Oakland Unite: Overview of Evaluation Findings and Recommendations

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Oakland Unite: Overview of Evaluation Findings and Recommendations

Introduction:

Resource Development Associates (RDA) has been the external evaluator for the City of Oakland’s Measure Y initiative since 2008. In that role, RDA has worked with the City’s Human Services Department (HSD) and contracted service providers to design and implement a mixed-methods evaluation to examine both the implementation and the impact of Oakland Unite Violence Prevention Programs. This memo is intended to provide an overview of evaluation findings to date, along with recommendations for improving Oakland Unite programs and the broader Oakland Unite service delivery infrastructure.

Evaluation Overview

Over the past 8 years, RDA has used a mixed methods approach to evaluate the implementation and effectiveness of the Oakland Unite initiative, as well as of specific Oakland Unite strategies, and of individual Oakland Unite programs. Our qualitative data collection activities have included interviews and focus groups with a range of Oakland Unite stakeholders, including both executive-level and line staff in community-based service providers, program participants, and leadership from partner agencies, such as the Oakland Police Department (OPD), Oakland Unified School District (OUSD), Alameda County Health Care Services Agency (ACHCSA), and more. In addition, the evaluation team has collected a range of quantitative data, including client-level service data from Oakland HSD’s CitySpan data system; justice-system data from Alameda County Probation Department’s (ACPD) Juvenile Division, ACPD’s Adult Division, and the California Department of Corrections and Rehabilitation (CDCR); OUSD data on youth attendance, suspensions, and expulsions; and client surveys on development assets, service quality, and more.

Overview of Recommendations

Drawing on our knowledge of the Oakland Unite programs, our experience in violence prevention, and conversations with experts in the field, the RDA team developed a set of recommendations intended to improve future programming by leveraging current programmatic strengths and addressing areas of need and challenge. These recommendations are grounded in best practices and the current needs of Oakland’s crime prevention programs. Informed by discussions with Oakland Unite leadership, partners from other public agencies, and conversations with clients and providers, RDA conducted reviews of best practices in the areas of criminal justice, violence prevention, case management, social work, and mental health. We triangulated these best practices with our evaluation findings to develop a series of targeted recommendations. Below, we present an overview of our evaluation findings along with recommendations for addressing challenges identified in our evaluations.
Findings and Recommendations

The Oakland Unite programs have had a number of impressive achievements since the initiative was implemented in 2005. In particular, across all years of the initiative, participants in those programs that work with individuals with recent criminal justice system involvement showed Oakland Unite reduced criminal justice involvement after participating in Oakland Unite programs. Participants were less likely to be arrested or convicted of any new offense—either violent or non-violent—after participating in an Oakland Unite program, with particularly striking decreases in the percentage of clients arrested or convicted for violent offenses. Figure 1 shows the percentage of Oakland Unite clients who were arrested before and after participating in Oakland Unite programs.

**Figure 1. Percentage of Clients Arrested for New Crimes Before and After Oakland Unite Participation**

![Graph showing percentage of clients arrested](image)

Key Findings: Oakland Unite Target Population

**Initiative Successes:** This ongoing post-service reduction has been particularly impressive given the way that the initiative’s target population has shifted. In particular, Oakland Unite has refined its service delivery model to serve a higher-risk population, including more young adults rather than youth; more men and boys compared to girls and women; and more clients with histories of justice system involvement. As Figure 2 shows, when the initiative began in fiscal year 2005/06, less than 40% of client in recidivism-targeting programs has a criminal history with the Alameda County Probation Department and/or the California Department of Corrections and Rehabilitation from 2005 through 2012. By the most recent two years, more than half of all clients (51%) were found to have a criminal history.
This shift has been especially true for reentry programs. Figure 3 looks specifically at the proportion of clients in Reentry Services programs (including the Project Choice, Reentry Employment, and Juvenile Justice Center/OUSD Wraparound Services strategies) with a history of criminal involvement, showing that the percentage of clients who had a history of involvement with ACPD and/or CDCR increased from 57% in the first two years of the initiative to 77% by the most recent years available.

**Areas for Improvement:** Despite the notable shift in the Oakland Unite target population – from clients considered at risk for justice system involvement to clients with active justice system involvement – this shift is not yet complete. As Figure 2 shows, while recent Oakland Unite clients are more likely to have
justice system involvement than clients from the initiative’s early years, almost half of the clients in the programs and strategies that are supposed to reduce justice system contact do not have an active or recent criminal record with ACPD or CDCR. Although this data does not include clients who have criminal records in other jurisdictions, it nonetheless indicates that a substantial proportion of clients continue to be “at-risk” rather than high risk.

 Recommendation: Explicitly Define the Target Population

In order to continue its impressive progress toward targeting higher-risk, more justice-system-involved clients, Oakland Unite should develop a more formalized and robust processes to identify high-risk populations and individuals. To do so, HSD should explicitly define the target populations, including perpetrators, victims, and families. To do so, Oakland Unite should develop specific definitions to define what “high-risk” means for different population, including determining whether risk is specific to recidivism only or should specifically include involvement in violence.

This definition should align with a validated risk tools, such as the CAIS, JAIS, LS/CMI, YLS/CMI and COMPAS, to allow programs to accurate assess and identify individual with high risk. By instituting a specific definition of risk accompanied by a validated method for identifying and measuring risk, Oakland Unite will be able to better target the appropriate clients and tailor services to their needs.

Key Findings: Oakland Unite Service Delivery Infrastructure

**Initiative Successes:** Evaluation findings indicate that, in addition to modifying its strategies to be more aligned with the City’s violence prevention needs, over time Oakland Unite has built a coordinated infrastructure for delivering high-quality services. To achieve this coordination, HSD both helped strengthen existing interagency partnerships and also developed new ones. For example, OU began requiring regular cross-sector meetings for grantees. Leadership from agencies including HSD, OUSD, OPD, and Highland Hospital pointed to the effectiveness of such meetings. Such meetings have helped foster a high level of coordination and communication between Oakland Unite service providers and across Oakland Unite providers and City and County agencies, including OUSD, Probation, OPD, and Alameda County Health Care Services Agency. Among grantees, Oakland Unite has fostered a culture of collaboration to facilitate cooperation. Oakland leaders and partners noted that while many partners were initially resistant to collaborate with each other and with public agencies, such partnerships are now the norm.

- “There are good structures built around doing the work and trying meet the needs of the kids...each public system entity gets better the more we find places our work intersects.” (Curtiss Sariskey, OUSD)
- “Communication from the hospital to the street [is] so powerful on both ends...it’s a true intervention.” (Stefania Kaplanes, Highland Hospital)
- “The relationship between DHS and HCSA has a long and strong tradition of collaboration, and that collaborative culture is one of the strengths of Measure Y.” (Alex Briscoe, ACHCSA)

**Areas for Improvement:** Despite Oakland Unite’s impressive success in building a collaborative,
coordinated service delivery infrastructure, there are a number of opportunities for HSD and its partners to continue to build on these successes and improve the overall service delivery infrastructure. In particular, despite the fact that there are strong partnerships between certain service providers as well as between Oakland Unite service providers and certain external partners, there are other areas with limited partnerships. Not all reentry-related service providers work with Probation or with each other to do case conferencing or develop collaborative case plans, despite the fact that doing so is an established best practice which can improve service coordination for clients. In addition, there is limited collaboration with the Alameda County Sheriff’s Office, despite research on the importance of pre-release case planning.

Recommendation: Formalize Existing Partnerships

Oakland Unite’s service delivery infrastructure would benefit from more formalized partnerships with a number of agencies and entities, including the Alameda County Probation Department and the Alameda County Sheriff’s Office. In addition to more formalized partnerships, there remains a critical need for better data sharing and for more in-depth coordination of services for formerly and currently incarcerated individuals. Given the challenge of information sharing and of collaborative case planning, Oakland Unite should consider the benefits of funding positions to embed on-site at ACPD and Santa Rita Jail. These positions would serve as liaisons between probation and jail-based services and Oakland Unite providers and could serve as a nexus for coordinated case planning and information sharing. They would also help build a more robust continuum of services from jail to the community. Oakland Unite should also engage County realignment efforts to coordinate efforts and leverage resources related to reentry services. This might involve developing formal information sharing agreements, improving communication, and identifying ways partners can work in tandem, coordinate efforts, and share resources.

Key Findings: Oakland Unite Direct Service Provision

Initiative Successes: Across all Oakland Unite programs and strategies, clients’ have repeatedly underscored the importance of their relationship with their Oakland Unite mentors and case managers. For many clients, these relationships are directly tied to the fact that many case managers come from the same neighborhoods and understand the experiences of participants. Even those case managers who do not come from the same backgrounds as Oakland Unite participants quickly build trust with their clients through their commitment to and investment in their clients.

- “Growing up, I didn’t have my mom, my pops, and I turned to the street. When I saw that they wasn’t there for me, I went to this program and they filled that family void for me that wasn’t there.”
- “I thought I’d come and not want to be here, not want to talk; I thought people weren’t really going understand who I was, why I did stuff, they’d be judgmental and they really aren’t. And they care. You don’t wonder if they care with anyone who works with these organizations. You know that they care.”

In addition, case managers help clients navigate the multiple, complex issues they are dealing with, helping clients get to appointments, advocating for them in court, helping them remain probation compliant, and more.
Areas for Improvement: While the importance of the relationships between Oakland Unite clients and providers cannot be understated, it is also important to note that many of the case management services are informal in nature, and do not draw on established case management models or practices. In particular, there is limited use of evidence-based practices, such as motivational interviewing or cognitive behavioral therapy, and many programs do not use validated criminogenic assessments as the basis for developing client case plans.1 Similarly, there is inconsistent understanding of trauma informed care across Oakland Unite providers, with some providers bringing extensive training in case management in general and trauma-informed case management in particular, while other providers have little training besides their own lived experiences. Finally, despite their dedication and commitment, many Oakland Unite service providers struggle to link clients to the services they need, including housing, anger management, substance abuse treatment, child care, and more.

Recommendation: Build Professional Capacity among Providers and CBOs

Oakland Unite mentors are a key component of the programs current and future efforts. The relationship development, mentoring, and guidance they provide to clients is a one of the initiative’s biggest assets. At the same time, more training and increased professionalization could build up and improve these services. Oakland Unite should provide resources and funding for training in evidence-based and promising practices. Training should focus on building capacity in case management practices, especially in regards to specific practices known to be effective with current and formerly incarcerated individual—which includes motivational interviewing, cognitive behavior therapy (CBT) and trauma-informed approaches. Building capacity and professionalism among providers would also address the need for more intensive case management services and intervention practices.

Building professionalism includes providing training and resources to implement established case management models and practices. Oakland Unite should provide CBOs with funding, training, or technical assistance to establish a case management approach, determine caseload sizes, and implement

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1 Criminogenic assessments are structured surveys that can identify clients’ needs with a focus on factors most strongly associated with recidivism. (Edward J. Latessa & Christopher Lowenkamp, What Are Criminogenic Needs and Why Are They Important?, For the Record 4th Quarter 2005, 15 (2005))
case management practices such as screening and assessment, collaborative case planning, and service linkages. This should also include establishing organizational structures for case managers to receive regular supervision from trained case manager supervisors.

Similarly, training should also serve as an opportunity to strengthen the service delivery at a system level by providing CBOs and public entities with funding and resources for training in evidence-based models of care such as trauma-informed care. Additionally, Oakland Unite should provide resources for trainings of trainers to build a sustainable capacity within organizations to disseminate the use of evidence-base practices.

Key Findings: Oakland Unite Employment Services

Initiative Successes: Across both youth and adult reentry employment services, Oakland Unite has helped build a strong network of providers who can provide a mix of soft- and hard-skills training to clients. Although these programs vary somewhat in their specific target populations and formats, all provide a combination of case management, education, job readiness training, and subsidized employment over a period of three-to-six months, as well as job placement and retention support services longer term. Few clients have GEDs or high school diplomas and many struggle with basic literacy and math skills. As one provider explained, “They need education, skills. Some cannot write a sentence properly.” Many also lack meaningful employment histories and, even clients who have held jobs in the past have often done so under the table, so they still have “gaps in their work history or lack of a documented work history, lack of documented, transferrable skill sets.”

Because of their limited education and employment experience, the vast majority of participants lack the basic soft skills necessary to obtain and maintain gainful employment.

Reentry Employment programs help clients gain the soft and hard skills they need to be successfully employed through a combination of educational support, soft-skills training, and subsidized employment.

A number of clients highlighted the importance of learning how to find a job and how to act at work on a daily basis.

- “They were putting people back into the routine of getting up in the morning, utilizing your time, taking advantage of the opportunities in front of you. It really tries to put people back in motion and get people mobile with their time.”
- “I learned how to respect others, like greeting people. I can also say that this program helped me with my references, my cover letter, that sort of thing. Now I can fill out a whole job application. It bettered me for a lot of things.”

Areas for Improvement: Although Oakland Unite reentry employment programming provides clients with a range of critical skills and experiences to help them obtain gainful employment, few programs provide structured mechanisms to help clients find unsubsidized employment following program completion. In particular, few reentry employment providers focus on job development and building relationships to potential employers. In addition, most programs do not offer apprenticeship programs that could
transition into permanent employment, nor do they provide certification programs, which could better prepare clients for specific career trajectories and strengthen their resumes.

Recommendation: Expand Employment Services to Increase Job Placement and Retention

To support better job placement and retention, Oakland Unite should expand services to focus on job placement in addition to skill development. Services such as job search help, coaching, and ongoing employment retention support are key ways to support clients in finding and maintaining employment. Job placement programs and Oakland Unite more generally should make intentional efforts to understand the local job market and target areas with high growth opportunities and industries that are more likely to hire formerly incarcerated individuals.

Individuals with felony convictions experience barriers related to stigma and other negative perceptions from employers that contribute to high rates of unemployment among this population. Creating incentives for businesses and industries to hire individuals with felony convictions could create more jobs for hard-to-hire populations. Programs such as non-transitional subsidized employment offer short-term wage subsidies to businesses as incentives to hire and train clients for a limited period of time after which the client’s position would then convert into a permanent position. This approach is especially effective with individuals who have some employment experience, but need support reentering the workforce.

Recommendation: Establish New Partnerships with Employment Focused Services

Oakland Unite develop partnerships with job creation and employment entities such as Workforce Development, local businesses, community colleges, and employment service providers to identify job growth opportunities and employment resources and align employment efforts. This partnership should also aim to establish referral and information sharing agreements to allow case managers the ability to refer clients to employment services and provide support to client when needed.
Appendix A: CeaseFire and Street Outreach Programs Literature Review

CeaseFire and Street Outreach Programs in the Literature

There are two main program models that focus on reducing gang or group-based violence through targeted interventions. Focused deterrence programs, often referred to as CeaseFire programs, are used to prevent and control gun violence, especially stemming from gang violence and overt drug markets. These programs are increasingly being used by law enforcement to control violence, and available research indicates that the focused deterrence programs do have the desired effect of reducing violence in the targeted areas. The first two program examples outlined below detail CeaseFire violence prevention strategies that have been used in two cities to target and reduce gun violence. The third program model differs from the first two; although this model also emphasizes targeted group-based violence reduction, Baltimore’s Safe Streets Program is primarily a street outreach intervention and, unlike the first two models, does not partner closely with law enforcement as part of a “stick and carrot” approach.

The Boston Gun Program and Operation Ceasefire

<table>
<thead>
<tr>
<th>Description</th>
<th>The Boston Gun Program is aimed at reducing homicide victimization among youth aged 24 and below.</th>
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<tbody>
<tr>
<td>Outcomes</td>
<td>• Majority of worksite managers indicated their intern did exceptionally well at the work site.</td>
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<td>• Majority of worksite managers also indicated they “would like to hire” or “would like to extend” the internship (approximately 50% who stated they “would like to hire” the participant did so).</td>
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Program Description:

The National Institute of Justice’s Boston Gun Program is aimed at reducing homicide victimization among youth aged 24 and below. “The project was designed to proceed by: (1) assembling an interagency working group of largely line-level criminal justice and other practitioners; (2) applying quantitative and qualitative research techniques to create an assessment of the nature of, and dynamics driving, youth violence in Boston; (3) developing an intervention designed to have a substantial, near-term impact on youth homicide; (4) implementing and adapting the intervention; and (5) evaluating the intervention’s impact.”

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The Operation Ceasefire intervention that was implemented included two main components: (1) A law enforcement attack on illicit firearms traffickers arming youth with guns and (2) an attempt to generate a strong deterrent to gang violence. Concurrently, street workers, probation and parole officers, and later church and other community groups offered known gang members services and other types of assistance/support.3

Program Interventions/Activities:

“To systematically address the patterns of firearms trafficking...the Working Group:

- Expanded the focus of local, State, and Federal authorities to include intrastate firearms trafficking in Massachusetts in addition to interstate trafficking.
- Focused enforcement attention on traffickers of the makes and calibers of guns most used by gang members.
- Focused enforcement attention on traffickers of guns that had short time-to-crime intervals and, thus, were most likely to have been trafficked. (The time-to-crime interval is the time from the first retail sale to the time the gun is confiscated by the police. The Boston Field Division of the Federal Bureau of Alcohol, Tobacco and Firearms (ATF) set up an in-house tracking system that flagged guns whose traces showed a time-to-crime interval of 18 months or shorter).
- Focused enforcement attention on traffickers of guns used by the city's most violent gangs.
- Attempted to restore obliterated serial numbers of confiscated guns and subsequently investigate trafficking based on those restorations.
- Supported these enforcement priorities through analysis of data generated by the Boston Police Department and ATF’s comprehensive tracing of crime guns and by developing leads from the systematic debriefing of gang-affiliated arrestees or those involved in violent crime.

The second strategic element, which became known as the "pulling levers" strategy, involved deterring the violent behavior (especially gun violence) of chronic gang offenders by:

- Targeting gangs engaged in violent behavior.
- Reaching out directly to members of the targeted gangs.
- Delivering an explicit message that violence would not be tolerated.
- Backing up that message by "pulling every lever" legally available (i.e., applying appropriate sanctions from a varied menu of possible law enforcement actions) when violence occurred.

Concurrently, the Streetworkers (a coalition of Boston social service workers), probation and parole officers, and, later, churches and other community groups offered gang members services and other types of assistance. Throughout the intervention process the Ceasefire message was delivered repeatedly: in formal meetings with gang members, through individual police and probation contacts with gang members, through meetings with inmates of secure juvenile facilities, and through gang and street outreach workers. The message was a promise to gang members that violent behavior (especially gun

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violence) would evoke an immediate and intense response. Although nonviolent crimes would be dealt with routinely within the criminal justice system, violence would receive the Working Group's focused enforcement actions.”

In addition to the program components noted above, streetworkers and law enforcement teams, most notably the Youth Violence Strike Force (YVSF) work to prevent violence and engage youth in services through strategic communication. For instance, if the director of streetworkers heard that that two gangs were going to be fighting, he could quietly notify the YVSF, who could then deploy a large number of police to the area in order to prevent the incident. Further, if a YVSF officer noticed that one or more of the gang members present at the scene were under the supervision of Boston’s Department of Youth Services (DYS), they could notify DYS and arrange for the youth to be picked up and held in a DYS facility until things calmed down. While the youth was being held, DYS would coordinate with community-based workers to come into their facilities to meet with youth and try to engage them in services.

Time Frame:


Assessment Tool:

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<th>Assessment Tool</th>
<th>Purpose</th>
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<tr>
<td>Braga et al.’s (2001) analysis of impacts within Boston associated with Operation Ceasefire using a one-group time series design and a non-randomized quasi-experiment.</td>
<td>To measure the impact of Ceasefire intervention to reduce violent crime by street gangs. Specifically, the analysis assesses the impact of Operation Ceasefire on monthly homicide victims age 24 and younger, as well as monthly counts of citywide shots-fired citizen calls for service and citywide gun assault incidents.</td>
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Outcomes:

Results from Braga, Kennedy, Waring, and Piehl’s (2001) analysis indicate that between pre and post-intervention time periods there was a statistically significant 63 percent reduction in youth homicides, 25 percent reduction in gun assaults, and 32 percent reduction in shots fired calls for service.

Chicago’s Project Safe Neighborhoods

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<th>Key Highlights</th>
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<td>Description</td>
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<td>Two principles guided this program: (1) enforcement efforts would target those most at risk of being a victim and offender of gun violence, and (2) serious efforts would be directed towards changing the normative nature of gun violence.</td>
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Outcomes

- Approximate 37 percent decrease in monthly homicide compared to preceding three years prior to program implementation.
- Individuals who attended a “Project Safe Neighborhood” forum were almost 30 percent less likely to return to prison compared to similar individuals who did not attend a forum.
- Survey results indicated that offenders are more likely to comply with law and not to carry a gun when they have more positive opinions towards law and the police.

Program Description:

Since 2002, a Department of Justice funded program called Project Safe Neighborhoods (PSN) has been implemented in Chicago with the specific charge of reducing the city’s high levels of homicide and gun violence. Participating program members include representatives from: the Chicago Police Department, the Cook County State’s Attorney’s Office, the Illinois Department of Correction, the Cook County Department of Probation, the United States’ Attorney’s Office for the Northern District of Illinois, the City of Chicago Corporation Counsel, the Chicago Alternative Policing Strategy, the Chicago Crime Commission, and more than 12 community-based organizations. Their gun violence reduction strategy is comprised of four interventions: (1) increased federal prosecutions for convicted felons carrying or using guns, (2) lengthy sentences associated with federal prosecutions, (3) supply-side firearm policing activities, and (4) social marketing of deterrence and social norms messages through offender notification meetings.

Program Interventions/Activities:

Chicago’s PSN programming has three program areas – the community-level (prior to any criminal actions), a law enforcement strategy, and multi-agency case review and prosecutorial decision making. The majority of Chicago’s PSN programming is said to occur in the first program area, the community-level. Community level interventions include community outreach and media campaigns, school based programs, and various programs and forums specifically geared towards known gun offenders.

The community- and school-based programs involved working with local non-profits to provide gun violence prevention education to high-violence primary and secondary schools. These programs, titled “Hands without Guns” and “In My Shoes,” brought outreach workers to schools to talk to students about strategies for deescalating tense situations so that they did not result in gun violence. In My Shoes also organized dialogue sessions between students and victims of gun violence (many in wheelchairs), who spoke about how guns had changed their lives.

Offender Notification Forums were also held approximately twice per month. Offenders with a history of gun violence and gang participation who were recently placed on parole or probation were requested to

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attend a forum hosted by the PSN taskforce. The forums were designed to stress to offenders the consequences should they choose continue to be involved in violence and to explain the ways in which the program would support them, should they want to change their lives. After explaining these choices, the forums then presented speakers from various community based organizations discussing their programs and services, and describing how interested individuals could participate.

Chicago’s PSN law enforcement strategy also focused on high-risk populations and known gun offenders in targeted geographic areas, and leveraged the role that federal prison sentences for gun charges could have as a deterrent effect. A multi-agency task force reviewed every gun case bi-weekly to determine whether a federal prosecution could yield a longer prison sentence than a state prosecution, and cases involving individuals with a previous history of gun violence, occurring in the targeted program areas, or accompanying severe circumstances were referred for federal prosecution. For cases sent to the state system, PSN taskforce members stressed to judges the campaign to crack down on gun violence to promote longer sentencing in hopes of yielding a deterrent effect.

Time Frame:

Data were collected for the 72 month period from January 1999 to December 2004 and collapsed to 24 quarter time periods for analysis. The intervention began in 2002.

Assessment Tool:

<table>
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<th>Assessment Tool</th>
<th>Purpose</th>
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<tbody>
<tr>
<td>Papachristos et al.’s (2007) evaluation of Project Safe Neighborhoods in Chicago</td>
<td>To measure the impact of Chicago’s PSN to reduce gun violence in targeted neighborhoods, and to reduce re-offending from prior gun-offenders.</td>
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Outcomes:

There was an approximate 37 percent decrease in monthly homicides compared to the preceding three years prior to program implementation. There was also a statistically significant reduction in gun homicides and aggravated assaults in the targeted districts. Finally, individuals who attended a “Project Safe Neighborhood” forums were almost 30 percent less likely to return to prison compared to similar individuals who did not attend a forum, and survey results indicated that offenders are more likely to comply with law and not to carry a gun when they have more positive opinions towards law and the police. There was no statistically significant reduction in gang homicides specifically, but this was not the primary target, as is the case for some Ceasefire programs.

Baltimore’s Safe Streets Program

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<td><strong>Description</strong></td>
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offenders and violence intervention tactics as key approaches to reducing gun violence. The program also attempts to change social norms surrounding shootings, sending the message that using guns to resolve conflict is unacceptable. There is little law enforcement involvement in this approach.

**Outcomes**
- Statistically significant reduction in homicides and nonfatal shootings
- Less favorable attitudes towards using gun to resolve disputes

**Program Description:**

Baltimore’s Safe Streets program considers itself a replication of Chicago’s Ceasefire program, consisting of five core components including community mobilization, street outreach, public education, faith based leader involvement, and criminal justice participation. The program is aimed at reducing violence in general, and gun violence more specifically. The program also attempts to change social norms surrounding shootings, sending the message that using guns to resolve conflict is unacceptable. In contrast to the previous CeaseFire program models, this model is centered in community-oriented street outreach and does not utilize the call-in approach of the other two. This model also has much less law enforcement involvement.

**Program Interventions/Activities:**

Baltimore’s Safe Streets program was implemented in four separate neighborhoods in Baltimore, the first program starting in June 2007 and the last starting in January 2009. The program has five core components including community mobilization, street outreach (including violence intervention tactics), public education, faith based leader involvement, and criminal justice participation. Each program includes a center (3 sites in one neighborhood share one center) staffed by a site director, a violence prevention coordinator responsible for community mobilization, four full-time-equivalent outreach worker positions, and an outreach supervisor.

The community mobilization component of the program is used to build a base of support for Safe Streets and to build neighborhood-based coalitions that include youth organizations, faith leaders, block club members, community residents, as well as local law enforcement. This coalition is designed to ensure responses to all shootings and distribute public education materials community wide.

Street outreach workers are local community members, many of who have had a history of involvement with street violence. They are present in the community during hours when, according to statistics, violence is most likely. These workers canvass the neighborhood and get to know community members, and the individuals who are of greatest risk of becoming a victims or perpetrators of shootings and/or killings. The goal of the street outreach workers is to have a pulse on the streets and to be informed about everything going on with the community, as well to intervene in high-risk incidents.

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10 ibid

The violence intervention tactic is the most directly relevant program component to the immediate reduction of gun violence, as this component involves street outreach workers mediating high-risk incidents within the targeted communities. Typically these incidents involved individuals or groups with violent pasts (88%), gang members (75%), and weapons at the scene (nearly 67%). Outreach staff mediated 276 of these sorts of incidents from July 2007 – December 2010, and reported that they successfully resolved approximately 69% of them (no serious violence), and temporarily resolved another 23% of these cases.

Street outreach workers also carry a caseload of around 15 – 20 at risk community members (program participants), and assist them in changing the directions of their lives. Program participants must either have gang/crew involvement (or thought to be actively involved with violence by police), a prior criminal history including crimes against persons, pending or prior arrests for weapons offenses, high-risk street activity, be a recent victim of a shooting (shot within last 90 days), recently released from prison or juvenile detention center, and/or be between the ages of 14 -25. Once participants are identified, street outreach workers help to connect them, as well as their families, to educational opportunities, employment training, mental health and substance abuse services, etc., in hopes of reducing the risk of violence.\(^\text{12}\)

Time Frame:

Homicide data and nonfatal shootings data (NFS) were collected for the period of January 1, 2003 – December 31, 2010. Programmatic interventions began in the McElderry Park neighborhood in July 2007. Elwood Park’s program was fully implemented as of March 2008 while Madison-Eastend and Cherry Hill were implemented as of January 2009.

Assessment Tool:

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<tr>
<td>John Hopkins Bloomberg School of Public Health (2012) evaluation of Baltimore’s Safe Streets program.</td>
<td>To assess the impact the street outreach intervention had on reducing shootings and homicides in the intervention neighborhoods, as compared with high crime comparison areas (police posts) without the intervention.</td>
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</table>

Outcomes:

Comparison of changes in the number of homicides and nonfatal shooting incidents per month in the intervention neighborhoods as compared with high crime comparison areas (police posts) without the intervention were used in order to assess the impact the street outreach intervention had on reducing shootings and homicides in the intervention neighborhoods, as compared with high crime comparison areas (police posts) without the intervention. To be a comparison area, the police post must have been in the top 25% among all posts for the number of homicides and nonfatal shootings from 2003 to 2006.

“In Cherry Hill, Safe Streets was associated with statistically significant reductions of 56% in homicide incidents and 34% in nonfatal shootings. Program effects in the three East Baltimore sites varied... There was also evidence that positive programs extended into areas bordering the neighborhoods that implemented Safe Streets. Totaling statistically significant program effects across all the program sites and border posts we estimate that the program was associated with 5.4 fewer homicide incidents and 34.6 fewer nonfatal shooting incidents during 112 cumulative months of intervention post observations. There would have been more than 10 additional homicide incidents prevented had there not been significant increases in Madison-Eastend and in the area bordering Elwood Park that coincided with program implementation."

Additionally, survey data of youth from McElroy Park indicated they were much less likely than youth in the other neighborhoods to believe that it was okay to use a gun to resolve disputes. Interviews with program participants who sought assistance also reported that “outreach workers helped with activities including: finding a job (88%); 5 job interviewing skills (75%); job training (63%); getting into a school or GED program (95%); and resolving family conflicts (100%). Outreach workers also helped the majority (52%) of program participants settle an average of two disputes. Twenty-eight percent of these disputes involved guns and 91% avoided violence. Overall, 80% of program participants reported that their lives were “better” since becoming program participant of Safe Streets.”

Developing a Successful Street Outreach Program

Components to Consider:

RDA reviewed effective violence prevention/street outreach programs, as well as a review of reviews of effective violence prevention/street outreach programs across various cities in the United States and compiled the following list of program components to consider when implementing a street outreach program.

Specific Purpose/Target Audience:

It is imperative to lay out clear programmatic goals prior to implementing a violence prevention/street outreach program. Each program should consider what their target population or specific purpose is. Is the program’s purpose to reduce gun violence in general, or gang violence or drug market related violence more specifically? Is it to connect at-risk youth with positive opportunities? Making this decision is key prior to moving forward with program implementation.

14 ibid
Type of Street Outreach:

Program coordinators should have clear outreach strategies in place prior to program implementation. Various violence prevention programs utilize disparate outreach strategies to reduce neighborhood violence. While some programs focus more on building closer and long-term relationships with violent or at-risk community members, others focus their resources towards conflict mediation and high-risk situations. Regardless of the strategy that is implemented, outreach staff must be able to build trusting relationships with the targeted youth/offending populations. Depending on the intended target populations, programs may want to hire workers with direct experience with gangs and/or street violence in order to be able to build these kinds of relationships.

Program Partnerships:

A key decision to make is whether or not the street outreach program will include a partnership with local law enforcement. The majority of outreach programs consider this relationship as crucial to program success, as they allow outreach programs and police to share valuable information and sometimes to coordinate strategies to help reduce violence. These partnerships can be complicated and sensitive relationships to build, but most programs consider the effort well worth it. Law enforcement partnerships work best when the majority of communication, particularly regarding sensitive information, occurs between street outreach coordinators or supervisors and designated high-level police officers. Typically, beat officers do not have relationships with outreach workers themselves, and only very rarely will line officers and outreach workers demonstrate any sort of relationship on the street. This is due to potential mistrust, as well as the need for outreach workers to maintain credibility with target populations and not be seen as “snitches” who are working with the police.

Other potential partnerships include probation, parole, and correctional facilities, community-based organizations/service agencies; faith-based organizations, schools, hospitals, etc.\textsuperscript{15}

## Ceasefire / Violence Prevention / Street Outreach Program Models

<table>
<thead>
<tr>
<th>Program</th>
<th>Program Purpose/Target</th>
<th>Program Interventions</th>
<th>Street Outreach Strategy</th>
<th>Partner w/ Law Enforcement</th>
<th>Outcomes</th>
</tr>
</thead>
</table>
| **Boston Gun Program/ Operation Ceasefire** | • Reduce gun violence and youth homicides among youth age 24 and below | • Increased gun law enforcement  
  o Target traffickers of makes/models used by gang members  
  o Target traffickers of guns with short time-to-crime intervals  
  • “Pulling Levers” strategy  
  o Deliver explicit message that violence not tolerated to targeted gang members  
  o Strict enforcement/prosecution  
  • Street outreach and offerings of community services | • Community Outreach  
  • Build relationships with known violent offenders/gang members | • Yes | • 63% reduction in youth homicides  
• 25% reduction in gun assaults  
• 32% reduction in shots fired calls for service |
| **Project Safe Neighborhoods - Chicago** | • Reduce homicides and gun violence | • Focused law enforcement on high-risk populations or known gun offenders in specific areas  
  o Leverage federal prosecutions  
  • Offender Notification Forums  
  o Law enforcement message  
  o Ex-offender intervention talk  
  o CBO representatives discuss programs and how to enroll | • Community outreach programs  
• School programs  
• Media Campaigns  
• Offender Notification Forums  
• Build relationships with known violent offenders/gang members | • Yes | • 37% decrease in monthly homicides  
• Statistically significant reduction in gun related homicides and aggravated assaults  
• Individuals who attended Offender Notification Forums 30% less likely to return to prison |
| Baltimore’s Safe Streets Program | • Reduce gun violence in Baltimore’s most violent neighborhoods | • Street Outreach  
  o Violence Intervention tactics/conflict mediation  
  o Community Mobilization  
  o Community response to shootings  
  • Public Education  
  • Faith based leadership involvement  
  • Criminal Justice Participation | • Community Outreach/Build relationships with at-risk victims/offenders  
  • Outreach workers mediate high-risk incidents | • Yes | • Statistically significant reduction in homicide and nonfatal shooting incidents  
  • Surveyed youth less likely than youth in the other neighborhoods to believe it is okay to use a gun to resolve disputes  
  • Program participants reported high levels of program support for reducing violence and connecting to services |
References


Appendix B: Case Management Models

Case Management Models

Case management models differ in how they assess and address the needs of a client population through varying case management practices, types of services, dosages, and caseloads size. The following section provides an overview of key case management components that vary across different models.

Types of Case Management

At the most basic level, case management services provide ongoing support to clients in areas such as housing, employment, social relationships, and community integration. Case managers take on the role of a broker to assess clients for their level of need, provide them information on available resources, and connect them to services. Depending on the discipline and the target population, case management services vary in terms of level of intensity, supervision, and service provisions. For populations with multiple and complex needs, intensive case management models provides comprehensive, multidisciplinary services directly, such as mental health service. Whereas for populations with lesser needs, a case manager will have limited interactions with a client that may only involve a standardize assessment and referrals to external service providers16.

Types of Case Managers

While case management models require a “case manager,” the role of case manager varies depending on the type of model. The most common type of case manager is a single individual who manages a load of client cases17. This individual is the single point of contact to connect a client to the appropriate resources or services. Individual case management serves a variety a purposes and used in nearly all types of case management models.

More intensive case management models, such Assertive Community Treatment (ACT) as well as certain types of managed care services, rely on multi-disciplinary teams (MDTs) made up of mental health, substance use, specialty care, and healthcare providers as well as peers support coordinators, life coaches, and service coordinators18. The team leader is generally a mental health clinician who is responsible for coordinating services with the client and other team members. Team-based case management is resource intensive and only appropriate for populations with the highest level of need.

Service Provision v. Service Brokerage

Case management services provide clients with access to resources and supports to meet their individual needs. Most commonly, case managers serve as a broker between client and services. Case managers in this role conduct assessments, referral clients to services, and provide education. If appropriate, case managers act as advocates for their clients to ensure they receive the services they need. Brokerage case management is one of the more common and adaptable service delivery models used in a variety of disciplines including criminal justice, employment, social services, education, behavioral health, and healthcare.

Clinicians who also work as case managers provide clients directly with services and supports. For instance, in cases where case management is a central component of a mental health program, the case manager may provide the client with mental health services in addition to connecting the client to housing services. While most case management services provide clients with a mix of direct and referred services, full service case management models, such as ACT and intensive case management, provide clients with a full continuum of services and supports.

Case Management Practices

Case managers employ a variety of practices to engage clients, build rapport, identify client needs, and develop appropriate case plans. Most intensive case management models use relationship building between the client and case manager and client participation in case planning as key components of understanding client needs and developing case plans. Once case plans have been developed, case managers support implementation through regular follow up meetings with clients as well as with other agencies or entities that can help achieve client goals.

Not all case management practices require client engagement and relationship building to effectively serve clients. Case management services that focus on discrete service categories with clear eligibility requirements, such as employment or benefits acquisition, use case management practice that are less personal and more focused on assessment, planning, and referral. This approach to case management is more cost effective than others, but has fewer long term impacts on client outcomes. There is also evidence that this model of case management is less effective for populations with complex needs such as reentry populations, homeless substance users, and individuals with co-occurring mental health and substance use disorders.

Caseload Size

Case managers’ caseloads vary based on the type of services they provide and the intensity with which they provide them. General case management services, such as use in employment services, allow for larger caseload sizes than intensive case management.

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19 Society for Case Management of America, (2010)
20 Ibid
22 Vanderplasschen, (2007)
caseloads – such as 35 clients per case manager – because case manager chiefly refers clients to service providers and interactions with clients are less frequent. On the other hand, full service case management, such as ACT requires a substantially smaller caseload of 10 clients per case manager to provide their clients with the level of intensity and direct service support that they need.\(^{23}\)

**Promising Models of Case Management**

Case management refers to the coordination of community services and supports by a trained professional, or case manager, and includes an assessment of an individual’s or family’s needs to inform the development and implementation of a plan to meet those needs through a series of services and supports. Case management is a core intervention of publicly and privately funded efforts to meet the needs of high-risk populations, improve outcomes, and reduce the costs and burden to public services. Case management services began in the field of social welfare and have since been adapted to other disciplines such as healthcare, mental health, substance use, employment, education, and most recently public safety.

**Assertive Community Treatment**

Assertive Community Treatment (ACT) is an evidence-based team treatment approach designed to provide comprehensive, community-based psychiatric treatment, rehabilitation, and support to persons with serious and persistent mental illness. ACT case management provides direct, outpatient services aimed at addressing serious functioning difficulties in several major areas including employment, social relationships, residential independence, resource management, physical health, and wellness.\(^{24}\)

ACT has the explicit goal of promoting the clients’ independence, rehabilitation, and recovery and, in so doing, to prevent homelessness, unnecessary hospitalization, and other negative outcomes. ACT providers work with clients either in their homes or community settings to encourage practicing newly learned skills and utilizing supports in a real world setting.\(^{25}\)

A multi-disciplinary team provides case management service to ACT clients. Case management teams use a “total team approach” in which all of the staff work with all of the participants, under the supervision of a mental health professional who serves as the team’s leader. Teams typically include a psychiatrist and one or more social workers, nurses, substance abuse specialists, vocational rehabilitation specialists, occupational therapists, service coordinators, and peer support specialists (individuals who have had personal, successful experience with the recovery process). ACT purposefully maintains low staff-to-client ratios to ensure that the ACT team can perform virtually all the necessary rehabilitation, treatment, and community support interventions in an efficient and coordinated manner.

\(^{23}\) *Ibid*


\(^{25}\) Vanderplasschen, (2007)
Intensive Case management

Intensive case management (ICM) refers to a broad type of comprehensive case management that provides a community-based package of long term services, supports, and care to severely mentally ill clients who do not require hospitalization or inpatient care. ICM is defined by smaller caseloads, team-based and/or individual case management, and a focus on direct services rather than brokerage; however ICM does refer clients to external providers if needed. ICM emphasizes outreach, client participation in case planning, and an assertive approach to maintaining contact with clients.

ICM is most commonly used for populations with high needs, such as homeless adults, individuals with co-occurring mental health and substance use disorders, reentry populations, and people living with HIV and/or AIDS (PLWHA). The case manager in an ICM model is often a mental health or healthcare clinician in order to facilitate the provision of direct care to client in addition to resources and supports. ICM also employs the use of evidence-based practices, and assessment tools to develop an individualized and achievable case plan. Services often include mental health and substance use treatment, primary care, co-occurring services, and resource acquisition.

ICM focuses on case management activities and supports taking place in the community rather than clinical settings to encourage greater integration of clients into their community environment. Case managers also aim to develop trusting relationships with clients in order to best understand the client’s need and provide the appropriate supports. In order to provide such high levels of community-based services and supports to clients, ICM maintains caseloads at 20 clients per case managers (20:1)26.

Strength Based Case Management

Strength-based case management (SBCM) provides clients with direct therapeutic services and other supports, but lacks the comprehensive array of services that define ACT and ICM models. SBCM uses a strengths-based approach to assessment and case planning that seeks to empower the individual by building on their personal and environmental assets. Case managers work with clients to understand their needs and build case plans from the perspective of their personal, social, and environmental strengths and resources rather than from a deficits perspective.

SBCM is used in a variety of settings, but is more common in substance use and mental health treatment settings because the empowering nature of the model aligns with behavioral health’s concepts of recovery. To that point, SBCM is most effective in addressing issues related to substance use and mental health. Integrated primary and behavioral health care programs have also utilized components of strength-based practices, including SBCM, in the implementation of integrated coordinated care models.

SBCM case managers are clinicians, paraprofessionals, or peers. Case managers generally focus on building a supportive and strength-based relationships with their clients. Generally, SBCM maintains a caseload of fifteen clients per case manager (15:1). The lower case load allows case managers to provide sufficient attention to their clients to build a relationship and accurately assess their resources and needs.

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26 Vanderplasschen, (2007)
This ensures that case managers and clients work together to develop a supportive and effective case plan\textsuperscript{27}.

Generalist Case Management

Generalist case management (GCM) refers to a variety of case management services that provide clients with assessment, planning, facilitation, education, service coordination, and advocacy services. GCM provides little if any direct services beyond assessment, education, and service brokerage. A variety of disciplines and settings use a GCM approach to connect their clients to supplementary services and supports\textsuperscript{28}.

GCM has less of a focus on relationship building than other case management models; however case managers still aim to understand their clients’ needs and strengths to develop effective and achievable case plans. Many GCM services rely on standardized assessment tools and means testing as a way to effectively assess need and eligibility for various types and intensity of services. This allows for case managers to have a large caseload of thirty-five clients per case manager (35:1). GCM is the most cost-efficient form of case management due to the model’s high caseload\textsuperscript{29}.

GCM case managers are most often social workers, counselors, paraprofessional staff, and peer staff. Case managers generally focus on assessing their clients’ needs and eligibility; providing education about their needs, services, and supports; developing case plans; and connecting clients to service providers. Case managers may also engage in advocacy on behalf of the clients in certain instances such as legal proceedings\textsuperscript{30}.

\textsuperscript{28} Center for Evidence-Based Practices. (2011)
\textsuperscript{29} Vanderplasschen, (2007)
\textsuperscript{30} Guarino, (2001)
## Intensive Case Management Models

<table>
<thead>
<tr>
<th>Description</th>
<th>Services</th>
<th>Case Management Components</th>
<th>Dosage</th>
<th>Participants</th>
<th>Outcomes</th>
</tr>
</thead>
</table>
| Assertive Community Treatment (ACT)  | • Case management team provides services                                 | • Large focus on relationship with client | • Significant effects on substance use observed at 36 months; limited improvements at 6 & 12 months | • Recommended caseload is 10:1 | • Reduce hospitalizations by 20%  
• Improvements in retention in services  
• Improvements in substance use and quality of life  
• Limited cost-effectiveness  
• Increased satisfaction |
| Assertive Community Treatment        | • Mental health  
• Housing  
• Life skills training  
• Employment  
• Crisis intervention  
• Substance use Tx                                                                 | • Multi-disciplinary teach approach  
• Services delivered by team in client’s natural environment  
• 24 hour coverage  
• Case management shared by team                                                                 | • ACT model provides “Time-unlimited” services  
• Case management intensity is tiered based on need (e.g. step down program)                                                                 | • Homeless  
• Alcohol dependent adults  
• SMI/co-occurring  
• Offenders |
| Intensive Case Management (ICM)      | • Case manager provides services  
• Service provision fluctuates based on client need  
• Integrated mental health/SUD Services  
• Social supports                                                                 | • Large focus on relationship with client  
• Client participation in case planning; review annually  
• Services delivered in community  
• Services delivered by a primary case manager                                                                 | • Most effective at 12-24 month long doses  
• Recommended caseload is 20:1  
• Demonstrated effectiveness with various populations:  
  o Homeless  
  o Alcohol dependent adults  
  o SMI/co-occurring  
  o Reentry populations  
  o PLWHA                                                                 | • Improvements in hospitalizations  
• Improvements in client retention and satisfaction  
• Improvements in quality of life |
<table>
<thead>
<tr>
<th>Method</th>
<th>Strengths-Based Case Management</th>
<th>Generalist Case Management (GCM)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overview</td>
<td>Also known as Iowa Case Management, strengths based case management provides clients with a greater intensity of services, including therapeutic services and smaller caseloads. The purpose of strengths model case management is to assist people to recovering by identifying, securing, and sustaining the range of environmental and personal resources needed to live, play, and work in a normal, interdependent way in the community.</td>
<td>Generalist case management, also known as brokerage case management, is a collaborative process of assessment, planning, facilitation, care coordination, evaluation, and advocacy for options and services to meet an individual’s and family’s comprehensive needs through communication and available resources to promote quality cost-effective outcomes.</td>
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<tr>
<td>Case Manager</td>
<td>Case manager provides services and coordinates services</td>
<td>Case manager coordinates services; no direct service provision</td>
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<tr>
<td>Substance use Tx</td>
<td>Substance use Tx</td>
<td>Most common in Employment, Health, and human services settings</td>
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<tr>
<td>Employment</td>
<td>Employment</td>
<td>Case &amp; transition planning</td>
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<tr>
<td>Life skills</td>
<td>Life skills</td>
<td>Informing client about services</td>
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<tr>
<td>Mental health</td>
<td>Mental health</td>
<td>Coordinating services</td>
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<tr>
<td>Resource acquisition</td>
<td>Resource acquisition</td>
<td>Advocacy &amp; supporting client self-advocacy</td>
</tr>
<tr>
<td>Large focus</td>
<td>Large focus on relationship with client</td>
<td>Limited focus on relationship btw case manager &amp; client</td>
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<tr>
<td>Outreach</td>
<td>Outreach</td>
<td>Assessment of client needs</td>
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<tr>
<td>Engagement of client</td>
<td>Engagement of client in case planning</td>
<td>Case &amp; transition planning</td>
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<tr>
<td>in case planning</td>
<td></td>
<td>Informing client about services</td>
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<tr>
<td>Assessment of strengths</td>
<td>Assessment of strengths</td>
<td>Coordinating services</td>
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<td></td>
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<td>Advocacy &amp; supporting client self-advocacy</td>
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<tr>
<td>Demonstrated</td>
<td>Demonstrated</td>
<td>Demonstrated effectiveness at 6 &amp; 12 months</td>
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<tr>
<td>effectiveness as 6, 12, &amp; 36 month doses</td>
<td>effectiveness with various populations:</td>
<td>Diminishing long term effects (12 mo+)</td>
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<td>o Veterans</td>
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<td>o Chronically Unemployed</td>
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<td>o Substance users</td>
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<td>o Homeless</td>
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<td>o Offenders</td>
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<td></td>
<td></td>
<td>More cost efficient than more intensive models</td>
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<tr>
<td></td>
<td></td>
<td>Initial improvements in substance use observed</td>
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<td></td>
<td></td>
<td>Improvements in recidivism</td>
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<tr>
<td>Recommended caseload</td>
<td>Recommended caseload is 35:1</td>
<td>Recommended caseload ration of 15:1</td>
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<td>ration</td>
<td></td>
<td>Demonstrated effectiveness with various populations:</td>
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<tr>
<td>of 15:1</td>
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<td>o Homeless adults</td>
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<td>o Substance users</td>
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<td>o Reentry populations</td>
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</tbody>
</table>

**Recommended Caseload Ration and Effectiveness:**

- **Most favorable outcomes with adolescent substance users**
- **Recommended caseload ration of 15:1**
- **Demonstrated effectiveness as 6, 12, & 36 month doses**
- **Recommended caseload is 35:1**
- **Demonstrated effectiveness with various populations:**
  - Veterans
  - Chronically Unemployed
  - Substance users
  - Homeless
  - Offenders

**Improvements:**

- Improvements in employment situation
- Increase in utilization of medical, substance use, and aftercare services
- Improvements in drug use and criminality

**Cost Efficiency:**

- More cost efficient than more intensive models
- Initial improvements in substance use observed
- Improvements in recidivism
Case Management in Criminal Justice Settings

Screening and Assessment

The use of validated screening and assessment tools helps case managers triage clients to prioritize interventions based on where resources are most needed. Screening and assessment helps 1) categorize individual by risk and need, in order to 2) identify the appropriate mix, duration, dosage, and intensity of intervention for each client based on risk and need information\(^{31}\).

Targeted Services

Programs should provide case management services to clients who have been screened as medium or high risk to reoffend. Low risk offenders should be subject to minimal intervention and case management services. Interventions should target the dynamic issues that drive criminal behavior and provide the necessary supports to reduce the risk of reoffending. Services may include referrals to substance abuse or mental health treatment, employment or educational services, cognitive-behavioral classes aimed at addressing criminal thinking, or other jail- and community-based programs as appropriate\(^{32}\).

Comprehensive Case Planning

Clients receive a comprehensive case plan that builds upon needs assessment by specifying interventions that address the client’s identified criminogenic needs. Case plans should include realistic goals, timeline for achieving goals, and the client’s responsibility for meeting these goals. Case plans have three components that provide a continuum of interventions and supports that include:

- interventions to be carried out while in jail to prepare the client for release
- Interventions that address immediate, post-release needs
- Interventions that support longer term integration into the community\(^{33}\)

Collaborative Case Plans

All agencies should use a single case plan when interacting with the client—including the jail, probation, and community-based service providers—and the case plan should follows the client into the community upon release from jail. Case plans should include any information pertaining to community supervision to ensure the client, supervising officers, and community-based providers have the correct information about the client’s probation or sentencing. Case managers should be actively engaged and in regular communication with clients’ probation and/or parole officers and service providers in order to ensure consistent implementation of the case plan and common understanding of clients’ needs and goals. Clients should also actively participate in the case planning process, working with the case manager to

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\(^{32}\) Ibid

\(^{33}\) Ibid
develop long and short term goals. Case managers should aim to develop a supportive relationship with clients.\(^{34}\)

**Referral Processes**

Case managers should collaborate with community-based organizations to link clients to evidence based programs that match clients’ risk and need in intensity and duration. Case managers should keep an updated inventory of the type of programs and resources available including information on the types of services, the appropriate target populations, the use of evidence-based practices, and any eligibility restrictions. An inventory of programs should also indicate whether or not the programs are accessible, willing to serve a reentry population, and can collaborate with criminal justice staff, supervisors, and case managers.\(^{35}\)

**Case Management Supervision Structure**

A component of effective case management is the supervision that case managers receive from their supervisors. In both clinical and non-clinical settings, supervision plays a vital role to the oversight, professionalism, and training of case managers.\(^{36}\) While there is not a specific model that provides an example of an effective case manager supervision structure, researchers have identified effective practices supervisors use to support case managers, especially as they face larger caseloads, dwindling resources, and a growing demand for outcomes.\(^{37}\)

**Qualifications of Case Management Supervisors**

Case management supervisors are individuals who manage and oversee case managers in both clinical and non-clinical settings. Generally, case managers have at least one of the following qualifications:

- A bachelors (or higher) degree in a health-related field or human services profession
- Advanced licensure as a health, mental health, or clinical professional
- Certification as a case manager
- At least five (5) years’ experience as a case manager\(^{38}\)

This is not an exhaustive list of qualifications required of case manager supervisors. The focus and scope of the case management services should also influence the qualifications of a supervisory position. For instance, a supervising case manager in a clinical setting will need to have certain advanced degrees and licensures compared to a supervisor in a social services setting where commensurate experience can

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\(^{34}\) Ibid  
\(^{35}\) Center for Evidence-Based Practices, (2011)  
suffice. Most important is that the supervisor has the experience, knowledge, and certification to support and oversee the case managers in effectively interfacing with clients.

The Supervision Relationship

The supervisory relationship is the single most important factor for the effectiveness of case management supervision. This component is more effective than the supervisory methods used. A healthy supervisor-supervisee relationship serves as a resource for both the case manager, supervisor, and indirectly, the client\(^3\)9. Supervisory relationships should encompass client/clinical management, case review, performance review, teaching, research, administration, interpersonal skills, personal and professional development, client outcomes, as well as feedback from the case manager about the performance of the supervisor.

Development of a Supervision Plan

Supervision should begin with a discussion regarding the structure, systematic review, planning time to cover all areas, deciding who is responsible for raising each topic, and how and evaluation occurs. Supervisors and supervisees should work together to develop a set of ground rules, have learning objectives, and document the discussions. There should also be an agreed-upon process of escalation should an issue occur that requires an external intervention to resolve. Most importantly, supervisors and supervisee should schedule regular time to meet and discuss supervision topics as well as develop a process for supervision on an “as-needed” basis\(^4\)0.

Standards of Supervision\(^4\)1

The National Association of Social Workers (NASW) has developed a list of standards for social worker supervisors. While the NASW developed the following standards specifically for social workers, these standards are general enough to apply to disciplines across the full spectrum of human services. Furthermore, these standards come from the experience of social workers and case managers across multiple disciplines including criminal justice, social service, education, youth and family services, and health and thus apply to case management supervision in a variety of professional settings.

Context in Supervision

The context in which supervision occurs influences the process of supervising. A supervisor must be sure they meet the qualifications become a supervisor and have a clear understanding of the skills and knowledge that the supervisory relationship is designed to help the supervisee develop. Supervisors should have an awareness and understanding of cultural issues and communities of practice of both the supervisee and their clients.

\(^3\)Ibid
\(^4\)Kilminster et al. (2000)
Conduct of Supervision

The underlying agreement between supervisors and supervisees includes the premise that supervisees depend on the skills and expertise of supervisors to guide them. Respect for the different roles that supervisors and supervisees play in the supervisory relationship is a key factor in successful supervision.

To maintain objectivity in supervision, it is important to:

- Ensure confidentiality of client information discussed in supervision
- Negotiate a supervision contract with mutually agreeable goals, responsibilities, and time frames
- Create a communication plan to resolve communication issues and other problems in supervision
- Identify feelings or issues supervisors have about their supervisees that may interfere or limit their effectiveness as a supervisor

Legal and Regulatory Factors

In most contexts, supervisors share responsibilities for service provided by clients. Both supervisors and supervisees should familiarize themselves with their legal and statutory obligations and liabilities specified in regulations, written policies, job descriptions, or contracts. To minimize risk, supervisors should:

- Ensure services meet standards or practice
- Maintain documentation of supervision
- Monitor supervisee’s professional work activities
- Identify actions that pose a risk to the health or welfare of the supervisee or the client
- Identify and address conditions that may impair the supervisee’s ability to practice with reasonable skill, judgment, and safety

Ethical Guidance

Supervisors foster a supervisee’s capacity for ethical decision-making, a process that is both cognitive and emotional. Supervisors should discuss and model the process of identifying and exploring ethical issues that includes consideration of the various factors, values, principles, and regulations. Supervisors and their supervisees should discuss possible consequences and benefits of certain actions. They should explore what actions best achieve fairness, justice, and respect for others; make a decision about a course of action; and evaluate the outcome. When a supervisee makes an ethical mistake, with the assistance of their supervisor, they should try to ameliorate any damage and learn how to avoid that mistake in the future.

Implications of Effective Supervision

The evaluation and outcome of the supervisory process is an integral part to the development of professional case managers. The evaluation of the supervisee, as well as the evaluation of the impact and outcome of supervision, is a significant responsibility of the supervisor.

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42 NASW (2013)
Ongoing Feedback

Feedback is an essential component of a supervisory relationship as it is one of the few methods through which the supervisee can understand their strengths and weaknesses without negatively affecting or disrupting their relationship with the client.\textsuperscript{43} To enhance learning and increase the effectiveness of supervision, a systematic procedure for ongoing supervisory feedback is necessary. Supervisors should provide feedback through a planned process and offer it in both written and verbal form. Planned supervisory feedback allows both the supervisor and the supervisee to make modifications, if needed, to improve professional practice and skill development. Continuous feedback also helps to determine the impact and effectiveness of the received supervision. When using an evaluation as a learning process, both supervisors and supervisees should expect clinical and administrative errors to occur, but they should be viewed as a teachable moments and not used in a punitive manner\textsuperscript{44}.

Impacts on Client Outcomes

Additionally, supervision can have impacts on the outcomes of clients. Researchers in the fields of social work, medicine, education, and psychotherapy have found links between effective supervision and improvements in client outcomes. Most noted improvements in the case manager or clinicians ability to communicate with clients, identify issues, and develop resolutions more quickly than those without supervision\textsuperscript{45}.

References


\textsuperscript{43} Kilminster et al. (2000)

\textsuperscript{44} Ibid

\textsuperscript{45} Kilminster et al. (2000)


Appendix C: The Recovery-Oriented Services Approach

Recovery-Oriented Services

A recovery approach to mental health and substance use treatment services emphasizes the individual’s personal journey rather than a set outcome, and one that may involve developing hope, a secure base and sense of self, supportive relationships, empowerment, social inclusion, coping skills, and meaning. While there is ongoing debate in both substance use and mental health communities as to what constitutes “recovery” or a recovery model, the Substance Abuse and Mental Health Services Agency (SAMHSA) adopted the following working definition of recovery from mental health and substance use disorders:

“A process of change through which individuals improve their health and wellness, live a self-directed life, and strive to reach their full potential.”

Recovery-oriented services offer a holistic, person-centered, and community-based model of care that exists on a continuum of improved health and wellness as well as an increased sense of individual self-efficacy. Recovery-oriented services are consumer driven—referring to the involvement and meaningful input of consumers in the process of designing, monitoring, and changing the systems of care. Services are person-centered by providing care to each individual based on unique needs, values, and preference. Service delivery occurs in a community-based environment outside of an institution or clinical setting as a way to maximize the use of an individual’s natural supports and encourage greater community involvement. A recovery-oriented system of behavioral health care must communicate the belief that people with serious behavioral health conditions can, and should, be productive members of society. Providers should offer services in a timely, responsive, and trustworthy manner to encourage a meaningful and trusting relationship between consumer and provider.

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46 SAMHSA. (2010). Recovery Oriented Systems of Care. Substance Abuse and Mental Health Services Administration

References

SAMHSA. (2010). Recovery Oriented Systems of Care. Substance Abuse and Mental Health Services Administration

Appendix D: The Trauma Informed Care Approach

Trauma-informed care (TIC) integrates an awareness of trauma with an understanding of the neurological, biological, psychological, and social effects of trauma and the prevalence of these experiences in persons who receive mental health and substance use services. TIC takes into account knowledge about trauma — its impact, interpersonal dynamic, and paths to recovery — and incorporates this knowledge into all aspects of service delivery.48

TIC is based in the recognition that traditional service approaches can re-traumatize consumers and family members. Additionally, trauma informed care is a person-centered response focused on improving an individuals’ all around wellness rather than simply curing mental illness.49 Trauma informed care is about creating an approach to service provision built on five core principles:

1. **Safety**: Ensuring physical and emotional safety
2. **Trustworthiness**: Maximizing trustworthiness, making tasks clear, and maintaining appropriate boundaries
3. **Choice**: Prioritizing consumer choice and control
4. **Collaboration**: Maximizing collaboration and sharing of power with consumers
5. **Empowerment**: Prioritizing consumer empowerment and skill-building

A trauma-informed approach reflects adherence to six key principles rather than a prescribed set of practices or procedures. These principles may be generalizable across multiple types of settings, although terminology and application may be setting- or sector-specific. It is critical to promote the linkage to recovery and resilience for those individuals and families impacted by trauma.

**Trauma-Informed Services**

Consistent with SAMHSA’s definition of recovery, trauma-informed services and supports build on the best evidence available, consumer and family engagement, empowerment, and collaboration. A program, organization, or system that deploys a trauma informed services aims to:

1. **Realizes** the widespread impact of trauma and understands potential paths for recovery
2. **Recognizes** the signs and symptoms of trauma in clients, families, staff, and others involved with the system


49 Ibid

3. **Responds** by fully integrating knowledge about trauma into policies, procedures, and practices
4. **Seeks** to actively resist re-traumatization\(^{51}\)

Trauma informed services should be recovery-oriented and client-centered by prioritizing the client’s need to be respected, informed, connected, and hopeful regarding their own recovery. Providers should explicitly recognize the interrelation between trauma and symptoms such as substance abuse, eating disorders, depression, and anxiety. Interventions should occur in least restrictive manner as possible in collaboration with clients, family members, friends, and other service providers in a manner that empowers clients\(^{52}\).

**Trauma-Specific Services v. Trauma Informed Care**

Trauma-specific services (TSS) provide specific interventions and treatments for psychosocial disorders resulting from exposure to trauma. TIC differs from TSS because TIC provides a framework for understanding the impact of trauma that guides the organization and behavior of the entire system of care;\(^{53}\) however, TIC does not specifically target the symptoms related to trauma,\(^{54}\) whereas TSS employs evidence-based treatment models to directly address the consequences of trauma and facilitate recovery. Ideally, TSS are a major component of TIC continuum of services, but more often TSS are stand-alone services that target specific populations or exposure to certain kinds of trauma.

**Trauma-Informed Interventions Used in Public Systems\(^{55}\)**

<table>
<thead>
<tr>
<th>Intervention</th>
<th>Description</th>
<th>Target Populations</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Addiction &amp; Trauma Recovery Integration Model (ATRIUM)</strong></td>
<td>ATRIUM is a 12-session recovery model intended to bring together peer support, psycho-education, interpersonal skills training, meditation, creative expression, spirituality, and community action to support survivors in addressing and healing form trauma. Designed to serve survivors of sexual and physical abuse, those with substance abuse and other addictive behaviors, those who are actively engaged in harmful relationships, who self-injure, have serious psychiatric diagnoses, and for those who enact violence and abuse against others.</td>
<td>• Currently &amp; formerly incarcerated&lt;br&gt;• Reentry Populations&lt;br&gt;• PLWHA&lt;br&gt;• Drop-in center clients</td>
</tr>
<tr>
<td><strong>Sanctuary Model</strong></td>
<td>The goal of the Sanctuary Model is to help children who have experienced the damaging effects of interpersonal violence, abuse, and trauma. The model is intended for use by residential treatment settings for</td>
<td>• Children&lt;br&gt;• Transitional aged youth</td>
</tr>
</tbody>
</table>

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\(^{51}\) SAMHSA (2014)<br>\(^{52}\) *Ibid*


\(^{55}\) SAMHSA (2014)
children, public schools, domestic violence shelters, homeless shelters, group homes, outpatient and community-based settings, juvenile justice programs, substance abuse programs, parenting support programs, acute care settings, and other programs aimed at assisting children.

### Seeking Safety

Manualized model that offers coping skills to help individuals attain greater safety in their lives for those suffering from Post-traumatic stress disorder (PTSD) and substance abuse

- Formerly and currently incarcerated women
- Evidence of effectiveness with men

### Trauma, Addiction, Mental Health, and Recovery (TAMAR)

Developed as part of the first phase of the SAMHSA Women, Co-Occurring Disorders and Violence Study, the TAMAR Treatment Group Model is a structured, manualized 15-week intervention combining psycho-educational approaches with expressive therapies. It is designed for women and men with histories of trauma in correctional systems. Groups are run inside detention centers, state psychiatric hospitals, and in the community.

- Adults with exposure to trauma
- Current and formerly incarcerated adults
- Adults with SMI

### Trauma Affect Regulation: Guide for Education and Therapy (TARGET)

TARGET is a strengths-based approach to education and therapy for trauma survivors who are looking for a safe and practical approach to recovery. TARGET’s goal is to help trauma survivors understand how trauma changes the body and brain’s normal stress response into an extreme survival-based alarm response. TARGET teaches a practical 7-step set of skills that can be used by trauma survivors to regulate extreme emotion states, to manage intrusive memories, to promote self-efficacy, and to achieve lasting recovery from trauma.

- Adults with exposure to trauma
- Current and formerly incarcerated adults
- Adults with SMI & Survivors of abuse & DV

### Trauma Recovery and Empowerment Model (TREM and M-TREM)

The Trauma Recovery and Empowerment Model is intended for trauma survivors, particularly those with exposure to physical or sexual violence. This model is gender-specific: TREM for women and M-TREM for men. This model has been implemented in mental health, substance abuse, co-occurring disorders, and criminal justice settings. The developer feels this model is appropriate for a full range of disciplines.

- Adults with exposure to trauma
- Current and formerly incarcerated adults
- Adults with SMI & SUD
References


Appendix E: Reentry Employment Programming

Direct Service Delivery of Reentry Employment Programming

There are many direct service programs that have been proven effective in helping formerly incarcerated individuals obtain employment. These programs generally are trying to achieve two broad goals: (1) promoting job readiness, and (2) finding and retaining employment. Each of these goals encompasses several broad objectives, which relate to numerous needs common to formerly incarcerated individuals, and which may be addressed through various commonly used and proven effective program components.

Promoting Job Readiness

The table on the following page presents a brief overview of objectives related to promoting job readiness, as well as important needs to address, program components, and corresponding best practices. This is followed by a discussion of the different components of promoting job readiness.

<table>
<thead>
<tr>
<th>OBJECTIVES</th>
<th>NEED ADDRESSED</th>
<th>PROGRAM COMPONENT</th>
<th>BEST PRACTICES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve individuals’</td>
<td>Basic education</td>
<td>Education and</td>
<td>• In-custody education, training, and certification</td>
</tr>
<tr>
<td>individuals’ hard skills</td>
<td>GED attainment</td>
<td>Training</td>
<td>• In-custody work opportunities with certifications, mirror community workplace</td>
</tr>
<tr>
<td></td>
<td>Technical skills</td>
<td>Transitional</td>
<td>• Partnerships / collaboration between corrections and community-based</td>
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<tr>
<td></td>
<td>Familiarity with technology</td>
<td>Job Placements</td>
<td>stakeholders to ensure smooth transition</td>
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<tr>
<td></td>
<td>Industry-specific training</td>
<td></td>
<td>• Acknowledging successes and progress</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• Assessment of hard skills needs determines education/training programming</td>
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<td></td>
<td></td>
<td></td>
<td>• Education/training most effective with credentialing such as GED, degree,</td>
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<td></td>
<td></td>
<td></td>
<td>or license</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• Basic skills education most effective in the context of work</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>• Post-secondary education through partnership with local community colleges</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Vocational training in partnership with local employers or labor unions</td>
</tr>
<tr>
<td>Improve individuals’</td>
<td>Professionalism</td>
<td>Soft/Cognitive</td>
<td>• In-custody cognitive behavioral programming</td>
</tr>
<tr>
<td>soft skills</td>
<td>Ability to collaborate</td>
<td>Skill Development</td>
<td>• Assessment of soft skills needs determines soft/cognitive skill programming</td>
</tr>
<tr>
<td></td>
<td>Communication skills</td>
<td>Transitional</td>
<td>• Develop job readiness certification for soft skills program completion</td>
</tr>
<tr>
<td></td>
<td>Conflict resolution</td>
<td>Job Placements</td>
<td>• Limited duration transitional job placements to improve skills and provide</td>
</tr>
<tr>
<td></td>
<td>Decision making</td>
<td></td>
<td>immediate income</td>
</tr>
<tr>
<td></td>
<td>Problem solving</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Pre-Release

Programs that promote job readiness can begin as early as leading up to an individual’s release from custody. Many institutions provide education and training services in classroom settings; these services may address hard skill development through adult basic education and GED prep programs, or soft skills through cognitive therapy based programming. Best practices encourage partnering with local workforce development agencies in developing in-custody hard and soft skill programming; such partnerships represent an important resource for job readiness training in custody as well as linkages to ongoing support services post-release.

Additionally, many institutions provide the opportunity for inmates to gain work experience through transitional job placements such as work release programs or prison industry work assignments, and research has shown that both types of programs improve future employment outcomes and reduce recidivism. Best practices suggest that in-custody work assignments are most effective when they mirror the community workplace as much as possible, including a required application, job interviews, workplace orientation, regular work evaluations, employment termination for unacceptable performance, and opportunities for performance-based pay raises.

Best practices suggest that providing participating inmates with credentials to reflect their progress leads to better preparedness for the workforce post release. Credentials may include GED certificates or other adult basic education documentation, or may take the form of U.S. Department of Labor apprenticeships, trade association certificates, OSHA safety certifications, other specific skill credentials, or prison work verification. Additionally, some programs acknowledge successes through graduation ceremonies, success bulletins, and articles in local correctional publications or trade journals. Acknowledging successes in this way not only provides positive reinforcement for inmates, but also creates an opportunity to engage community stakeholders such as manufacturing associations, chambers of commerce, or labor trade unions to promote future job opportunities.

Linkages to Community-Based Programming

Many sources stressed the importance of the transition from in-custody job readiness programming to community-based programming. Best practices indicate that collaboration and information sharing between corrections personnel and community-based providers are the most effective way to bridge the
gap from in-custody to post-release. Efforts should be made to ensure that individuals continue the type of programming they were receiving in custody after their release.

**Assessment**

Once an individual has been released from custody and engaged with community-based job readiness services, the first step is to assess their job readiness needs, as well as any potential barriers to employment. Assessment can also help to match individuals to specific work environments in which they are most likely to achieve job satisfaction and long-term success. Assessment best practices incorporate a wide range of information about the client, including criminogenic risk/need, strengths/barriers, likes/dislikes, skills, interests, education, work history, criminal record, mental health issues, substance abuse issues, living situation, family situation, language proficiency, and more. At minimum, the most effective assessments incorporate an assessment of an individual’s hard skills, soft skills, and any non-skill-related barriers to employment. In the event that an individual’s assessment reflects serious non-skill-related barriers to employment, such as severe mental illness, physical health problems, or substance abuse disorders, best practices recommend focusing first on connecting the individual with services to help address these barriers. It may be possible for individuals with less severe issues to receive treatment concurrently with employment programming.

**Education and Training**

The results of an individual’s assessment will determine which education or training programs are appropriate. Education and training programs address clients’ hard skills needs, and cover a wide range of programs including adult basic education, GED prep and certification, and post-secondary coursework or vocational training. Best practices suggest that education and training have the greatest impact on employment outcomes if they result in credentialing, such as the completion of a GED, a post-secondary degree, or a trade license.

Basic education programs are oriented for adult learners, typically those reading below the 9th grade level, and provide instruction in fundamental reading, writing, math skills, and English as a Second Language (ESL). Best practices indicate that basic skills are most effectively taught in the context of work rather than traditional education formats; this helps students to make the connection between the basic skills they are learning and the working world, revealing the value of training and facilitating skills retention once they are on the job. Post-secondary education programs serve individuals with higher education levels and are often provided in partnership with local community colleges. Vocational training programs are designed to improve the employment prospects of workers by understanding the needs of the local labor market and training participants to meet those needs. Best practices suggest that vocational training programs are most effective for individuals with at least a high school diploma or GED. Additionally, vocational training programs are best executed in partnership with local employers or labor unions, to ensure instruction is adequately addressing the needs of employers and to best position program staff to broker job placements for program participants.
Soft Skill / Cognitive Development

Soft skill or cognitive skill development addresses topics such as professionalism, communication skills, the ability to collaborate with others, conflict resolution, problem solving, decision making, and other skills that enable an individual to work well with others. Depending on the needs of the individual, as determined by the assessment, soft skills may be taught prior to job placement, on the job, or both. Best practices show that both clients and employers respond well when programs develop certificates of employability or rehabilitation for individuals completing soft skills programming; clients appreciate the recognition, and employers are comforted by the formal certification of job readiness.

Incorporating cognitive behavioral therapy (CBT) into soft skill development programming is another promising practice for employment services. CBT programs have been shown to be effective in helping formerly incarcerated individuals to address deficits and build social skills, decision-making skills, and problem-solving skills essential for job retention. Additionally, many successful programs cited the effectiveness of mentoring programs and identification of pro-social supports. Such programs and supports provide job seekers with social connections and relationships they need to avoid re-establishing anti-social associations that lead to recidivism, negative behaviors, and job loss. For organizations that do not have the capacity for in house mentoring programs, local YMCAs and faith-based organizations often sponsor mentorship programs.

Non-Skill-Related Interventions

A formerly incarcerated individual may have many needs that must be addressed in order to receive the maximum benefit of employment programming. Some such needs include mental health services, substance abuse treatment, housing supports, transportation supports, or childcare supports. Needs that pose a less serious barrier to employment, as determined by the initial assessment, may be addressed concurrently with other employment programming. According to best practices in employment programming for formerly incarcerated individuals, the most important thing is to ensure that the range of issues faced by program participants are comprehensively addressed to ensure that individuals are best positioned to benefit from employment services. Welfare-to-Work funding may be used to provide some of these services, most often delivered through WIA One-Stop Centers. In addition, after the individual has secured employment, he or she may be able to access supportive services through an employee assistance program, which an employer may make available with public funding or through WIA follow up, if the person was a WIA participant. Through these programs, employers are more likely to get an employee who can effectively deal with many of the issues that could otherwise compromise job retention and performance.

Logistical needs such as housing, clothing, transportation, childcare, and identification are common obstacles to obtaining and holding a job. Responding to these needs can be done directly by a program with sufficient capacity, but best practices indicate that many employment programs establish partnerships with other community organizations to develop an extensive support network of social services. This is especially true for behavioral health issues. Some programs also partner with legal aid
programs, which can provide clients with legal assistance to secure licenses, expunge criminal records, modify child support orders, and address other barriers with legal solutions.

In the case of individuals with serious mental illness (SMI), best practices recognize supported employment programs designed to connect individuals with jobs while ensuring they receive the necessary professional support services to succeed. Supported employment programs (SEPs) are closely integrated with the individual’s mental health treatment plans, and research has shown that such programs can significantly improve employment outcomes for populations with SMI. However, these programs are not typically designed to address other criminogenic needs, and therefore should be supplemented with other cognitive behavioral interventions as needed.

**Transitional Job Placement**

Transitional jobs are a type of subsidized employment program in which temporary, income-generating employment is provided to hard-to-employ individuals with the goal of improving their employability through work experience, skills development, and supportive services. Research suggests that transitional job placement can be helpful for formerly incarcerated individuals. Best practices in transitional job placement indicate that the impact of transitional jobs can vary depending on the length of the placement; placements should be long enough to teach important skills, but not so long that individuals are no longer benefiting from their involvement in the program.

**Finding and Retaining Employment**

The second major goal addressed by employment programs for formerly incarcerated individuals is helping the client to find, obtain, and retain employment. The table above provides a brief overview of objectives related to finding and obtaining employment, as well as important needs to address, program components, and corresponding best practices.

<table>
<thead>
<tr>
<th>OBJECTIVES</th>
<th>NEED ADDRESSED</th>
<th>PROGRAM COMPONENT</th>
<th>BEST PRACTICES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepare individuals for the job hunt process</td>
<td>Criminal record /credit report issues Identification / other documents Identifying career goals Resume development Job searching Job interview coaching Networking</td>
<td>Job Coaching</td>
<td>❖ Develop career goals ❖ Obtain necessary documents and evidence of rehabilitation ❖ Mentor on job hunt skills including resume development, job searching, networking, applications, and interviews ❖ Review and “clean up” criminal records and credit reports ❖ Counsel on how to approach criminal history in job interviews</td>
</tr>
<tr>
<td>Connect individuals to work opportunities</td>
<td>Income Employment opportunities</td>
<td>Job Development Non-Transitional Subsidized Employment</td>
<td>❖ Know your local labor market ❖ Use labor market information to target high-growth occupations</td>
</tr>
</tbody>
</table>
### Job Coaching

Job coaches play an important role in employment services for hard-to-employ populations, including formerly incarcerated individuals. The job coaching process often begins with preparing clients for the job hunt. This may include working in partnership with the client on developing career goals; for example, a short-term goal might focus initially on obtaining a job or keeping a current job, whereas a long-term goal might focus on education, training, or a certificate needed for advancement in the client’s field of choice. Job coaches also support clients in obtaining documents such as various forms of identification (state issued picture identification, social security card, and birth certificate) they will need to apply for jobs. In addition, best practices suggest that job coaches help their clients to gather evidence of rehabilitation including previous employment information, educational achievements, social and religious activities, military achievements, and letters of reference from people who can attest to the individual’s character. Job coaches also help prepare individuals for a job search by supporting clients in learning important job hunting skills, such as developing a resume, searching for appropriate jobs, networking, completing the application process, and preparing for and completing job interviews.

Job coaches should also help clients in reviewing and “cleaning up” their criminal records and credit reports, and counseling clients on how best to address their criminal histories in job applications and interviews. Job coaches should ensure that their clients understand the legal rights and responsibilities of a job seeker with a criminal record, and familiarize them with the questions employers may ask and how to respond appropriately and honestly. Best practices indicate that participants must be encouraged to be honest about their backgrounds, but should resist elaborating on convictions, instead explaining any mitigating circumstances and emphasizing efforts at rehabilitation. Particular attention should be paid to any vocational training or education, employment experiences, community service performed, and successful alcohol or substance abuse treatment the client has attained since committing the offense.

The results of an individual’s initial assessment should inform when clients receive job coaching and development services. For individuals who do not have major obstacles to job readiness, matching individuals with potential opportunities may happen almost immediately. For others, the job readiness best practices described above will help to prepare them for eventual employment.
Job Development

Job development involves working with local employers to identify job openings and to match clients with these jobs. Because formerly incarcerated individuals may not be as competitive on the job market to begin with, and because having a criminal record compounds their challenges in obtaining gainful employment, job development requires particular attention to both the needs of the local job market and to potential employers’ staffing requirements.

Best practices in job development for formerly incarcerated individuals indicate that the most important steps to successful employment linkages are 1) knowing your local labor market, and 2) using information about the local labor market to target high-growth occupations that may be amenable to hiring formerly incarcerated individuals. Job developers should familiarize themselves with state laws that affect the employment of people with criminal records, including knowing which jobs have legal barriers to employment and licensure for people with certain types of criminal convictions, and what if anything can be done to remove those bars. Using information about the local labor market, job developers then identify recent labor market trends and job prospects within key sectors where criminal records are not an absolute bar. Occupational forecasting material can enable job developers to stay informed about what sectors have current job openings and where future opportunities will exist. This can inform job referrals and referrals to job training programs.

For example, one program reported successes with “green economy” jobs for traditionally disadvantaged workers, including people with criminal records, limited work history, and lacking higher education. “Green economy” positions have offered clients opportunities for advancement and higher wage earnings not available in every sector. Accordingly, programs to provide training for controlled deconstruction of buildings and salvaging of materials, work crews to participate in community beautification, and sustainable landscaping and urban agriculture projects were developed, and clients were linked to opportunities with potential for long term sustainability. Another program emphasized entrepreneurship for its clients. Individuals completed coursework in business ownership, received one-on-one counseling, microloans, and mentorship through every step of creating their own business.

Job development will be discussed at greater length below, in the section on creating jobs.

Non-Transitional Subsidized Employment

Another form of employment services for formerly incarcerated individuals and other hard-to-employ individuals is non-transitional subsidized employment. Non-transitional subsidized employment programs connect clients with employment opportunities, and pay some portion of the client’s wages for a trial period, during which the employers and/or the program provides training and support services to prepare the client for permanent, unsubsidized employment. Some such positions convert to permanent jobs after the subsidy period ends. On-the-job training programs are a common subsidized employment program model, in which the employer is expected to provide training to employees in exchange for short-term wage subsidy. Best practices indicate that this option is best suited for individuals who do not require
intensive job preparation services, but would benefit from additional training or are struggling to find non-subsidized employment.

**Job Retention and Advancement**

Many employment programs also provide job retention services, or “post-employment” services. These programs can provide or link clients to the support services they need to help them retain employment, including addressing child support issues, housing, childcare, and transportation, all of which may compromise employment success. Additionally, “post-employment” service programs provide crisis intervention, continued soft skills supports, or assist with reemployment in the case of job loss.

Some employment programs also provide career advancement guidance to their clients. These programs work to match their clients with higher-paying jobs or educational opportunities to promote advancement. This can involve developing relationships with clients’ employers to mediate workplace issues, facilitate opportunities for advancement, and provide on-site retention skills. Skill and career interest assessment tools can be used to guide longer-term career planning after a client’s initial placement.

While effective, engaging individuals in voluntary employment-retention and advancement programs may require intensive marketing and other outreach strategies, strong program participant/staff relationships, and the use of incentives to promote participation. Evaluations of advancement and retention programs show individuals who moved up to better job opportunities during the course of the program tended to have better retention outcomes than participants who stayed employed at the same job over the course of the program. This is consistent with research that shows the quality of job placements factors into the effectiveness of employment interventions.

**Financial Incentives**

Financial incentives have been shown to be highly effective for supporting formerly incarcerated individuals in pursuing and obtaining long term employment; research indicates that incentives often have the greatest impact on future employment and earnings outcomes. When feasible, programs should provide some form of immediate income while preparing and training clients for employment, through stipends or paychecks that may cover, at a minimum, transportation costs. This form of income is also an incentive for participants to attend the program.

Financial incentive programs may also condition cash incentives on full-time work, or on participation in job preparation programming for part time workers. Financial incentives may be especially beneficial to individuals with criminal histories who are non-custodial parents, as this population is only eligible for a very small credit under the Earned Income Tax Credit, the largest federal work incentive program.
Program Duration

Research is not conclusive on the best employment program duration for formerly incarcerated individuals. According to best practices, length of course and setting (classroom/workplace) should vary by individual and type of program; for example, programs with a transitional job component may feature a shorter class, as soft skills can continue to be taught in the context of work by program staff overseeing workers. However if the program is placing individuals into jobs with outside employers, they need to first ensure that basic soft skills such as professionalism and conflict resolution are developed and that the individuals’ attitudes toward work have been addressed.

Promising Programs in Reentry Employment

Center for Employment Opportunities (CEO), New York NY

The Center for Employment Opportunities (CEO) was created by the Vera Institute of Justice to respond to the employment needs of recently released prisoners. CEO is an independent nonprofit agency that provides a highly structured set of employment services to formerly incarcerated individuals in New York City, primarily men (90%) in their mid-twenties (90%).

The CEO program involves seven structured steps to sustainable employment: job readiness training, meeting with a job counselor, paid transitional employment, job development, job placement, post-placement services, and support services. Clients begin the process by completing an orientation, a four-day soft skills training workshop, and an initial meeting with a job counselor for an in-depth skills assessment. Clients are then immediately matched with day-labor work crews, paid for by city and state agencies, which involve a variety of assignments including providing custodial services to government buildings, maintaining nature trails, painting classrooms, and cleaning up roadways. The program pays crew members at the end of each work day. While clients are employed through this program, they continue to work with CEO staff on job development and placement for longer-term job opportunities. CEO specializes in finding jobs in customer service, food industries, manufacturing, office support, and semi-skilled trades. CEO also provides a range of post-placement support services for a minimum of 12 months.

CEO places approximately 70% percent of its graduates into full-time jobs within three months of program completion. About 75% of placed clients are still working after one month; and 60% are still on the job after three months. The average hourly wage of placed participants is higher than the minimum wage. Nearly two-thirds of the positions offer full benefits. In terms of recidivism outcomes, a study by the Vera Institute found that only 21% of all enrollees (whether they were with CEO for one day or one year) recidivated within three years; only 15% of enrollees that CEO placed in jobs were recidivated within three years.
Institute for Social and Economic Development: Microenterprise Training for Women, Iowa State

The Institute for Social and Economic Development (ISED) is a nonprofit organization providing a highly structured set of employment services to assist low-income individuals entering the labor market. ISED’s Microenterprise Training for Women in Corrections (MTWC) program, launched in 2001, assists women who are incarcerated at the Iowa Correctional Institution for Women in Mitchellville, Iowa. ISED collaborates with the Iowa Women’s Enterprise Center and the Iowa Department of Corrections to provide entrepreneurial training to women in prison. The Microenterprise Training for Women in Corrections focuses on helping the women to use their talents and skills to start small businesses, obtain quality jobs, and build financial assets to help them become economically independent and successful members of the community.

While in prison, participants attend business planning training workshops. After release, the women receive follow-up one-on-one technical assistance from a trained business consultant. ISED provides support by developing a curriculum and set of interventions directed toward preparing offenders for reentry, focusing on their financial and economic situations. A financial assessment is done upon their entry into the program. The assessment and reentry plan are comprehensive and integrated into their overall reentry plan. Additional support is provided via a partnership between the community corrections/parole officer and a community sponsor who assists the new business owner with connecting to community supports or other services that are key to becoming a successful independent member of the community. Paroled inmates must meet all conditions of release and are encouraged to obtain jobs and stabilize their household before they embark on full time self-employment.

Pioneer Human Services, Washington State

Pioneer Human Services is an entrepreneurial nonprofit organization that seeks to improve the lives its clients through employment and training, social services, and housing. Pioneer provides services to at-risk populations, which primarily include individuals who were formerly incarcerated and former substance abusers. The program is a combination of correctional services, substance abuse services, behavioral health services, drug and alcohol-free housing, and employment in one of Pioneer’s businesses. Pioneer Human Services manages 14 work-release correctional facilities that serve juveniles and adult men and women who are probation violators or individuals who are serving the last three to six months of their sentences. The program has an integrated approach to helping its clients, providing services including housing, on the job training, life skills training, risk assessment, communication skills, and inpatient substance abuse treatment. The organization manages several businesses and places clients in on-the-job training opportunities in fields such as manufacturing, construction, printing, packing distribution, or food services. When clients leave the work-release program, they have the opportunity to continue working with Pioneer.

A University of Washington study found that participants in the Pioneer program had a lower recidivism rate (about 6% after two years) than other work-release programs. The study also found that Pioneer participants have higher earnings and work more hours than a comparison group that was used in the
study. Pioneer also established a monthly client outcomes program that looks at the performance of Pioneer clients based on over 100 indicators.

**Project RIO, Texas State**

The Project RIO (Re-Integration of Offenders) program is operated through the Texas Workforce Commission. It has over 100 program staff in 62 offices across the state, providing services to 16,000 parolees every year. The initial impetus behind the program was to reduce skyrocketing corrections costs by reducing the number of released prisoners that are returned to prison. Project RIO begins working with clients before they are released from prison. Program participants receive assessments and testing used to develop an employment plan, and participate in job readiness and life skills training during their incarceration. Assessment specialists gather birth certificates, social security cards, and general equivalency diplomas (GEDs) from family members and others for the inmates. A job readiness specialist meets with every participant who is within two years of his/her release date and every 90 days after that to help work on the interviewing skills of the inmate. Inmates work on Project RIO developed workbooks called Project RIO Occupational Direction or PROD to help develop their employability and life skills. RIO clients who are within six months of release can participate in a 65-day life skills program, which covers anger management, family relationships, victim awareness, personal hygiene, and other related topics.

Inmates and formerly incarcerated individuals can learn about and connect to Project RIO both in prison and after release. Project RIO distributes program brochures to all new inmates; sponsors an orientation for prisoners on their release day, providing them with contact information for the program; and trains parole officers to refer their parolees to the program. After release, Project RIO employment specialists work with clients to place them in jobs that match their skills and temperament.

An independent evaluation of the program documented a number of promising outcomes. Nearly 70% of RIO participants found employment, as compared to 36% of a matched group of non-participants. Additionally, within one year of release from prison, RIO participants were less likely to have been returned to prison; 23% of RIO participants were returned to prison within one year of release as compared to 38% of the comparison group. The study also estimated that RIO saved the State of Texas over $15 million per year due to the reduction in the number of individuals who otherwise would have been rearrested and returned to prison.

**Safer Foundation, Illinois State and Iowa State**

The Safer Foundation was established to provide vocational training to inmates in an effort to help them enter unions and private industry after release. The Safer Foundation focuses on preparing formerly incarcerated individuals for work by helping them find and keep meaningful employment through a full range of employment services. Safer also provides clients with the additional services they often need for employment readiness such as housing, substance abuse treatment, education, and life skills.

One of the largest community-based providers of employment services for formerly incarcerated individuals in the country, Safer has numerous programs across both Illinois and Iowa, including a school site in a county jail, and a work release program in a correctional center. Walk-in post-release services are
also provided at numerous community-based locations in both Illinois and Iowa. Each location provides intake and assessment for the full spectrum of Safer support services, job referral, and follow-up. Intake staff complete an assessment on each client and develop a plan for how the person can make the best use of the resources Safer offers. The primary educational course offered by Safer is a six-week basic skills program in which clients learn the fundamental skills needed to find and keep a job. All Safer courses are based on a peer-learning model, developed by the organization, in which students work in groups of three to five people supervised by a staff facilitator. During and after the course, employment specialists work with the clients to find jobs. Special case managers provide follow-up with clients for one year to help with various problems such as childcare, transportation, substance abuse treatment, and other issues.

The Center for Fathers, Families, and Workforce Development: STRIVE (National program highlighting Baltimore MD)

STRIVE is a national network of affiliates in locations including Atlanta, Baltimore, Boston, Buffalo, Chicago, Hartford, New Haven, New York, Philadelphia, San Diego, San Francisco, Seattle, and Washington, committed to helping men and women achieve financial independence. STRIVE National works with each of the local STRIVE sites through the STRIVE Affiliates by providing technical assistance and facilitating program development. The STRIVE model emphasizes attitudinal training, job placement, and job retention. For example, STRIVE Baltimore targets hard-to-employ Baltimore residents including formerly incarcerated individuals and the homeless, and assists them with their employment needs. STRIVE Baltimore is set up so that vocational skills can be acquired at work and education courses can be taken after work. Generally, the program prepares participants for employment through an intensive three-week workshop that addresses soft skills. During this time, job seeking and job readiness skills are refined and participants learn about and improve upon workplace behavior, appearance, and attitude.

A key element in the training program is the group interaction session, in which the entire class participates. The initial session is designed to focus each participant on why he or she is there and what he or she expects to accomplish. If successful, this session will reduce hostility, increase confidence, and identify realistic goals. The group interaction sessions allow trainers to assess participants’ motivation levels. Job application skills are also refined. Participants work on resume writing, interviewing, and telephone skills. Upon completion of the training, most STRIVE Baltimore participants are placed in jobs within three weeks. The program monitors graduates for a minimum of two years.

Welfare to Work: Partnership Law Project (National program highlighting Chicago IL)

The Welfare to Work Partnership is a national nonpartisan, nonprofit organization created by the business community to encourage and educate companies about hiring and retaining former welfare recipients and formerly incarcerated individuals. The Partnership’s Business Resource Group has launched Law Projects in Chicago, Miami, and New Orleans with the goal of helping law firms meet the demands of recruiting, hiring, training, and retaining staff. The Chicago Law project serves both former welfare recipients and people with criminal records. Clients receive an initial screening that involves skills assessment, drug testing, and identification of any other potential health issues. Program participants
then complete a 13-week training curriculum that covers both hard skills (reading, writing, math, spelling, communication, and office skills) and soft skills (office etiquette, prioritizing skills, and giving and receiving constructive feedback) specific to working in a law firm environment. The training also incorporates important life skills such as money management, handling stress, and balancing work and family. After two weeks of training, the program paces participants into paid law firm internships; two days at the firm and three days in class. Additionally, the individual is matched with a volunteer mentor from the law firm, who meets with the candidate once a week to discuss his/her progress, identify challenges, and help with problem solving. Upon completion of the training, the candidate is placed with a law firm and continues to receive support services (skill development, transportation, and childcare assistance) for one year.
## Promising Reentry Employment Program Models

<table>
<thead>
<tr>
<th>Program Name</th>
<th>Hard Skills</th>
<th>Soft Skills</th>
<th>Non-Skill Related</th>
<th>Job Coaching</th>
<th>Job Linkages</th>
<th>Job Retention</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>America Works Criminal Justice Program (National)</td>
<td>N/A</td>
<td>On the job soft skills training</td>
<td>Case management</td>
<td>Job readiness classes</td>
<td>Job placement agency</td>
<td>Case manager provides job retention services (6 months +)</td>
<td>N/A</td>
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<tr>
<td>Center for Employment Opportunities (New York, NY)</td>
<td>Vocational training. Tuition reimbursement for college classes.</td>
<td>Transitional employment placement with soft skills classes. Life skills classes including responsible fatherhood class, budgeting, and nutrition.</td>
<td>Case management</td>
<td>Job readiness classes (4 days). Weekly meetings with Job Coach to search for full time job.</td>
<td>Transitional employment placement. Job linkages provided after transitional employment completed.</td>
<td>Follow-up support for 1 year provided by Job Coach</td>
<td>3 month transitional employment and follow-up support for 1 year</td>
</tr>
<tr>
<td>Institute for Social and Economic Development-Microenterprise Training (Iowa State)</td>
<td>Entrepreneurial training workshop</td>
<td>Financial and economic life skills training</td>
<td>Referrals to community supports and other services</td>
<td></td>
<td>Technical assistance from business consultant</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project RIO (Texas State)</td>
<td>N/A</td>
<td>Life skills training. Anger management.</td>
<td>N/A</td>
<td>Job readiness counseling. IDs/documentation</td>
<td>Job placement</td>
<td>N/A</td>
<td>65 days + follow-up</td>
</tr>
</tbody>
</table>

Prepared by RESOURCE DEVELOPMENT ASSOCIATES

May 18, 2015 | 55
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>Safer Foundation (Illinois State)</td>
<td>GED prep classes. Vocational training.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2 weeks – several months</td>
</tr>
<tr>
<td>The Center for Fathers, Families, and Workforce Development / STRIVE B'more (National)</td>
<td>On the job vocational skills training</td>
<td>Cognitive soft skills training</td>
<td>Group interaction session for goal identification and motivational support.</td>
<td>Job readiness classes. Resume writing. Interviewing. Telephone skills.</td>
<td>Job placement</td>
<td>Retention support and 2 years monitoring and follow-up</td>
<td>3 week workshop + average 3 weeks till job placement</td>
</tr>
<tr>
<td>Welfare to Work—Partnership Law Project (National)</td>
<td>13 week training in reading, writing, math, spelling, communication, and office skills specific to working in law firm environment</td>
<td>13 week training in office etiquette, prioritizing skills, giving and receiving constructive feedback specific to working in law firm environment</td>
<td>Mentorship Transportation Childcare support.</td>
<td>N/A</td>
<td>Placement in paid law firm internship and subsequent placement with law firm job</td>
<td>Mentor in the law firm provides weekly support on challenges, problem solving, and progress.</td>
<td>13 week training and internship + 1 year of continued support services</td>
</tr>
</tbody>
</table>
Reentry Employment Program Infrastructure

The three most commonly identified strategies for employment programming infrastructure relate to identifying or creating jobs for clients, developing partnerships, and linking employers to fiscal incentives for hiring formerly incarcerated individuals. This table provides a brief outline of these strategies, as well as objectives and identified best practices.

<table>
<thead>
<tr>
<th>Employment Programming Infrastructure</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>STRATEGY</strong></td>
</tr>
</tbody>
</table>
| Creating Jobs | ❖ Identify appropriate employers who can hire individuals with criminal records | ❖ Become familiar with legal restrictions around certain types of job and certain types of criminal record  
❖ Identify employers who will hire applicants with minimal skills or work experience  
❖ Identify employers who hire without conducting a criminal background check  
❖ Identify industries most likely to hire formerly incarcerated individuals  
❖ Recruit and persuade employers through job fairs and community partnerships  
❖ Consider small and medium-sized employers and locally-owned companies |
| | ❖ Recognize and respond to employers’ needs | ❖ Develop strong, long term relationships with employers in your community  
❖ Become informed about employers’ needs through asking questions, listening carefully, and making thoughtful job placements  
❖ Communicate about and partner with employers on screening, education, and training  
❖ Use job placement staff who know the culture of local employers  
❖ Reduce the transaction costs associated with hiring new employees |
| Partners and Collaboration | ❖ Partnerships to comprehensively support individuals’ reentry needs | ❖ Partner with agencies and organizations providing other relevant services for formerly incarcerated individuals to comprehensively support reentry needs  
❖ Partnerships to enhance and support employment programming and workforce development |
| Fiscal Incentives | ❖ Federal Bonding Program  
❖ Work Opportunity Tax Credit | ❖ Emphasize fiscal incentives  
❖ Educate employers about options |
Creating Jobs

Identify appropriate employers who can hire individuals with criminal records

Identifying employers who can hire individuals with criminal records is an important initial step in creating jobs for formerly incarcerated individuals. Some employers may be subject to criminal liability for hiring employers with certain types of convictions; accordingly, employment programmers will build credibility with both employers and clients if they are aware of such limitation and avoid referring clients with incompatible records.

Once employers who cannot hire your clients have been identified, best practices reveal a number of helpful strategies for identifying appropriate employers who may, including identifying employers who will hire applicants with minimal skills or work experience, identifying employers who hire without conducting a criminal background check, and identifying industries most willing to hire formerly incarcerated individuals. Research indicates that willingness to hire formerly incarcerated individuals varies according to industry. Construction and manufacturing employers expressed more willingness to hire former prisoners than employers in retail trade or services. Generally, employers indicated a reluctance to hire former prisoners for positions that require a wide variety of skills and direct contact with customers.

Another best practice for identifying appropriate employers is recruitment of employers who can be persuaded to hire formerly incarcerated individuals. For example, the Federal Bureau of Prisons uses mock job fairs in prisons to introduce employers to the idea of hiring recently released inmates. These fairs simultaneously give inmates the opportunity to develop their job seeking skills and employers the chance to meet inmates who have marketable skills.

Program evaluations and the experiences of expert job developers show that small and medium-sized employers and locally owned companies may find more value and benefit from the additional supports and financial incentives provided by hiring formerly incarcerated individuals. They may also have fewer hiring restrictions, less bureaucracy, and be more likely to recognize and value the community benefit and social purpose of hiring formerly incarcerated individuals. Small employers may have more flexibility to “take a chance” on a job seeker with a criminal record whereas larger employers may have hiring policies that include blanket prohibitions.

Recognize and respond to employers’ needs

Strong, long-term relationships with employers have been shown to be essential for successful job development. Employment programs should pay significant attention to cultivating employer relationships with a special focus on understanding potential employers’ needs. Attending to both employer and employee needs through deliberate job matching supports the creation of long-term employer partnerships by ensuring that job placements are a mutually beneficial fit. Job developers can develop and demonstrate a deep understanding of an employer’s needs by asking questions, listening carefully, and taking care to match employers with candidates whose goals, interests, and aptitudes align with what employers are seeking. This will also allow for marketing clients to best meet employers’ needs.
Best practices also suggest that employment programs employ job placement staff who are familiar with the culture of local employers; this may include experience working with the target professions or preexisting relationships with employers and hiring staff.

Best practices also indicate that communicating with employers about the employment program’s screening, training, and referral processes can reassure employers about the quality of clients they will receive. Additionally, there may be opportunity for partnering with employers to develop training/skill building programmatic offerings to better equip your clients for success with that particular employer.

Many employers fear they will be liable if they hire a person with a conviction record who later commits a new crime. Performing quality screening and referring appropriate job applicants can significantly reduce employers’ risk of liability. Additionally, informing potential employers about the Federal Bonding Program (discussed at greater length below) and how it can help protect them when hiring formerly incarcerated individuals may make them feel more supported and safer about “taking a risk” on your clients.

Another successful method for recruiting employers, especially among those who have not yet hired formerly incarcerated individual, is to emphasize the ways in which an employment program reduces their costs for hiring new employees. Employment programs for formerly incarcerated individuals represent free human resource services for employers who need qualified labor by screening clients carefully and ensuring the needs of the employer match the skills and competencies of program participants. This service can be very attractive to smaller employers who cannot afford human resource departments. However, even large employers can benefit from employment programming services, due to the readily available pool of job-ready applicants. In addition, employers save on the costs of conducting background checks on prospective employees through information provided by the employment program when matching clients to opportunities. Once your participants are placed in jobs, you can also offer postemployment services to employers such as supports for childcare, transportation, and ongoing occupational skills training. Employment programs may also serve as an intermediary between the employer and employee and help them resolve problems that arise. Research suggests that employers are appreciative of these services and the cost savings they represent, providing an additional incentive to employers to hire your clients.

Partnerships and Collaboration

Partnerships to comprehensively support individuals’ reentry needs

The importance of partnerships and collaborations in supporting successful employment programs for formerly incarcerated individuals is stressed throughout research and best practices literature. Identified range from close collaborations with the local Department of Corrections to relationships with employment agencies and other community organizations. Successful employment programs note that their program is only one part of a larger support network that previously incarcerated persons should have access to when reentering the community. Research emphasizes the importance of working closely with local service and treatment providers to whom they can refer participants for substance abuse, mental health, cognitive behavioral treatment, and other reentry and responsivity-related concerns.
Partnerships with organizations who provide mentoring services, such as faith-based organizations or the YMCA, may also be helpful, as are partnerships with legal clinics to support clients in addressing their legal needs.

Partnerships to enhance and support employment programming and workforce development

Research reports the most successful employment outcomes when individuals began programming while in custody and continue treatment in their communities. Best practices suggest that employment service providers and corrections personnel should share information and collaboratively plan for an individual’s release from a facility and the start of community based programming. Efforts should be made to continue the type of programming individuals were receiving while in custody.

There may also be agencies in the community that have experience working with formerly incarcerated individuals and who have developed employer networks and strategies for working with formerly incarcerated individuals. For example, the U.S. Department of Justice has initiated several projects in communities across the country aimed at facilitating the reintegration of returning offenders. Other potential partners include the Division of Workforce Development, Department of Labor apprenticeship programs, Department of Community Development, Department of Family and Support Services, Department of Environment, community based organizations, criminal justice agencies, educational institutions, and employers.

Joining and participating in organizations that allow access and interaction with local employers may bolster partnerships and collaboration for effective employment services and workforce development opportunities. Such organizations include local Workforce Investment Boards, Chambers of Commerce, Rotary Clubs, or trade associations. Employment programs should also attend local job fairs to talk with employers about their candidates and services; distribute business cards, brochures, and fliers; and provide other business references that have used the employment program’s services in employing formerly incarcerated individuals.

Incentivizing Hiring

Emphasize financial incentives

Employment programs may have an important role to play in incentivizing hiring by emphasizing available financial incentives and assisting employers in securing them. Best practices suggest that employment programs familiarize themselves with the availability of and requirements for federal bonds through the Federal Bonding Program, tax credits (federal Work Opportunity Tax Credit and State tax incentives, if available), and any other employee training funds that may be available through the Workforce Investment Act.

The Federal Bonding Program

The Federal Bonding Program (FBP) serves as a job placement tool by guaranteeing to an employer the job honesty of “at-risk,” hard-to-place job applicants. Fidelity Bonds that employers purchase commercially do not cover anyone who has already committed “a fraudulent or dishonest act.” The
insurance industry often deems individuals with criminal records, past drug and alcohol histories, and other job applicants with questionable backgrounds “not bondable” because they may pose a risk for committing a dishonest act, such as stealing. The FBP was created to serve as an incentive for employers to hire qualified individuals who may not be insurable otherwise. The FBP issues fidelity bonds, which are business insurance policies that protect employers in case of embezzlement of money or property by an employee who is covered by the bond. The bond coverage is usually $5,000 with no deductible amount of liability for the employer. Higher amounts of coverage, up to $25,000, may be allowed if justified. The bond does not cover liability due to poor workmanship, job injuries, or work accidents. Bonds are usually available free of charge through a State Department of Labor office. All jobs are bondable in both private and public sectors, including full and part-time positions, as well as jobs secured through temporary agencies. The bond is put into effect instantly on the first day of employment. The employer simply makes the applicant a job offer and sets a date for the individual to start working. Once the bond is issued, there are no forms or other papers for the employer to sign, and no processing to delay matters.

Bonding services as a job placement tool have achieved a 99% success rate, employing over 40,000 bonded individuals. Bonding services have been shown effective in encouraging employers to hire people with criminal records. A recent survey determined that employers were much more willing to hire people with criminal records who are bonded. The report states that “bonding was the only variable to which the majority of employers (51%) responded favorably.” Bonding has also been shown to be effective in reducing rates of re-incarceration. A Texas A&M comparison group study found that people with criminal records who were released from Texas State prisons and were job placed through use of bonding and other services, experienced a re-incarceration rate reduced by 40%. This reduction of recidivism saved the state over $10 million per year in potential re-incarceration costs, and participants who secured employment generated about $1,000 per year in state and local taxes.

Work Opportunity Tax Credit

Additionally, a for-profit business that hires a person with a criminal record can benefit from the Work Opportunity Tax Credit (WOTC). This federal tax credit provides an incentive for employers to hire, train, and retain job seekers who are among nine groups—including individuals with felony convictions who are hired within one year of their date of conviction or date of release from prison. The credit can reduce an employer’s federal income tax liability by as much as $2,400 per qualified new worker. Applying is easy and the application is available through a State Department of Labor office. The Department of Labor also provides information about whether or not your state offers additional incentives for employers, such as state tax credits.
Promising Reentry Employment Infrastructures

Center for Employment Opportunities (CEO), New York, NY

In addition to CEO’s transitional job placements with day-labor work crews paid for by city and state agencies, CEO has developed an extensive network for long term job placement, including government agencies and private sector employers. CEO has placed clients in over 300 local businesses and organizations. CEO is 90% supported by the revenue it generates from the agencies with which clients are placed for temporary work. The remaining funds are obtained primarily from government funding sources, including state and local criminal justice agencies and workforce development agencies.

Institute for Social and Economic Development: Microenterprise Training for Women, Iowa State

ISED provides community-based services through its Iowa Women’s Enterprise Center (a women’s business center) in partnership with the Iowa Department of Corrections. Funding for the project was made possible through a grant from the MS Foundation for Women’s Collaborative Fund. While in prison, clients work with ISED staff and volunteers. Upon release, participants continue to be served by ISED’s network of staff and consultants in their location of residence; they are linked to a variety of programs and services in cooperation with community corrections / parole officers. Some of these connections include faith-based organizations, financial literacy programs, job training programs, and substance abuse groups.

Pioneer Human Services, Washington State

Almost 99% of Pioneer’s budget comes from income from goods and services. Pioneer forms contractual relationships with businesses in the commercial sector such as Boeing, Microsoft, and Nintendo. Pioneer also partners with numerous state and local government agencies, including the Washington State Department of Corrections. The job training programs that are offered to Pioneer clients are conducted with local community colleges and state certification programs.

Project RIO, Texas State

The Texas Workforce Commission administers Project RIO in collaboration with the Texas Department of Criminal Justice and The Texas Youth Commission. In addition, the Texas Workforce Commission has developed a network of over 12,000 employers across the state that have hired formerly incarcerated individuals who have completed the program.

Safer Foundation, Illinois State and Iowa State

Safer reports that it takes employment specialists an average of three weeks to place clients in a job. One reason they report being so successful is that the organization has developed good relationships with employers and has a reputation for preparing their clients well for employment. A survey of employers
found that the majority reported little or no difference between job candidates referred by Safer and candidates who came to them by traditional means. Safer Foundation also has a robust partnership with the Illinois Department of Corrections. State parole officers and county probation officers rely on the services provided by Safer to improve the chances that their clients will remain successfully in the community. Safer also collaborates with a wide range of business and service providers.

**The Center for Fathers, Families, and Workforce Development: STRIVE (National program highlighting Baltimore MD)**

In addition to the robust partnerships of the national STRIVE network, STRIVE Baltimore has developed an extensive employment network with local government agencies as well as numerous private sector employers. The national STRIVE network is also dedicated to advancement of workforce development policy in line with their mission and the needs of their target populations.

**Welfare to Work: Partnership Law Project, Chicago IL**

The Chicago Law Project has developed partnerships with other community-based organizations and local law firms. Potential candidates for the program are identified through local service providers who provide referrals. The Law Project’s community partners also include Chicago area law firms, which agree to hire at least one person who completes the training program, to provide a paid internship in a support staff role during the program, and to assign a mentor for new hires. The 13-week curriculum was designed in collaboration with the Partnership’s Business Resource Group and the participating law firm.
## Promising Models of Reentry Employment Infrastructure

<table>
<thead>
<tr>
<th>Program Name</th>
<th>Job Placement Support</th>
<th>Partnerships</th>
<th>Cultivating Potential Employers</th>
<th>Internal Employment / Staffing &amp; HR Services</th>
<th>Policy / Advocacy</th>
</tr>
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<tbody>
<tr>
<td>Center for Employment Opportunities (New York, NY)</td>
<td>Transitional and long term job placement</td>
<td>Local government agencies Local businesses</td>
<td>Yes</td>
<td>Transitional employment placement</td>
<td></td>
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<tr>
<td>Pioneer Human Services (Washington State)</td>
<td>For profit corporations Community colleges</td>
<td></td>
<td>Yes</td>
<td>Internal employment opportunities</td>
<td></td>
</tr>
<tr>
<td>Project RIO (Texas State)</td>
<td>X</td>
<td>Workforce commission</td>
<td>Yes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Safer Foundation (Illinois State)</td>
<td>X</td>
<td>Local businesses For profit corporations</td>
<td>Through developing and maintaining ongoing relationships with employers</td>
<td>Staffing agency with temporary, temp-to-hire, and permanent staffing to local businesses Human resources and hiring paperwork</td>
<td>Public policy group for job development</td>
</tr>
<tr>
<td>The Center for Fathers, Families, and Workforce Development / STRIVE Baltimore (National)</td>
<td>X</td>
<td>Local government agencies For profit corporations</td>
<td></td>
<td></td>
<td>National network focused on advancing workforce development policy</td>
</tr>
<tr>
<td>Welfare to Work—Partnership Law Project (National)</td>
<td>Paid internship placement and permanent placement</td>
<td>Business Resource Groups Community based organizations Local law firms</td>
<td>Five founding companies have since grown to more than 20,000 participating companies</td>
<td>Screening and drug testing</td>
<td>Encouraging and educating companies about hiring and retaining former welfare recipients, including formerly incarcerated individuals</td>
</tr>
</tbody>
</table>
References


Appendix F: Youth Employment

Youth Employment Programs in the Literature

Youth employment programs meet the needs of millions of youth today who lack the skills and experience needed for high-wage employment. The situation is most dire for youth living in communities with high poverty rates, where a number of risks and negative environmental factors impede their paths to occupational success. The examples outlined below provide examples of youth employment programs from across the nation that connect youth with local employers and provide various forms of skill building and adult support for youth participants. By learning more about the components of various successful employment programs we are better able to understand the processes that make successful job placement and program completion possible.

Baltimore Internship Program

<table>
<thead>
<tr>
<th>Key Highlights</th>
</tr>
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<tbody>
<tr>
<td><strong>Description</strong></td>
</tr>
</tbody>
</table>
| **Outcomes** | • Majority of worksite managers indicated their intern did exceptionally well at the work site.  
• Majority of worksite managers also indicated they “would like to hire” or “would like to extend” the internship (approximately 50% who stated they “would like to hire” the participant did so). |

Program Description:

The Baltimore Internship Program is offered through the Baltimore Youth Opportunity System (YO! Baltimore) that serves young people age 16 – 24 who were previously disconnected from traditional learning environments in order to increase their wage earnings and educational credentials through skills training. Built within this infrastructure, the Baltimore Internship Program offers paid work experience jobs, referred to as internships, to interns who are typically placed in entry-level positions paying at least minimum wage for approximately three months. In order to be eligible for the internship, youth must first complete work preparation courses (group or one-on-one), and also attend work retention classes on a regular basis for the duration of the internship.

Program Eligibility:

Youth members (defined as age 16 – 24) of the Baltimore Youth Opportunity System (YO! Baltimore) who have completed a job preparation training class (JBS) are eligible for the Baltimore Internship Program. The majority of program participants have no prior work experience, and none of them have completed high school.
Program Interventions/Activities:

Members of YO! Baltimore are provided a helpful environment staffed by caring adults who offer educational and careers skills training opportunities. Baltimore Internship Program members take a job preparation course prior to their internships and attend work “retention training” classes regularly for the duration of their internship. In the retention trainings youth are exposed to information regarding employee/employer relations, dealing with work issues and stress, coping with diversity, and managing personal issues and other types of work related stresses. YO! Job Coaches provided ongoing program support for youths in the internship program, visiting work sites regularly to keep up with how interns are faring on the job and to provide assistance to the worksite supervisors if needed.

Dosage:

Internships typically last three months, and program participants are required to attend bi-weekly “retention training” courses.

Assessment Tool:

<table>
<thead>
<tr>
<th>Assessment Tool</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employer Internship Evaluation Form</td>
<td>To provide measurable indicators of program success, including employer ratings of how interns fared and whether they would like to keep them on.</td>
</tr>
</tbody>
</table>

Outcomes:

Approximately 70% of 375 program participants were rated as “very good” or “excellent” workers by their employers. Furthermore, 65% of employers indicated they “would like to hire” or “would like to extend” the internship. Of the employers that indicated they “would like to hire” the intern, over half went ahead to do so.56

United Way of Northeast Florida Youth Employment Program

<table>
<thead>
<tr>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program participants are placed in paid, six-week, part-time and fulltime internships throughout the city. Interns are supervised and mentored by an on-site employment coach, who also assigns them a capstone project for completion. The goals of the program are to place 90-100 youth per year in meaningful internships, align internships with Jacksonville’s target growth industries, and to focus on critical skills necessary for twenty-first century jobs.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>In 2013,</td>
</tr>
<tr>
<td>• 104 people successfully completed the program</td>
</tr>
<tr>
<td>• 6 youth-serving organizations participated</td>
</tr>
<tr>
<td>• 50 host internship sites participated</td>
</tr>
<tr>
<td>• 80 employment coaches participated</td>
</tr>
</tbody>
</table>

Program Description:

The goals of the program are to place 90-100 youth per year in meaningful internships, align internships with Jacksonville’s target growth industries, and to focus on critical skills necessary for twenty-first century jobs. Program participants are placed in paid six-week internships throughout Jacksonville and are supervised and mentored by an on-site employment coach who has received training through the program.

Program Eligibility:

Students who are between the ages of 16 – 19, have a GPA above a 2.0, qualify for free or reduced-price lunch (or have a family income not exceeding 185% of the poverty level), and who have attended a mandatory job readiness conference and financial literacy program are eligible for program participation.

Program Interventions/Activities:

Program participants are connected with individual coaches, exposed to career paths that match their interests and talent, and provided job readiness skills and financial literacy trainings. They each participate in an interactive job readiness conference where they cover topics such as how to complete a job application, effective resume writing, interviewing techniques, mock interviews, social media, dressing for success, and employer expectations. The also participate in a financial literacy program designed as a reality fair that is a hands-on, real life simulation that gives young people the opportunity to experience their futures in an exciting way. Discussion topics included having a plan for your money, budgeting basics and the importance of having good credit. Program participants are also given the opportunity to open a savings account.

On-site employment coaches mentor and supervise participants over the course of their internships, and also assign capstone projects for them to complete. Transit passes are provided for interns needing transportation. Full-time interns (30 hours per week) earned a total stipend of $1,305.00 and part-time (15 hours per week), $652.00 over the course of the six week internship program. The program concludes with a celebratory reception where program participants and employers are recognized for their accomplishments. At the reception, students display their capstone projects, network with fellow interns and employers, and introduce their families to their employment coaches.

Youth-serving organizations, selected via an RFP process, designate individuals to serve as youth development specialists (separate from the on-site employment coach) who work directly with the youth. The youth-service organizations are responsible for youth recruitment, case management, and stipend payments. Youth development specialists attend job readiness conferences and the end of program celebration, and serve as a proactive measure to address any employment coach/supervisor and intern concerns such as job performance. Youth development specialists also make weekly visits and phone calls to internship sites to ensure the quality of the internship and to address any concerns.
Dosage:

Internships last six weeks. Participants attend a job readiness skills training as well as a financial literacy training and have access to on-site employment coaches and youth development specialists over the course of the internship.

Assessment Tool:

<table>
<thead>
<tr>
<th>Assessment Tool</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formal program evaluation and online bi-weekly evaluations completed by interns and employers.</td>
<td>To measure the success of the program and to provide feedback on program experiences, areas for improvement, and accomplishments.</td>
</tr>
</tbody>
</table>

Outcomes:

In 2013, 104 students participated in the summer internship program and completed their training courses, capstone projects, and summer internships. Results indicate that interns gained confidence, communication skills, and a basic understanding of business and/or non-profit operations. Interns also gained a better understanding of their future long-term goals. Employment coaches had positive impacts on their interns and employers expressed personal satisfaction in mentoring interns. Together, employers and interns were satisfied with the program and hope to participate in years to come.57

Mayor’s Youth Employment and Education Program (MYEEP)

<table>
<thead>
<tr>
<th>Key Highlights</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description</strong></td>
</tr>
</tbody>
</table>
| **Outcomes** | • Served over 25,000 youth over the past 25 years, currently serving approximately 1,300 youth annually.  
• Serves 11 neighborhoods, with 200 different internship opportunities, where interns are paid a minimum wage of $11.05.58 |

Program Description:

MYEEP provides a three month long pre-employment training period for youth in order to help build competencies and skills for the workplace, providing a sixty hour interactive curriculum designed for high school aged youth. Upon completion of the training youth are matched with internships at one of MYEEP’s partnering work sites.

Program Eligibility/Selection Criteria:

MYEEP program participants must be between the ages of 14 – 17, a resident of San Francisco, enrolled in a high school or GED program, and eligible to obtain a workers permit. Additionally, participants must

have multiple barriers to employment which may include the following: a lack of prior work experience, poor school performance, one or more disabilities, low English proficiency, teen parenthood, living in poverty; involvement in the juvenile justice system, receiving services from a case manager, living in foster care or a group home, identifying as LGBTQ, and/or homelessness. MYEEP participants must also live in one of eleven targeted service areas, not be involved with other enrichment activities, and show a high level of motivation to participate in the program.59

Program Interventions/Activities:

MYEEP provides a three month long pre-employment training period for youth in order to help build competencies and skills for the workplace. This includes a sixty-hour interactive curriculum designed for high school aged youth facilitated through workshops that emphasize self-efficacy, asset based learning and experiential education. Topics include teamwork, communication, professionalism, time management, public speaking, financial literacy, and career exploration. Over the course of the training period, program participants are asked think about their personal, educational and career goals and how they will achieve them in order to form the basis of their Development Plan that is presented to a panel of staff, worksite supervisors, peers and parents. Upon completion of the training period youth are matched based on their interests and skill sets with internships at one of MYEEP’s partnering work sites. Interns work 8-10 hours per week during the school year and 18 – 20 hours per week during the summer program. Each program location has an employment coordinator that supports the entire employment period and is the contact person for any questions regarding timesheets, paychecks, worksite issues, transition to school year programs, and referrals to other service providers.

Dosage:

There is a fall program that runs seven months (October – April) and a summer program that runs three (Jun – August). Interns work eight to ten hours per week during the fall program and eighteen to twenty hours per week during the summer program. Participants all receive sixty hours of pre-employment training, and have an employment coordinator that provides them support throughout the duration of the program.60

Assessment Tool:

<table>
<thead>
<tr>
<th>Assessment Tool</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formal program evaluation conducted by Social Policy Research Associates evaluating</td>
<td>Describe the service model, assess performance measures, describe the quality of in-program activities and work experience placements, examine the quality of capacity building efforts, and determine the impact of the investment on youth’s readiness to learn/succeed in school.</td>
</tr>
</tbody>
</table>

Outcomes:

Over the last twenty-five years, MYEEP has served over 25,000 youth, currently serving approximately 1,300 youth annually. The program provides 200 different internship opportunities, where interns are paid a minimum wage of $11.05, and does a very good job of reaching racially and culturally diverse youth by having programs in eleven neighborhoods across San Francisco. They make a strong effort to encourage positive adult and youth interaction through several activities, and participants note that they feel physically and emotionally safe in the program and that the staff are friendly and easy to talk to. Furthermore, MYEEP has developed a detailed curriculum for skill building sessions that insures program uniformity across the different program sites, and also allows for program flexibility to fit the individual training/learning styles of program staff and participants\(^6\). In September of 2003, MYEEP was one of 27 youth employment programs selected nationally to receive the Promising and Effective Practices Network (PEPNet) Award.\(^6\)

**Job Corps**

<table>
<thead>
<tr>
<th><strong>Key Highlights</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Description</strong></td>
</tr>
</tbody>
</table>
| **Outcomes** | • Earnings gains  
• Increases educational attainment  
• Reduces criminal activity |

**Program Description:**

Job Corps is a comprehensive residential education and job training program for at-risk youth ages 16-24 that provides integrated academic, vocational, and social skills training necessary for gaining economic independence.\(^6\) The Department of Labor (DOL) with primary goals of helping youths become more responsible, employable, and productive citizens administers the program.\(^6\)

**Program Eligibility:**

“Applicants must meet 11 criteria to be eligible for Job Corps: (1) be age 16 to 24; (2) be a legal US resident; (3) be economically disadvantaged (receiving welfare or food stamps or having income less than 70

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percent of DOL’s "lower living standards income level"); (4) live in an environment characterized by a disruptive home life, high crime rates, or limited job opportunities; (5) need additional education, training, or job skills; (6) be free of serious behavioral problems; (7) have a clean health history; (8) have an adequate child care plan (for those with children); (9) have registered with the Selective Service Board (if applicable); (10) have parental consent (for minors); and (11) be judged to have the capability and aspirations to participate in Job Corps.”

Program Intervention/Activities:

Job Corps offer a number of different vocational training programs developed with input from businesses and labor organizations. Service centers typically offering 10 or 11 distinct vocational training programs for program participants. Additionally, they offer a uniform, computer based curriculum for academic courses. Academic and vocational trainings are typically individualized and self-paced. “Key Job Corps components include: 1) Entry diagnostic testing of reading and math levels, 2) Occupational exploration programs and world of work training, 3) A comprehensive basic education program, including reading, math, GED, health education, parenting, introduction to computers, and driver education, 4) Competency-based vocational education, 5) Zero tolerance for violence and drugs, 6) Inter-group relations/cultural awareness programs, 7) Social skills training, 8) Counseling and related support services, 9) Regular student progress reviews, 10) Student government and leadership development programs, 11) Community service through volunteer and vocational skills training programs, 12) Work experience programs, 13) Health care, 14) Recreation programs and avocational activities, 15) Meals, lodging and clothing, 16) Incentive-based allowances for performance, 17) Child care support, 18) Post-program placement and follow-up support.”

Dosage:

The amount of time program participants remain in the program varies widely. At the time of Schochet, Burhardt, and McConnell’s (2008) evaluation the average length of enrollment was eight months.

Assessment Tool:

Schochet, Burhardt, and McConnell’s (2008) evaluation used a random assignment experimental technique based on a national sample of eligible program participants who were found eligible in February of 1996. Randomly assigned program group members were allowed to enroll in Job Corps (n = 9,409) while control group members were not allowed to enroll for at least three years, although they could enroll in other training programs (n = 5,977).

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Oakland Unite Violence Prevention Programs
Overview of Evaluation Findings and Recommendations

<table>
<thead>
<tr>
<th>Assessment Tool</th>
<th>Purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>Survey</td>
<td>To measure impact findings for: 1) education and training, 2) employment and earnings, and 3) crime.</td>
</tr>
<tr>
<td>Administrative Earnings Records</td>
<td>To measure impact findings for earnings</td>
</tr>
</tbody>
</table>

Outcomes:

Findings indicate that the Job Corps program has promise, as treatment group participation increased educational attainment, reduced criminal activity, and increased short-term earnings. Administrative earnings records indicated that increases in earnings only remained for the oldest program participants (age 20 -24) when they were assessed several years after program participation.

**Developing an Effective Youth Employment Program**

Effective youth employment programs institute similar programmatic components to identify target populations, provide effective job training and support services, and secure employment. RDA reviewed best practices in workforce development, case management, and youth development to identify the following program components to be incorporated by youth employment program partners.

**Eligibility Requirements:**

Typically youth employment programs directed services towards low-income youth with barriers to employment, from geographically bounded regions. Programs geared toward school-aged children often require that participants are enrolled in school and have no serious behavioral problems. Other programs target youth who have not completed high school to assist them in educational training and developing job skills.

**Pre-Employment Training:**

At minimum, each program should provide job-readiness assessments, basic educational training, and workplace readiness training. While there are a variety of specific job-preparation trainings, most trainings typically provide training in professional skills development, social skills/communication, and workplace professionalism. Additionally, many programs provide a financial literacy training to support youth in basic money management.

**Case Management:**

Youth employment programs use case managers to provide youth clients with program support for the duration of the program. Case managers provide one-on-one adult support to youth participants, communicate with employers, and visit work sites regularly to monitor progress and provide assistance if needed. Typically case managers are the contact person for questions regarding worksite issues and/or referrals to other service providers.

**Internships/Links to Employers:**

Youth employment program participants should gain hands-on work experience through paid internships with partnering employers. Partnering employers should be local and play a primary role in training and building interns’ work skills. Effective programs have an open line of communication between interns, worksites, and case management to ensure successful relationships between interns and worksites.
Post-program placement and follow-up support:
Effective youth employment programs provide follow-up support and work-placement services to program graduates in order to help them connect with full or part-time employment. Establishing meaningful connections with partnering employers increases the likelihood partnering employers will hire successful interns.

Dosage:
The length of program participation varies across effective youth programs. Program goals and budgetary constraints should inform this decision making process.

A Systems Approach to Youth Employment Programs

For youth employment programs directed toward at-risk youth to successfully implement critical program elements, it is imperative to take a cross system approach that allows for a broad range of resources to be available to program coordinators and clients alike. Recently a successful cross-system approach has been utilized by several communities identified by CLASP. These approaches all included the following five components (discussed in more detail below): a strong convening entity, an effective administrative agent, a well-trained case management team, strong partnerships across systems that serve youth, and high quality work experience and career exposure components. These elements should be in place for youth employment programs to be ready to serve a wide array of clients with a diverse set of needs.

A Strong Convening Entity

It is crucial to assemble a strong and coordinated body comprised of community stakeholders to focus attention on building a comprehensive approach for developing a high quality youth employment delivery system. An effective convening entity should include buy-in from elected community officials, corporate leadership, youth-serving systems, and community organizations. One of the purposes of the convening entity is to build relationships between agency representatives with decision-making powers across the community.

Effective Administrative Agent

In order for a youth employment program to be successful, it is important for there to be an effective administrative agent in place. This means that the program should have a well-trained staff with leadership skills and a capacity to work across systems to implement the collaborative service delivery process. Furthermore, the program should have a management system in place in order to monitor expenses and maintain program accountability. Finally, it is imperative that the administrative agent understands the needs of the labor market and is able to successfully develop strategic partnerships with businesses and educational institutions to create pipelines for program participants.

Case Management

Each program will be comprised of a diverse array of program participants with a wide array of academic skills, personal experiences, support needs, and interests. As such, it is crucial for case managers to match program participants to programs, services, and educational options that best suit the participants’ needs. Case managers should take input from the youth they are serving, so that they know their clients’ interests and needs and are better able to match them with services. There should be a personal one-on-one relationship that is developed between the client and the case manager, and this relationship should last the duration of program participation. Quality case managers should function in the following ways:

- Provide the adult support to youth in assessing their strengths, talents, barriers, and support needs.
- Formulate individualized plans based on that assessment, and facilitate their engagement in an appropriate set of activities.
- Provide the counseling and support to keep youth on track.
- Support the transition for youth who are engaged in the child welfare or justice system and connect them to the education, training, and community supports they will need.
- Assure that youth don’t fall between the cracks of multiple systems and programs.
- Account for the ultimate attainment of education credentials and employment success.

Effective Collaboration and Across Systems

Strong and effective communication and collaboration between disparate service agencies within the community allow for a successful youth employment program. Youth coming from poverty stricken backgrounds are likely to have several service needs, and systems ranging from education to child welfare, workforce and juvenile justice may touch the lives of youth. Especially important to a youth employment programs are strong partnerships with educational institutions. Without these partnerships, program success is unlikely.

Workforce Preparation and Employer Engagement

For an individual to truly be ready to enter the workforce, it is important that she or he to have some hands on experience, whether through an internship, shadowing, or some other contact with the world of work. For this to be possible, it is imperative that employers engage with the youth employment program. This may include employers becoming involved with implementing training programs or providing mentoring and/or coaching at a workplace, as well as providing access to full and part time jobs.
Effective Models of Youth Employment Programs

<table>
<thead>
<tr>
<th></th>
<th>Eligibility Requirements</th>
<th>Pre-Employment Training</th>
<th>Case Management</th>
<th>Internships / Links to Employers</th>
<th>Post-program Placement &amp; Follow-up Support</th>
<th>Dosage</th>
<th>Participants</th>
<th>Outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yo! Baltimore’s Internship Program</td>
<td>Age 16 – 24, previously disconnected from school, completion of job training courses</td>
<td>Development of work habits, expectations, attitudes, and related life skills</td>
<td>Ongoing employment support, regular workplace visits</td>
<td>Partners with employers to provide positions in: • Administrative support • Healthcare • Building maintenance</td>
<td>No formal follow-up, YO! Baltimore Parent Program</td>
<td>3 mos</td>
<td>375 participants from 2002 - 2007</td>
<td>68.5% of participants rated very good to excellent by supervisor, supervisors “would like to hire” or “extend internship” to 65% of participants</td>
</tr>
<tr>
<td>United Way of Northeast Florida Youth Employment Program</td>
<td>Age 16 – 19, enrolled in school with GPA above 2.0, below 185% of the FPL, completion of job readiness and financial literacy program</td>
<td>Job readiness training covering topics such as: • Effective job application and resume writing • Interviewing techniques • Interview attire • Workplace expectations • Financial literacy program</td>
<td>On-site employment coaching, off-site youth development specialists, job skills training</td>
<td>Connected to employers with youth development and workforce initiatives</td>
<td>Program concludes with a capstone project</td>
<td>6 wks</td>
<td>184 participants since 2012</td>
<td>104 students completed program in 2013, interns gained confidence, communication skills, workplace knowledge, and better understanding of future goals</td>
</tr>
</tbody>
</table>
## Mayors Youth Employment & Education Program

**Age**: 14 – 17  
**San Francisco resident**  
**Enrolled in high school or GED program**  
**Eligible to obtain workers permit**  
**Multiple employment barriers**  

<table>
<thead>
<tr>
<th>Training Duration</th>
<th>Services Provided</th>
<th>Connections Made</th>
<th>Employment Outcomes</th>
</tr>
</thead>
</table>
| 3 mo               | Three-month training that covers:  
  - Professionalism  
  - Time management  
  - Public speaking  
  - Financial literacy  
  - Career exploration  
  Case manager provides support:  
  - Timesheets / paychecks  
  - Worksite issues  
  - School transition planning  
  - Referrals to other service providers  
| Youth are matched to MYEEP’s partnering work sites based on their interests and skill sets | Provides transition to school year/summer programs  
  Referrals to other service providers  
  No tangible follow-up support | 7 mo fall program  
25,000 participants over past 25 years  
Approximately 1,300 youth annually  
Successfully completed rigorous skills building training and internship  
Felt physically and emotionally safe in program  
Made positive connections with adults |

## Job Corps

**Age**: 16 – 24  
**Legal US resident**  
**Economically disadvantaged**  
**Community environment characterized by high risk factors**  
**Limited job opportunities**  
**No major behavioral or health issues**  
**Adequate childcare plan**  

<table>
<thead>
<tr>
<th>Services Provided</th>
<th>Employment Outcomes</th>
</tr>
</thead>
</table>
| None required  
Client must meets eligibility requirements  
Counseling/support services  
Individualized employment training plan | Earnings gains  
Increases educational attainment  
Reduces criminal activity |

<table>
<thead>
<tr>
<th>Training Duration</th>
<th>Services Provided</th>
<th>Connections Made</th>
<th>Employment Outcomes</th>
</tr>
</thead>
</table>
| None              | Workforce training in 10 different vocations  
Job-placement services | Post-program job placement  
Ongoing support and consultation | Average length of 8 mos  
60,000 participants served annually at sites across the nation |
References


Appendix G: Behavior Modification Programs

Behavior Modification Program Design

Behavior modification programs are designed to work with populations who are at high risk for recidivism and violence because of factors such as low levels of education, high prevalence of substance use and abuse, homelessness, unemployment, and mental health issues. These programs help individuals reform the skills, attitudes, and behaviors that are associated with violence and criminal involvement as well as leverage opportunities to secure stable employment, housing, and support networks. The table below provides an overview of the wide range of evidence-based behavior modification interventions implemented in jail-based and reentry programs.

<table>
<thead>
<tr>
<th>Short-Term (0—3 Months)</th>
<th>Medium Term (3—6 Months)</th>
<th>Long Term (6+ Months)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aggression Replacement Training</td>
<td>Moral Reconation Therapy</td>
<td>Therapeutic Communities</td>
</tr>
<tr>
<td>Relapse Prevention Therapy</td>
<td>Reasoning and Rehabilitation v.2</td>
<td>Criminal Conduct and Substance Abuse Treatment</td>
</tr>
<tr>
<td>Thinking for a Change</td>
<td>Relapse Prevention Therapy</td>
<td>Relapse Prevention Therapy</td>
</tr>
<tr>
<td>Seeking Safety</td>
<td>Forensic Assertive Community Treatment (FACT)</td>
<td>Supportive Housing</td>
</tr>
<tr>
<td>Life Skills</td>
<td>Dialectical Behavior Therapy</td>
<td>Resolve to Stop the Violence Project</td>
</tr>
<tr>
<td>Faith-Based Programs</td>
<td>GED or ABE</td>
<td>Case Management</td>
</tr>
<tr>
<td>Vocational</td>
<td>Post-Secondary Education</td>
<td>Sheriff’s Anti-Violence Effort (SAVE) (with aftercare)</td>
</tr>
<tr>
<td>Parenting Classes</td>
<td>Case Management</td>
<td>Reasoning and Rehabilitation v.1</td>
</tr>
<tr>
<td>Duluth Model</td>
<td>Female Offender Treatment and Employment Project (FOTEP)</td>
<td></td>
</tr>
<tr>
<td>Cognitive Behavioral Group Treatment</td>
<td>Gender Responsive Treatment for Post-Traumatic Stress Disorder and Substance Abuse</td>
<td></td>
</tr>
</tbody>
</table>

Behavior modification is a crucial component of most criminal justice reform and reentry programming and should begin when an individual is booked into custody and continue after his release—in some cases for more than a year.\(^68\) This continuum of services and supports maximizes currently and formerly

incarcerated individuals’ chances of successful reintegration into the community post-release. That said, behavior modification programs do not focus on an individual’s re-entry per se, but instead focus on increasing skills and knowledge and changing behaviors regardless of custody status.

The use of validated risk and need assessments, while important for most types of community-based programming, is especially critical for behavior modification programming. Without validated risk and need assessments, it is impossible to ensure that an individual receives the appropriate services to address his or her specific behavioral and psychosocial needs, as well as to ensure that providers offer services in the appropriate context and at the right dosage.

When designing a treatment or case plan for an individual, it is necessary to take into the account an individual’s current and former experience with the criminal justice system. Some therapies or treatments are much more demanding than others in terms of duration and intensity. Those programs that require longer and more intense participation should be only available to individuals with a high-risk level, and those with low-risk should participate in programs that are shorter and less intense. It should also be noted that program curricula, in some cases, can be modified based on individual’s need and their specific case plan.

Essential Components of Behavior Modification Programming

While there is no type of single program or behavior modification approach that can meet the needs of all current and formerly incarcerated individuals, researchers have identified various components of behavior modification programs that can increase the likelihood of successful outcomes for the target population. Based on evaluation reports of nine (9) reentry programs over a 25-year period, literature reviews, and cost-benefit analyses, researchers offer the following best practice for reentry programs:

- Programs should take place in community settings (as opposed to institutions).
- Programs should be intensive, and offer services for at least six months.
- Programs should use cognitive behavioral treatment techniques.
- The therapist and program should be matched to the learning styles and characteristics of individual clients.
- Praise and rewards should outweigh punishments and other punitive measures.
- Previously incarcerated persons should be given job training and enhancement opportunities.
- Programs begun in jail should have an intensive and mandatory aftercare component.

Providing a Comprehensive Continuity of Care

Effective behavior modification programs involve partnerships between corrections, social services, and the community in order to coordinate reintegration and ensure a continuum of services. The most

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70 Prendergast M, (2009)

common elements to the ‘continuity of care’ approach include creating an individualized case plan with a multidisciplinary team and case managers and case management in community after care to ensure linkages to the proper services per the individualized re-entry plan.

In the case of parolees, probationers, and individuals in reentry programs, case managers serve an integral role in the coordination of services and care for formerly incarcerated post-release, and help identify and prioritize clients’ needs, coordinate clients’ services from other agencies, and follow up on progress. Studies indicate that individualized care for reintegration that begins early in incarceration yield the greatest effects to reduce recidivism. Thus, these findings combined indicate the best practice in re-entry programming is to begin case management early in incarceration and continue the practice through the process of transitioning into the community.

Types of Behavior Modification Programming

Behavior modification programs vary in terms of duration, intensity, target population, context, and intended outcomes. Interventions target a variety of behavior and needs including substance abuse and mental health treatment; education programs; gender-responsive programming; and domestic violence prevention programming.

Cognitive Behavioral Therapy

Cognitive Behavioral Therapy (CBT) is the most common and effective behavioral intervention for addressing substance use and mental health problems in populations with high levels of risk for criminality. In addition, by reducing substance abuse and antisocial behaviors associated with involvement in criminal activities, CBT is also an effective tool in reducing recidivism.

Cognitive Behavioral Therapies direct interventions towards changing distorted or dysfunctional cognitions or teaching new cognitive skills, and involve structured learning experiences designed to affect such cognitive processes. The results of a meta-analysis of treatment interventions for drug abusing and offender populations showed that CBT significantly reduces drug use (14% reduction) among general drug using offender populations. CBT in both institutional and community settings leads to significant reductions in recidivism and arrest for general offender populations, as well. The table below provides a review of the most common types of cognitive behavioral therapy by duration, as documented in the National Institute of Corrections’ (NIC) Prominent Cognitive Behavioral Therapy Programs for Offenders.

<table>
<thead>
<tr>
<th>CBT Type</th>
<th>Description</th>
<th>Target Population</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aggression Replacement Training (ART)</td>
<td>Multimodal intervention designed to reduce violence.</td>
<td>Adults in correctional and community settings</td>
</tr>
<tr>
<td>Criminal Conduct and Substance Abuse Treatment: Strategies for Self-</td>
<td>Treatment of individuals who manifest substance abuse and criminal justice problems.</td>
<td>Adults in correctional or community settings</td>
</tr>
</tbody>
</table>

72 Prendergast M, (2009)
### Improvement and Change (SSC)

<table>
<thead>
<tr>
<th>Moral Re conjon Therapy (MRT)</th>
<th>Treatment of individuals convicted of driving while intoxicated, domestic violence, sex offenses, substance users, and others with &quot;resistant personalities.&quot;</th>
<th>Adults in prison-based therapeutic communities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reasoning and Rehabilitation (R&amp;R and R&amp;R2)</td>
<td>Treatment of adults to increase prosocial behaviors.</td>
<td>Adults in institutional or community settings of any risk-level</td>
</tr>
<tr>
<td>Relapse Prevention Therapy (RPT)</td>
<td>Maintenance program to prevent and manage relapse following addiction treatment.</td>
<td>Adults receiving case management of any risk level.</td>
</tr>
<tr>
<td>Thinking for a Change (T4C)</td>
<td>Social skill training, life skills training, problem solving and increasing levels of self-awareness</td>
<td>Individuals with a history of criminality in correctional or community settings</td>
</tr>
</tbody>
</table>

### Substance Use and Mental Health Treatment

Formerly and currently incarcerated individuals with mental health and substance use disorders can benefit from behavior modification programs designed to reduce the likelihood of relapse, hospitalization, and related criminal behavior. Programs designed to address mental health disorders provide the appropriate mental health treatment as well as cognitive-behavioral interventions to address criminal thinking errors. Other treatments shown to be effective at reducing drug use among current or formerly incarcerated individuals with substance use disorders include contingency management, motivational interviewing and relapse prevention. The table below includes an overview of effective interventions other than CBT used in jails for substance abuse and mental health treatment.

#### SA/MH Treatment

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<tr>
<th>SA/MH Treatment</th>
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<tr>
<td>Forensic Assertive Community Treatment (FACT)</td>
<td>This program takes the Assertive Community Treatment (ACT) program, with its mental health treatment emphasis, and adds cognitive-behavioral programming to address criminal thinking issues.</td>
<td>Incarcerated Adults</td>
</tr>
<tr>
<td>Permanent Supportive Housing</td>
<td>For homeless mentally ill individuals. Program includes several different types of permanent housing with on-site or easy-to-access services. Provides subsidized rent based on income. Services generally include case management, mental health, substance abuse, employment, and public assistance programs.</td>
<td>Homeless mentally ill offenders</td>
</tr>
</tbody>
</table>

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Dialectical Behavioral Therapy - Corrections Modified

| Therapeutic interventions to reduce impulsive aggressive behaviors in jail. | Adult inmates |

Texas TC Initiative

| Therapeutic Community plus mandated community-based residential aftercare for 3-months post-release plus 12 months outpatient counseling. | Drug-involved incarcerated individuals |

Gender Specific Programming

Gender-specific, comprehensive behavior modification programs reduce recidivism for currently and formerly incarcerated women. Programs that include gender-specific drug treatment, parenting and family preservation assistance, training in employment and life skills, counseling focused on dealing with past experiences of abuse, and help finding safe and affordable housing lead to successful reintegration for currently and formerly incarcerated women. In a study comparing reentry programs for women, researchers concluded the most successful programs take a strong case management approach and include positive role models vis-à-vis staff and mentors that mirror the racial and gender make-up of program participants. Women enrolled in the gender-specific reintegration program experienced decreased recidivism rates compared to programs with a 50/50 participant gender split (40% vs. 50%). Surveys showed women in gender-specific reintegration also “did better with regard to drug use, employment, psychological functioning, and regaining child custody.”

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<tr>
<th>Gender Specific Program</th>
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<th>Population</th>
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<tr>
<td>Seeking Safety</td>
<td>Manualized model that offers coping skills to help individuals attain greater safety in their lives for those suffering from Post-traumatic stress disorder (PTSD) and substance abuse</td>
<td>Formerly and currently incarcerated women, but research has shown the curriculum is effective with men.</td>
</tr>
<tr>
<td>Forever Free Program</td>
<td>Provides CBT for currently incarcerated women. Most effective when linked to community-based reentry program</td>
<td>Incarcerated women preparing for reentry</td>
</tr>
<tr>
<td>Female Offender and Employment Project</td>
<td>Community-based reentry program for women that includes residential drug abuse treatment, comprehensive case management, vocational services, and parenting-related services</td>
<td>Formerly incarcerated women</td>
</tr>
<tr>
<td>Resolve to Stop Violence</td>
<td>Male specific jail program for designed specifically for men with violent criminal backgrounds that aims to decrease emotions that stimulate violent impulses and challenge traditional notions of</td>
<td>Currently incarcerated men</td>
</tr>
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<td><strong>Beyond Trauma: A Healing Journey for Women</strong></td>
<td>Teaches women about trauma and how it impacts their lives. It also helps them develop coping skills and emotional wellness to counter the effects of neglect, physical, emotional, and sexual abuse.</td>
<td>Women in jail and community based settings.</td>
</tr>
<tr>
<td><strong>Women Offender Case Management Model (WOCMM)</strong></td>
<td>Focuses on reducing and stabilizing women in their communities. The four-stage model is designed to develop social capital by building upon strengths and developing a system of supportive resources.</td>
<td>Currently incarcerated women transitioning into their community</td>
</tr>
<tr>
<td><strong>Resolve to Stop Violence</strong></td>
<td>Male-specific jail program for designed specifically for men with violent criminal backgrounds that aims to decrease emotions that stimulate violent impulses and challenge traditional notions of masculinity that contribute violence.</td>
<td>Currently incarcerated men</td>
</tr>
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References


