's salary levels to be the same as the state. (However, as noted above, we applied a lower fringe benefit rate to salaries for the education positions.)

Appendix Q, "Budget and Staffing," provides cost breakdowns and assumptions used in our calculations.



### **STAFFING THE PILOT PROJECT CAMPUSES**

We estimate each campus will need 249 staff, including 38 positions for the education and job training components. Our estimates of staffing levels and costs are based on facilities operated by the Division of Juvenile Justice, where the population generally ranges between 170 and 235, comparable to CLA's population of 256 per campus. We then made adjustments to the DJJ staffing model to account for differences in program design.

The CLA dorms have enriched staffing levels to provide greater capacity for mentoring, coaching, counseling, and delivery of needed treatment and services. Each 16-person dorm has one counselor present during the morning shift and three during the afternoon shift. During the night shift, there is one counselor for every two dorms (32 students). In addition, an education advisor is assigned to each dorm to collaborate with the dorm's treatment staff to identify and address each student's education and treatment needs as a team.

In comparison, at DJJ's "core" units, which house youth without special needs, the staffing ratio is two staff members for every 36 youth during the morning shift and three staff members for every 36 youth during the afternoon shift. During the night shift, DJJ has a ratio of one staff member to 36 students in the living units.

The CLA's education and job training component requires the services of a fully staffed school, including a limited number of administrative positions. Each of the campus's 16 dorms has a lead teacher-advisor who also serves as a primary instructor in one of the academic subject areas (English, math, science, humanities/social studies) or in design and career technology. For every two dorms, there's an "advocate" who acts as a hands-on, student-centered case manager helping to support and coordinate the range of services and opportunities students will need upon release. The advocates coordinate people and programs on campus, but nearly half their work is off campus. They play a particularly crucial role in the days and weeks when students first return home.

In addition, the education budget includes a modest amount for afternoon and weekend activities that supplement the students' regular classes. The campuses will invite individuals from the community to run workshops, teach supplemental academic and enrichment courses, conduct mock job and college admissions interviews, and participate in panels as part of student presentations and demonstrations.

The campuses have a limited need for specialized treatment staff: we have allocated a half time position for a staff psychologist at each facility to provide assessment and diagnostic services. For medical staffing, each campus will have a nurse on duty at all times to identify and triage medical needs and provide basic services. All other medical and dental services will be contracted out to private providers, as the size of the campus population does not warrant other full-time medical personnel.

### **STATE PERSONNEL**

Our staffing estimates include 39 security positions per campus. In keeping with the facilities' non-correctional look and feel, we recommend limiting uniformed personnel primarily to the campus perimeter. Each shift also has a small team of Youth Correctional Officers for "search and escort" duties.

### **SUPPLEMENTAL FUNDING OPPORTUNITIES**

Philanthropic organizations with an interest in this area should be approached about participating in the pilot projects, with an eye toward continuing them based on a successful outcome. There are a number of foundations whose mission aligns with CLA's goal of assisting young offenders in an effort to reduce recidivism. We believe the following list offers a good start for initiating this conversation:

- The Ford Foundation
- The Irvine Foundation
- The Social Innovation Fund
- The Annenberg Foundation
- The Annie E. Casey Foundation
- The California Community Foundation
- The California Wellness Foundation
- The Hilton Foundation
- The Open Society Foundation
- The Rosenberg Foundation
- The Sierra Health Foundation
- Robert Wood Johnson Foundation

## Recommendation 8:

### Conduct outcome evaluation and cost-benefit analysis of pilot project.

#### COST-BENEFIT ANALYSIS

Beyond budget savings from incarceration, there are larger, more significant economic benefits from lower recidivism. Any program that reduces crime provides benefits to taxpayers, victims, and society as a whole. Taxpayers benefit from avoiding criminal justice system expenses and society benefits from avoiding harm, lost property and money, and related intangible damage from crime victimization.

National experts using sophisticated cost-benefit modeling can calculate the monetary value of recidivism reduction.

Developed by the Pew-MacArthur Results First Initiative, a project of The Pew Charitable Trusts and the John D. and Catherine T. MacArthur Foundation, this model factors in recidivism's impact on crimes committed and calculates the cascading effect of costs avoided throughout the criminal justice system—police, courts, jail, probation, prison, and post-release probation or parole. Since these costs vary depending on the type of crime committed, the cost-benefit model breaks down costs by crime category. It also projects economic benefits from avoided victimization costs including lost property, lost productivity, mental health care, social services, medical care, and reduced quality of life.

Appendix R, "Criminal Justice Cost-Benefit Model," describes the model in detail.

#### Key Features

- Cost-benefit analysis will project economic benefits from reduced recidivism.
- Outcome evaluation will measure the program's impact on recidivism.
- Pilot project monitoring will ensure CLA model is correctly implemented.

#### OUTCOME MEASURES<sup>64</sup>

At a program level, a modest reduction in recidivism and gains in education and employment will be long-term markers of CLA's success. As the cost-benefit analysis will show, even modest drops in recidivism can generate significant economic benefits, as described above.

<sup>64</sup> Each CLA facility's annual operating budget contains \$300,000 for data collection and comprehensive outcome evaluations.

However, in the near-term we recommend tracking intermediate markers of CLA's success, such as the incidence of violence and infractions, participants' advancement in the Level System, completion of treatment groups, and completion of school or passing the GED. Other measures to track include employment within CLA, failure rate (removal from CLA), and CLA completion rate, all of which are intermediate predictors of recidivism reduction.

The level of violence and infractions typically lessen over time. Participants should be advancing in the Level System, an indication they're reaching treatment and educational and vocational goals. Along these lines, we should expect to see a relationship between program "levels" and violence/infractions, with the frequency and intensity of the latter dropping as participants move up in the Level System. (If not, there's a systematic problem in program implementation.) Measuring this relationship needs to account for the fact that at higher levels these young men have more opportunity to engage in risky behaviors.

For CLA's education and job-training component, we recommend that performance benchmarks (and results) be shared publicly with a team of non-affiliated experts, to help CLA develop plans for improvement if it doesn't meet these performance metrics. In addition, depending on the regulatory status of CLA's "school," it should provide accountability data to the state Board of Education or charter authority, as appropriate. The key student academic performance measures should include at a minimum: academic achievement gains in reading and math; credit accumulation rates (both for students enrolled in high school and those taking community college courses); GED, diploma, certification and degree completion rates; and retention rates at work and in post-secondary school.

The latest data available for 18 to 25-year-old males in California's adult state prisons indicates that 61 percent of them return to prison within three years. We expect the recidivism rate for offenders who complete CLA to be less than that, although we cannot predict by how much. However, we know that evidence-based programs such as cognitive behavioral programming in adult prisons and other settings resulted in reductions ranging from very little change up to a two-thirds reduction in recidivism. Most averaged between 15 and 33 percent. For low-risk juvenile offenders in community-based juvenile justice programs (i.e., not incarcerated) like Multi-Systemic Therapy and Functional Family Therapy, recidivism reductions ranged from 11 to 50 percent.<sup>65</sup>

In addition to a rigorous assessment of all aspects of the comprehensive behavioral health program using a formalized outcomes evaluation, key stability indicators also will be assessed on an ongoing basis. These factors reflect increased stability. While they may serve as protective factors against recidivism, they also can be used to assess each participant's improvement in significant areas of life. Examining stability indicators in conjunction with behavioral observations, assessment data, and staff input allows staff

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<sup>65</sup> Przybylski, R. 2008. *What Works: Effective Recidivism Reduction and Risk-Focused Prevention Programs*. Denver, CO: RKC Group.

to regularly provide an accurate picture of where each young man is and how to continue to prioritize his needs.

For instance, a young man who completes the core treatment program and maintains the highest level may initially be viewed as somewhat successful and progressing well. However, when that same young man has not been able to earn his high school diploma over sufficient time (a stability indicator), a different picture emerges. In fact, attaining a high school diploma or GED may require targeted academic interventions and/or a

### **Stability Indicators**

- Sustained healthy relationships with residents for at least six months
- Sustained ability to live well with other residents for at least six months
- Progression through the program
- Attained high school diploma or GED
- Sustained employment for at least six months
- At least one involved and supportive individual
- A viable living situation following program completion
- Identified key resources that are easily accessible upon program completion

reassessment of learning difficulties for use in ongoing treatment planning, which may also need to be expanded to include a greater emphasis on vocational development.

Ultimately CLA's success lies in each young man's ability to exit the program with more resources and opportunities than he had when he entered. Therefore, constant attention must be given to ensuring that concrete needs not only are met, but that upon reentry young men do in fact have more options than they would have had if they hadn't participated in the program. Whereas achieving stability indicators often is directly related to progress throughout the program and demonstrated behavior change, closely monitoring stability indicators enables all staff to effectively focus on each youth's needs and deliver the right interventions at the right time. This is particularly critical given the relatively short nature of the program.

### **QUALITY ASSURANCE**

Research has confirmed the importance of maintaining fidelity to a program model (i.e., implementing a program as designed).<sup>66</sup> The main challenge in maintaining fidelity to a

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<sup>66</sup> International Journal of Offender Therapy and Comparative Criminology, Vol. 38, Issue 2 Authors:

program of this sort is ensuring that all levels of staff and program participants share quality assurance activities.

For instance, managers must be well-versed in behavior modification principles to effectively implement the level and reward systems, but they also must have firm knowledge of cognitive-behavioral interventions to fully appreciate the core treatment program and possess the requisite skills to deliver the treatment and adjunctive components. It is imperative that all staff implement the model as prescribed while ensuring the integrity of the level and reward systems are maintained throughout implementation.

The program provides all staff with opportunities to reward students. All personnel use positive reinforcement as the main strategy to shape behavior and use punishment and negative sanctions only when necessary and as directed by the Level System. Systems must be in place to ensure fidelity to key program elements like the level and reinforcement systems as well as delivery of groups. Fidelity to the program results in students seeing staff as allies who help them to achieve their goals and gain access to incentives and privileges. The foundation for this alliance is born and nurtured by ensuring fidelity to the CLA model.

This is a critical point because one explicit intention of the program is to change the relationship between the line staff and the student. They work together in a collaborative manner, which means that staff in this program needs to adhere to the program model, maintain appropriate boundaries, and display impeccable professionalism.

See Appendix S, "Methods of Assuring Program Fidelity," for a list of CLA performance measures.

Performance and accountability measures also are needed to assess teacher quality and the overall climate of the program's "school" component. These measures should include student surveys and feedback, observation and feedback from outside experts, parents, and community stakeholders.

Regarding family input, schools in secure settings often exclude parents from participating in engagement and improvement strategies. At CLA, parents and caregivers have an active voice, just as they would in a community-based high school or community college.

In addition, key stakeholders—non-profits, local businesses, local public agencies, tutors, and volunteers—should be included in ongoing, real-time assessment of CLA's performance in education and job training. The program should solicit their feedback on how it can improve in light of changing economic and workforce opportunities. These stakeholders also should be involved in regular, structured evaluation and accountability visits.

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Daniel H. Antonowicz and Robert R. Ross. See more at <http://offenderchange.org/research/evidence-based-corrections/#sthash.5WsCAoEO.dpuf>

## Conclusion

Our current way of punishing young men who commit crimes only works to make them better criminals. The physical and programmatic design of U.S. prisons changes few inmates for the better, yet we continue to rely on the same failed approaches.

In the past, corrections professionals and governing bodies could only guess at what might work to reduce the high recidivism rates of incarcerated young adult men. We now have significantly more research and evidence to guide a targeted approach for this population. It's time to apply what we know and to create an environment where we can learn more.

Taking these steps requires a leap of faith: faith that the neuroscience behind so many breakthroughs in human behavior and health can guide us in corrections; faith that we know enough about criminogenic behavior to develop programs that do more harm than good; faith that the vast majority of young people no matter how traumatic or damaging their past can heal and change; and, ultimately, faith that our understandable desire to see those who break the law punished is balanced with a belief that as a society we should offer all our citizens and especially our young people a chance to prove themselves to be productive, law abiding members of our communities.

Although some people may consider this report's recommendations extreme, our proposed approach is the norm in many nations,<sup>67</sup> where similar programs have resulted in vastly lower recidivism rates. Such programs invest in behavioral health models to save not just money but to produce safer communities. For the U.S., adopting these practices would also allow us to reap enormous benefits from the untapped talents of this group of young people.

The California Leadership Academy embodies a smart-on-crime approach to the incarceration of young adult men. Placing them in a program where they're surrounded by peers who share a desire to permanently change their lives and providing programs to maximize their chances of a crime-free future represent challenging first steps in a paradigm shift in California corrections. It is time to take those steps. It is time to re-examine, re-imagine and re-design how to reduce our shameful waste of the potential talent of yet another generation of young men.

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<sup>67</sup> *The Radical Humaneness of Norway's Halden Prison*, by Jessica Benko. New York Times Magazine, March 26, 2015.





# Appendix A

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## Meet Our Experts

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## Appendix A

# MEET OUR EXPERTS

### Steering Committee

#### Scott Budnick

Scott Budnick is the Founder and President of the Anti-Recidivism Coalition (ARC), a support and advocacy organization that provides services, support, and opportunities to currently and formerly incarcerated individuals, and advocates for fair policies in the juvenile and criminal justice systems.

Mr. Budnick is a teacher for and serves on the Advisory board of InsideOUT Writers, a non-profit organization that teaches creative writing to incarcerated youth and provides supportive services to former students upon their release. He also serves on the board of the Los Angeles Conservation Corps, and the Advisory board for the Loyola Law School's Center for Juvenile Law and Policy.

In recognition of his work with youth in the criminal justice system, Mr. Budnick was honored by Governor Jerry Brown as California's Volunteer of the Year for 2012. In August 2013, Budnick was appointed to the Board of State and Community Corrections (BSCC) by the Speaker of the Assembly, John Perez. He also is a member of the California Community Colleges Board of Governors.

Mr. Budnick also served as Executive Vice President of Green Hat Films, where he executive produced many successful comedies including the highest grossing R-rated comedies in history, The Hangover series.

#### Michael Minor

Michael Minor is Director of California's Division of Juvenile Justice (DJJ), which provides education and treatment services to the state's most high risk/high need youthful offenders up to the age of 25. His responsibilities include overseeing the state's three secure facilities and one fire camp.

Under Mr. Minor's leadership, DJJ successfully concluded its implementation of major reforms stemming from a long-standing court settlement that has been described as one of the most far-reaching remedial plans in American juvenile justice history. These reforms cover health care, dental care, education, disability rights, and programs for sex offenders. He has guided DJJ through implementation of a cognitive behavior approach to assessing and treating youth, and led the Division to achieve major improvements in mental health care.

Mr. Minor's previous public service includes 30 years with California's Department of Corrections and Rehabilitation, as Superintendent, Major, Captain, Lieutenant, Sergeant, and Officer.

### **Fariborz Pakseresht**

Fariborz Pakseresht is Director of the Oregon Youth Authority (OYA), the state's juvenile corrections agency for offenders age 12 to 24. The agency operates 10 youth correctional facilities across the state charged with protecting the public by reducing crime, holding youth offenders accountable, and providing reform opportunities in safe environments.

Previously, Mr. Pakseresht served nearly 20 years in a variety of leadership roles with the Oregon departments of Human Services and Administrative Services.

Under his leadership, OYA is implementing a new, data-driven and research-based Youth Reformation System, aimed at driving down recidivism rates and improving positive outcomes for youth. The system is a model for other public and private sector organizations in Oregon and throughout the nation.

Mr. Pakseresht was honored in October 2013 with the Outstanding Administrator Award from the Council of Juvenile Correctional Administrators for his leadership and contributions in the field of juvenile justice.

### **Vincent Schiraldi**

Vincent Schiraldi is a Senior Research Fellow directing the Harvard Kennedy School's Program in Criminal Justice Policy and Management. He also directs the Project for Justice in a New Century, a policy reform and research effort provisionally supported by the Laura and John Arnold Foundation.

Mr. Schiraldi previously served as director of juvenile corrections in Washington, DC, and as Commissioner of the New York City Department of Probation. Most recently he served as Senior Advisor to the New York City Mayor's Office of Criminal Justice.

In addition to his long career in public service, Mr. Schiraldi is the founder of the Justice Policy Institute, a non-profit research and advocacy organization based in Washington DC. He led efforts to establish community-based alternatives to incarceration in Washington DC (the YouthLink initiative) and in New York City (NeON network and the Close to Home program).

### **Mark Steward**

Mark Steward is the Founder and Director of Missouri Youth Services Institute. Previously, he served for more than 17 years as Director of Missouri's Division of Youth Services, where he oversaw one of the most innovative juvenile justice programs in the nation that has become a model other states emulate. He started as a counselor in that program when the group processes it became known for was a pilot project.

Mr. Steward served as President of the Council of Juvenile Correctional Administrators in 2004-2005. During his 40 years in juvenile justice, he has been recognized for numerous accomplishments, including Missouri's Child Advocate of the Year in 2004, Outstanding Juvenile Correctional Administrator in 2003, and Missouri Juvenile Justice Association's Outstanding Services Award in 2001.

### **James Tilton**

James Tilton served as Secretary for California's Department of Corrections and Rehabilitation (CDCR) from 2006 to 2008, capping a public service career that spans three decades working on correctional and fiscal issues.

His previous experience at the Department of Finance includes serving as the program budget manager for several agencies including Corrections. He also served as assistant program budget manager for the Capital Outlay Unit, executive secretary to the State Public Works Board, principal program budget analyst over the Youth and Adult Correctional Agency, and director of expenditure forecasting for the Commission on State Finance.

Mr. Tilton also served for 13 years as the Department of Corrections' deputy director for administrative services, and chaired the Correctional Peace Officer Standards and Training Commission.

## **Expert Consultants**

### **James Bell**

James Bell is the Founder and Executive Director of the W. Haywood Burns Institute. Since 2001, Mr. Bell has spearheaded a national movement to address racial and ethnic disparities in the youth justice system. (Mr. Bell provided advice on the CLA project but takes no position on the proposal itself.)

Nationally, Mr. Bell and his colleagues at the Burns Institute work to reduce the disproportionality of youth of color in the justice system. Mr. Bell guides the organization's Community Justice Network for Youth, a national network of programs working successfully with young people of color. He also works closely with the Annie E. Casey Foundation's Juvenile Detention Alternatives Initiative and the MacArthur Foundation's Models for Change Initiative.

Mr. Bell is the recipient of a Kellogg National Leadership Fellowship, the Livingstone Hall Award from the American Bar Association, Attorney of the Year from the Charles Houston Bar Association, Advocate of the Year from the Office of Juvenile Justice and Delinquency Prevention, the Moral Leadership Against Injustice Award of the Delancey Street Foundation, the Local Hero Award from the San Francisco Corporation for Public Broadcasting, and the James Irvine Foundation Leadership Award.

### **Barbara Bloom**

Barbara Bloom, Ph.D., is Co-Director of the Center for Gender and Justice in La Jolla, California, and a Professor at Sonoma State University's Department of Criminology and Criminal Justice Studies.

Dr. Bloom has directed various research projects focused on gender-responsive services for women and girls in criminal justice settings. She is a past President of the Western Society of Criminology (1998-1999). She has received numerous awards, including the National Council on Crime and Delinquency's Donald Cressey Award in 2007; the 2006 Saltzman Award for Contributions to Practice from the American Society of Criminology's Division on Women and Crime, which recognizes a criminologist whose professional accomplishments have increased the quality of justice and the level of safety for women; the American Probation and Parole Association's 2003 University of Cincinnati Award for the publication *Gender-Responsive Strategies: Research, Practice, and Guiding Principles for Women Offenders*; and the Western Society of Criminology's Fellow Award in 2003 for important contributions to the field of criminology.

### **Nancy Calleja**

Nancy Calleja is the Clinical Director of Spectrum Human Services, Inc. and Affiliated Companies, a large, multi-faceted human service organization specializing in juvenile justice, child welfare, mental health, and addiction serving individuals throughout Michigan. She has developed numerous treatment programs for adolescents and young adults, including residential and outpatient treatment programs across each of the public systems of juvenile justice, child welfare, and mental health. She also developed and implemented the only residential treatment and detention facilities located in the city of Detroit.

Dr. Calleja has broad experience as an expert consultant, researcher, practitioner, and administrator in criminal justice and behavioral health, and specializes in the treatment and management of sexual offenders and comprehensive program development. Dr. Calleja is also Professor and Chair of the Department of Counseling and Addiction Studies at the University of Detroit Mercy. She has published widely and has received significant support for her research from the federal government as well as foundations.

From 2010 to 2014, Dr. Calleja worked with the California Department of Juvenile Justice to successfully develop and implement a new treatment program for sex offenders and provide consultation on the development of a staffing realignment model.

### **Stephanie Covington**

Stephanie Covington, PhD, LCSW, is Co-Director of the Institute for Relational Development and the Center for Gender and Justice in La Jolla, California. An internationally recognized clinician, author, lecturer, and organizational consultant, she is noted for her pioneering work in the design and implementation of gender-responsive and trauma-informed treatment services in public, private, and institutional settings.

Dr. Covington's current work with the California Department of Corrections and Rehabilitation focuses on women serving sentences for violence/aggressive crimes. This work will extend to men with similar histories. Both projects also involve the segregated housing unit (SHU) population. Her published work includes eight research-based, manualized treatment curricula. She co-authored a three-year research project, *Gender-Responsive Strategies: Research, Practice, and Guiding Principles for Women Offenders*, for the National Institute of Corrections, which received the American Probation and Parole Association's 2003 University of Cincinnati Award for its outstanding contribution to the field of corrections in the U.S. and Canada. She has provided training and consulting services to the United Nations Office on Drugs and Crime, the National Institute of Corrections, the Ministries of Justice in England, Scotland, and Switzerland, the Correctional Service of Canada, the Federal Bureau of Prisons, and many state and local jurisdictions.

### **Dennis Dickerson**

Dennis Dickerson, AIA and LEED AP, is a registered California Architect and Vice President of Vanir Construction Management, Inc. He currently is Program Manager on the California Department of Corrections and Rehabilitation's multi-billion dollar design and construction program. Working directly with the Facility Planning, Construction and Management Division, Mr. Dickerson manages a group of over 50 professionals who provide technical planning, design, and construction expertise along with management services on all new prison projects. Mr. Dickerson has been in this lead role for nearly six years. Prior to that he was the Program Manager on CDCR's Secure Community Reentry Program.

Mr. Dickerson has over 40 years of experience in all phases of project development on a wide range of correctional, health care, educational, commercial, and civic projects. As a Project Manager and Program Manager, he has been directly responsible for delivering comprehensive program, project, and construction management services on more than \$4.0 billion worth of secure correctional facilities. In addition to managerial expertise, he's also highly skilled and experienced in developing innovative architectural design concepts and sustainable building solutions.

Mr. Dickerson is a member of the American Institute of Architects, the American Correctional Association, and the U.S. Green Building Council.

### **David Domenici**

David Domenici is the Founder and Director of the Washington, DC-based Center for Educational Excellence in Alternative Settings, which advocates for improvements in the juvenile justice education system and helps states and private institutions redesign correctional education programs.

Mr. Domenici also is Co-founder of the Maya Angelou Schools in Washington, DC, which serve young people age 11 to 24 including incarcerated young men and formerly incarcerated young adults.

Previously, Mr. Domenici worked in corporate finance and practiced law.

### **Bruce Gage**

Bruce Gage is a Psychiatric Consultant with Puget Sound Mental Health in Tacoma, Washington. Board certified in general and forensic psychiatry, Dr. Gage has broad experience as an expert consultant, researcher, practitioner, and lecturer in behavioral health.

Dr. Gage is also Chief of Psychiatry for the Washington State Department of Corrections, and is a Clinical Associate Professor in the University of Washington's Department of Psychiatry and Behavioral Sciences. He has been widely recognized for his work, including the Washington Governor's Award for Leadership in Management in 2010.

Since 2011, Dr. Gage has served as the mental health consultant to the State of California in the *Farrell* litigation involving practices in the state's Division of Juvenile Justice. A number of correctional systems around the country have consulted with Dr. Gage, including the L.A. County Sheriff's Office.

Previously, Dr. Gage held positions at the Washington Institute for Mental Illness Research and Training at the University of Washington, including Program Director at the Center for Forensic Services; Director of the Electrophysiology Laboratory; Program Director for the University of Washington/Western State Hospital's Forensic Psychiatry Fellowship; and Supervising Psychiatrist and Forensic Psychiatrist at the Center for Forensic Services at Western State Hospital in Washington.

### **Vince Hayes**

Mr. Hayes is the Supervising Senior Project Manager in charge of the CDCR Capital Outlay project management team with Vanir Construction Management, Inc. He is a professional Civil Engineer with over 30 years of experience in site development design, application processing, and construction administration for a wide range of correctional institution, public improvement, commercial, residential, and office park projects.

Mr. Hayes' capabilities include site improvement plan design, jurisdictional applications and processing, cost estimating, and construction administration. In addition, he has been responsible for the coordination of project topographic surveys, mapping, geophysical surveys, construction staking, and construction assistance on a wide range of projects. In addition to his project management capabilities, Mr. Hayes has a great deal of experience and expertise evaluating and addressing site development constraints.

Mr. Hayes is a registered California Professional Engineer and U.S. Green Building Council LEED Accredited Professional.



## **Barry Krisberg**

Barry A. Krisberg is a Visiting Fellow at the Institute for the Study of Societal Issues at the University of California Berkeley. Previously he was a faculty member in the School of Criminology at UC Berkeley, a Lecturer in Residence at UC Berkeley Law School, and a Visiting Professor at John Jay College in New York.

Dr. Krisberg was named in a consent decree to help develop remedial plans and monitor many of the mandated reforms in the California Division of Juvenile Justice. He has served in similar roles in New York and Illinois. He has been a consultant to the federal Office of Juvenile Justice and Delinquency Prevention on tools to assess juvenile detention centers. He also has assisted the U.S. Department of Justice on investigations of compliance with the Civil Rights of Institutionalized Persons Act at juvenile facilities and institutions for women.

From 1983 to 2009, Dr. Krisberg served as President of the National Council on Crime and Delinquency. Among his many awards, he received the American Society of Criminology's (ASC) August Vollmer Award in 1993, and the Lifetime Achievement Award in 2011 from the ASC's Division on People of Color and Crime.

## **James Payne**

James Payne is a technical assistance provider and team leader for the Annie E. Casey Foundation's Juvenile Detention Alternatives Initiative, a post he's held for 14 years. In this role, he assists reform efforts in Missouri, Minnesota, New York, Georgia, and other states.

An attorney, Mr. Payne previously served as General and Legislative Counsel for Covenant House New York; Director of Pre-Trial Programs for the Vera Institute of Justice; Executive Director for the Center for Redirection through Education in New York; and Director of Adult Services for Westhab in New York. He also spent two years teaching history and "street-law" to detained youth at Horizon and Bridges Juvenile Detention Centers in the Bronx.

Mr. Payne also has been an Assistant District Attorney in the New York County District Attorney's Office. In 1982, he was appointed Chief of the Family Court Division for the New York City Corporation Council, making him responsible for all juvenile delinquency prosecutions in the City of New York. After serving more than five years in this capacity, he was appointed Commissioner of the New York City Department of Probation in 1987.

## **Lee Seale**

Lee Seale is the Chief Probation Officer for Sacramento County, a post he was appointed to in April 2013. Previously, he served in the Schwarzenegger and Brown administrations as a Director in the California Department of Corrections and Rehabilitation.

An attorney, Mr. Seale began his career as a criminal prosecutor in the California Department of Justice, during which time he also served as a consultant with the state's Commission on Peace Officer Standards and Training (POST) in the areas of search and seizure law and interrogation law. He later worked as a special assistant in the Office of the Inspector General.

### **Michael Wilson**

Michael Wilson, an economist, provides cost-benefit and criminal justice consulting services to clients nationwide. He works with Pew Charitable Trust providing technical assistance to multiple states and counties implementing cost-benefit models. He also works with counties to develop cutting-edge criminal justice tools, including jail and policy projection tools and a pretrial-specific cost-benefit model. He conducts cost-analysis and policy modeling of state and county justice reinvestment strategies and has created jail and prison projection models as part of the Justice Reinvestment Initiative. He's taught cost-benefit seminars and webinars through the Vera Institute of Justice, Pew Charitable Trust, Crime and Justice Institute, Justice System Partners, and Justice Research and Statistics Association (JRSA).

Previously, Mr. Wilson worked as an economist for the Oregon Criminal Justice Commission and Director of the Statistical Analysis Center, where he created the first statewide criminal justice cost-benefit model. He's been recognized by the JRSA for his criminal justice research in Oregon and has received multiple Phillip Hoke Awards for Excellence in Analysis.

# Appendix B

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## Designing Solutions

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## Appendix B

### DESIGNING SOLUTIONS

Palo Alto-based IDEO contributed its design expertise to the California Leadership Academy by focusing on the young men who are at the heart of the CLA proposal, an approach that is consistent with all of IDEO's work whether it's for a public- or private-sector project.

The global innovation and design firm, widely known for its human-centered approach, has helped many organizations in the business, government, education, and social sectors innovate and improve by offering a fresh perspective, starting with the stories of people they serve. For the CLA project, IDEO interviewed experts in the criminal justice field and talked directly with incarcerated or formerly incarcerated young men to gather first-hand knowledge about the challenges of turning their lives around.

IDEO's public sector work spans a broad array of issues. In San Francisco, IDEO collaborated with the school district to redesign a lunch program where many students were missing lunch or opting out of it for a variety of reasons, and the program was running \$2 million in the red. After identifying the core issue—how the food was being served—the IDEO team set about redesigning the lunch experience. It involved more than 1,300 students, parents, union leaders, nutrition staff, board commissioners, principals, teachers, and community groups in the project. The new model it developed, which the school district adopted, considered thousands of data points as well as federal, state, and local regulations.

In Los Angeles, the county hired IDEO to design a new voting technology to replace its outdated system. The plan is for the new system, a touchscreen IDEO designed, to be ready for voters in the 2020 presidential election.

IDEO worked with the Centers for Disease Control to refine the focus of a program for fighting childhood obesity. CDC brought the firm on board to gain a non-governmental perspective that would help the adults running "Project Carrot" better understand the young population they were trying to reach. IDEO's interviews with tweens, parents, and others with a stake in healthy eating revealed findings the CDC officials were able to use to reframe the program's objective.

To meet federal energy reduction targets, the General Services Administration enlisted IDEO to help it develop a human-centered strategy for converting the government's 8,600 buildings into green, efficient, and productive workspaces, as technology upgrades alone were insufficient. IDEO's green strategy work led to further collaboration with the GSA to develop an innovative messaging tool for federal facilities. This tool, a dynamic

video and data visualization wall that supports energy efficiency on a human scale, is currently being pilot-tested at the San Francisco Federal Building.

Another client, the Social Security Administration, tapped IDEO to help it get people to use SSA's website for requesting retirement benefits, saving money in field offices where claims would otherwise be processed in person. The IDEO team started by studying how people use the SSA field offices, website, and forms. Then they convened strategy sessions with SSA managers to test out new ideas, resulting in new prototype web pages and user-friendly forms.

These are just a few examples of public sector projects IDEO has worked on that demonstrate the value of applying non-governmental approaches to the challenges government organizations face. Public entities have just as much incentive to innovate as private companies do, but often lack the resources to carry out the necessary research. For the CLA project, IDEO was able to fill that gap. Using its experience and expertise, IDEO provided a much-needed perspective that will inform CDCR's decision-making on this project going forward.

# Appendix C

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## Stakeholder Feedback

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## Appendix C

### STAKEHOLDER FEEDBACK

In April 2016, Campbell Consulting held a series of meetings with stakeholders to present the key elements of the draft proposal, respond to questions, and solicit feedback. Attendees included representatives from local governmental organizations, community-based providers and support organizations, academia, and the California State Legislature.

In general, the local governmental organizations responded positively to the approach outlined in the proposal. While needing more details, in concept they support the approach and the proposal's key elements. Some said an alternative to the current incarceration approach is long overdue and offered their comments and suggestions, some of which were incorporated into the final proposal.

Representatives from community-based providers and support organizations almost uniformly objected to the proposed concept and approach as well as the process for developing it. The main issues and concerns they expressed included:

- Their organizations were not involved in developing the proposal and, therefore, they believe the process lacked transparency.
- Adding new prison facilities is costly and unnecessary especially since county detention centers currently have excess capacity throughout California. Any construction of new facilities should be accompanied by a corresponding deactivation of existing prison beds.
- Research suggests that smaller facilities in locations that provide strong family ties is most effective in reducing recidivism, making the report's proposed approach inconsistent with that research.
- The proposal has little chance of succeeding as there is no buy-in from community-based organizations and there is no non-profit organization with the capacity to operate the proposed facilities as designed in the report.
- It's too costly and an imprudent use of public funds to build new facilities based on an unproven concept and design.

The issues listed above are beyond the scope of our contract with CDCR, so they have not been addressed in our report. However, if all or some of the report's recommendations are adopted and construction of the CLA campuses proceeds, CDCR should consider engaging in additional outreach with the community-based organizations and representatives of local governmental organizations to identify and address additional issues of concern.

It should be noted that legislative approval is required for funding the proposed pilot project, and that the Legislature's deliberative process provides additional opportunities for transparency and addressing concerns such as those noted above.

### **Organizations represented at the meetings<sup>1</sup>**

#### **Berkeley (April 12, 2016)**

- Alameda County District Attorney's Office
- Alameda County Probation Department
- Alameda County Sheriff's Office
- Contra Costa Probation Department
- Urban Strategies Council
- Impact Justice
- W. Haywood Burns Institute
- Ella Baker Center
- Center on Juvenile and Criminal Justice
- Institute for the Study of Social Issues, University of California, Berkeley

#### **Sacramento (April 12, 2016)**

- Sacramento County District Attorney's Office
- Sacramento County Sheriff's Department
- Sacramento County Probation Department
- Sacramento County Juvenile Court
- California Prison Law Office
- Pacific Juvenile Defender Center
- Californians United for a Responsible Budget
- Milton Marks "Little Hoover" Commission on California State Government Organization and Economy

#### **City of Paramount (April 13, 2016)**

- Los Angeles District Attorney's Office
- Los Angeles County Sheriff's Department
- Los Angeles County Probation Department
- Children's Defense Fund
- University of California, Los Angeles, School of Law

#### **Sacramento (April 14, 2016)**

- California Senate Rules Committee
- California Assembly Speaker's Office

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<sup>1</sup> Based on sign-in sheet at each meeting site

# Appendix D

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## The Relevance of Brain Development

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## Appendix D

# THE RELEVANCE OF BRAIN DEVELOPMENT

*By Bruce C. Gage, M.D., Puget Sound Mental Health  
Board Certified in General and Forensic Psychiatry*

A great deal is known about development not only from a biological perspective but also cognitive development, personality development, and moral development. There are well-defined stages of development in each arena.<sup>1</sup> Behavioral arrest or, more commonly, delay or abnormality can occur in each arena.

Biological development of the nervous system continues until at least age 25. Of note, the frontal lobes are the last part of the brain to achieve adult configuration. The frontal lobes are critical to impulse control, emotional regulation, and executive function in general. This is why normal youth manifest difficulties in these areas. When they go through puberty and are energized by the substantial changes related to sex hormone production, they are ill-equipped to manage the powerful feelings and impulses that arise. This explains much of the spike in antisocial conduct during adolescence.

Biological development is affected by a host of factors including genetics, intrauterine conditions, birth, biological insult (trauma, toxins, infection, etc.), and experience. The latter is important to be aware of in that impoverished environments literally impact biological brain development. Brain development is largely irreversible, meaning it's not possible to provide "good conditions" or "re-parenting" to undo the developmental limitations. However, we can provide opportunities for skill development that offer avenues for an individual to overcome limitations due to problems with brain development. This is a major reason why the California Leadership Academy is based on a skill acquisition and learning model.

Cognitive development is important to be aware of as some young adults in the CLA will suffer from a limited capacity for abstract thinking, learning disorders, language disorders, and a variety of similar challenges. These are not serious disorders. Nonetheless, they can be important and may present barriers to treatment that impact responsivity.

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<sup>1</sup> Kohlberg L. The Psychology of Moral Development: The Nature and Validity of Moral Stages. Harper & Row, San Francisco. 1984. Novak G & Palaez M. Child and Adolescent Development: A Behavioural Systems Approach. Sage, London. 2004. Semrud-Clikeman M & Ellison PAT. Child Neuropsychology. Springer, New York. 2009.

Personality is most easily defined as the enduring patterns of behaving, feeling, and thinking that all people manifest. About half the variance of personality is genetic,<sup>2</sup> which means the rest is due to environment and interactions between genetics and the environment. There are well-described personality patterns; their precursors can be seen as a child develops. There are also well-described patterns of problems that occur, for instance, in response to repeated childhood trauma, often referred to as complex trauma.<sup>3</sup> Persons with complex trauma often demonstrate a constellation of problems including poor impulse control, unstable relationships, substance abuse, health problems, and problems managing emotions. We know that children that grow up in environments with harsh punishment also frequently exhibit problem behavior.<sup>4</sup> In short, a variety of different patterns can be identified and addressed.

Personality is relatively set by young adulthood, but young adults are in general more flexible and more capable of learning and changing behavior than older adults,<sup>5</sup> consistent with what we know about biological development. Thus, addressing habitual patterns is best addressed as early as possible.

There are three main reasons the foregoing is important. First, it's important to be able to distinguish behaviors that, though problematic, may still represent normal development. Such behaviors do not require treatment but will be naturally addressed through CLA's Level System. Further, they usually do not deserve the same degree of opprobrium as more enduring patterns of antisocial conduct. Second, and more important, understanding normal development and the ways in which it can be impacted are essential to identifying patterns that should be the focus of intervention. Third, it's sometimes important to be aware of developmental problems that may guide, and sometimes limit, the types of interventions used with a particular individual.

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<sup>2</sup> Buss, DM & Hawley PH. *The Evolution of Personality and Individual Differences*. Oxford University Press (2011).

<sup>3</sup> Courtois CA. Complex trauma, complex reactions: assessment and treatment. *Psychotherapy: Theory, Research, Practice, Training* 41(4):412-425 (2004). Van der Kolk BA. Clinical implications of neuroscience research in PTSD. *Ann NY Acad Sci* 1071:277-293 (2006). Lobbetael J, Arntz A, Sieswerda S. Schema modes and childhood abuse in borderline and antisocial personality disorders. *J Behav Therapy & Exper Psychiat* 36:240-253 (2005).

<sup>4</sup> Vostanis P, Graves A, Meltzer H, Goodman R, Jenkins R, Brugha T. Relationship between parental psychopathology, parenting strategies and child mental health: finding from the GB national study. *Soc Psychiatry Psychiatr Epidemiol* 41:509-514 (2006).

<sup>5</sup> de Wit S, van de Vijver I, Ridderinkhof KR. Impaired acquisition of goal-directed action in healthy aging. *Cogn Affect Behav Neurosci* 14:647-658 (2014).

# Appendix E

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## Choosing the Pilot Project Locations and Designing the Sites

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## Appendix E

# CHOOSING THE PILOT PROJECT LOCATIONS AND DESIGNING THE SITES

The pilot project requires two 256-bed campuses—one each in northern and southern California. We visited six state-owned sites, some multiple times, to assess the feasibility of each site. We limited our search to state-owned sites because construction costs will be lower and the facilities can be completed sooner.

In Northern California, we evaluated the following options:

The closed Northern California Women’s Facility (an adult prison) in Stockton.

The closed Preston Youth Correctional Facility in Lone.

Unoccupied land adjacent to two youth facilities in Stockton. (Recommended)

In Southern California, we evaluated the following options:

The current Ventura Youth Correctional Facility and land adjacent to it.

The closed Heman G. Stark Youth Correctional Facility in Chino.

The closed Southern Youth Correctional Reception Center and Clinic in Norwalk.  
(Recommended)

The following considerations guided our choices.

### **Northern California**

The closed Northern California Women’s Facility (NCWF) in Stockton bears too much resemblance to a prison, which conflicts with the program’s requirement for a campus-like setting. The entire facility would have to be demolished, adding significant costs to the project. Moreover, while the NCWF is unsuited for this project, CDCR may use it for other purposes, so it’s unlikely they would consent to its demolition.

The original proposal for a California Leadership Academy recommended the closed Preston Youth Correctional Facility in Lone as a site for this project because the rural location provides a therapeutic setting and ample space to meet the program’s needs. However, the rural site offers limited job opportunities for work furlough, an essential component of the program’s transition phase. In addition, its remote location poses logistical challenges for family engagement.

**Recommended Site:** The unoccupied land near two youth facilities in Stockton requires no demolition or renovation. It already has access to the necessary utilities for building a

facility in a timely manner tailored to the project's needs. It provides excellent opportunities for work furlough and is more accessible from northern California's urban areas than the Preston site. Moreover, given the site's location next to current state juvenile facilities, there's opportunity for cost-sharing arrangements with the Division of Juvenile Justice (DJJ) that could result in substantial savings for the pilot project.

## **Southern California**

The original proposal for a California Leadership Academy also recommended locating a pilot campus for this project at DJJ's Ventura Youth Correctional Facility. However, doing so would involve the pilot project re-purposing the visitor center that's currently in use by that facility and demolishing two other buildings it's currently using. This approach is unacceptable to DJJ management as it would adversely impact its program and operations.

Although it would be possible to locate a pilot campus completely outside DJJ's current Ventura facility, there may not be enough available land. We concluded this was not a viable option because, as with the Preston site, the Ventura site's rural setting poses challenges for the program's work furlough component and emphasis on family engagement.

The closed Chino facility is too dismal and prison-like to be suited for this project. At least some of the buildings would need to be totally demolished at considerable cost. Vacant land next to it could provide access to necessary utilities, but there's an unresolved question as to whether that land is within the airport flight zone and therefore off-limits to development. We did not explore this option further. While the site is close to major warehouse distribution facilities and could provide work furlough jobs, we concluded the Norwalk site provides similar, if not superior, access to jobs and other opportunities at far less cost.

**Recommended Site:** The closed Southern Youth Correctional Reception Center and Clinic in Norwalk is a good inner-city location in LA County. It offers excellent opportunities for work furlough and community college education. In addition, many buildings at this site can be used for a CLA campus with just minor improvements, reducing construction costs.

According to CDCR management, the department anticipates using a portion of the Norwalk site to build a reentry facility. Having that facility next to the pilot campus would allow the campus and CDCR to share certain support services, providing economies of scale and reduced construction and operating costs for both programs.

## **Schematic Designs**

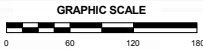
The site plans on the following pages were prepared by Vanir, a construction management firm in Sacramento that provided design expertise on this project. Their schematic designs reflect input from the project steering committee to design the California Leadership Academy pilot campuses to support the program's treatment and

education goals. These drawings show the layout of each proposed campus including the living units and the administrative/operations building.

In addition, we believe the concepts and ideas on pp. 63-73 of Appendix T, "Sustaining Change," by IDEO, could be adopted with minimal impact to the overall construction cost and should be incorporated into the final design of the facilities providing they are feasible and don't compromise safety and security.



① SITE PLAN  
1" = 60'-0"



Revision Schedule	
#	Description

Phase:  
Drawn By: GS  
Checked By: DO  
Job No: T869  
Issue Date: 02/25/2016

Site Plan



California Leadership Academy  
STOCKTON SITE



**VANIR**  
Construction Management, Inc.  
4540 Dardennes Drive, Suite 300 | Stockton, CA 95254  
Tel: 916-575-8888 / Fax: 916-575-8887  
Solutions for Success

Site Plan

SOUTHERN YOUTH CORRECTIONAL RECEPTION CENTER AND CLINIC  
6 EXISTING SITE PLAN  
2/25/2016 12:19:53 PM P:\10810011 Facilities Master Plan\DJU Repurposing\SYCRC\ReedSouthern Youth Reception Center Nowak - Repurposing.rvt



#	BUILDING USE OR NAME
1	CORRECTIONAL TREATMENT CENTER
2	NA
3	EMPLOYEE RESIDENCE
4	EMPLOYEE RESIDENCE
5	EMPLOYEE RESIDENCE
6	NA
7	NA
8	MARSHALL HOUSING UNIT
9	OUTDOOR VISITING
10	RECREATION
11	ADMIN BUILDING
12	EDUCATION
13	PICO HOUSING UNIT
14	GIBBS HOUSING UNIT

#	BUILDING USE OR NAME
15	SUTTER HOUSING UNIT
16	NA
17	NA
18	DRAKE HOUSING UNIT
19	PORTOLLA HOUSING UNIT
20	CABRILLO HOUSING UNIT
21	CLOTHING DISTRIBUTION
22	NA
23	TRAINING CENTER
24	EDUCATION
25	GYM
26	KITCHEN / DINING
27	MAINTENANCE
28	GROUNDS

EXISTING  
SITE PLAN



California Leadership Academy

SOUTHERN YOUTH CORRECTIONAL RECEPTION  
CENTER AND CLINIC REPURPOSING



**VANIR**  
Construction Management, Inc.  
4140 Oakman Drive, Suite 300 | Sacramento, CA 95834  
Tel: 916-575-8888 / Fax: 916-575-8887  
Solutions for Success

Revision Schedule	
#	Description

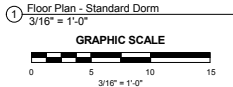
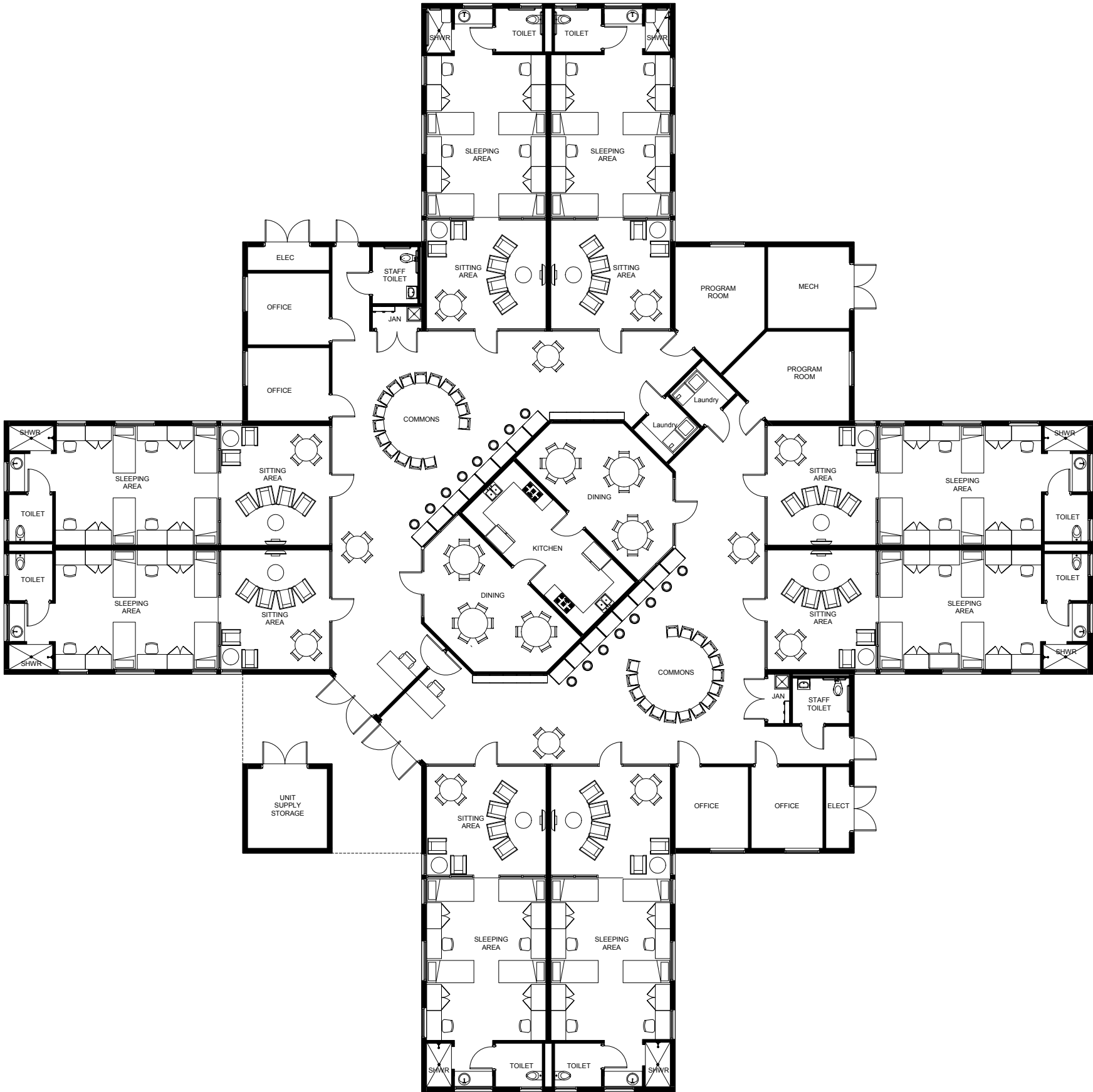
Phase:  
Drawn By:  
Checked By:  
Job No.:  
Issue Date:

CS  
DO  
T869  
02/25/2016

2/25/2016 1:36:10 PM P:\1089\DWG\Facilities Master Plan\DWG\Repurposing\New Housing\Housing Unit A.dwg

3 Housing Unit A Standard Dorm

HOUSING UNIT A



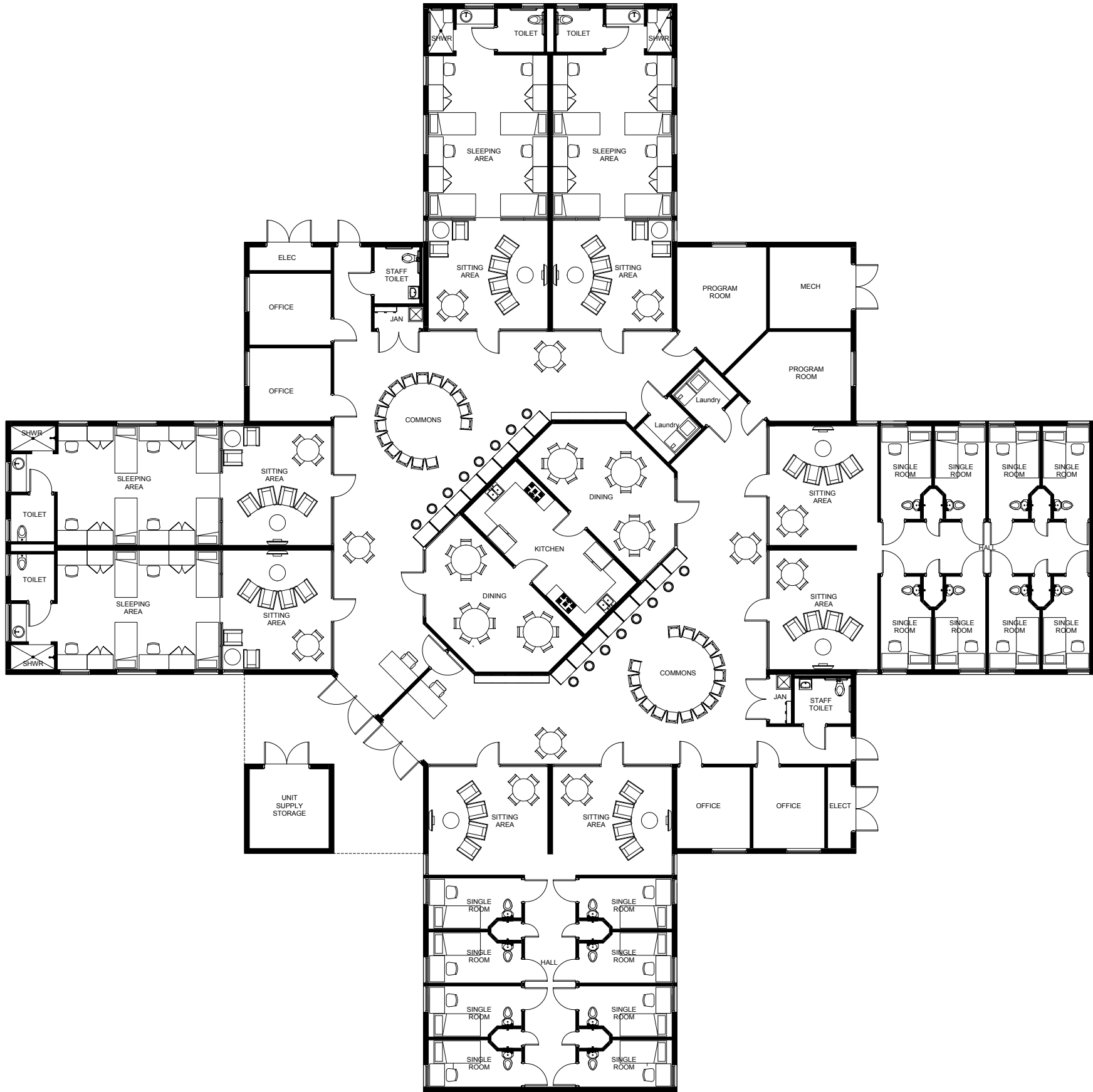
California Leadership Academy  
HOUSING UNIT A



Revision Schedule		
#	Date	Description
Phase: Drawn By: GS Checked By: DO Job No.: T869 Issue Date: 02/25/2016		

Housing Unit A  
Standard Dorm





1 Floor Plan - Single Room  
3/16" = 1'-0"  
GRAPHIC SCALE  
0 5 10 15  
3/16" = 1'-0"



California Leadership Academy  
HOUSING UNIT B



Revision Schedule		
#	Date	Description
Phase: Drawn By: GS Checked By: DO Job No.: T869 Issue Date: 02/25/2016		

Housing Unit B  
Single Room



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5 Floor Plan

ADMINISTRATION / OPERATIONS BUILDING



1 Floor Plan  
1/8" = 1'-0"



California Leadership Academy  
ADMINISTRATION / OPERATIONS BUILDING



Revision Schedule		
#	Date	Description

Phase: Drawn By: GS  
Checked By: DO  
Job No.: 1089  
Issue Date: 02/25/2016

Floor Plan



# Appendix F

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## Young Women and the California Leadership Academy

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## APPENDIX F

# YOUNG WOMEN AND THE CALIFORNIA LEADERSHIP ACADEMY

*Gender-Responsive and Trauma-Informed Approaches  
for Justice-Involved Young Women*

*By Stephanie S. Covington, Ph.D. and Barbara E. Bloom, Ph.D.  
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### Introduction

Just as young adults in the criminal justice system differ from the younger and older offenders, the young women differ from the young men. The increasing number of females in the system has brought national attention to the development of effective programming for women and girls. Some of the concerns and recommendations mentioned in this report for young men are also important considerations for 18 to 25-year-old women. For example, the research on brain development, the use of multiple sites across the state, cottage-style settings, comprehensive programming, well-trained staff, etc. are essential for both male and female young adults. However, it is the understanding and implementation of these recommendations as they pertain to females that will create effective services. Gender-responsive and trauma-informed approaches begin with knowledge of the background, characteristics, and experiences of young women in the justice system.

### The Pathways Perspective

A body of evidence developed over the past 15 years demonstrates the distinct ways women and girls become involved in criminal behavior.<sup>1</sup> These pathways include 18 to 25-year-old women.

Physical or sexual abuse can lead girls to run away from home and engage in drug abuse as a means of coping with the trauma.

Without a means of support, girls often resort to prostitution, drug dealing, and other illegal means of survival.

Women who are survivors of childhood abuse or of violence from their partners often resort to drug abuse as a means of coping.

Poverty often contributes to women's involvement in the drug trade or selling sex for drugs to support their addictions or meet the needs of their families.

While it is undoubtedly true that many young men who become involved with the justice system also are victims of trauma and abuse, numerous studies have found that young women's pathways to criminality are significantly different from those of young men.<sup>2</sup>

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<sup>1</sup> Modley, P. & Giguere, R. (2010). Coaching packet: Reentry considerations for women offenders. Silver Spring, MD: Center for Effective Public Policy.

<sup>2</sup> Belknap, J. (2015). The invisible woman: Gender, crime and justice, 4<sup>th</sup> ed. Stamford, CT: Cengage Learning.

Women are typically convicted of property and drug offenses; simple assault is the primary conviction for a violent offense. Women also are at lower risk of misconduct while incarcerated and reoffending in the community than men. Women are also more likely to be diagnosed with depression or anxiety disorders than men.

When discussing pathways for youth what is often discussed is the "School-to-Prison Pipeline." However, this actually relates more to a young man's experience. A recent report on girls, *The Sexual Abuse to Prison Pipeline: The Girls' Story*, analyzes the prevalence of histories of sexual abuse among girls who are in the juvenile justice system in the U.S. The report found that sexual abuse is one of the primary predictors of girls' entry into the juvenile justice system. The authors note that this system is often ill-equipped to identify and treat the violence and trauma that can lead to girls' arrests.<sup>3</sup>

## Definition

*Gender-Responsive Strategies: Research, Practice and Guiding Principles for Women Offenders*, a report by the National Institute of Corrections, documents the need for a new vision for the criminal justice system that recognizes the behavioral and social differences between women and men. This approach is defined as follows: "Gender-responsive" means creating an environment through site selection, staff selection, program development, content, and material that reflects an understanding of the realities of women's lives and addresses the issues of the participants. Gender-responsive approaches are multidimensional and are based on theoretical perspectives that acknowledge women's pathways into the criminal justice system. These approaches address social (e.g., poverty, race, class and gender inequality) and cultural factors, as well as therapeutic interventions. These interventions address issues such as abuse, violence, family relationships, substance abuse and co-occurring disorders. They provide a strength-based approach to treatment and skill building. The emphasis is on self-efficacy.<sup>4</sup>

## Principles and Strategies for Effective Planning, Policies, and Practices

Research-based and well-established guiding principles can help CDCR's approach to developing policies and practices for young women offenders be successful in terms of improving rehabilitation, reducing recidivism, and enhancing public safety.

This gender-responsive approach has been incorporated into strategic plans as well as state and national standards throughout the U.S. The following six core principles have been widely accepted by the scientific, policy, and practice fields to consider when developing gender-responsive programming:<sup>5</sup>

<sup>3</sup> Saar, M., Epstein, R., Rosenthal, L. & Vafa, Y. *The sexual abuse to prison pipeline: The girls' story*. Washington, DC: Georgetown Law Center on Poverty and Inequality.

<sup>4</sup> Bloom, B., Owen, B. & Covington, S. (2003). *Gender-responsive strategies: Research, practice, and guiding principles for women offenders*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

<sup>5</sup> Bloom, B., Owen, B. & Covington, S. (2003). *Gender-responsive strategies: Research, practice, and guiding principles for women offenders*. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

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1. Gender	Acknowledge that gender makes a difference.
2. Environment	Create an environment based on safety, respect, and dignity.
3. Relationships	Develop policies, practices, and programs that are relational and promote healthy connections to children, family, significant others, and the community.
4. Services and Supervision	Address substance abuse, trauma, mental health, and other issues through comprehensive, integrated, culturally relevant services and appropriate supervision.
5. Socioeconomic Status	Provide women/girls with opportunities to improve their socioeconomic conditions.
6. Community	Establish a system of community supervision and reentry with comprehensive, collaborative services.

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### Principle 1: Gender Makes a Difference

The foremost principle in responding appropriately to young women is to acknowledge the implications of gender throughout the justice system. The criminal justice system *purports* to give equal treatment to everyone. However, this does not mean that the same treatment is appropriate for both young women and men. Men and women come into the criminal justice system via different pathways. They respond to supervision and custody differently. They exhibit differences in terms of substance abuse, trauma, mental illness, parenting responsibilities, and employment histories. They represent different levels of risk within the institution and the community. To successfully develop and deliver services, supervision, and treatment for female offenders, we must first acknowledge these gender differences.

#### Strategies:

- ✓ Allocate both human and financial resources to create women-centered services.
- ✓ Designate a high-level administrative position for oversight of management, supervision, and services.
- ✓ Recruit and train personnel and volunteers who have both the interest and the qualifications needed for working with young women under criminal justice supervision.

## **Principle 2: Create an Environment Based on Safety, Respect, and Dignity**

Research from a range of disciplines (health, mental health, and substance abuse) has shown that safety, respect, and dignity are fundamental to behavioral change. To improve behavioral outcomes for young women, it is critical to provide a safe and supportive setting for all services. A safe, consistent, and supportive environment is the cornerstone of a therapeutic process as emphasized in the design of the California Leadership Academy.

Many young women in the justice system have grown up in less-than-optimal family and community environments. In their interactions with young women, criminal justice professionals must be aware of the significant pattern of emotional, physical, and sexual abuse many of these young women have experienced. Every precaution must be taken to ensure that the criminal justice setting does not recreate the abusive environment that many women have experienced. Consequently, correctional practices such as cross-gender pat searches, shackling, and isolation should be avoided. Because of their lower levels of violent crime and their lower risk to public safety, women offenders should whenever possible be supervised and provided services with the minimal restrictions needed to ensure public safety.

### **Strategies:**

- ✓ Conduct a comprehensive review of the institutional and community environment in which young women are supervised to provide an ongoing assessment of the current culture.
- ✓ Develop policy that reflects an understanding of the importance of emotional and physical safety.
- ✓ Establish protocols for reporting and investigating claims of misconduct.
- ✓ Understand the effects of trauma to avoid further traumatization.

## **Principle 3: Develop Policies, Practices, and Programs That Promote Healthy Connections**

Understanding the role of relationships in young women's lives is fundamental because connections and relationships—to children, family, significant others, and the community—are important threads throughout the lives of young women in the justice system. When the concept of relationship is incorporated into policies, practices, and programs, the effectiveness of the system or agency is enhanced. This concept is critical when addressing the following:

- Reasons why young women commit crimes
- Impact of interpersonal violence on young women's lives
- Importance of children in the lives of young women
- Relationships between young women in an institutional setting



- Process of women's psychological growth and development
- Environmental context needed for programming
- Challenges involved in reentering the community

### **Strategies:**

- ✓ Develop training for all staff and administrators in which relationship issues are a core theme. The training should include the importance of relationships, staff-client relationships, professional boundaries, communication, and the mother-child relationship.
- ✓ Examine all mother and child programming through the eyes of the child and enhance mother-child relationships and connections of the mother to child caregivers and other family members.
- ✓ Promote supportive relationships among young women in the justice system.
- ✓ Develop community and peer-support networks.
- ✓ Develop visitation policies that promote family contact, build positive relations, and make phone calls readily accessible and affordable.

### **Principle 4: Integrate Treatment of Substance Abuse, Trauma, and Mental Health**

Substance abuse, trauma, and mental health are three critical, interrelated issues in the lives of young women in the justice system. These issues have a major impact on both young women's programming needs and successful reentry. Although they are therapeutically linked, these issues have historically been treated separately. One of the most important developments in health care over the past several decades is the recognition that a substantial proportion of young women have histories of serious traumatic experiences that play a vital and often unrecognized role in physical and mental health problems.

The concept of integrated treatment for women with co-occurring disorders, as originally articulated by Minkoff,<sup>6</sup> focuses on the need for correspondence between treatment methods for mental illness and addiction. The model stresses the importance of well-coordinated treatment of both disorders. Dual recovery goals are emphasized, as well as the need to employ effective strategies from both the mental health and substance abuse fields.

### **Strategies:**

- ✓ Service providers should be cross-trained in substance abuse, trauma, and mental health.

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<sup>6</sup> Minkoff, K. (1989). An integrated treatment model for dual diagnosis of psychosis and addiction. *Hospital and Community Psychiatry*, 40(10), 1031–6.

- ✓ Adequate resources, including skilled personnel, must be allocated.
- ✓ The environment in which services are provided must be closely monitored to ensure the emotional and physical safety of the young women being served.
- ✓ Treatment models should consider cultural differences among young women and provide services that relate to their unique life experiences.

### **Principle 5: Provide Women with Opportunities to Improve Their Socioeconomic Conditions**

Generally, women in the justice system are underemployed and unemployed, work fewer hours than men, make less per hour than men, and often are employed in temporary low-level occupations with little chance for advancement. This is particularly true for the 18 to 25-year-old group. Criminal behavior by young women is closely tied to their socioeconomic status and rehabilitation often depends on their ability to become financially independent. Without the ability to support themselves and their children, young women may feel economically or socially bound to unhealthy or abusive relationships.

Although male and female offenders face many of the same issues, young women often have to deal with additional barriers, particularly if the women are the sole custodial parents for their children. Improving socioeconomic outcomes for young women requires providing opportunities through education and training so they can support themselves and their children.

#### **Strategies:**

- ✓ Allocate resources within community and institutional correctional programs for comprehensive, integrated services that focus on the economic, social, and treatment needs of young women.
- ✓ Ensure that young women leave the California Leadership Academy with provisions for subsistence, lodging, food, transportation, and clothing.
- ✓ Provide traditional and non-traditional training, education, and skill-enhancing opportunities to assist young women in earning a living wage.

### **Principle 6: Establish a Collaborative System of Community Supervision and Reentry**

Young women face specific challenges as they reenter the community from secure/custodial settings and young women on probation face challenges in their communities. In addition to the stigma of being a female offender, they may carry additional burdens such as single motherhood, low income and limited employment prospects, the absence of services and programs targeted for young women, responsibilities to multiple agencies, and a general lack of community support.

Navigating a myriad of systems that often provide fragmented services and conflicting requirements can interfere with supervision and successful reintegration.

There is a need for wraparound services—that is, a holistic and culturally sensitive plan for each young woman that draws on coordinated services within her community. The types of organizations that should work as partners in assisting young women who are reentering the community include:

- Mental health systems
- Alcohol and other drug programs
- Programs for survivors of family and sexual violence
- Family service agencies
- Emergency shelter, food, and financial assistance programs
- Educational organizations
- Vocational and employment services
- Health care providers
- The child welfare system, child care, and other children's services
- Transportation
- Self-help groups
- Consumer-advocacy groups
- Faith-based organizations
- Community service clubs

### **Strategies:**

- ✓ Create an individually tailored support plan and wrap the necessary resources around the young woman (and her children).
- ✓ Develop a one-stop approach to community services, with the primary service provider, if there is one, also facilitating access to other services.
- ✓ Use a coordinated case management model for community supervision and programming.

### **Becoming Trauma Informed<sup>7</sup>**

As mentioned previously, the majority of the young women (as well as the young men) who interface with the criminal justice system have been exposed to traumatic events across the life-course. However, traditional institutional settings are intended to house victimizers and not victims. These settings seldom acknowledge or recognize that individuals involved in the criminal justice system are often victims before they were "offenders," or that hurt people often hurt others. Moreover, routine correctional practices (i.e., strip searches, pat downs, hand-cuffing) may trigger previous trauma and

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<sup>7</sup> Covington, S. (2012). *Becoming trauma informed: A training program for correctional professionals*. La Jolla, CA: Author

increase trauma-related symptoms and behaviors such as impulsive acts and aggression that may be difficult to manage within the secure setting.<sup>8</sup>

In general, a trauma-informed organizational approach supports and facilitates an understanding of the prevalence of trauma, recognizing how trauma affects all individuals involved within the organization, and responding by integrating this knowledge into practice.<sup>9</sup> A trauma-informed correctional organization is one in which administration has committed to creating a trauma-informed setting and will facilitate an infrastructure to initiate, support, and guide changes to incorporate the five core values of trauma-informed practice: safety, trustworthiness, choice, collaboration, and empowerment.

While the five core values are key to trauma-informed practice for both young women and young men, there are also gender differences to be considered. For example, safety often has a different meaning for young women and young men. In addition, when trauma-specific interventions are considered, it's important to understand the gender differences in terms of risk and response. For example, when young men are socialized to be "independent, tough, and ready to fight back" it makes it very difficult for them to acknowledge trauma and appear vulnerable. In terms of responses to trauma, we see more mental health responses by young women. It is suggested that this is related to the type of trauma most often experienced by a young woman: interpersonal violence in her childhood, adolescence, and young adulthood by those saying "I love you." Therefore, treatment interventions for young women and men use different language, different exercises, and a different process based on the understanding of gender socialization and differences.

A trauma-informed approach to working with women in the justice system will:

- Take the trauma into account.
- Avoid triggering trauma reactions or re-traumatizing the woman.
- Ensure that the behavior of counselors and staff members takes into account the individual's ability to cope.
- Allow survivors to manage their symptoms successfully so that they can access, retain, and benefit from services provided at CLA.

### **Creating the Environment with TIER<sup>10</sup>**

The Trauma-Informed Effective Reinforcement System (TIER) is a female-responsive, research-based model that offers programs an effective alternative to compliance-focused behavior management systems. The organizing principle of the TIER System is trauma-informed practice; establishing and maintaining physical and emotional safety in

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<sup>8</sup> Covington, S. (2008, November). "Women and addiction: A trauma-informed approach." *Journal of Psychoactive Drugs, SARC Supplement 5*, pgs. 377-385.

<sup>9</sup> Substance Abuse and Mental Health Services Administration. (2014). "Trauma-informed care in behavioral health services." Treatment Improvement Protocol (TIP) Series 57. HHS Publication No. (SMA) 13-4801. Rockville, MD: Substance Abuse and Mental Health Services Administration.

<sup>10</sup> Selvaggi, K. & Rothschild, T. (2012). The trauma informed effective reinforcement system for girls (TIER). For more information, please contact kimberlyselvaggi@gmail.com.

a 24-hour care facility. TIER is not built on compliance methods. It provides tools that help young women learn how to be safe and contribute toward a safe environment while living with others. This happens when positive, safe behaviors are reinforced and innovative practices that are relational, trauma sensitive, and strengths-based are applied. Negative, destructive behaviors are diminished through supportive techniques that teach residents the necessary skills to manage their own challenging feelings, thoughts, and attitudes. All of these strategies are facilitated using a relational approach, where staff recognize and prioritize the importance of developing healthy relational connections with the young women they serve.

The goal of the TIER System is to create safe facilities and programs where residents can access opportunities to grow, learn, and change by learning new skills and insights into their own behavior. Programs and facilities that adopt this framework change traditional program schedules to account for a change in the program culture. This includes more time for the young women to talk with staff individually, and more meetings with them to discuss their responsibilities and progress. For existing programs this can be a difficult transition; however, once implementation is complete these structural changes become the programmatic norm. With TIER, administrators and staff learn creative, effective techniques that improve program culture and assist in developing and maintaining physical and emotional safety.

### **Best Practices and Programs<sup>11</sup>**

To assist CDCR in developing or utilizing best practices and programs that embody the National Institute of Corrections guiding principles and the core values of trauma-informed services, this document identifies a number of models.

The practices and types of programs recommended include:

#### **Women-Centered Risk/Needs Assessment**

The first rule of evidence-based practice requires the use of empirically valid risk and needs assessments. However, employing the same assessment tools that are used with young men does not provide an accurate picture of young women's risk to reoffend or their treatment needs.

Women-centered risk and needs assessments have been conducted in a range of jurisdictions (jails, prisons, probation, and community-based programs) using:

- University of Cincinnati's Women's Risk/Need Assessment;
- Northpointe Women's COMPAS; and/or
- Level of Service Inventory–Revised with a gender-responsive supplement for women.

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<sup>11</sup> Bloom, B. (May 2015). Meeting the needs of women in California's county justice systems: A toolkit for policymakers and practitioners. Oakland, CA: Californians for Safety and Justice.

Research shows that gender-responsive assessments are more predictive of women's reoffending than gender-neutral assessments. Women's risk/needs assessments can be beneficial in terms of pre-trial release decision-making as well as identifying alternative sentencing options. Women-centered risk and needs assessments consider the following factors:

- Criminal justice history
- Housing/safety
- Mental health history
- Physical/sexual abuse history
- Substance abuse history
- Education/employment/financial history
- Parenting and family history

Studies of the Women's Risk/Need Assessment and the follow-up "trailer" assessment by the University of Cincinnati and the National Institute of Corrections show the following promising results:

- Gender-responsive mental health factors, such as depression, anxiety, psychosis, and anger were predictive of institutional misconduct and/or recidivism.
- Certain factors emerged from the research as strengths of women, such as family support (which significantly reduced the risk of both misconduct and reoffending) and educational assets and self-efficacy (which reduced the likelihood of reoffending).<sup>12</sup>

## Case Management

Case management is critical for providing coordinated services to young women throughout the criminal justice process. It creates a link between treatment and criminal justice systems to ensure that young women in the justice system meet both their criminal justice and treatment requirements. Case management services also have been found to enhance retention in community treatment among offenders with substance abuse problems, which is closely linked to reductions in recidivism.

Similar to the new risk and needs assessment instruments for women, a prototype case management tool called the Women Offender Case Management Model evolved from gender-responsive, evidence-based practices and was designed to reduce recidivism, increase the availability of services, and enhance the lives of women. The model is intended for use not only with women sentenced to probation but also with those going

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<sup>12</sup> Van Voorhis, P., Wright, E. Salisbury, E. & Bauman, A. (2010). Women's risk factors and their contributions to existing risk/needs assessments: The current status of a gender-responsive supplement. *Criminal Justice and Behavior*, 37(3):261-288.

through the spectrum of reentry processes. Nine core practices guide the implementation of this model:<sup>13</sup>

1. Provide a comprehensive case management model that addresses the complex and multiple needs of women offenders.
2. Recognize that all women have strengths that can be mobilized.
3. Ensure the collaborative involvement of women to establish desired outcomes.
4. Promote services that are ongoing.
5. Match services in accordance with risk level and need.
6. Build links with the community.
7. Establish a multidisciplinary case management team.
8. Monitor progress and evaluate outcomes.
9. Implement procedures to ensure program integrity.

One-year follow-up data revealed that participants had a significantly lower rate of new arrests in comparison to members of the control group: 32 percent vs. 43 percent.<sup>14</sup>

## Reentry Services

Reentry services are essential to effectively support young women leaving a custodial setting such as CLA. An example of a particularly productive reentry effort is the Time for Change Foundation's Positive Futures program in San Bernardino County. Positive Futures is a project funded by the Substance Abuse and Mental Health Services Administration (SAMHSA) that aims to provide reentry services for 135 adult, formerly incarcerated women to reduce their prevalence of alcohol and other drug use and reduce homelessness, unemployment, and recidivism. Key elements include: creating a collaboration of agencies to provide wraparound services to Positive Futures clients; using evidence-based practices to address substance abuse and mental health issues, including trauma; and providing support services such as mentoring, transportation, education, and job training.

Of the 78 women who have been enrolled in the program, at follow-up they reported:

- Increased abstinence from substances
- More stable housing
- Fewer crimes committed
- More employment or enrollment in education
- More income from wages

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<sup>13</sup> Orbis Partners, Inc. (2006). Women offender case management model. Washington, DC: U.S. Department of Justice, National Institute of Corrections.

<sup>14</sup> Orbis Partners, Inc. (January 23, 2009). Outcome evaluation the women offender case management model in Connecticut probation. Washington DC: U.S. Department of Justice, National Institute of Corrections.

- Increased feeling of physical well-being
- More social connectedness

## Employment Services

The California Department of Corrections and Rehabilitation's Female Offender Treatment and Employment Program (FOTEP) is one example of the type of comprehensive employment services that can be made available to young women for reintegration into the labor force and community. To reduce recidivism as well as increase employment, the program provides residential drug abuse treatment, case management, and parenting support along with vocational services to women coming out of prison with or without their children.

An evaluation by the UCLA Integrated Substance Abuse Programs found that the length of time spent in treatment is a major factor in predicting successful outcomes for the client, with longer periods reflecting significant reductions in return-to-custody incidents and related costs. Treatment for 120 to 150 days reduced the likelihood to returning to custody by 20 percent, treatment for up to 180 days reduced the likelihood by 43 percent, and treatment for more than 180 days reduced the likelihood by 58 percent.<sup>15</sup>

## Curricula and Materials

The number of evidence-based and promising gender-responsive curricula and materials has grown with the increased understanding of women's unique pathways to crime and their treatment needs. The following are examples of these curricula and training programs:

Program	Description
<b>Helping Women Recover: A Program for Treating Addiction<sup>16</sup></b> (Covington)	Addresses substance abuse by integrating theories of women's psychological development, trauma, and addiction. There is a facilitator guide and participant workbook with four modules: Self, Relationships, Sexuality, and Spirituality.
<b>Voices: A Program of Self-Discovery and Empowerment for Girls<sup>17</sup></b> (Covington)	This is an 18-session program designed for girls at risk. The materials include a facilitator guide and a girl's journal. There are four modules: Self, Connecting with Others, Healthy Living (body, mind and spirit), and The Journey Ahead.

<sup>15</sup> Grella, C. (2005) Female offender treatment and employment project (FOTEP). Summary of evaluation findings 1999-2004. Los Angeles, CA: UCLA Integrated Substance Abuse Programs.

<sup>16</sup> Covington, S. (1999, rev. 2008). Helping women recover: A program for treating substance abuse: Special edition for use in the criminal justice system. San Francisco, CA: Jossey-Bass.

<sup>17</sup> Covington, S. (2004). Voices: A program of self-discovery and empowerment for girls. Carson City, NV: The Change Companies.



<b>Beyond Trauma: A Healing Journey for Women<sup>18</sup></b> (Covington)	Uses psycho-educational, cognitive-behavioral, and relational therapeutic approaches to help women develop coping skills and emotional wellness. Each session has an adaptation for working with young women.
<b>Healing Trauma: A Brief Intervention for Women<sup>19</sup></b> (Covington)	A six-session research-based approach using a variety of therapeutic strategies. This is an abbreviated version of Beyond Trauma.
<b>Beyond Violence: A Prevention Program for Criminal Justice-Involved Women<sup>20</sup></b> (Covington)	An evidence-based curriculum for women in criminal justice settings with histories of aggression and/or violence. This model of violence prevention considers the complex interplay between individual, relationship, community, and societal factors.
<b>Moving On<sup>21</sup></b> (Van Dieten)	Provides women with opportunities to mobilize and expand existing strengths and access community and personal resources. Incorporates cognitive-behavioral techniques with motivational interviewing and relational theory.
<b>Seeking Safety<sup>22</sup></b> (Najavits)	Treats the co-occurring disorders of trauma, PTSD, and substance abuse based on research from cognitive-behavioral treatment of substance abuse disorders and post-traumatic stress treatment.

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### **The Optimal Approach: Community-based Services**

A growing body of evidence shows that the majority of women offenders can be effectively managed in community settings that provide gender-responsive services and programs to reduce recidivism. A 2005 review of four studies funded by the National Institute of Justice found that successful treatment programs share the premise that the needs of women in the justice system differ in many respects from those of men. For women, the following attributes are associated with positive outcomes:

- Material and social concerns
- Access to childcare and transportation
- Protection from violence by intimate partners
- Comprehensive case management services

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<sup>18</sup> Covington, S. (2003, rev. 2016). *Beyond trauma: A healing journey for women*. Center City, MN: Hazelden.

<sup>19</sup> Covington, S. and Russo, E. (2011, rev. 2016). *Healing trauma: A brief intervention for women*. Center City, MN: Hazelden.

<sup>20</sup> Covington, S. (2013). *Beyond violence: A prevention program for criminal justice-involved women*. Hoboken, NJ: John Wiley & Sons.

<sup>21</sup> Van Dieten, M. (1998, rev. 2008) *Moving on*. Center City, MN: Hazelden.

<sup>22</sup> Najavits, L. (2002). *Seeking safety: A treatment manual for PTSD and substance abuse*. New York, NY: Guildford Press.

Community placement serves not only the best interests of young women in the justice system, but that of their children as well. When custody is necessary, it should be short-term and used as a step toward community-based supervision. Community-based and non-custodial placements should be the primary objective of correctional planning for young women.

A coordinated system of supervision and support should include:

- Housing
- Education
- Job training
- Employment
- Family counseling
- Child care
- Parenting education
- Drug and alcohol treatment
- Health and mental health care
- Peer support
- Aftercare

Wraparound services and similar integrated approaches are very effective because they address multiple needs in a coordinated way and facilitate access to services.

Community programming also is a more cost-effective approach to public safety than incarceration because, at a significantly reduced cost, it can improve outcomes for young women, preserve their families, and reduce recidivism.

Non-custodial and community-based placements offer a number of advantages, as they:

- Provide a wider range of rehabilitation and reentry options than are available in state prison system.
- Enable greater emphasis on research-based programs for young women.
- Improve outcomes for young women, their children, and their communities through effective alternative sanctioning.
- Prevent the children of those in the criminal justice system from also entering it.
- Decrease criminal justice costs and increase public safety.
- Meet the physical and mental health needs of young female offenders through gender-responsive and trauma-informed treatment.
- Create policies and operational practices that ensure safe and productive placements.
- Develop educational, vocational, and treatment programs that target young women's pathways to offending, thereby reducing recidivism.

## Recommendations

- Whenever possible, young women should be supervised in small community-based facilities close to their families and communities.
- Programs and curricula should be gender-responsive and trauma-informed.
- The program environment should promote safety and foster trust.
- Staff should have the necessary knowledge, skills, experience, and attitudes needed to work with young women in the correctional system.
- Training on trauma-informed practice needs to be conducted with all staff in the facilities and programs for young women.
- Resources need to be available for education, vocational training, and enhanced employability. Every young woman leaving the facility needs to have a path toward a living wage.
- Collaboration with community services in the community where she is going to reside.
- Ongoing support and the creation of a continuity of relationship.
- Provide community-based services and minimize the use of custodial settings for young women.

## Conclusion

While there may be similarities in terms of the programming needs of young men and women, it is also important to consider the differences in terms of their gendered pathways into the correctional system. Young women's histories of sexual abuse and trauma require a different approach which if implemented effectively can improve outcomes for this population and the California Leadership Academy.



# Appendix G

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## Target Population and Special Needs Categories

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## Appendix G

# TARGET POPULATION AND SPECIAL NEEDS CATEGORIES

*By Bruce C. Gage, M.D., Puget Sound Mental Health  
Board Certified in General and Forensic Psychiatry*

The target population for whom the California Leadership Academy (CLA) is designed consists primarily of moderate- to high-risk young adult male offenders. As is common among the prison population, many program participants will have histories of childhood abuse, other traumatic life events (often related to life on the streets or in gangs), and may have experienced developmental delays related to impoverished environments and neglect. In other words, many of them likely have faced insurmountable obstacles since early childhood and have had very little opportunity and, as a result, may have been impacted both biologically and environmentally.

In addition, many of the program participants belong to racial and ethnic minorities who have experienced severe economic and environmental oppression. Because of significant challenges in their past, coupled with their developmental status as adolescents/emerging adults, many individuals in the target population are likely to have severe impulse control challenges and difficulties with emotional regulation. This subset of adolescents will benefit from CLA's focus on comprehensive behavioral health and its promotion of healthy prosocial development, behavioral and interpersonal skill development, and self-management. This approach, along with access to academic, employment, and housing services will help these individuals develop and focus on long-term life goals and success.

The CLA program is **not** designed for individuals with severe mental illness or intellectual disability or, most importantly, psychopaths. Screening for the program should identify such individuals so they may be evaluated on a case-by-case basis to determine if they would benefit from the pilot project, or if they are more appropriately excluded until after the pilot concludes.<sup>1</sup>

While the external behavior (e.g., crime type) of cognitively limited, mentally ill, and psychopathic individuals may be the same as many of the people admitted to CLA, motivations for their behaviors are entirely different. They are unlikely to respond to this type of program, which seeks to address and change internal schemata that underlie the behaviors of a subset of young men. Such an approach is ineffective or would require entirely different modes of delivery for the cognitively limited, the mentally ill, and psychopaths. No single program can address all these issues.

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<sup>1</sup> Young men convicted of a sex offense will be excluded during the pilot phase but for a different reason: young adult sex offenders generally have a low-risk of recidivism. The pilot is designed for a moderate/high-risk population.

Regarding psychopathic young men, another reason to be cautious about admitting them into CLA relates to their impact on other participants. They likely would undermine the learning community that is foundational to the program. Their imperviousness to sanction, profound and destructive ego-centricity, and lack of concern for others<sup>2</sup> mean that the tools of behavioral change used in this type of program will have limited effect on them. These same attributes also would lead them to actively try to subvert or escape the program. In short, psychopathic individuals are not internally and intrinsically motivated by prosocial goals. Thus, the major driver of internalization of controls—the individual's own prosocial goals—would be absent in this population. Further, there is evidence that giving them interpersonal tools may simply make them more effective at manipulating and mistreating others. The prevalence of psychopathy in prison is likely 15-20 percent,<sup>3</sup> so the pool of eligible individuals is not substantially limited if such individuals are excluded after a case-by-case evaluation.

Having said that, once the CLA program is well-established, it may be possible to introduce some individuals with psychopathy or more prominent psychopathic characteristics. There are treatments on the horizon that might demonstrate sufficient efficacy to warrant inclusion in the program. However, even if this is ventured, their numbers should be limited and they should be introduced in a measured manner.<sup>4</sup>

Persons with serious mental illness and/or significant cognitive deficits also have quite different needs. It would be difficult for them to benefit from CLA's type of learning environment. In addition, it's very likely they would be victimized by the high-risk participants in the program. For these reasons, most individuals in these categories will be excluded during the pilot phase. However, individuals with mild or stable mental illness and/or borderline intellectual function could be included in CLA if they are not readily victimized.

## Screening

The population should be screened sequentially, beginning with cognitive limitations, then serious mental illness, and finally psychopathy.

To identify individuals with cognitive deficits—so they can be evaluated on a case-by-case basis to determine whether or not they would be likely to benefit from the program—routine prison screening should be adequate for a basic general indicator such as an IQ estimate (beginning by flagging those with an IQ less than 70, the technical definition of intellectual disability). Another option for identifying cognitive deficits and

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<sup>2</sup> Kiehl K. *The Psychopath Whisperer: The Science of Those without a Conscience*. Broadway Books, New York. (2014).

<sup>3</sup> Kiehl K. *The Psychopath Whisperer: The Science of Those without a Conscience*. Broadway Books, New York. (2014). Kiehl KA & Hoffman MB. The criminal psychopath: history, neuroscience, treatment, and economics. *Jurimetrics* 51:355-397 (2011).

<sup>4</sup> Skeem JL, Polaschek DLL, Patrick CJ, Lilienfeld SO. Psychopathic personality: bridging the gap between scientific evidence and public policy. *Psychological Science in the Public Interest* 12(3):95-162 (2016).



cognitive capacity is to identify individuals classified as intellectually disabled by the relevant state agency, though it is likely that this will miss a number of persons as many with intellectual disability have not been so identified. If there still is any question, the screening can include basic testing with a simple instrument such as the Kaufman Brief Intelligence Test (KBIT). Individuals with other significant cognitive deficits, primarily moderate to severe traumatic brain injury, can be flagged through the ordinary intake screening process which should identify this population reasonably reliably.

Similarly, mental illness generally can be detected through routine prison screening. It's most important to identify individuals with psychotic disorders and active or unstable mood disorders such as mania or severe depression. However, persons with stable mood disorders, including those with current mild depression and anxiety disorders, can benefit from the program and may be included.

Screening for psychopathy will be the most challenging. Optimally, the program will rely on a formal assessment such as the Psychopathy Checklist<sup>5</sup> or Psychopathic Personality Inventory-Revised (PPI-R).<sup>6</sup> But this may not be feasible given costs and the time these take to administer and score. Alternatively, markers for psychopathy can be used to determine whether further assessment is necessary.

Psychopathy is highly associated with both early onset of antisocial conduct and criminal versatility.<sup>7</sup> If both factors are present, a case-by-case evaluation would likely result in excluding such individuals. If just one factor is present, further testing could be done. "Early onset of antisocial behavior" may show up as criminal conduct prior to the age of 10. "Criminal versatility" may be interpreted from criminal convictions for at least three different crime types out of the following: property, violent, sexual, and drug-related. It may be reasonable to begin with a simple operational definition such as this and not mandate further testing in any case. Note that the crime types can be further sub-categorized and a counting rule developed that flags the desired percentage of the potential pool.

If juvenile criminal history is not available, and given that the COMPAS does not ask about juvenile criminal history specifically, this approach may not be feasible. If such is the case, once the screening for cognitive disorders and serious mental illness is complete, this potential pool can be solicited for volunteers for the program. Then those volunteers can be screened with the PPI-R, using standard cut points for psychopathy. Given the small numbers, this should not be unduly burdensome. The PPI-R takes 15-25 minutes for subjects to complete and scoring takes about 20 minutes.

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<sup>5</sup> Hare RD. Manual for the Hare Psychopathy Checklist-Revised (2nd ed.). Multi-Health Systems, Toronto (2003). Hart SD, Cox DN, Hare RD. Manual for Hare Psychopathy Checklist: Screening Version. Multi-Health Systems, Toronto (1999).

<sup>6</sup> Lilienfeld SO & Widows MR. Psychopathic Personality Inventory-Revised (PPI-R) professional manual. Psychological Assessment Resources, Odessa (2005).

<sup>7</sup> Hare RD. Manual for the Hare Psychopathy Checklist-Revised (2nd ed.). Multi-Health Systems, Toronto (2003). Kiehl KA & Hoffman MB. The criminal psychopath: history, neuroscience, treatment, and economics. *Jurimetrics* 51:355-397 (2011).



# Appendix H

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## The Missouri Youth Services Institute (MYSI) Approach for Positive Juvenile Justice System Outcomes

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## Appendix H

# THE MISSOURI YOUTH SERVICES INSTITUTE (MYSI) APPROACH FOR POSITIVE JUVENILE JUSTICE SYSTEM OUTCOMES

*Summary of the Therapeutic Group Treatment Process  
By Mark Steward, MYSI Director*

### Brief Description

The Missouri Youth Services Institute (MYSI) employs a ***therapeutic group treatment approach, which utilizes components of positive youth development and cognitive behavioral therapy to help youth make positive and long-lasting changes. These therapeutic components are delivered to youth in a fully integrated treatment team approach where social-emotional competencies are learned and practiced.***

The MYSI approach is based on the award-winning Missouri Model where ***youth stay together in small groups with the same staff and are treated in a humane and nurturing environment.*** The MYSI Approach establishes an organizational structure with clear lines of authority that empower and enhance accountability throughout the organization—from the director to the direct care staff—for effective implementation of the program. The therapeutic group approach is designed to keep youth safe and secure during their rehabilitative process and to reduce the number of youth that recidivate.

### Treatment Beliefs and Philosophy

The MYSI approach is based on the belief that in order for youth to truly achieve long-lasting change and avoid re-offending, they must go through a process of self-exploration and a change process that addresses their history and family dynamics, and how those elements have influenced their present situation.

The following beliefs serve as a basis for treatment programming within the MYSI Approach:

1. **The most effective way for treatment to occur is through the group process.** The positive peer group process allows youth to critically examine their past, present and future while they are in a safe, caring environment, with competency-based learning, led by well-trained staff.
2. **Each person is special and unique.** Treatment needs to be individualized. Youth spend time evaluating their respective qualities. Activities are structured in order to enhance this evaluation both by self and the group members. As a result, youth see their own value as well as the value of others.
3. **Safety and structure are the foundations for development.** Youth need to know that staff cares enough about them to expect them to succeed. Staff reinforces this belief through high and positive expectations for youth and willingness to provide safety and enforce structure.

4. **It is difficult to change.** People tend to be naturally resistant to change and may even resist when the alternatives seem more positive and healthy. Youth must be guided to try new behaviors, succeed, and possibly fail before actual change occurs. Significant practice and support must occur before integration of new behaviors can be accomplished.
5. **All people desire to do well and succeed.** Even the most resistant youth hunger for approval and acceptance. In particular, the youth in many juvenile programs have spent a number of years camouflaging this desire. Programs and services are structured in a manner that taps into this universal need.
6. **All people have needs.** Everyone has fears, insecurities and basic needs including safety, attention and belonging. People need others to help meet these needs. Programs and services are expected to meet these needs and assist youth in learning to meet these needs on their own. Therapeutic groups are designed to illustrate the need for others by providing opportunities for youth to help others and to be helped by them.
7. **Emotions are not to be judged.** Feelings are not right or wrong. Often, youth coming into a program have poor communication skills and are unable to distinguish between their thoughts and emotions. They often feel very little control over their behavior, and view feelings as controlling factors in their lives. Programs and services teach youth that emotions are a very important part of them but not the controlling agent.
8. **People are a combination of their past and present.** Youth have learned through a wide variety of experiences before they enter the agency. Often, their perceived negative behavior could have been a very natural response to their particular situation or family system. Additionally, a youth's reactions to a given situation are frequently based on perceptions from a much earlier stage of life and their experience at that time. Investigation of these perceptions may facilitate the change process.
9. **All behavior has a purpose.** Even the most delinquent behavior is goal directed. It is either a conscious or unconscious (aware or unaware) attempt to get needs met. Our treatment approach is designed to help youth meet those needs by helping them investigate and understand their behavior and its effects, and to explore healthier alternatives.
10. **People need a sense of self-worth.** Improved self-esteem is an important aspect of the therapeutic process for youth. To maximize the opportunity for youth to be successful in our programs, as well as on the streets, we must take every opportunity to enhance the youth's self esteem.
11. **Effective juvenile justice must be a balanced approach.** Effective juvenile justice systems should balance public safety, prevention and treatment. Treatment

should be a seamless continuum of care from time of commitment to discharge in which youths' needs are met in a safe, structured environment with well-trained, caring staff who help them identify and address their issues.

12. **Human dignity is a basic value.** Human dignity goes beyond the basics of honor or respect to the essence of being human. It is reacting to the human dimension of every person. Human dignity is accorded to a person in as much as he or she is a person.

#### DIGNIFIED AND UNDIGNIFIED BEHAVIOR

Dignity	Lack of Dignity
Trust	Humiliation
Listening	Scorn
Dialogue	Condescension
Empathy	Ignoring
A good word	Shouting
Consideration	Undermining other's confidence
Offering assistance	Blaming
Decency	Moralizing

### Fundamentals of the MYSI Approach

- **Small, Non-Institutional Facilities Close to Home**
  - Groups of 10-12 youth stay together with the same staff team at the same facility throughout the treatment process.
  - The system may be divided by regions, with small, residential programs and different levels of care.
  - The regions should try to ensure youth are no more than two hours from home.
  - Facilities are designed to resemble home with comfortable "dayrooms," shared, open sleeping dorms and walls adorned with artwork, motivational slogans and other appropriate items.
- **Integrated Treatment: Treating the Whole Person**
  - Youth participate in a highly structured daily schedule focused on building healthy peer-to-peer and adult-to-youth relationships.
  - Youth explore and develop self-awareness, insight, skills and leadership as they work on resolving core issues and attaining behavioral change.
  - Predictable daily group meetings such as group circles and treatment activities keep youth involved in the group process.

- Youth are provided with educational and recreational opportunities, and encouraged to develop leadership skills.
- The program supports regular engagement with family and the community.
- **Individual Care Within a Group Treatment Model**
  - Small groups of 10-12 youth stay together at all times throughout the program (sleeping, eating, school, group meetings, chores, etc.)
  - Groups check in regularly and meet daily for formal group treatment.
  - Each youth has an individualized treatment team (group leader, service coordinator, one-on-one staff, teachers, etc.) that meets weekly to assess each youth's progress through stages of development and readiness for release.
- **Safety through Supervision, Structure and Relationships**
  - Staff members are educated, culturally diverse and committed to helping youth make positive and lasting changes.
  - Constant, active supervision of youth by staff (24/7 "eyes-on, ears-on supervision") provides a secure, safe environment.
  - The highly structured program schedule, including group meetings, school and activities, fosters responsibility and keeps youth engaged in the process.
  - Appropriate, caring relationships between staff and youth encourage interpersonal accountability.
- **Integrated Treatment and Education**
  - Education is highly valued and supported within the treatment plan.
  - Youth attend most of their general education classes together with their respective groups on a daily basis, with exceptions for special education and GED, college and vocational education courses, which youth may attend individually or with other groups.
  - Youth specialists or on-line staff for each group provide support to teachers in the classroom and monitor the individual needs and progress of youth.
  - Teachers and other classroom staff are members of each youth's individual treatment team.
- **Families and Communities as Partners in Treatment**
  - Families are engaged in treatment as soon as a youth enters into a program.
  - The program provides time for regular family visiting hours and communication each week.
  - Family therapy is provided to help families and youth work through issues.
  - Families are considered integral partners in planning for the youth's release and transition home.



- **Support from Transition through Aftercare**
  - One case manager (service coordinator) is assigned to each youth at intake and monitors the youth's progress from entry to transition home.
  - An individualized service plan (ISP) guides the youth's progress during placement.
  - Transitional planning begins at entry, intensifies prior to release and continues through aftercare.
  - The period of aftercare depends on each youth's individual plan and needs.

### **Program Principles**

- Move beyond traditional correctional models
- Develop new approaches from best practices
- Create safe environments
- Help youth realize positive and lasting changes
- Improve staff effectiveness and enhance skills
- Facilitate youth skills and personal growth
- Reduce recidivism and critical incidents
- Involve families and communities
- Utilize evidence-based systems to get results

### **Implementation Components**

Implementing the MYSI approach requires a significant commitment throughout a system to helping youth make positive, long-lasting changes. Facilitating small group interactions and processes, and promoting healthy, productive relationships and interactions are at the center of MYSI's group therapeutic approach and must be administered by caring, well-trained staff members. Additionally, facilities must be conducive to facilitating successful treatment programs. The following core components are critical for implementation:

- **Organizational Structure/Staffing Requirements**
  - Operationalizing the MYSI approach requires a unit management organizational structure. Unit management is assigning a specific treatment team of staff to work only with one group of youth. This structure enables the staff to consistently work with the same group of youth and develop therapeutic relationships with their respective group.
- **Group Therapeutic Treatment**
  - Effective group engagement and facilitation allows staff to create an atmosphere where youth are encouraged and supported to explore the roots of their past and current behaviors, develop and test new behaviors, practice healthy interactions, build relationships, and use the here and now to heal old wounds. Under this approach, it is imperative that staff

provides enough structure and boundaries to ensure a safe and trusting group environment to increase the likelihood of success on any given task.

- **Facility Environment**

- MYSI standards recommend a facility size to accommodate four groups with a total of 40-48 youth. This size is ideal, but in many cases, the facility size is significantly increased because of the existing, available facility. The facility should have living units that resemble dorms versus individual cells. Additionally, it should have a more open layout to better facilitate awareness supervision and group interaction. Additional facility standards to facilitate the group treatment process and ensure youth safety are also necessary.

## **The MYSI Process**

MYSI initiates the following process in response to a potential client's inquiry regarding assistance. The purpose is to determine the interest, needs and resources of an organization and inform the potential design and implementation of the organizational change process.

### ***Pre-Assessment Phase***

Our team meets with organizational leaders to identify interest, issues, strengths and challenges and discuss the basics of the MYSI approach.

***Site Visit:*** We visit the site to evaluate the programs, assess the facilities and conduct interviews with staff and youth.

***Leadership Overview:*** Our team presents an in-depth overview of the MYSI approach and facilitates discussion regarding implementation implications.

### ***Assessment of System***

The MYSI team outlines key components and conducts ongoing assessments initially and throughout the transformation process with the following areas of focus: organizational vision, mission and beliefs; leadership capacity responsiveness, accountability and communication; safety factors; organizational structure; staffing patterns and dynamics; training; treatment program; physical plant; integration of services; data; and community engagement.

### ***Implementation Plan***

Based on the assessment process, we engage the organization's leadership and designated staff in a strategic planning process to outline the implementation of the new approach. The process includes: addressing critical factors such as identification of a start-up group and developing policies to reflect the new approach; training leadership and staff; and coaching at various levels of the organization to help move a system from theory to practice. The coaching component is an integral part of the change process

and incorporates hands-on assistance, on-site observation and modeling to frontline staff, as well as ongoing consultation, feedback and recommendations to various levels of management.

### **History of MSYI and the Missouri Approach**

Nearly four decades ago, Missouri made dramatic changes to its juvenile justice system. The state moved from a correctional approach plagued with physical and emotional abuse, violence, suicides and escapes, to a rehabilitative, therapeutic group approach that produced positive outcomes for both the system and youth.

The new program utilized a peer approach guided by trained staff that worked with groups of youth in smaller, regionally based facilities that treated youth closer to home and encouraged family involvement. It emphasized rehabilitation, treatment and education to equip youth with skills and accountability to make internal, long-lasting changes. The drastic reduction in escapes and violence combined with significant improvements in education and recidivism had a dramatic and positive impact on both the system and the outcomes for youth.

During the past four decades, Missouri has utilized this same basic approach with gradual improvements along the way. Its evidence-based results are exceptional, unbiased and nonpartisan. For years, Missouri outcomes show lower recidivism rates, higher educational achievements and safer facilities.

MYSI Director and founder Mark Steward was one of the first counselors for the pilot program in 1970 that helped set Missouri on the course for positive change. He served as Director of the Division of Youth Services for 17 years, where he played an integral role in the development, implementation and improvement of the Missouri juvenile justice system, known nationally as *The Missouri Model*. He launched MYSI following his retirement in 2005 to assist jurisdictions across the nation interested in implementing a therapeutic group treatment approach. He and his team of seasoned staff members have decades of experience in youth services—and specifically with the Missouri model or approach.

### **About the Missouri Youth Services Institute (MYSI)**

MYSI is a nonprofit organization created to assist juvenile justice systems across the country with reform efforts. Our team is uniquely positioned to help jurisdictions move from a traditional correctional model toward a rehabilitative, therapeutic approach with significantly better outcomes.

MYSI is the only juvenile justice consulting group in the country that provides in-depth training, evidence-based programs and customized services based on years of experience with the successful Missouri model, resulting in comprehensive and systemic changes to juvenile justice systems. Our dynamic team offers unmatched experience, knowledge and dedication to our clients. We work with state, local and private entities to implement juvenile justice programs that produce positive, long-term results

## **Evidence-based Practice for Successful Outcomes**

Performance measures in the Missouri Division of Youth Services (Missouri Model) clearly indicate the MYSI/Missouri approach works.

### **Lower Recidivism Rates:**

- 7% of youth released from Missouri's Division of Youth Services are either recommitted to the juvenile justice system or incarcerated in Missouri's prisons three years after discharge compared to rates between 20 and 70% in other states

### **Higher Educational Achievements:**

- 95% of youth earn high school credits compared to 50% nationally
- 30% of youth earn a GED or high school diploma compared to 21% nationally
- 87% of youth improved in reading in math compared to 72% nationally

### **Safer Facilities for Youth and Staff:**

- Youth are 4½ times less likely to be assaulted in Missouri's system than in other systems
- Staff members are 13 times less likely to be assaulted than in other systems
- Isolation is used 200 times less in Missouri than in other systems
- No suicides have occurred in Missouri during the past 40 years compared to 130 suicides in other systems between 1995-2005

*(Source: Research by Dick Mendel (2009) comparing Missouri Division of Youth Services with youth correctional programs participating in the Performance Based Standards Process.)*

## **National Recognition and Acknowledgements for the Missouri Model**

- Harvard 2008 Kennedy School Ash Institute for Democratic Governance and Innovation Award
- American Youth Policy Form call MO DYS Guiding Light for Reform
- National Council on Crime and Delinquency Award of Excellence
- *New York Times* Editorial: "The Right Model for Juvenile Justice" Published: October 28, 2007
- Goleman, Daniel. *Emotional Intelligence: Why It Can Matter More Than IQ. The Tenth Anniversary Edition*. Random House Publishing Group. 2005. Print.

## **MYSI Clients**

MYSI has assisted the following jurisdictions in various capacities:

- Louisiana
- New Mexico
- New York State and New York City

- Washington, DC
- San Francisco, CA
- Santa Clara County, CA
- Cayman Islands
- Virginia

*Additionally, through a grant from the Annie E. Casey Foundation, MYSI has facilitated tours to Missouri's Division of Youth Services facilities and provided written materials, publications and guidance to more than 25 states across the nation.*

### **MYSI Service Commitment**

When an organization is committed to meaningful reform of its juvenile justice system, MYSI is here to help—every step of the way. Our team provides comprehensive, customized consulting services to help take our clients through the entire change process from initial interest and assessment to planning and implementation to education and training to staff considerations to ongoing feedback and monitoring.

But, our commitment goes deeper by integrating a unique coaching component into the change process. Our coaching service incorporates hands-on assistance, on-site observation and modeling to frontline staff, as well as ongoing consultation, feedback and recommendations to various levels of management. Our team members help our clients work through issues one day at a time to help ensure success.



# Appendix I

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The Forward-Focused  
Model © Young Offender  
Treatment Program

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## Appendix I

# THE FORWARD-FOCUSED MODEL © YOUNG OFFENDER TREATMENT PROGRAM

*By Nancy G. Calleja, Ph. D., LPC*

The *Forward-Focused Model*<sup>1</sup> is a clinical treatment program for adolescent/young adult offenders ages 15-25. The empirically-guided model is developmentally sensitive, with specific attention given to the role of adolescent brain development in both conceptualizing offending behaviors as well as in the delivery of treatment, and with a keen understanding that adolescence continues well into the mid-twenties. Theoretically, the model is cognitive behaviorally-based and emphasizes relapse prevention and long-term successful life outcomes. In addition, the model incorporates motivational interviewing<sup>2</sup> and motivational enhancement strategies<sup>3</sup> as needed to promote engagement and continued investment throughout treatment. Moreover, the model is strengths-based and future or forward-focused, emphasizing an exploration of the past to effectively address any victimization issues, while deemphasizing problems, magnifying strengths, and promoting the acquisition of new intra- and inter-personal skills. The clinical framework that includes the theoretical (i.e., Cognitive-Behavioral therapy) and philosophical foundations (i.e., motivational approaches) and a specialized clinical environment that includes a team-based approach, adherence to treatment fidelity, and outcomes evaluation bind the treatment program together. The clinical treatment program of the Forward-Focused Model includes 11 major treatment components as illustrated in Figure 1.

### Addressing Specific Needs

The FFM addresses criminogenic needs, relapse prevention, and incorporates the principles of risk, needs, and responsiveness (RNR). In addition, the FFM addresses the co-occurring issues of trauma and substance use—the two clinical issues most commonly impacting offenders, and unfortunately, most often left untreated in both adolescent and adult offenders. As such, evidence-based treatment for both trauma and substance abuse are provided as part of the FFM to promote long-term success. To further address the needs of young men presenting with serious aggression, Aggression Intervention

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<sup>1</sup> Calleja, N.G. (2013). *The Forward Focused Model: Developmentally-informed treatment for juvenile justice-involved adolescents*. Brandon, VT: Safer Society Press.

<sup>2</sup> Miller, W.R., Moyers, T. B., & Rollnick, S. (2013). *Motivational interviewing: Helping people change*(3<sup>rd</sup> ed.). Carson City, NV: The Change Companies.

<sup>3</sup> Miller, Zweben, DiClemente, & Rychtarik (1992). *Motivational enhancement therapy manual: A clinical research guide for therapists treating substance abuse and substance dependence*. Rockville, MD: National Institute for Alcohol Abuse and Alcoholism

Therapy (AIT) or a similar intervention is recommended as an additional adjunctive intervention for those offenders with aggressive behaviors.

The FFM is a comprehensive treatment model, designed to address clinical needs while promoting prosocial, healthy development. In conjunction with an effective treatment milieu that utilizes behavioral principles, addresses the complex needs of young offenders, and promotes long-term successful life outcomes.

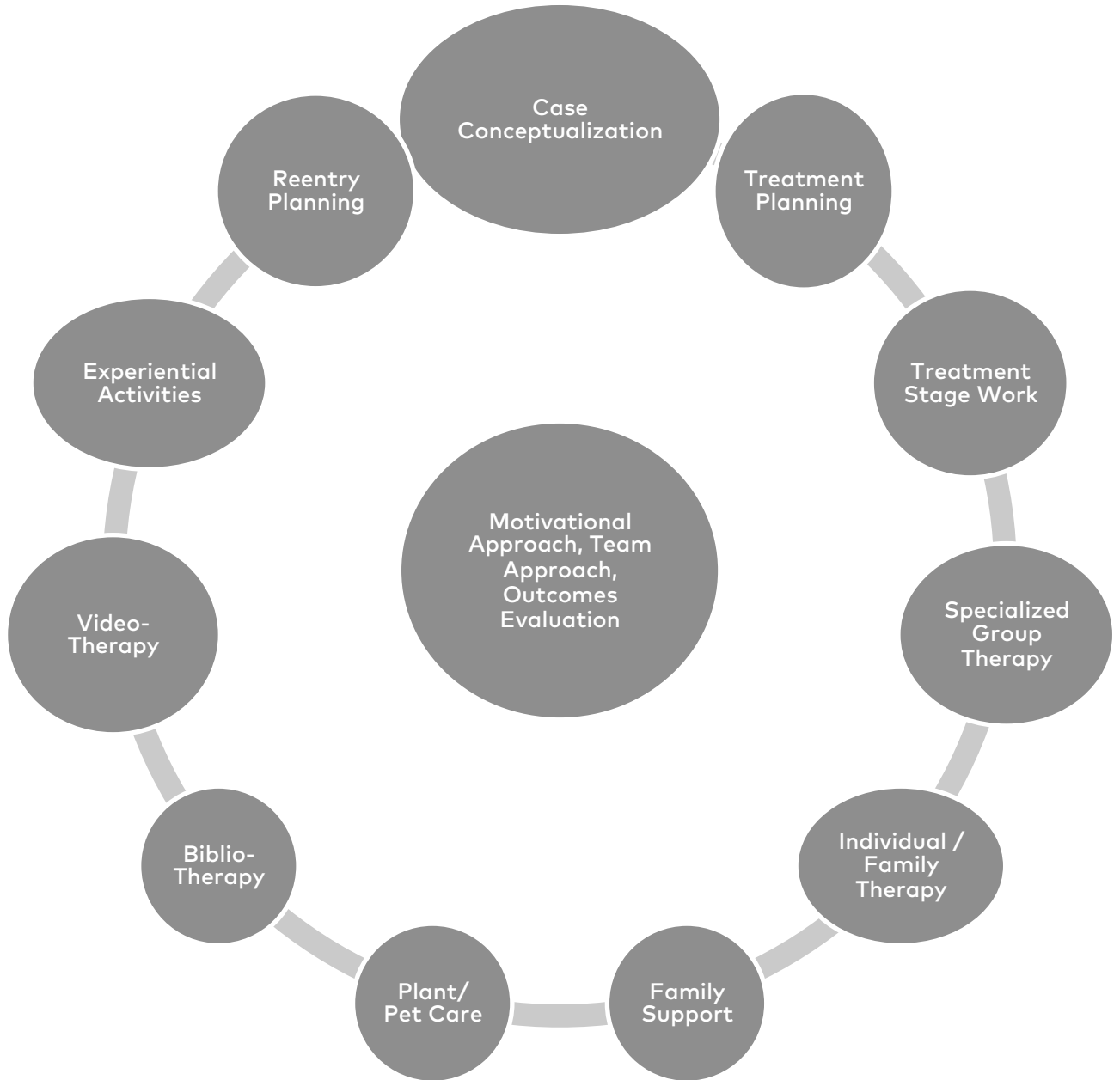
### **Length of Time and Staffing**

The FFM typically requires 12 months to complete and is typically provided during residential placement (i.e., incarceration). The FFM is delivered by a Master's level clinician, preferably a Licensed Professional Clinical Counselor (LPCC) to ensure sufficient clinical/behavioral expertise at the Master's level. The LPCC delivers the clinical components of the model (individual, group therapy, experiential activities, bibliotherapy) while overseeing other parts of the treatment (reentry planning, pet care) delivered by Bachelor level staff.

### **Implementation**

Facilitator's Manuals and participant workbooks are available to effectively guide implementation of the FFM and to ensure treatment fidelity. These materials also make implementation of the FFM a fairly seamless process and significantly reduce the time for program start up.

Figure 1: Forward-Focused Model Treatment Program for Young Adult Offenders



## A Detailed View of the Forward-Focused Model

### Clinical Environment

The clinical environment refers to the broader environment in which the FFM is delivered and refers to the intentional development of a specific culture by which to deliver the treatment in order to fully support the model. The clinical environment includes four key issues:

- assessment-driven, individualized treatment planning,
- team approach,
- treatment fidelity, and
- outcomes evaluation.

### The Treatment Components

The FFM is delivered by 11 major components that together comprise a comprehensive treatment approach. The components include case conceptualization, individualized treatment planning, stage-based work that is completed individually and in group, specialized group therapy, the use of experiential group-based exercises, plant/pet care, bibliotherapy, and movie therapy.

#### Case conceptualization

An assessment-driven approach is used to develop an individual case conceptualization and to guide initial and ongoing treatment plan. As such, a comprehensive assessment of each resident's clinical needs, including common co-morbid treatment needs related to both trauma symptoms and substance use is conducted while functional ability, aggressive behaviors, and risk and protective factors are assessed.

#### Treatment planning

Case conceptualization guides the development of the initial treatment plan. As a result, a comprehensive initial treatment plan is developed within 30 days of program admission that addresses all of the individual's clinical treatment needs and identifies the various strategies to be used to address these treatment needs. Because treatment planning is a fluid process, the treatment plan is minimally updated quarterly, and the Plan is flexible to ensure that both strategies and treatment goals are modified, as needed.

#### Treatment stage work

Progressive treatment stage work consists of eight stages including an orientation stage. Emphasized in the stage work are growth-focused activities such as intra- and interpersonal skill development, and the development of hobbies. In addition, residents are introduced to such pro-social concepts as citizenship, community-building, and non-violence.

Finally, being sensitive to adolescent development and learning styles, the use of creative means of expression is a critical part of the treatment stage process. Unlike traditional

stage work that is expressed in writing or verbally, residents are taught various creative mediums (e.g., construction/building, poetry, music, drawing) and are encouraged to complete specific treatment tasks using a medium of their choosing.

Forward-Focused Model Stages	
Treatment Stage:	
Orientation and Assessment Stage	
Stage One:	Autobiography
Stage Two:	Responsibility and Accountability
Stage Three:	Attachment, Loss & Early Connections
Stage Four:	Behavior Patterns and Restorative Justice
Stage Five:	Effective Decision-Making
Stage Six:	Reentry Planning
Stage Seven:	Moving On

### **Specialized group therapy**

There are two types of specialized therapy groups included in the FFM—those that are relevant to all residents with serious offending behaviors (e.g., restorative justice, independent living, emotion management, creative expression) and those that address critical co-morbid treatment issues of which some residents may be struggling (e.g., trauma, substance use, aggressive behaviors). By incorporating both a general group treatment curriculum as well as providing specialized group treatment (Trauma-Focused Cognitive Behavioral Therapy; MI/CBT substance abuse treatment; Aggression Intervention Therapy), significant issues related to residents' long-term success are addressed while individualized treatment needs are met. This approach recognizes the heterogeneity of adolescents/young adults with offending behaviors while ensuring the delivery of individualized treatment.

### **Individual and family therapy**

Individual therapy is provided to all residents during the first month of treatment in order to engage them in treatment and to ensure that all initial treatment needs are identified and incorporated into treatment planning. While individual therapy may continue to be offered beyond the first month, as justified, family therapy is initiated during the second month of treatment. Family therapy provides an opportunity to engage supportive individuals fully in treatment process while building additional support for the resident both during and following treatment.

### **Family and/or other support persons**

There is a primary emphasis on garnering support from family/intimate partners, and/or other individuals as a critical part of the treatment process with a goal of engaging at least one supportive individual (e.g., neighbor, former coach) for each resident. Whereas family therapy provides one formal outlet for such engagement, a range of other activities are offered to promote broad-based participation by support persons. These include but are not limited to such activities as case planning, reentry planning, and participation in *Family/Support Forums*.

### **Plant and pet care**

Plant care, as well as, pet care is incorporated in the model to promote the pro-social skills of responsibility and nurturing. Plant and pet care are also designed to promote self-esteem and autonomy as a result of realizing one's impact on another living organism. Typically, residents are first introduced to plant care, and given responsibility to care for a plant's daily needs and to monitor its growth. From plant care, residents progress to caring for a pet. Depending on the setting, pets can range from spiders to snakes and hamsters to dogs, cats, or horses. This aspect of the model is both educational and therapeutic. As such, it allows residents to learn about other living creatures while acquiring increased responsibility, and to engage at their own pace in the development of these new relationships.

### **Bibliotherapy curriculum**

Similar to plant/pet care, bibliotherapy and movie therapy provide two additional and different mediums for promoting interpersonal growth in adolescents. Each of these enhanced interventions is consistent with adolescent learning styles and brain development, providing alternate opportunities for gaining new knowledge and skills.

Bibliotherapy is designed to use books in an effort to reach residents, with facilitated exploration conducted by the clinician. Two types of books are used: Personal accounts of individuals who share similar circumstances (i.e., autobiography, biography) and stories that highlight certain messages or lessons relevant to adolescents. Books are selected based upon their potential to promote relatedness and familiarity, and thus, promote adolescent engagement<sup>4</sup>. In addition, books must be clinically relevant, have the potential to offer alternative narratives, and to expand learning pathways. Because the therapeutic value of bibliotherapy is based to a large degree upon the clinician's ability to effectively facilitate the reading and exploration, specific instructions, including group discussion questions are provided to the clinician (i.e., *FFM Facilitator's Manual*). Bibliotherapy occurs quarterly throughout the course of treatment.

### **Movie therapy curriculum**

Based on the same principles as bibliotherapy, movie therapy uses film in an attempt to engage residents and promote learning through alternate pathways. Similar to the selection of books, film selection is based on a film's clinical relevance, potential to promote familiarity and connections, and potential to promote access to alternative role models. Just as in bibliotherapy, a facilitator's guide is used to direct the clinician in the delivery of the movie therapy curriculum. Because of the different nature of film, movie therapy is implemented on a monthly basis with one film viewed and explored each month throughout treatment.

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<sup>4</sup>Anderman, E. M., Sinatra, G. M., & Gray, D. L. (2012). The challenges of teaching and learning about science in the 21st century: Exploring the abilities and constraints of adolescent learners, *Studies in Science Education*, 48(1) 89-117.

### **Experiential activities**

Experiential activities are integrated throughout the group therapy sessions to promote learning through direct engagement in activities. Unlike didactic processes, experiential activities require active participation and are designed to attend to unique learning styles that are best met by learning through doing rather than by learning through listening.

A variety of prescribed activities are provided as well as activities that can be spontaneously used based upon an activity's relevance to the group topic. Experiential activities are designed to promote intra- and interpersonal learning, address specific developmental issues, and maximize the treatment process. For instance, feeling charades and self-esteem and self-worth building activities are used to promote intrapersonal development while exercises such as countering peer pressure and engaging in debate are used to promote interpersonal skill development. Identifying and confronting gender-based messages and other barriers to individual growth are also explored to promote identity development.

### **Reentry planning**

A comprehensive reentry planning component is integrated into the model and is designed to promote long-term sustainable success. Reentry planning commences at the start of the treatment process with the development of an initial reentry plan that is part of the initial case conceptualization process and treatment plan. Formalized reentry planning meetings are then held throughout the treatment process with all involved individuals (e.g., resident, family/support, case manager).

The purpose of reentry planning is to promote a positive and pragmatic treatment perspective, and to promote long-term success. Consistent with best practices, the FFM emphasizes development of skills to promote effective adaptation to the community and continuity of care to bridge institutional and community-based services (e.g., housing, employment, treatment) to facilitate post-release success<sup>5</sup> and phase movement in the California Leadership Academy. Planning for reentry occurs at multiple levels throughout the treatment process with specific activities and interventions directed toward it.

## **Summary**

The *Forward-Focused Model* reflects the most current knowledge of adolescent and young adult offenders, and as such, the empirically-based program illustrates a highly responsive treatment design. The FFM addresses the complex needs of young adult offenders while promoting healthy development and long-term successful life outcomes.

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<sup>5</sup> Center for Sex Offender Management; CSOM, 2006





# Appendix J

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## Cognitive-Behavioral Therapy in the California Leadership Academy

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## Appendix J

# COGNITIVE-BEHAVIORAL THERAPY IN THE CALIFORNIA LEADERSHIP ACADEMY

*By Bruce C. Gage, M.D., Puget Sound Mental Health  
Board Certified in General and Forensic Psychiatry*

New behavioral skills will be introduced primarily through evidenced-based cognitive behavioral treatment (CBT) classes that include both teaching and role playing.<sup>1</sup> There are several established CBT modules the CLA may choose from. It's not critical which versions are used as long as they cover the topic area, are evidence-based (or based on best practice, though this option will be limited to addressing essential topics), and target the appropriate population.

The following topics and groups, some of which overlap, are recommended:

- Self-monitoring
  - Reading body cues
  - Recognizing emotions
  - Identifying beliefs
  - Identifying "triggers"
    - Situational cues
    - Bodily cues
    - Emotional states
    - Thoughts about persons or situations
- Self-management
  - Self-care
  - Relaxation
  - Self-soothing
  - Distraction techniques
  - Cognitive-thinking skills
    - Behavioral chain analysis
    - Problem solving
  - Behavioral alternatives
  - Aggression interruption or reduction treatment
  - Anger management

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<sup>1</sup> Milkman, H., and K. Wanberg, *Cognitive-Behavioral Treatment: A Review and Discussion for Correction Professionals*, Washington, DC: U.S. Department of Justice, National Institute of Corrections, 2007. Lipsey, M.W., "The Primary Factors That Characterize Effective Interventions With Juvenile Offenders: A meta-analytic overview," *Victims and Offenders* 4 (2009): 124-147. Landenberger, N.A., and M. Lipsey, "The Positive Effects of Cognitive-behavioral Programs for Offenders: A Meta-analysis of Factors Associated With Effective Treatment," *Journal of Experimental Criminology*, 1 (2005): 451-476.

- Relapse prevention
    - Substance abuse
    - Violence
    - Antisocial conduct
- Interpersonal and social
  - Communication
    - Listening and interpreting others' communications
    - Use of language and voice
    - Body language
    - Techniques for effective communication
      - Clarification
      - Restatement
      - "I" statements
  - Social decorum
    - Use of social convention
    - Manners
    - Getting help or needs met
  - Community, school, and workplace skills
    - Dress
    - Behavior
    - Interacting with authority
- Education
  - Diploma, GED, college
- Work
  - Living unit jobs
  - Campus jobs (inside secure perimeter)
  - Work-furlough jobs (outside secure perimeter)
  - Work-release jobs (living/working in the community)

### **First step: self-monitoring**

Behavior is primarily driven by habits of thinking, feeling, and behaving, often shaped by environment. As participants make progress in treatment, they develop a broader repertoire of behavior and greater capacity for resisting habitual behavior. More prosocial habits of behavior begin to emerge. As skills grow, so does the capacity for making better choices. There's a natural and essential progression in skill development that must be observed and incorporated into the fabric of the program. In its barest features, it consists of first teaching participants to self-monitor, which means observing their own habits of thinking, feeling, and behaving.

Self-monitoring opens the way to moral development and "taking responsibility." For someone who does not develop self-monitoring, and continues to see the cause of his behavior as being the behavior of others, no progress is possible.

At this point, in order to actually change his responses rather than react habitually, the young man needs alternative behaviors in his repertoire. For instance, if his only conflict resolution skill is fighting, self-monitoring does him no good because the only solution available to him is to fight.

The next step is developing self-management and interpersonal skills. As participants gain these skills, they can begin to move beyond "taking responsibility" to "accountability," where they not only see the harm (or good) they cause, they can be held accountable because they now have a meaningful opportunity to choose a path that does not harm others.

Beyond the cognitive-behavioral therapy modules, this approach for developing new skills is embedded in the CLA program as follows:

1. Teach skills:
  - Self-monitoring
  - Self-management
  - Interpersonal and social
  - Cognitive-thinking
  - Relapse-prevention
  - Work, education, and community
2. Practice skills
  - Role plays in groups
  - Role plays during staff sessions
  - Classroom and workplace learning
3. Use skills in naturalistic setting
  - With peers in the living unit
  - In work settings
  - In the community
4. Coaching
  - Role model skills
  - Staff support skill utilization
    - Reward instances of use
    - Remind participants of opportunities
  - Debrief and refine skills
    - Group
    - Individual

**Avoid customization**

The skills being developed are general and applicable to all participants in the program. The approach does not specifically target the psychopathology of individuals, although a certain amount of individualization will be necessary in the work between the young men and staff members assigned to them. Different types of groups may be taught, allowing for some customization such as beginning and advanced groups, but customization generally should be limited. This is part of the reason for excluding special needs populations from the first admissions in CLA because they increase the need for customization and staff with clinical and/or high-level behavioral skills, which is expensive. While a certain number of staff with this expertise will be essential to implement and maintain the program, it helps keep their numbers down by limiting how much customization is needed to treat special needs populations.

# Appendix K

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## Educational Excellence in the California Leadership Academy

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## Appendix K

# EDUCATIONAL EXCELLENCE IN THE CALIFORNIA LEADERSHIP ACADEMY

*By David Domenici, Executive Director  
Center for Educational Excellence in Alternative Settings*

Educational programming in adult correctional facilities is sparse and poorly funded in California and across the country. As a result, the majority of young adults incarcerated in California are poorly prepared to return to their communities and successfully transition to work or school. Sadly, over 60 percent of them recidivate and end up back in prison within three years.<sup>1</sup>

To reduce this recidivism, we must be determined to develop a corps of young adults who return to their communities with the academic skills, technological know-how, entrepreneurial drive, and sense of meaning and purpose they need to lead successful lives.

Our recommendations for the California Leadership Academy are based on the belief that young adults serving multi-year sentences deserve the best education possible. This education should:

- help them develop a sense of personal agency and meaning;
- enable them to build a future for themselves that is positive and hopeful; and
- ensure they return home as lifelong learners, excited to pursue a better future for themselves, their children, and the broader community.

Five key elements distinguish our recommended approach to education and vocational training for students in this program.

1. Develop and maintain a **positive school climate** based on youth development principles, focused on student achievement.
2. Implement a **relevant, design-focused curriculum** that seamlessly integrates high school, postsecondary, and career and technical education.
3. **Extend school** beyond the classroom walls and the traditional 8:00 am to 3:00 pm timeframe.
4. Use **technology and blended learning** to increase student engagement, expand course offerings, and ensure that students learn transferable skills.

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<sup>1</sup> Figures provided by the California Department of Corrections and Rehabilitation, December 2015.

5. **Engage with the community** through partnerships, volunteers, and contracted services to support healthy, successful transitions for students when they return home.

We explain each of these elements below.

### Positive School Climate

The California Leadership Academy supports a positive school culture by: (a) fostering strong relationships among staff and students; (b) highlighting student achievement, setting high standards, and celebrating student success; (c) offering extensive opportunities for student choice and voice in education programming; and (d) emphasizing behaviors and values that align with students' long-term success.

Further, the education staff and therapeutic personnel in the CLA communicate regularly and work together seamlessly in support of student achievement. Just as important, all aspects of the education program—relevant curriculum, technology-rich instructional programming, community engagement—contribute to and enhance the process of creating and maintaining a positive school culture.<sup>2</sup>

Together, these elements incorporate key tenets of recent research that identifies the critical components for schools designed with Positive Youth Development in mind, contextualized for a secure care environment.<sup>3</sup> Some may suggest these components are not necessary in the CLA program, given that its students are age 18 to 25. However, we believe these elements are also critical to create a successful school environment for this young adult population, particularly during the early stages of their enrollment. This notion aligns closely with the broader rationale to create CLA as an approach distinct from adult corrections.<sup>4</sup>

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<sup>2</sup> The U.S. Department of Education identified a positive school (and institution-wide) culture as one of five key principles for providing high-quality education in juvenile justice secure care settings. U.S. Departments of Education and Justice, *Guiding Principles for Providing High-Quality Education in Juvenile Justice Secure Care Settings*, Washington, D.C., 2014.

<http://www2.ed.gov/policy/gen/guid/correctional-education/guiding-principles.pdf>

<sup>3</sup> See JoEllen Lynch and Karen Mahler (2014). Positive Youth Development in School Design, Springpoint January 2014.

[http://www.springpointschools.org/media/filer\\_public/b4/37/b437ce62-7aee-46fb-89cb-fb1a4f94c9f0/positive\\_youth\\_development\\_school\\_design.pdf](http://www.springpointschools.org/media/filer_public/b4/37/b437ce62-7aee-46fb-89cb-fb1a4f94c9f0/positive_youth_development_school_design.pdf). Youth need caring, trusting, and supportive relationships with adults and other young people; youth respond to high expectations; youth need opportunities to contribute (choice and voice); youth need learning experiences that are intentionally engaging, relate to their authentic interests, offer opportunities to succeed, and provide feedback to enable them to reflect on their accomplishments; and youth need all of these aspects to be continuously present.

<sup>4</sup> See generally, Schiraldi and Western (2015). Community-Based Responses to Justice-Involved Young Adults. New Thinking in Community Corrections.

<http://www.hks.harvard.edu/content/download/77657/1742659/version/1/file/ESCC-Community-BasedResponsestoJustice.pdf>

***Foster strong personal relationships:*** The education program aligns with students' living units, or pods. Students spend a significant portion of their day working and supporting each other in their advisory groups, under the direction and support of a primary classroom teacher-advisor. This lead teacher-advisor works in close partnership with the pod/programming staff to ensure close, cohesive planning and communication with students.<sup>5</sup>

***Highlight student achievement, set high standards, and celebrate student success:*** The California Leadership Academy highlights achievements and accomplishments, rather than deficits. The education component is no exception: teachers acknowledge students for working hard, demonstrating school values, and meeting short- and long-term goals at the class and campus-wide levels. There are regular awards ceremonies and opportunities for students to share their work with peers and community partners.

***Develop student choice, voice, and ownership:*** Students have significant choice in determining their course of study, including a range of hands-on design labs students can choose from based on their interests and goals. Students also have a significant "voice" in school programming. For example, they organize and lead the award ceremonies, participate in orientation of new students, and serve on the governing body that oversees school programming. Their feedback is a critical component of the program's overall evaluation.

Students also have ownership of school programming. Products they make in the school's design studios are displayed and used on campus. Student-created art and fabrication designs decorate and set the aesthetic tone for the campus.<sup>6</sup> Students manage and create content for school podcasts and social media campaigns. Working with local industry partners, students design new courses and re-tool the design studios to keep pace with their interests and workforce needs.

***Emphasize behaviors and values that align with students' long-term success:*** Students get positive reinforcement for practicing newly learned behavior skills, including when it occurs during school time. For example, when students demonstrate empathy, creativity, non-violence, respect, and other desired values and behaviors during class, teachers reward them through the program's reinforcement system.

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<sup>5</sup> For a more comprehensive explanation of Advisory-centered academic approach, visit the Big Picture School's website <http://www.bigpicture.org/2008/10/advisory-structure/>

<sup>6</sup> Instead of drab walls, out-of-date posters, and classrooms cluttered with unused texts, the school areas will feature student art and other work, awards, and plaques hung on the walls. Classrooms and design studios will be neat, engaging and replete with student-created artifacts. Campus grounds will be showcases for sculptures, public art, building and other manufactured products. For more on the importance of creating a physical space that sets the tone for a school's climate, see Forman, James Jr and Domenici, David (2011). "What it Takes to Transform a School: Inside a Juvenile Justice Facility" Faculty Scholarship Series. Paper 3608. [http://digitalcommons.law.yale.edu/fss\\_papers/3608](http://digitalcommons.law.yale.edu/fss_papers/3608) ("Forman and Domenici, What it Takes").

**Develop a positive, working relationship between the education staff and other campus staff:** Numerous studies emphasize the importance of an effective, working relationship between secure care staff and education staff in creating a positive learning environment in secure care settings.<sup>7</sup> The California Leadership Academy's education staff and therapeutic/security staff will develop strategies to ensure this collaboration using the principles of Positive Behavioral Interventions and Supports (PBIS) approach.<sup>8</sup>

**Ensure all aspects of the education program promote a positive school culture:** Creating a positive school culture requires a commitment to integrating key principles in all aspects of the school experience, including curriculum and instruction. The program emphasizes relevance and meaning in the curriculum and day-to-day school life by addressing challenges students face, reading and discussing issues that are relevant to them, and confronting issues related to race, justice, and opportunity.<sup>9</sup>

### Relevant, Design-Focused Curriculum

The CLA does not artificially separate the academic and job-training aspects of a student's experience, based on age or academic standing (elementary, secondary, or college-level skills at admission). Rather, it supports students as they investigate, develop academic and career interests, and hone in on potential postsecondary education and career choices to pursue when they complete the program and return home.

The program includes a full complement of courses that meet Standard State of California Graduation Requirements so that students who want to pursue their high school diploma may do so. The program also supports students who decide it is in their best interest to prepare for the GED (or HISET) exam. Each student, members of his treatment team, and school staff makes these decisions jointly, based on the student's

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<sup>7</sup>For a more recent discussion, see, e.g., Tannis, Lynette (2014) *Educating Incarcerated Youth: Exploring the Impact of Relationships, Expectations, Resources and Accountability*. <http://www.palgrave.com/page/detail/educating-incarcerated-youth-lynette-tannis/?isb=9781137451019>.

<sup>8</sup> PBIS is a nationally recognized approach to support positive school culture. It was not specifically designed for use in juvenile facilities, although many schools have adopted it, with positive results. See Read, N. W. & Lampron, S. (2012). *Supporting student achievement through sound behavior management practices in schools and juvenile justice facilities: A spotlight on positive behavioral interventions and supports (PBIS)*. Washington, DC: National Evaluation and Technical Assistance Center for Children and Youth Who Are Neglected, Delinquent, or At-Risk (NDTAC). <http://www.neglecteddelinquent.org/sites/default/files/docs/SupportingStudentAchievement.pdf>.

<sup>9</sup> To read more about schools in secure settings that integrate thematic project-based learning in the fabric of school designs in secure settings, consider the Road to Success Academies sponsored by the Los Angeles County Office of Education, available at <http://www.lacoe.edu/Home/RTSA.aspx>, and the Maya Angelou Academy, the formation of which is described in "Forman and Domenici, What it Takes."

academic strengths and needs, accumulated high school credits, length of stay, and career objectives.<sup>10</sup>

In addition, through its community college partnerships, the program offers traditional college courses in the social and hard sciences. These courses are taught in a variety of formats: online, in person by a community college professor coming to the campus, and in a hybrid environment, where students from CLA are enrolled in a course that is also open to students from the community. The course is shared live using video conferencing tools so that students can interact and communicate with other academic peers.

Students also have the chance to pursue career and technical fields in CLA's Design Studios. Studio courses and the experience working and learning in the Design Studios are a centerpiece of CLA's educational experience for many students. Coursework in the Studios aligns with high school graduation requirements, industry certification, and community college courses. It also is hands-on, collaborative, project-based, and almost always results in students going through a design process—experiment, test out ideas, troubleshoot, document, re-engineer, and then present and share solutions.

Time spent in the Design Studios supports a broad range of academic and credentialing goals and gives students the opportunity to produce “stuff” such as products, tools, services, and intellectual property. The instructors who lead each of the Design Studios have the experience and education necessary for students who complete their courses to qualify for industry certification and community college credit.

We envision four Design Studios focused on the industrial and creative arts described below. However, the physical space will accommodate changes in their focus to keep current with technology and the job market.

**Art, Ceramics, and Sculpture:** Centered on the visual arts, this studio specializes in bringing out students' creativity and integrating art with industrial design. Partnerships with a range of art-focused, community-based as well as commercial-based institutions will drive its direction.<sup>11</sup>

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<sup>10</sup> The U.S. Department of Education identified relevant, standards-based curriculum tailored to the individual needs of students as one of five key principles for providing high-quality education in juvenile justice secure care settings. See U.S. Departments of Education and Justice, *Guiding Principles for Providing High-Quality Education in Juvenile Justice Secure Care Settings*, Washington, D.C., 2014. <http://www2.ed.gov/policy/gen/guid/correctional-education/guiding-principles.pdf>.

<sup>11</sup> For additional information about this sort of art-based Design Studio, visit the Manchester Bidwell Training Center's website at <http://manchesterbidwell.org/>. For more on the value of incorporating art into correctional education programming, refer to this article on a mural project at the Mill Creek Youth Center in Ogden Utah: Standard Examiner, Artist works with teens to create mural filled with hope, October 31, 2014. <http://www.standard.net/Education/2014/10/30/Artist-works-with-teens-to-create-mural-filled-with-hope>.

**Digital Engineering:** This studio combines music and video engineering with coding, programming, and website development. Students have the chance to create and program using different tools, and projects involve fields many students will find engaging and interesting. With an emphasis on industry-level course work and skills, students can earn badges and certifications in attainable, meaningful steps. Partnerships with the entertainment industry and technology/innovation space will drive the direction of this studio.<sup>12</sup>

**Building Trades, Welding, and Metalworks:** This studio has the look and feel of a modern community college Industrial Arts facility, providing students with industry-standard equipment to create and build valuable artifacts for use on campus and in the community. Its direction will be forged through partnerships with the construction trades, welding, and metalworking industries.<sup>13</sup>

**Design and Fabrication (FabLab):** This studio, built using the FabLab design framework based on MIT's Center for Bits and Atoms,<sup>14</sup> offers students the chance to use state-of-the-art fabrication and design tools in a micro-setting, with an emphasis on creativity, problem-solving and constructivist learning—using technology and design tools to solve community challenges. The FabLab will have a number of fabrication tools including an industrial-size, programmable wood router for sculpture and design, laser cutter, vinyl cutter, and 3D printer.

The program ensures each student's course of study is relevant and personalized, regardless of whether he's pursuing a high school diploma or GED. For example, students who face academic challenges or have special needs spend significant time early in their tenure on campus receiving intensive support, both in classes and in small tutorials and pull-out sessions with teachers and volunteer tutors. During this time, they also attend Design Studio courses where they can create, explore, and build on their strengths. No student passes unnoticed while struggling with basic academic needs.

Similarly, even while a student is completing high school courses or working toward his GED, he has the opportunity to take a range of career exposure and job training courses

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<sup>12</sup> For a look at the power of relevant, performing arts-based educational programming, visit the High School for the Recording Art's website at <http://www.hsra.org/>. USA Today reported on the capacity of incarcerated adults to learn to program and code in this article: San Quentin high-tech incubator forges coders, entrepreneurs, December 11, 2015. <http://www.usatoday.com/story/tech/2015/12/10/san-quentin-high-tech-incubator-silicon-valley-the-last-mile-code7370-chris-redlitz-beverly-parenti/77093164/>

<sup>13</sup> The Oregon Youth Authority developed its welding and industrial arts program at facilities for older, credentialed youth, described in this article: Statesman Journal, Youth Improve Futures with New Equipment, September 25, 2015. <http://www.statesmanjournal.com/story/news/2015/09/24/youth-improve-futures-new-equipment/72745562/>.

<sup>14</sup> To learn more about FabLabs and MIT's Center for Bits and Atoms, visit <http://fab.cba.mit.edu/about/faq/>. San Diego FabLab offers a wide range of courses and has strong partnerships throughout San Diego, offering a terrific example of the sort of work that students in the FabLab Studio could do at the Design School. See <http://www.fablabsd.org/>

offered through the Design Studios. These courses align with industry standards and the community college partners will certify them as credit-bearing. Likewise, students have the opportunity to take a wide range of college courses in the humanities, social sciences, and hard sciences, supplemented by courses offered through free and modestly priced college and postsecondary online providers such as Modern States Alliance/First Year Free, edX, Study.com, and Udacity.

Educational assessment is ongoing, embedded in the fabric of classes and a student's academic experience. This meaningful, formative assessment strategy encourages students to tinker and test out ideas, collect feedback, and develop alternative strategies. The process, based on design theory, is used in most engineering and manufacturing programs. It encourages creativity and problem solving and greatly reduces the tendency in underperforming students to avoid mistakes and seek easy solutions.

To the greatest extent possible, school grades and credits are premised on students completing projects, often with peers, solving problems, and presenting plans and solutions to other students, teachers, campus staff, and outside visitors and experts. Grades and credits build upon and are integrated with the school's system of badges through which students are recognized for meeting both personalized and standards-based performance goals that are achievable in small, manageable chunks.<sup>15</sup> This is also the case in the program's high school courses, Design Studio courses and, to the extent possible, the college courses co-designed with the community college partners.

We also recognize the need for students to be able to pass standardized tests and meet agreed-to performance criteria. The curricular design, assessment strategy, and school performance measures support this objective as well. For example, for students who decide to work towards their GED/HISET, although the course-work is individualized and delivered pedagogically in ways we believe make learning relevant and meaningful, we will measure success of the course through GED pass rates and length of time necessary for students to pass the GED relative to their academic skills at the time of entry.

### **Extended School**

School time in CLA extends into the afternoons, evenings, and weekends. It also involves outside groups and individuals in the learning process, which is critical to student success.

Academic, athletic, and creative enrichment activities extend into the afternoons and evenings, in conjunction with other campus programming and activities in the living units.

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<sup>15</sup> To learn more about badges and the movement toward a badge-based system (as compared to grades, courses, diplomas, or degrees), particularly in the technology sector, read New York Times, *Show Me Your Badge* (October 4, 2012). [http://www.nytimes.com/2012/11/04/education/edlife/show-me-your-badge.html?\\_r=0](http://www.nytimes.com/2012/11/04/education/edlife/show-me-your-badge.html?_r=0). For further reading, visit the MacArthur Foundation's publications on digital badges: <https://www.macfound.org/programs/digital-badges/>.

The program includes a full-time position to coordinate volunteers and outreach to organize activities led by nonprofit organizations, school, or campus staff; this position also recruits and supports volunteers to teach courses and serve as tutors and mentors.

Some of the extended hour activities such as poetry, spoken word, or music are supplemental and offer students exposure to activities that may not be possible to fully explore during the more traditional school day. However, some students will need, and want, to continue with their academic studies in the evening. They will have homework, discussion groups and projects with college classmates, and projects to work on in the Design Studios. Other students will want to work online in coursework to help them address academic deficiencies and to advance and accelerate credits and learning.

The education staff and therapeutic personnel collaborate to support this range of activities. They have a technology access and security platform that enables students to use their Chromebooks to complete academic work in the evenings and weekends, without compromising security.

### **Instructional Technology**

Technology use and access is integrated seamlessly into a student's life on campus, from the first day of orientation when each student is issued a Chromebook until the day that student completes the program and departs with a Chromebook in hand.

Each student goes to classes and back to his living unit with his Chromebook. They work, collaborate, and submit most assignments using Google Apps for Education, and access and log into online and hybrid college courses using the Chromebook as their portal. In addition, classrooms are equipped with interactive SMART boards. The campus and the classrooms have secure, wireless connectivity. All of the classrooms and Design Studios are outfitted to enable live video conferencing with multiple sites. This allows students and teachers to participate in classes and discussions with other students in college courses and enables outside experts and volunteers to participate in presentations and workshops even if they cannot make it to campus.

The Design Studios will have a wide range of additional instructional technology devices that support the teaching and learning of the specific studio. For example, the Digital Engineering Lab will have sound and video engineering tools that meet industry standards; the Design and Fabrication Lab will have laser and vinyl cutters and a programmable wood router; the Construction Trades and Welding Lab will have the appropriate hand tools and welding equipment (actual and virtual); and the Art Lab will have a kiln and pottery wheels, as well as graphic design tools.

Teachers are trained how to use technology and blended learning to engage students, help them address academic needs, and offer them an ever-expanding range of content and skills.

Students receive extensive training and support around the use of technology. Digital Citizenship, a required core course/module, is incorporated into all courses, and students



must demonstrate mastery of it during their first few months. (See "Internet Security," below, for a discussion of Responsible Use Policy and related issues.)

### **Community Engagement, Transition, and Partnerships**

We anticipate broad-based support from and integration with individuals, non-profit organizations, workforce development agencies, and community college partners to ensure that when students leave CLA they are ready to transition back to their communities.

"Advocates" from the program lead this effort. Each Advocate works with two residential pods, serving as hands-on, student-centered case managers helping to support and coordinate the range of services and opportunities students need upon release. The Advocates coordinate people and programs on campus, but nearly half their work is off campus. They play a particularly crucial role in the days and weeks when students first return home.

Community engagement includes the following forms of support for students on campus.

***Secure, online academic tutors:*** Using Google Vault and related security tools, students are able to access online academic tutors in the evenings and weekends. Tutors have real-time access to a student's academic work (if the student so chooses), enabling them to provide targeted, synchronous tutoring using an instant-messaging or chat-type function. Tutors also can post comments and suggest supplemental learning supports for students, directly, online.

***Workshops, speakers, art and recreation organizations, career and college representatives:*** The campus will host a steady stream of individuals from the community coming to run workshops, teach supplemental academic and enrichment courses, conduct mock job and college admissions interviews, and participate in panels the program hosts as part of student presentations and demonstrations.

***Job placement, interviews, and mentors:*** Using the program's secure online resources, students can apply for and interview for jobs. In many instances, students can set up transitional employment (as well as housing and related services) while they're still in the CLA program. As a part of this process, we anticipate the program using a range of mentoring programs based on students' unique circumstances. In some cases, mentors will be "work-based" and meaningfully affiliated with the student's future employer or workforce development partner; in other cases, mentors may be affiliated with a non-profit or support program.

### **Internet Security**

We anticipate CLA using Google Apps for Education and Chromebooks, along with tools and policies that ensure use of the Internet and technology is safe and secure. The security solutions outlined below reflect practices in a number of juvenile correctional

facilities around the country where agency leaders and classroom teachers are teaming up to use technology to transform learning opportunities for students in their care. These programs include the Oregon Youth Authority, Washington Juvenile Rehabilitation Administration, Kentucky Department of Juvenile Justice, Wyoming Division of Child Services, Massachusetts Department of Youth Services, and Oklahoma's Office of Juvenile Affairs.

There are three main technology solutions to creating secure Internet use with the Google Apps for Education platform: a management console and administrative monitoring process; classroom-based monitoring software; and portable, secure, wireless intranet access for special circumstances. Each of these is described below:

***Chromebook Management Console and Google Vault:*** Through the Chromebook Management Console and Google Vault, the school's network administrator can establish criteria and set specific Internet access permissions for students and teachers. For example, only certain students would be able to access a community college course portal and email system. In addition, using Google Vault (particularly when supplemented by a software such as Go Guardian), administrators can search, identify, and flag all email communication via the web by using Google docs and searching for a word or phrase, in real time. This means if a teacher was concerned students were using a code word or pseudonym, the entire system could be scanned, and any time that word was used on the system it would be flagged, in real time, and traceable to the login and/or device.

***Classroom-Based Monitoring Software:*** Monitoring software enables teachers to monitor computer and Internet access for students in their classrooms. For example, a teacher could "open up" only a preset list of websites, "control" all the monitors in the classroom so they would all see the same page or document, and individualize access so some students would only have access to certain sites. Faronics is an example of a monitoring software used by dozens of correctional facilities across the country.

***Secure Wireless Intranet:*** Newly available wireless servers can further ensure safe and secure use of the Internet. The Rachel server is an example of this sort of tool. It's a small, remarkably affordable device that seamlessly finds and locks in a set of devices (Chromebooks, tablets, or desktop computers, for example) that are hooked up to the Rachel server. With the click of a switch, the devices cannot access the Internet but can wirelessly access content that is loaded onto the Rachel server.

The servers can be purchased preloaded with a significant suite of academic material that can be updated at regular intervals (Wikipedia, Kahn Academy, a law library). In addition, teachers can easily load additional content onto the server such as nightly homework. Although these servers won't allow students as much access as might be ideal (such as communicating with an approved tutor or mentor, or using an adaptive educational software that adjusts instruction based on student responses), they offer a powerful tool to expand educational content to students in the evenings if program

personnel are worried about monitoring for potential security breaches in the living units or under other circumstances.

In addition to these technical fixes, the program also will develop a robust set of expectations and norms around computer and Internet use that will be integrated into the school climate and behavior management frameworks.

First, program staff must work with students to develop a Responsible Use Policy outlining expectations for student use of technology. It should be written in young-adult-friendly language. (The Center for Educational Excellence in Alternative Settings, CEEAS, has helped a number of juvenile justice facilities' schools develop such policies and can provide samples upon request.) The policy should be visible in classrooms, living units, and elsewhere on campus. Teachers will go over the policy with students as a part of the orientation process. In addition, teachers will offer clear examples of how the policy comes into play in their classroom. The policy will align with campus-wide behavioral norms and expectations.

In addition, Common Sense Media has created a widely praised certification course for schools and teachers designed to support smart, appropriate use of the Internet and social media. (Common Sense Media has worked with CEEAS to create a customized certification process for teachers and schools working in juvenile justice agencies. That certification is available upon request.) The CLA's "school" will become a Certified Digital Citizenship School during its first year of operation, and each of its teachers is expected to earn a Digital Citizenship Certification within the first year of teaching in the program. As a part of this process, teachers will integrate digital citizenship into their courses on an ongoing basis.



# Appendix L

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## Reinforcing Skill Development

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## Appendix L

# REINFORCING SKILL DEVELOPMENT

*By Bruce C. Gage, M.D., Puget Sound Mental Health  
Board Certified in General and Forensic Psychiatry*

To develop a skill for daily living, a program participant needs more than role playing. He must practice it in as many real-life settings as possible. It maximizes his ability to generalize that skill to any situation as well as overcome state-dependent learning and similar phenomena. State-dependent learning refers to the phenomenon in which what one learns becomes associated with the context in which it's learned. While the circumstances present when learning a skill are powerful predictors and supports for using that skill, when those circumstances are not present, the likelihood of using the skill (in this case, behavior) goes down. So the more the skill is practiced under varied conditions, the better.<sup>1</sup>

Similarly, problem behaviors extinguished in the context of groups or the structured milieu may be reactivated in community contexts. Therefore, it's important to address not only behavior generalization but also extinction generalization.<sup>2</sup>

To support this skill development process, CLA uses a carefully structured reinforcement system that's based on sound, well-researched behavioral principles. A brief review of these principles is in order here.

Reinforcement is designed to increase a target behavior. It is essentially the delivery of a reward in response to a desired behavior. The strength of the reward and its proximity in time to the desired behavior determine how effective it will be. Negative reinforcement is the removal of something aversive in response to a behavior (e.g., releasing someone from isolation when he demonstrates the desired behavior, assuming that isolation was aversive for the person.)<sup>3</sup>

Sanction (punishment) is designed to decrease a target behavior. It involves applying an aversive stimulus in response to undesirable behavior, such as fining a person for a transgression. Here again, the strength of the sanction and its proximity in time to the behavior determine its effect. Negative sanction (punishment) involves the removal of something reinforcing in response to undesirable behavior, such as removing privileges in response to an assault.

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<sup>1</sup> Stokes, T. F. & Baer, D. M. (1977). An implicit technology of generalization. *Journal of Applied Behavior Analysis*, 10, 349-367. Osnes, P.G.; Lieblein, T. (2003). An explicit technology of generalization. *Behav Analyst Today* 3 (4): 364-74.

<sup>2</sup> Bouton ME. A learning theory perspective on lapse, relapse, and the maintenance of behavior change. *Health Psychology* 19(1):57-63 (2000).

<sup>3</sup> The CLA program does not use isolation practices.

For instance, we know that, other things being equal, the optimal ratio of compliments (reinforcement) to criticisms (sanction) is five-to-one.<sup>4</sup> It is well established that effective programs take advantage of this and use the carrot more than the stick. But both have their place and must be used strategically to maximize their effect.

The method for proximately increasing skill acquisition and decreasing undesirable behaviors is referred to as the **Reinforcement System**. It consists of a formal mechanism for using behavioral interventions, including the infraction system. The infraction system primarily addresses undesirable behaviors through sanction (applying aversive stimuli in response to undesirable behavior) and negative sanction (removal of privileges). While it can be utilized intact, it's preferable to administer the lower level infractions in concert with the reward component of the Reinforcement System.

The Reinforcement System has the following components:

- A list of skills (and other positive behaviors) to be practiced and acquired
- A list of behaviors to be reduced or avoided
- A mechanism for reinforcement and sanction of these behaviors
  - The reinforcement and sanction must be as immediate as possible.
  - The reinforcers and sanctions must be strong enough to shape behavior.

It's not possible to develop an exhaustive list of skills, so CLA must follow one of two approaches: either focus on a subset of skills considered most essential, or identify skill sets made up of a variety of specific skills. The former has the advantage of ease of administration but the disadvantage of a necessarily narrow focus. The latter has the advantage that any skill can be reinforced, but it has two disadvantages: staff needs more knowledge of specific skills (for instance, they must be able to identify examples of communication skills) and, because any skill can be rewarded, care must be taken not to repeatedly reward a young man for exhibiting an already established skill. (See examples below.)

A hybrid approach is possible but requires additional sophistication. This entails connecting specific skill sets to the appropriate stage of change or general progress the participant has achieved. In short, it is progressive. For example, individuals at lower levels who are not yet engaging in treatment may simply be expected to weigh the pros and cons of participating in the program. Individuals at a higher level may be expected to engage in general prosocial behavior such as maintaining unit cleanliness or engaging in a lower-level skill such as walking away from conflict. At yet higher levels, participants would be expected to assist peers and engage in higher-level skills such as using negotiation as a form of conflict resolution.

As one can see from the foregoing, behavioral approaches do not require the subject to be motivated to change. Even in the absence of motivation to change, behavioral

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<sup>4</sup> Kirkhart, Robert; Kirkhart, Evelyn (1972). "The Bruised Self: Mending in the Early Years." In Yamamoto, Kaoru. *The Child and His Image: Self Concept in the Early Years*. New York: Houghton Mifflin.



approaches are effective in producing behavioral change. But motivation increases the strength of reinforcers and sanctions and provides its own intrinsic rewards for success.<sup>5</sup> Thus, motivating participants is of vital importance for the program.

### **Reward must have value**

There must be a formal reward for manifesting desired behavioral skills. These rewards (reinforcement) must be sufficiently strong to overcome, or at least compete with, the intrinsic social rewards provided by peers and by the fruits of nefarious activity. It's also important for the staff to administer behavioral responses (reinforcement or sanction) swiftly, as prompt responses lend strength.

The nature of the reward must be tailored to the population. Food and inexpensive things like hygiene items and decks of cards are tangible rewards for most young adults. But such rewards lose their power if used too frequently—even food. It's better to reserve these items for more periodic reward (for instance, to reinforce a week of good performance). Another sound approach is to allow participants, regardless of their place in the Level System, to earn rewards on a daily basis toward extended privileges. This could include additional phone calls, additional recreation hours, additional access to the gym, access to video games, and the like. It may be beneficial to allow the young men to select from a menu of options so they can choose whatever most appeals to them that day.

It can also be of value to have a weekly reward for a solid performance during that week. Given that advancement in the Level System requires sustained performance for several weeks or months, these weekly benefits do not compete with the Level System, which offers sustained access to desired privileges and other benefits. For this weekly reinforcement, tangible rewards make more sense. It could even be a group reward such as a movie or special meal.

### **Examples of the Reinforcement System**

The Reinforcement System (RS) applies to all participants and is composed of individual and group RS. Individual RS reinforces the use of skills and the performance of prosocial actions. Group RS rewards a living unit whose members have limited their antisocial conduct.

#### **Group RS**

The living unit earning the lowest average number of infractions per participant for the calendar month gets a group incentive activity that is open to all members in the unit

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<sup>5</sup> Wilson DS, Hayes SC, Biglan A, Embry DD. Evolving the future: toward a science of intentional change. *Behav & Brain Sci* 37:395-460 (2014). Hayes SC. A contextual approach to therapeutic behavior change. In Jacobson N (Ed.), *Psychotherapists in clinical practice: Cognitive and behavioral approaches*. Guilford, New York (1987). Plaud JJ & Vogeltanz ND. Behavior therapy and the experimental analysis of behavior: contributions of the science of human behavior and radical behavioral philosophy. *J Behav Ther & Exp Psychiat* 24(2):119-127 (1993).

except those who engaged in interpersonal violence, possessed weapons or weaponized materials, or possessed contraband within the previous month. The unit votes for which incentive activity it wants, with the activity receiving the most votes offered to all.

Options include a group dinner, movie and a snack, or a game tournament. The activity is held on the weekend.

### **Individual RS**

The Individual RS operates on a daily and weekly basis. Each day, every program participant has an opportunity to earn a daily incentive. Individuals who earn a daily incentive four or more times in a week earn a weekly tangible incentive, such as a food or hygiene item, at the end of the week.

Daily incentives can include privileges or tokens that can be redeemed for a tangible incentive or special activity. Participants may be given an option to choose either a token or a privilege; whichever approach he chooses must be offered consistently across all units. The simplest privilege is to grant an additional 30 or 60 minutes out of the dorm for individuals who earn the daily incentive. If tokens are used, they must be redeemable when the person chooses and might include purchasing a privilege (such as time in the game room or the gym) or a tangible incentive that could be drawn from the same pool as the weekly incentive.

The system operates by staff monitoring the young men's behavior and providing them with instantaneous feedback (whenever possible) about positive and negative behaviors. When the positive behavior is one of the skills or behaviors on the RS sheet, the individual receives a positive check (or other term that is selected). The simplest approach to negative checks is to equate it with the lowest-level infractions of some specified subset of the lowest-level infractions. To earn the daily incentive, a participant needs twice as many positive checks as negative checks. Any infraction more serious than one specified for a negative check precludes him from getting the daily incentive.

To track this process, an electronic system that can be used by any staff member is by far the most reliable and efficient. It's essential that all staff—whether voc/ed, work supervisors, custody staff, support staff, maintenance staff, and so on, not just treatment staff—are fully engaged in giving this feedback.

To engage the young men more thoroughly in the process, the evening circle should include a review of the daily RS results. It may also include a process whereby participants have the opportunity to make a case for getting additional positive checks based on the observations and concurrence of the living group members, subject to staff assent. But in no case should a negative check be removed by this process.

Note that in Version 1 below, individuals at lower levels can earn checks for more behaviors, primarily by practicing them with staff. Individuals at higher levels are expected to demonstrate these behaviors in the course of daily life. This approach is favored as it addresses behaviors at the level the young men are working. Content of the

RS can be modified to align with the content of the CBT modules that the program adopts. It's essential that there be consistency between the language of the CBT modules and the language of the RS. Accordingly, the versions below are offered purely as examples and would need to be aligned once the final content of the CBT modules is determined.

### Examples of Positive Checks for Level 3 and Below—Version 1

Domain	Behaviors
Program Engagement	Attends whole program group and participates. Completes homework for group. Meets with casework specialist or shift monitor as scheduled.
Self-Monitoring	Gives report to staff on current emotional or bodily state.
Self-Management	Explains and demonstrates self-management skill to staff (relaxation, imagery, breathing, self-talk, etc.).
Violence & Aggression	Walks away from conflict. Does not fight back when threatened or attacked.
Thinking Skills	Explains behavioral chain analysis (ABC), decisional balance, thought record, or other technique to staff member. Presents behavioral chain analysis to staff regarding recent behavior problem. Uses formally identified thinking skill in role play.
Interpersonal & Social Skills	Introduces self to stranger. Starts conversation with stranger or staff. Demonstrates active listening skills. Asks for something politely. Terminates a conversation appropriately. Apologizes for own actions at time of or soon after event. Uses formally identified social skill in role play.
Social Influences	Has calm conversation with member of rival group. Partners with member of rival group in structured activity (when assigned). Listens to member of rival group.
Family & Community	Has civil conversation with family or community member.
Substance Abuse	Identifies instance where substance use interfered with life goal or resulted in negative event or outcome.
Education & Work	Actively participates in classroom activity. Completes work assignment promptly and without reminder. Attends complete day in school.
Relapse Prevention	Identifies potential relapse triggers in community.
Living Unit Support	Spontaneously cleans up in common area. Own area clean and tidy at weekly room check.

### Examples of Positive Checks for All Levels—Version 1

Domain	Behaviors
Program Engagement	Attends whole program group and provides support for peers. Assists staff in developing or running a group or activity. Engages in action step from Case Plan. Models or supports skill utilization with peers.
Self-Monitoring	Demonstrates self-monitoring of emotional or bodily state during ordinary activity or conversation.
Self-Management	Uses self-management skill in life (relaxation, imagery, breathing, self-talk, etc.).

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Violence & Aggression	Responds to angry person calmly and helpfully. De-escalates interaction between two or more peers. Uses conflict resolution skills.
Thinking Skills	Identifies an instance of criminogenic thinking. Gives thorough example of how thinking skills led to a different behavior than initially contemplated. Identifies potential danger in the facility. Uses a formally identified thinking skill (not role play).
Interpersonal & Social Skills	Expresses displeasure or hurt without anger or accusation. Responds to accusation or criticism without hostility. Calmly redirects peer who is exhibiting poor social skills. Uses a formally identified social skill (not role play). Shows empathy for others who have been harmed.
Social Influences	Partners with member of rival group in activity without being assigned. Helps others maintain truce posture between rival gangs.
Family & Community	Makes community contact related to release plan. Has contact with community sponsor or other formal community support. Provides verbal support or encouragement to a family member or community friend.
Substance Abuse	Identifies alternative behaviors or activities to substance use. Engages in alternative behaviors or activities to substance use.
Education & Work	Does extra work in school or at work. Helps a peer complete a school or work task without being prompted.
Relapse Prevention	Identifies ways to avoid or respond to potential relapse triggers in community. Asks for help in identifying community resources. Identifies community resources.
Living Unit Support	Organizes group action to improve living unit. Notifies staff of living unit safety problem.

### Examples of Positive Checks for All Levels—Version 2

Domain	Behaviors
Program Engagement	Attends whole program group and participates. Completes homework for group. Meets with casework specialist or shift monitor as scheduled. Attends whole program group and provides support for peers. Assists staff in developing or running a group or activity. Engages in action step from Case Plan. Models or supports skill utilization with peers.
Self-Monitoring	Gives report to staff on current emotional or bodily state. Demonstrates self-monitoring of emotional or bodily state during ordinary activity or conversation.
Self-Management	Explains and demonstrates self-management skill to staff (relaxation, imagery, breathing, self-talk, etc.). Uses self-management skill in life (relaxation, imagery, breathing, self-talk, etc.).
Violence & Aggression	Walks away from conflict. Does not fight back when threatened or attacked. Responds to angry person calmly and helpfully. De-escalates interaction between two or more peers. Uses conflict resolution skills.
Thinking Skills	Presents behavioral chain analysis to staff regarding recent behavior problem. Uses formally identified thinking skill in role play. Identifies an instance of criminogenic thinking. Gives thorough example of how thinking skills led to a different behavior than initially contemplated. Identifies potential danger in the facility. Uses a formally identified thinking skill (not role play).
Interpersonal & Social Skills	Starts conversation with stranger or staff. Demonstrates active listening skills. Apologizes for own actions at time of or soon after event. Uses formally identified social skill in role play. Expresses displeasure or hurt without anger or accusation. Responds to accusation or criticism without hostility. Calmly redirects peer who is exhibiting poor social skills. Uses a formally identified social

	skill (not role play). Shows empathy for others who have been harmed.
Social Influences	Has calm conversation with member of rival group. Partners with member of rival group in structured activity (when assigned). Listens to member of rival group. Partners with member of rival group in activity without being assigned. Helps others maintain truce posture between rival gangs.
Family & Community	Makes community contact related to release plan. Has contact with community sponsor or other formal community support. Provides verbal support or encouragement to a family member or community friend.
Substance Abuse	Identifies instance where substance use interfered with life goal or resulted in negative event or outcome. Identifies alternative behaviors or activities to substance use. Engages in alternative behaviors or activities to substance use.
Education & Work	Actively participates in classroom activity. Completes work assignment promptly and without reminder. Does extra work in school or at work. Helps a peer complete a school or work task without being prompted.
Relapse Prevention	Identifies potential relapse triggers in community. Identifies ways to avoid or respond to potential relapse triggers in community. Asks for help in identifying community resources. Identifies community resources.
Living Unit Support	Spontaneously cleans up in common area. Own area clean and tidy at weekly room check. Organizes group action to improve living unit. Notifies staff of living unit safety problem.



# Appendix M

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## Risk Review Board

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## Appendix M

### RISK REVIEW BOARD

*By Bruce C. Gage, M.D., Puget Sound Mental Health  
Board Certified in General and Forensic Psychiatry*

It's important to have a formal process for advancement in levels. For routine level advancements that do not represent a high-risk transition, the treatment team makes the decision. At key risk points, however, a Risk Review Board makes the decision. This panel will provide objectivity and assure fidelity to the Level System.

The Board is responsible for "level" decisions involving participants at the following key risk points:

- Access to campus areas and activities where staff monitoring is not continuous or may be minimal. (Because the program consists of two campuses, this function may be served by local staff, described below, rather than the full Board.)
- Entry into Transition Phase
- Entry into Reentry Phase
- Transfer to community supervision

The Board's authority is limited to three discrete functions. First, it determines whether an individual has in fact met the criteria of the Level System for advancing to the requested level. The Board is the final arbiter of whether the criteria have been met.

Second, the Board determines whether a young man's dynamic risk factors have been reasonably addressed per the case plan. For the first two risk points (campus access and off-campus work), the Board can only direct that the case plan be modified to address areas of dynamic risk the Board finds are an unaddressed source of risk. Such instances require a written directive with an explanation. For the second two risk points (work release and community supervision), the Board can halt the transfer and direct that the case plan be modified to address areas of dynamic risk the Board finds are an unaddressed source of risk. The young man and/or treatment team may come before the Board to review progress every three months, as long as they continue to meet the Level System's requirements for taking the next step.

Third, the Board can recommend program changes, which must be reviewed by the Program Management Team. The Program Director will have final review authority.

If an appeal process is deemed necessary, it should be to a high-ranking CDCR official who is in the Program Director's chain of command but is not his or her immediate supervisor. The CDCR official must have intimate knowledge of the program and must make a decision that preserves fidelity to the Level System and the program in general.

Denials of level advancement based on not meeting the criteria cannot be capricious or based on factors outside the provisions of the Level System except in extenuating circumstances, and then only with authorization of his or her supervisor. With regard to preventing a transfer for failing to address dynamic risk factors, the official may consult an expert on dynamic risk, as this is a judgment call rather than a determination of whether objective behaviors required by the Level System have been met.

The Risk Review Board serves a critically important function in this program. It sits at the nexus between the program, participants, and staff and thus "has its finger on the pulse" of the program. It assures fidelity to the Level System, guides treatment of dynamic risk on a program level, and is responsible for some of the most far-reaching decisions the California Leadership Academy will make.

The Board's nine members include the program director, who serves as chair person, custody supervisor, quality improvement director, education representative, workplace representative, and four treatment supervisors. It's important that they be knowledgeable about static and dynamic risk and the process of behavioral change because their decisions will contemplate these issues.

In terms of decision-making, it's recommended that a single-vote quash can only be exercised by the Program Director. That means no single person can prevent a participant from advancing except the Program Director. In all other cases, a 6-3 supermajority will be necessary for advancement.

When the full Board is not required (for decisions on access to campus areas and activities where staff monitoring is not continuous or may be minimal), the following local staff shall act on the Board's behalf: two treatment supervisors, the highest-ranking custody staff, two casework specialists (rotating), education representative, workplace representative, and two local shift monitors (rotating). The voting should be the same but with no veto, given that the only decision being made involves privileges within the secure perimeter.

This decision-making approach has a variety of advantages. Requiring a super-majority in routine cases rather than a simple majority assures a degree of confidence in Board decisions when defending against criticism. (However, the goal should always be consensus.) A single-vote quash gives too much power to individual Board members and opens the door to abuse of power if one person can block a particular individual, or the whole program, from advancing. Giving the Program Director this power is intended to ensure caution in high-risk cases. The Director position should not be a political appointment; the incumbent needs the freedom to manage without outside influences, even if there are occasional bad outcomes.

# Appendix N

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## Motivating and Measuring Progress

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## Appendix N

# MOTIVATING AND MEASURING PROGRESS

*By Bruce C. Gage, M.D., Puget Sound Mental Health  
Board Certified in General and Forensic Psychiatry*

### Stages of Change

Progress in skill acquisition and improvements in behavior allow participants to advance to higher levels in the program, bringing incremental gains in privileges and fewer restrictions. To track advancement, the program uses a "stages of change" model that recognizes progress is not linear and that change occurs in steps. The model provides a simple framework and language for communicating to the participant and other staff where things stand. (The "stages of change" framework is depicted on the next page.)

In most cases, participants begin with no interest in changing their behavior. While behavior change is possible without their buy-in (by practicing the behavioral techniques of reinforcement and sanction), willing participation is superior in that it strengthens the power of reinforcement and sanction and provides participants with intrinsic reinforcement and sanction. The key step at this point is for the young men to develop goals that they and staff can mutually work towards. This provides a measure of progress and identifies barriers to achieving goals that allow staff to individualize their work with each participant. The "Level System," described below, is the general response set – all participants receive the same responses for the same external behaviors. But the individual work recognizes and focuses on the specific patterns that interfere with each participant achieving his own identified (prosocial) goals.

The California Leadership Academy emphasizes general skill development. Participants are introduced to skills in a classroom setting (cognitive-behavioral therapy) where they also begin to practice those skills through role playing and similar activities. The staff also models these behaviors in all their interactions, as do more advanced participants. When staff identifies instances of individuals using these skills in day-to-day life, the staff reinforces it by immediately rewarding them. The immediate reward can be verbal, but it's essential that there be a proximate tangible reward or privilege to strengthen the power of the reinforcement. Each day, participants must have the potential to earn a reward through a formalized reinforcement system (described in Appendix L).

## Dynamic Risk Domains

The "stages of change" model gives staff a clear picture of the process of change and refinements needed in individual case plans. However, there remains the need to mark progress across a range of relevant dynamic domains<sup>1</sup>.

### Stages of Change<sup>2</sup>

#### 1. Pre-contemplation

- A. No desire to change  
*"I won't"*  
*"I can't"*
- B. The participant's work is goal setting  
*"What are my goals?"*  
*"Is what I am doing moving me towards my goals?"*
- C. The staff's work is creating ambivalence  
*"Is what you are doing getting you towards your goals?"*

#### 2. Contemplation

- A. There may be something I need to consider changing
  - i. Good reasons for and against change
- B. The participant's work is creating a foundation for decision
  - i. Ascertaining whether a course of action is in line with goals
  - ii. Weighing the pros and cons of a course of action
- C. The staff's work is exploring ambivalence
  - i. What are the pros and cons?

#### 3. Preparation/Planning

- A. Not sure how to go about changing  
*"I want to but..."*
- B. The participant's work is making a decision (commitment) to develop new habits and/or avoid old habits
  - i. Specific target(s) identified
  - ii. Specific plan/actions identified
- C. The staff's work is to support and assist in developing plan and help remove obstacles

#### 4. Action

- A. *"I am doing it"*
- B. The participant's work is to undertake the specific plan
  - i. Modifications to plan as needed

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<sup>1</sup> Dynamic risk, as opposed to static risk, can be modified, but there aren't any instruments that reliably identify and track change in dynamic risk. There are established practices, best-practices, and promising practices, but even here most of what we know is based on extrapolation from other settings and types of programs. Harris GT & Rice ME. Progress in violence risk assessment and communication: hypothesis versus evidence. Behav Sci Law 33:128-145 (2015).

<sup>2</sup> DiClemente CC & Velasquez MM. Motivational Interviewing and the Stages of Change. In, (Eds. Miller WR & Rollnick S) Motivational Interviewing: Preparing People for Change. Guilford, New York (2002).

- ii. Practice
- C. The staff's work is to provide reinforcement and encouragement
- 5. Maintenance/relapse**
  - A. *"Is this a habit or am I at risk of relapse?"*
    - i. If a habit, maintained with little support
    - ii. If risk of relapse, cannot maintain with limited support
  - B. The participant's work is determining whether the new behavior pattern is strong enough to be sustained with limited and/or infrequent support
    - i. Practice in unfamiliar and/or risky environments
  - C. The staff's role is to provide support and then withdraw it at the right pace

There are a number of domains where significant behavioral problems preclude advancement to the more risky environments associated with greater privileges. As such, the participant must achieve a degree of progress in all domains before advancing in the Level System. Typically, however, a person will have one or two problem domains, which become the focus of the individual case plan.<sup>3</sup>

These domains can be arranged in a variety of ways. The following example is offered for consideration, though some modification may be necessary.

1. Self-monitoring
  - a. The capacity to observe one's own behavior and internal processes
    - i. A prerequisite for all self-motivated behavior change
2. Aggression and violence
  - a. Instrumental: Done to achieve an end
  - b. Impulsive: Done without thinking
  - c. Emotional: Done out of anger, fear, or other emotion
3. Substance use
  - a. How does the use, abuse, or dependence interfere with goals?
4. Cognitive/thinking skills
  - a. Criminogenic attitudes
  - b. Other dysfunctional beliefs or thinking errors, e.g.
    - i. Catastrophic thinking
    - ii. Perceptual distortion such as paranoia
    - iii. Self-defeating attitudes
    - iv. Need for respect
  - c. Self and situational analysis skills, e.g.
    - i. Understanding the behavior chain (CBT ABCs)
    - ii. Reacting versus responding

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<sup>3</sup> In later years when the program becomes more sophisticated, group interventions may be added that are more focused, allowing participants with certain specific needs to attend groups targeting their needs. However, such specialization is unnecessary and ill-advised in the beginning. It's most important to focus on the core program, which should provide the great majority of benefit.

5. Social influences
  - a. Gang
  - b. Peer group
  - c. Ethnic or other group
6. Family and community
  - a. Supports or lack thereof
  - b. Access to supports
7. Interpersonal and social
  - a. Social skills
  - b. Communication skills
  - c. Interpersonal relations
8. Community supervision
  - a. Response to supervision
  - b. Availability of supervision
9. Education/employment

The first challenge is to identify an individual's domains of high dynamic risk. Several instruments are available for doing this but none have demonstrated great validity. (California's Division of Juvenile Justice uses the YASI, an instrument designed for youth, to help identify areas of focus.)

The next challenge is to establish a mechanism for measuring progress in these domains. This is one purpose of a Level System – to measure change across time. Progress in the Level System should track the "stages of change" model. If we conceptualize completing CLA as having robust skills and exhibiting desired behaviors (or absence of behaviors) in the relevant domains, we can begin to articulate what might be called the program's "ultimate goals."

For instance, in the domain of education/employment, the ultimate goal could be articulated as engaging fully and consistently in work and school. In the domain of criminogenic attitudes, the ultimate goal might be described as displaying prosocial attitudes in all settings and interactions (or nearly all – nobody is perfect) and employing cognitive/thinking approaches that do not incorporate criminogenic thinking.

With regard to the education/employment example, a young man might start with no interest in school or work. He is in pre-contemplation. So the first step is to develop prosocial goals (which will be the first step for almost all domains). Once goals are developed, the work becomes creating ambivalence that involves the young man in discussions about how his behavior is or is not moving him towards his goals. In the case of school/work, this consists of asking whether not engaging in school is helping or hindering his progress and weighing the pros and cons of engaging. Participants who are actively engaging in this process would thus meet the criterion in this domain for progress (from pre-contemplation to contemplation).

Similarly, weighing the pros and cons of holding criminogenic attitudes can be explored. Of course, staff needs to be able to identify criminogenic attitudes and, critically, help



the participant understand what that means and which attitudes "count" as criminogenic – but without judging or criticizing.

Once the participant in this scenario achieves similar progress in the other domains he is ready to advance in the Level System. (See chart below for how this works.)

At the next level, the participant and staff work on preparation, formal planning and early implementation of a plan. It's important that the young man begins to adopt the plan to demonstrate sincerity. But he's not yet in the action stage, which requires a showing of consistent effort, albeit with setbacks expected along the way. Advancing to that stage requires actual performance. With regard to school, this means attendance becomes necessary. For criminogenic attitudes, this means the young man is actually working against his criminogenic attitudes and acting in accordance with prosocial attitudes, though not necessarily consistently. In the final step, he consistently, though not constantly, maintains these behaviors.

One of the most critical transitions in the Level System will involve exposing the young man to work in the community. Participants who are ready for this step will have entered the maintenance phase where they consistently maintain their behavior in all domains.

The question may arise as to whether participants should simply "graduate" when they reach this phase. Here we must emphasize the concept of state-dependent learning. Participants may be able to behave consistently within the structure and under the observation of the program, but there's a heightened risk of relapse in settings with less structure and supervision and where they will encounter a variety of cues they haven't experienced in some time. This can be viewed as a test of whether the new behavior has become habit, or the young man risks relapse. Failure – which at this point can be regularly, but not routinely, expected – provides important information about what the treatment has yet to address. If failure routinely occurs at this point, it's likely the program is not monitoring behavior closely enough to detect problem behaviors, resulting in misidentifying participants as being in the maintenance phase.

In order to incorporate relapse into the Level System, it provides for a limited amount of slippage back to the action phase but only for minor behavioral problems (there is no tolerance for serious problems). That way the participant has a chance to re-establish his effort without having to go back to the secure setting.

### **The Level System**

The reinforcement system focuses on behavior day-to-day. As the young men consistently demonstrate a new behavior across time, the Level System comes into play. Advancement through the Level System takes longer and requires ever more of the participant. This is a substantial break with traditional correctional approaches where the absence of negative behavior is sufficient for advancement. In CLA's approach, both the absence of negative behavior and the presence of positive (replacement) behaviors

are emphasized and both are necessary to advance. Steadily more is asked of participants as they advance. This is a reflection of the greater society and a clear message that continued effort and engagement are required to access privileges and, more importantly, to achieve their own goals.

The Level System must provide powerful incentives. Privileges and rewards have to be strong enough to overcome intrinsic reinforcers in the criminal social milieu, including peer status, criminal or gang status, and the tangible rewards obtained through criminal or antisocial conduct (such as bringing in contraband). If CLA's incentives are not more powerful, the program will be completely ineffective. In this regard, it's well to remember that the formal behavioral definition of reinforcement is something that when applied after a behavior is emitted, increases the likelihood that the behavior will be emitted again in the future. So it doesn't matter whether the staff think something is (or should be) reinforcing. It only matters whether it is *actually* reinforcing.

The Level System also requires that when criteria are met, advancement and removal of privileges are swift and certain. This means the legalistic approach to behavior problems must be curtailed as much as possible. For example, if an individual engages in violence or possesses contraband, his privileges must be immediately limited and any necessary due process component be addressed after the fact.

Sanctions, in most instances, should be built into the Level System rather than individualized. Some individualization and formal sanction through infraction can be incorporated into the program, but the more that is formally and explicitly addressed by the Level System, the better. There are three primary reasons for this. First, it maximizes consistency and fairness by limiting staff discretion when applying sanctions. Second, it takes it out of the moral model of guilt and punishment for individual misdeeds and places it in the learning model that focuses on patterns of behavior, which is consistent with the principles of the program and positive youth development. Third, because it's framed as a failure to earn the privilege rather than a punishment, staff can take the young man's side by offering to help him do what's necessary to earn the privilege (or earn it back). This may appear to be a subtle difference, but when staff are working with participants to help them move forward rather than sanctioning them for misdeeds, it fundamentally changes the relationship between them.

It must be emphasized that this program requires participants to perform and develop new behaviors, not just desist from negative behaviors. Further, both the Reinforcement System and Level System are based on the notion that participants must earn their rewards and privileges by these positive efforts. As will become apparent, desisting from negative behaviors will yield some slight benefit, but the big rewards and privileges require real effort and the actual performance of relevant behaviors. This parallels life in the real world: those who can (which will include all participants in this program) must earn their benefits.

## Examples of How the Level System Would Operate

Two different Level Systems are suggested below. These can be used as foundations for CLA or simply as exemplars. In one example, the use of Motivational Interviewing "stages of change" is the foundational concept. In the other example, the levels are more explicit and quantitative for most domains but highly subjective in others. It uses common behavioral benchmarks such as infractions, program participation, and more qualitative assessments of behavior. The advantage of the latter is simplicity and relative ease of use; the disadvantage is undue specificity in some domains and lack of generality in others, with the risk that important behaviors will not be captured.

### Advancing to Next Level

The criteria must be met consistently in each domain for the required time period at the time of granting the next level. Participants may have mastered some domains prior to program entry. In such cases, the case plan will specify this and the individuals will be presumed to meet level 5 criteria for that domain. However, if subsequent behavior demonstrates lack of mastery, the domain will be re-activated and the level adjusted to the participant's level of mastery for that domain but in such instances nobody shall be placed below level 3 for this reason (see **Level Reduction and Restoration** below for other level reductions). When the Level System speaks to the development of a plan, this may consist of engagement in specific groups or activities, individual work with program staff, or any other reasonable approach as agreed between the participant and the team; this will be incorporated into the case plan (as an addendum if between case planning cycles) or, in the case of the reentry plan, may be a separate document. Plans need not be detailed but should be specific regarding the action steps to be taken. For advancement to Level 4, the participant must have the support of two-thirds of the living unit members, their primary case-worker, and one night shift and one morning shift staff. Once the participant has garnered this support, the facility Risk Review must authorize the level advancement.

### Level Reduction and Restoration

There are three reasons for level reduction: failure to meet criteria, interpersonal violence, and infractions. Failure to meet level criteria for two consecutive weeks or three weeks in any three-month period leads to loss of one level. Interpersonal violence leads to reduction to level one. Major infractions other than those involving interpersonal violence lead to loss of two levels. Three minor infractions in any one-month period lead to loss of one level.

Level restoration is treated differently depending on the reason for loss of level. For interpersonal violence or major infractions, all criteria must be met for the specified time frames just as if the participant were entering the program anew. For loss of level due to failure to meet criteria or minor infractions, level advancement requires that the criteria be met for half the time normally required.

Interpersonal violence, possession of weapons or weaponized items, and possession of drugs or alcohol result in immediate loss of level. If the young man is found at a hearing not to have committed the act, his level is restored. But if the hearing does not determine that the act was not committed, the loss of level stands. For any other infraction, it is the outcome of the hearing that determines whether or not there will be a corresponding level reduction.

Note that hearing officers may impose sanctions related to the infraction. While such sanctions will be imposed, they have no impact on the level though the hearing officer may temporarily suspend a particular level privilege or privileges for a period not to exceed two weeks.

### **Transition Phase**

Once a CLA participant has maintained level 5 for one month, he may apply for the Transition Phase. The criteria for him being accepted into Transition are as follows:

- He's recommended by his unit team, which must include his case-worker.
- He's recommended for Transition by his job supervisor or, if he has no job supervisor, by two teachers.
- The youth counsel interviews him and, by a two-thirds majority, supports his entry into Transition.
- The Risk Review Board supports his entry into Transition after presentation by his treatment team, review of the record, and interviewing him.

During the Transition Phase, the participant must maintain Level 5 criteria. Case Plans may be simplified and participation in youth counsel may be limited or suspended to accommodate volunteer, voc/ed, or work hours and schedules. But participants are expected to continue in treatment and off-unit activities. In short, they are expected to remain active members of the community to the maximum extent possible.

After one month of regular participation in volunteer, voc/ed, or work, participants qualify for structured community outings.

Participants are removed from the Transition Phase if they fail to meet Level 5 criteria or are terminated from their position in the community for lack of performance.

## **Reentry Phase**

Once a participant has maintained level 5 for three months and has been in Transition for two months, he may apply for the Reentry Phase. The criteria for him being accepted into Reentry are as follows:

- He's functioned as a peer orientation mentor for three participants.
- He's been on at least one structured community outing.
- He's recommended by his unit team, which must include his case-worker.
- He's recommended for Reentry Phase by his job supervisor or, if he has no job supervisor, by two teachers.
- The youth counsel interviews him and, by a two-thirds majority, supports his entry into Reentry.
- The Risk Review Board supports his entry into Reentry after presentation by his treatment team, review of the record, and interviewing him.

*Examples of Level Criteria—Version 1*

	ma	Self-Monitoring	Violence & Aggression	Thinking Skills	Interpersonal & Social Skills	Social Influences	Family and Community	Substance Abuse	Education & Work	Reentry Planning	RS
Level 1 One week	Attends orientation	No expectation	No interpersonal violence	Identifies long term prosocial goal(s)	Introduces self to living unit peers	Responds to whether gang-involved or associates with antisocial peers	No expectation	Negative random UA	Completes intake assessment	Completes intake assessment	No expectation
Level 2 Two weeks	Attends more than 50% of groups	Weights pros and cons of learning self-monitoring	Weights pros and cons of engaging in violence and aggression	Weights pros and cons of developing thinking skills	Weights pros and cons of developing interpersonal & social skills	Weights pros and cons of affiliation with antisocial peers	Weights pros and cons of engaging family/community	Weights pros and cons of continuing substance abuse (if relevant)	Weights pros and cons of engaging in school or work	Weights pros and cons of developing reentry plan to reduce risk	Earns at least one daily incentive each week.
Level 3 One month	Attends more than 90% of groups and participates when asked.	With staff assistance, develops and initiates plan to develop self-monitoring and starts process	With staff assistance, develops and initiates plan for addressing violence & aggression	With staff assistance, develops and initiates plan to develop thinking skills	With staff assistance, develops and initiates plan to develop interpersonal & social skills	With staff assistance, develops and initiates plan to limit involvement with antisocial peers	With staff assistance, develops and initiates plan to engage family/community	With staff assistance, develops and initiates plan to discontinue substance abuse	Attends school more than 75% of scheduled hours or of on unit (or other) job.	With staff assistance, develops and initiates work on reentry plan	Earns at least two daily incentives each week.
Level 4 Two months	Attends more than 95% of groups and actively participates	Shows periodic use of self-monitoring skills on unit and in meetings with staff and gives examples of use in daily life. More often than not able to accurately report own actions.	No threats to harm others and avoids or leaves situations of potential violence and aggression.	Shows periodic use of thinking skills on unit and in meetings with staff and gives examples of use in daily life that are consistent with reports of others. Understands criminogenic thinking.	Shows periodic use of interpersonal & social skills on unit and in meetings with staff and gives examples of use in daily life that are consistent with reports of others. Avoids name-calling and other insulting language.	Interacts with others regardless of race, ethnicity, or group affiliation. Does not engage in gang-related action.	Regular and appropriate contact with family/community. Works to resolve problem relationships.	Shows awareness of own substance abuse. Discusses alternative strategies or behaviors.	Attends school 90% of scheduled hours or off unit job. Teachers or employers report positive effort most of the time.	Refines reentry plan. Meets with (potential) community resources.	Earns at least three daily incentives each week

Level 5 Three months	Attends more than 95% of groups, actively participates, & supports others' efforts	Consistent in use of self-monitoring skills and accurately reports on own actions.	De-escalates situations using skills. Role model for non-violent conflict resolution.	Consistently uses chain analysis and other problem solving skills. Does not demonstrate criminogenic thinking.	Consistently supports others.	No gang involvement. Affiliates with prosocial peers but also interacts with all youth.	Actively developing community and family relationships as appropriate. Includes them in relapse planning.	Develops substance abuse relapse plan.	Attends school 95% of scheduled hours or does off unit job. Teachers or employers report positive effort almost all the time.	In regular contact with community resources.	Earns at least four daily incentives each week.
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### Examples of Privileges

Privileges are cumulative (i.e., lower level privileges are retained as youth advance).

Pre-level	Unit Activities Earned RS incentives, school, program groups, recreation time.	Belongings in Room Minimum. This shall include voc/ed materials unless removed for safety/security reasons. Earned RS incentives.	Canteen Health/hygiene items only. \$10/wk	Off-Unit Activities Voc/ed during daytime hours, appointments.	Unescorted Movement 16-bed unit.
Level 1	30 minutes of game room (program room) per week.	Two extra health/hygiene items.	Health/hygiene items only. \$15/wk	No additional.	No additional.
Level 2	30 minutes of game room (program room) twice per week. On unit job.	Radio. May keep commissary food in room. Additional clothing.	All items. \$20/wk	No additional.	Full access to 32-bed pod.
Level 3	Unit incentive activities. Unit responsibilities (e.g. kitchen or program room clean-up)	Music player	All items. \$30/wk	Off unit job. Off unit voc/ed activities after normal school hours. Structured and supervised leisure activities. May be appointed as unit representative to youth counsel.	To and from job or voc/ed at designated movement times.
Level 4	Qualifies to be an assistant facilitator in daily circle meetings.	Television	All items. \$50/wk	Level 4/5 incentive activities. Scheduled but unstructured activities. Qualifies for unit representative to youth counsel (each unit may have two).	To and from structured activities and scheduled unstructured activities.
Level 5	Qualifies to be a peer orientation mentor.	Game console	No additional.	Qualifies for youth counsel office.	Full grounds during designated times.

## Examples Level Criteria—Version 2

	Program Engagement	Skill Development	Program Behavior	Case Plan	Education & Work	RS
Level 1 One week	Attends orientation	Introduces self	No interpersonal violence	Attends Case Planning conference. Identifies prosocial goal(s).	Completes intake assessment	No expectation
Level 2 Two weeks	Attends more than 50% of groups	Weights pros and cons of developing skills.	Maintains own living area. Does not threaten others.	Acknowledges that action is necessary for change and knows current action steps. Acknowledges need for reentry plan.	Weights pros and cons of engaging in school or work	Earns at least one daily incentive each week.
Level 3 One month	Attends more than 90% of groups and participates when asked.	With staff assistance as needed, develops plan to work on specific skills.	Interactions with others are civil and polite.	Engages in action steps with staff encouragement. Begins to discuss reentry plan.	Attends school more than 75% of scheduled hours or of on unit (or other) job.	Earns at least two daily incentives each week.
Level 4 Two months	Attends more than 95% of groups and actively participates	Uses skills in all domains in role playing and intermittently in natural settings.	Engages in activities with all youth. Takes on unit responsibilities.	Engages in action steps without prompting. Participates in the development of action steps and reentry plan.	Attends school 90% of scheduled hours or off unit job. Teachers or employers report positive effort most of the time.	Earns at least three daily incentives each week
Level 5 Three months	Attends more than 95% of groups, actively participates, & supports others' efforts	Consistently uses skills in all domains.	Supports the positive efforts of other youth. Active participant in program governance. Takes on program responsibilities such as circle facilitator or level 4/5 activity coordinator.	Actively working on reentry plan.	Attends school 95% of scheduled hours or does off unit job. Teachers or employers report positive effort almost all the time.	Earns at least four daily incentives each week.



# Appendix O

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## Individualized Treatment

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## Appendix O

### INDIVIDUALIZED TREATMENT

*By Bruce C. Gage, M.D., Puget Sound Mental Health  
Board Certified in General and Forensic Psychiatry*

Some degree of individualization is necessary to help the CLA participant with his most challenging domains. In order to do this, it's very helpful to have some understanding of what's driving the problem. Take the example of violence and aggression. The causes of violence and aggression are wide-ranging and can include instrumental purposes (violence designed to achieve an end), impulse dyscontrol (which itself may be due to biological problems such as ADHD, traumatic brain injury, or personality styles), emotional dysregulation (which can also have multiple causes), self-defense (which may be real or imagined), and many others.

While the general skills taught in the FFM and/or CBT groups and reinforced through the behavioral system have broad applicability, focused intervention will often be necessary when a participant is unable to take advantage of these. Each program participant will have an individualized plan that addresses these challenging issues within a domain. Subsequent work with the case work specialist and assigned line staff will focus on further characterizing these problems and reinforcing the particular skills necessary to address the issue.

For instance, a young man may have such distrust of male authority figures that any direction or sense of being criticized or disrespected by a male staff member is met with a profoundly hostile, and potentially violent, reaction. Let us say this person was terribly abused by his father, and this is the source of his reactions. We would not expect the case manager to explore this psychological trauma in-depth but it is possible for her to help the young man begin to see the pattern and perhaps connect it with his past (although that is not critical). Then the staff can more carefully and specifically help him examine his beliefs and thinking errors. At this point, the focus would shift to reinforcing particular skills. The participant needs to be able to check his perception of what's really going on by asking staff why they are giving him an instruction, and then negotiating a solution, which must generally include an ultimate and reasonably prompt response. Sometimes it may result in the staff member modifying or rephrasing the instruction.

When a participant reaches the maintenance phase and consistently practices his skills, and he's engaged in prosocial activities and abstaining from antisocial conduct, he'll be at the highest level in the system. But the question remains whether he's susceptible to relapse or whether the new behavior patterns have become his habit, his new normal. Transferring acquired behaviors from CLA's structured setting, with its robust and frequent support and reinforcement, to less-structured settings providing less support is by no means guaranteed. As participants move to less restrictive and less supportive

settings, they may relapse. That's to be expected and embraced. It's seen as only a setback, but it raises the question: What did we miss?

The way the young man relapsed, the path to relapse, is essential to understand as it becomes the new focus of treatment. Take substance use as an example. Participants may be able to abstain within the facility not because of lack of opportunity but because they wish to gain the greater privileges. But when they get to a less-restrictive setting, they use. One person may use because he thinks with less supervision he can "get away with it." This implicates criminogenic thinking and leads to a clear focus of treatment. Another person may use because when he gets to the less-structured setting he becomes anxious and uncertain of himself and his future and begins to imagine catastrophic failure; he uses to escape the anxiety and dysphoria. The approach in his case would be to focus on cognitive/thinking skills to address his catastrophic thinking, and self-monitoring and self-management skills to help him recognize and reduce his anxiety.

# Appendix P

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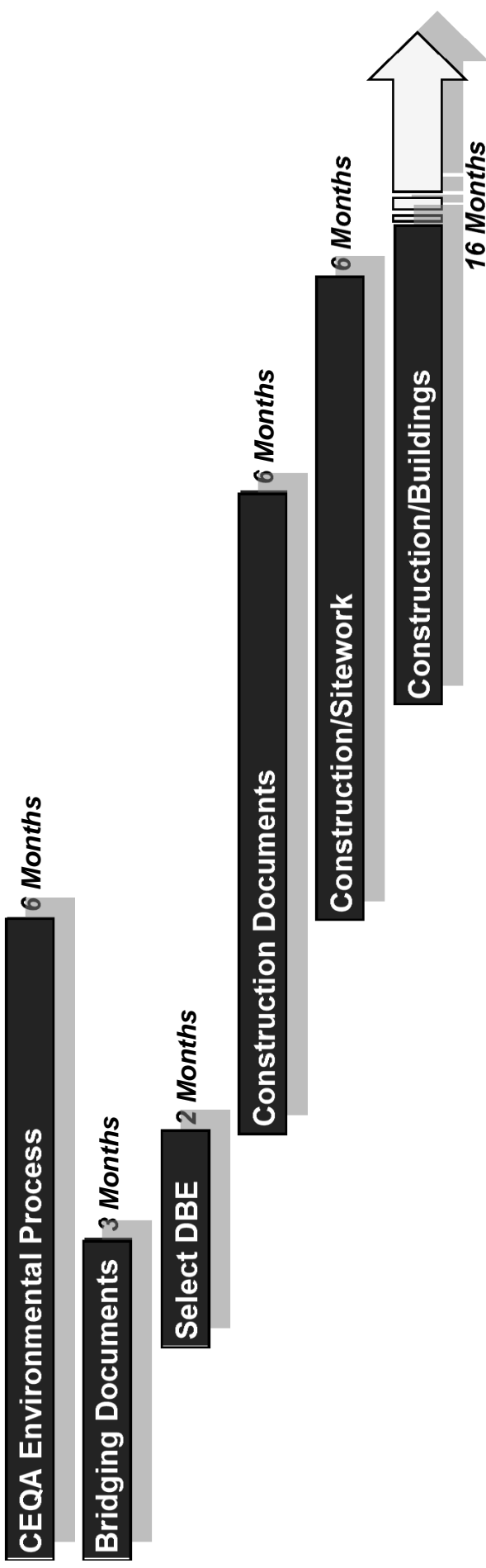
## California Leadership Academy Schedule

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# California Leadership Academy Schedule


## Design/Build




**18 Months Total Construction**  
**24 Months Total Duration**

## Notes:

- CEQA- California Environmental Quality Act
- Bridging Documents - Criteria Plans for DBE
- DBE- Design Build Entity (Architect of Record and General Contractor)

<div><div></div><div>California Department of Corrections and Rehabilitation</div></div> <div>Title: California Leadership Academy</div> <div>Location: Norwalk, CA</div> <div>Date: February 25, 2016</div>					
No	Description	Quantity	Unit Cost	Line Total	Group Total
1	SITWORK				\$12,149,979
	Site Demolition	See sitework estimate		\$662,602	
	Building Demolition	See sitework estimate		\$2,413,970	
	Earthwork	See sitework estimate		\$878,160	
	Utilities	See sitework estimate		\$4,160,967	
	Fencing and Gates	See sitework estimate		\$839,993	
	Hardscaping (Roads, Parking, Walkways)	See sitework estimate		\$1,644,242	
	Landscaping	See sitework estimate		\$949,254	
	Athletic Field	See sitework estimate		\$351,246	
	Refurbish Swimming Pool	See sitework estimate		\$108,776	
	Miscellaneous	See sitework estimate		\$140,769	
2	RENOVATION OF EXISTING BUILDINGS	39,500 sf			\$6,399,900
	Gymnasium (1979)	10,600 sf	\$154.00	\$1,632,400	
	Warehouse (1954)	11,600 sf	\$150.00	\$1,740,000	
	Education (1953)	11,600 sf	\$175.00	\$2,030,000	
	Recreation (1953)	5,700 sf	\$175.00	\$997,500	
3	NEW BUILDINGS	132,500 sf			\$33,420,000
	Housing Units	88,000 sf	\$264.00	\$23,232,000	
	Administration Building	23,000 sf	\$234.00	\$5,382,000	
	Vocational Education	10,000 sf	\$214.00	\$2,140,000	
	Maintenance Building	3,500 sf	\$184.00	\$644,000	
	Kitchen (Excludes Kitchen Equipment)	6,000 sf	\$259.00	\$1,554,000	
	Family Visiting	2,000 sf	\$234.00	\$468,000	
4	DESIGN & DEVELOPMENT COSTS				\$3,897,741
	Design, Preconstruction & Contingency	7.50%		\$3,897,741	
	Developer Fee and Construction Interest	Excluded		\$0	
Total Hard Costs		172,000 sf			\$55,867,620
5	FF&E Costs				\$650,000
	General FF&E - By Others	Excluded		\$0	
	Kitchen Equipment	Allowance		\$250,000	
	Vocational Equipment	Allowance		\$100,000	
	Site Furnishings	Allowance		\$100,000	
	Athletic Equipment	Allowance		\$200,000	
6	Consultant Costs				\$5,111,887
	Bridging Documents - % of Hard Costs	2.00%		\$1,117,352	
	Project Management - DJJ Agency Cost - % of Hard Costs	3.00%		\$1,676,029	
	Construction Management - % of Hard Costs	3.00%		\$1,676,029	
	Specialty Consultants - Design - % of Hard Costs	0.45%		\$251,404	
	Specialty Consultants - Construction - % of Hard Costs	0.45%		\$251,404	
	Materials Testing - % of Hard Costs	0.10%		\$55,868	
	Legal Fees - % of Hard Costs	0.15%		\$83,801	
7	Development Costs				\$810,080
	Agency Plancheck - % of Hard Costs	0.65%		\$363,140	
	Agency Inspection - % of Hard Costs	0.80%		\$446,941	
	Offsite Improvements - Required by AHJ	Excluded		\$0	
	Utility Engineering and Construction	Excluded		\$0	
Total Soft Costs					\$6,571,968
8	Escalation				
	Escalation Contingency - % of Total Costs - July 1, 2016	1.50%		\$936,594	
Total Estimated Costs					\$63,376,181



<div><div></div><div><div>California Department of Corrections and Rehabilitation</div><div>Title: California Leadership Academy</div><div>Location: Stockton, CA</div><div>Date: February 25, 2016</div></div></div>					
No	Description	Quantity	Unit Cost	Line Total	Group Total
1	SITWORK				\$10,561,738
	Site Demolition	See sitework estimate		\$44,359	
	Earthwork	See sitework estimate		\$825,331	
	Utilities	See sitework estimate		\$3,991,682	
	Fencing and Gates	See sitework estimate		\$1,085,650	
	Hardscaping (Roads, Parking, Walkways)	See sitework estimate		\$2,335,476	
	Landscaping	See sitework estimate		\$1,601,845	
	Athletic Field	See sitework estimate		\$347,868	
	Miscellaneous	See sitework estimate		\$329,526	
2	NEW BUILDINGS	166,000 sf			\$39,879,000
	Housing Units	88,000 sf	\$262.00	\$23,056,000	
	Administration Building	23,000 sf	\$232.00	\$5,336,000	
	Vocational Education	10,000 sf	\$212.00	\$2,120,000	
	Maintenance Building	3,500 sf	\$182.00	\$637,000	
	Family Visiting	2,000 sf	\$232.00	\$464,000	
	Gymnasium	10,600 sf	\$202.00	\$2,141,200	
	Warehouse	11,600 sf	\$182.00	\$2,111,200	
	Education	11,600 sf	\$232.00	\$2,691,200	
	Recreation	5,700 sf	\$232.00	\$1,322,400	
3	DESIGN & DEVELOPMENT COSTS				\$3,783,055
	Design, Preconstruction & Contingency	7.50%		\$3,783,055	
	Developer Fee and Construction Interest	Excluded		\$0	
Total Hard Costs		166,000 sf			\$54,223,794
4	FF&E Costs				\$400,000
	General FF&E - By Others	Excluded		\$0	
	Vocational Equipment	Allowance		\$100,000	
	Site Furnishings	Allowance		\$100,000	
	Athletic Equipment	Allowance		\$200,000	
5	Consultant Costs				\$4,690,358
	Bridging Documents - % of Hard Costs	1.50%		\$813,357	
	Project Management - DJJ Agency Cost - % of Hard Costs	3.00%		\$1,626,714	
	Construction Management - % of Hard Costs	3.00%		\$1,626,714	
	Specialty Consultants - Design - % of Hard Costs	0.45%		\$244,007	
	Specialty Consultants - Construction - % of Hard Costs	0.45%		\$244,007	
	Materials Testing - % of Hard Costs	0.10%		\$54,224	
	Legal Fees - % of Hard Costs	0.15%		\$81,336	
6	Development Costs				\$786,245
	Agency Plancheck - % of Hard Costs	0.65%		\$352,455	
	Agency Inspection - % of Hard Costs	0.80%		\$433,790	
	Offsite Improvements - Required by AHJ	Excluded		\$0	
	Utility Engineering and Construction	Excluded		\$0	
Total Soft Costs					\$5,876,603
7	Escalation				
	Escalation Contingency - % of Total Costs - July 1, 2016	1.50%		\$901,506	
Total Estimated Costs					\$61,001,903



# Appendix Q

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## Budget and Staffing

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## Appendix Q

### BUDGET AND STAFFING

We prepared the budgets and staffing proposals displayed on the following pages based on the assumption of 16-person dorms totaling 256 participants at each pilot campus. Since personnel costs are usually the largest component of the budget, we began by identifying the staffing needs of the pilot campuses.

We used the Division of Juvenile Justice's (DJJ) staffing model as the starting point for our analysis. The population at DJJ's facilities generally ranges between 170 and 235, which is roughly comparable to the proposed pilot campus population. We then made adjustments to the DJJ staffing model to account for differences in program design and tailored it to the needs of the pilot campuses. Some of the more significant adjustments include the following:

- In CLA, uniformed custody staff is responsible for perimeter security only. DJJ facilities employ uniformed custody staff, called Youth Correctional Officers (YCOs), to fill perimeter security "posts" on a 24/7 basis. The facilities also use YCOs for interior security such as patrolling, conducting searches, and escorting youth to and from schools and work assignments outside their living units. The pilot campuses will use YCOs to staff the perimeter security posts. Each shift also has a small team of YCOs for "search and escort" duties, which is expected to be on a very limited basis as program participants in general are free to move throughout the campus.
- The pilot campuses have no specialty units. DJJ facilities have specialty housing units to accommodate the needs of a diverse population, including mental health units, intensive behavior treatment program units, and sexual behavior treatment program units. By design, these specialty units require mental health clinicians to deliver treatment and services in addition to those provided by the housing unit staff. For each pilot campus, we allocated half a psychologist position for assessment and diagnostic services only.
- The pilot campuses have no need for full-time medical or dental personnel, except for nursing staff that will be available on a 24/7 basis to identify and triage medical needs and provide basic medical services. All other medical and dental services will be contracted out to private providers. Based on community standards, the size of the pilot campus populations does not warrant other medical personnel on a full-time basis.
- The pilot campus dorms have enriched staffing levels to provide greater capacity for mentoring, coaching, counseling, and delivery of needed treatment and services. For each 16-person dorm, one staff member with at least a bachelor's

degree is available during the shift from 6:00 am to 2:00 pm since most program participants are expected to be in school or working. From 12:00 am to 8:00 pm, which is the timeframe during which most counseling and treatment activities are expected to occur, three staff members are assigned to each 16-person dorm units. One of the three staff members is the lead person with at least a master's degree in social work, psychology, or equivalent discipline.<sup>1</sup> The other two staff members will have at least a bachelor's degree. In addition, an education advisor is assigned to each dorm to collaborate with other staff in the unit to identify and address each participant's education and treatment needs as a team. In comparison, at DJJ's "core" units, which house youth without special needs, the staffing ratio is two staff members for every 36 youth during the morning shift and three staff members for every 36 youth during the afternoon shift. During the 10:00 pm to 6:00 am shift, the pilot campuses have a ratio of one staff member to 32 participants, compared to DJJ living units where there's a ratio of one staff member to 36 participants.

We placed heavy emphasis on career counseling and reentry planning. Each pilot campus has three Career Counselor/Reentry Coordinators, who serve as team leaders in planning and monitoring each program participant's reentry progress from day one. In addition, under the education program, the budget provided for an advocate for every two pods (a total of eight) who serves as the primary liaison for students for ongoing support and communication with pod and program staff, and to support students as they prepare for and transition home.

In addition, we envision a flattened organization structure to facilitate communication between staff and managers and to minimize unnecessary or duplicative supervisory oversight functions and activities. For example, there is only one layer of supervision (Supervisory Social Worker) between the top administrator of the pilot campus (Program Administrator) and the line staff (Social Worker) working at the dorms. A similar reporting structure exists for most activities and functions in the pilot campus.

Whenever possible, we used current state civil service classifications to calculate salaries for the proposed positions. For those functions where we cannot identify appropriate state classifications, we estimated the salary range based on qualification requirements for the proposed positions.

If our recommendation is adopted to operate the campuses with a private non-profit entity or entities, we anticipate the salaries generally will be lower than our estimates. However, since we have no objective means to quantify the variance, we used state salaries and applied a 35 percent fringe benefit rate to develop this budget.

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<sup>1</sup> Staff who work during the 12:00 am to 8:00 pm shift are expected to maintain a flexible schedule to provide coverage from 8:00 pm to 10:00 pm. It should be noted that there is an overlap for the staff member on the 6:00 am to 2:00 pm shift to provide sufficient coverage.

For comparison purposes, we also developed a personnel budget using state employees. In this case, with the exception of the education positions, we applied a 56 percent fringe benefit rate, which is the rate DJJ uses. For the education positions, we applied a 35 percent fringe benefit rate after analyzing rates used by nearby school districts.

We used our best estimates for various line items of operating expenses, based on such costs at DJJ facilities, to arrive at a total budget for each campus with the following emphasis:

- We strongly believe training is critical to the success of CLA. The program start-up budget contains \$500,000 for each pilot campus to contract for outside training, mentoring, and coaching services. Another \$105,000 is provided in the annual budget to train new staff and to meet new training needs. We believe these amounts could be augmented through contribution from private sources if necessary. It is envisioned that, over time, some staff members will acquire the necessary skill and expertise to serve as trainers, mentors, and coaches to new staff members and other staff members in selected areas. Examples of staff training needs include Motivational Interviewing, trauma-focused CBT, therapy curriculum, reinforcement system, and milieu management.
- We allocated \$150,000 for stipends to formerly incarcerated individuals to serve as community mentors and role models for program participants.
- We set aside \$50,000 to reimburse CDCR and the county probation departments for having parole agents and probation officers involved in planning and monitoring each program participant's reentry plan prior to his release to facilitate a seamless transition back to the community.
- We budgeted \$300,000 for CLA to contract for outcome evaluation and cost-benefit analyses. As part of the outcome evaluation, the contractor will identify interim outcome measures, collect and evaluate data, and periodically report on each pilot campus' progress in achieving the identified interim outcome measures.
- We significantly enhanced the feeding budget, by 50 percent above DJJ's budget allotment, to provide opportunities for program participants to engage in food planning and preparation in their kitchen during weekends and special events. Cooking is one of the basic adult life skills through which the program participants will assume responsibilities for interacting with each other to plan a menu, establish a budget, acquire the products, and prepare and serve food.

## Projected Budget — First-Year

### Using Private Non-Profit Personnel

	Non-Education	Education	Total
Personal Services	\$20,205,450	\$3,280,000	\$23,485,450
Operating Expenses	4,139,500	1,535,000	5,674,500
Sub-Total	24,344,950	4,815,000	29,159,950
Revenues		(2,473,000)	(2,473,000)
<b>Total</b>	<b>\$24,344,950</b>	<b>\$2,342,000</b>	<b>\$26,686,950</b>
<b>Cost Per Capita</b> (\$26,686,950 ÷ 256 participants)			<b>\$104,246</b>

### Using State Personnel

	Non-Education	Education	Total
Personal Services	\$23,976,520	\$3,280,000	\$27,256,520
Operating Expenses	4,139,500	1,535,000	5,674,500
Sub-Total	28,116,020	4,815,000	32,931,020
Revenues		(2,473,000)	(2,473,000)
<b>Total</b>	<b>\$28,116,020</b>	<b>\$2,342,000</b>	<b>\$30,458,020</b>
<b>Cost Per Capita</b> (\$30,458,020 ÷ 256 participants)			<b>\$118,976</b>



## Estimated Start-Up Costs

(see budgeting assumptions on next page)

### Total Excluding Education

Cost Category	Amount	Comment
Salaries (Administrators)	\$138,500	Program Administrator, Executive Secretary, computer support, and Personnel Supervisor for six months
Salaries (Support)	122,000	Procurement, Building Trades, and other Supervisor positions for three months
Salaries (Security)	22,500	Lieutenant for three months
Salaries (Living Unit Supervision)	495,750	One Supervising Clinician, three Lead Clinicians, and six Supervisor Social Workers for three months
Salaries (Non-Living Unit)	413,640	All non-living unit staff will start one month before activation
Salaries (Living Units)	134,400	Two of six housing units will be fully staffed one month before activation
Total Salaries	1,326,790	
Fringe Benefits (56%)	743,002	
Workers Compensation	50,640	
<b>Total Personnel Costs</b>	<b>2,120,432</b>	
Supplies	40,200	
Training	500,000	
Inventory	487,875	
Group II Equipment	2,067,333	
<b>Total Operating Expenses</b>	<b>3,095,408</b>	
<b>Total</b>	<b>\$5,215,840</b>	

## Estimated Start-Up Costs - continued

### Education Only

Cost Category	Amount	Comment
Salaries	\$151,834	Principal, Office Manager, Director of Finance, Dean of Students, Volunteer/Outreach Coordinator, Advocate/Behavior Specialist
Fringe Benefits	53,142	Based on 35% of salaries
<b>Total Personnel Costs</b>	<b>204,976</b>	
Technology	153,000	Interactive Smartboard, wireless access infrastructure
Furnishing	27,340	Library furniture, office furniture
Student Supplies	234,459	Fabrication center, art ceramics, sound and digital engineering, others (virtual welding, carpentry, plumbing)
General Expenses	4,100	
<b>Total Operating Expenses</b>	<b>418,899</b>	
<b>Total</b>	<b>\$623,875</b>	

The program's estimated start-up costs are based on the following assumptions:

- Certain key administrative, managerial, and support staff will start three to six months before CLA is activated to organize it, develop key policies and procedures, and hire staff.
- All staff except for living units will be hired one month before CLA's activation to get training and familiarity with CLA's purpose, mission, policies, procedures, and protocols.
- Two of the six living units will be fully staffed one month before CLA activation to attend training.
- Staff members of the other living units will be hired one month before activation of the living unit. Given that staff will be hired on a flow basis throughout the first year, we anticipate CLA will achieve substantial, but unquantifiable, salary savings that partially offset start-up costs.

We used our best estimate for various line items of operating expenses based on such costs at DJJ facilities. We intentionally provided for a more enriched training budget (roughly 500 percent of the annual training budget) to enable CLA to contract for training services during the start-up period and throughout the first year as new living units are activated.

## Projected Annual Expenditures — Excluding Education (211 Staff Positions)

<b>Personal Services</b>	
Salaries and Wages	\$14,967,000
Fringe Benefits	8,381,520
Workers Compensation	628,000
<b>Total Personal Services</b>	<b>23,976,520</b>
<b>Operating Expenses</b>	
General Expenses	146,000
Printing	44,000
Communications	80,000
Postage	9,500
Insurance	7,000
Travel	60,000
Training	105,000
Facilities Operation	225,000
Waste Removal	45,000
Utilities	600,000
Professional Services – Medical	316,000
Professional Services – Outcome Evaluation	300,000
Professional Services – Others	15,000
Parole/Probation Reimbursement	50,000
Information Technology	20,000
Uniform Allowance	25,000
Feeding	934,000
Volunteer/Program Incentive	150,000
Subsistence and Personal Care	644,000
Subsistence and Personal Care – Medical	364,000
<b>Total Operating Expenses</b>	<b>4,139,500</b>
<b>Total Projected Expenditures</b>	<b>\$28,116,0280</b>

## Projected Annual Expenditures — Education (38 Staff Positions)

<b>Personal Services</b>	
Salaries and Wages	\$2,427,000
Fringe Benefits	853,000
<b>Total Personal Services</b>	<b>3,280,000</b>
<b>Operating Expenses</b>	
Furniture	60,000 <sup>2</sup>
Technology	90,000 <sup>3</sup>
Office Supplies	74,000
Occupancy Expenses	58,000
Textbooks	239,000
Student Supplies for Design Labs	95,000
Student Assessment Materials	15,000
Student Outing/Exposure Activities	19,000
Student – Athletic Related	26,000
Student – Transportation	25,000
Saturday Enrichment	159,000
Afternoon Enrichment	403,000
Student Stipend	230,000
<b>Total Operating Expenses</b>	<b>1,535,000</b>
<b>Total Projected Expenses</b>	<b>\$4,815,000</b>
<b>Projected Revenues</b>	
Charter School/LEA Funding	\$1,728,000
Federal Funding	113,000
State/Local Funding	78,000
Pell Grant Offset	554,000
<b>Total Projected Revenues</b>	<b>\$2,473,000</b>

<sup>2</sup> For first year only; estimated replacement cost for subsequent years is \$10,000 per year.

<sup>3</sup> For first year only; estimated replacement cost for subsequent years is \$4,000 per year.

**Total Net Expenditures<sup>4</sup>****\$2,342,000****Staffing Proposal — Excluding Education****(256 participants; 16 participants per pod; 16 pods per facility)**

Count	Salary <sup>5</sup>	State Classification <sup>6</sup>	Comments
<b>Management</b>			
1.00	\$108,000	Program Administrator	
1.00	43,000	Executive Secretary	
<b>2.00</b>	<b>\$151,000</b>	<b>Total Management Staff</b>	
<b>Administrative Services</b>			
1.00	\$62,000	Associate Governmental Program Analyst	
1.00	72,000	Computer Technical Support	
1.00	33,000	Office Assistant	
<b>3.00</b>	<b>\$161,000</b>	<b>Total Administrative Services Staff</b>	
<b>Personnel</b>			
1.00	\$54,000	Personnel Supervisor	
1.50	68,000	Personnel Specialist	
1.00	38,000	Office Technician	
<b>3.50</b>	<b>\$160,000</b>	<b>Total Personnel Staff</b>	
<b>Business Office</b>			
1.00	\$45,000	Property Controller I	
1.00	62,000	Associate Government Program Analyst	
1.00	65,000	Procurement and Services Officer II	
<b>3.00</b>	<b>\$172,000</b>	<b>Total Business Office Staff</b>	
<b>Religion</b>			
2	\$116,000	Religious Leader	Four half-time positions
<b>2</b>	<b>\$116,000</b>	<b>Total Religion Staff</b>	
<b>Plant Operations</b>			
1.00	\$38,000	Office Technician	

<sup>4</sup> Total does not include one-time planning and start-up costs, estimated to be \$624,000.

<sup>5</sup> Salary based on current state civil services classification. Budget assumes non-profit organization will apply comparable salary structure but with reduced fringe benefits (35% instead of 56%).

<sup>6</sup> Staffing model was developed using state civil service classifications except where no comparable classification was identified. A non-profit organization is expected to use different titles for some classifications.

1.00	63,000	Supervisor of Building Trades	
1.00	56,000	Maintenance Mechanic	
1.00	51,000	Electronics Technician	
1.00	53,000	Locksmith	
1.00	43,000	Lead Groundskeeper	
1.00	70,000	Stationary Engineer	
1.00	56,000	Painter II	
<b>8.00</b>	<b>\$430,000</b>	<b>Total Plant Operations Staff</b>	
<b>Warehouse</b>			
1.00	\$49,000	Materials & Stores Supervisor II	
1.00	44,000	Materials & Stores Supervisor I	Laundry
3.40	148,000	Materials & Stores Supervisor I	Food Delivery
<b>5.40</b>	<b>\$241,000</b>	<b>Total Warehouse Staff</b>	
<b>Security</b>			
1.00	\$90,000	Lieutenant	1 per campus
5.01	401,000	Sergeants	1 per watch shift
8.25		Youth Correctional Officer 1st Watch	1 Control Officer, 1 Perimeter Patrol, 3-member Search & Escort Team
14.96		Youth Correctional Officer 2nd Watch	1 Control Officer, 1 Perimeter Patrol, 4-member Search & Escort Team, 1 community liaison, transportation
9.90		Youth Correctional Officer 3rd Watch	1 Control Officer, 1 Perimeter Patrol, 4-member Search & Escort Team
33.11	2,370,676	Total Youth Correctional Officers	
<b>39.12</b>	<b>\$2,861,676</b>	<b>Total Security Staff</b>	
<b>Living Units</b>			
1.00	\$87,000	Supervising Clinician	State classification not identified. Minimum education required: Master's Degree (social work, psychology, other equivalent)
8.00	632,000	Lead Clinician	State classification not identified. Minimum education required: Master's Degree (social work, psychology, other equivalent)
12.80	921,600	Social Worker (\$72,000 salary)	10 pm to 6 am shift. One staff per 32 youth. State classification not identified. Minimum education required: Bachelor's Degree.

25.60	1,843,200	Social Worker (\$72,000 salary)	6:00 am to 2 pm shift. One staff per 16 youth. State classification not identified. Minimum education required: Bachelor's Degree.
25.60	2,022,400	Supervisor Social Worker (\$79,000 salary)	12 pm to 10 pm shift. Three staff members (one supervisor, two line staff) for each pod of 16 youth. State classification not identified. Minimum education required: Master's Degree.
51.20	3,686,400	Social Worker (\$72,000 salary)	12 pm to 10 pm shift. Two line staff work in conjunction with a supervisor during this shift. Staff on this shift are expected to flex schedules to provide two extra hours of coverage since it overlaps with staff from previous 6 am-2 pm shift. State classification not identified. Minimum education required: Bachelor's Degree.
<b>124.20</b>	<b>\$9,192,600</b>	<b>Total Living Unit Staff</b>	
<b>Other Program Staff</b>			
.50	\$55,000	Staff Psychologist	½ position to be contracted out.
3.00	216,000	Career Counselor/Reentry Coordinator	State classification not identified. Minimum education required: Bachelor's Degree
1.00	65,000	Recreation Coordinator	State classification not identified. Minimum education required: Bachelor's Degree
1.00	44,000	Supervising Case Records Technician	
3.00	110,000	Case Records Technician	
<b>8.50</b>	<b>\$490,000</b>	<b>Total Other Program Staff</b>	
<b>Medical</b>			
0.40	\$101,000	Physician & Surgeon	
0.40	48,000	Pharm I	
3.20	338,000	Registered Nurse	
1.00	117,000	SRN II	
1.00	45,000	Health Records Technician I	



0.40	95,000	Dentist
0.40	20,000	Dental Assistant
1.00	38,000	Office Technician, Medical
<b>7.80</b>	<b>\$802,000</b>	<b>Total Medical Staff</b>
<b>Food Service</b>		
1.00	\$50,000	Supervising Correctional Cook
3.20	140,000	Correctional Supervising Cook
<b>4.20</b>	<b>\$190,000</b>	<b>Total Food Service Staff</b>
<b>210.72</b>	<b>\$14,967,276</b>	<b>TOTAL NON-EDUCATION STAFF</b>

### Staffing Proposal – Education

Count	Salary	Position	Comments
<b>Administration</b>			
1.00	\$112,000	Principal	
1.00	80,000	Dean, Instructional Coach/Academic	
1.00	80,000	Dean, Instructional Coach/Technology	
1.00	50,000	Registrar	
1.00	50,000	Office Manager	
1.00	80,000	Director, Finance/Administration	
<b>6.00</b>	<b>\$452,000</b>	<b>Total Administration Staff</b>	
<b>Academic Instruction/Coaching</b>			
16.00	\$70,000	Teacher/Coach	Each pod has a lead Teacher-Advisor, who also serves as a primary instructor in an academic subject area (English, math, science, humanities/social studies) or in design and career-technology (Fab Lab, Carpentry & Welding, Art & Ceramics, Digital Engineering).
8.00	40,000	Student Support Assistant/Fellow	Every two pods has an advocate who serves as the primary liaison for students as they enter the School, for ongoing support and communication with pod and program staff, and to support

students as they prepare for and transition home.		
<b>24.00</b>	<b>\$1,408,000</b>	<b>Total Academic Instruction/Coaching Staff</b>
<b>Wrap Around Support</b>		
1.00	\$100,000	School Psychologist
1.00	100,000	Speech Pathologist
1.00	80,000	Dean of Students
1.00	55,000	Volunteer/Outreach Coordinator
4.00	50,000	Advocate/Behavior Specialist
<b>8.00</b>	<b>\$535,000</b>	<b>Total Wrap Around Support Staff</b>
<b>38.00</b>	<b>\$2,427,000</b>	<b>TOTAL EDUCATION STAFF</b>

# Appendix R

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## Criminal Justice Cost-Benefit Model

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## Appendix R

# CRIMINAL JUSTICE COST-BENEFIT MODEL

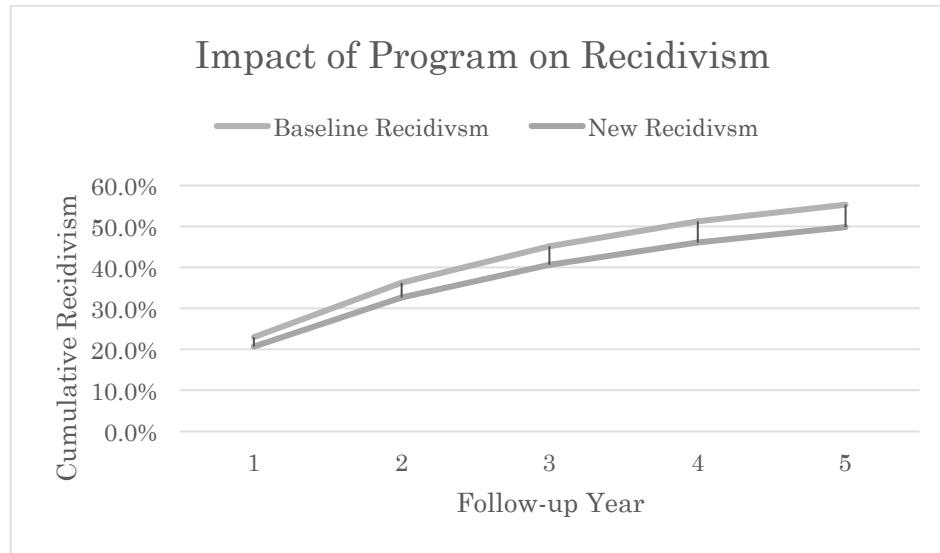
*By Michael Wilson, Economist and Research Consultant*

### Program Effectiveness

To determine if a program is cost-beneficial, it is necessary to do an outcome evaluation to estimate its future reduction of crime. Evaluations should compare program participants to a similar sample of non-participants. Groups should be assigned randomly or characteristics of persons in each group should be controlled statistically to ensure the groups are equivalent. The difference found between the treatment group and the comparison group—the effect size—provides an estimate of a program's effectiveness at reducing recidivism.

Estimating effect size through a rigorous outcome evaluation is valuable because it takes into account specific aspects of a program's delivery and unique jurisdictional factors. Ongoing evaluations allow agencies to test if their specific programs are effective and if the level of effectiveness changes over time. The estimated percentage change in crime that comes from this evaluation is used in the cost-benefit model to estimate the monetary benefits of recidivism changes, which can then be compared to a program's cost.

Our criminal justice cost-benefit model is designed to project monetary benefits from avoided recidivism, defined as any new conviction. These benefits can be projected many years into the future by using the state's long-term recidivism rate. Most states project benefits from avoided crime five to ten years into the future. This is done by measuring long-term historical recidivism rates and applying the program effect size to the long-term recidivism rate. For example, if a state's five-year recidivism rate is 55 percent, and the outcome evaluation estimates a 10 percent reduction in recidivism, the cost-benefit model shifts the baseline recidivism rate from 55 percent to just under 50 percent and monetizes the difference between those two recidivism rates (see graph below).



The model uses the baseline recidivism rate and applies the percentage of crime reduction derived from the outcome evaluation to estimate the number of convictions avoided as a result of the program. The overall estimated conviction reduction from the program will depend on the baseline recidivism rate and how effective the program is at reducing recidivism. The model uses the effect size from the outcome evaluation and historical recidivism rates to predict recidivism reductions in the future.

Once the effect size and baseline recidivism rates have been used to estimate the overall reduction in convictions, the next step is to monetize the impact of those avoided convictions. The monetary benefits are calculated by taking the difference in offending patterns between the original baseline recidivism rate and the reduced recidivism rate from the impact of the program.

### Monetizing Changes in Recidivism

The first step in estimating the benefits of avoiding a recidivist is to estimate the cost of an offender going through the criminal justice system. The system costs and victimization costs of an avoided conviction become the benefits to taxpayers and society as a whole. Any program that reduces crime provides benefits to taxpayers, victims, and society. Taxpayers benefit from avoiding criminal justice system expenses. Society benefits from avoiding harm, lost property and money, and related intangible damage from crime victimization. The methods used to calculate the costs of a recidivist or the benefits of avoiding an offender going through the system are described below.

There are a number of costs incurred when an offender commits a crime and moves through the system. These include the cost to crime victims, the cost of an arrest, conviction, incarceration, probation, and post-prison supervision. Conceptually, these costs are easy to understand; however, not all of these are easy to estimate. The modeled criminal justice system costs are police (per arrest), courts (judiciary,

prosecutors, and public defenders per conviction), jail (per year), probation (per year), prison (per year), and post-release probation or parole (per year). These per-unit costs will vary depending on the type of crime that is committed. The model captures these differences by breaking down these costs into crime categories.

When estimating system costs, it is important to estimate marginal or incremental change in costs, not average costs. Average costs include fixed costs such as utilities, administrative staff, and capital costs. The average cost will overstate the true costs of small changes in caseload. For example, a small change in the number of jail inmates may result in reduced costs for health care, food, and possibly frontline staffing (marginal costs), but would not change costs for utilities, the warden's office, and other fixed administrative functions. These fixed costs only change if facilities are closed or units are shut down. For each part of the criminal justice system, it is important to estimate marginal costs (Henrichson, C. and Galgano, S. 2013).

Taxpayer costs are not the only costs incurred from crime. Victimization costs are also substantial, and in some cases they are much larger than taxpayer costs. Victimization costs include lost property, lost productivity, mental health care, social services, medical care, and reduced quality of life. These costs were estimated by economists in a prominent national study (McCollister, French, and Fang 2010). This study breaks victimization costs into two categories: monetary and quality of life. Monetary costs include medical, mental health care, lost property, and reduction in future earnings of crime victims. Quality of life costs place a dollar value on pain and suffering of crime victims using jury awards for pain and suffering and lost quality of life.

Once the costs of each portion of the criminal justice system have been calculated, it is necessary to estimate the likelihood and amount of each resource being used. For example, if a felony assault conviction is avoided because of an effective program, how many jail bed, probation, prison, and post-prison supervision days are expected to be avoided? Sentencing data is used to estimate these likelihoods along with the actual length stay for each portion of the system. The model uses this data along with the cost data described above to estimate overall costs of an offender moving through the system.

With estimates for the costs of each criminal justice resource used and how much of that resource each offender uses, it is possible to estimate the monetary benefits to taxpayers and victims of a program that reduces recidivism. This is estimated for multiple crime types and is calculated using the estimated victimization and criminal justice system costs and data on how offenders move through the criminal justice system. For example, it may cost the same amount for an offender who commits a felony assault and an offender who commits a misdemeanor to spend one day in jail, but the felony offender is more likely to spend time in jail and to stay longer, so the overall cost to the Sheriff's Department for one felony assault conviction is much higher than the cost for a misdemeanor conviction.

The final step in calculating the benefit of an avoided conviction is to calculate the present value of benefits. The costs of an offender moving through the system or the benefit of avoiding a recidivist are not all measured in the same time period. Some avoided costs occur immediately; others do not occur for many years. When an offense is avoided in the first year, the victimization cost is avoided immediately. However, if the offender ultimately is convicted and serves a prison sentence, the incarceration costs and post-prison supervision occur in future years. An example of this would be if a felony assault is avoided: the benefit of avoiding a victimization and an arrest would likely happen immediately. A conviction will take longer, but is more likely to occur close to the crime. However, if a prison sentence is avoided, many of those benefits would not occur until years in the future. For the most serious felonies, prison stays can last for decades. In this case, many of the taxpayer benefits are not realized until years in the future. The standard economic technique to put future benefits in terms of today's dollars is to calculate the present value. This puts future dollars into today's value and is used by economists across policy areas.

### **Combining Costs and Benefits**

Putting all of these steps together provides an estimate of benefits from programs that reduce crime. The final step is to estimate a program's cost so it can be compared to the benefits of investing in the program.

Any cost-benefit analysis requires estimates of the program's costs. Sometimes the costs of a program are straightforward. When programs are administered by one agency, the overall operating costs of the program divided by the number of participant days will provide a program cost per day. However, this is much more difficult to estimate with a program like drug courts. Drug courts can receive some state money, some federal money, and some local money. The state money can go through multiple agencies and is often given to local service providers. Those providers do not consistently report back to the state or county agency on which specific programs were funded with that money, making it difficult to estimate a cost per participant. When budget data is unavailable or difficult to obtain, it may be easier to estimate the time that goes into a program and multiply that time by the wages and benefits of employees administering the program. For more information about how to estimate program costs, see Henrichson, C. and Galgano, S. *A Guide to Calculating Justice-System Marginal Costs*.

Once per-participant program costs are estimated, they are combined with the program's estimated benefits to yield a benefit-to-cost ratio. This ratio provides a good indicator of how much a dollar invested in the program will return in terms of reduced victimization and taxpayer costs.

### **Criminal Justice Cost-Benefit Data**

The criminal justice cost-benefit model uses jurisdiction-specific data to estimate the cost of crime or the benefits of avoided recidivism from effective programs. The model



has four main components: program cost and effectiveness, criminal justice system costs, criminal justice system usage, and long-term recidivism analysis.

### **Program Data**

As explained above, the cost-benefit model needs a program effect size to monetize the estimated impact of a program. The effect size will be estimated through a rigorous evaluation of the outcomes of interest. The next section describes how to perform a rigorous outcome evaluation of a criminal justice program such as California's proposed California Leadership Academy.

It is also necessary to estimate a program's per-participant cost. This should be estimated two ways: average costs and marginal costs. The average cost can be estimated by including the entire startup and operating costs of the program divided by the total number of days in the program. This will provide an estimate of the total per-participant cost of starting the program from scratch. Marginal cost--costs that vary as the number of participants vary--excludes startup costs and other fixed costs like managerial staff, rent, and utilities. Calculating marginal cost is important because it provides an estimated cost for adding offenders to the program. These costs should be separated out by all funding sources.

### **Criminal Justice System Cost Data**

The cost-benefit model uses marginal costs for each part of the criminal justice system. These include the cost to crime victims, the cost of an arrest, conviction, incarceration, probation, and post-prison supervision. As previously described, victimization costs have been estimated by a peer-reviewed study that used national data on the tangible and intangible costs to crime victims.

The marginal cost of an arrest can be estimated using a mixture of state-specific data and Washington State data. This method has been used in a number of California counties and provides a quick estimate for the overall costs of an arrest. For the proposed California Leadership Academy, the analysts may prefer to gather state-specific data on the officer's time and resources devoted to each arrest and investigation, and multiply those factors by the officer's wage and the cost of resources. This approach has been used in some jurisdictions but is much more time consuming and has only a small impact on the overall results.

The marginal cost of a conviction can be estimated by gathering budget data from the courts, prosecutors, and public defenders. A number of California counties have estimated the cost of a conviction using the operating costs for the criminal portion of the courts, the District Attorney, and the Public Defender and then dividing by the total number of convictions in the county. This approach may be difficult at the state level as it is not practical to gather budget data for all 58 counties. It may be possible to obtain data from the state associations for each of these agencies. An alternative approach is to average the estimates from the county cost-benefit work that has already been completed.

The model also requires data on the cost of incarceration in local jails and in state prisons. Both marginal costs can be estimated in a similar fashion: dividing annual operating costs by the number of bed days used in the year. A number of county jails have already used this approach to gather their marginal cost estimate. The state can take an average of these jail costs to estimate the statewide cost of a day in jail. The CDCR marginal cost has been calculated by state budget analysts. Depending on how the state chooses to house additional inmates, this marginal cost can be combined with the out-of-state rental bed rate to estimate a combined marginal cost.

The marginal costs of supervision will be a combination of state costs for parole and local costs for post-release community supervision (PRCS) and probation. These costs can be estimated in a similar manner as described above. Some counties have already estimated their costs of PRCS and probation and these can be averaged together for the statewide estimate. The statewide agency, Chief Probation Officers of California (CPOC), may also be able to provide information on the costs of local supervision.

### **Criminal Justice System Usage Data**

Data must also be gathered on how offenders move through the system. The likelihood of resource use and the length of stay on supervision and in custody are multiplied by the cost of each resource to estimate the overall cost of an offender moving through the criminal justice system. CDCR has data on how long an offender stays in the prison system. CDCR also has data on the time served in a local jail for prisoners and can analyze this data to input into the model. CDCR also has access to parole data and can estimate the length of stay for parolees.

Statewide estimates for length of stay for local resources like jail and probation will be more difficult to access. Some counties have already incorporated this data into local cost-benefit models. The state could use the average of these estimates for the statewide model. CPOC and the Sheriff's Association may also have statewide estimates for jail and probation length of stay.

The model also requires data on the likelihood of an offender using various resources. In some states, the corrections department has access to this information for all recidivists. If CDCR already has access to this data, it can calculate the estimates needed for the model. If the data is only available through the local courts, the process of populating this portion of the model will be much more difficult; analysts may need to rely on estimates from a small sample of counties.

### **Recidivism Data**

The final component of the model that needs to be populated with state-specific data is the recidivism analysis. The model uses long-term recidivism rates (five to ten years) and incorporates many different measurements of recidivism, including the type of crime, timing of recidivism, and capturing multiple recidivating events. CDCR staff will need to decide on the length of time for the recidivism analysis. They will then follow those offenders through the administrative records to calculate the likelihood, the timing, and the severity of the recidivating event. This involves merging hundreds of thousands of

records and calculating each of the recidivism measures required for the model. This is often a time-consuming process, taking an analyst a month or more to complete.

## **Program Evaluation Data Collection Strategy**

### **Research Design**

In an ideal world, the pilot project would use a "random control trial" research design, common in clinical research, comparing results between a "treatment" group and a similar "comparison" group that receives no treatment of any kind. In this scenario, study participants are assigned at random to the treatment and comparison groups to reduce or minimize selection bias. However, a random control trial in a real-world institutional setting may not be feasible for a variety of reasons.

An alternative approach would be to use a regression analysis with a matched comparison group. This approach also avoids selection bias, and may be better suited to the institutional setting of this project.

To create a comparison group, participants would be "matched" to other offenders who have the same characteristics to minimize differences between groups. CDCR would create a comparison group using all "youthful offenders" with sentencing start dates that correspond to the treatment population, as well as demographic, risk/need assessment scores, and other external variables in a multivariate statistical model to control for differences. Matching could be carried out statistically, using propensity scores (propensity score matching) to generate an index value representing numerous demographic and risk/needs assessment measures (see Cook, Shadish, & Wong, 2008). The participant is matched to the comparison person with the highest propensity score.

A disadvantage of this approach is that the propensity matching may not reliably "predict" matches to be able to eliminate statistically meaningful differences between groups. Without propensity score matching, statistical controls employed with a multivariate model could still be used to adjust for differences between treatment and comparison groups. However, there is a greater chance of non-equivalence between the groups, which could threaten the validity of attributing impact to the program. For an example of this kind of evaluation design, see Drake (2007).

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# Appendix S

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## Methods of Assuring Program Facity

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## Appendix S

# METHODS OF ASSURING PROGRAM FIDELITY

*By Bruce C. Gage, M.D., Puget Sound Mental Health  
Board Certified in General and Forensic Psychiatry*

There are a variety of methods to assure fidelity to the CLA model and content groups. Quality improvement measures will also need to be developed for other facility functions. We recommend that CDCR consider using the methods we've listed below.

### **Direct supervision**

- 1) Clinical
- 2) Administrative

### **Quality improvement**

- 1) Qualification to run groups
  - a) Staff training
  - b) Formal group observations
  - c) Designation of staff proficiency
    - i) In training
    - ii) Proficient
    - iii) Expert
      - (1) Become group observers
- 2) Formal tracking of program elements
  - a) Level System
    - i) Are participants being advanced in accordance with the Level System?
    - ii) Does distribution of participants at different levels meet design specifications?
  - b) Reinforcement System (RS)
    - i) Is the reinforcement-to-sanction ratio within design parameters?
      - (1) Typically around 5:1
    - ii) Are reinforcements being administered per the RS?
      - (1) Do participants get the incentives they have earned?
      - (2) Are participants being reinforced for the right kinds of behaviors?
    - iii) Are sanctions being administered per the RS?
      - (1) If an infraction, are they being properly investigated and so on?
      - (2) If another form of sanction, are participants being sanctioned for the right kinds of behaviors?
      - (3) Are the sanctions appropriate for the behavior?

- 3) Case plans
  - a) Are case plans completed in a timely manner?
  - b) Do case plans conform to expectations in terms of
    - i) Domains identified
    - ii) Measurable long-term goals and short-term goals
      - (1) Reflect participant's goals
    - iii) Specific action steps are identified
      - (1) Relevant to the short-term goal
      - (2) Are appropriate in light of participant's stage of change for the domain
  - c) Staff follow through with action steps
  - d) Is the case plan modified if there is a lack of progress?

**Risk Review Board (RRB)**

- 1) RRB provides feedback to the Program Management Team regarding
  - a) Participant readiness for advancement when presented to RRB
    - i) Staff understanding of participant's dynamic risk
    - ii) Fidelity to the Level System
  - b) Observed deficiencies in the Level System
    - i) Domains not captured
    - ii) Progress not adequately assessed through criteria for advancement

**Formal feedback from staff and program participants**

# Appendix T

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## Sustaining Change

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# Sustaining change.

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Designing for Transition  
from Day One at the  
California Leadership  
Academy



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For the California Department of  
Corrections and Rehabilitation





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# Sustaining change.

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Designing for Transition  
from Day One at the  
California Leadership  
Academy

April 2016

Contents

1

Introduction  
page 4

2

Spotlight on transition  
page 16

3

Meeting needs  
through experiences  
page 28

4

Environment  
Considerations  
page 60

5

Conclusion  
page 74





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**WE CAN'T**

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**UNDO THE**

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**ACTS THAT**

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**LAND YOUNG**

---

**MEN IN**

---

**PRISON.**

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**BUT WE CAN  
DO MORE  
TO KEEP THEM  
FROM  
COMMITTING  
CRIMES AGAIN.**

---

We can re-examine,  
re-imagine, and  
re-build our approach  
to preventing recidivism.





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We can re-examine,  
re-imagine, and  
re-build our approach  
to preventing recidivism.

---

# FOR MEN WHO ARE 18–25 YEARS OLD, THE STATISTICS ARE BLEAK.

---

Nearly two-thirds of them reoffend  
within three years of release.

But science shows that at this age,  
their brains are still developing.



---

Nearly two-thirds of them reoffend within three years of release.

But science shows that at this age, their brains are still developing.

---

# THESE ARE YOUNG PEOPLE IN THE PROCESS OF FORMING THEIR IDENTITIES.

---

They haven't experienced much in life yet and lack the foundation that many of us take for granted.



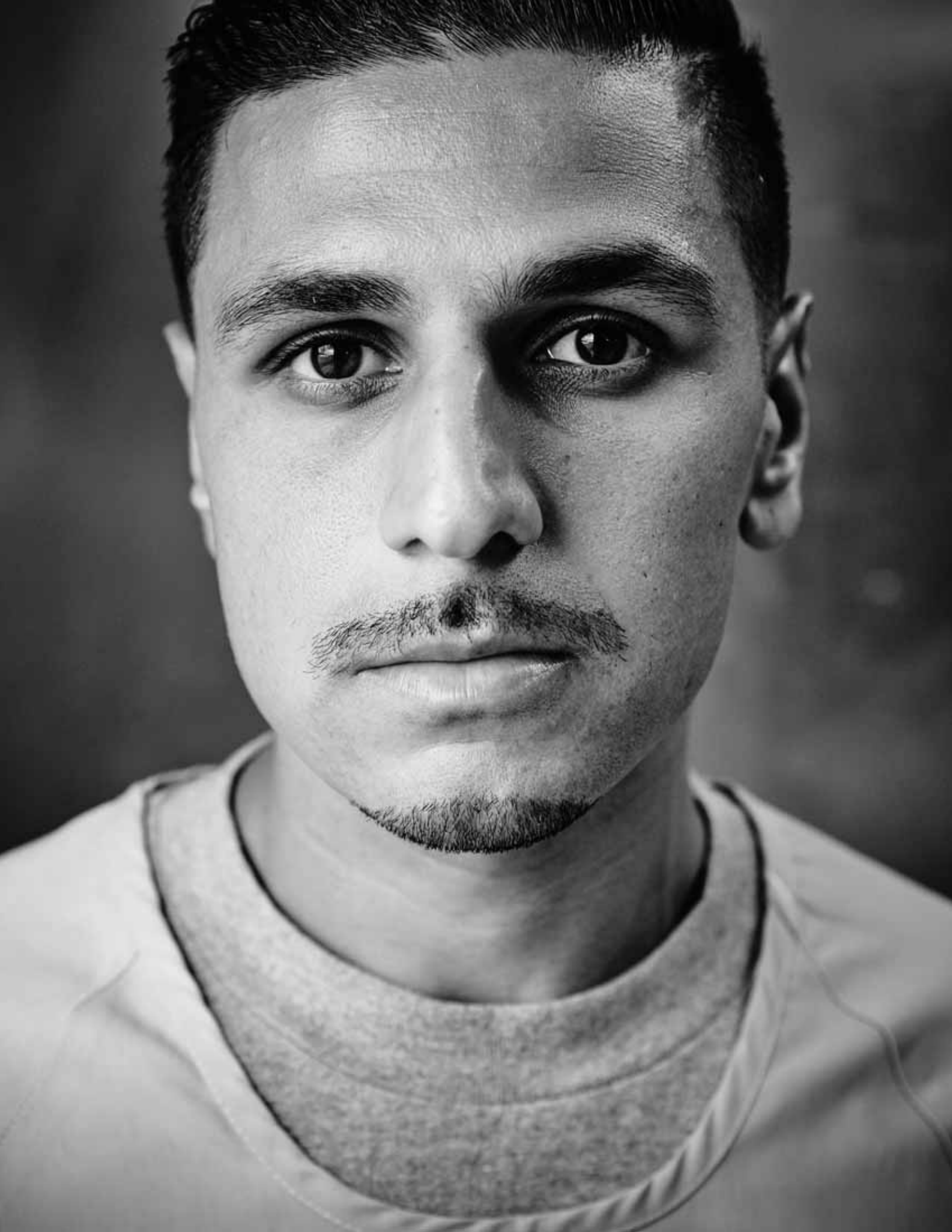


Youth without positive development are vulnerable to major mistakes—the worst of which land them in prison.

---

**HOW MIGHT WE HELP  
THEM MAKE GOOD  
ON THEIR DESIRE TO  
CHANGE?**

---



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# WHAT IF WE SEIZE THE OPPORTUNITY TO HELP THESE YOUNG MEN BE BETTER THAN THEIR WORST MISTAKES?

---

What does it take to transform a life?

Imagine what is possible if we  
treat these men as growing minds.





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# SECTION

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# TWO

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# A SPOTLIGHT ON TRANSITION

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# From checklist to journey

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Rethinking transition

---



No matter how we feel about incarcerated men, we all want them to choose more positive paths when they come home. But the truth is, they return to our communities whether they're prepared or not. Our best bet is to equip them to be productive citizens.

During incarceration, rehabilitation programs can be transformative. But once these young men are released, that work can unravel without the right support. Services for the formerly incarcerated are

scant and scattered. Best practices are still being developed. But we know that sustaining transition is key. The chance of reoffending is greatly reduced after the first two years.

---

### SHIFTING OUR PERSPECTIVE

We all know that change is hard. Sustaining it is even harder. It requires new habits, achievable milestones, and continuous support. For many of these young men, lasting change requires a complete shift in identity.

In other words, a successful transition takes time.

Right now, young men create reentry plans in the months leading up to release. These plans often focus on immediate needs. But maintaining success requires more than navigating the essentials of housing, jobs, and access to mental health care.

Creating a more holistic approach to transition requires **four key structural shifts** to guide the design of any experience.

FROM

TO

1

**Hand-offs****Consistent relationships****Set up staff to be dedicated long-term to individual young men.**

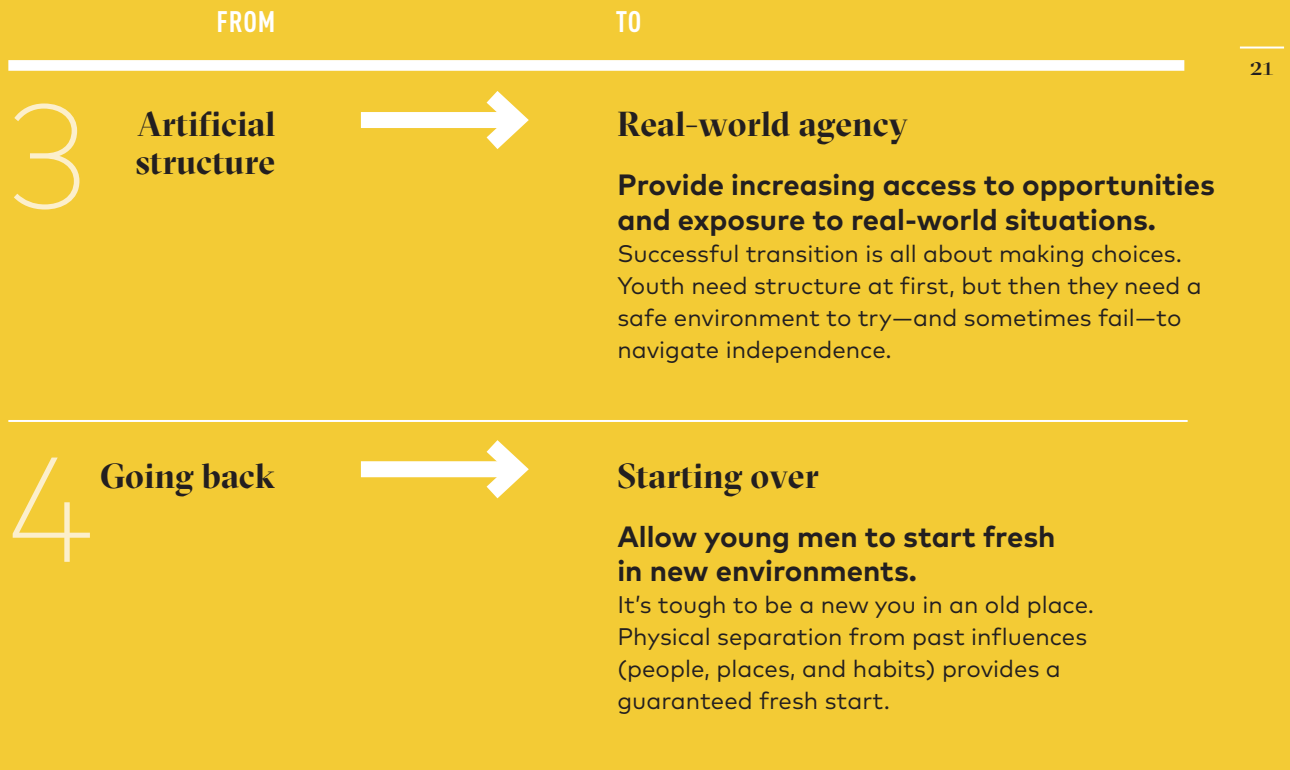
Hand-offs hurt. The most powerful motivator for change is someone who cares about you, believes in you, and sticks with you through the ups and downs.

2

**Excluding****Engaging the formerly incarcerated****Include successful formerly incarcerated men early and often.**

We see ourselves in the people we relate to. Successful formerly incarcerated men are powerful role models and sources of support for currently incarcerated men.

# SHIFT



# TS

Approaching transition as a journey, rather than a checklist, implies a number of important shifts.

# Addressing developmental needs

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The hidden roadblocks  
of transition

---

Could you unlearn everything from  
your childhood? Forget your friends?  
Leave your entire family behind?

For young men getting out of prison, these  
are some of the real choices they face.

We expect them to do things differently  
once they're out. To avoid making the same  
mistakes. For a lot of them, that means  
rebuilding from scratch.

Successful transitions hinge on positive  
development—something these young men  
didn't experience as children. Some of the  
biggest challenges they face reentering

society relate directly to foundational  
lessons most of us learned early in life.

It may sound counterintuitive, but preparing  
incarcerated men to become responsible  
adults means giving them back their  
childhoods. Not by treating them like kids,  
but by giving them opportunities to have the  
formational experiences of growing up.

---

#### ADDRESSING DEVELOPMENTAL NEEDS LIKE...

- |                                       |                       |
|---------------------------------------|-----------------------|
| 1. Feeling unconditional support      | 5. Finding your voice |
| 2. Learning to play constructively    | 6. Dreaming big       |
| 3. Setting and achieving goals        | 7. Asking for help    |
| 4. Looking up to positive role models |                       |

	DEVELOPMENTAL NEED		EXPERIENCE CONCEPT
1	Feeling unconditional support		Consistent care
2	Learning to play constructively		Positive play
3	Setting and achieving goals		Progress portfolio
4	Looking up to positive role models		Authentic guidance

# NEED

	DEVELOPMENTAL NEED		EXPERIENCE CONCEPT
5	Finding your voice		Confident communication
6	Dreaming big		Career pathways
7	Asking for help		Navigating adulthood

# OS

Preparing for  
reentry means  
addressing  
underlying  
developmental  
needs from  
day one.

To prepare incarcerated youth to  
become responsible citizens,

---

**GIVE THEM THE  
EXPERIENCES  
CHILDHOOD.**

---



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# FOUNDATIONAL

---

# THEY MISSED IN

---

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# SECTION

---

# THREE

---

# MEETING NEEDS

---

# THROUGH

---

# EXPERIENCES

---



30

# Experience concepts

Re-learning childhood lessons

We learn through experience. As we grow, our experiences shape our understanding of the world, our place in it, and how we think and act. Many of these young men missed out on positive opportunities to develop healthy mindsets and behaviors in their youth. For a successful transition back into society, they need experiences that help them to re-shape their identities as adults.

The **experience concepts** in this section suggest ways for youth to prepare for transition through holistic experiences that combine programs, spaces, roles, and tools.

They are meant to be starting points for how to design learning experiences that address fundamental needs, beginning on day one and building momentum over time.

A STAGED APPROACH

These concepts are mapped to the three proposed phases of the California Leadership Academy:

PHASE 1: ON-CAMPUS	PHASE 2: TRANSITION	PHASE 3: REENTRY
(up to two years)	(up to 6 months)	(minimum of 6 months)
Youth live on campus at all times with varying degrees of restriction while participating in educational and therapeutic activities.	Youth live on campus but are allowed to leave during the day for off-campus work or school while continuing to receive supportive services.	Youth live and work (or attend college) in the community while receiving ongoing support in the form of mentoring, counseling, and peer support groups.

# Consistent care

## DEVELOPMENTAL NEED

### Feeling unconditional support

All youth seek acceptance—and support—from peers and family.

It is this need that often leads young men to gangs. When they go to prison, it's rare to find a positive alternative. "Hand-offs" from institution to institution and staff member to staff member are the norm. This pattern of inconsistency often makes young men averse to building relationships, believing that no one really cares.

What youth need, above all else, are supporters who will stick with them, no matter what.

”

When I was a kid, I could've got a job if I wanted to, but I didn't see myself past a certain age. I had no positive reinforcement or interaction with positive individuals who were constantly building me up, saying, you know what, there's more to life."

—STEVE, FORMERLY INCARCERATED

”

You don't have to be from the same background, you just got to be sincere about it. You have to really care and go out of your way. These guys want to be taken in. They want to feel loved. They want to be accepted."

—PJ, FORMERLY INCARCERATED



## ONE

## CONSISTENT CARE

## THE IDEA



A team of mentors who develop a personal relationship with a young man throughout his entire journey.

33

*Imagine a formerly incarcerated man mentoring a young man from firsthand experience.*

*Imagine a young man meeting his parole officer, who becomes his parole coach.*

*Imagine a young man who wants to be an architect building a relationship with one.*

*Imagine a family member learning alongside youth in a positive, supportive role.*



# How this might work

## OVERVIEW

## PHASE 1: ON-CAMPUS

1

**Relationship building** in a genuine way between the young man and mentors is the primary emphasis. Initially, the team focuses on helping the youth adjust. Later, efforts shift to preparing for work in the community.

## FOR EXAMPLE



## The Sage

Successful formerly incarcerated men are the most important team member across all phases. By carefully selecting and vetting these men, they can give young men confidence that change is possible and speak from firsthand experience about successful transition. They are also highly motivated to help. They will likely be the first call — the lifeline—when young men face a challenge.



## Family Supporter

Whenever possible, the team should include a family member or friend who provides a consistent, positive influence. Family mentors are encouraged to learn about programming, curriculum, language, and frameworks of the day-to-day program—and to help reinforce them when the young man is released. They can witness—and be a part of—the youth's change.

## INSPIRATION + POTENTIAL PARTNERS

### Advisory

Casco Bay High School in Maine uses an Advisory model that pairs a small group of students with a staff member who meets with them regularly during all four years of high school.

### Transition Coaches

UTEC, a transition program for youth in Massachusetts, is based around long-term relationships between staff and teens. Coaches provide ongoing one-on-one support services.

### Student Support Teams

Bay Path University in Massachusetts creates a "support team" for students that includes: a full-time faculty member, a wellness advisor, an upperclasswoman, and a career coach.



## PHASE 2: TRANSITION

2

**Work ethic** is the focus as youth deal with the challenges of work release. The team also helps with preparation for the transition to living in the community.

## PHASE 3: REENTRY

3

**Probation readiness** or preparing for the parole board is the primary focus. After 'graduation' from the program, it is important that the team maintains contact for ongoing support and care.

**Community Mentor**

In phase one, young men choose mentors based on shared interests, such as careers, hobbies, culture, or spirituality. Community mentors offer an opportunity to practice communication skills and professionalism. In phases two and three, they might open doors to employment, assist with building community, or connect youth to creative outlets.

**Parole/Probation Coach**

Young men meet their parole or probation coach in phase one to start building a relationship based on trust and respect. In phases two and three, parole/probation coaches have a larger role in helping the youth prepare for life in the community. Importantly, their focus shifts from monitoring for violations to supportive coaching. As a long-term team member, they are invested in the young man's success.



”

When you invest in people, that's the one investment that continues to give. The more people who are involved, the more you're exposing individuals who don't have role models to a different opinion of who they should follow. That's what changed my thinking, my behavior, and got me here.”

—TYRONE, FORMERLY INCARCERATED

# Positive play

## DEVELOPMENTAL NEED

## Learning to play constructively

Play is an important—and underestimated—life skill.

We start building habits of play as children. It's how we first learn to interact with peers. It's how we occupy our minds when we're alone. For these young men, it's also a critical protection from temptation. Without positive outlets, their youthful desire to have fun can lead to old street corners, old friends, and old habits. Idle time is their worst enemy.

Youth need to re-learn constructive ways to unwind.

”

If you want to change, you have to change who you play with, where you play at, and what you want to play with.”

—ANDRE, FORMERLY INCARCERATED

”

Coming back out, it's like this is where the real fun's at. Feeling like I had to catch up on having fun really got in the way of moving further than where I am right now.”

—EDWARD, FORMERLY INCARCERATED

## TWO

## POSITIVE PLAY

## THE IDEA



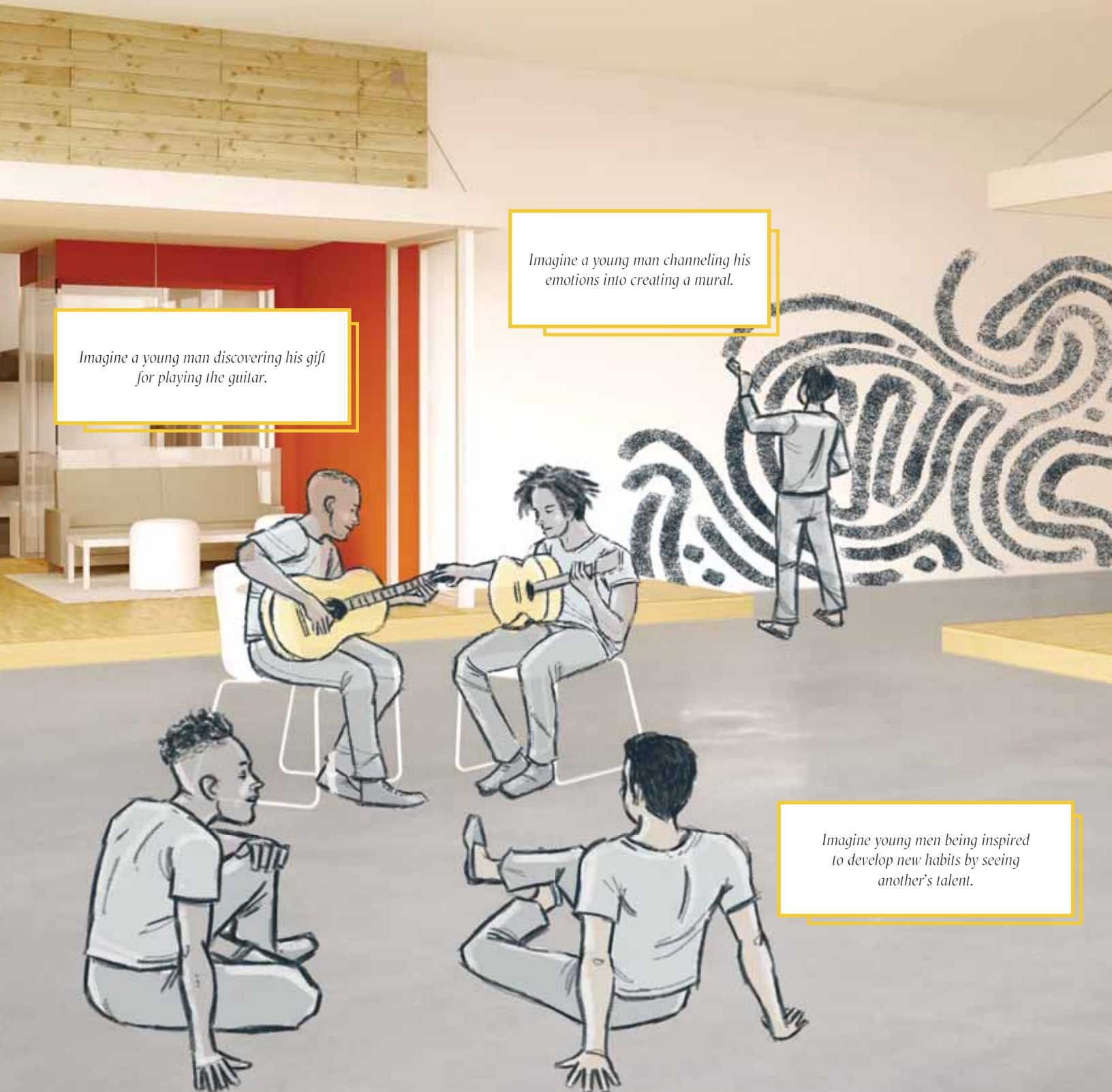
Programs and events that help youth develop new habits for play—when relaxing alone or having fun with friends.

37

*Imagine a young man discovering his gift for playing the guitar.*

*Imagine a young man channeling his emotions into creating a mural.*

*Imagine young men being inspired to develop new habits by seeing another's talent.*



# How this might work

## OVERVIEW

## PHASE 1: ON-CAMPUS

1

**Exposure** is most important, initially. This may be the first time many youth have engaged in constructive ways to interact with others, express themselves, release adrenaline, and relax.

## FOR EXAMPLE



## Passion Projects

A series of workshops where visitors, staff, alumni, and peers share their hobbies. A behavioral therapist might share their love for gardening and the basics of caring for houseplants. A politician might share her love of photography and the 'rule of thirds' for taking a great photo. A formerly incarcerated man might share his love of hiking with a slideshow of recent trips.



## Field Trips

As a special occasion and an incentive for good behavior, young men might have opportunities to attend group outings towards the end of the phase. Youth might go on a supervised hiking trip, attend a local event, or play a recreational basketball game against a local college. They learn how to bond with others and experience new ways to unwind.

## INSPIRATION + POTENTIAL PARTNERS

### Outward Bound

An educational program that teaches character development, self-discovery, and bonding through wilderness expeditions.

### Yoga Behind Bars

Students learn how to breathe, pose and meditate at 13 correctional facilities across Washington State. Prisoners may also train to become instructors themselves.

### Puppies Behind Bars

At New York's Bedford Hills Correctional Facility and five other prisons, inmates in the Puppies Behind Bars program raise and train Labrador retrievers—then offer them to combat veterans and police bomb squads.

## PHASE 2: TRANSITION

2

**Depth** becomes the emphasis. Youth are encouraged to commit to their passions and build a deeper set of skills.

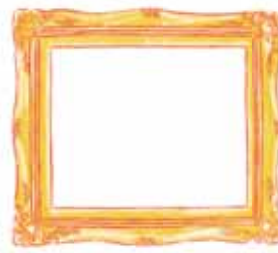
**Practice Makes Perfect**

All youth are encouraged to 'find their gift' through a self-directed extracurricular activity with the goal of forming a new habit or skill. Young men might learn to play the guitar, paint a mural, or meditate everyday.

## PHASE 3: REENTRY

3

**Public display** of talent becomes important. Youth need opportunities for external recognition to build self-confidence.

**Public Showcase**

At events open to the community, young men have the opportunity to share and show off their passions. Youth might display their artwork, perform a rap, or cook a special food. They receive external recognition for their talents and hard work from peers, mentors, families, and the public.



”

These are experiences most youth have growing up. They're opportunities to develop cognitive behaviors and ways to interact with others. To us, field trips, games, soccer and hiking seem like fairy tales. But they show you an outlet to release anger and frustration in a positive manner.”

—SANTIAGO, FORMERLY INCARCERATED

# Progress portfolio

## Setting and achieving goals

Youth who don't see their ability to grow often give up after a single mistake.

This is a big problem after release, when a small setback can send someone back to square one. Youth need to build the patience, agency, and resilience required for lasting change. They need to see the small steps required to reach milestones. Progress is the goal, not perfection.

Young men need models for how to set goals, track progress, and share their successes.

”

You need to write down all your plans. Even if it's something simple. So you can remember to do it. You need to discipline yourself to do the things you want to.”

—JAMAL, FORMERLY INCARCERATED

”

We try to build the youth up so much, but if one thing is not in place they tear themselves down.”

—REENTRY COORDINATOR



## THREE

## PROGRESS PORTFOLIO

## THE IDEA

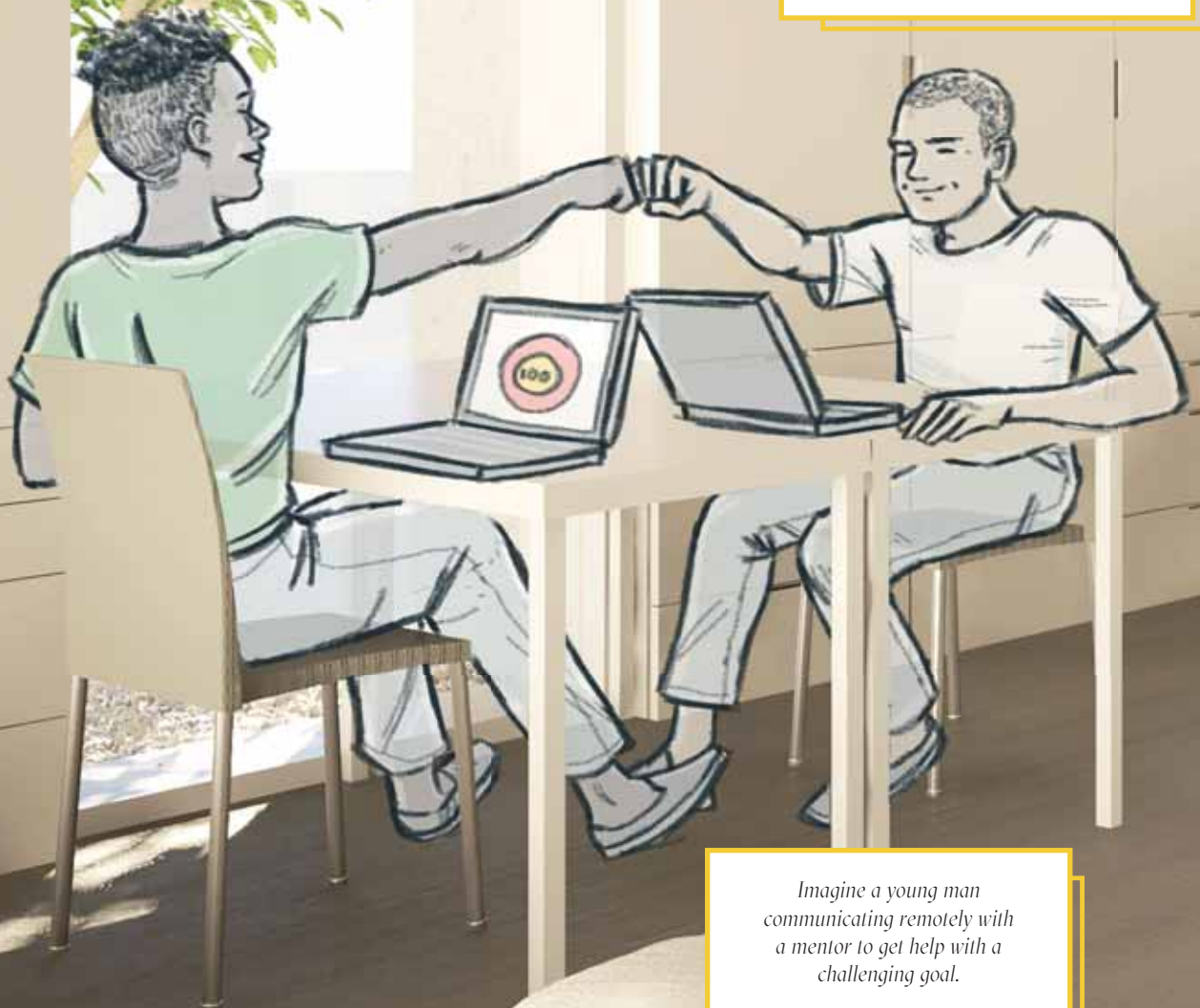


A digital tool to help youth develop the critical habits of setting goals, tracking progress, and sharing success.

41

*Imagine a young man seeing his progress and celebrating a milestone with his roommates.*

*Imagine a young man looking up all of his assignments and goals for the month ahead.*



*Imagine a young man communicating remotely with a mentor to get help with a challenging goal.*

# How this might work

## OVERVIEW

## PHASE 1: ON-CAMPUS

1

**Expectations** are outlined in the tool with steps to meet each goal. Youth begin tracking progress, reflecting on efforts, and sharing with staff or mentors if desired.

## FOR EXAMPLE



## Roadmap & Progress Tracking

Young men view a clear roadmap of expectations for each phase. All of an individual's current goals are displayed when he logs in, so that he can easily understand what he needs to focus on. A visual progress tracker shows what young men have completed and what they are still working on. The tool can be used for both academic and behavior goals.



## Reflection & Sharing

Through journal prompts, young men regularly reflect on their progress and learnings. They might select certain goals to share with mentors, teachers, therapists, or family who can log-in to understand whether an individual is on-track or behind schedule. Youth can get recognition for completing goals or help to overcome roadblocks.

## INSPIRATION + POTENTIAL PARTNERS

### ePortfolio

Loyola University Chicago uses ePortfolio to support students, faculty, and staff to create digital portfolios as a tool for teaching, learning, reflection, and assessment.

### Summit PLP

An online, personalized learning tool that allows students to set goals, create roadmaps to achieve them, learn at their own pace, and interact with teacher coaches.

### High Tech High

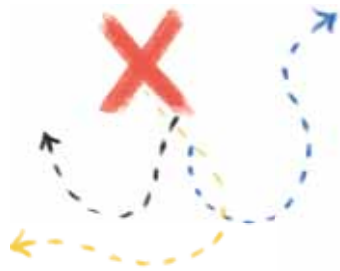
Students at High Tech High create digital portfolios, updated every semester, that provide a comprehensive look at their work, learning, and projects. These are available to view publicly.



## PHASE 2: TRANSITION

2

**Goal setting** shifts from staff-directed to youth-driven. Young men might need help determining steps to success and ensuring their goals meet overall program expectations.

**Self-Directed Learning**

The tool allows young men to set their own goals, which might be academic (get an A in math), work-related (do a mock interview), behavioral (de-escalate a potential confrontation), or personal (learn to play a new song on the guitar). Youth might set both long-term goals (complete my degree) and short-term (volunteer to mentor another young man).

## PHASE 3: REENTRY

3

**A portfolio** might be generated through the tool, giving youth a place to consolidate their work and a way to share it proudly at key moments of transition.

**Portfolio**

Youth build a portfolio of class assignments, personal reflections, and other evidence of accomplishments and growth. They might use this portfolio for parole hearings, job interviews, college applications, or to show to their families. 'Portfolio reviews' might happen at key moments, such as transitions between phases. Access to the tool continues after release for use setting reentry goals during probation or parole.



”

I love the idea of having a legacy and that I could build that legacy. It would be great to have access to work and progress in one place—and a take-away when you leave to feel organized. I wonder what would happen if you show the impact of each person's growth.”

—CARLOS, CURRENTLY INCARCERATED

# Authentic guidance

## Looking up to positive role models

Youth look up to the adults around them to learn how to act and how to live.

The only role models for these young men are often gang members or criminals. Many grow up without leaving their neighborhoods. Their whole worldview consists of a few blocks. Things like careers, investing, or stable relationships seem to be for "other people." They don't believe change is possible for people in their circumstances.

Youth need positive examples of people 'like them' who took a different path.

”

When I first met Frank, I was in county blues and he was in county blues. A year and a half later, I saw him again, but this time I saw him suited. So now when I get out I want to be suited, too.”

—DEMETRIUS, FORMERLY INCARCERATED

”

A lot of these older cats, you become a father figure to the young guys. I didn't have a father figure growing up. So I didn't have anyone to grab onto.”

—ROBERT, FORMERLY INCARCERATED

## FOUR

## AUTHENTIC GUIDANCE

## THE IDEA



Firsthand accounts of how to successfully reenter society, taught online and in person by formerly incarcerated men.

45

*Imagine a young man being inspired to change by the story of someone just like him.*

*Imagine a young man learning about money management from a former inmate who teaches personal finance.*

*Imagine young men taking online classes about reentry at their own pace.*



# How this might work

## OVERVIEW

## PHASE 1: ON-CAMPUS

1

**A digital library** of reentry classes taught by formerly incarcerated men is available to youth 24/7. In-person discussion groups facilitated by staff, mentors, or formerly incarcerated men tackle questions and support deeper conversations.

## FOR EXAMPLE



## Manhood

In phase one, reframing what it means to be a man is a particularly relevant course. These young men often grow up with a skewed view of masculinity, and it takes a lot of relearning—from people who've been in their shoes—to shift their mental model of manhood. Topics might include asking for help, resisting peer pressure, or agreeing to disagree.



## Work readiness

As young men prepare for work release, formerly incarcerated men share their "been-there-done-that" and "learned-this-the-hard-way" perspectives on situations ranging from making a first impression to handling difficult interview questions to developing a work ethic.

## INSPIRATION + POTENTIAL PARTNERS

### Manhood Development Courses

The African American Male Achievement Program in Oakland's public schools promotes positive pathways for black boys by offering "Manhood Development" courses taught by black men.

### Alcoholics Anonymous

The AA model creates opportunities for alcoholics at different stages of the sobriety process to mentor and support each other to stay sober and make better decisions.

### EdX

EdX is a nonprofit online course provider that partners with schools and universities to offer free classes that students can take at their own pace.

## PHASE 2: TRANSITION

2

**Continued access** to both online content and in-person discussion groups is available. Young men might retake relevant courses as key milestones approach.

## PHASE 3: REENTRY

3

**Remote availability** to online classes is available to young men living off campus. Eventually, alumni might come back to teach a class, give a lecture, or host a discussion group.

**Emotional Intelligence**

Young men are often reluctant to discuss important emotional issues. Learning from guys like them might help them shed that resistance. This could be especially useful when dealing with roommates, handling job frustrations during work release, reading emotional cues, and de-escalating conflict.

**Financial Literacy**

Financial literacy is an absolutely critical skill before release. It's possible that many of these young men have never paid a bill, created a budget for living expenses, or opened a bank account. Young men need to learn the real deal about what it is like to approach an intimidating and confusing topic.



”

People who know me from being inside, they'll call me and ask, *Where do I go to do this? Where do I got to do that?* If there was a broader network, a way to package this in a course, it would help so many more guys.”

—EDUARDO, FORMERLY INCARCERATED

# Confident communication

## DEVELOPMENTAL NEED

## Finding your voice

Learning to express yourself effectively builds confidence and opens doors.

Young men have to communicate with a lot of new people when they get out—employers, colleagues, classmates, and friends. There will inevitably be questions about incarceration. Youth need to confidently explain their circumstances—taking ownership of past decisions, demonstrating progress, and articulating future goals.

Youth need to talk about the past in a way that demonstrates readiness for a new future.

”

I had a chance to speak with a publicist. I've never had a conversation with anyone of that caliber. If I can have a level-headed conversation with someone like that, what's the difference between them and me?"

—XAVIER, FORMERLY INCARCERATED

”

They all know they leave with a label. How do you not let people define you?"

—MENTAL HEALTH PROFESSIONAL

## FIVE

## CONFIDENT COMMUNICATION | THE IDEA



Programs, roles, and events that help youth build effective communication skills, such as writing and public speaking.

49

*Imagine a young man confidently telling his story to an audience after weeks of practice.*

*Imagine success stories of formerly incarcerated men lining the walls.*

*Imagine a member of the community being inspired by a young man's story of transformation.*





# How this might work

## OVERVIEW

## PHASE 1: ON-CAMPUS

1

**Practice & coaching** are central. Youth aren't ready to tell their own stories at first—they may not even think they have stories to tell. Young men first learn why storytelling is important, what makes a good story, and how to produce one, before receiving personalized story coaching.

## FOR EXAMPLE



## Podcast/Video/Newspaper

Young men learn the fundamentals of storytelling by co-producing a podcast, radio station, video channel, and/or newspaper. Youth start to build communication and technical skills such as storyboarding, writing, audio and video production, set design, etc.



## Story Coaching

When they are ready, young men work with master storytellers and volunteer coaches from the community or partner organizations. Youth learn to see their past as a source of inspiration and craft stories about their experiences. As young men may be reluctant to share, it may take a few rounds of discussion, journaling, and coaching for them to feel they even have a story to tell.

## INSPIRATION + POTENTIAL PARTNERS

### Bard Prison Initiative

Young men in the Eastern New York Correctional Facility Bard Prison Initiative recently beat Harvard's debate team in an intercollegiate competition.

### The Moth

The Moth is a live storytelling event in many U.S. cities. Audience members submit their names and are chosen randomly. Their stories are recorded for a podcast and NPR show.

### Toastmasters International

Toastmasters clubs help members develop public speaking, communication, and leadership skills through self-paced practice and peer-to-peer feedback.



## PHASE 2: TRANSITION

2

**Writing** is emphasized as young men learn to express their stories in print. Youth interested in broadcast or live performance might get coaching to rewrite stories in a conversational tone.

**Writing**

Young men learn to channel their stories into essential written communications, such as cover letters and college essays. They receive coaching and feedback on how to best express themselves in a professional manner.

## PHASE 3: REENTRY

3

**Public speaking** is a rite of passage and confidence builder. Young men have opportunities to tell their stories to peers, families, and the broader community through organized events.

**Story Nights**

Young men help regularly organize public events featuring youth storytellers. After weeks of practice and preparation, youth tell a personal story to an audience that might include peers, families, alumni, formerly incarcerated men, and other members of the community. Young men and their stories take center stage for an evening.



”

Storytelling gives everyone a chance for their voice to be heard. You never know how that person can affect the next person by telling their story. And how many lives they can change. And I'm one of the storytellers. That's me right there. If you don't have a voice, you can't be heard."

—MAURICE, FORMERLY INCARCERATED

# Career pathways

## Dreaming big

Young people dream about what they want to be when they grow up.

For these young men, making money is top of mind after release. But they need more than jobs. They need careers. Surviving on minimum wage jobs is frustrating and demotivating, yet many of these men don't know how to build a career. They've never had the support or space to dream big or reach for opportunities.

Youth need exposure to career paths and meaningful work experience on the inside that continues after release.

”

They say we have all these opportunities. Mainly what I got here was a forklift license. Where do I go from here? I want more skills.”

—FRANCO, CURRENTLY INCARCERATED

”

When youth find the passions and talents within them, it pulls them out of gang engagement. The bottom line is really finding a purpose in life.”

—YOUTH AUTHORITY DIRECTOR

## SIX

## CAREER PATHWAYS

## THE IDEA



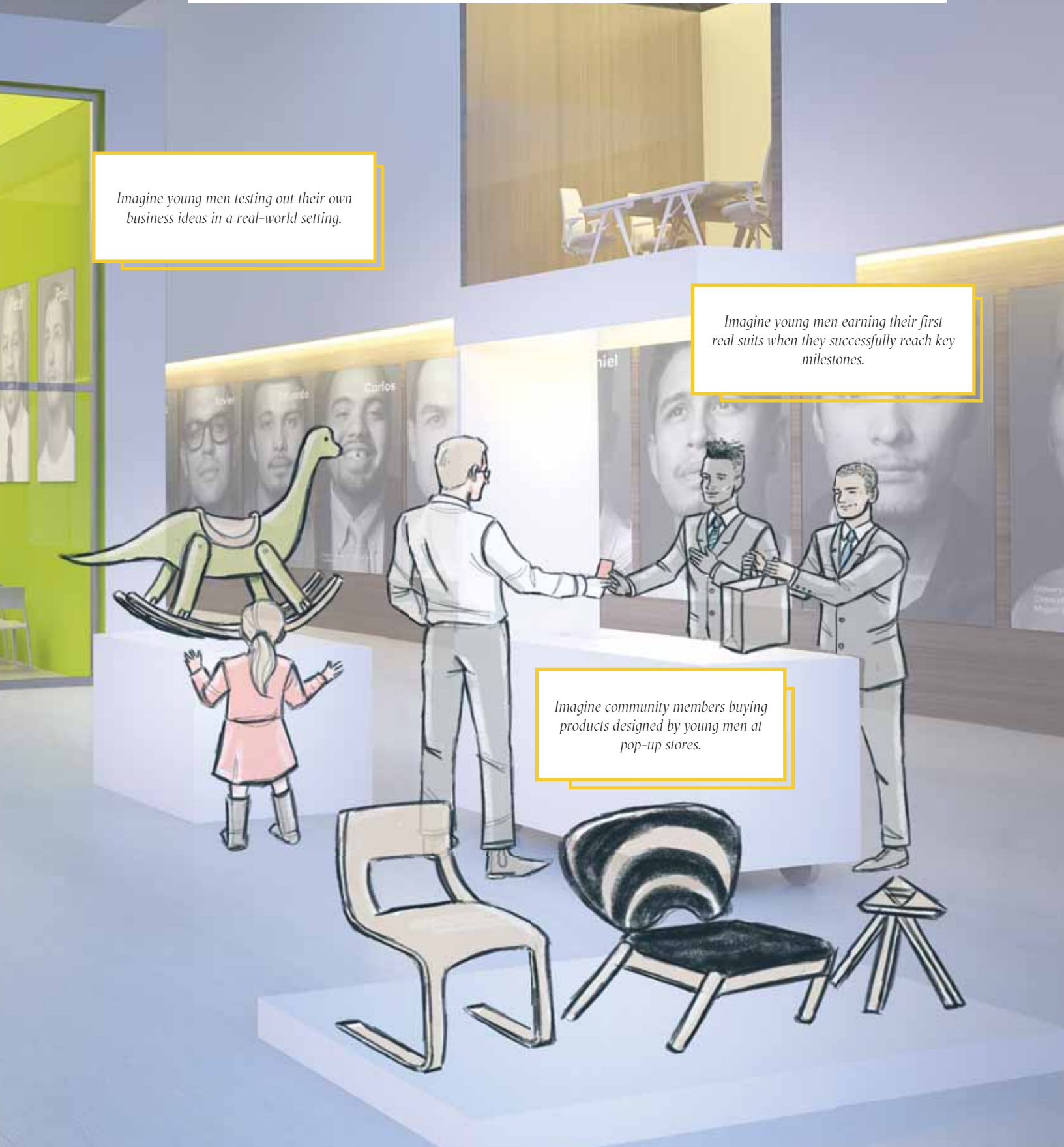
Programs and partnerships that allow young men to pursue their interests in high-demand industries or entrepreneurship.

53

*Imagine young men testing out their own business ideas in a real-world setting.*

*Imagine young men earning their first real suits when they successfully reach key milestones.*

*Imagine community members buying products designed by young men at pop-up stores.*



# How this might work

## OVERVIEW

## PHASE 1: ON-CAMPUS

1

**Career exposure & basic skill building** are offered to youth through two tracks: 1) strategic partnerships with high-demand employers and 2) entrepreneurship. The emphasis is not on finding a job, but on preparing for a career.

## FOR EXAMPLE

## Partnerships



Youth receive support to discover their interests and strengths. Through strategic partnerships, they get exposure to a variety of high-demand careers (e.g., technology, healthcare, union jobs) and help determining fit. Once a career path is identified, emphasis shifts to building the required skills.

## Entrepreneurship



Young men are encouraged to develop their own business ideas as exposure to entrepreneurship. Local entrepreneurs and small business owners help young men create business plans, which they might present at pitch competitions judged by experts and community members.

## INSPIRATION + POTENTIAL PARTNERS

### Prison Entrepreneurship Program

More than 60 Texas jails offer an intensive program on how to start businesses upon release, including one-on-one coaching from executives and a business plan competition.

### Marine Technology Training Center

The California Prison Industry Authority offers an 11-month, real-world training program for offenders interested in the high-demand field of commercial diving.

### Prison Restaurant in Wales

The Clink is a fine dining restaurant located inside HM Prison High Down in Wales. It employs offenders who undergo training while getting real-world work experience.

## PHASE 2: TRANSITION

2

**Hands-on training** allows youth to learn through experience during work release. Young men get insight into their chosen career paths by trying them out in real, but safe, environments.

During work release, young men practice and develop real-world skills through internships and apprenticeships with program partners. Entry-level positions might include opportunities for job shadowing and informational interviews. Youth wishing to further their careers through education are encouraged to research schools.

## PHASE 3: REENTRY

3

**Focus on the future** is critical as youth prepare to continue building their careers after release. Young men are encouraged to set goals for advancing to the next phase of their careers.

Youth have opportunities for continued employment with program partners. They might also be encouraged to join professional organizations, attend networking events, or start applying for educational opportunities.

During work release, young men might choose to build hands-on business skills (managing finances, operations, etc.) by working for small businesses or entrepreneurs. They might also try testing their ideas through “pop-up shops”—short-term, youth-run businesses open to the public—with mentorship from local entrepreneurs.

Young men have opportunities to continue their employment as they develop skills and business plans. They might also receive guidance in applying to business incubators, securing seed funding, or building their entrepreneurial knowledge through college.



”

You spend all this time thinking, if only I could get seed money to make this happen, I know I could make my own business. If people stop talking about formerly incarcerated in throw-away jobs, and start seeing them as inventors and entrepreneurs, we can help people reach their dreams.”

—DIEGO, FORMERLY INCARCERATED

# Navigating adulthood

## DEVELOPMENTAL NEED

## Asking for help

Youth naturally want to prove their independence.

Prison offers few opportunities to practice self-sufficiency. Men who are incarcerated young miss out on basic adult experiences, like cooking or paying bills. Moreover, their mistrust of others and instinct to do things alone means they don't know how to ask for help. This is a huge barrier after release, when support services are scattered and confusing.

Youth need to learn that independence doesn't mean doing everything on your own.

”

I was 18 when I came to prison and never had experiences like paying bills. I have a son now. But I don't know where to start with taking care of a family.”

—LUIS, FORMERLY INCARCERATED

”

I'm a financial literacy coach for the Anti-Recidivism Coalition. It's mind boggling how little formerly incarcerated men know about money. A sock bank is their answer.”

—DYLAN, FORMERLY INCARCERATED



## SEVEN

## NAVIGATING ADULTHOOD

## THE IDEA



Experiences and services that help youth learn how to navigate resources, ask for help, and become self-sufficient.

57

*Imagine young men learning cooking skills by making healthy meals.*

*Imagine young men working in teams on real-world tasks.*

*Imagine young men building independence by taking responsibility for communal meals.*



# How this might work

## OVERVIEW

## PHASE 1: ON-CAMPUS

## PHASE 2: TRANSITION

## PHASE 3: REENTRY

1 + 2

**Adult life skills** are taught in phases one and two, laying the foundation for youth to be independent men on the outside. Staff might assign skills initially, but build toward self-directed responsibilities.

3

**Support** is provided to find and access services for the formerly incarcerated. Assistance is strengthened by positive communities of peer-driven outreach.

## FOR EXAMPLE



## Learning Life Skills

Young men learn and practice basic adult life skills such as cooking or taking care of living spaces. Special attention is paid to learning personal finance (budgeting, financial aid, taxes, social services), since short-term money issues are top-of-mind but long-term money management is an unfamiliar concept.



## Landmark Building

In cities with large populations of formerly incarcerated men, buildings with services and guidance to access them are housed under one roof. Services might include public computers, counseling, bus passes, housing assistance, and safe spaces to decompress and socialize. There might also be a hotline staffed 24/7 by formerly incarcerated men.

## INSPIRATION + POTENTIAL PARTNERS

### Swords to Plowshares

A San Francisco-based veterans' organization that offers job training, housing, benefits advocacy, and a drop-in center with emergency services under one roof.

### NFLPA app

The NFL Players Association developed a mobile web app to help former players make the difficult transition to 'life after football' when their careers end.

### Warren Wilson College

All students at Warren Wilson College are required to work 15 hours per week on campus, with jobs ranging from maintaining campus vehicles to providing tech support.





### Local Chapters

Grassroots, localized, peer-to-peer support networks of formerly incarcerated men help each other to navigate resources and make healthy decisions. Groups might connect on social media or schedule regular meetings at public libraries, housing complexes, or local parks.



### Website/App

An easy-to-navigate website or smartphone app centralizes resources to help young men plan and manage their reentry process. Young men and alumni might help to create, populate, and maintain the platform. Youth build familiarity with the website or app by starting to use it to plan their reentry during Phase 2 and 3.



I wish we would've learned life skills while inside, like how to open a bank account. Cooking. Communication skills. Paying bills. Looking up a bus schedule. Basic stuff, independent living skills."

—ALEXANDER, FORMERLY INCARCERATED

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# SECTION

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# FOUR

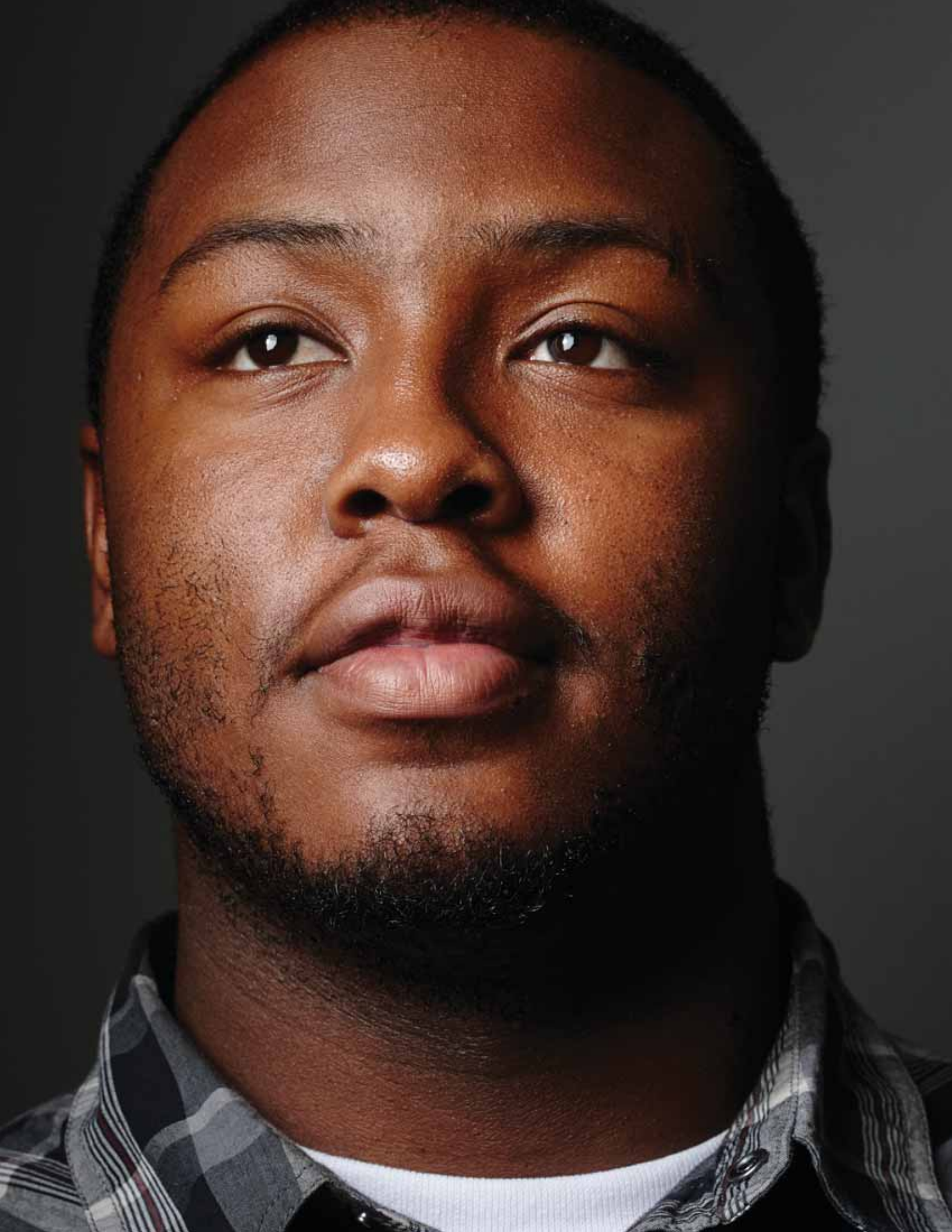
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# ENVIRONMENT

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# CONSIDERATIONS

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# Designing a transformative space

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Considerations for the  
new environment

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Physical space is a powerful tool for introducing, encouraging, and reinforcing new behaviors and mindsets. The way a space looks and feels provides immediate cues to the cultural values and expectations of a place, while helping to instill them.

The following illustrations\* show how the design of the physical environment can help support transition and foster a culture of growth at the California Leadership Academy.

**\*Please note**, these images are meant to be illustrative, not instructive. They are intended to inspire new ways of looking at space, but may need to be adapted to meet important constraints of security and budget.

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## GUIDING DESIGN PRINCIPLES

### From universal to *personalized*

**Allow young men to have a degree of ownership over their living space.** Making better decisions starts by having choice. These young men have few opportunities to make things “their own.” They can build agency by making small—but meaningful—choices.

### From institution to *home*

**Create living spaces that are casual, comfortable, and calming.** Having a place of refuge helps regulate emotions. These men have to work through a lot of negative energy. Designing living spaces more like homes and less like institutions can show young men what positive, supportive environments can look and feel like.

### From isolated to *inviting*

**Create opportunities to bring the inside out and outside in.** Public interaction is essential. Applying new skills to real-world situations helps young men feel more prepared for reentry. Provide welcoming spaces to interact and connect with the community.

### From one size fits all to *multimodal*

**Build in flexibility to support different kinds of group activities, as well as alone time.** Different needs require different spaces. Space should be adaptable to support winding down, concentrating on work, casually hanging out, participating in a group, etc.





## Bedroom

A quiet space for studying, recharging, and reflecting.

### 1 Built-in Storage

By incorporating closets and storage into the walls, rooms are kept more open, organized, and clear of visual barriers.

### 2 Natural Light

High ceilings and large windows let in natural light, providing a sense of openness and a view of nature.



### 3 Modular Furniture

Movable furniture (beds, desks, and chairs) makes it possible for young men to compromise on and individualize the arrangement of this shared living space.

### 4 Bulletin Boards

Young men can personalize the space with limited personal belongings that remind them of loved ones and more.



## Living room

A casual space for meeting, bonding, and discussing.

### 1 Soft, Durable Materials

Comfortable yet sturdy furnishings (couch, stools, and rug) create a residential feel while requiring low maintenance and replacement.

### 2 Live Plants

Young men care for plants to develop a sense of responsibility. Plants bring the healing power of nature inside.





**3 Phone Booth**

A transparent phone booth allows privacy for phone or video calls with mentors and family while maintaining sightlines throughout the space.

**4 Small Group Table**

A casual area to accommodate team meetings, family visits, or group study and collaboration.



## Dining

A central space for cooking, eating, and socializing.

### 1 Open Layout

The kitchen is opened up to the dining area so that food preparation, cooking, and serving become a part of the meal process.

### 2 Environmental Graphics

Environmental graphics provide way-finding and enliven the space in a simple yet dramatic way.



**3 Professional Appliances**

Cooking and meal prep becomes a learning opportunity as young men develop skills they could use in a professional kitchen.

**4 Chalkboard**

A prominent chalkboard wall allows young chefs to feature their menus. Young men rotate chores and learn to work together.

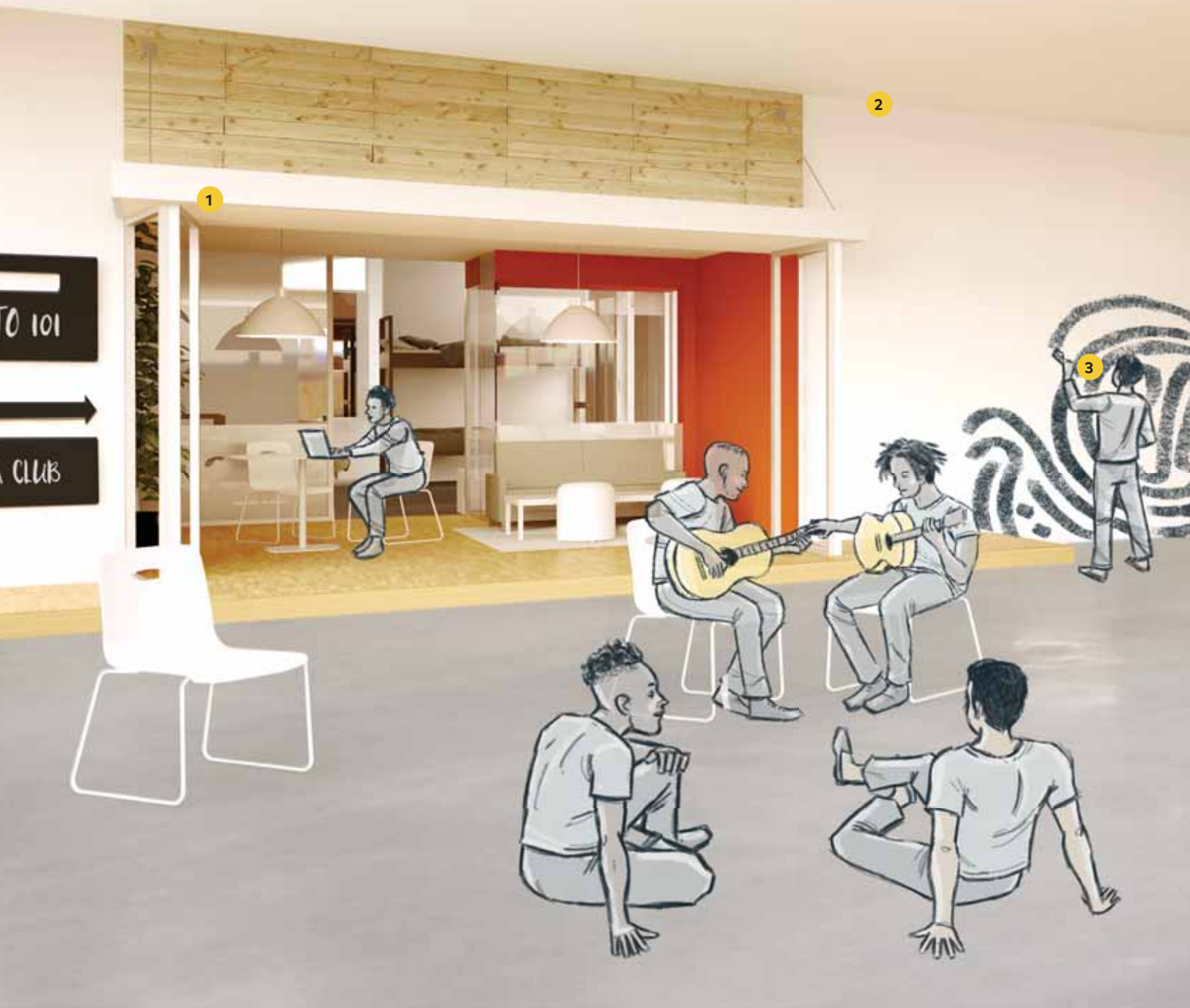
**5 Reconfigurable Tables**

Square tables can accommodate small groups or be pushed together for special occasions (e.g., holidays or birthdays).

**6 Gallery Wall**

Public display of work is an important motivator. Young men feel that their work is important and valuable when it is put on display.





## Commons

A gathering space for sharing, learning, and experimenting.

### 1 Sliding Glass Doors

Sliding bi-fold doors allow living rooms to be opened up to the shared commons or closed off to provide more privacy and quiet space.

### 2 Unique Facades

Different materials and colors help differentiate each unit. Youth have opportunities to decorate and individualize their space.



### 3 Mural Wall

Large walls provide a space for young men to develop skills and express themselves, perhaps with the help of visiting artists.

### 4 Front Porch

An intermediary space that mimics the front porch of a house—a place where people naturally hang out and socialize with neighbors.

### 5 Movable Furniture

Chairs are stackable and flexible to accommodate group circle discussions as well as casual socializing and events.



# Lobby

A public space for community building, networking, and events.

## 1 Glass Facade

A bright, airy atrium is open and inviting. Visitors feel welcome and can view activities happening inside.

## 2 Multi-Purpose Room

A large, open space with easily reconfigurable furniture can host different programs and events open to families and the public.





### 3 Kiosk

A movable kiosk provides a space for young men to test entrepreneurial business ideas and get real-world experience selling to and engaging with customers.

### 4 Wall of Fame

Success stories of formerly incarcerated men are displayed to inspire youth with stories of transformative change that they can relate to.

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# SECTION

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# FIVE

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# CONCLUSION

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# Sustaining change

To prepare incarcerated youth to become responsible citizens, **give them the foundational experiences they missed in childhood.**

## Developmental needs

Address the developmental needs youth missed in childhood

1

**Feeling unconditional support**

2

**Learning to play constructively**

3

**Setting and achieving goals**

## Experience concepts

Choreograph holistic experiences that combine programs, spaces, roles, and tools.



**Consistent care**

A team of mentors who develop a personal relationship with a young man throughout their entire journey.



**Positive play**

Programs and events that help young men develop new habits for play—when relaxing alone or having fun with friends.



**Progress portfolio**

A digital tool to help young men develop the critical habits of setting goals, tracking progress, and sharing success.

# Shifts

Treat transition as a journey, not a checklist

<p><i>from</i> <b>Hand-offs</b> <i>to</i> <b>Consistent relationships</b></p> <p>Set up staff to be dedicated long-term to individual young men.</p>	<p><i>from</i> <b>Excluding</b> <i>to</i> <b>Engaging the formerly incarcerated</b></p> <p>Include successful formerly incarcerated men early and often.</p>
<p><i>from</i> <b>Going back</b> <i>to</i> <b>Starting over</b></p> <p>Allow young men to start fresh in new environments.</p>	<p><i>from</i> <b>Artificial structure</b> <i>to</i> <b>Real-world agency</b></p> <p>Provide increasing access to opportunities and exposure to real-world situations.</p>

4

**Looking up  
to positive  
role models**

5

**Finding  
your voice**

6

**Dreaming  
big**

7

**Asking  
for help**



## Authentic guidance

Firsthand accounts of how to successfully reenter society, taught online and in person by formerly incarcerated men.



## Confident communication

Programs, roles, and events that help young men build effective communication skills, such as writing and public speaking.



## Career pathways

Programs and partnerships that allow young men to pursue their interests in high-demand industries or entrepreneurship.



## Navigating adulthood

Experiences and services that help young men learn how to navigate resources, ask for help, and become self-sufficient.

---

# THESE MEN

---

# ENTER OUR

---

# PRISONS

---

# YOUNG.

---

Their brains are still developing.  
So are their identities.

To help them transition to a stable  
adult life, we need to fill in missing  
gaps from their childhoods.



If we do, there's a multiplying effect.  
We can prevent future crimes.  
Lower the cost of incarceration.  
We can change lives.

It won't be easy.  
But change never is.  
Just ask these young men.

---

**BUT WITH**

---

**THE RIGHT**

---

**SUPPORT,**

---

**CHANGE IS**

---

**POSSIBLE.**

---





# Thank you

Thank you to the currently and formerly incarcerated men who candidly shared their stories and ideas with the hope of improving outcomes for tomorrow's youth.

## ABOUT IDEO

IDEO is a global innovation and design firm that uses a human-centered approach to help organizations in the business, government, education, and social sectors innovate and grow.

IDEO partners with leaders and change agents to solve meaningful problems through design.

Often, IDEO's human-centered approach brings a fresh perspective to complex systemic challenges. For example, in the public sector, IDEO has worked to design homes for disabled veterans with Wounded Warriors; transformed the voting system in Los Angeles county; and reimaged the school lunch experience with San Francisco public schools.

As experts in innovation, IDEO brings the unique ability to look at problems as opportunities. On the topic of reducing recidivism, IDEO brings a fresh perspective to a critical question: how might we support a seamless and sustainable transition back into the community?

IDEO's approach to problem solving and innovation begins and ends with people. The work presented here is deeply rooted in an understanding of the needs of men incarcerated at a young age. The concepts are based on insights from interviews and workshops with over 30 formerly and currently incarcerated men. The team also spoke with over a dozen experts in the field of criminal justice.

The goal of this work is to provoke and explore fresh ideas and imagine a new path forward.



## ABOUT THE CALIFORNIA LEADERSHIP ACADEMY

The California Leadership Academy is a new model for reducing recidivism among 18 to 25-year-old male inmates in the state's adult prison system.

These young men have the highest rate of recidivism of any age group. Their repeated incarceration strains our criminal justice system, drives up costs, and burdens community programs. Reducing their recidivism rate, even by modest levels, will produce significant economic and social benefits.

A growing body of science shows that certain brain functions are not fully developed until the mid-20s. From a corrections standpoint, this presents a golden opportunity to impact the development of moderate- to high-risk young adult offenders. With the right interventions—focused on well-researched and evidence-based behavioral health, education, and reentry practices—we can lower recidivism rates.

Creating a pilot version of the California Leadership Academy as recommended in this proposal will further our understanding of what strategies are most effective to break the cycle of crime and incarceration. We expect to see real and measurable effects, including reductions in institutional misconduct, increases in prosocial behavior, and better prospects for long-term success for these young men.